

DRAFT
Request for Proposal (RFP)
from Field Agencies to
Implement National Family Health Survey (NFHS)-4
2014-2015

Bid Document



IIPS
(स्थापना / Established in 1956)
बेहतर भविष्य के लिए क्षमता निर्माण
Capacity Building for a Better Future

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Key Events and Dates

1	Tender Inviting Authority	International Institute for Population Sciences, Govandi Station Road, Deonar, Mumbai-400 088
2	Job Requirement	Appointment of Field Agencies for conducting NFHS-4.
3	Announcement of Bids for 2014-2015 NFHS-4 Field Agencies	Before 14 th February 2014
4	Pre-Bid Meeting	26 th February 2014 at NIHFWS, New Delhi during 10:30 am -1:30 pm
5	Last date for submission of bid	14 th March 2014
6	Opening of bids, technical evaluation and financial evaluation	To be announced through IIPS website
7	Submission of Performance Security, Signing of Contract and submission of bank guarantee	To be announced through IIPS website

Checklist of eligibility for opening technical bid

SLN.	Items	Tick
1	Certificate of Registration/ proof of statutory body	
2	PAN Card	
3	Audited financial statements for Financial Year 2010-11, 2011-12, 2012-13 showing a minimum annual turnover of 3 crores	
4	For working experience of large scale demographic/ health surveys- a copy of work order and certificate of completion for the last 5 years	
5	A proof of core staff as regular/payroll employee or having contract with the FA for a minimum period of 11 months or till the completion of survey whichever is later (on Non- Judicial Stamp paper of Rs.100/-) for each State/group of State/UTs applied for. FA applying for more than four group of State/group of State/UTs may repeat some of the core staff members in case of 5 th , 6 th ,... and subsequent State/group of State/UTs.	
6	Processing fees* of Rs. 10,000/- per State/group of State/UTs	
7	EMD* of Rs.1,00,000/- per group of State/group of State/UTs	
8	No-conviction certificate as per format	
9	An affidavit declaring not working with any Tobacco Company in the last one decade (on non-judicial stamp paper of Rs.100-).	

- * Should be paid through Demand Drafts drawn in favour of “Director, IIPS” payable at Mumbai. PRCs are exempted from these payments

LIST OF ACRONYMS

AHS	Annual Health Survey
AIDS	Acquired Immuno-Deficiency Syndrome
ANM	Auxiliary Nurse Midwife
ARI	Acute Respiratory Infection
BAMS	Bachelor of Ayurvedic Medicine and Surgery
BDS	Bachelor of Dental Surgery
BE	Bachelor of Engineering
BHMS	Bachelor of Homeopathic Medicine and Surgery
BMGF	Bill and Melinda Gates Foundation
B Pharma	Bachelor of Pharmacy
BUMS	Bachelor of Unani Medicine and Surgery
CAB	Clinical, Anthropometric and Biochemical (Tests)
CAPI	Computer Assisted Personal Interviewing
CE-NRHM	Coverage Evaluation - National Rural Health Mission
CES	Coverage Evaluation Survey
DBMS	Data Based Management System
DBS	Dried Blood Spot
DFID	Department for International Development
DLHS	District Level Household and Facility Survey
FA	Field Agency
GFR	General Financial Rules
GPS	Global Positioning System
HH	Household
HIV	Human Immuno-Deficiency Virus
IIPS	International Institute for Population Sciences
JSY	Janani Suraksha Yojana
MBBS	Bachelor of Medicine, Bachelor of Surgery
MoHFW	Ministry of Health and Family Welfare
MoU	Memorandum of Understanding
NACO	National AIDS Control Organization
NARI	National AIDS Research Institute
NFHS	National Family Health Survey
PMC	Project Monitoring Committee
PRC	Population Research Centre
PSU	Primary Sampling Unit
RFP	Request for Proposal
TOT	Training of Trainers
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
UT	Union Territory

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1. INTRODUCTION

1.1. Purpose of Request for Proposal (RFP)

The purpose of this RFP is to appoint Field Agencies for conducting the fourth round of National Family Health Survey (NFHS)-4 in India during 2014-15.

1.2. Background of the Survey

The National Family Health Survey (NFHS) was initiated in India in the early 1990s with the first NFHS conducted in 1992-93. Since then, India has successfully completed NFHS-2 in 1998-99 and NFHS-3 in 2005-06. All the three surveys were conducted under the stewardship of the Ministry of Health and Family Welfare (MoHFW), Government of India, with the International Institute for Population Sciences (IIPS) as the nodal agency, and technical assistance provided by United States Agency for International Development (USAID) through ICF Macro (presently known as ICF International). USAID has been the primary funder of the NFHS surveys, but for the most recent survey (NFHS-3) DFID, the Bill and Melinda Gates Foundation, UNICEF, UNFPA and the Government of India have also provided funds. NACO and the National AIDS Research Institute (NARI) provided technical assistance for the HIV component of NFHS-3. The major objective of the NFHS has been to strengthen India's demographic and health database by providing information that is both reliable and relied upon, to strengthen the survey research capabilities of Indian institutions to provide, analyse, and disseminate high quality data, and to anticipate and meet the country's needs for data on emerging health and family welfare issues.

In 2014-2015, India will implement the fourth round of National Family Health Survey (NFHS)-4. Like its predecessors, NFHS-4 will be conducted under the stewardship of the Ministry of Health and Family Welfare (MoHFW), Government of India coordinated by the International Institute for Population Sciences (IIPS), Mumbai, and implemented by a group of Field Agencies and Population Research Centres (PRCs). These Field Agencies will be selected by following a rigorous selection procedure. Technical assistance for NFHS-4 will be provided by ICF International, USA. NFHS-4 will be funded by the United States Agency for International Development (USAID), DFID, the Bill and Melinda Gates Foundation (BMGF), UNICEF, UNFPA, the MacArthur Foundation and the Ministry of Health and Family Welfare (MoHFW), Government of India.

1.3. Specific Objectives and Scope of NFHS-4

Each successive round of the NFHS has had two specific goals: a) to provide essential data on health and family welfare needed by the Ministry of Health and Family Welfare and other agencies for policy and programme purposes, and b) to provide information on important emerging health and family welfare issues. To meet these two objectives, NFHS-4, like NFHS-1, NFHS-2, and NFHS-3, will:

- Provide estimates of the levels of fertility, infant and child mortality, and other family welfare and health indicators by background characteristics at the national and state levels; and
- Measure trends in family welfare and health indicators over time at the national and state levels.

Similarly to the NFHS-3, NFHS-4 will also provide information on several other emerging issues including:

- Peri-natal mortality, adolescent reproductive health, high-risk sexual behaviour, safe injections, tuberculosis, and malaria;
- Family welfare and health conditions among slum dwellers;
- Non-communicable diseases;
- Use of emergency contraception; and
- HIV prevalence for adult women and men at the national level and for 11 State/groups of State/UTs including all the high HIV prevalence states. The HIV prevalence estimates from the survey will be used to calibrate the HIV estimates that are based on surveillance data.

Besides these similarities, the scope of NFHS-4 has been greatly expanded over NFHS-3:

- In addition to the 29 states, NFHS-4 will also include all six union territories for the first time. Also for the first time, NFHS-4 will provide estimates of most indicators at the district level for all 640 districts in the country as per the 2011 Census. In this round, the sample has been designed to provide information on sexual behaviour; husband's background and woman's work; HIV/AIDS knowledge, attitudes and behaviour; and domestic violence only at the state level and the national level, while rest of the indicators will also be provided at the district level. Indicators will be made available separately for slum and non-slum areas in the same eight cities covered in NFHS-3.
- NFHS-4 will provide information on HIV prevalence for women aged 15-49 years and men aged 15-54 years at the national level and for 11 State/groups of State/UTs. The exact grouping of states for HIV prevalence estimates has been done in consultation with the National AIDS Control Organisation (NACO). As in NFHS-3, blood samples will be collected from women and men in the form of dried blood spots (DBS) on filter paper cards and sent for HIV testing to the designated laboratories.

Given the need to report demographic and health indicators at the district level, the NFHS-4 sample size has been increased to approximately 571,660 households, as compared to 109,041 households in NFHS-3. The survey will use four Schedules (Household, Woman, Man and Biomarker), and information will be collected from all women aged 15-49 years and, in a sub-sample of households, men aged 15-54 years. This is expected to yield a total sample of 628,826 women and 94,324 men eligible for the interview. In these selected households, information on approximately 267,272 children below aged 5 years will be collected.

- Data will be collected using Computer Assisted Personal Interviewing (CAPI) on mini laptops.

- Anaemia testing and height and weight measurements for women aged 15-49 years, men aged 15-54 years and children under age 5 years have also been included in NFHS-4. All related estimates will be provided at the district level.
- The domain of Clinical, Anthropometric and Biochemical (CAB) testing is being further expanded in NFHS-4 to include random blood glucose and hypertension measurements with estimates to be reported at the district level. As with anaemia, testing of these new CAB components in the field will be conducted using portable equipment. A recently developed, improved model of the HemoCue instrument will be used for anaemia testing. A battery-operated portable glucometer will be used for blood glucose testing. An automatic, battery operated BP instrument will be used to measure blood pressure. Lancets and all blood-contaminated materials will be disposed of in a biohazard bag according to an established protocol. Only medical or other personnel with specific training on the procedures and on universal precautions regarding blood-borne pathogens will be involved in conducting the anaemia and blood glucose testing and collecting blood samples for HIV testing.
- NFHS-4 will be conducted in two phases, and each phase will cover almost equal number of State/groups of State/ UTs to be surveyed. The two phases will help in managing the whole operation of implementation more efficiently.

1.4. Geographical Coverage

All the components of the National Family Health Survey (NFHS)-4 will be implemented in 29 States and 6 Union Territories (Andaman and Nicobar Islands, Lakshadweep, Puducherry, Daman and Diu, Dadra and Nagar Haveli, and Chandigarh). NFHS-4 will also provide estimates of most indicators at the district level for all 640 districts as per 2011 Census. The Annexure A1 shows details by State/group of State/UTs of sample size of households (including HIV testing) and Annexure A2 shows the phasewise grouping of the State/groups of State/ UTs.

1.5. Sampling Design

A uniform sample design will be adopted in all the districts. All FAs will be given a list of selected PSUs before the Mapping and Household Listing Training of Trainers (TOT). The listing of all households in each first-stage unit will provide the sampling frame for selecting households. The household listing will provide up-to-date location and layout sketch maps of each selected PSU and a number will be assigned to each structure and to households within the structure. It is recommended to use segmentation if the village size exceeds *300 households*. In such cases, the selected villages may be divided into three or more mutually exclusive and exhaustive physical units called '*segments*'. A random selection of two segments thereof will be made by drawing appropriate notional maps of the village/segments to serve as the base maps for the mapping and household listing in NFHS-4.

1.6. Survey Implementation Plan

The entire data collection will be divided into two phases. Approximately 15 State/group of State/ UTs will be covered in each phase. The phasing of the State/group of State/ UTs has been planned in accordance to the

local climatic conditions and geographic challenges. Large states like Uttar Pradesh and Madhya Pradesh have been divided into three and two parts respectively, which will be treated as an independent state/unit for the purpose of survey implementation. Thus, for the purpose of NFHS-4, all the Indian State/groups of State/UTs have been organised into 32 States/group of State/UTs. The details of these groupings along with number of total sample HHs and PSUs to be included in District and State modules are given in Annexure A2.

1.7. Data Collection Procedure

Data will be collected using Computer Assisted Personal Interviewing (CAPI) on mini laptops. CAPI eliminates the need for a separate data entry operation and for data editing in the field. With essential data consistency checks built into the programming, data are also likely to be of better quality. Additionally, data will be sent back to the central office more frequently, enabling faster feedbacks to FAs and survey teams on quality or other concerns.

FAs will record the results of the CAB tests and other relevant information on a separate paper Biomarker Schedule, and will enter the results onto the CAPI laptops in the field. FAs will also need to take the "informed consent" from the eligible individuals/respondents (as required) before conducting the tests in each household. NFHS-4 will adopt a set of protocols to ensure homogeneity in the process of integrating the CAB component with household surveys across different states. Some of these protocols will require joint training of the household survey and the CAB component in each State/group of State/UTs in order to ensure homogeneity in understanding the protocols related to survey implementation. The Project Coordinators (medical) of IIPS will help each FA in logistics of biomarkers in different State/group of State/UTs.

2. SCOPE OF WORK

The proposal should be prepared on the basis of the following scope of the work.

2.1. The Field Agency will be required to appoint the following manpower for each State/group of State/UTs to conduct the NFHS-4:

Sl. No.	Name of Position	No.	Educational Qualification (Minimum)	Experience
	State Level Staff			
1	Project Coordinator (Full time) One x per State/group of State/UTs	1	PhD / Master in Demography / Population Studies / Mathematics / Statistics / Public Health / Social Sciences	At least 5 years of experience of handling (conducting and coordinating) large-scale demographic and health survey as a team leader
2	I.T. Consultant (Full time) One x per State/group of State/UTs	1	Master in Computer Sciences / Master in Computer Applications and BE/B. Tech (Computer Science)	<ul style="list-style-type: none"> At least 5 years of experience of handling large-scale demographic and health survey data & Working experience of any DBMS
3	Health Coordinator (Full time) One x per State/group of State/UTs	1	MBBS / BAMS / BUMS and BDS	At least two years of experience in Biomarkers in household based health surveys

4	Statistician/ Demographer (Full time) One x per State/group of State/UTs	1	PhD / M.Phil. / Master in Statistics / Demography / Bio-Statistics / Public Health / Epidemiology	<ul style="list-style-type: none"> • 3 years of experience for Ph.D./M. Phil • 5 years of experience for Master Degree in handling Large Scale Demographic Survey data
A. Mapping and Listing Operations				
	Field Team	No.		
5	Mapper per team	1	Graduate in any discipline (Preferably Social Sciences /Geography)	
6	Lister per team	1	Graduate in any discipline (Preferably Social Sciences/Geography)	
7	Supervisor per district	1	Graduate in any Social Science (Prefer knowledge of Geography)	One year experience in mapping and listing operations or such data collection at the supervisor level
B. Household Survey				
	Field Team	No.		
8	Interviewers per team (3 Females and 1 Male)	4	Graduate in any discipline (Preferably Social Sciences)	Basic computer knowledge
9	Health Investigators (CAB) per team	2	Graduate in Medical lab technology/ B Pharma/ BUMS/BHMS/ BAMS/ Degree in Nursing or Diploma in Medical lab technology	Training/experience in blood collecting/handling blood products
10	Supervisor per team	1	Graduate in Social Sciences/Bio-Sciences	Experience in supervising data collection operations in Large Scale Survey

2.2. Attending TOT Workshops organised by IIPS

IIPS will conduct two TOTs- one for Mapping and Household Listing and the other for main survey. Two persons from each FA will be required to attend Mapping and Household Listing TOT. However, in case of TOT for the main survey, FAs must send four (4) core staff (Demographer/Statistician, Project Coordinator, IT person and Health coordinator) per State/groups of State/UTs. The core staff should be same as listed in the table given in Section 2.1. All the staff trained for specified activity must be available till the completion of the survey. In case of any violation, IIPS reserves the right to discontinue the contract or charge appropriate penalty.

2.3. Mapping and Household Listing

The purpose of Mapping and Household Listing operation in NFHS-4 is to prepare a map of each PSU depicting all lanes and bi-lanes, landmarks, dwelling and non-dwelling structures and identification of boundaries to carry out listing of structures with systematic numbering. Subsequently, it should be specified

whether the structure is residential or not. In case of residential structures, the name of the head of household will be entered in the household listing form. The location of the PSU will also be recorded through Global Positioning System (GPS) instrument.

