

Request for Proposal (RFP)

**Implementation of the
Fifth Round of the National Family Health Survey
(NFHS - 5) in all States & Union Territories
during 2018-19**

Bid Document



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

**International Institute for Population Sciences
(Deemed University)**

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Key Events and Dates

| | | |
|---|--|--|
| 1 | Tender Inviting Authority | International Institute for Population Sciences, Govandi |
| 2 | Job Requirement | Appointment of Field Agencies for conducting |
| 3 | Announcement of Bids for 2018-2019 NFHS-5 Field Agencies | May, 1st 2018 |
| 4 | Pre-bid conference | May 16th 2018 at NIHFW, Delhi (11.00 am. to 1.00 pm) |
| 5 | Any query on Bid document | May 17th 2018 up to 5:00 pm |
| 6 | Last date for submission of bid | May 30th 2018 up to 5:30 pm |
| 7 | Opening of bids | June 1st 2018 |
| 8 | Opening of bids, technical evaluation and financial evaluation | To be announced through IIPS website |
| 9 | Submission of Performance Security, Signing of Contract and submission of bank guarantee | To be announced through IIPS website |

Issues, observations and suggestion obtained during pre-bid conference

| 1 | Issues, observations and suggestion | Remark |
|---|-------------------------------------|--------|
| 2 | | |
| 3 | | |
| 4 | | |
| 5 | | |
| 6 | | |
| 7 | | |

Checklist of eligibility for opening Technical Bid*

| Sl. no. | Item | Tick |
|---------|---|------|
| 1. | Certificate of Registration/proof from statutory body | |
| 2. | Copy of PAN/TAN Card | |
| 3. | Audited financial statements for Financial Year 2014-15, 2015-16, 2016-17 with a minimum annual turnover of Rs.2.00 (two) crore. In case of Field Agencies (FAs) bidding for any NE state, J&K, Himachal Pradesh, and Uttarakhand the annual turnover amount is reduced to Rs. 50.00 lakh per year in the last three financial years. | |
| 4. | For proof of experience of conducting large scale demographic/ health surveys covering at least 5000 households (HHs), and for States with HH sample size less than 5000 HHs (e.g. NE states, J&K, etc.): <ul style="list-style-type: none"> • A copy of work order and certificate of completion of such surveys in the last 5 years. In case of government-sponsored institutes such as Population Research Centres (PRCs), work experience of large scale surveys of at least 5000 HHs will not be mandatory. | |
| 5. | A proof of each core staff as regular employee or on payroll/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 States/UTs applied for. <ul style="list-style-type: none"> • FA applying for more than 4 (four) States/group of States/UTs may repeat the core staff members in case of 5th, 6th,...and subsequent State/group of States/UTs. | |
| 6. | Processing fee** of Rs. 25,000/- per State/group of States/UTs. | |
| 7. | EMD** for per State/group of States/UTs is given in Annexure A3. | |
| 8. | No-conviction certificate (as per the format provided). | |
| 9. | An affidavit declaring that the FA has not worked with/for any Tobacco Company in the last one decade (on non-judicial stamp paper of Rs.100/-). | |

*All the above documents with evidences should be put in a separate envelope marked as "Pre-Bid Documents".

**Should be paid through Demand Drafts drawn in favour of "Director, IIPS" payable at Mumbai. PRCs and Micro and small enterprises (MSEs) 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 Pharm | 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 |
| ICTC | Integrated Counseling and Testing Centre |
| 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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1.0 INTRODUCTION

1.1 Purpose of Request for Proposal (RFP)

The purpose of this RFP is to appoint Field Agencies (FAs) for conducting the Fifth round of the National Family Health Survey (NFHS-5) during 2018-19 in all the 29 states & 7 Union Territories (UTs) of India, which comprises of 707 districts.

1.2: Background

The National Family Health Survey (NFHS) in India was initiated in the early 1990s with the first NFHS being conducted in 1992-93. Since then, India has successfully completed four rounds - NFHS-2 in 1998-99, NFHS-3 in 2005-06 and NFHS-4 in 2015-16. All four rounds of the survey 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), Mumbai, as the nodal agency and technical assistance provided by the United States Agency for International Development (USAID) through ICF Macro (now called ICF)¹. USAID has been the primary funder for the NFHS surveys, but in the two most recent surveys (NFHS-3 and NFHS-4), other development organizations, such as DFID, the Bill and Melinda Gates Foundation, UNICEF, UNFPA, the MacArthur Foundation, as well as the Government of India, also supported the surveys in a major way. The main objectives of the NFHS programme have 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 2018-2019, India will implement the fifth round of the National Family Health Survey (NFHS-5). Like its predecessors, NFHS-5 will be conducted under the stewardship of the Ministry of Health and Family Welfare, coordinated by the International Institute for Population Sciences, Mumbai, and implemented by a group of survey organizations and Population Research Centres, following a rigorous selection procedure. Technical assistance for NFHS-5 will be provided by ICF, USA, with financial support from USAID.

2.0 Specific objectives and scope of NFHS-5

Each successive round of the NFHS has had two specific goals: a) to provide essential data on health and family welfare required 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 the first of the two objectives NFHS-5, like NFHS-1, NFHS-2, NFHS-3, and NFHS-4 will:

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

Similar to the NFHS-4, NFHS-5 will also provide information on several emerging issues including:

- Perinatal mortality, high-risk sexual behaviour, safe injections, tuberculosis, and malaria;
- Non-communicable diseases;
- Use of emergency contraception; and
- Disability

¹ICF International implements the USAID-supported MEASURE DHS Project, and has the experience of providing technical assistance to more than 300 surveys in more than 90 countries.

