SOCIAL FINANCE

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WEST BANK AND GAZA YOUTH EMPLOYMENT DIB – REQUEST FOR PROPOSALS (RFP) FOR A MANAGEMENT INFORMATION SYSTEM

1 Introduction to the DIB

Overview

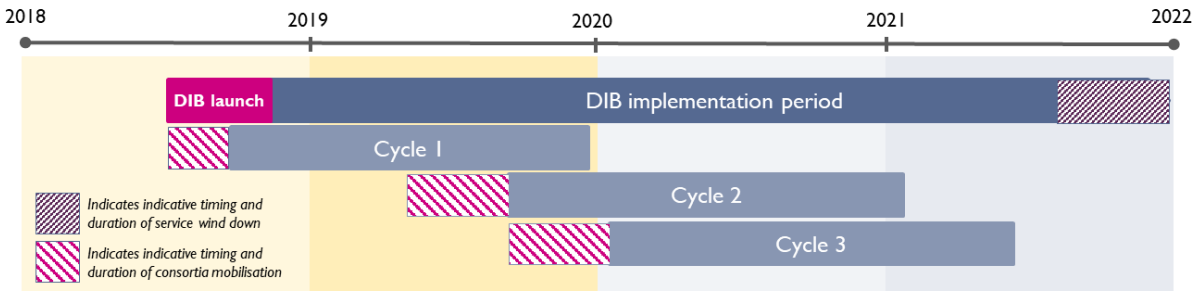
Around 40% of youth aged 18-29 in the West Bank and Gaza are unemployed, with women disproportionately represented among those out of work.[1] Individuals with high levels of education also suffer high rates of unemployment, suggesting that the education system is failing to equip youth with the skills relevant to the labour market.[2] Workforce development programmes in the West Bank and Gaza have benefited from approximately USD$140 million in donor investment since 2001, but programmes have focussed almost exclusively on skills training provision alone, failing to build partnerships with the private sector that could help inform training content development and facilitate education-to-employment transitions for young people.

The West Bank and Gaza Youth Employment Development Impact Bond (DIB) will be the world's first training and employment DIB sponsored by the World Bank as part of the Finance for Jobs programme. It aims to support around 1,500 unemployed Palestinian young people aged 18-29 into training opportunities and employment. Investors will fund the upfront delivery of training and employment placement services, and will be repaid by an Outcome Funder—in this case, the World Bank, through the Project Implementation Agency (PIA), DAI Global—on the basis of pre-agreed training and employment outcomes being achieved by young people through the programme. A key principle of the DIB is giving service providers the freedom and flexibility to try different approaches to achieving the outcomes, and it is important for both service providers and the DIB manager to be able to use data to evidence outcomes and understand what works to achieve them. **The DIB therefore requires a Management Information System (MIS) which enables the project to track, monitor, and record the case profiles, training and employment journeys, service delivery activities and outcomes of service users.**

Intervention

The DIB proposes a series of demand-driven and sector-specific soft and technical skills training programmes. The focus of training has been determined by expressed private sector demand for additional skill sets among new hires. To mitigate the risks of fixing programme elements that may no longer be aligned with market demand even 12 months later, we have planned for 2-3 cycles of service delivery across the 36-month implementation period. The staggered approach to delivery creates natural points where service providers can reassess the market, identify the sectors and sub-sectors poised for growth, and design responsive project models. It also provides some time for the analysis of programmatic data from earlier cycles before commitments are made concerning the sector focus, scale, and content of any future implementation cycle. 2-4 service providers will be selected per cycle, depending on the size of the consortium. The figure below provides an illustration of the proposed approach.

[1] Palestinian Central Bureau of Statistics (2015). Available at: http://www.pcbs.gov.ps/Portals/_Rainbow/Documents/unemployment-2015-02e.htm.
[2] Palestinian Central Bureau of Statistics (2017). *Labour Force Survey (April - June 2017)*. Available at: http://www.pcbs.gov.ps/portals/_pcbs/PressRelease/Press_En_7-8-2017-LF-en.pdf.



The following diagram sets out the expected components of the intervention model to be delivered by each service provider. These components create a well-defined pathway moving beneficiaries to employment and provide comprehensive wraparound support, which have both been identified as critical success factors for workforce development programmes worldwide in qualitative assessments.[3]

Workplace readiness skills training	Training could cover *inter alia* communication, critical thinking, presentation skills, or gender in the workplace.
Technical skills training	Training will vary depending on the sector targeted and the expressed needs of the market. Service provider consortia in the first implementation cycle will focus on the health and industrial/construction sectors.
Internship placement	Where identified as necessary, internships will be brokered by service provider consortia to provide beneficiaries an opportunity to apply newly-acquired skills in a workplace setting.
Employment placement support	Support could range from the provision of CV writing guidance to active job brokerage for beneficiaries.
In-work support	Support could take various forms, but would focus on addressing any issues that could result in a beneficiary leaving a post.

Outcomes-based repayments to investors

Once DIB service delivery commences, the programme management team will invoice the Outcome Funder on a quarterly basis for the number of outcomes achieved by participants on the programme, as defined by pre-agreed payment metrics. A tariff value will be assigned to each metric, and this value will be paid by the Outcome Funder to the Investors once the achievement of the outcome has been verified by an independent verification agent (IVA). The evidence of these outcomes will be entered into the DIB management information system, which will enable the programme management team and the IVA to monitor and verify their achievement. The proposed payment metrics are as follows, with exact tariffs for each metric currently being finalised:

Outcome	Measure
Acceptance onto the programme	Completion of an intake assessment and acceptance onto the programme
Training start	Participant begins DIB-funded training programme
Training completion	Participant completes training programme

[3] Interview (2017) conducted with Professors Chris King and Heath Prince, Ray Marshall Centre for the Study of Human Resources, University of Texas.

Job start	Participant begins paid employment
3-month job sustainment	Participant in paid employment three months after employment start date
6-month job sustainment	Participant in paid employment six months after employment start date

DIB design stakeholders

The DIB design phase from 2016-2018 has been sponsored by the outcome funders, the World Bank, the Ministry of Finance Planning in the West Bank and the Project Implementation Agency, DAI Global. Social Finance and DAI Global have worked closely together to design the DIB's structures, select service providers and raise capital and carry out investor due diligence.

We are currently working with a coalition of 5 international and local investors, from Development Finance Institutions to Palestinian private investment funds, to complete the process of due diligence and prepare the DIB for launch. The management information system will be a key element in enabling programme outcomes to be achieved and will therefore be funded by the parties investing in the DIB.

