



**Invitation for Proposals for Conducting
the 2nd Evaluation Study of the SIE Fund**

Technical Briefing

8 & 11 September 2020



Agenda

- A. Introduction and Overview *(para 1-3, Appendix 1)*
- B. Service Scope *(para 4-7, Appendix 2)*
- C. Eligibility Requirements *(para 8)*
- D. Submission of Proposal *(para 9, Appendices 3-5)*
- E. Assessment of Proposals *(para 10, Appendix 6)*
- F. Key Engagement Terms *(para 11-31)*
- G. Submission Checklist
- H. Roadmap

* If there is any inconsistency or ambiguity between this presentation deck and the invitation brief at <https://www.sie.gov.hk/en/news-event/news.page>, the invitation brief shall prevail.

Purpose *(1)*

- ❑ To engage a consultant to conduct the 2nd Evaluation Study of the SIE Fund to further evaluate the performance of the SIE Fund in achieving its objectives covering the research period.

The SIE Fund

- ❑ Serve as a catalyst for social innovation (SI) in Hong Kong, connects with different sectors to create social impact *(2.1)*
- ❑ Provide diverse resources in support of research, capacity building and the entire life cycle of innovative ventures *(2.1)*

The SIE Fund *(cont'd)*

- Objective: to establish and support schemes and experiments with a view to attracting, inspiring or nurturing social entrepreneurship to develop innovations that aim at creating social impact and build social capital for supporting poverty relief* in HK *(3.1)*

** Covering alleviation and prevention of poverty, prevention of social exclusion, enhancement of the overall well-being of the beneficiaries, and facilitation of social cohesion*

- Ultimate goal: to foster an ecosystem where social entrepreneurs can thrive and create innovative ideas, products and services *(2.1)*
- Ultimate beneficiaries: members of the public in HK who are generally residents in HK without conductions of stay and in need of assistance and improved opportunity *(3.3)*

Funding priorities



- Provide funding, incubation and other support for social innovators/ventures *(3.5)*

Innovative Programmes (IP)



- Foster development of SI ecosystem *(3.6)*

Capacity Building (CB)



Research

- Identify areas of needs and opportunities and explore solutions *(3.7)*

Mixed Business Model

- Intermediaries – to propose and deliver programmes *(3.8a)*

PolyU Technology and
Consultancy Company Limited

Fullness Social Enterprises
Society Limited



The Society of Rehabilitation
and Crime Prevention

The Hong Kong Council of
Social Service

- The Fund, supported by Secretariat: *(3.8b)*
 - to initiate, drive, finance or support strategically important projects/initiatives
 - to finance or support projects/initiatives which cannot be catered for by intermediaries