As with NFHS-4, which is being considered as a benchmark in India's quest to achieve the Sustainable Development Goals (SDGs) by 2030, the scope of NFHS-5 has been expanded substantially. Some salient features of NFHS-5 are:

- In addition to the 29 states, NFHS-5 will also cover all the 7 Union Territories (UTs) as in NFHS-4. Similarly, NFHS-5 will provide estimates of most indicators at the district level for all 707 districts in the country as on March 1, 2017.
- Given the need to estimate most demographic and health indicators at the district level, the NFHS-5 sample size is expected to be approximately 610,000 households (in all 707 districts). As the survey will elicit information (using Household, Woman's, Man's, and Biomarker questionnaires) from all women age 15-49 and men age 15-54 in a subsample of households, it is estimated that NFHS-5 will yield a total sample of 6,68,622 women aged 15-49 years, and 91,200 men aged 15-54 years. In these households information on about 265,000 children below age 5 will be also collected in the survey.
- Data will be collected using Computer Assisted Personal Interviewing (CAPI) on mini-notebook computers. 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 to the central office on a daily, enabling fast feedback to teams on quality or other concerns, as required. It is expected that about 17-18 field agencies will be selected to implement data collection.
- Anaemia testing and height and weight measurements for women age 15-49, men age 15-54 and children age under 5 years will also be included in NFHS-5. All related estimates will be provided at the district level.
- Like in NFHS-4, other components included in the domain of clinical, anthropometric and biochemical testing (CAB) in NFHS-5 are blood glucose and hypertension measurements with estimates to be provided at the district level.
- In addition, NFHS-5 will be collecting finger-stick blood to produce dried blood spots (DBS) from a subsample of respondents for laboratory testing of malaria, HbA1C and vitamin D3. These tests will provide an opportunity to estimate the community based burden of malaria and antimalarial drug resistance in high malaria endemic states, as well as the national level. It will also provide information on the extent of vitamin-D deficiency in the population and level of diabetes control at the national level among NFHS-5 respondents, who report that they have diabetes.
- Data on waist and hip circumference will be collected for the first time in NFHS-5., which will allow these measures to be compared to the body mass index (BMI) as predictors of chronic diseases. This will not only help build a large health database for monitoring of health related programmes in the country but also provide information for public health researchers and programme implementers to prioritize and develop effective health interventions.
- As with anaemia, testing of blood glucose and blood pressure will be conducted in the field using portable equipment. The HemoCue instrument will be used for anaemia testing, and the same type of battery-operated portable glucometers used in the DLHS-4 and NFHS-4 will be used for blood glucose testing. Retractable 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 engaged for conducting the anaemia and blood glucose tests and the collection of DBS samples.

2.1 Geographical Coverage

All the components of the National Family Health Survey (NFHS)-5 will be implemented in 29 states & 7 Union Territories (NCT Delhi, Andaman and Nicobar Islands, Lakshadweep, Puducherry, Daman and Diu, Dadra and Nagar Haveli, and Chandigarh). NFHS-5 will also provide estimates of most indicators at the district level for all 707 districts including newly created districts after 2011 Census. The Annexure A1 shows details by State/group of States/UTs of sample size of households, and Annexure A2 shows the phase-wise grouping of the State/group of States/UTs.

2.2 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 selection of 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 *more than 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-5.

2.3 Survey Implementation Plan

The entire data collection will be conducted into two phases. Approximately 18 States/group of States/UTs will be covered in each phase. The phasing of the States/group of States/ UTs has been planned in accordance to the local climatic conditions and geographic challenges. Large states like Uttar Pradesh and Madhya Pradesh, Bihar, Rajasthan, Gujarat, Maharashtra and Tamil Nadu have been further divided into three or two parts accordingly, which will be treated as an independent area/unit for the purpose of survey implementation. Thus, in NFHS-5, all the Indian States have been organized into 36 States/group of States/UTs. The details of these groupings along with number of total sample HHs and PSUs to be covered in District and State modules are given in Annexure A2.

2.4 Data Collection Procedure

Data will be collected through the Computer-Assisted Personal Interviewing (CAPI) method using mini laptops. The 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.

In each selected household FAs will conduct Clinical, Anthropometric and Biochemical (CAB) tests of eligible members and record the results and other relevant information on a separate paper and record in the Biomarker Schedule, and enter the results onto the CAPI laptops in the field. FAs have to take "informed consent" from the eligible individuals/respondents (as required) before conducting the tests in each household. Along with the tests, FAs will also collect blood samples from a sub-sample of eligible respondents on a specially-made paper with circled-spots for bloods called Dried Blood Spots (DBS). The

DBS have to be transported within a time period to designated ICMR labs. NFHS-5 will adopt a set of protocols to ensure homogeneity in the process of integrating the CAB components 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 States/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 States/group of States/UTs.

3.0 SCOPE OF WORK

The implementation of NFHS-5 has been prepared on the basis of the following scope of work.

3.1 Manpower requirement

Each Field Agency will be required to appoint the following manpower for each State/group of States/UTs to conduct NFHS-5:

| 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. Coordinator (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/ BDS/ BAMS/BHMS/ with additional qualification of MPH will be added advantage | At least two years of experience in Biomarkers in household based health surveys |
| 4 | Statistician/ Demographer (Full time) One x per State /group of States/UTs | 1 | PhD/M.Phil./Master in Statistics/Demography/ Bio-Statistics/ Public Health / Epidemiology | <ul style="list-style-type: none"> 3years of experience for Ph.D./M.Phil 5years 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 Pharm/ BUMS/BHMS/ BAMS/ Degree or Diploma in Nursing/ Diploma in Medical lab technology (DMLT) | 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 |

3.2 Attending Training of Trainers (ToT) Workshops organized by IIPS

IIPS will conduct two TOTs - one for Mapping and Household Listing (MHL) and second for the main survey in each phase. Two persons from each FA will be required to attend Mapping and Household Listing training. 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/group of States/UTs. The core staff should be same as listed in the table given in Section 3.1 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.