2.4. Training of Field Investigators by core group of FA staff trained by IIPS through centralised TOT

- ∞ To be familiar and understand the Schedules and field procedures, FA should arrange training of a minimum of four weeks (28 days) including at least 4 days of field practice in both rural and urban areas. In the first part of training, paper-pencil Schedules will be used. Thereafter, training will be conducted with the CAPI version of the Schedules. Only those master trainers who successfully attended the NFHS-4 TOT organised by IIPS will be eligible to conduct and provide the investigator’s training.
- ∞ Preferably, FAs should recruit 10-15% more field staff than required for the main fieldwork, to account for attrition and performance-based replacement.
- ∞ The Faculty Project Coordinators and Project Officers from IIPS and MoHFW officials will also be present at the time of training.
- ∞ FA must ensure availability of all the audio visual equipments, logistic arrangement, and arrange comfortable stay for investigators as well as for other staff members.
- ∞ Special lectures from experts in the related field and supporting materials (handouts of IIPS, Power Point presentation, manuals and stationery) should be arranged.

At the end of the training, FA must conduct a test to evaluate the performance of the investigators. IIPS will provide the test paper (questions) for such evaluation.

2.5. Major contents of the Schedules

The NFHS-4 survey will have three separate Schedules

Sr. No.	Type of Schedule	Contents of the Schedule
1	Household	Information on: <ul style="list-style-type: none"> ○ All members of the household ○ Household characteristics <ul style="list-style-type: none"> ▪ Water and sanitation ▪ Ownership of assets ▪ Cooking fuel ▪ Mosquito net ownership and use ▪ Hand washing facilities ○ Socio-economic characteristics ○ Salt iodization ○ CAB (All members of the household eligible for blood tests/measurements).
2	Woman’s (15 – 49 Yrs)	<ul style="list-style-type: none"> ○ Background characteristics of women ○ Media exposure

		<ul style="list-style-type: none"> ○ Fertility and fertility preferences ○ Infant and child mortality ○ Family planning knowledge and use ○ Information on reproductive outcomes in Calendar ○ Maternal/reproductive health <ul style="list-style-type: none"> ▪ Antenatal care ▪ Delivery care ▪ Postnatal care ○ Nutrition <ul style="list-style-type: none"> ▪ Infant and young child feeding practices ▪ Micronutrient intake ○ ICDS programme coverage ○ Beneficiaries of other national GOI programmes, such as JSY and JSSK ○ Child health <ul style="list-style-type: none"> ▪ Immunizations ▪ Prevalence of diarrhoea, fever, ARI and their treatment seeking behaviour for them. ○ Marriage and sexual activity ○ Gender issues, including domestic violence ○ HIV/AIDS knowledge, stigma and discrimination, previous HIV testing ○ Tuberculosis ○ Adult health <ul style="list-style-type: none"> ▪ Non-communicable diseases ▪ Medical injections ▪ Smoking/drinking ▪ Health insurance coverage
3	Man's (15-54 Yrs)	<ul style="list-style-type: none"> ○ Background characteristics of men ○ Fertility and fertility preferences ○ Infant and child mortality ○ Family planning knowledge and use ○ Reproductive health ○ Marriage and sexual activity ○ Gender issues, including domestic violence ○ HIV/AIDS knowledge, stigma and discrimination, previous HIV testing ○ Tuberculosis ○ Adult health <ul style="list-style-type: none"> ▪ Non-communicable diseases ▪ Medical injections ▪ Smoking/drinking ▪ Health insurance coverage

NOTE: Draft Schedules are given in the Annexure E.

2.6. Transportation

For effective and efficient implementation of the field operation, every FA must, compulsorily provide one vehicle to each survey team (consisting of 7 members). IIPS reserves the right to stop the fieldwork/cancel the contract any time if any team is not provided with vehicle as per protocol.

2.7. Salary and DA for Investigators

The agency must pay at least the minimum salary to investigator and supervisor level staff. As per the IIPS protocol, a fixed minimum salary to the interviewers shall be Rs. 13,500/- per month (rate approved by the MoHFW for IIPS Field Staff). In addition, a minimum DA of Rs. 200/- per day should be given to the

interviewers/other field staff. Health investigators and team supervisors should be paid some additional amount either as part of salary or DA. FAs should ensure timely payment to field staff as per the contract and a copy of the receipt should be sent to the IIPS in the first week of every month. Any complaint reported by field investigators regarding irregularity/non-compliance of this clause in the payment of salary or DA will be taken seriously by IIPS and MoHFW, as it directly affects the data quality. Further, IIPS reserves the right to check whether the FA follows the above mentioned norms and to cancel the contract of any FA that is not complying with these requirements.

2.8. Layers of Monitoring and Supervision

FA has to place three-tier monitoring and supervision mechanism to maintain the data quality for all the stages of data collection (Mapping & household Listing, Household and CAB Survey). A supervisor at the field team level and a coordinator at the district level must be in place. Finally, an in-charge of the whole field work operation (state coordinator) must be placed at the state level. The state coordinator must make frequent and regular visits to the field to ensure NFHS-4 protocols are strictly followed in the field. The state coordinator should report and update on day-to-day basis to the Head/MD of FA about the quality of work being carried out in the field.

2.9. CAB Component

NFHS-4 will undertake the CAB component which would require a health coordinator for each Field Agency. FAs will be responsible for printing required number of CAB Schedules consisting of 20-24 pages for the main fieldwork. During the survey, health investigators will be required to collect CAB information on paper Schedule which will be subsequently entered into CAPI on day to day basis. The Field Agency would, inter-alia, be responsible for undertaking the CAB tests, canvassing the Biomarker Schedules, undertaking prescribed internal and external quality checks regularly to ensure adherence to the protocol and quality of data, proper storage and transportation of DBS samples to designated laboratory within stipulated time. The Project Coordinator (medical) of IIPS will help each FA in logistics of biomarkers in the different States/groups of State/UTs.

2.9.1. CAB tests in NFHS-4 aim to produce district level estimates for nutritional status and estimates of certain health indicators among eligible members of households CAB testing:

- a. Anaemia level: Children aged 6-59 months, women aged 15-49 and men aged 15-54.
- b. Height: Children aged 0-59 months, women aged 15-49, and men aged 15-54.
- c. Weight: Children aged 0-59 months, women aged 15-49 and men aged 15-54.
- d. Blood Pressure: Women aged 15-49 and men aged 15-54.
- e. Blood Glucose: Women aged 15-49 and men aged 15-54.
- f. Testing of cooking salt used daily by households for iodine component.
- g. HIV Testing: Only selected respondents of man and woman in a subsample of households (only in 50% of the households in 30% of the PSUs, i.e., in 15% of HHs).

2.9.2. Team Composition

The CAB tests will be carried out by trained health investigators. Each household survey team comprises of two health investigators with the prescribed qualifications (see Section 2.1, B.9).

2.9.3. Training

Training of Trainers for the CAB component will also be organized by IIPS as a part of the main TOT. Training of Health Investigators (HIs) and Supervisors, at State/group of State/UTs level training (starting in the second week of training programme) will be conducted only by those who are trained in the main TOT. On completion of the training programme, IIPS will certify those Health Investigators/Supervisors who have successfully completed the training and have acquired the adequate skill set to conduct the CAB tests for the survey. In case Health Investigators/Supervisors are unable to successfully complete the training, even after additional training, they will not be engaged in the field work. They have to be replaced with other staff after proper training.

2.9.4. Supplies and Equipments

The requisite CAB equipments and consumables will be centrally procured by IIPS and ICF International and made available to the Field Agency. To ensure quality of equipments, they will be checked for accuracy before they are sent to the Field Agencies. As the equipments for CAB supplied to the FAs requires careful handling, the FAs are expected to give due attention and follow the guidelines. The FA will be held responsible for any damage resulting due to the careless handling of the equipments. The FA will be responsible for procurement and local purchase of some of the field consumables to be used for disposal of bio-hazard waste such as bleach, trowel, tongs, kerosene and matchbox. The required number of the consumables will depend on the number of PSUs allotted to the FA. FAs should have adequate and secure storage space for equipments and supplies in the State/Local office.

2.9.5. Informed Consent

Before undertaking the CAB tests in any household, FAs must ensure that informed consent is read to each eligible respondent for each test and to take their prior consent before the tests. In case of children (6-59 months) and minors (15-17 years), the consent needs to be taken from the parent/guardian. Unmarried minors (15-17 years) will then be separately asked to give their assent to the tests. In case the eligible respondent is 18 years or older, then the consent has to be taken from that respondent only. The CAB survey consent statements are part of the biomarker Schedule that will be made available to the Field Agency by IIPS.

2.9.6. Collection of Blood Samples

CAB tests in NFHS-4 aim to produce district level estimates for nutritional status and estimates of certain health indicators among all the eligible respondents and their children aged 6-59 months. Blood samples will be collected to estimate the prevalence of anaemia among all the eligible respondents and children aged 6-59 months. Blood samples collected will also be used to determine the glucose level in blood among women aged 15-49 years and (only in the sub-sample of 15% of HHs) men aged 15-54 years. Blood samples will also be collected for testing HIV among eligible (only in the sub-sample of 15% of HHs) men aged 15-54 and women respondents for state level module. All the test results, except the HIV test, will be given to

respondents or parents/guardians for children on the health card, bearing basic information about preventive measures related to nutrition or blood glucose.

2.9.7. Transportation of DBS to Designated Laboratory

All tests other than HIV tests shall yield ‘on–the-spot’ results that should be recorded immediately in the Biomarker Schedule. In case of HIV test, the Field Agency needs to ensure that the samples of blood spots are collected on filter paper cards, dried, put in a self-sealing bags, properly labelled, packed, and shipped to the designated laboratory in good condition (dried and sealed), in order to yield accurate results. These blood samples should reach the lab(s) within 10 days from the date of collection in each household. One person from each FA will be specifically assigned the responsibility of assuring that the Dried Blood Spot (DBS) samples are shipped from district to designated lab using pre-paid coupons of Indian postal services/courier available with IIPS. All these procedures will use barcodes in triplicate and transmittal sheets should accompany the DBS. A copy of the same should be sent to IIPS by the Field Agency.

2.10. Establishment of State/group of State/UTs Level Field Office of Field Agency

Field Agencies appointed for each State/group of State/UTs are expected to have/establish a regular functional office with appropriate seating space for all core team members of that State/Group of State/UTs. The office must also accommodate other staff, and equipped with electricity, IT infrastructure, and means of communication (fax, landline telephone, internet, etc.). The office should also compulsorily have a safe storage space to ensure that the consumables of CAB equipment delivered to the office of the Field Agencies are stored in good condition. This office should be functional during the entire duration of the contract.

2.11. Data Management

The software for the data collection will be prepared and the translated Schedules in local language will be loaded in the mini laptop at IIPS. Besides, the software developed for the data collection would be pretested for the field situation before loading to the computer. The collected data by each investigator in the mini laptop should be electronically sent to the server located at IIPS on a daily basis by each team supervisor. After validation and checking the data, feedbacks will be given to concerned Field Agencies. Field Agency must take care about the feedback to improve the data quality for remaining PSUs. FA may be required to carry out secondary editing of data before sending the final dataset to IIPS. The secondary editing includes recoding the open-ended responses, response category “Other” and cleaning of data. IIPS reserves the right to stop field work or cancel the contract in case FA does not take appropriate actions on the feedbacks.

2.12. Printing and Distribution of District Factsheets

FAs will be responsible for printing of 500 Factsheets per district. A fixed format (text, colour, paper quality and design) sample of the Factsheet will be prescribed by IIPS. FAs will also carry out the responsibility of distribution of factsheets to the addresses provided by IIPS. The original postal/courier receipts of the distribution are to be sent to IIPS.

3. ROLES AND RESPONSIBILITIES OF FIELD AGENCIES (FAs)

NFHS-4 will be conducted in the entire country by dividing it into 32 State/group of State/UTs as given in Annexure A1/A2. The selected FA for each State/group of State/UTs will be required to sign a contract with IIPS for implementing NFHS-4 in that State/group of State/UTs.

3.1. Overall Roles and Responsibilities Assigned to Field Agencies

3.1.1. The principal responsibility of the FA is to carry out the NFHS-4 fieldwork in the assigned State/group of State/UTs. The sample will be spread over rural and urban areas of the states.

3.1.2. The involvement of FAs will start from the date of signing the contract with IIPS and continue till the Factsheet generation and distribution are completed.

3.1.3. The FAs must translate all Schedules and manuals (Interviewer's and CAB) into the appropriate local language(s) using the template of Schedules provided to the FA by IIPS. After signing the contract, a soft copy of the translated Schedules should be sent to IIPS for back translation and final approval. The translation must be typed in Unicode characters.

3.1.4. Field Agency will print sufficient number of Schedules (for training, reference and Biomarker Schedule for fieldwork), manuals (Mapping and Household Listing, Interviewer's, Supervisor's, CAB and CAPI), field forms for training and field work (household listing forms/assignment sheets) and brochures & referral cards (anaemia, hypertension, blood glucose and ICTC). Each trainee must be provided Interviewer's manual alongwith all the four schedules and each supervisor must additionally receive a Supervisor's Manual. In addition, each Field Investigator must be provided a CAPI manual and Health Investigator must be provided a CAB Manual. Mapping and Household Listing manuals will be given only to household listers and mappers.

3.1.5. IIPS will supply the list of selected villages in rural areas and Census Enumeration Blocks in urban areas. FA will be responsible for obtaining CEB location map from the respective state's census office for urban areas and village location map as per the Census 2011. FA will also be responsible for any official payment to obtain these maps from the Census Office.

3.1.6. FAs must mention in the proposal for the specific State/groups of State/UTs the names of persons who will attend the Mapping and household Listing TOT and subsequently take responsibility of training teams in the allotted State/groups of State/UTs. The same staff members will be responsible to conduct the training of the mappers and listers for the State/groups of State/UTs in the local language. FAs will be responsible for completing listing and mapping of all households in all the sampled villages and CEBs. Segmentation will be allowed in large enumeration areas of more than 300 HHs. After completion of the listing and mapping operation, FAs will prepare Excel spreadsheet for all the listed households in the spreadsheet format provided by IIPS. They must send a sample of Excel spreadsheet with the above data to IIPS for approval at the very beginning before finalising Excel spreadsheet of the Mapping and Household Listing operation.

3.1.7. After completion of mapping and household listing, each Field Agency has to send all the M & L materials (household listing forms, location and sketch maps of the PSUs) and Excel spreadsheet giving details of listed households to IIPS within the stipulated time. The M & L data must be sent regularly so that there should not be much time lapse in finishing M & L operation and submission of final data to IIPS for sample selection of households. In doing so, the maximum time lapse permissible is one week. FA must finish mapping and household listing work at least one month before starting the household survey.

3.1.7a. FAs must mention in the proposal for the specific State/groups of State/UTs the names of persons who will attend the Main Survey TOT and subsequently take responsibility of training teams in the allotted State/groups of State/UTs. The same staff members will be responsible to conduct the training of interviewers, field supervisors and health investigators for the State/groups of State/UTs in the local language.

3.1.7b. FAs must sign an agreement for a minimum duration of 11 months or till the completion of the survey whichever is earlier on non-judicial stamp paper of Rs. 100/- with all the core team members (Demographer/Statistician, Social Scientist, IT Consultant and Health Coordinator) whose names are mentioned in the Bid document, clearly defining their roles and responsibilities. The commencement of the period stated in the agreement will take effect from the date of the signing of the contract with IIPS. These documents have to be submitted along with the technical Bid.