Timeline to launch

We are aiming to begin mobilisation of the DIB in October 2018. The selected provider of the management information system will be brought onboard in the mobilisation phase to begin the development and testing of the system prior to the beginning of service delivery. The following summary is indicative of our target timeline to launch, and is subject to investor due diligence processes:

Phase	Period
End of DIB design phase	July – September 2018
Mobilisation	October – November 2018
Service launch (Implementation phase)	November 2018 – November 2021

2 Scope of Work

This RFP is for the provision of an MIS for the DIB that adequately fulfils the requirements as set out in Appendix B ('Management Information System Specification') in this document. We are seeking a provider who:

- Has significant technical experience of building user-friendly and effective data systems for programmes that are similar to the DIB in terms of user groups, scale, intervention model and types of data collected;
- Is knowledgeable about the issue the DIB is seeking to address, results-based financing and/or the local context;
- Is able and willing to work with Social Finance and other relevant stakeholders, such as investors, in a collaborative, flexible and communicative manner that is ultimately centred on the end users of the system;

- Understands and is able to advise on the data security implications of developing a MIS for a programme with many international stakeholders; and
- Is able to carry out the work required in a cost-effective and timely way.

We anticipate that there will be two phases to this work:

- **Phase 1:** Development and testing (to be carried out in the two months following the date of contract signing on Page 8) of a prototype MIS
- **Phase 2:** Final configuration and deployment of the MIS (in parallel with the commencement of service delivery), with a low level of ongoing support and/or maintenance over the duration of the DIB

Bidders are invited to suggest the activities and work which will be needed in each phase in order to deliver an MIS which meets the requirements of the DIB. This contract is for the work required in Phase 1, but the successful bidder will be the preferred candidate to deliver Phase 2 and should therefore include plans and an indicative budget for Phase 2 in their proposals. The following are an indication of the types of activities which we believe would be useful:

Phase 1: Development and testing

- In-depth assessment of the data collection, monitoring and analytical needs of the programme, including a review of key documentation and in-person meetings and/or calls with Social Finance and other relevant stakeholders, such as selected service providers and the IVA;
- Set up or development of the MIS prototype, including the forms for data entry and the user dashboards;
- Iterative testing of the MIS prototype with key users representing the user groups;
- Delivery of system admin training to the DIB manager team and training for the use of the system to other users;
- Advice on data security requirements of the MIS;
- Advice on hardware requirements for the MIS;
- Refinement of the scope of work and budget for Phase 2.

Phase 2: Final configuration and deployment

- Finalisation of the forms and dashboards in the MIS based on user feedback;
- Deployment of the MIS to Cycle 1 Service Providers, the DIB Manager team, the external performance management advisor and the IVA, including initial user support;
- Ongoing maintenance and hosting of the system during the 3 years of the DIB, including fixing any bugs or making any updates to the system on an ad hoc basis.

3 Instructions and conditions to be observed by bidders

Contracting Authorities

The contract for the first phase of work will be with an investor-owned vehicle to be launched by DIB investors. All communications and clarifying questions should be through Social Finance on behalf of the DIB investors, to

Cheriel Neo, cheriel.neo@socialfinance.org.uk

The services will be provided directly to the investor-owned vehicle while interested stakeholders include the selected service providers, the IVA, external advisor, and performance management team

All communications must take place in English.

Standard clauses and conditions

Bidder responsibilities

It is the Bidder's responsibility to:

a) obtain clarification of the requirements of this RFP, as needed, before submitting a proposal, as outlined in the terms of this RFP.;
b) prepare its proposal in accordance with the instructions contained in this RFP;
c) submit the proposal by the RFP deadline;
d) send its proposal only to the contact(s) named in this RFP; and
e) provide a comprehensible and sufficiently detailed proposal, including all requested details to permit a complete assessment, in accordance with RFP requirements and criteria.

RFP Responses

a) The Contracting Authority and Social Finance reserves the right in their sole discretion to extend the RFP period at any time.
b) Proposals will only be accepted if they are received by the named individuals above by email, on or before the closing date.
c) All information within this RFP is to be held in confidence. Please do not share this document or the content herein without express permission of the Contracting Authority.
d) The Contracting Authority and Social Finance will regard and preserve as confidential and proprietary to the disclosing party all non-public information, written, oral or computer-based, to which it has access as part of this RFP, except with prior approval of the Bidder.

Legal capacity of Bidder

The Bidder must have the legal capacity to contract. If the Bidder is a sole proprietorship, a partnership or a corporate body, the Bidder must provide, if requested by the Contracting Authority or Social Finance, a statement and any requested supporting documentation indicating the laws under which it is registered or incorporated, together with the registered or corporate name and place of business. This also applies to bidders submitting a RFP proposal as a joint venture.

Rights of Contracting Authority

The Contracting Authority reserves the right, in their sole discretion, to:

a) reject any or all proposals received in response to this RFP;
b) enter into negotiations with Bidders on any or all aspects of their proposals;
c) accept any proposal in whole or in part without negotiations;
d) seek clarification and/or verify any or all information provided with respect to this RFP;
e) award one or more contracts;
f) contact any or all references supplied by bidders to verify and validate information provided;
g) verify information provided by bidders through independent research, use of government resources or by contacting third parties;
h) cancel, reissue or extend the RFP at any time without liability; and
i) if no acceptable proposals are received, re-tender the RFP by inviting only the bidders who bid to re-submit proposals within a period designated by the Contracting Authority or Social Finance.

Communications during RFP process

To ensure the integrity of the competitive bidding process, all enquiries and other communications regarding the RFP must be directed by email only to the contact identified in this RFP. Failure to comply can result in the disqualification of the bid.

Conflict of interest

Potential bidders must notify the Contracting Authority via Social Finance immediately if any actual, potential or perceived conflict of interest arises (a perceived conflict of interest is one in which a reasonable person would think that a person's or organisation's judgement and/or actions are likely to be compromised).

Costs

No payment will be made for any costs incurred in the preparation and submission of a proposal.

All fees, expenses or other costs of any kind ("Costs") associated with evaluating, preparing and/or submitting a proposal are the sole responsibility of the Bidder. No Costs incurred by a bidder relating to the Scope of Work before the receipt by the Contracting Authority of a signed contract, or absent express, written authorisation from the Contracting Authority to incur Costs, can be charged to or in any other way be the responsibility of, the Contracting Authority.

4 Responses to this RFP

Bid components

Bids should address the Scope of Work and the MIS specification as set out in this RFP in two sections, Technical and Financial, described in more detail below.