Latest progress as at June 2020 *(3.9)*



1,600+
Innovative ideas



\$371 million
Funding commitment

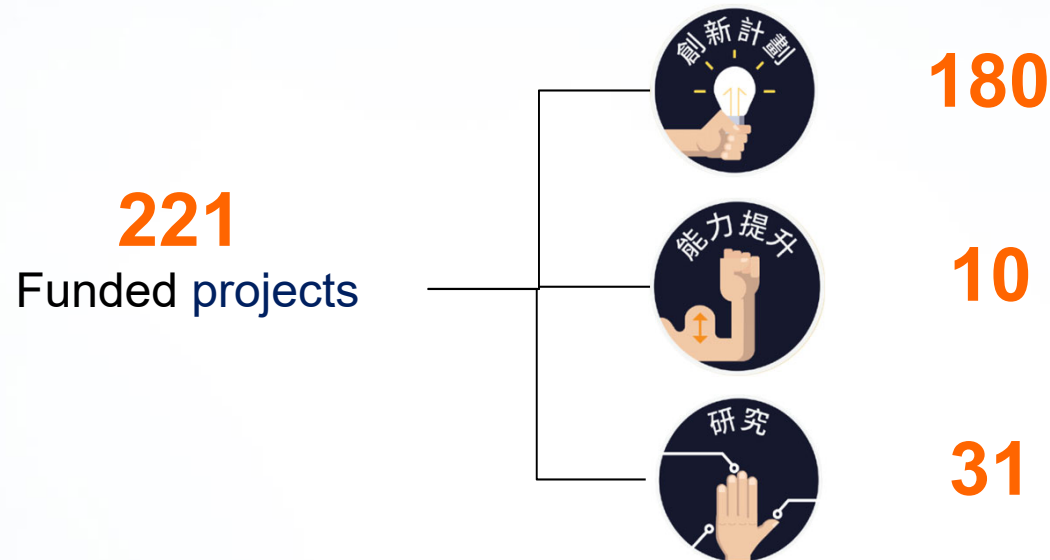


4,600+
Social entrepreneurs



240 000+
People in need

Latest progress as at June 2020 *(cont'd)* (3.9)

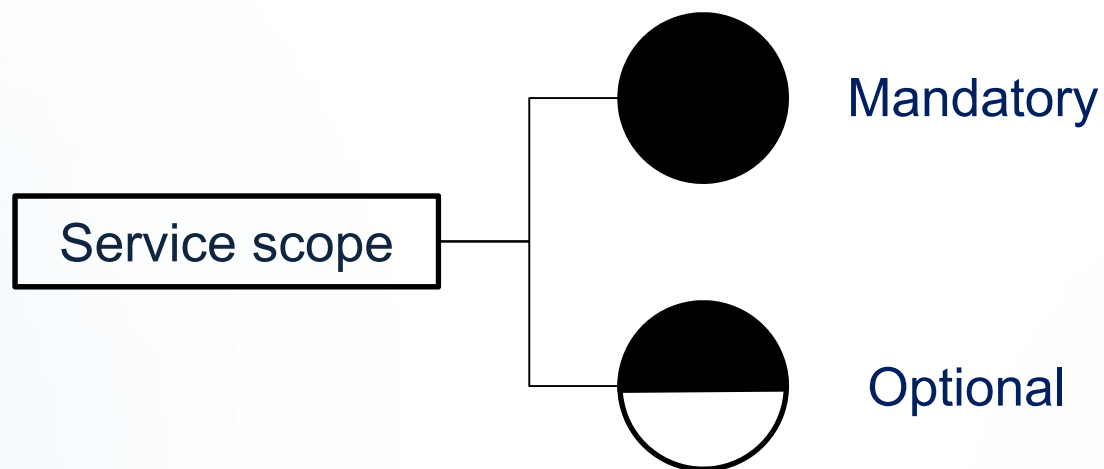


The 1st Evaluation Study of the SIE Fund *(2)*

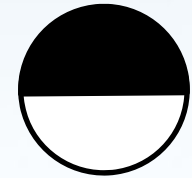
- HK Jockey Club Centre for Suicide Research and Prevention of HKU was engaged in March 2016 to conduct the 1st Evaluation Study covering research period up to end June 2020. See Appendix 1 for a summary of key assessment *(2.3)*

Objective of the 2nd Study

- ❑ To evaluate, on a longitudinal basis, the effectiveness of the initiatives of the SIE Fund in achieving its objectives (4.1)
 - **intangible** - strategies, approaches, etc.
 - **tangible** - events, activities, programmes, projects, etc.

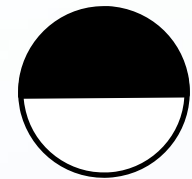


(a) Outline of the latest development of the SI ecosystem in Hong Kong, including, for example *(5.1a)*