3.3 Mapping and Household Listing

The purpose of Mapping and Household Listing operation in NFHS-5 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 and information recorded in the form provided.

3.4 Training of Mapper/Listers and Field Investigators by core group of FA staff trained by IIPS through centralised TOTs

3.4.1 Mapping and Listing ToT

As per the protocol, the two specific persons of each FA trained by IIPS should be looking after the entire mapping and listing activities in the state and complete entire mapping and listing exercise prior to the start of the main survey. The two trained mapping and listing operation experts must have clear cut understanding about entire mapping and household listing operation of NFHS-5. They will have to trained sufficient number of Mappers and Listers by conducting exclusive training of mapping and listing. This training will be for one week including rigorous mapping and listing practice for 3 days in both rural and urban area. The field practice will be carried out in non-selected villages and urban areas, preferably near to the location of the training.

3.4.2 Main Survey 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-5 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.

3.5 Major contents of the Schedules

The NFHS-5 survey will have four separate Schedules

| Sl. No. | Type of Schedule | Contents of the Schedule |
|---------|-----------------------|---|
| 1 | Household | <p>Information on:</p> <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 ▪ Type of disabilities ○ Prevalence of disability ○ Socio-economic characteristics ○ Salt iodization ○ CAB (all members of the household eligible for blood tests / measurements, blood samples) |
| 2 | Woman's (15 – 49 Yrs) | <ul style="list-style-type: none"> ○ Background characteristics of women ○ Woman having disability, type, duration and reasons of disability ○ 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 program coverage ○ Beneficiaries of other national GOI programs, 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 status ○ 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 ○ Man's having disability , type, duration and reasons of disability ○ 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 |
| 4 | Biomarker | <ul style="list-style-type: none"> ○ Measurement of Height/ Length and Weight ○ Measurement of waist and hip circumference ○ Anemia testing ○ Blood glucose level test ○ Blood pressure measurement ○ HbA1C, Vitamin D3 and Malaria parasites and antimalarial drug resistance test |

NOTE: Schedules are given in the Annexure D

3.6 Transportation

For effective and efficient implementation of the field operation, every FA must, compulsorily provide one dedicated vehicle with carrier to each survey team (consisting of 7 members) so team can travel to PSU conveniently in time with all necessary equipments and other related materials for survey operation. The vehicle provided to each team will remain in the PSU or near to field area whenever the team is working. IIPS reserves the right to stop the fieldwork/cancel the contract any time if any team is not provided with vehicle as per protocol.

3.7 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. 15,000/- per month. 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.

3.8 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 full time for entire field work. Finally, an in-charge of the whole field work operation (state coordinator) must be placed at the state level and he should have day to day field back from District Coordinator. The state coordinator must make frequent and regular visits to the field to ensure NFHS-5 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. The District Coordinator should be provide the weekly status to the IIPS field Project Officer and PO suppose to submit detailed field progress report weekly to the concern state Faculty Coordinator in the provided format of the report. Further, to insure and improve the data quality each FA should be appoint one quality check team this team will do resurvey with one page questionnaire of some important questions, like age, number of birth events, occupation of the respondent as well as this team can physically verify certain things in the surveyed household or with individual respondent.

3.9 CAB Component

NFHS-5 will undertake the CAB component which would require a full time health coordinator for each Field Agency who can be always in the field to monitor and provide assistance or advice to the survey team about CAB measurement, blood collection, and other required logistics. FAs will be responsible for printing required number of CAB Schedules consisting of about 20 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, blood samples on DBS, undertaking prescribed internal and external quality checks regularly to ensure adherence to the protocol and quality of CAB data. The Project Coordinator (CAB) of IIPS will help each FA in logistics of biomarkers in the different States/groups of State/UTs. As well as he can direct/ advice to the project Officer (CAB) for CAB data monitoring.

3.9.1 Tests

In NFHS-5, the aim of CAB tests is to produce district level estimates for nutritional status among children below age 5 years, woman aged 15-49 and estimates of certain health indicators among eligible members of households.

Following CAB tests will be conducted from selected eligible households and respondents:

- a. **Anaemia level:** Children aged 6-59 months, women aged 15-49 and men aged 15-54.
- b. **Height measurement:** Children aged 0-59 months, women aged 15-49, and men aged 15-54.
- c. **Weight measurement:** Children aged 0-59 months, women aged 15-49 and men aged 15-54.
- d. **Waist and Hip circumference measurement:** Women aged 15-49 and men aged 15-54.
- e. **Blood Pressure:** All women and men aged 15 and above.
- f. **Blood Glucose:** All women and men aged 15 and above.
- g. **Blood collection for DBS samples:** Women aged 15-49 and men aged 15-54.
- h. **Salt test:** Testing of cooking salt used daily by households for iodine component.

3.9.2 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 3.1, B.9).

3.9.3 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 program) will be conducted only by those who are trained in the main TOT. On completion of the training program, 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.