3.1.7c. FAs must provide a copy of bio-data, proofs of identity and minimum qualification of all the staff (field and office including field level investigators) recruited well in advance to IIPS.

3.1.8. FAs will organize two different kinds of training programmes-(1) Mapping and Household Listing Training, and (2) Training of Household & Individual survey along with CAB component. The FA must train extra field personnel to ensure that there is sufficient number of field staff to conduct the fieldwork, after accounting for attrition and the dismissal of personnel who could not meet the minimum requirements of NFHS-4. Health Coordinator of FA will be jointly responsible for training and supervision of the CAB component. In addition to this, he/she will be responsible for coordinating the activities with IIPS with regard to CAB component.

3.1.9. Interviewer training in each State/group of State/UTs will be for at least four weeks (28 days) and each interviewer must complete at least five practice interviews in CAPI in the field during the training.

3.1.10. FAs will plan all fieldwork activities including Mapping & Household Listing and inform the fieldwork schedule to IIPS along with details of team movement plan at least one week in advance. Field work should not be started before getting permission from IIPS. FA must not change field work plan/team movement without the approval from the IIPS.

3.1.11. FAs should strictly adhere to the timeline of the survey failing which a penalty equivalent to 0.1 % of the total cost would be imposed per week.

3.1.12. FAs are required to ensure that each interview including the CAB component is done only after obtaining the informed consent of the respective respondent. FAs will also ensure that investigators keep all the information strictly confidential.

3.1.13. FAs are required to extend full cooperation to the monitoring personnel from the IIPS/MoHFW/ICF or third party appointed for this purpose.

3.1.14. A set of fieldcheck tables will be produced frequently by IIPS to assess quality of data collected by the Field Agencies in real time. FAs are required to comply with the feedback and reorient the investigators if needed.

3.1.15. FAs are strictly advised to refrain from extending any undue favours to any monitoring staff of IIPS or other monitoring staff. IIPS reserves the right to take appropriate action if any such incidents are brought to the notice of IIPS. FAs must cooperate with the IIPS monitoring and supervision team or personnel on behalf of IIPS. Any direct or indirect interference that hinders the monitoring and supervision work can amount to termination of the contract along with suitable penalty. IIPS may blacklist the agency if it is found to be involved in any such type of malpractices.

3.1.16. FAs must purchase one GSM modem (dongle) per survey team. FAs will also be responsible for payment of internet charges for transferring data files from the supervisor's CAPI to IIPS and FA on a daily basis.

3.1.17. FAs must make provision and pay for group insurance to all the field staffs deployed in NFHS-4.

3.1.18. For household survey, individual survey, and biomarker tests, a minimum of five-day visit is essential for state module PSUs and a minimum of three-day visit is required for district module PSUs. Weekly progress reports should be sent to IIPS on every Friday, in a format prescribed by IIPS, to report the field level plan and progress.

3.1.19. FAs must develop and implement a three-tier monitoring and supervision system as stated in Clauses 2.1 and 2.8 to ensure high quality of data.

3.1.20. FAs are responsible for translation of Schedules and manuals (Interviewer's and CAB) in local languages and submission to IIPS at least one month in advance before the start of main survey. All the corrections and suggestions made by IIPS must be incorporated within a week.

3.1.21. FAs will also be responsible for printing the required number of Biomarker Schedules for the main survey.

3.1.22. Arrangements should be made by FAs for additional manpower and logistics for safe transfer of the DBS samples from the field to the designated labs. The receipts of all courier/postal charges made for sending the DBS samples must be submitted to IIPS regularly.

3.1.23. Each team supervisor should be responsible for ensuring safe disposal of biomedical wastage according to the procedures described in the CAB manual.

3.1.24. Materials (bleach, trowel, tongs, 5 litre wide mouth plastic jar, kerosene and matchbox) needed for disposal of bio-hazardous waste will be purchased and managed by FAs. IIPS will provide bio-hazard bags and large ziploc bags. FAs will take responsibility for any violation of safety norms, etc.

3.1.25. The instruments and materials (except a few consumables as stated above) needed for CAB testing and measurements will be provided to FAs by IIPS. These materials should be handled very carefully by survey teams and the instruments & unused consumables should be returned after completion of the survey. In case of any loss/damage of instruments, FA will be responsible for meeting the cost.

3.1.26. FA may be responsible for secondary editing of data before the final submission as per the protocols decided by IIPS. The secondary editing includes recoding the open-ended responses, response category “Other”, cleaning and validation of data.

3.1.27. Each FA needs to print State/group of State/UTs Factsheets for all assigned districts and distribute as per the list provided by IIPS.

3.1.28. To inform the public about the survey and to get proper response from the households, FAs must publicize about the survey and its purpose through newspapers/electronic media in the state, before initiating the fieldwork.

3.1.29. A contract has to be signed between the Director of IIPS and the Executive Director/MD of selected Field Agency before starting any work related to NFHS-4 (See Annexure F).

3.1.30. At any stage, after signing the contract of NFHS-4, FAs are strictly prohibited from making any sort of subcontracting of any of the NFHS-4 activities. IIPS reserves the right to take appropriate legal action against FAs if any such incidence is noticed or reported.

3.1.31. FAs must sign a separate undertaking with IIPS before receiving the required number of mini laptops, GPS instruments and CAB equipments (See Annexure G for sample undertaking form).

3.1.32. The cost related to transporting CAB components, CAPI and other materials from FAs to IIPS after completion of the survey will be borne by FAs.

3.1.33. IIPS/MoHFW will be providing instructions/suggestions from time to time to maintain the quality of data. These instructions must be strictly followed by FAs for the smooth conduct of the survey.

3.1.34. IIPS reserves the right to terminate the contract or to take appropriate action against FA if found not adhering to the survey protocols or roles and responsibilities or reported by IIPS project officer/other staff members at any stage of the execution of the NFHS-4.

4. IMPLEMENTATION SCHEDULE/TIME LINE FOR DATA COLLECTION

The NFHS-4 fieldwork would be completed in all districts of a State/group of State/UTs within a period of six months after completion of state level main training. The detailed deliverables along with time line are given in the table below:

Sr. No.	Deliverable/ Activities	Time line
1	Survey materials for training	All the Schedules and manuals must be made bilingual for reference with sufficient quantity before starting the training of main survey (at least <i>one month</i> before).
2	Number of teams for Mapping and Household Listing and Main Survey	For Mapping and Household Listing- two teams per district, For Main Survey – 1.25 teams per district
3	Training for Mapping and Household Listing	<i>One week</i> (6 working days) including field practice both in rural and urban area.
4	Mapping and Household listing operation	<ul style="list-style-type: none"> - The FA must start Mapping and Household Listing training within two weeks of the completion Mapping and Household Listing TOT organised by IIPS. - The whole Mapping and Household Listing operation must be completed within two months after the state level Mapping and Household Listing training. - FA should ensure that Mapping and Household Listing operation is completed <i>one month</i> before the commencement of the main survey. - FA should provide one GPS instrument (given by IIPS) and one Mapping and Household Listing manual to each team. - FA should not carry out Mapping and Household Listing in more than 4-5 adjoining districts at a time. The list of these 4-5 districts will be sent by IIPS to FA on regular basis. The next set of 4-5 districts will be assigned only when FA finishes previously assigned 4-5 districts in all respects. - FA must send Mapping and Household Listing data to IIPS on a regular basis. The data of 4-5 districts must be sent within two weeks of completion of these districts. In case of delay, IIPS will impose some restriction on team movement and any delay in Mapping and Household Listing operation will be the responsibility of FA.
5	Main survey training & CAB training	- The FA should provide the training to their investigators for a minimum of <i>four weeks</i> (28 days), which includes the field practice. Minimum of <i>three weeks</i> training should be arranged separately for health investigators including field practice for

		<p>CAB component.</p> <ul style="list-style-type: none"> - The health investigators must join the first few days of the main survey training to understand the whole process of the data collection.
6	Main Survey field work	<ul style="list-style-type: none"> - After completion of a minimum of <i>four weeks</i> training, the FA should start field work immediately. Actual field survey has to be completed within a maximum period of <i>six months</i> from the date of commencement of the field work. The number of teams will be <i>25% more than the number of districts</i> assigned to the FA. FA should start household survey <i>simultaneously</i> only in 4-5 adjoining districts. In no case main survey will be allowed in more than 4-5 adjoining <i>districts at a time</i>. The list of these 4-5 districts will be provided by IIPS to FA on a regular basis. The next set of <i>4-5 districts will be assigned only when FA has finished</i> the work in previously assigned 4-5 districts completely. - FA has to send the data on a day- to- day basis to IIPS.
7	Submission of Progress Report	Each FA must submit a progress report fortnightly.
8	Factsheet generation	Each FA needs to print 500 copies of Factsheets for each district and distribute as per the list of address provided by IIPS. FAs must print and distribute the Factsheets within a month of finalising the indicators by IIPS.

5. PAYMENT SCHEDULE

The payment plan for Field Agencies in NFHS-4 is provided in the table below:

Instalment	Disbursement Modality	Verifiable indicator	% of the Amount to be released
1	<ol style="list-style-type: none"> 1. On submission of performance security of 5% of total contract value, signing of the Contract and furnishing Bank Guarantee from a nationalized bank and/or a bank recognized by the RBI equal to 20 % of the total cost of the work allotted. 2. On giving details of the addresses of the state office, name of the state nodal officer (team leader), telephone/fax numbers, communication details of the field supervisors, email ids. 	<p>On physical receipt of the Bank Guarantee at IIPS and verification.</p> <p>On physical receipt of the details from the head/team leader</p>	20%
2	At the time of the beginning of the survey	Letter from Head of the FA giving	25%

	<p>after raising required number of teams i.e. on:</p> <ol style="list-style-type: none"> a. Completion of training and b. Certification of FA by IIPS Project Officer and self- certification by Head of the Field Agency. 	<p>details of recruitment and completion of training of field staff etc. And Formation of required number of teams of trained interviewers and supervisors for household survey And Report of the project officer/project coordinator from IIPS And Completion of the financial requirements as per prescribed format provided by IIPS.</p>	
3	On the completion of 50 percent of PSUs and receipt of data at IIPS and a self certification by Head/MD of the Field Agency.	Letter from Head/MD of the FA giving details. And Report of the project officer/ coordinator from IIPS. And completion of the financial requirements of previous releases. And Statement/certificate of Salary and DA paid to household survey field investigators as per IIPS norms.	20%
4	On completion of 100% PSUs and receipt of data at IIPS and validation of data.	Same as above And Submission of postal/couriers receipts for sending DBS samples And Submission of 100% data accepted (quality) and approved by IIPS And Completion of the financial requirements of previous releases	20%
5	On printing and distribution of Factsheets.	Same as above And On printing and distribution of district Factsheets and receipt of required number of Factsheets by IIPS And Completion of the financial requirements of previous releases And On returning of all GPS instruments, CAPI and CAB items alongwith unused consumables provided by IIPS.	15%

	And Submission of original postal/courier bills of distribution of Factsheets	
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6. ELIGIBILITY CRITERIA FOR TECHNICAL EVALUATION

The eligibility criteria for the Field Agencies to qualify for the technical evaluation have been provided in the table below (*Conditions no. 2 and 3 are not applicable to Population Research Centres*):

Sl. No.	Pre-Qualification Criteria	Proof/Documents Required
1	I. Name and address of the Organisation, II. Year of establishment III. Whether Organisation is registered in INDIA under society Registration ACT, 1860 or is an autonomous body or a Limited company or a firm etc., and details there of (e.g., name(s) of partners, Managing Directors, Chief Executive Officers, key persons)	Copy of Certificate of Incorporation/ Registration / MoU as applicable
2	The Field Agency should have a valid PAN and Service Tax Registration in India.	Copy of PAN card and Service Tax Registration
3	The Field Agency should have a minimum annual turnover of Rs. 3 Crores (Rupees Three Crores) from survey related activities during the last three years (2010-11, 2011-12, 2012-13)	Copy of Audited Profit/Loss Statement and Balance sheet
4	The Field Agency should have at least <i>five years</i> working experience on Large-Scale Household Surveys (covering a minimum of 10,000 households) with at least one survey in demographic and health surveys.	Copy of the work order and certificate of completion
5	The Field Agency should have core staff members consisting of Statistician/Demographer, Social Scientist, and IT Consultant with requisite training and experience for the last five years and on the regular payroll of the Field Agency or other equivalent Agency or till the completion of the survey, whichever later.	FA must furnish a proof of contract on non-judicial stamp paper of Rs. 100/- with the core team who are on the regular payroll for a minimum period of 11 months or till the completion of the survey, whichever is later.
6	The Field Agency should not be blacklisted by Central/ State Government departments / Undertakings of Govt. of India.	No Conviction certificate duly signed (format given in Appendix C).
7	The FA should not have worked for any Tobacco Company in the last one decade.	An affidavit on non-judicial stamp paper of Rs. 100/-

7. GUIDELINE FOR SUBMITTING PROPOSAL

7.1. Technical Proposal

A Field Agency can bid for a maximum of 10 States/group of State/UTs. However, no FA will be selected for more than 4 States/group of State/UTs (no more than two State/group of State/UTs in any one phase of the field work). A Union Territory (UT) will be considered as the part of a state (in view of physical proximity and cultural affiliation). Annexure A1 provides the list of State/groups of State/UTs to be surveyed under the NFHS-4. FA is required to submit one comprehensive proposal consisting of a technical proposal and a cost proposal for each State/group of State/groups of State/UTs separately sealed in a separate envelope. Moreover, single page summary table should be attached with proposal consisting of columns showing

State/groups of State/UTs name (applied for in bid), local office address, number of employees working in local office, educational qualification of employees, work experience in surveys, etc.

A list of contents (sl. no. of item, item's name and page no.) should be attached at the beginning of each bid-document.

Items to be included in the proposal are as follow:

a. Organizational Profile

- i. Name and address of the Organization.
- ii. Year of establishment.
- iii. Legal status of the Organization – Whether Organization is registered under society Registration ACT in India or is an autonomous body or a Limited company or partnership firm, etc., and details thereof (e.g., name(s) of partners, Managing Directors, Chief Executive Officers, key persons)
- iv. Principal nature of activities undertaken.
- v. Organizational structure and names of personnel, their titles, and *curriculum vitae* including nature of appointment and duration with the organization of the key personnel proposed to be involved in the NFHS-4 project for each State/group of State/UTs, roles and responsibilities of the persons to be engaged for the NFHS-4 project, and where they propose to undertake the work. Please mention each key person's specific role and time allocation for undertaking activities in NFHS-4.
- vi. Details of manpower as prescribed above.
- vii. Communication details of the organization: mailing address, telephone and fax numbers, email address, etc.
- viii. Signed consent of the organization's head and the identified Project Coordinator (State/group of State/UTs Level) to sign MoU and agree to abide by the terms and conditions set out in the project for conducting NFHS-4 field work.

b. Survey Experience

- i. Area of specialization of Field research/survey as stated in pre-qualification criteria (enclose copy of the papers, letter of engagement, etc.)
- ii. The geographical coverage (State/UT) of surveys conducted by FA.
- iii. List of large-scale demographic and/or health and/or social sector surveys conducted by the Organization (including DLHS, NFHS, AHS, CES, CE-NRHM, etc.) with information on geographical area covered, number of officers and supervisors, investigators engaged and number of households covered in the last *five years* in each survey.
- iv. Names and addresses of sponsoring or funding agencies for whom the earlier surveys were conducted. (Indicate key person's name and contact details of sponsoring/ funding agencies). FA should specifically mention about the experience.
- v. Were the surveys completed in time? If not, reasons thereof.
- vi. The cost of each survey conducted should be submitted separately in a tabular form with documentary evidence.
- vii. Documentary evidence of experience of conducting at least one large-scale demographic and/or health surveys in the last five years.

c. Financial Status of the Organization (For the last 3 financial years)

- i. Total revenue and expenditures of the organization.
- ii. Latest copy of the certified Audited Annual Accounts in support of the Financial Status.
- iii. The agency having an annual turnover of minimum Rs. 3 Crores from survey activities can only bid for NFHS-4.
- iv. The PRCs being fully funded (grants-in-aid) by the MoHFW, Govt. of India, are exempted from turnover criteria in point (i) to (iii).

d. Income Tax Details (Applicable to all bidders except for the PRCs)

- i. Whether the Organization is exempted from Income Tax? If yes, please furnish the exemption certificate number and date up to which exempted. A copy of the exemption certificate is to be attached.
- ii. If not exempted, furnish PAN/TAN number, a copy of the latest Income Tax returns and assessment order.