The Technical section should include:

1. **Project Workplan:** Detailed and clear work plan with efficient timetable for Phase 1 and 2, focusing in particular depth on the work to be done in Phase 1, including a table of risks to the delivery of the work and proposed mitigations. If bidders are not based in the West Bank, this section should also set out how you would test, deploy, host and maintain asystem whose main users will be based in the West Bank.
2. **Technical track record:** Demonstrated experience in the development of at least 3 relevant systems that effectively served the needs of users. Relevant systems may include systems for programmes that are similar to the DIB in terms of user groups, scale, intervention model and types of data collected. This section should also set out how you have previously supported long-term user satisfaction.
3. **Knowledge of the issue and context:** Prior experience in, or knowledge of, results-based financing programmes, training and employment programmes and/or data-driven programmes in developing countries, particularly fragile and conflict-affected states. Experience of delivering systems to fit tight operational budgets.
4. **International data security expertise:** Demonstrated knowledge and understanding of internationally recognised data protection standards and practices, and how these might apply to the design, hosting and usage of the MIS in the DIB, given applicable local and international data protection laws.
5. **Team and capacity:** Software development skills and experience in system design, user research, project management, data analytics and data visualization/dashboard design which would enable the delivery of the proposed scope of work in both phases. Relevant team member experiences, efficient team allocation and roles proposed, relevant case studies and/or past examples of similar work completed by your team, experience and/or

knowledge of the issue or context will be considered an asset. **Any potential issue around availability or start/stop dates should be flagged. Any considerations or constraints around the capacity to deliver Phase 2 should also be flagged in this proposal.**

6. **References:** Contact details for at least two recent client references engaged by your team. We will be contacting them to discuss your previous work with them, so you do not need to provide full written references from them.

The Financial section should include:

1. **Comprehensive budget:** Using a template of your choice, a budget should be prepared that includes cost and estimated level of effort, itemised by activity. The budget should include travel and other expenses as required. The budget should focus in particular detail on the delivery of Phase 1, and a draft budget should be provided for Phase 2. *Given the social mission and non-profit funded nature of this project, it is emphasized that your RFP bid should focus on the most cost and time efficient work plan.* **Budgets must be presented in USD with VAT shown separately.**

The total page number for both sections should not exceed 21 pages (including appendices). A checklist of documents that should be submitted can be found in Appendix D.

Evaluation Criteria

The high-level criteria that will be used to evaluate proposals is described in the table below:

Criteria	Points
Technical	
1. Project Workplan	10 points
2. Technical Track Record	15 points
3. Knowledge of Issue and Context	10 points
4. International Data Security Expertise	15 points
5. Team and Capacity	10 points
6. References	10 points
Technical total	***70 points***
Budget	
7. Comprehensive budget for Phase 1 and draft budget for Phase 2	30 points
Budget total	***30 points***
Total Points	**100 Points**

Timeline of selection process

- **Deadline for bids –** final bids must be sent to the Contracting Authority's designated contact by email by **31 August 2018 at 5pm BST** with the subject line "West Bank and Gaza DIB: Management Information System Proposal"

- **Interviews –** we are aiming to conduct short-listed bidder interviews in w/c **10 September 2018**. **Please ensure you have capacity to participate in potential interviews via video conference this week. The ability to perform a short demo of an example system in interviews will be a bonus.**

- **Follow up interviews –** if necessary, we may schedule follow-up interviews with short-listed bidders with other partners or to further clarify questions in w/c **17 September 2018 and 24 September 2018**

- **Contract execution –** An offer will be made to the selected bidder and we will aim to have the contract for Phase 1 fully executed by **w/c 15 October 2018**

Bidders are encouraged to ask clarification questions where required. In the interests of fairness, the answers will be communicated to all prospective bidders on the F4J website at: http://www.f4j.ps/. In order for us to do this in a timely way, **all questions must be submitted by 5pm BST on 20 August 2018.** Any questions submitted after this time will not be answered. We will not reveal the identity of the bidding organisations in doing so.

APPENDIX A – INTRODUCTION TO DIBS

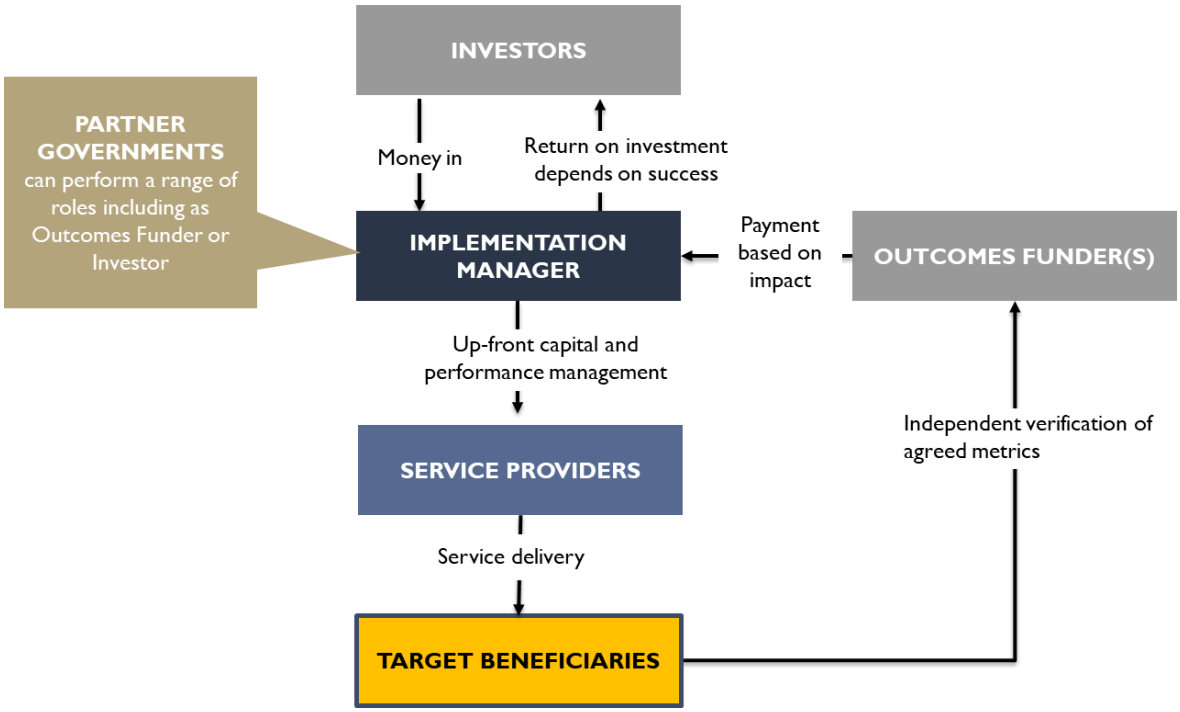
In an DIB, investors pay in advance for interventions to achieve agreed results, and work (typically through a Performance Manager) with delivery organisations to ensure that the results are achieved efficiently and effectively. Outcome funders (Government and/or external donors) make payments to investors if the interventions succeed, with returns linked to results achieved.