3.9.4 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 total number of PSUs are allotted to the FA for their state. Mandatory each FA should have adequate and secure storage space for equipments and supplies in the State/Local office. In case of shortfall of certain equipments/consumables at field level state and district office should have separate transport/arrangement in time supply of said equipments/consumables to avoid field work impede due to non-availability of consumable. Along with each FA should maintain the stock and supply register which will be verified by the health coordinator regularly.

3.9.5 Informed Consent

Compulsory, HI should have taken inform consent prior to take the CAB test in each selected household where the eligible respondents are there. It is the duty of FA to train their field staffs specially HIs not to skip or partially read the consent to the respondent. Therefore, the inform consent should be read carefully in front of the each respondent and have to take consent of the respondent before to take each CAB test. 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.

3.9.6 Collection of Blood Samples

CAB tests in NFHS-5 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. All the test results, 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. Other than these tests, from a sub-sample of households/respondents blood samples will also be collected in DBS and they have to be transported to designated ICMR labs.

3.10 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, 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 period. IIPS PO/concern state Coordinator will be verify and certify the establish office of the FA. Scan/hard certified copy of the certificates should be submitted to NFHS-5 office at IIPS by FA.

3.11 Data Management

The software for the data collection will be prepared and the bilingual 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 synchronized 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 further remaining PSUs by organizing reorientation meeting with field staff. 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.

3.12 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. Without that FA cannot claim for remaining installment.

4.0 ROLES AND RESPONSIBILITIES OF FIELD AGENCIES (FAs)

NFHS-5 will be conducted in the entire country by dividing it into 36 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-5 in that State/group of State/UTs.

4.1 Overall Roles and Responsibilities Assigned to Field Agencies

- i. The principal responsibility of the FA is to carry out the NFHS-5 fieldwork in the assigned State/group of States/UTs. The sample will be spread over rural and urban areas of the states.
- ii. The involvement of FAs will start from the date of signing the contract with IIPS and continue till the Factsheet generation and distribution to all districts in the allotted state are completed.
- iii. 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.
- iv. Field Agency will print sufficient number of translated 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 fieldwork (household listing forms/assignment sheets) and brochures & referral cards (anaemia, hypertension, blood glucose and ICTC). Each trainee must be provided Interviewer's manual along with 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. FA must insure that all field staff are use to carry the aforesaid document during the field work. FA should ensure that each field staff carry their master copies of all materials provided during training.
- v. 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.
- vi. 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.
- vii. 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.
- viii. 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.

- ix. 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.
- x. 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.
- xi. FAs will organize two different kinds of training programs-(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-5. 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.
- xii. 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.
- xiii. 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.
- xiv. 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.
- xv. 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.
- xvi. FAs are required to extend full cooperation to the monitoring personnel from the IIPS/MoHFW/ICF or third party appointed for this purpose.
- xvii. A set of field check 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.
- xviii. 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.

- xix. 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.
- xx. FAs must make provision and pay for group insurance to all the field staffs deployed in NFHS-5.
- xxi. 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.
- xxii. 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.
- xxiii. 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.
- xxiv. FAs will also be responsible for printing the required number of Biomarker Schedules for the main survey.
- xxv. 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.
- xxvi. Each team supervisor should be responsible for ensuring safe disposal of biomedical wastage according to the procedures described in the CAB manual.
- xxvii. 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 ziplock bags. FAs will take responsibility for any violation of safety norms, etc.
- xxviii. 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.
- xxix. 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.
- xxx. Each FA needs to print State/group of State/UTs Factsheets for all assigned districts and distribute as per the list provided by IIPS.
- xxxi. 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.
- xxxii. 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-5 (See Annexure E).
- xxxiii. At any stage, after signing the contract of NFHS-5, FAs are strictly prohibited from making any sort of subcontracting of any of the NFHS-5 activities. IIPS reserves the right to take appropriate legal action against FAs if any such incidence is noticed or reported.
- xxxiv. FAs must sign a separate undertaking with IIPS before receiving the required number of mini laptops,

GPS instruments and CAB equipments (See Annexure F for sample undertaking form).

- xxxv. 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.
- xxxvi. 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.
- xxxvii. 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-5.

5.0 IMPLEMENTATION SCHEDULE/TIME LINE FOR DATA COLLECTION

The NFHS-5 fieldwork would be completed in all districts of a State/group of State/UTs within a period of five 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 <u>one month</u> before). |
| 2 | Number of teams for Mapping and Household Listing and Main Survey | For Mapping and Household Listing- two/three teams per district, For Main Survey –1.5 teams per district |
| 3 | Training for Mapping and Household Listing | <u>One week</u> (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 <u>one month</u> 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 | <ul style="list-style-type: none"> - The FA should provide the training to their investigators for a minimum of <u>four weeks</u> (28 days), which includes the field practice. Minimum of <u>three weeks</u> training should be arranged separately for health investigators including field practice for CAB component. - 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 <u>four weeks</u> training, the FA should start field work immediately. Actual field survey has to be completed within a maximum period of <u>five months</u> from the date of commencement of the field work. The number of teams will be <u>25% more than the number of districts</u> assigned to the FA. FA should start household survey <u>simultaneously</u> only in 4- 5 adjoining districts. In no case main survey will be allowed in more than 4-5 adjoining <u>districts at a time</u>. The list of these 4-5 districts will be provided by IIPS to FA on a regular basis. The next set of <u>4-5 districts will be assigned only when FA has finished</u> 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. |