For PRC

PRCs affiliated with universities/research institutions are required to submit a letter from VC/Director/Head of the institution allowing them to open a separate bank account for NFHS-4 funds. An authority letter stating that the fund could be handled by the Project Coordinator, duly nominated by the VC/Director/Head of the institution, is to be provided.

7.2. Financial Proposal

- a. The financial quotes should cover the entire cost of the household survey including CAB component, training of survey staff, travels & allowances, provision of vehicles for each team, all resource costs, printing and distribution of Factsheets, manuals, postage, courier, etc. The total cost converted into per household cost should be mentioned in the proposal.
- b. The total cost quoted should be inclusive of all taxes **including service tax**.
- c. The financial proposal will be evaluated only when a Field Agency has qualified the technical proposal (by securing 80% marks in Technical evaluation). A copy of evaluation sheet is enclosed for ready reference.
- d. IIPS reserves the right to consider the financial proposal while awarding the tender to FAs for NFHS-4.
- e. The sample size by State/group of State/UTs and coverage details (households/PSUs) are given in Annexures A1/A2.

7.3. Submission of Bids

The bidder shall submit in a sealed envelope five (5) copies of all the bid documents along with soft copy on a CD. All copies of the bids (Original and four Duplicates) must consist of the following:

- a. Eligibility criteria as per the criteria given in Para-6 of this document along with the requisite Earnest Money Deposit (EMD) of Rs. 1,00,000/- in a separate envelope for each State/group of State/UTs.
- b. Technical proposal, superscribing on the top right hand side of the cover envelope as Technical Bid and the State/groups of State/UTs for which the technical bid is being submitted.

- c. Financial proposal super scribing on the top right hand side of the cover as Financial Bid and the State/group of State/UTs for which the financial bid is being submitted.
- d. A processing fee of Rs. 10,000 by DD in favour of Director, IIPS payable at Mumbai should be submitted with Bid document for each State/group of State/UTs.
- e. The envelopes containing the Technical and Financial Proposals for a particular State/group of State/UTs are to be enclosed in another envelope, clearly super scribing the, original/duplicate copy, contents of the envelope, State/groups of State/UTs of the enclosed proposals.
- f. For each State/group of State/UTs, separate sealed envelopes containing detailed financial proposals covering different heads in the estimated budget (see annexure D) for the respective State/group of State/UTs need to be submitted.

All the pages of the Financial Proposal shall be duly signed by the authorized signatory of the bidder in ink before submission. Corrections, if any, shall be countersigned.

7.4. General Terms and Conditions

- a) The proposal, along with all the correspondence and documents exchanged by the Agency and IIPS, shall be written in the English language.
- b) **Amendments to the tender:** IIPS reserves rights to amend any of the tender conditions or a part thereof before the last date for the receipt of the tender, if necessary. Amendments, if any, would be placed on the Institute's web. The decision of extending the due date and time for the submission of tender documents on the account of amendments will be at the sole discretion of IIPS.
- c) IIPS reserves the right to cancel the RFP at any stage without citing any reason.
- d) **Earnest Money Deposit:** The bidders should furnish an Earnest Money Deposit (EMD) of Rs. 1,00,000/- for each of the State/group of State/UTs for which the FA is bidding by means of Demand Draft/Banker Cheque drawn on any Nationalized Bank / Scheduled Bank payable in favour of the “**Director IIPS**”. The Demand Draft/Banker Cheque for the earnest money shall be put in the envelope for the eligibility criteria as the Technical and Financial Bid would be opened only in respect of those bidders who qualify according to the prequalification criteria. The Tenders received without the Earnest Money Deposit will be summarily rejected. The Earnest Money Deposit will be refunded after the completion of the selection process as per the GFR 157. The amount remitted towards Earnest Money Deposit is liable to be forfeited in the case the bidder retracts its offer after submission of the tender or after the acceptance of the offer by IIPS or fails to sign the contract or to remit the Security Deposit. No interest will be payable by the IIPS on the Earnest Money Deposited/remitted.
- e) **Performance Security:** All the successful/selected bidders for different State/groups of State/UTs, barring Population Research Centres (PRCs), will have to deposit 5% of the contract value as performance security by means of Demand Draft/Banker Cheque drawn on any Nationalized Bank / Scheduled Bank payable in favour of the “**Director IIPS**” before signing of the contract.
- f) **Performance Bank Guarantee (PBG)**
All the successful/selected bidders for different State/groups of State/UTs, barring Population Research Centres (PRCs), will have to deposit 20% of the contract value as Performance Bank Guarantee before

release of the first instalment. The successful bidder shall at his own expense deposit with IIPS, within fifteen (15) working days of the date of notice of award of the contract or prior to signing of the contract whichever is earlier, an unconditional and irrevocable Performance Bank Guarantee (PBG) from a Nationalized/ Scheduled bank acceptable to IIPS, payable on demand, for the due performance and fulfilment of the contract by the bidder. This Performance Bank Guarantee (PBG) will be for an amount equivalent to 20% of the contract value which would be renewed every year. All incidental charges whatsoever, such as premium, commission, etc., with respect to the performance bank guarantee shall be borne by the bidder/Field Agency. The performance bank guarantee may be discharged/returned by IIPS upon being satisfied that there has been due performance of the obligations of the bidder under the contract. However, no interest shall be payable on the performance bank guarantee.

- g) No proposal shall be accepted unless it is properly sealed. The documents should be sent by speed post/registered post/courier or hand delivered. IIPS will not be responsible for any postal delay.
- h) If the envelope is found to be open, not sealed and not marked as instructed above, IIPS will not be responsible for misplacement or premature opening of the proposal submitted. Any proposal opened prematurely due to this cause shall be rejected.
- i) The bidder is advised to attach any additional information that is considered necessary to establish its capabilities. No further information will be entertained after submission of application unless it is required by IIPS. The IIPS, however, reserves the right to call for additional information and clarification on information submitted by the bidders.
- j) Proposals must be received by IIPS, at the address specified not later than the date and time specified in the Invitation of RFP. In case the specified date for the submission of proposal is a declared holiday at the IIPS, the same will be received on next working day with the same specified time. Proposals received after the due date and time specified will automatically be rejected.
- k) **Opening of tender:** Sealed tenders received up to **5:30 PM of 14th March 2014** will be taken up for opening. Tenders received after specified date and time will not be accepted. IIPS reserves the right to disqualify any of the tenders in case it is not satisfied with the documents furnished or otherwise, without assigning any reasons thereof. Any efforts by an agency to influence the IIPS personnel or representative on matters relating to proposals under study in the process of examination, clarification, evaluation and comparison of proposal and in decision concerning award of contract, shall result in the rejection of the Agency's proposal and also lead to blacklisting of the organization.
- l) Failing to execute the contract within the prescribed period may result in termination of the contract and award of the same to other agency/agencies at the risk and cost of the Agency.
- m) The person to sign the contract shall be duly authorised.
- n) The data, schedules, reports and other material used by the agencies during the implementation of the survey shall remain the property of the IIPS. The Agencies will not be allowed to use this information in any forum, national or international, without the explicit permission given in writing by the IIPS.
- o) The RFP shall not bind the IIPS in any way whatsoever to offer any job to the applicant if it is decided to abandon the study.

- p) **Arbitration:** Arbitration proceeding shall be conducted in accordance with procedure of the Arbitration and Conciliation Act 1996, of India.
The decision of the arbitrator shall be final and binding on both parties.
The place of Arbitration shall be **Mumbai**.
- q) The Field Agency should invariably mention their order of preference for the State/group of State/UTs they are bidding for. However, the final decision on allotment of a particular State/group of State/UTs to the selected Field Agency remains the sole prerogative of the Project Monitoring Committee (PMC).
- r) Continuance of the Core Team members for the entire project period is strongly desired in order to ensure effective execution of the project. However, to take care of unavoidable circumstances, the Field Agency should have appropriate clause in their contract to bind the outgoing member of the core team for at least one month to ensure proper handover, training and handholding to the newly appointed resource. This should invariably be done with the concurrence of the IIPS. In case of any attrition in the survey team, the agency would be required to ensure that the new staff is appropriately trained before putting them to the task. The training and handover is to be monitored by the team leader and the status of completion for the same is to be reported to the IIPS.
- s) Cost of travel and stay of the officials for attending pre-bid meeting/technical or financial bid opening will be borne by the bidder.
- t) Hard copy of the Prequalification, Technical and Financial proposals should be sent in separate envelopes placed in one large envelope marked as-

BID FOR NFHS-4,

and addressed to

The Director,

International Institute for Population Sciences,

POST BOX NO. 8307

Govandi Station Road, Deonar, Mumbai-400 088

Tel: 91+22+42372400

Fax: 91+22+2556 3257

The last date for submission of complete proposal with all supporting documents (by hand, by post or by courier) is March 14, 2014 up to 5.30 PM. Any proposal received after the prescribed time will not be entertained. IIPS will not be responsible for any loss or postal delay.

8. EVALUATION OF PROPOSALS FOR FIELD AGENCIES (FAs)

8.1. An evaluation committee consisting of IIPS, Development Partners and MoHFW would examine both the technical and financial bids based on the details provided in the Invitation for proposal for those agencies who are short listed as per the eligibility criteria for technical evaluation.

8.2. Selection of FAs

- a. FAs are required to score a minimum of 80 points out of 100 (80%) to be qualified in the technical proposal.
- b. FAs have to submit financial bid in separate sealed envelope. The evaluation committee reserves the right whether financial bid should be opened or not.
- c. For the final selection, Combined Quality Cum Cost Based Selection (CQCCBS) criteria will be adopted. The weightage for technical and financial proposal will be 75 and 25 percent respectively.
- d. Proportional distribution of the proposed cost will be evaluated (Annexure D) against the estimated proportion and marks will be assigned accordingly.
- e. The proposal will be valid for 90 days from the date of submission; IIPS will make its best effort to select the Field Agencies within this period.
- f. A clear detailed financial proposal carrying unit cost for each and every head item of the survey must be submitted. An ad-hoc figure for the cost of per household survey will be summarily rejected at the time of financial proposal opening.
- g. No FA will be awarded the work of NFHS-4 that exceeds double of their average turnover during of the last three years.

SAMPLE SHEET TO BE USED FOR EVALUATION BY TECHNICAL EVALUATION COMMITTEE (TEC)

A. Name of the field agency: _____

B. State/group of State/UTs applied for:

C. Members of evaluation committee:

1. _____ **Signature** _____
2. _____ **Signature** _____
3. _____ **Signature** _____
4. _____ **Signature** _____
5. _____ **Signature** _____

D. Total Marks: 100

E. Marks secured: _____

SL.N	ITEM	RESPONSES
PART A: Organizational Profile (18%)		
i.	Name and address of the Organization	Mentioned (Y/N)
ii.	Year of establishment	Mentioned (Y/N) (a) 5 years & more (b) Less than 5 years
iii.	Whether Organization is registered under Society Registration Act or is an autonomous body or a Limited company or partnership firm, etc	Mentioned (Y/N)
iv.	Infrastructure at Headquarter (6%)	
	a) Availability of telephone and internet	Availability of telephone (Y=0.5, N=0.0) Availability of internet (Y=0.5, N=0.0)
	b) Availability of computers and printer	Availability of Computers (1=0,2-4=1,5-8=2, 9+=3) Availability of Printer (Y=1, N=0)
	c) Photocopy machine/Copier/Scanner	Availability of Photocopy machine/ Copier (Y=0.5, N=0.0) Availability of Scanner (Y=0.5, N=0.0)
v.	Infrastructure in the state office (12%)	
	d) Functional office	(Y=2, N=0)
	e) Availability of telephone and internet	Availability of telephone (Y=0.5, N=0.0) Availability of internet (Y=0.5, N=0.0)
	f) Availability of computers and printer	Availability of Computers (1=0,2-4=1,5-8= 2, 9+= 3) Availability of Printer (Y=1, N=0)
	g) Photocopy machine/Copier/Scanner	Availability of Photocopy machine/ Copier (Y=0.5, N=0.0) Availability of Scanner (Y=0.5, N=0.0)
	h) Secure storage space for CAB equipment and supplies in the office	Availability of storage space for CAB equipment (atleast 10*10 square feet room) (Y= 4, N= 0)
PART B: Human Resources (32%)		

	Name of post	General Qualifications/experience/ language					
vi	Project Coordinator	1. Qualification (PhD=3, M.Phil.=2, Masters= 1, Graduation=0) 2. Language (Y=1,N=0) 3. Experiences in years (5= 4, 4= 3, 3= 2, 2= 1, 1= 0)					
vii	Statistician/Demographer	1. Qualification (PhD= 3, M.Phil= 2, Masters=1, Graduation=0) 2. Language (Y=1,N=0) 3. Experiences in years (5=4, 4= 3, 3=2, 2= 1, 1= 0)					
viii	IT Consultant	1. Qualification (M.Tech/MCA/M.Sc= 3, B.Tech/BCA/ Graduate= 2, Others=0) 2. Language (Y=1,N=0) 3. Experiences in years (5=4, 4= 3, 3=2, 2= 1, 1= 0)					
ix	Health Coordinator	1. Qualification(MD/MS/MBBS=3,BDS/BAMS/BHMS/BUMS= 2, Others=0) 2. Language (Y=1, N=0) 3. Experiences in years (5= 4, 4= 3, 3= 2, 2= 1, 1= 0)					
PART C: Survey Experience in last 5 years (Please furnish the latest 5 surveys) (25%)							
x	Experience in large scale demographic and health surveys in last 5 years	Survey conducted in the State for which bid submitted	Adoption of Mapping and Listing procedure	Timeliness of the survey			
				Duration of survey (Months)	Date of commencement of the Survey	Date of completion of the Survey	Whether completed in time.
	Name of the surveys, starting with the latest						
	1. Survy-1	(Y=1,N=0)	(Y=2,N=0)				(Y=1,N=0)
	2. Survey-2	(Y=1,N=0)	(Y=2,N=0)				(Y=1,N=0)
	3. Survey-3	(Y=1,N=0)	(Y=2,N=0)				(Y=1,N=0)
	4. Survey-4	(Y=1,N=0)	(Y=2,N=0)				(Y=1,N=0)
	5. Survey-5	(Y=1,N=0)	(Y=2,N=0)				(Y=1,N=0)
xi	Use of CAPI in any of the above surveys (Y=3, N=0)						
xii	CAB is a component in any of the above surveys (Y=2, N=0)						
PART D: Quality of Proposal (25%)							
xiii	Quality of Proposal	Highly systematic =2, Somewhat systematic=1, Not systematic=0					
xiv	Presentation of detailed operational plan within (20-25 minutes) covering various aspects like: <ul style="list-style-type: none"> Adequacy of suitable human resources Capacity building of man power Monitoring & Supervision Data management strategy Strategies to maintain timeliness in completion of the project Presentation & defense 	(0-20)					

xx	Mean of deviation in proportional distribution of cost with respect to base price	If mean of deviation: (>40% = 0, 20-40% =1, 10-20%= 2, <10%= 3)
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Evaluation Form *