Unlike other performance-based financing program, in a DIB, investors' desire to maximise their return ensures a continuous focus on flexible and adaptive program implementation, rather than delivery of pre-defined inputs. Risk is transferred to investors, and the focus on rigorously measured outcomes increases sustainability by ensuring that public money is only used for tangible, verifiable outcomes.

Typical structure

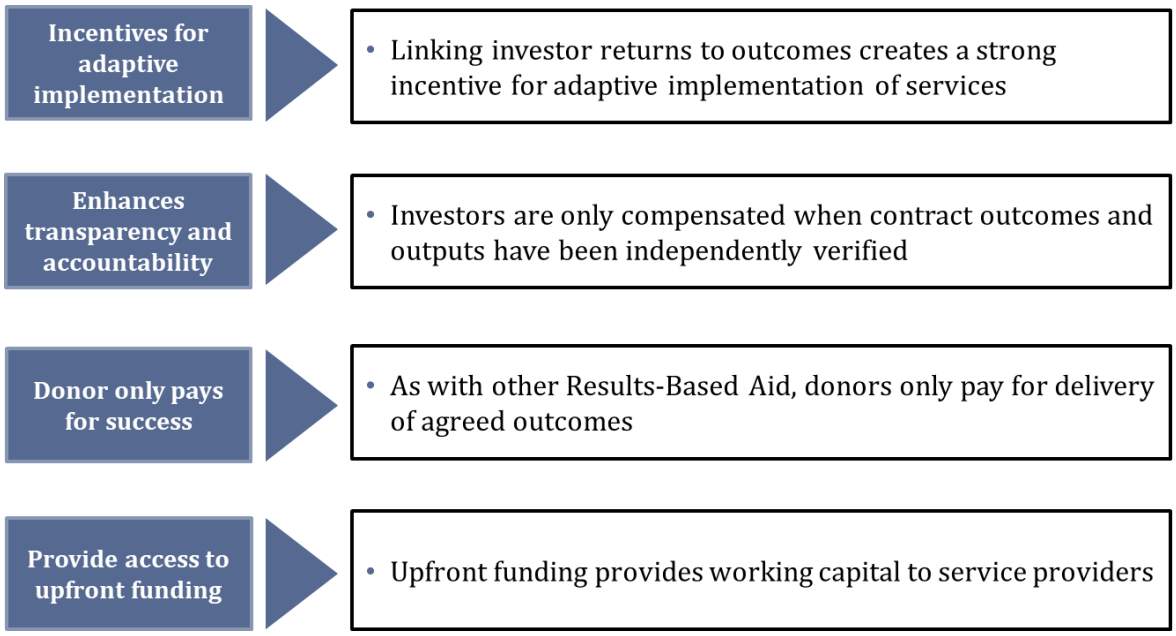
In a DIB:

- Project financing is provided by investors who take on the risk of the project failing to deliver agreed results, and therefore losing some or all of their capital;
- Outcomes Funders pay for agreed-upon results after they are achieved;
- Financial returns to investors are tied to the achievement of agreed outcomes;
- Outcomes Funders do not specify implementation modalities;
- Investors – typically through a Performance Manager - manage implementation – investors have proven willing to quickly adapt the interventions they finance based on real time data on what is working well and what is not; and
- Contract outcomes and outputs are independently verified.
- A typical structure of a DIB can be found below:



Benefits of DIBs

DIBs can improve the efficiency and effectiveness of development programs in a number of ways:



Steps to developing a DIB

The development of high quality Impact Bonds requires considerable thought and collaboration between a number of stakeholders.

The following gives a high-level overview of the activities and timelines typical of each stage of DIB development:

1) **Initial scoping.** At the scoping stage, we analyse the social issue that the DIB is looking to address, identify the geographical focus and determine clear criteria against which the target population can be identified. Potential outcome metrics and ways of measuring success are developed through consultation with key actors (e.g. partner government, outcomes funders, investors, potential service providers and beneficiaries). In addition, we carry out research to identify interventions that address the needs of the target population and have potential to achieve the desired outcomes.

2) **Detailed feasibility**. At this point, we work with partners to outline the detailed operating model, outcomes measurement approach and payment framework. The operating model sets out indicative program delivery costs and describes how the proposed interventions fit with existing infrastructure and services. An initial outcomes measurement and payment framework is developed to provide detail on the conditions under which outcomes funders will make payments to investors. During feasibility, we illustrate different ways of structuring outcome payments, bring an understanding of potential investor needs to the project and undertake an initial marketing exercise to potential investors.

3) **Final design and launch**. During this stage, key terms in the outcomes contract such as the target population, investment obligations, outcomes definition, payment mechanism, reporting framework and verification processes are finalised. On-the-ground testing of key assumptions is often required. Detailed discussions are held between key parties to agree contract terms, and input from legal experts into contract development is often necessary. An investor agreement will need to be developed and agreed, which specifies the amount and

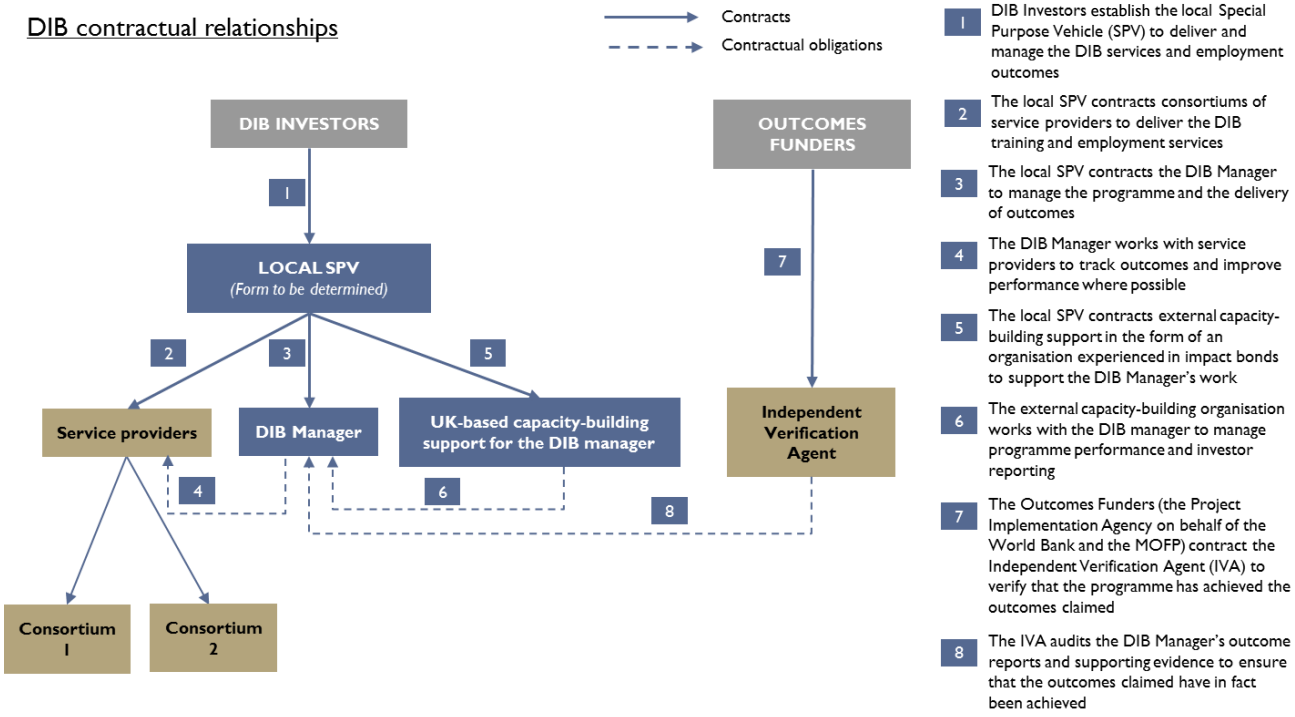
timeline for drawdown of capital from investors and the terms under which payments are made to investors.