6.0 PAYMENT SCHEDULE

The payment plan for Field Agencies in NFHS-5 is provided in the table below:

| Installment | Disbursement Modality | Verifiable indicator | % of the Amount to be released |
|-------------|---|--|--------------------------------|
| 1 | <p>1. On 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.</p> <p>2. On giving details of the addresses of the state office, name of the state nodal officer (team leader), telephone/fax numbers.</p> | <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 | <p>At the time of the beginning of the survey after raising required number of teams on</p> <p>a. Completion of training and</p> <p>b. Certification of FA by IIPS Project Officer and self-certification by Head of the Field Agency.</p> | <p>Letter from Head of the FA giving details of recruitment and completion of training of field staff etc.</p> <p>And</p> <p>Formation of required number of teams of trained interviewers and supervisors for household survey</p> <p>And</p> <p>Report of the project officer/project coordinator from IIPS</p> <p>And</p> <p>Completion of the financial requirements as per prescribed format provided by IIPS.</p> | 20% |

| | | | |
|---|--|---|-----|
| 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 along with unused consumables provided by IIPS. | 20% |

7.0 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/TAN and GST Registration in India. | Copy of PAN/TAN card and GST Registration |
| 3 | i) The Field Agency should have a minimum annual turnover of Rs. 2Crores (Rs. 50 lakh for NE states, J&K, Himachal Pradesh & Uttarakhand) during the last three financial years (2014-15, 2015-16, 2016-17). ii) FAs will be assigned work contract upto five times of their average annual turnover in last three financial years. <u>Population Research Centres working under MoHFW are exempted from this conditions</u> | 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 5,000 households or the sample HH size of the state applied for, whichever is lower) with at least one survey in demographic and health surveys. Certificates of Completion of the projects undertaken should be submitted as documentary evidence. In case of PRCs, experience of large scale survey will not be mandatory | 1. Copy of the work order and certificate of completion. 2. Field survey experience in the format provided in appendix 'H' |
| 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 have been blacklisted by Central/State Government departments /Undertakings of Govt. of India. | No Conviction certificate duly signed (format given in Appendix B). |
| 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/- |

Annexure A2

The survey would be conducted for 19 State/Group of State/UTs in the Phase I and 17 States/Group of State/UTs in Phase II.

| Table 2: Estimation of sample size for NFHS-5 to derive district level estimates with adjustment of over sampling in the districts | | | | | | | | |
|---|----------------------|------------------------------|---------------|-----------------|---------------------------|---------------|------------------|---------------|
| Group of States/UTs | STATES/UTs | Estimate for district Module | | | Estimates of state module | | Estimates of DBS | |
| | | No of districts | No of PSUs | No of HHs | No of PSUs | No of HHs | No of PSUs | No of HHs |
| PHASE I | | | | | | | | |
| 2 | ASSAM | 33 | 1386 | 27720 | 416 | 4160 | 416 | 4160 |
| 3 | BIHAR NORTH | 18 | 810 | 16200 | 243 | 2430 | 36 | 360 |
| 4 | BIHAR SOUTH | 20 | 900 | 18000 | 270 | 2700 | 40 | 400 |
| 9 | MANIPUR+ NAGALAND | 20 | 840 | 16800 | 252 | 2520 | 252 | 2520 |
| 10 | MEGHALAYA | 11 | 462 | 9240 | 139 | 1390 | 139 | 1390 |
| 11 | MIZORAM | 8 | 336 | 6720 | 101 | 1010 | 101 | 1010 |
| 15 | SIKKIM | 4 | 168 | 3360 | 50 | 500 | 8 | 80 |
| 16 | TRIPURA | 8 | 336 | 6720 | 101 | 1010 | 101 | 1010 |
| 21 | ANDHRA PRADESH & AN | 16 | 672 | 13440 | 202 | 2020 | 32 | 320 |
| 22 | GUJARAT-E | 17 | 714 | 14280 | 214 | 2140 | 34 | 340 |
| 23 | GUJARAT -W & DN & DD | 19 | 798 | 15960 | 240 | 2400 | 38 | 380 |
| 25 | HIMACHAL PRADESH | 12 | 504 | 10080 | 151 | 1510 | 24 | 240 |
| 26 | JAMMU & KASHMIR | 22 | 924 | 18480 | 277 | 2770 | 44 | 440 |
| 27 | KARNATAKA & GOA | 32 | 1344 | 26880 | 403 | 4030 | 64 | 640 |
| 28 | KERALA & LD | 15 | 630 | 12600 | 189 | 1890 | 30 | 300 |
| 29 | MAHARASHTRA-E | 18 | 756 | 15120 | 227 | 2270 | 36 | 360 |
| 30 | MAHARASHTRA-W | 18 | 756 | 15120 | 227 | 2270 | 36 | 360 |
| 35 | TELANGANA | 31 | 1302 | 26040 | 391 | 3910 | 62 | 620 |
| 36 | WEST BENGAL | 20 | 840 | 16800 | 252 | 2520 | 40 | 400 |
| | Total (19) | 342 | 14,478 | 2,89,560 | 4,345 | 43,450 | 1,533 | 15,330 |
| PHASE II | | | | | | | | |
| 1 | ARUNACHAL PRADESH | 20 | 900 | 18000 | 270 | 2700 | 270 | 2700 |
| 5 | CHHATTISGARH | 27 | 1134 | 22680 | 340 | 3400 | 340 | 3400 |
| 6 | JHARKHAND | 24 | 1080 | 21600 | 324 | 3240 | 324 | 3240 |
| 7 | MADHYA PRADESH -E | 23 | 1035 | 20700 | 311 | 3110 | 311 | 3110 |
| 8 | MADHYA PRADESH -W | 28 | 1260 | 25200 | 378 | 3780 | 378 | 3780 |
| 12 | ODISHA | 30 | 1260 | 25200 | 378 | 3780 | 378 | 3780 |
| 13 | RAJASTHAN- N | 16 | 720 | 14400 | 216 | 2160 | 32 | 320 |
| 14 | RAJASTHAN -W | 17 | 765 | 15300 | 230 | 2300 | 34 | 340 |
| 17 | UTTAR PRADESH- E | 27 | 1215 | 24300 | 365 | 3650 | 54 | 540 |
| 18 | UTTAR PRADESH- W | 28 | 1260 | 25200 | 378 | 3780 | 56 | 560 |
| 19 | UTTAR PRADESH- C | 20 | 900 | 18000 | 270 | 2700 | 40 | 400 |
| 20 | UTTARAKHAND | 13 | 585 | 11700 | 176 | 1760 | 26 | 260 |
| 24 | HARYANA | 22 | 924 | 18480 | 277 | 2770 | 44 | 440 |
| 31 | NCT OF DELHI | 11 | 462 | 9240 | 139 | 1390 | 22 | 220 |
| 32 | PUNJAB & CHANDIGARH | 23 | 966 | 19320 | 290 | 2900 | 46 | 460 |
| 33 | TAMIL NADU- N & PU | 19 | 798 | 15960 | 239 | 2390 | 38 | 380 |
| 34 | TAMIL NADU- S | 17 | 714 | 14280 | 214 | 2140 | 34 | 340 |
| | Total (17) | 365 | 15,978 | 3,19,560 | 4,795 | 47,950 | 2,427 | 24,270 |