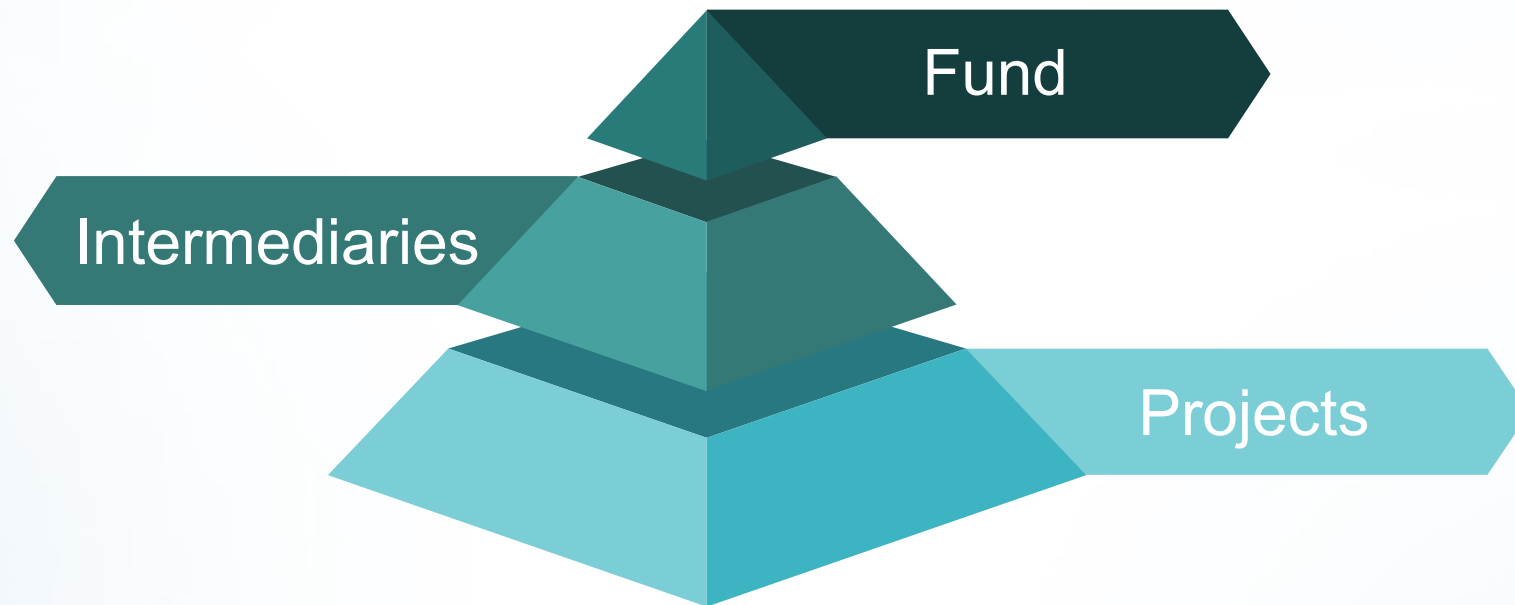


- ❑ key players and their contribution
- ❑ types and level of support of different sectors
- ❑ growth of SI fields over the years
- ❑ capacity building, education and training
- ❑ etc.

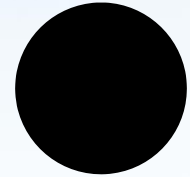
(b) Measurement of public awareness of SI and the SIE Fund *(5.1b)*



(c) Evaluation of the performance, outcomes and impacts, both financial and non-financial, of the SIE Fund (5.1c)

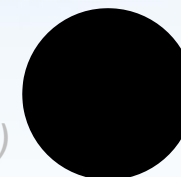


(c) Evaluation of the performance, outcomes and impacts, both financial and non-financial, of the SIE Fund (cont'd) (5.1c)



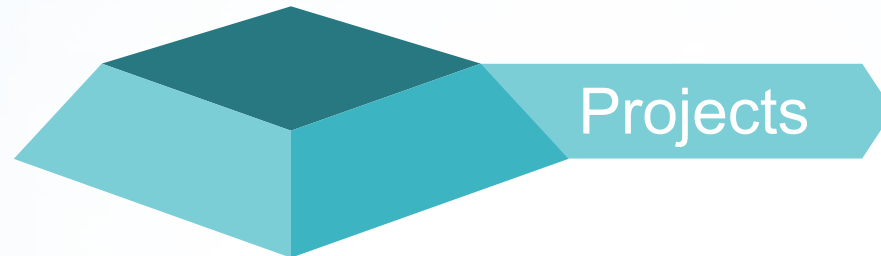
- Annual evaluation of modus operandi, performance, outcomes and impact of being a catalyst and contribution to the ecosystem
 - strengths and weaknesses
 - critical success factors
 - lessons learnt
 - impact risks