Indicators	@Headquarters (6%)		@State office for NFHS-4 (12%)		
I. Organizational capacity (50%)	Name of City:		Name of State:		
a. Infrastructure (18%)	Number (if applicable)	Other information	Number (if applicable)	Other information	
<ul style="list-style-type: none"> • Functional office 			0-2%		
<ul style="list-style-type: none"> • Availability of telephone and internet 	0-1%		0-1%		
<ul style="list-style-type: none"> • Availability of computers and printer 	0-4%		0-4%		
<ul style="list-style-type: none"> • Photocopy machine/Copier/Scanner 	0-1%		0-1%		
<ul style="list-style-type: none"> • Secure storage space for CAB equipment and supplies in the office 			0-4%		
b. Human resources (4×8%= 32%)			Education (3%)	Language (1%)	Survey experience in the state (4%)
Full-time project coordinator (8%)					
<ul style="list-style-type: none"> • Whether can read, write and speak local language of state bidding for? 					
Full-time IT consultant (8%)					
<ul style="list-style-type: none"> • Whether can read, write and speak local language of state bidding for? 					
Full-time health coordinator (8%)					
<ul style="list-style-type: none"> • Whether can read, write and speak local language of the state bidding for? 					
Full-time statistician/demographer (8%)					
<ul style="list-style-type: none"> • Whether can read, write and speak local language of state bidding for? 					
Organizational Survey Experience					
II. Experience in large scale demographic and health surveys in last 5 years (25%)	Starting date of survey	Completion date of survey	Completed in time or not? (1%)	Mapping-Listing undertaken (2%)	Survey experience in the State (1%)
a. Number of surveys conducted (5×4%= 20%)					
Name of the surveys, starting with the latest-					
1.					
2.					
3.					
4.					
5.					
b. Experiences of using CAPI and					

CAB (5%)	
1. CAPI (0-3%)	
2. CAB (0-2%)	
III. Quality of NFHS-4 proposal (25%)	
i. Systematic arrangement of bid documents (3%)	
ii. Detailed presentation of operational plan by proposed team leader/ Manager/ In-charge of the respective organization. ** (20%)	
iii. Percentage share of the proposed cost on different items as given in Annexure D (2%)	

*The evaluation form must be submitted separately for each State/group of State/UTs if any FA bids for more than one State/group of State/UTs. However, the remaining information required in the technical bid is to be submitted only once irrespective of number of State/group of State/UTs an FA bids for.

** Only the presenter will address the questions or concerns raised by the members of the evaluation committee.

+ Documents submitted by FA will be verified before signing of the contract and if any information furnished in the bid document is found to be incorrect, the contract will not be signed and the EMD amount will not be refunded.

Annexure A1

State/group of State/UTs wise number of households and PSUs for district level estimates including HIV testing in different States/UTs of India and slum-non-slum estimates for eight cities.

State/group of State/UTs	District Module (total, including state module HHs and PSUs)		State Module to be canvassed in 15% HHs	
	No. of HHs	No. of PSUs	No. of HHs	No. of PSUs
1) ARUNACHAL PRADESH	14620	731	2310	231
2) ASSAM	23220	1161	3740	374
3) BIHAR	33540	1677	5370	537
4) CHHATTISGARH	18920	946	3000	300
5) JHARKHAND*	24940	1247	3910	391
6) MADHYA PRADESH-East	19780 ^s	989	3160	316
7) MADHYA PRADESH-West	28420	1421	4490	449
8) MANIPUR	11180	559	1730	173
9) MEGHALAYA	6880	344	1100	110
10) MIZORAM	11180	559	1710	171
11) NAGALAND	11180	559	1760	176
12) ODISHA	28380	1419	4520	452
13) RAJASTHAN	32680	1634	5150	515
14) SIKKIM	4300	215	890	89
15) TRIPURA	4300	215	880	88
16) UTTAR PRADESH-West	30600 ^s	1530	4750	475
17) UTTAR PRADESH-East	24080	1204	3820	382
18) UTTAR PRADESH-Bundelkhand+Central	18060 ^s	903	2880	288
19) UTTARAKHAND	14620	731	2300	230
20) WEST BENGAL and ANDAMAN & NICOBAR IS	14440 ^s 2280	722 114	2320 370	232 37
21) ANDHRA PRADESH	17480 ^s	874	2850	285
22) PUNJAB and CHANDIGARH	15200 760	760 38	2420 130	242 13
23) GUJARAT,DADRA & NAGAR HAVELI (DNH) and DAMAN & DIU (DD)	19760 760 1520	988 38 76	5180 180 400	518 18 40
24) GOA	1520	76	760	76
25) HARYANA	15960	798	2560	256
26) HIMACHAL PRADESH	9120	456	2600	260
27) JAMMU & KASHMIR	16720	836	4850	485
28) KARNATAKA	22800	1140	3640	364
29) KERALA *and LAKSHADEEP	10640 760	532 38	2290 160	229 16
30) MAHARASHTRA	26860	1343	4300	430
31) NCT OF DELHI	6840	342	1090	109
32) TAMIL NADU and PUDUCHERRY	24320 ^s 3040	1216 152	5170 640	517 64
INDIA	571660	28583	99380	9938

Note: States/UTs treated as a single state are West Bengal+Andaman & Nicobar Islands, Gujarat+DNH+DD, Punjab+Chandigarh, Tamil Nadu+Puducherry, Kerala+Lakshadweep. UP is divided into approximately three equal parts namely Eastern UP, Central UP & Bundelkhand and Western UP. MP is divided into approximately two equal parts namely Eastern MP and Western MP.

s- Samples inflated to include slum areas.

* The total sample size for each state Jharkhand and Kerala will be divided into two equal parts, that is, subsample-1 & subsample-2. The selected agency would raise two independent set of teams in each of the two states and these teams would carry out the fieldwork in either subsample 1 or 2 across the state.

Annexure A2

Grouping of the State/group of State/UTs in two Phases

The NFHS-4 survey would be conducted in two phases. The survey would be conducted for 17 State/group of State/UTs in the Phase I and 15 State/group of State/UTs in Phase II.

PHASE I					PHASE II				
State/group of State/UTs	District Module (total, including state module HHs and PSUs)		State Module to be canvassed in 15% HHs		State/group of State/UTs	District Module (total, including state module HHs and PSUs)		State Module to be canvassed in 15% HHs	
	No. of HHs	No. of PSUs	No. of HHs	No. of PSUs		No. of HHs	No. of PSUs	No. of HHs	No. of PSUs
1 Andhra Pradesh	17480	874	2850	285	1 Arunachal Pradesh	14620	731	2310	231
2 Assam	23220	1161	3740	374	2 Chhattisgarh	18920	946	3000	300
3 Bihar	33540	1677	5370	537	3 Gujarat & Dadra & Nagar Haveli (DNH)	19760	988	5180	518
4 Madhya Pradesh (Eastern)	19780	989	3160	316	4 Daman & Diu (DD)	760	38	180	18
5 Madhya Pradesh (Western)	28420	1421	4490	449	5 Goa	1520	76	400	40
6 Himachal Pradesh	9120	456	2600	260	6 Haryana	15960	798	2560	256
7 Jammu & Kashmir	16720	836	4850	485	7 Jharkhand	24940	1247	3910	391
8 Karnataka	22800	1140	3640	364	8 Mizoram	11180	559	1710	171
9 Kerala & Lakshadweep	10640	532	2290	229	9 Nagaland	11180	559	1760	176
10 Maharashtra	26860	1343	4300	430	10 NCT of Delhi	6840	342	1090	109
11 Manipur	11180	559	1730	173	11 Odisha	28380	1419	4520	452
12 Meghalaya	6880	344	1100	110	12 Punjab & Chandigarh	15200	760	2420	242
13 Sikkim	4300	215	890	89	13 Rajasthan	760	38	130	13
14 Tamil Nadu & Puducherry	24320	1216	5170	517	14 Uttar Pradesh (Western)	32680	1634	5150	515
15 Tripura	3040	152	640	64	15 Uttar Pradesh (Eastern)	30600	1530	4750	475
16 West Bengal & Andaman & Nicobar Island	4300	215	880	88	16 Uttar Pradesh (Bundelkhand+Central)	24080	1204	3820	382
17 Uttarakhand	14440	722	2320	232		18060	903	2880	288
	2280	114	370	37					
Total (Phase 1)	14620	731	2300	230					
	294700	14735	52850	5285	Total (Phase 2)	276960	13848	46530	4653

Uttar Pradesh is divided into approximately three equal parts namely Eastern Uttar Pradesh, Central Uttar Pradesh & Bundelkhand and Western Uttar Pradesh. Madhya Pradesh is divided into approximately two equal parts namely Eastern Madhya Pradesh and Western Madhya Pradesh.

Annexure B

Required sample size to estimate HIV prevalence at the national level as well as in 11 States/groups of State/UTs.

State/group of State/UTs	Total no. of HHs to be included in HIV testing	Total no. of HIV tests
ANDHRA PRADESH	2850	5985
BIHAR+JHARKHAND+WEST BENGAL +ANDAMAN & NICOBAR ISLANDS	11970	25137
GUJARAT+DADRA & NAGAR HAVELI+DAMAN & DIU	5760	12096
HIMACHAL PRADESH+JAMMU & KASHMIR	7450	15645
KARNATAKA	3640	7644
MAHARASHTRA+GOA	5060	10626
MIZORAM+MANIPUR+ NAGALAND	5200	10920
ODISHA+CHHATTISGARH	7520	15792
PUNJAB+HARYANA+NCT OF DELHI+CHANDIGARH	6200	13020
TAMIL NADU+KERALA+ PUDUCHERRY+ LAKSHADWEEP	8260	17346
UP+MP+UTTARAKHAND+ RAJASTHAN	26550	55755
ASSAM	3740	7854
ARUNACHAL PRADESH	2310	4851
TRIPURA	880	1848
MEGHALAYA	1100	2310
SIKKIM	890	1869
TOTAL	99380	208698

Annexure C

FORMAT OF NO-CONVICTION CERTIFICATE

[On the letterhead of the organisation]

No-Conviction Certificate

This is to certify that (Name of the organisation), having registered office at (Address of the registered office) has currently not been blacklisted or restricted to apply for any survey related activities by any Autonomous organization/Institution or Central/State Government Department or Court of law anywhere in the country.

Signature:

Name of the Authorised Signatory:

Designation:

Contact details (including E-mail):

Date:

Place:

Annexure D

Percentage share of the proposed cost to be spent on the following items:

Items/ Particulars	Percentage of the total proposed cost
Manpower	
Transportation	
Training	
Monitoring and Supervision	
Organisational cost	
Miscellaneous	
TOTAL	100%

Annexure E
SURVEY INSTRUMENTS (DRAFT)

APPENDIX F

A DRAFT CONTRACT BETWEEN

INTERNATIONAL INSTITUTE FOR POPULATION SCIENCES (IIPS) AND FIELD AGENCY (FA)

This contract made on 000 day of XXXXXX 2014 on behalf of Ministry of Health and Family Welfare (MoHFW), Government of India (GOI), New Delhi between the **International Institute for Population Sciences (IIPS), Govandi Station Road, Deonar, Mumbai-400 088** (hereinafter called IIPS) of the first part and XXXXXXXXXXXX Field Agency (hereinafter called FA) which expression shall, subject to the contract, include its successors in business and permitted assignees of the second part to conduct the **National Family Health Survey (NFHS)-4**

1. Purpose of Contract

Ministry of Health and Family Welfare, Government of India, (MoHFW, GOI) has appointed IIPS as a nodal implementing agency to conduct the National Family Health Survey (NFHS)-4 in 29 States and 6 Union Territories (UTs) and also provide estimates of most indicators at the district level for all 640 districts in the country as of the 2011 Census. MoHFW, GOI has appointed 3 committees i) Steering Committee, ii) Technical Advisory Committee and iii) Administrative and Financial Management Committee to oversee the implementation of the NFHS-4 project. Accordingly this contract is entered into for conducting survey work of NFHS-4 in the State/group of State/UTs consisting of _____. The expected number of sample households in the State/group of State/UTs to be covered for the individual interviews would be _____ households plus 10 percent of over sampling so as to take into account non-response. The Household Schedule includes a cover sheet to identify the household and a form on which all members of the household and visitors are listed. This form is used to record some information about each household member, such as name, sex, age, education, and survival of parents for children under age 18. The Household Schedule also collects information on housing characteristics such as type of water source, sanitation facilities, quality of flooring, and ownership of durable goods.

The Household Schedule permits the interviewer to identify women and men who are eligible to be interviewed with the relevant Individual Schedule. Women age 15-49 years and men age 15-54 years who are members of the household (those that usually live in the household) or visitors (those who do not usually live in the household but who stayed there the previous night) are eligible to be interviewed.

The Household Schedule also permits the interviewer to identify women, men, and children who are eligible for anthropometry measurement, anaemia testing, HIV testing, glucose testing, and blood pressure measurement. Women age 15-49, men age 15-54, and

children age 0-5 years will be weighed and measured (height or length) to assess their nutritional status. In the same population, women, men, and those children age 6 months to 5 years are eligible for testing for anaemia status. All women age 15-49 and men age 15-54 in a subsample of households will be eligible for glucose testing and measurement of blood pressure. A subsample of women age 15-49 and men age 15-54 will be eligible for HIV testing.

The Schedules and the sampling plan to be provided by the IIPS would have to be strictly adhered to.

2.Statement of Work

The FA shall carry out the proposed survey activities and other requirements outlined in the ATTACHMENT-A - STATEMENT OF WORK (SOW) to be done by FA UNDER THIS CONTRACT FOR THE IMPLEMENTATION OF NFHS-4 PROJECT (herein after called (SOW). Any ambiguity in the ATTACHMENT-A should be referred to IIPS for clarification. The decision of the IIPS will be final.

3. Period of Performance

The activities listed in the ATTACHEMENT-B (I) and B (II) will be completed by FA in the timeframe as specified in the Implementation Schedule given in Attachment B (I).

4. Contract Amount and Payment Procedure

- a. IIPS will pay an amount (including service tax) not exceeding of **Rs._____** for completing the activities listed in ATTACHMENT-A for the State/group of State/UTs of _____ for which total target sample size is _____households approximately @ _____per household. The disbursement will be made to _____ as per terms and conditions set out below in clauses 4 (b) and (c) of this contract. The target sample is the expected number of household interviews to be covered (comprising of household and eligible women and men survey, CAB component). The target sample size is based on an assumed level of non-response of household interviews and eligible women and men individual interviews.
- b. Payment will be made on the basis of the target sample. However, full or partial or forfeiting of payment shall be subject to satisfactory response rates of all schedules.
- c. The amount shall be payable in instalments for completed tasks as given in ATTACHMENT B (II).
- d. The FA shall submit invoices to IIPS in the Prescribed Form given in the ATTACHMENT C. IIPS will not release any payment to FA until all the previous voucher(s) has/have been approved in writing by IIPS. A detailed report on the progress of all stages of survey as specified in clause 17 should be submitted with each invoice for release of next instalment. IIPS will not release any payment to FA until IIPS is satisfied that the qualitative and quantitative aspect of activity/activities,

required for release of the payment, has been completed and that survey protocols, procedures, rules and regulations have been followed and that the quality of the work is acceptable. In this regard, instructions set out in the training manuals etc. should be strictly followed.