Note: States/UTs treated as a single state are Andhra Pradesh+Andaman & Nicobar Islands, Gujarat+ DNH+ DD, Punjab+ Chandigarh, Tamil Nadu+Puducherry, Kerala+Lakshadweep and Karnataka & Goa. Following six bigger states has been divided either two /three equal part according to the geographical location of the districts within the state and it considered as separate group of state. UP is divided into approximately three equal parts namely Eastern UP, Central UP & Bundelkhand and Western UP, MP is divided as Eastern MP and Western MP,. Gujarat is divided as Gujarat-East and Gujarat -West, Maharashtra is divided as MH-East and MH-West, Rajasthan is divided as RJ-North and RJ- South and Tamil Nadu is divided as TN-North and TN-South.

| Annexure A3: Earnest Money Deposit (EMD) amount as per State / Group of state/ UTs | | | |
|---|------------------|----------------------------|-------------------|
| Name of States/ Group of State/UTs | Group No. | Number of districts | EMD amount |
| PHASE I | | | |
| ASSAM | 2 | 33 | 13,86,000 |
| BIHAR NORTH | 3 | 18 | 8,10,000 |
| BIHAR SOUTH | 4 | 20 | 9,00,000 |
| MANIPUR+ NAGALAND | 9 | 20 | 8,40,000 |
| MEGHALAYA | 10 | 11 | 4,62,000 |
| MIZORAM | 11 | 8 | 3,36,000 |
| SIKKIM | 15 | 4 | 1,68,000 |
| TRIPURA | 16 | 8 | 3,36,000 |
| ANDHRA PRADESH & AN | 21 | 16 | 6,72,000 |
| GUJARAT-E | 22 | 17 | 7,14,000 |
| GUJARAT -W & DN & DD | 23 | 19 | 7,98,000 |
| HIMACHAL PRADESH | 25 | 12 | 5,04,000 |
| JAMMU & KASHMIR | 26 | 22 | 9,24,000 |
| KARNATAKA & GOA | 27 | 32 | 13,44,000 |
| KERALA & LD | 28 | 15 | 6,30,000 |
| MAHARASHTRA-E | 29 | 18 | 7,56,000 |
| MAHARASHTRA-W | 30 | 18 | 7,56,000 |
| TELANGANA | 35 | 31 | 13,02,000 |
| WEST BENGAL | 36 | 20 | 8,40,000 |
| Total (19) | | | |
| PHASE II | | | |
| ARUNACHAL PRADESH | 1 | 20 | 9,00,000 |
| CHHATTISGARH | 5 | 27 | 11,34,000 |
| JHARKHAND | 6 | 24 | 10,80,000 |
| MADHYA PRADESH -E | 7 | 23 | 10,35,000 |
| MADHYA PRADESH -W | 8 | 28 | 12,60,000 |
| ODISHA | 12 | 30 | 12,60,000 |
| RAJASTHAN- N | 13 | 16 | 7,20,000 |
| RAJASTHAN -W | 14 | 17 | 7,65,000 |
| UTTAR PRADESH- E | 17 | 27 | 12,15,000 |
| UTTAR PRADESH- W | 18 | 28 | 12,60,000 |
| UTTAR PRADESH- C | 19 | 20 | 9,00,000 |
| UTTARAKHAND | 20 | 13 | 5,85,000 |
| HARYANA | 24 | 22 | 9,24,000 |
| NCT OF DELHI | 31 | 11 | 4,62,000 |
| PUNJAB & CHANDIGARH | 32 | 23 | 9,66,000 |
| TAMIL NADU- N & PU | 33 | 19 | 7,98,000 |
| TAMIL NADU- S | 34 | 17 | 7,14,000 |
| Total (17) | | | |

Annexure B
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 C

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 D

SURVEY INSTRUMENTS

A total of four survey tools namely, Household Questionnaire, Woman's Questionnaire, Man's Questionnaire and Biomarker's Questionnaire.