Service delivery / contract and performance management. Once the outcomes contract is agreed and financing commitments are secured from investors, the mobilisation of services can begin on the ground. Contract and performance management will be carried out on an on-going basis by investors, or more typically by a performance manager representing their interests, to ensure that the quality of the service being delivered is sustained. In addition, outcomes funders should commission either an independent verification agent to audit and verify the accuracy of reported outcomes. Based on the results of this measurement and verification process, the level of outcomes payments due can then be determined.

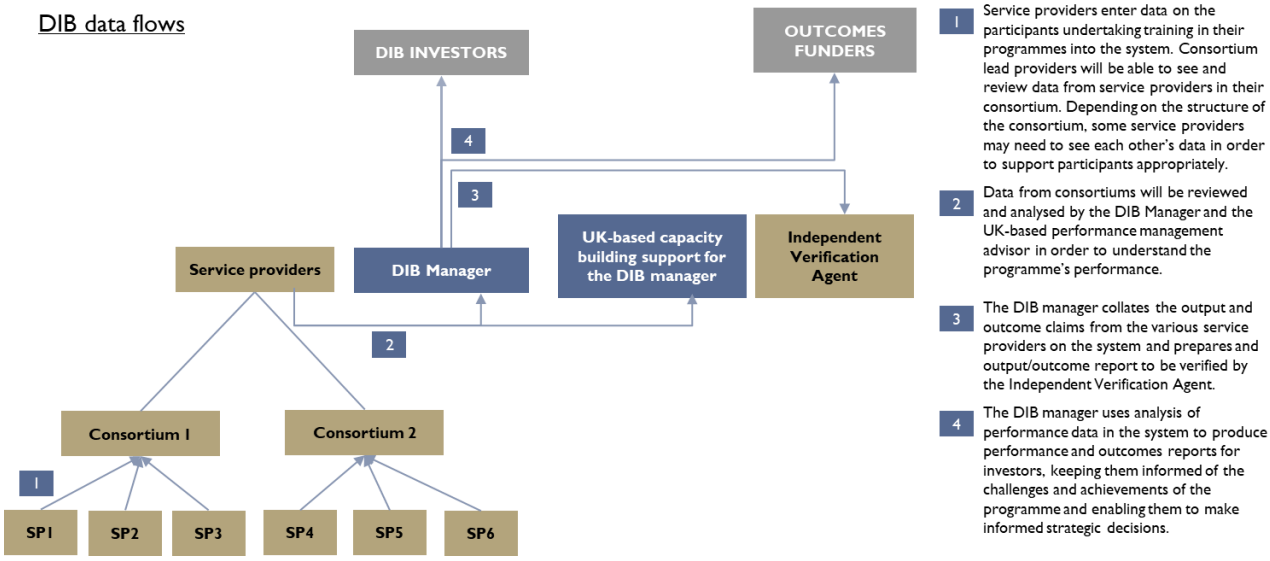
APPENDIX B – MANAGEMENT INFORMATION SYSTEM SPECIFICATION

2 User Groups

DIB contractual relationships



DIB data flows



The main user groups of the CMS are service provider teams, DIB Manager staff, external performance management support and the Independent Verification Agent (IVA) team.

The role of the **service providers** is to plan, deliver and record training and employment placement activities to move programme participants into employment, while delivering monthly reports to the DIB manager team on the performance of services. Service providers are

contracted on a consortium level, and the lead consortium partners are responsible for managing subcontracts with other organisations delivering similar or related services to fulfil the contract. The structure of consortiums and service provider teams is for service providers to determine, in line with the core principle of enabling the flexibility required for services to deliver outcomes. It is therefore likely that service provider staff will need to manage cases at individual, cohort and consortium levels. We envision that there will be two main user groups among service providers: the **case managers** and the **service managers**.

The **case managers** will manage young people's journeys through the programme and be responsible for ensuring that their data is accurately entered into the system in a timely way. There may be multiple service provider case managers for each service provider. Depending on the way each consortium is structured, some service providers may need to see each other's data to appropriately support participants in their training and employment journeys.

Service managers will be responsible for overseeing the performance of their consortium on behalf of the consortium lead provider. This will involve reviewing the data entered by case managers in order to manage provider activities and workload across their consortium and to work closely with the DIB manager to identify and address performance issues in a timely way.

The role of the **DIB manager** is to check and review service providers' outcome reports, provide reports on outcomes to investors and outcomes funders and to understand the factors driving providers' performance and work with providers to achieve improved outcomes. The DIB manager will also be managing contracts with providers. They therefore need to be able to control and change the way data is entered in the system, run reports on data in the system to understand trends in performance and access individual participant data so as to check the veracity of service providers' reports. This data will be used to generate insights and learnings in terms of what does and does not work to improve sustained employment for Palestinian youth.

The role of **external performance management support** is to capacity-build the DIB manager team by providing expertise on performance management in Impact Bonds and sharing knowledge on the design and principles of the DIB. This will likely be carried out by Social Finance UK, who have played a leading role in the design of the DIB. In order to appropriately advise the DIB manager and support the adaptive management of the programme, the external performance management support team will need to be able to access and analyse data related to the service providers' overall performance in the system, without having the same administrative privileges or access to individual participants' data as the DIB manager. As Social Finance are based in the UK, it will be important for data protection purposes for any personal data to be anonymised before it can be accessed by Social Finance.