- e. If there is increase in number of districts the amount will be inflated on a prorate basis.
- f. Deduction of Tax deductions at source (TDS) as applicable

5. Termination of Contract

If IIPS at any stage, based on an objective examination and scrutiny set out through a due process considers, that the FA has failed to make progress in the implementation of the work schedule or is otherwise incapable of starting the project as per the timeline and completing the project work as stipulated or has failed to maintain the quality of work to the satisfaction of IIPS, then IIPS may revoke this contract wholly or partially and may take appropriate action against the FA including blacklisting the FA. In that event, total amount released till that time to FA should be returned to IIPS within a stipulated period of 15 days from the date of revoking of this contract and that FA will have no claim on the balance amount or for the work so far completed.

FORCE MAJEURE AND TERMINATION

6. Force Majeure

- 6.1. Where the performance by the FA of their obligations under this contract is delayed, hindered or prevented by an event or events beyond the reasonable control of the Field Agencies and against which an experienced field agencies could not reasonably have been expected to take precautions, the Field Agencies shall promptly notify IIPS in writing, specifying the nature of the force majeure event and stating the anticipated delay in the performance of this contract.
- 6.2. From the date of receipt of notice given in accordance with Clause 6.1, IIPS may, at its sole discretion, either suspend this Contract for up to a period of 6 months (“ the Suspension Period”) or terminate this Contract forthwith.
- 6.3. If by the end of the Suspension Period the parties have not agreed on a further period of suspension or re-instatement of the Contract, this Contract shall terminate automatically.
- 6.4. During the period of FA’s inability to perform the services as a result of an event of Force Majeure, IIPS shall during the subsistence of the Force Majeure event be liable to make payments to the FA under the terms of the contract for any/all services rendered by the FA and reimburse any/all such costs/expenses reasonably and necessarily incurred/spent by the FA. In addition, IIPS shall be liable to make such payments to the FA which may be incurred by the FA in reactivating the services after the end of the Force Majeure period. In case of suspension and termination of the

MOU the FA will be liable to refund the money already paid for which the FA has not provided the service or the work.

7. Suspension or Suspension or Termination without Default of the Field Agency

7.1. IIPS may, at its sole discretion, suspend or terminate this Contract at any time by so notifying the Field Agency and giving the reason(s) for such suspension or termination.

7.2. Where this Contract has been suspended or terminated pursuant to Clause 7.1, the Field Agency shall:

- a) take such steps as are necessary to terminate the provision of the Services, (including suspending or terminating any Sub-contracts) in a cost-effective, timely and orderly manner; and
- b) provide to IIPS, not more than 30 days after IIPS notifies the Field Agency of the suspension or termination of this Contract an account in writing, stating:
 - i. any costs, if any, due before the date of suspension or termination;
 - ii. any costs to be expended after the date of suspension or termination which the Field Agency necessarily incurred in the proper performance of this Contract and which it cannot reasonably be expected to avoid or recover.
 - iii. that all materials, instruments, documents, filled in Schedules, data retrieved have been properly submitted / transferred to IIPS

7.3 Subject to IIPS approval IIPS shall pay such amount to the Field Agency normally within 30 days after receipt from the Field Agency of an Invoice in respect of the amount due.

8. Termination with Default of the Field Agencies

8.1. IIPS may notify the Field Agency of the suspension or termination of this Contract where the services or any part of them are not provided to the satisfaction of IIPS giving the reasons for such dissatisfaction and, in the case of suspension, the action required by the Field Agency to remedy that dissatisfaction and the time within which it must be completed.

8.2. Where this Contract is suspended under Clause 8.1 and the Field Agency subsequently fails to remedy the dissatisfaction IIPS may terminate the Contract forthwith

8.3. IIPS may, without prejudice to its other rights, including but not limited to the right to claim for costs and losses incurred, terminate this Contract forthwith where:

- a. The Field Agency or any member of the Field Agency's personnel, either directly or through their servants or agents, breaches any of their obligations under this Contract; or
- b. The Field Agency or any member of the Field Agency's personnel has committed an offence under any of the prevailing laws applicable to the project; or
- c. The Field Agency is an individual or a partnership and at any time:
 - i. Becomes bankrupt; or

- ii. Is the subject of a receiving order or administration order ; or
- iii. Makes any composition or arrangement with or for the benefit of the Field Agency's creditors; or
- iv. Makes any conveyance or assignment for the benefit of the Field Agency's creditors ; or

d. The Field Agency is a company and:

- i. an order is made or a resolution is passed for the winding up of the Field Agency; or
- ii. a receiver or administrator is applied in respect of the whole or any part of the understanding of the Field Agency.

e. The Field Agency is a partnership or a company and there is a Change in Control. "Change in Control" means that the person(s) (including corporate bodies) directly or indirectly in Control of the Field Agency at the time this Contract is entered into cease to be in Control. "Control" means the power of a person to secure that the affairs of the Field Agency are conducted in accordance with the wishes of that person.

8.4 Where this Contract is terminated in accordance with this Clause. The Field Agency shall without prejudice to IIPS other remedies, take any steps necessary to terminate the provision of the Services in a timely and orderly manner but shall not be entitled to any further payment in relation to this Contract.

8.5 Where this Contract is terminated pursuant to Clause 8.3 the Field Agency shall pay IIPS within 10 days of notification such amount as IIPS shall have determined as the amount of any loss to IIPS resulting from such termination together with the amount or value of any gift, consideration or commission concerned.

9. Assignment

FA shall not unilaterally transfer or assign or sublet any part of this contract wholly or partially or otherwise the conduct of said proposal to any other person, firm or company or any other institution/organisation.

10. Amendments and Modifications

No revisions, modifications or change to this contract shall be binding upon IIPS until the same is acknowledged by IIPS and agreed to in writing.

11. Limitation of Liability

FA hold IIPS harmless from any liability claim for loss or damages of property or injury or death of persons or any cause of action of whatsoever nature that may arise out of FA performance of this contract.

12. Indemnity

Except where arising from the negligence of IIPS, the Field Agency shall indemnify IIPS in respect of any cost or damages however arising out of or related to breach of warranty or representation, contract or statutory duty, or tortious act or omissions by the FA or FA's personnel or any claims made against IIPS by third parties in respect thereof.

13. Consumables for CAB component

All the consumable items for CAB testing provided for the survey by IIPS to the FA should be strictly taken care for wastage/misuse. In case of shortage of consumable items due to wastage/misuse during the survey FA must locally purchase but, IIPS will not reimburse the amount in any form. The Health Coordinator of FA will remain in constant touch with IIPS Health Coordinator so that supply chain is not broken at any time during the survey. The FA must ensure that it has sufficient stock of consumables available so that the fieldwork is not hampered at any stage.

14. Equipments

The Mini laptops & accessories, GPS instruments and CAB equipments provided to the FA by IIPS for NFHS-4 (with signing of undertaking) should be returned to the IIPS in working condition after completion of the survey. The equipments provided under the CAB component including infantometer, glucometer, stadiometer, electronic weighing machine, Digital BP apparatus and HemoCue Photometer are also to be handed over to the IIPS. In case of loss/damage of any of the instruments FA may be liable to pay an amount as specified by IIPS.

15. Disputes and Arbitration

In event of any dispute arising with regard to interpretation of the articles/terms of this contract the matter shall be referred to sole arbitrator, who shall be appointed by the Ministry of Health & Family Welfare, Government of India, New Delhi. The decision of the Arbitrator on the points referred to him/her shall be binding on both the parties to this contract, subject to the provisions of the Arbitration and Conciliation Act of 1966. Nothing in this clause shall entitle FA / IIPS to refuse to perform its obligation under this contract merely because reference to the arbitrator has been requested or made or a sole arbitrator has been appointed.

16. Technical Direction

Performance of the work indicated in the ATTACHMENT-A shall be subject to the technical direction and approval by IIPS. All the technical directions consistent with ATTACHMENT-A shall not constitute a new assignment of work or change in the expressed terms, conditions or specifications incorporated in the contract and shall also not constitute a basis for increase in the agreed cost.

17. Submission of documents for payment

(A) On completion of milestone as per Attachment-B, the FA shall submit the request for release of instalment(s) as indicated in Attachment-C. Following documents shall be submitted concurrently with the invoices for payment (article 4(c)) to IIPS. Each report in minimum should include following area:

- a. Progress made to date on specific work to be completed (in quantifiable measure).
- b. Work in progress (in quantifiable measure).
- c. Work scheduled to be undertaken (in quantifiable measures).
- d. Activities that have been delayed.
- e. Certificate by Faculty Coordinator/Project Coordinator/SPO/PO for satisfactory completion of work

(B) Weekly reporting of progress of work during the contracted period, the FA will submit weekly progress report, as per the prescribed format, indicating (i) Work completed till the end of that week and (ii) Proposed to be taken during the coming week. The field work details should indicate place, date and name of supervisor etc. to facilitate independent field supervision.

(C) Following documents shall be submitted concurrently with the invoices for payment to IIPS.

- i. PAN No. (copy of the certificate—one time)
- ii. Service Tax No. (copy of the certificate—one time)
- iii. Name of the recipient (beneficiary) for the Electronic money transfer (one time)
 - Name of the beneficiary _____
 - Bank's Name & Branch Address _____
 - IFSC Code of the Bank _____
 - Account Nature & No. of the beneficiary _____
- iv. Duly filled and signed Request for Fund Form (specimen in Attachment C) on Letterhead for each instalment along with progress report.

18. Inspection of Performance

MoHFW, GOI and IIPS or its designated officials of NFHS-4 project have the right to inspect or test all the services called for by this contract to the extent practicable at all places and times during the term of contract. Any infringement of the right of IIPS to inspect or test the contracted services would constitute a breach of this contract and the contract could be revoked wholly or partially by the IIPS. Except as otherwise agreed in writing, all reports and data tapes/compact disk or anything that pertains to collection of data under this project produced under this Contract shall be subject to inspection and acceptance by IIPS, notwithstanding any previous inspection or preliminary acceptance.

19. Data Security and Protection

- a) The FA is required to maintain confidentiality including, unauthorized disclosure and use of the data collected. Any violation of the data security protocol will be subject to penalization and disqualification
- b) The FA will ensure strict compliance of all the data protection and security provisions during data collection, storage, transmission and analysis, to be put in place by IIPS.
- c) Requisite and secure data backup mechanisms are built in by FA at each stage of data transfer as prescribed by IIPS.
- d) FA will keep the data in safe and secured place till IIPS informs FA to delete/destroy data files/filled Schedules. FA should ensure that no other person/agency has access to the data collected in NFHS-4 survey. Any violation may attract suspension / termination of contract.

20. Corruption, Commissions, Discounts and Fraud

20.1 FA warrants and represents to IIPS that neither the FA nor any of the FA's personal:

- i. shall try to bribe for their own benefit in connection with this contract
- ii. shall attempt or commit any fraud, deception, Financial or procedural wrongdoing in relation to the performance by the FA of its obligations under the contract and shall immediately notify IIPS of any circumstances giving rise to a suspicion that such wrongful activity may occur or has occurred

21. Conflict of Interest

21.1 Neither the FA nor any other FA's personal shall engage in any personal, business or professional activity which conflicts or could conflict with any of their obligations in relation to this contract.

21.2 The FA and FA personal shall notify IIPS immediately of any actual or potential conflict together with recommendation as to how the conflict can be avoided.

22 Other clauses

- i. **Personnel:** The FA must adhere to and ensure the requisite qualification and experience of the personnel involved in NFHS-4 including the field staff,

- supervisors, IT Consultant, Statistician/Demographer, Health Coordinator and Project Coordinator as specified in clause 3.1 of the Request for Proposal (RFP).
- ii. **Number of Teams:** The FA must ensure that the requisite number of trained teams as specified in the clause 5 (Sr. No. 5) of IFP are put in place to ensure completion of fieldwork in specified timeframe
 - iii. The FA must ensure that requisite facilities as specified in the clause 3.4 of the IFP are provided to the Field Teams.
 - iv. **Timelines and Penalty:** The FA must ensure the completion of various activities as per the specified timeframe given in Attachment B (I). If FA fails to complete the work as per timeframe, the FA will be liable to penalty as per the clause (ii) of Notes in Attachment B (II).
 - v. Field Agency that is part of a university, institute or government agency will be required to provide a letter (prior to signing the contract) from the parent organisation certifying that the FA will be allowed to set up a separate bank account for NFHS-4 project, controlled directly by the identified Project Coordinator /Team leader and that the identified Project Coordinator/Team leader will be allowed to follow special project arrangements for travel rules, amount of TA/DA, hiring project staff and other survey procedures. In case of a Joint Account, University / Institute should issue a certificate of authorisation to the Coordinator of NFHS-4 project to operate the account for smooth functioning of the field operations. The University/ Institute shall provide adequate and reasonable logistic support including reasonable accommodation for the NFHS-4 project field staff to be arranged by FA, to ensure smooth operation and high data quality. It would be ensured that technical key project staff, as indicated in the technical bid document would remain engaged in the project till the project comes to an end, as per the agreed contract.
 - vi. This contract shall be enforceable within the jurisdiction of Mumbai Courts only.
 - vii. This contract shall come into effect on the date of signing of this contract by IIPS and FA.
 - viii. Both the parties have considered and read the different clauses of this contract including all the enclosures and thereafter agreed to sign this contract.

Signed for and on behalf of the **X Field Agency**

Signed for and on behalf of **IIPS
Director**

Population Sciences

International Institute for

Govandi Station Road, Deonar,
Mumbai-400 088.

Witness (1) _____

Witness (3) _____

Witness (2) _____

Witness (4) _____

ATTACHMENT-A

STATEMENT OF WORK (SOW)/SPECIFIC TASK TO BE CARRIED OUT AND LIST OF ACTIVITIES FOR WHICH FIELD AGENCY (FA) WILL BE RESPONSIBLE IN THE ASSIGNED STATE/GROUP OF STATE/UTs

1. **Field Agency** will conduct the NFHS-4 survey of approximately **0000** target household interviews in the XXXXX state/group of State/UTs. The FA selected for NFHS-4 project will be working under the guidance and supervision of IIPS, a national nodal agency appointed by Ministry of Health and Family Welfare, Government of India for NFHS-4 project. The scope of the work and the specific roles and responsibilities assigned for FA are as follows:

A. The involvement of FA will start from the time of signing the contract with IIPS and continue even after the completion of field work till electronic data files approved by IIPS, are transferred to IIPS, generating of factsheet, printing & distribution, and returning all the mini laptops along with accessories, GPS instruments and CAB materials.

B. The principal responsibility of the FA is to carry out survey fieldwork in the assigned State/group of State/UTs. The sample size in the State/group of State/UTs is determined by considering the population parameters of the state within the geographical region. The sample will be spread over rural and urban areas of the State/group of State/UTs. The Primary Sampling Units (PSUs) that are villages in rural areas and Census Enumeration Blocks (CEBs) in urban areas will be spread in all parts of the State/group of State/UTs. From each PSU 20 households plus 10 percent oversampling will be surveyed.

C. Schedule: There will be following type of Schedule:

Sr. No.	Type of schedule	Contents of the schedule
1	Household	Information on: <ul style="list-style-type: none">○ All members of the household○ Household characteristics<ul style="list-style-type: none">▪ Water and sanitation▪ Ownership of assets▪ Cooking fuel▪ Mosquito net ownership and use▪ Hand washing facilities○ Socio-economic characteristics○ Salt iodization○ CAB (All members of the household eligible for blood tests/measurements).