Annexure E

A DRAFT CONTRACT BETWEEN

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

This contract made on 000 day of XXXXXX 2018 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)-5**

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)-5 in 29 States and 7 Union Territories (UTs) and also provide estimates of most indicators at the district level for all 707 districts in the country as on March 1, 2017. MoHFW, GOI has constituted four committees, viz., i) Steering Committee, ii) Project Management Committee iii) Financial Management Committee and iv) Technical Advisory Committee for smooth implementation of the NFHS-5 project. Accordingly this contract is entered into for conducting survey work of NFHS-5 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, 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 DBS collection.

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-5 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 all applicable taxes) 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 installments 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 installment. 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 prorated 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/organization.

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 IIPS will supply additional quantity on recovery of cost of such supplies. 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-5 (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 will be liable to pay an amount as mentioned in the Undertaking after considering depreciation at the rate approved by EC of IIPS to be submitted by FAs on non-judicial stamp paper. FA may take damaged equipments from IIPS on recovery of cost”.

15. Disputes and Arbitration

In the event of any dispute arising with regard to interpretation of the articles/terms of this contract the matter shall be referred to sole arbitrator. IIPS will appoint an arbitrator who is mutually agreed by both IIPS and FA. 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 1996. 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 installment(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/TAN No. (copy of the certificate—one time)
- ii. GST 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 installment along with progress report.

18. Inspection of Performance

MoHFW, GOI and IIPS or its designated officials of NFHS-5 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-5 survey. Any violation may attract suspension / termination of contract.

20. Corruption, Commissions, Discounts and Fraud

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

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.

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

Personnel: The FA must adhere to and ensure the requisite qualification and experience of the personnel involved in NFHS-5 including the field staff, supervisors, District Coordinator, IT Consultant, Statistician/Demographer, Health Coordinator and Project Coordinator as specified in Clause 2.1 of the Request for Proposal (RFP).

Number of Teams: The FA must ensure that the requisite number of trained teams as specified in the Clause 5 of RFP is put in place to ensure completion of fieldwork in specified timeframe.

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.

23. FA must pay at least the minimum salary of Rs. 15,000/- to investigator and supervisor level staff. In addition, 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. FA should make payment of salary & DA by RTGS / NEFT mode only. FA must ensure timely & regular payment and salary and DA and proof of payment of salary and DA should be submitted to IIPS at the time of release of next installment. Any Violation of this protocol will be taken seriously in field implementation of the project
24. **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 Note in Attachment B (II).
25. 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 organization certifying that the FA will be allowed to set up a separate bank account for NFHS-5 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 authorization to the Project Coordinator of NFHS-5 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-5 project field staff, 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.
26. This contract shall be enforceable within the jurisdiction of Mumbai Courts only.
27. This contract shall come into effect on the date of signing of this contract by IIPS and FA.
28. Both the parties have considered and read the different clauses of this contract including all the enclosures and thereafter agreed to sign this contract.
29. Selected FA should open separate bank account for NFHS-5 survey and maintain separate Books of Accounts. The accounts will be made available for verification.

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

Signed for and on behalf of **IIPS**
Director
International Institute for
Population Sciences (IIPS)
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

Field Agency will conduct the NFHS-5 survey of approximately **XXXX** target household interviews in the **XXXXX** state/group of State/UTs. The FA selected for NFHS-5 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-5 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:

| Sl. 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 program coverage ○ Beneficiaries of other national GOI programs, 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 |

| | | |
|---|-----------|---|
| 4 | Biomarker | <ul style="list-style-type: none"> ○ Height/ length and weight ○ Measurement of waist and hip circumference ○ Anemia testing ○ Blood glucose level test ○ Blood pressure measurement ○ Malaria, HbA1C and Vitamin D3 tests ○ HbA1C, Vitamin D3 and Malaria parasites and antimalarial drug resistance test |
|---|-----------|---|

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.

E. 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 States/UTs sample size and work load on CAB component IIPS has estimated the duration of field work for five 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 and 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-5 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 collection of DBS sample in NFHS-4 or DLHS-4, may be preferred at the time of selection.

F. 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 program.
- 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 programs.
 - 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 (i).
 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-5 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 program, 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.

G. 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 in NFHS-5 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)

H. 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, 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-5 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-5 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: All women and men aged 15 and above.
- e. Blood Glucose: All women and men aged 15 and above.
- f. Testing of cooking salt used daily by households for iodine component.
- g. Collection of DBS from sub sample of households in high and low malaria endemic States

v) Transportation of DBS to ICMR

All CAB tests other than DBS based assays, shall yield ‘on-the-spot’ results and they should be recorded immediately in Biomarker Schedule. As regards blood sample collection, the Field Agency 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, 5litre wide mouth plastic jar, tongs, kerosene and match box) needed for disposal of biohazardous waste has to be purchased by FA.

I. 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-5 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-5 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.