(c) Evaluation of the performance, outcomes and impacts, both financial and non-financial, of the SIE Fund (cont'd) (5.1c)



- Annual review of 4 IP intermediaries (12 review reports in total)
 - implementation progress
 - problems and remedial measures
 - effectiveness of intermediary services against performance indicators
 - effectiveness of IP against performance indicators, objectives and intended outcome/impacts
 - views, comments, feedback from the stakeholders
 - recommendation of areas for improvement, etc...

(c) Evaluation of the performance, outcomes and impacts, both financial and non-financial, of the SIE Fund (cont'd) (5.1c)



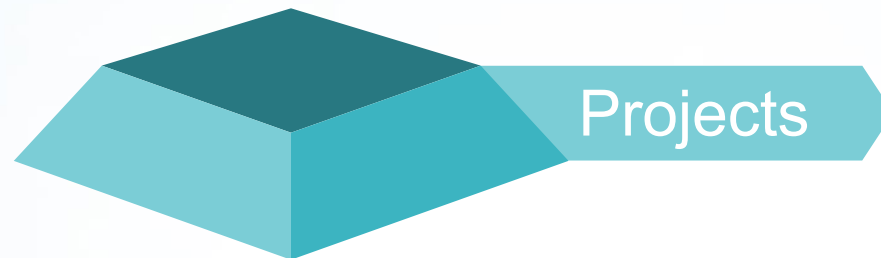
- Annual and longitudinal
- IP projects
 - overall evaluation of completed prototype projects
 - individual evaluation of on-going and completed start-up and scale-up projects by means of SROI

42*

additional of up to 50

* +10 if the SROI model proposed is different from that of the 1st Study

(c) Evaluation of the performance, outcomes and impacts, both financial and non-financial, of the SIE Fund (cont'd) (5.1c)



- ❑ CB projects (individual evaluation)



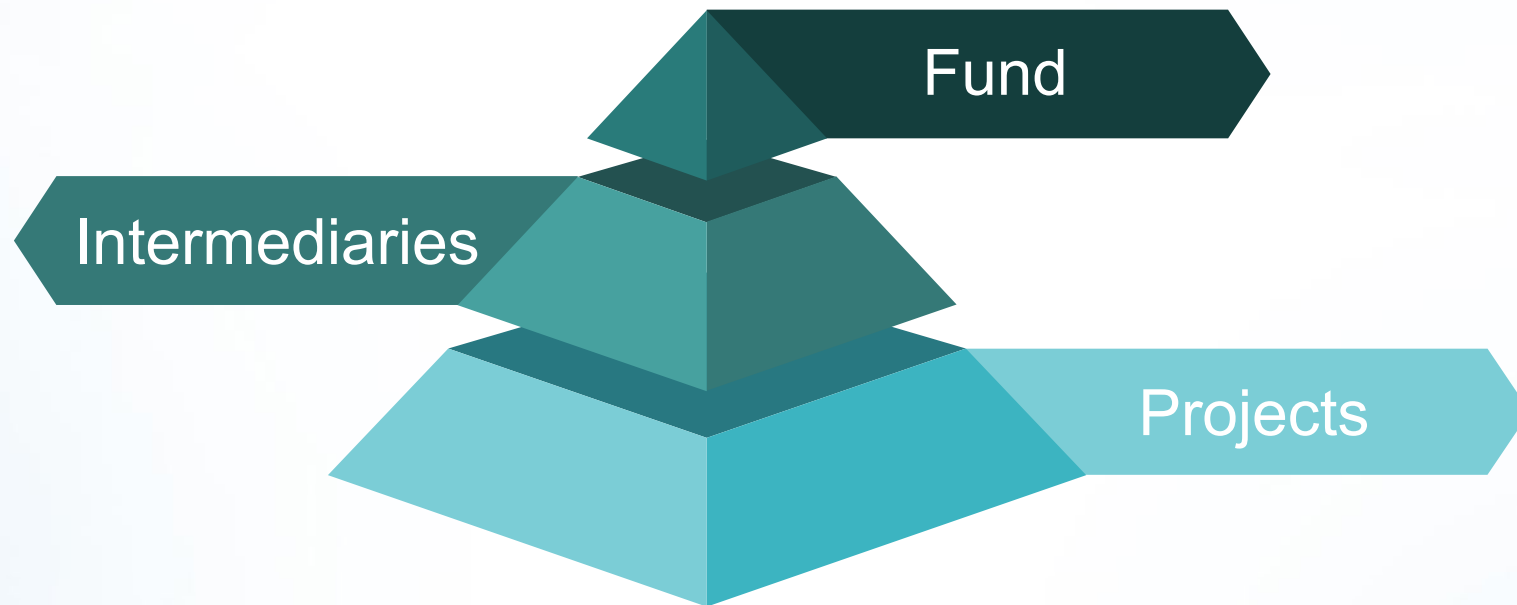
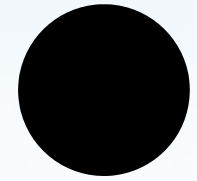
- ❑ Research projects (individual evaluation)