The role of the **IVA** is to audit and verify the outcomes reports prepared by the DIB manager so that payment can be made to investors on the basis of actual outcomes achieved. In order to do so, the IVA will need to access and check the evidence of outcomes achieved by participants on the system, such as signed programme start documents, training attendance records and signed employment contracts. They will therefore need to be able to see records for all participants in the system, but should not be allowed to edit the records in any way.

User goals and needs

Case managers

- Ability to see status of cases assigned to them and actions that need completing
- Ability to see chronological activity on cases and actions taken
- Audit trail of interactions, decisions and changes on cases that is clear to follow

- Ability to set reminders and tasks
- Ability to access guidance and support for using the system and provide feedback
- Ability to use the system on the go—to access the system through the internet, ideally through smartphones if possible, in both the West Bank and Gaza
- Clear, user-friendly interface which minimises administrative burden

Service managers; service provider measurement and evaluation officers; or consortium lead managers

- Ability to see a clear overview of cases and activities in the service (e.g. a monthly report)
- Ability to check individual case files and other underlying data to ensure robust reporting practices
- Ability to clearly see missing data and flag this to case managers
- Ability to set actions, tasks and reminders for case managers on particular cases
- Ability to see where actions are overdue on cases, any escalated issues e.g. complaints
- Ability to flexibly generate reports based on data collected to be sent to lead consortium partner/DIB manager
- Ability to understand the distribution of work across case managers/consortium partners and their projected workload

DIB Manager

- Ability to generate reports flexibly on data in the system and export reports for analysis
- Ability to review and check service provider reports for accuracy
- Ability to clearly see missing data and use the system to flag missing or insufficient documentation
- Ability to communicate tasks or reminders to service providers
- **Team members with admin permissions only:** Ability to manage and customise the system in order to adapt to changes in service delivery or approach

External performance management support

- Ability to generate reports flexibly on data in the system and export reports for analysis

IVA team

- Ability to check individual case files to ensure that DIB manager outcomes reports are accurate
- Ability to flag missing or insufficient documentation to the service provider and DIB manager

User tasks

Case managers

- Creating and managing cases
- Completing intake assessments
- Uploading case notes (e.g. from interviews) / evidence / documentation
- Detailing progress and actions taken on cases
- Being able to close cases (e.g. if participants drop out)
- Setting tasks and reminders

Service managers; service provider measurement and evaluation officers or consortium lead managers

- Viewing the workload and open cases of the case managers/service providers they manage

- Reviewing progress on cases
- Checking that recording of case activity is appropriate and robust
- Setting actions, tasks and reminders for case managers to action on specific cases
- Setting up new case managers on the system
- Running reports on outcomes achieved in their service for a certain period of time
- Uploading documents to be shared with colleagues, partners or DIB manager
- Assigning cases to various case managers/consortium partners

DIB Manager team

- Checking recorded case activity to ensure it is in line with expectations, appropriately evidenced and in line with service provider's reports
- Requesting other or revised evidence from service providers
- Setting reminders for service providers for reports or data collection
- Running reports on outcomes achieved across the programme as well as data in any other fields to understand the performance of services and trends in performance
- Uploading documents to be shared with service providers
- Extracting information for analysis of KPIs and reporting purposes
- **Team members with admin permissions only:**
    - Adding or removing new fields of data, designating new KPIs and creating new forms to be filled in by service providers
    - Making fields or forms required or optional
    - Changing and granting data entry and viewing permissions for individual users or groups of users
    - Setting up new accounts or new training projects for new service providers and approving new case manager accounts
    - Customising user dashboards so as to manage the form and quantity of information communicated
    - Updating service providers' dashboards

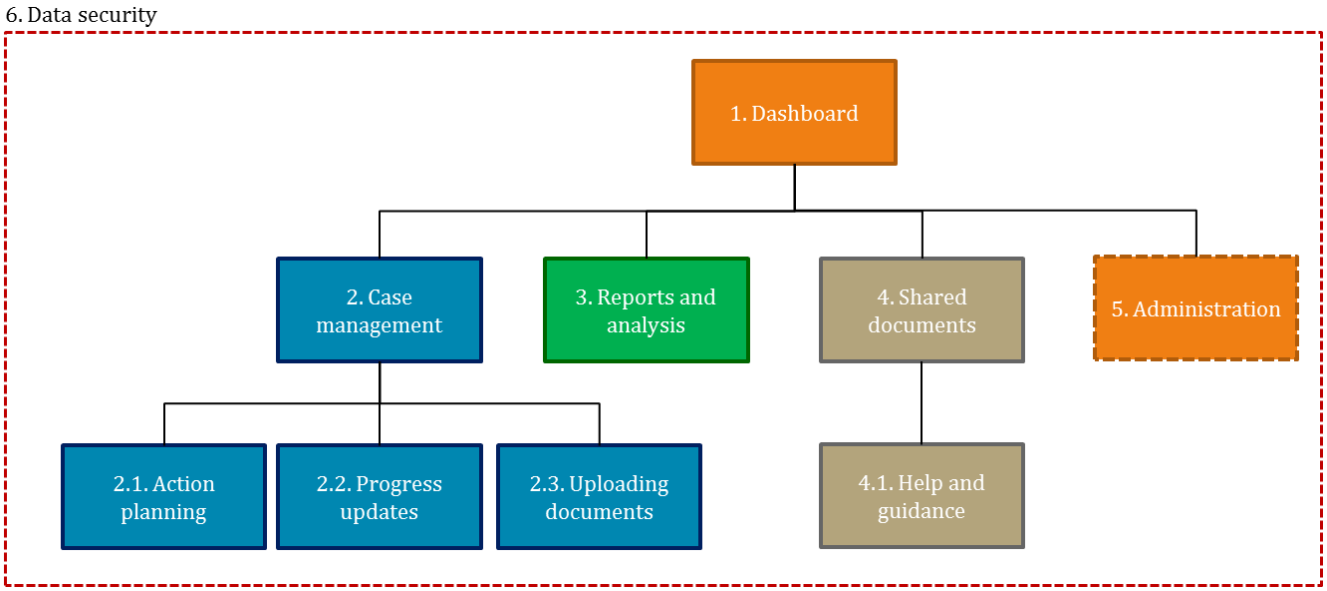
External performance management support

- Initially working with the DIB Manager team to set up the system, its permissions and forms
- Running and viewing reports on outcomes achieved across the programme as well as data in any other fields in the system to understand the performance of services and trends in performance
- Extracting information for analysis of KPIs

IVA team

- Viewing (but not editing) records of service provider activity and documentation for individual cases
- Requesting additional evidence from service providers

2 Work Flow Diagram



Process Flow

The work flow diagram above represents the process flow we have envisioned for the management information system.