2	Woman's (15 – 49 Yrs)	<ul style="list-style-type: none"> ○ Background characteristics of women ○ Media exposure ○ Fertility and fertility preferences ○ Infant and child mortality ○ Family planning knowledge and use ○ Information on reproductive outcomes in Calendar ○ Maternal/reproductive health <ul style="list-style-type: none"> ▪ Antenatal care ▪ Delivery care ▪ Postnatal care ○ Nutrition <ul style="list-style-type: none"> ▪ Infant and young child feeding practices ▪ Micronutrient intake ○ ICDS programme coverage ○ Beneficiaries of other national GOI programmes, such as JSY and JSSK ○ Child health <ul style="list-style-type: none"> ▪ Immunizations ▪ Prevalence of diarrhoea, fever, ARI and their treatment seeking behaviour for them. ○ Marriage and sexual activity ○ Gender issues, including domestic violence ○ HIV/AIDS knowledge, stigma and discrimination, previous HIV testing ○ Tuberculosis ○ Adult health <ul style="list-style-type: none"> ▪ Non-communicable diseases ▪ Medical injections ▪ Smoking/drinking ▪ Health insurance coverage
3	Man's (15-54 Yrs)	<ul style="list-style-type: none"> ○ Background characteristics of men ○ Fertility and fertility preferences ○ Infant and child mortality ○ Family planning knowledge and use ○ Reproductive health ○ Marriage and sexual activity ○ Gender issues, including domestic violence ○ HIV/AIDS knowledge, stigma and discrimination, previous HIV testing ○ Tuberculosis ○ Adult health <ul style="list-style-type: none"> ▪ Non-communicable diseases ▪ Medical injections ▪ Smoking/drinking ▪ Health insurance coverage

The FA must translate all Schedules into the appropriate local language(s) according to survey procedure. After signing the contract, soft copy of bilingual Schedules should be provided to IIPS for approval, and uploading to the software in the prescribed time.

D. Staff Pattern

- a. FA should engage a survey Administrative Coordinator/Project Coordinator for the entire survey period with adequate knowledge of FA's rules and regulations and having authority to take decisions related to administrative and logistic matters.
- b. FA should engage one Health Coordinator with experience of bio-marker in health survey for overall coordinating of CAB component.
- c. FA should engage one IT Coordinator for overall data management and transfer activities from field to IIPS FTP site.
- d. FA should also engage one Demographer/Statistician as a consultant with survey experience.

Field Staff

- i. Field Agency will engage one senior person experienced in survey activities who will be trained by IIPS in the Training of Trainers (TOT) workshop and one senior person as overall in-charge for mapping and house listing operations.
- ii. Field Team: Based on the State/group of State/UTs sample size and work load on CAB component IIPS has estimated the duration of field work for six months after completion of state level of training and one team each district. Each field team will comprise of one supervisor, three female investigators, one male investigator, two health investigators for CAB component. FA must recruit and train extra personnel, keeping in mind possible dropouts, to ensure engagement and presence of the required number of teams throughout the fieldwork period. This needs to be ensured so that there are sufficient number of field staff to conduct survey after accounting for attrition and the dismissal of personnel who are found to not perform as per requirement.
- iii. All field level staffs engaged for NFHS-4 field work should belong to same State and speak local language.
- iv. All field level investigators and supervisor engaged for the field work should have at least graduate degree from a recognized university with working knowledge of computer.

The minimum qualification for health investigator in CAB should be Graduate in Medical lab technology/B Pharma/ BUMS/BHMS/ BAMS/ Degree in Nursing or Diploma in Medical lab technology. Experience in NFHS-3, DLHS-4, may be preferred at the time of selection.

E. Training

- i. To attend Training of Trainers (TOT) organized by IIPS: All FAs are required to attend TOTs organized by IIPS so that they can organize and conduct such

trainings for field staff in the respective State/group of State/UTs. The scheduled Training of Trainers are: 1. Mapping and Household Listing Training, 2. Main survey Training including CAPI and CAB component.

- a) **TOT for Mapping and Household Listing:** FA should send two mid-level persons for mapping and house listing TOT for each State/group of State/UTs for 4 day training at IIPS. The same persons will be responsible for training of the mapping and house listing teams for the State/group of State/UTs assigned to FA and will coordinate and supervise the mapping and house listing operation in the State/group of State/UTs.
 - b) **TOT for main survey:** Field Agency must send four senior staff members including IT coordinator and Health Coordinator for each State/group of State/UTs for TOT for main survey of about three weeks to be organized by IIPS. The IT coordinator for each State/group of State/UTs will be given additional training exclusively on the operational uses of the CAPI, data transfer, and management. The same IT person will be responsible to train staff, to use CAPI/mini laptop, data transfer and management for the State/group of State/UTs assigned. The Health coordinator of each FA will also be given additional training during the TOT for main survey so that he/she can undertake the responsibility of HI training during the state level training programme.
- ii. Cost of travel and stay of the trainees from FA will be borne by IIPS for above TOTs. These same staff members will be responsible to conduct the training of interviewers, field supervisors and health investigators for the State/group of State/UTs assigned to that FA. The field agency must ensure that the trained staff will stay for the entire duration of the survey and will be overall in-charge of training, data collection and supervision throughout the period of data collection.
 - iii. **Training by FA**
 1. FA will organize following training programmes.
 - a) State level training for mappers and household listers for one week including field practice both in rural and urban areas.
 - b) State level training for field investigators including supervisors, field investigators, and health investigators for CAB component: Interviewer training, apart from that for CAB component, in each State/group of State/UTs *shall be around 4 weeks including one week field practice. Each interviewer must complete at least ten field practice interviews, five in the*

rural and five in urban areas during the field practice before going for main survey fieldwork. For CAB component, exclusive training will be for at least three weeks. The details of CAB training are as given in Section F (ii).

2. FA will print sufficient number of schedules, manuals for training and field practice. Each trainee must be provided an Interviewer's Manual and each supervisor must additionally receive a Supervisor's Manual. The field investigator must be provided with CAPI manual and the health investigator must be provided with CAB manual. Separate Manuals will be given to houselisters and mappers.
3. The FA must train extra field personnel to ensure that there are sufficient number of field staff to conduct the fieldwork, after accounting for attrition and the dismissal of personnel who are not found to meet the minimum requirement.
4. Only those who successfully complete the TOT conducted by IIPS must train the field investigators and other field staff for NFHS-4 in each State/group of State/UTs.
5. FA's training activities will be monitored by IIPS/MoHFW/ICF/Development Partners. If any lacuna is observed in the training programme, knowledge imparted and quality of training and trainees, FA on the advice of the IIPS will reorganize the trainings and ensure that the gaps observed are bridged.

F. CAB Component

The Field Agency(s) would, inter-alia, be responsible for undertaking the CAB tests, canvassing of CAB schedules, undertaking prescribed internal and external quality checks regularly to ensure adherence to protocol and quality of data, handing over the sample, and transportation of samples to the designated laboratory within the stipulated time. CAB tests and in NFHS-4 aim to produce district / regional level estimates for nutritional status and prevalence of certain life style disorders among all members of households through measuring

- a) Weight and length measurement for children under six months of age
- b) Weight and height/length measurement for children 6-59 months, women 15-49 yrs of age and men 15-54 years of age
- c) Anaemia testing for children 5-59 months of age, women 15-49 years and men 15-54 years of age
- d) Blood Pressure measurement for women 15-49 years and men 15-54 years of age
- e) Random Blood Sugar Test for women 15-49 years and men 15-54 years of age
- f) Dried Blood Spots (DBS) preparation from women 15-49 years and men 15-54 years of age (households with man's interview)

G. Team Composition

The CAB tests will be carried out by two health Investigators in each of the field survey teams. Prior to commencement of work, adequate training shall be provided to the Health Investigators of the field survey team. Health Coordinator of FA shall also be fully involved. Health Coordinator of the FA will be responsible for training and supervision of CAB component and will coordinate the activities with IIPS.

i) Training

Training for the field staff for CAB component (HI) will be organized jointly with other investigators (social scientists). However, after the first one week of joint training HIs will be trained separately. On completion of the training of Health Investigators IIPS (Health Coordinators) will certify those Health Investigators/Supervisors who have successfully completed the training and has acquired the adequate skills to conduct the CAB tests for the survey. In case a Health Investigator/Supervisor is not able to successfully complete the training even after additional training, IIPS will communicate the same to the respective Field Agency for not to engage him/her for field work and replace with other staff after proper training. In order to take care of additional training requirements arising during the course of the survey due to attrition of field survey staff or otherwise, FAs (Health Coordinators) would impart training to the new recruits or refresher training on any other account.

ii) Supplies and Equipments

- a) The requisite CAB equipments and consumables will be centrally procured through IIPS. All equipments will be made available to the Field Agency through IIPS.
- b) The consumables will be delivered directly to the respective Offices of FAs.

iii) Informed consent

After introducing yourself, team must seek the respondent's consent for participation in the survey. Read the informed consent statement exactly as it is written. This statement explains the purpose of the survey. It assures the respondent his or her participation in the survey is completely voluntary and that he or she can refuse to answer any questions or stop the interview at any point. Before undertaking the CAB tests in any household, FA will be responsible for communicating to each member of the household the details given in the "Survey Information Sheet" clearly stating the purpose, risk and other implications for the participants. Further, the field survey team of the Field agency will explain the details of the consent forms to each member and take their prior consent before the tests. One of the most important tasks that must be done before collecting any biomarkers is for you to explain the purpose of the testing to eligible respondents, or in the case of children, to the parent

or adult responsible for the child and, to obtain their consent before collecting any blood samples. In order to ensure that these individuals can make an “informed” decision about whether or not they want to be tested, the NFHS-4 Biomarker Schedule contains consent statements for each biomarker to be measured that must be read to the respondent-- if an adult, or in the case of a child, to the parent or adult responsible for the child, before you do the biomarker testing. For height/length and weight measurements among children or adults, you need to explain the procedures and ask for a verbal permission from the respondent or responsible adult to take the anthropometric measurements. You must read the informed consent statements to each eligible respondent age 18 and over and obtain the respondent’s consent before you can begin any testing or measurement. The approach for obtaining consent differs slightly when the eligible individual is a child under age 6 or an adolescent age 15-17. If the respondent is a child or adolescent, you must first obtain the consent of one of the respondent’s parents, or in the absence of a parent, the consent of an adult who is at least 18 years of age and is responsible for the care of the child. For adolescents, you must also directly seek their assent. If the parent/responsible adult or the adolescent does not consent to the test, the test must not be performed. There are two exceptions to this rule of obtaining consent from a parent or responsible adult to test adolescents who are 15-17 years old: 1) if the adolescent is married or 2) if the adolescent lives alone or in a household in which there are no adults. In either instance, the adolescent is considered an emancipated minor, and is to be treated like an adult. Under these conditions, consent of the adolescent is sufficient.

Prior to performing the blood pressure measurement, haemoglobin test, the test for random blood glucose, or collecting blood samples for dried blood spot (DBS) preparation, you must record the outcome of the consent request in the applicable sections of the Biomarker Schedule. This is discussed in more detail within the upcoming chapters. You must also sign your name to indicate that you read the consent statement to the respondent, or in the case of children, to the parent/responsible adult and have recorded their response accurately. Signing your name does not indicate that the respondent consented to be tested! If the household member is of age less than 6 years, the consent needs to be taken from either of the parent /guardian. However, if the member is of age 15 years or above but below the age of 18 years then the assent needs to be taken from that household member as well as consent from his/her parent/guardian. In case the household member is of age 18 years or above, then the consent needs to be taken from that member only. The Survey Information Sheet and consent form will be made available to the Field Agency(s) by IIPS.

iv) Collection of Blood samples

CAB tests in NFHS-4 aim to produce district level estimates for nutritional status and estimates of certain health indicators among eligible members of households CAB testing:

- a. Anaemia level: Children aged 6-59 months, women aged 15-49 and men aged 15-54.
- b. Height: Children aged 0-59 months, women aged 15-49, and men aged 15-54.
- c. Weight: Children aged 0-59 months, women aged 15-49 and men aged 15-54.
- d. Blood Pressure: Women aged 15-49 and men aged 15-54.
- e. Blood Glucose: Women aged 15-49 and men aged 15-54.
- f. Testing of cooking salt used daily by households for iodine component.

HIV Testing: Only selected respondents of man and woman in a subsample of households (only in 50% of the households in 30% of the PSUs, i.e. in 15% of HHs).

v) Transportation of DBS to designated testing centers for HIV testing

All CAB tests other than HIV shall yield 'on-the-spot' results and they should be recorded immediately in Biomarker Schedule. As regards test for HIV estimation, the Field Agency(s) needs to ensure that the samples of dried blood spot (DBS) are collected on filter paper, dried, put in a self-sealing bag, properly labeled and delivered to the earmarked lab(s) of designated laboratory in good condition (dried and sealed), in order to yield accurate results. These samples should reach the lab within one week from the date of collection. Any sample reaching beyond one week from the date of collection shall be rejected straight away. Arrangement of additional manpower and logistics for safely transferring of the DBS from the field to the designated laboratory is the responsibility of FA. The FA needs to follow up with the concerned lab for ensuring timely receipt of the test results. One person from each FA will be specifically designated with the responsibility of sending the Dried Blood Spot Samples (DBS) from the survey district to designated laboratory, while team supervisors will be responsible for supplying it to district level. All these procedures will use barcodes in triplicate and transmittal sheets should accompany the DBS and a copy of the same should be supplied to nodal agency by field agency.

vi) Quality Assurance

At any stage during the conduct of survey if it is found that the originally trained team or any member thereof has been replaced by someone without proper training through IIPS, then the CAB tests performed as well as the data collected by such

persons who are not trained through the IIPS would summarily be rejected and the field agency will have to re-do the work.

vii) Health Card/Brochure

Regarding the issue of respondent's participation and mechanism to ensure the same, every respondent will be given a Health Card by the FA containing the details of his/her actual measurements done and the result of household salt testing. The blank printed Health Cards will be provided by the IIPS to the FA. The back of the card will have generic instructions and wherever needed suggestions to contact ANM and visit nearest PHC.

viii) Waste Disposal

Each team supervisor should be responsible for ensuring safe disposal of biomedical wastes. This should be done scientifically and environment-friendly manner in the PSU itself or in a nearby health institution with proper arrangements for the safe disposal of biohazardous waste. Materials (bleaching powder, trowel, 5 litre wide mouth plastic jar, tongs, kerosene and match box) needed for disposal of biohazardous waste will be purchased by FA.

H. Field work/Data collection

For all the fieldwork days FAs will hire one vehicle per team, with capacity of at least 7 persons (excluding driver) and all survey materials.

i) Mapping and Listing

The purpose of mapping and listing operation in NFHS-4 is to prepare a mapping of each PSU depicting all lanes or paths, landmarks, dwelling and non-dwelling structures and identification boundaries with accuracy in the right perspective and to carry out listing of structures with systematic numbering, identifying whether a structure is residential or not and also mentioning the name of the head of each household. The listing of all households in each first stage unit will provide the sampling frame for selecting households at the second stage. The household listing would provide up-to-date location and layout sketch maps of each selected PSU, and number to each structure and households within the structure. Each household listing team will have one Lister and one Mapper. One mapping and listing team should visit at least two days in a PSU. Number of days for mapping and listing in a State/group of State/UTs depend upon the number of teams in each State/group of State/UTs. As per the survey protocol, mapping and listing operation should be completed one month prior to the start of main survey. FA will be responsible for the household listing in all the sampled villages/ /UFS and the selection of the required number of households from listed households as per procedure given by IIPS. Mapping and Household listing operations will be carried out with paper and

pencil and FA has to prepare an Excel spreadsheet containing only list of residential households.

ii) Household Survey

NFHS-4 will use Computer Assisted Personal Interviewing (CAPI) for data collection for the Household, Woman's and Man's Schedules. The mini laptop/CAPI will be provided to the field agencies with uploaded electronic version of the Schedules. Minimum of three days visit in a PSU is essential for PSU selected for District Module and five days visit in a PSU for PSU selected for State Module. IIPS will provide mini laptop in sufficient number to FAs. FAs are required to take care of these machines, as per IIPS instructions. FAs should inform any problem with mini laptop to IIPS and all the mini laptops including all the accessories should be returned to IIPS immediately after completion of the survey. This will save a lot of time usually taken for transferring the filled Schedules from field to office, data editing, data entry, etc.