- ❑ Critical success factors and lesson learnt (overall)

(d) Recommendation of areas for improvement at all levels

(5.1d)

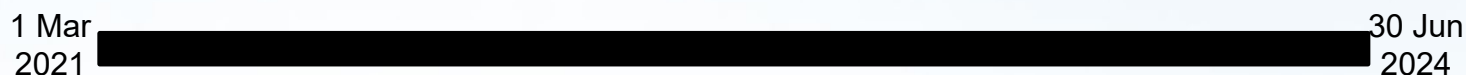


B. Service Scope (para 4-7, Appendix 2)

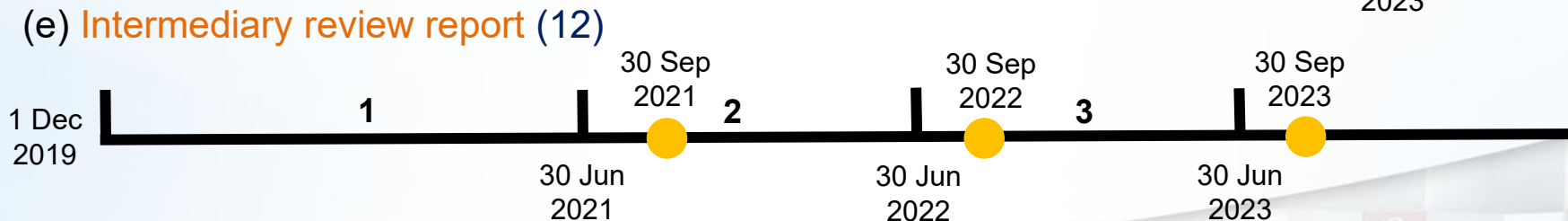
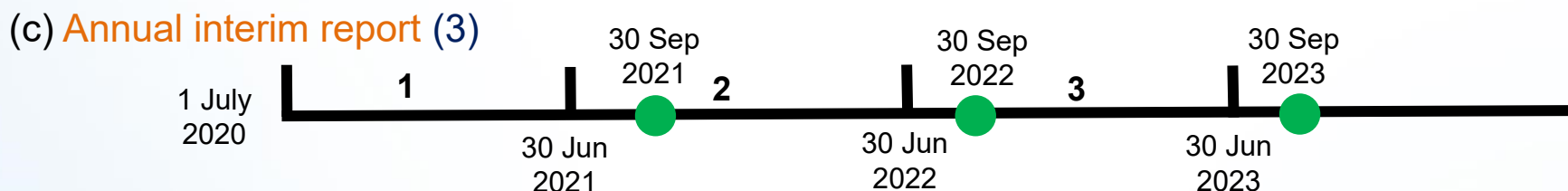
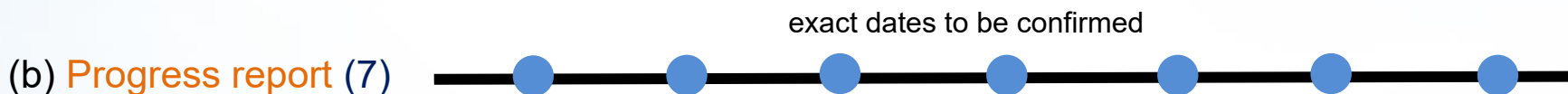
Scope		
(a) Outline of the latest development of the SI ecosystem in HK		✓
(b) Measurement of public awareness of SI and the SIE Fund		✓
(c) Evaluation of performance, outcome and impacts, both financial and non-financial, of the SIE Fund		
❑ Fund Level	✓	
❑ Intermediary Level (individual)	✓	
❑ Project Level	✓	✓
• IP – prototypes (overall)	1	
• IP – Start up and Scale up (individual)	42 (+10)	+up to 50
• CB (individual)	4	+up to 6
• Research (individual)	20	+up to 25
❑ Critical success factors and lesson learnt	✓	
(d) Recommendations of improvements at all levels	✓	