J. 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.

K. 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.

L. 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.

M. 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-5 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 of 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)-5

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

Approximate number of household to be surveyed: _____

| Installment | Disbursement Modality | Verifiable indicator | % of the Amount to be released |
|--------------------|---|---|---------------------------------------|
| 1 | <p>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.</p> <p>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> | <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 | <p>At the time of the beginning of the survey after raising required number of teams on:</p> <p>a. Completion of training and</p> <p>b. Certification of FA by IIPS Project Officer and self-certification by Head of the Field Agency.</p> | <p>Letter from Head of the FA giving details of recruitment and completion of training of field staff etc.</p> <p>And</p> <p>Formation of required number of teams of trained interviewers and supervisors for household survey</p> <p>And</p> <p>Report of the project officer/project coordinator from IIPS</p> | 20% |

| | | | |
|---|--|---|-----|
| | | 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. | <p>Same as above</p> <p>And</p> <p>On printing and distribution of district Factsheets and receipt of required number of Factsheets by IIPS</p> <p>And</p> <p>Completion of the financial requirements of previous releases</p> <p>And</p> <p>On returning of all GPS</p> | 20% |
|---|---|--|-----|

| | | | |
|--|--|--|--|
| | | instruments, CAPI and CAB items along with unused consumables provided by IIPS And Submission of original postal/courier bills of | |
|--|--|--|--|

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-5 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 0.1% of the total cost would be deducted for each completed week's delay. However, in case of the situation beyond control of Field Agencies like law & order situation, natural calamities, final delay will be assessed by IIPS & final penalty will be imposed accordingly.
- 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 2017– 12 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-5

Dear Sir,

As per the provision contained in the contract dated _____ I hereby request you to release _____ installment 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 GST/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-5 data management during the fieldwork and till all the data is cleaned, validated and approved by IIPS.

ATTACHMENT E

GENERAL FINANCIAL RULES 2017

**Ministry of Finance
Department of Expenditure**



GFR 12 - A

[(See Rule 238 (1))]

**FORM OF UTILIZATION CERTIFICATE
FOR AUTONOMOUS BODIES OF THE GRANTEE ORGANIZATION**

**UTILIZATION CERTIFICATE FOR THE YEAR..... in
respect**

of recurring/non-recurring
GRANTS-IN-AID/SALARIES/CREATION OF CAPITAL ASSETS

1. Name of the Scheme
2. Whether recurring or non-recurring grants.....
3. Grants position at the beginning of the Financial year
 - (i) Cash in Hand/Bank
 - (ii) Unadjusted advances
 - (iii) Total
4. Details of grants received, expenditure incurred and closing balances: (Actuals)

| Unspent Balances of Grants received years [figure as at Sl. No. 3 (iii)] | Interest Earned thereon | Interest deposited back to the Government | Grant received during the year | | | Total Available funds (1 +2-3+4) | Expenditure incurred | Closing Balances (5-6) |
|--|-------------------------|---|--------------------------------|-----------|--------------|----------------------------------|----------------------|------------------------|
| | | | Sanction No. (i) | Date (ii) | Amount (iii) | | | |
| 1 | 2 | 3 | 4 | | | 5 | 6 | 7 |
| | | | | | | | | |

Component wise utilization of grants :

| Grant-in-aid-General | Grant-in-aid-Salary | Grant-in-aid-creation of capital assets | Total |
|----------------------|---------------------|---|-------|
| | | | |

Details of grants position at the end of the year

- (i) Cash in Hand/Bank
- (ii) Unadjusted Advances
- (iii) Total



GENERAL FINANCIAL RULES 2017
Ministry of Finance
Department of Expenditure

Certified that I have satisfied myself that the conditions on which grants were sanctioned have been duly fulfilled/are being fulfilled and that I have exercised following checks to see that the money has been actually utilized for the purpose for which it was sanctioned:

- (i) The main accounts and other subsidiary accounts and registers (including assets registers) are maintained as prescribed in the relevant Act/ Rules/ Standing instructions (mention the Act/Rules) and have been duly audited by designated auditors. The figures depicted above tally with the audited figures mentioned in financial statements/accounts.
- (ii) There exist internal controls for safeguarding public funds/assets, watching outcomes and achievements of physical targets against the financial inputs, ensuring quality in asset creation etc. & the periodic evaluation of internal controls is exercised to ensure their effectiveness.
- (iii) To the best of our knowledge and belief, no transactions have been entered that are in violation of relevant Act/Rules/standing instructions and scheme guidelines.
- (iv) The responsibilities among the key functionaries for execution of the scheme have been assigned in clear terms and are not general in nature.
- (v) The benefits were extended to the intended beneficiaries and only such areas/districts were covered where the scheme was intended to operate.
- (vi) The expenditure on various components of the scheme was in the proportions authorized as per the scheme guidelines and terms and conditions of the grants-in-aid.
- (vii) It has been ensured that the physical and financial performance under..... (name of the scheme has been according to the requirements, as prescribed in the guidelines issued by Govt. of India and the performance/targets achieved statement for the year to which the utilization of the fund resulted in outcomes given at Annexure - I duly enclosed.
- (viii) The utilization of the fund resulted in outcomes given at Annexure – II duly enclosed (to be formulated by the Ministry/Department concerned as per their requirements/specifications.)
- (ix) Details of various schemes executed by the agency through grants-in-aid received from the same Ministry or from other Ministries is enclosed at Annexure -II (to be formulated by the Ministry/Department concerned as per their requirements/specifications).

Date:

Place:

Signature

Signature

Name.....

Name.....

Chief Finance Officer

Head of the Organisation

(Head of the Finance)

(Strike out inapplicable terms)

Annexure F

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

This UNDERTAKING is made on this **00 day** of **XXXXX 2018** BETWEEN the Director **International Institute for Population Sciences, Mumbai,** (hereinafter 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)-5 field work in the state/group of State/UTs of_____. In NFHS-5 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 | Optical mouse | |
| 4 | 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-5 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 installment 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-5 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 (incase data is also lost along with laptop) from next installment 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 HERE TO 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.

Annexure G

Details of completed surveys by Field Agency in last five years

| Sr. No. | Name of the survey | Sample size (households) | Period of survey | Coverage | Topic |
|----------------|---------------------------|---------------------------------|-------------------------|-----------------|--------------|
| 1 | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |

Note: Add rows if required.