I. Establishment of State Level Field Office of Field Agency

Field Agency(s) appointed for each State/group of State/UTs is expected to establish a regular functional office with appropriate seating space for all core team members for that State/group of State/UTs with proper electricity, IT infrastructure, etc. The Office will have to be equipped with all the basic modern communication facilities such as internet, fax, telephone (land line) & mobile phone for each field staff. The office should also compulsorily have a safe storage space to ensure that the consumables of CAB delivered to the office of the Field Agency(s) are stored in good condition. This office should be functional during the entire duration of the Survey and should also have mechanism to address to the unforeseen events reported by the field staff arising during the course of the survey, especially with regard to the CAB component and take immediate remedial measures under intimation to IIPS.

J. Data management & Transfer

a. FAs must purchase one GSM modem (dongle) per survey team. FAs will also be responsible for payment of internet charges for transferring data files from the supervisor's CAPI to IIPS and FA on a daily basis.

b. A set of progress tables will be produced by IIPS for each State/group of State/UTs every week starting after ten days of data collection has begun and these tables will be sent to FAs electronically as soon as they are produced.

c. After validation and checking the data, feedback will be given to concerned Field Agency and Project Monitoring Officer based in that State/group of State/UTs. Data security protocols prescribed by IIPS shall be strictly followed by the FA and its staff.

K. Factsheet generation

The Factsheet (500 copies) containing selected indicators for all districts for each of the State/group of States/UTs covered by the field agency will be printed and distributed by the field agency. However, the Factsheet will be generated centrally at IIPS. National and state level reports will be prepared by IIPS.

L. Other Roles and Responsibilities of Field Agencies

- a. FA should photocopy/print all the instruction manuals supplied by IIPS in sufficient numbers so that each project person gets one copy of the manual relevant to his/her job.
- b. IIPS will supply the list of selected villages and urban wards. FAs are supposed to obtain the maps of CEB blocks selected in the sample from Census Offices as per IIPS's instruction. FA will obtain the maps of selected CEBs from Census offices. FA will also be responsible for any official payment to obtain map(s) of selected CEB.
- c. FA will plan field work including mapping and listing, well in advance (at least 15 days) and inform the field work schedule to IIPS and the concerned Project Officer / Monitoring Officer.
- d. FA is required to send all details of households listed, in an Excel spreadsheet to IIPS to select the sampled household for the main survey and uploading in CAPI.
- e. FA will ensure minimum non-response for interviews, quality of data collection to the satisfaction of monitoring team from IIPS, MoHFW and timely completion of survey work.
- f. Not more than 4 to 5 individual interviews in a single day will be conducted by any field investigator.
- g. At least three visits to the assigned household or respondent will be made (at different times and not all on the same day) before household or respondent is treated as non-available. No substitution of the household or respondent will be allowed.
- h. Only in an extreme situation such as terrorist activities, natural disasters etc. will substitution of PSU be allowed **only with prior approval of IIPS**. In such cases IIPS will give substitute PSU.
- i. FA is required to ensure that each interview is done only after the informed consent of the respective respondent is obtained, including for the CAB component.
- j. FA will make sure that investigators keep all the information collected from each and every respondent strictly confidential.
- k. FAs are required to extend necessary cooperation to the monitoring personnel from IIPS, MoHFW, and its designated officials. FAs are required to verify the complete sample coverage before leaving the PSU.

- l. FAs are strictly barred from extending any undue favours to any Faculty Coordinator/Project Coordinators/Project Officers from IIPS and ICF.
- m. During the main survey training, agency should take the opportunity to invite some of the local print and electronic media so that the news reaches to the people about the NFHS-4 survey.
- n. The FA will be responsible to ensure that district health system will be sensitized with regard to the CAB component so that if the participants in the survey develop any problem and seek health care they will be provided with needed services.
- o. The IIPS/MoHFW will be providing instructions/suggestions from time to time. This needs to be followed by FAs for the smooth conduct of the survey.
- p. After completion of data collection, each field agency has to send all the mapping & listing materials (Household listing forms, location & sketch maps of the PSUs/village) to IIPS.

Attachment B (I)
Implementation Schedule

Sr. No.	Deliverable/ Activities	Time line
1	Recruitment of Mapping and Listing Staff	Before completion of Mapping & Listing TOT to be organized by IIPS
2	Training for Mapping & Listing	To be initiated within 1 week of completion of Mapping & Listing TOT by IIPS. Training to be of 1 week including field practice both in rural & urban area.
3	Mapping & listing operation	It should be started immediately after the mapping and household listing training and should be completed before 1 month of commencing of the actual field work.
4	Survey materials for training	All the Schedules with bilingual as well as the Manuals for reference must be printed in sufficient quantity before starting the training of main survey (at least 1 month before).
5	Recruitment of all Field Staff	Before completion of TOT for main survey by IIPS
6	Main survey training & CAB training	To be initiated within 4 weeks of completion of TOT for main survey by IIPS. The Field Agencies should provide the training to their investigators for a minimum of four weeks (28 days) which includes the field practice. Minimum of three weeks training should be arranged separately for health investigators including field practice for CAB component. The health investigators will also join the first few days of the main survey training to understand the whole process of the data collection
7	Fact sheet generation	Each FA needs to prepare and print state Factsheet carrying indicators for all districts (500 copies) and distribute as per the list provided by IIPS.

ATTACHEMENT-B (II)
(To be attached with each contract)

Payment plan for Field Agency for conducting the National Family Health Survey (NFHS)-4

State/group of State/UTs to be surveyed: _____

Approximate number of household to be surveyed: _____

Instalment	Disbursement Modality	Verifiable indicator	% of the Amount to be released
1	1. On submission of performance security of 5% of total contract value, signing of the Contract and furnishing Bank Guarantee from a nationalized bank and/or a bank recognized by the RBI equal to 20 % of the total cost of the work allotted. 2. On giving details of the addresses of the state office, name of the state nodal officer (team leader), telephone/fax numbers/ communication details of the field supervisors, email ids.	On physical receipt of the Bank Guarantee at IIPS and verification. On physical receipt of the details from the head/team leader	20%
2	At the time of the beginning of the survey after raising required number of teams i.e. on: a. Completion of training and b. Certification of FA by IIPS Project Officer and self-certification by Head of the Field Agency.	Letter from Head of the FA giving details of recruitment and completion of training of field staff etc. And Formation of required number of teams of trained interviewers and supervisors for household survey And Report of the project officer/project coordinator from IIPS	25%

		And Completion of the financial requirements as per prescribed format provided by IIPS.	
3	On the completion of 50 percent of PSUs and receipt of data at IIPS and a self certification by Head/MD of the Field Agency.	Letter from Head/MD of the FA giving details. And Report of the project officer/ coordinator from IIPS. And completion of the financial requirements of previous releases. And Statement/certificate of Salary and DA paid to household survey field investigators as per IIPS norms.	20%
4	On completion of 100% PSUs and receipt of data at IIPS and validation of data.	Same as above And Submission of postal/couriers receipts for sending DBS samples And Submission of 100% data accepted (quality) and approved by IIPS And Completion of the financial requirements of previous releases	20%
5	On printing and distribution of Factsheets.	Same as above And On printing and distribution of district Factsheets and receipt of required number of Factsheets by IIPS And Completion of the financial requirements of previous releases And On returning of all GPS	15%

		instruments, CAPI and CAB items alongwith unused consumables provided by IIPS And Submission of original postal/courier bills of distribution of Factsheets	
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Note: Payment is subject to provisions of clause 4 (a), (b), (c), (d), (e) and (f) in the contract and the condition mentioned below:

- i. The Bank Guarantee initially for **One year** and should be renewed and remain valid till the work of NFHS-4 is completed including printing of State / District Fact Sheets
- ii. If the FA fails to complete the work in the stipulated time provided as in Implementation Schedule given in Attachment B (II), an amount equivalent to 0.5% of the total cost would be deducted for each week's delay or part thereof.
- iii. As regards the CAB component, if the FA defaults in sending the DBS to the designated laboratory within one week of collection of sample, the IIPS may impose a penalty based on number of such samples apart from taking appropriate action as specified in clause 5 of the Contract.
- iv. If FA fails to complete the work inclusive of the conditions mentioned in Para 5, Director IIPS will have the right to invoke the Bank Guarantee.
- v. If during the period of this contract, the FA becomes insolvent or disintegrates and not in a position to abide by the contract, it would tantamount to breach of trust and it would be up to the Director IIPS to proceed legally against the second party and recover the damages wholly or partially caused to the project.
- vi. Progress Reports and Statement of Expenditures should be sent regularly.
- vii. Utilization certificate (GFR – 19 A) should be sent Financial year basis as given in Attachment E.

ATTACHMENT C (Specimen)

Request for Funds

From:

To
The Director,
International Institute for Population Sciences,
Govandi Station Road, Deonar,
Mumbai-400 088

Sub: Request for Installment No. _____ of funds for NFHS-4

Dear Sir,

As per the provision contained in the contract dated _____ I hereby request you to release _____ instalment of budget amount of Rs. _____ to us by cheque/bank draft payable to _____.

As per clause 17 (A) of the contract, I am enclosing herewith the documents and certify that the activities/progress specified have been satisfactorily completed. The amount requested is required for carrying out the survey activities. It is certified that necessary service tax/income tax/excise regulations as applicable to this organization for this project has/have been complied with.

Yours faithfully,

(_____)

Encl: Reports as per clause 17.

ATTACHMENT D
Computer Requirements

Each FA is required to have the minimum number of fully operational computers with necessary configuration and attachments/peripheral units specified in this attachment fully dedicated to NFHS-4 data management during the fieldwork and till all the data is cleaned, validated and approved by IIPS.

ATTACHMENT E (Specimen)

(On Letter Head)

FORM GFR 19-A

Form of Utilization Certificate

Sl. No.	Sanction Letter No. and date	Amount (Rs.)
01		
	Total	

1. Certified that out of the Rs. _____ (Rupees ____ Only) of grants-in-aid sanctioned during the year 2014-15 in favour of X Field Agency. under this IIPS NFHS-4 Letter No. given in the margin and Rs. ____/- on account of unspent balance of the previous year, a sum of `Rs. ____/- has been utilized for the purpose to **conduct the Household in the X State and Union Territories for National Family Health Survey (NFHS)-4, 2014-15** for which it was sanctioned and that the balance of Rs. ____/- remaining unspent will be adjusted towards the next instalment payable during the year

2. Certified that I have satisfied myself that the conditions on which the grants-in-aid was sanctioned have been duly fulfilled/are being fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kinds of checks exercised:

Checked with Audited Accounts for the financial year

1. Accounts/Finance Officer (X)

2. Chartered Accountants

Signature with date

Name:-_____

Designation:-_____

Stamp of the authorized signatory (X)

Annexure G
SAMPLE OF UNDERTAKING FOR FA RECEIVING
CAPI, GPS AND CAB EQUIPMENTS

This UNDERTAKING is made on this **00 day** of **XXXXX 2014** BETWEEN the Director **International Institute for Population Sciences, Mumbai**, (here in after called IIPS) in the first part.

AND

_____, (hereinafter called FA) which expression shall, subject to the contract, include its successors in business and permitted assignees of the second part.

OBJECTS OF THE UNDERTAKING

1. THAT WHEREAS:

- A) The Party of the Second Part, M/s._____,is awarded to conduct National Family Health Survey (NFHS)-4 field work in the state/group of State/UTs of_____. In NFHS-4 data will be collected using Computer Assisted Personal Interview (CAPI) on mini laptops and CAB testing.
- B) That the following CAPI and CAB items will be supplied to the party of the Second Part for using during data collection in the State/group of State/UTs of _____ by IIPS.

Sl.No.	Item	Quantity
CAPI		
1	Mini laptop	
2	Charger cable	
3	Additional batteries for backup	
4	Optical mouse	
5	Laptop bag (if provided)	

CAB		
1	Stadiometer (Adult height measuring equipment)	
2	Mother/infant weighing scale	
3	Infantometer	
4	Hemocue Hb201+ Analyzer and carrying case	
5	BP monitor	
6	Additional BP cuffs (small/large)	
7	Glucometer with carrying case	
8	Cooler - Igloo Playmate (Cool box)	
9	Global Positioning System (GPS) Instrument	
10	Barcode scanner	
11	Combo carry case	

The second party has to bear the cost of transportation for returning all the items mentioned in the clause B) to NFHS-4 project office, IIPS, Mumbai.

C) However, if any of these items are damaged/lost (other than those covered under warranty) by Party of the Second Part then the item(s) including data will be replaced by the party of the second part/equivalent cost including per unit cost of household will be deducted from the final instalment by the IIPS.

D) WHEREAS THIS Undertaking is mainly to govern the CAPI and CAB materials/items/data damaged/lost during the data collection in the State/group of State/UTs of _____.

E) Cost details of CAPI/CAB:

Sl.No.	Item	Quantity	Per unit cost (Rs.)	Total Cost (Rs.)
CAPI/Mini Laptops				
1	Mini laptop			
2	Charger cable			
3	Additional batteries for backup			
4	Laptop bag (if provided)			
CAB				
1	Stadiometer (Adult height measuring equipment)			
2	Mother/infant weighing scale			

3	Infantometer			
4	Hemocue Hb201+ Analyzer with carrying case			
5	BP monitor			
6	Additional BP cuffs (small/large)			
7	Glucometer with carrying case			
8	Cooler - Igloo Playmate (Cool box)			
9	Global Positioning System (GPS) Instrument			
10	Barcode scanner			
11	Combo carry case			
Unit cost per household data				

IT IS AGREED AS UNDER

- 1) Therefore this undertaking contract is necessary for safe return of CAPI and CAB items provided for data collection by IIPS. That the CAPI and CAB items given in Clause B) provided under the NFHS-4 project should be delivered by the party of the Second Part to IIPS in good working condition.
- 2) In case during the data collection or transportation the CAPI or CAB items are damaged/lost/not in working condition, the Field Agency should reimburse/replace the appropriate cost mentioned in clause F) of this contract within 15 days/equivalent amount will be deducted in addition to unit cost per household (in case data is also lost along with laptop) from next instalment by IIPS.
- 3) AND WHEREAS the Party of the Second Part has agreed to reimburse the losses/damage incurred during the data collection and safe handling of all the items supplied.
- 4) The second party is liable to check the functioning of CAPI and CAB equipment including software installed in laptops before starting to use them either for survey or training of investigators.

- 5) The party of the second part hereby undertake that they will not cause to be raised or raise any dispute, claim or demand upon IIPS of any nature whatsoever including that of compensation or any other monetary claim due or payable.
- 6) This contract shall be enforceable within the jurisdiction of Mumbai Courts only.

IN WITNESS WHEREOF THE PARTIES HERETO HAVE CAUSED THIS CONTRACT TO BE EXECUTED THE DAY, MONTH AND YEAR FIRST ABOVE WRITTEN.

International Institute for Population Sciences, Mumbai,

(Through its Authorized Signatory)

WITNESSESS:

1.

2.

M/s. _____

(Through its Authorized Signatory)

WITNESSESS:

1.

2.