1. Dashboard

Users will first see a dashboard when they log into the system, which will contain a directory to the other pages, relevant performance analysis (e.g. key performance indicators over the past X months), summarise actions that need to be taken, and provide options for creating new cases or downloading data.

2. Case management

Users will be able to see the cases they are responsible for here and create new cases. For the DIB manager staff and IVA team, this could be an overview of cases by consortium; for consortium lead managers, this could be an overview of cases by consortium partner; for service managers, this could be an overview of cases by case manager; and for case managers this could be an overview of each of their individual cases. Each user should be able to navigate from here to look at provider workloads and cases in greater detail. Individual case files should be structured according to a participant's journey, from recruitment to the programme through the training and employment plan created for them, and all actions taken on the case should be visible in chronological order.

2.1. Action planning

Case managers can interact with cases by creating tasks, setting reminders and viewing the current status of cases. Service and lead consortium managers can allocate new cases, set reminders and actions for case managers or view and address complaints.

2.2. Progress updates

Case managers can add notes to participant cases, close participant cases (e.g. in the case of dropouts) and update individual case files with changes to the training and employment plan, updates on the completion of elements or goals in the plan or updates on participants' achievement of the agreed outcomes.

2.3. Uploading documents

Case managers can upload documents and evidence to support their updates on participants' progress. PDF or photographic evidence should be permitted in addition to Microsoft Office documents.

3. Reports and analysis

DIB manager staff, consortium lead managers and service managers can create reports and run basic analysis on the data to which they have access to understand trends in performance or for the purposes of reporting to investors, the IVA and outcomes funders. Users should be able to export reports and download data for analysis to Excel as well.

4. Shared documents

Users can view and upload documents for sharing with all other users here. This could include templates, capacity-building guides and financial accounts.

4.1. Help and guidance

The 'Shared Documents' section should ideally include a guide to using the system which users can access for help at any time.

5. Administration

This section is only for the use of the designated system administrator(s) from the DIB Management team and anyone else to whom they grant permission. They can customise the system and its dashboards, create new accounts or training programmes, grant permissions and add new forms or fields for data collection.

6. Data Security

As a significant amount of personal data will be held on the system, it will need to be underpinned by a robust data security framework.

3 Requirements

The 'Essential' requirements below are considered core features of the system. The 'Recommended' features are 'nice-to-haves' which can be included in the system subject to their impact on price, development timelines and feasibility.

1. Dashboard

Essential	Recommended
The homepage should include a case dashboard which is simple to use and includes a clear directory of the cases the case manager is working on. This should include timely and important information such as whether there are any urgent outstanding questions	The dashboard should be interactive, allowing users to set reminders and alerts dependent on specific requirements
Personalised homepage per job function. E.g. service managers may see different reports and overviews than case managers.	The dashboard should link to options for creating new cases/accounts/training projects (depending on the user) and generating reports
	The dashboard could also display the latest performance analysis relevant to each user's job

2. Case management

Essential	Recommended
Cases should include basic information about each participant e.g. age, gender, address, educational and training background (see Appendix A for further information)	The overall case page should show the participant's progress through the system so far and who (e.g. which trainers/case managers) is responsible for them

2.1. Action planning

Essential	Recommended
Case Managers must be able to view their own caseload, Service Managers must be able to view caseloads at the service level. Cases must be searchable.	Automated task setting so that Case Managers receive updates on when they need to complete tasks for which case.
Ability to mark cases as closed on the system, so that they are then removed from the current workload, but still accessible for review.	
Ability to set tasks and receive reminders on cases, through a calendar function. E.g. that the intake assessment needs completing by a certain date	
Ability to set up new Case Manager accounts, identify a lead Case Manager for each case and for the Service Manager to be able to assign the case to other Case Managers within the team	

2.2. Progress updates

Essential	Recommended
Ability for case managers/service managers to update the progress of individual cases according to pre-set KPIs/outcome metrics	Offline data entry which then syncs when the system is back online – failing this, then a clear onscreen notice to users when the system is offline so that they can use alternative methods of capturing data
Ability for case managers/service managers to add notes in free text boxes describing any additional needs or considerations for each case	
When new forms are filled in (e.g. a form for an internship following the original intake), the previous answers should be duplicated to avoid human error/ having to re-enter.	
Ability to save progress of any forms before completion	
Ability to edit assessments once completed in order to correct any mistakes	
Ability to see timestamps of when forms were edited/completed, as well as to track the edits made to forms and export these records	
Ability to link progress against outcome metrics to whether supporting evidence has been uploaded for the participant's achievement. This field ('Has supporting evidence been uploaded? Yes/No') should be exportable to excel/CSV.	

2.3. Uploading documents

Essential	Recommended
Ability to upload PDFs, photo evidence and electronic documents to support participants' progress against key outcome metrics	
Fixed timeframe (to be determined by system administrators) within which specific pieces of evidence must be uploaded once the outcome e.g. training start is claimed in the system, to avoid retrospective fabrication of evidence	
Ability to reupload documents e.g. if incomplete the first time within the fixed timeframe. Original versions of documents should be archived, not deleted, so that any changes to the different versions can be checked to prevent fraud	
Records of updates to documents should be timestamped and exportable	

3. Reports and analysis

Essential	Recommended

Ability to use filters (e.g. like a pivot table) to generate a variety of reports	Ability to generate charts to visualise data
Ability to export reports to excel, CSV	Ability to design and create template reports and pre-populated dashboards to develop insights from.
Data extraction should be as close to real time as possible. E.g. if case managers have entered an action, this should appear in exported data in real time.	A service manager monthly report that can feed from different data inputs, and which contains relevant information for them.

4. Shared documents

Essential	Recommended
Ability to upload documents and designate other users who should be able to view them	Ability to edit documents once they have been uploaded to avoid duplicated versions of the same document.
Ability to choose categories of users (e.g. by consortium/DIB manager) to avoid having to choose users individually from a long list	
Ability to notify users when a document that they are able to view has been uploaded	
Ability to search documents and sort them by date	
Ability to 'pin' important documents to the top of the list e.g. the system user manual	

4.1. Help and guidance

Essential	Recommended
	Data systems providers could use the 'Shared Documents' section to upload any user manuals, FAQs or webinars to support new users to navigate the system

5. Administration

Essential	Recommended
Ability to set up or close user accounts or training projects	Ability to add skip logic to fields or forms
Ability to view and change user permissions for all information on the system	Ability to customise and update users' dashboards e.g. with new pieces of analysis
Ability to create new fields or forms for data entry and make various fields either required or optional	

6. Data security

Essential	Recommended
F4J data should be siloed to avoid other services or users accessing the data.	
Cloud based system that meets ISO27001 security standards or equivalent	
Strong data security that meets the requirements of local and international legislation	
Any personal data to be accessed by Social Finance must be anonymized before Social Finance can see it in the UK.	

Additional considerations

Essential	Recommended
Most service providers will be using other data systems alongside this one. To minimise the administrative burden on providers a system that is as lightweight and intuitive as possible is recommended	It could be useful to be able to integrate information automatically from other systems used by service providers, subject to data security considerations
The solution must be cost efficient and within the budget of the F4J project	The F4J programme may continue beyond the lifetime of the DIB, and if the government chooses to scale up the programme the system should be scaleable to include more providers and participants
	Case managers may often access the system from the field. A system that can be accessed on a mobile platform would be ideal.

APPENDIX C – DATA TO BE COLLECTED AT EACH STAGE OF THE INTERVENTION

Stage in the participant journey	Data collection, entry and management activities	Responsible party	Data to be collected and fields to be completed
Participant recruitment, intake and programme start process	• Collect administrative and demographic data of young people who complete the intake form (online form to be completed by young person and used in the intake assessment process[4]) • Create a unique ID record number for each young person who is officially recruited onto the programme and starts training • Input the collected information into the data system – only for those young people who are accepted onto the programme to start training (official programme starts)	Service providers (Data Officers and other staff members TBC – this will likely depend on the composition of each consortium and who is responsible for the recruitment and intake activities within each)	• Unique programme participant ID number • Full name • Date of birth • Gender • NI number[5] • Current address • Mobile telephone number • Educational and training background (exact fields and format to be discussed further) • Source of referral (exact field to be discussed further – part of this could be a drop-down with different options, among which university, workshop or other event, word of mouth, etc.) • Date of entry onto the programme (date of acceptance onto the programme and creation of the participant record in the data system, to be discussed further) • Training needs and professional aspirations (to be discussed further – this could be a text box) • Age at time of programme start (to be derived from DOB and date of entry onto the programme) • Signed intake/consent form, confirming acceptance of the conditions and willingness to participate in the programme – to be scanned and uploaded onto the system • Specific programme and track the participant has been referred to (tag or code linked to the specific track and programme/service provider) • Other fields to be created for the purpose of tracking and programme management (e.g. cohort group number, training group number)
Training and internships	Collect and record key information about participants' progress through the programme	Service providers	For each training module/track: • Date of training start • Records of attendance (for each training session) • Date of training completion • Grades or pass/fail (if applicable)

[4] It is expected that an online form will be created to facilitate the collection of prospective participants' information (to be taken into account during the intake assessment, and in particular, to assess whether the young person meets all the eligibility criteria and should be invited to start the programme). This form will be completed by young people themselves via a web page. This will reduce the amount of work for staff involved in the outreach and recruitment process and will minimise the risk of errors in data entry (which could occur if paper forms were to be completed by hand and manually entered by Data Officers). The corresponding information will then be pulled to a centralised database (likely an excel spreadsheet) and stored securely. For young people who are invited to enter the programme and who start training, the information will then be transferred to the performance management data system. The recruitment and intake process will continue to be refined over the coming weeks.

[5] Participants completing an internship within the programme will be required to provide a copy of a national identity document, and therefore to provide their NI. In order to streamline the process for collection of participants' information, we are envisaging that NI numbers could be sought as part of the intake process, rather than requesting this information at the time of the internship start. This will be discussed further.

Stage in the participant journey	Data collection, entry and management activities	Responsible party	Data to be collected and fields to be completed
			• Any documents to be collected for verification purposes (training assessment forms)[6] If a participant drops out of the programme: • Drop-out status • Date participant left the programme • Reason for drop-out (if applicable) If a participant completes an internship as part of the programme: • Internship start date • Duration • Monthly stipend • Employer[7] and corresponding required information (e.g. company incorporation number, main contact, email and telephone number, as per participant's contract)
Placement into employment and sustainment	• Collect and record information about participants' placement into employment and 3-month and 6-month sustainment • Collect and upload evidentiary documents of achievement of employment outcomes	Service providers / DIB Manager	Prior to employment start, record of interviews: • Each interview attended by the participant (including date of interview, name of employer and job type) - TBC • Main feedback for each interview and reason for rejection if unsuccessful - TBC Achievement of employment start: • Employment start date • Employer and corresponding required information (e.g. company incorporation number, main contact, email and telephone number, as per participant's contract) • If same employer as internship, specific field for tracking this and establishing the correlation • Employment type (number of weekly hours on contract, part-time, full-time) • Job title (and potentially, short job description) Employment sustainment: • Achievement of 3-month sustainment • Achievement of 6-month sustainment Documents to be collected, scanned and uploaded onto the system, in the participant's "case file": • Pay slips, or • Employment contract

[6] We are currently discussing with service providers how the different training components will be assessed. Whenever possible, we are encouraging service providers to use a form of examination to assess participants at the end of the training.
[7] This will be linked to the employer profile in the system (if such a profile is created). The information to be collected for each employer will be discussed further over the coming weeks, in particular to ensure that it meets the outputs and outcomes verification requirements. For large employers, details for various contacts will likely need to be collected as different staff members may be responsible for different participants within the organisation.

Stage in the participant journey	Data collection, entry and management activities	Responsible party	Data to be collected and fields to be completed
Other	• Record elements of participants' experience used to implement continuous improvements to the services delivered (e.g. feedback surveys and complaint forms) • Collect and record information about employers and employers' feedback on individual participants' performance, used to implement improvements to that training and services delivered	Service providers / DIB Manager (TBD)	• If possible, "Employer Profiles" to be created (similar to participant "client files") to record all relevant information concerning each employer: company registration name and number, main contacts' name, email address and phone number • Responses to programme feedback surveys and forms to be scanned and uploaded to each individual participant's "client file"[8] • Feedback forms from employers to be scanned and uploaded to each participant's "client file"

[8] Programme participants will regularly be asked to provide feedback and comments on their experience on the programme. Responses to these surveys will be scanned and uploaded to individuals' "client file".

APPENDIX D – CHECKLIST OF REQUIRED DOCUMENTS

All of the following (not exceeding 21 pages in total) must be submitted to cheriel.neo@socialfinance.org.uk by 5pm BST on 31 August 2018:

- ☐ Technical and financial proposal for the development of the DIB data system, including:
  - ☐ Team member CVs
  - ☐ Contact details for 2 or more client references
  - ☐ Budget in USD with VAT shown separately
- ☐ Certificate of company registration (or local equivalent)