B. Service Scope (para 4-7, Appendix 2)

Engagement period (assuming commencement on 1 Mar 2021)



Deliverables (exact dates of submission are negotiable having regard to the actual commencement date of the engagement period)



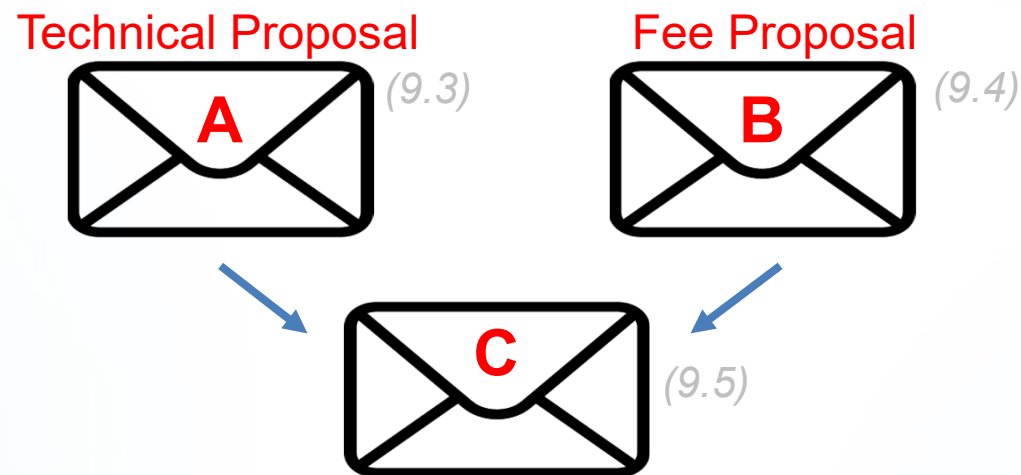
Eligibility

- ❑ Can be a charitable institution, registered company, registered co-operative society, registered society or statutory body *(8.1)*
- ❑ Must be an entity capable of entering into an Engagement Agreement with the Trustee *(8.2)*
- ❑ Must provide a dedicated Evaluation Team and appoint a Project Leader as main liaison officer *(8.3)*

Points to note

□ A valid proposal –

- consists of a Technical Proposal and a Fee Proposal (9.2)
- has to remain valid for at least 12 months (9.2)
- includes one set of hardcopy and one set of softcopy (9.3)



- has to be submitted to the SIE Fund Secretariat at Efficiency Office not later than 18:00 hr, 23 Nov 2020 (Monday) (9.6)

D. Submission of proposal *(para 9, Appendices 3-5)*

Points to note

- ❑ Late submission or proposals not complying with the submission requirements will **not** be considered further *(9.9)*
- ❑ To adopt the template for proposals as far as possible *(9.10 and 9.13)*
- ❑ Not to collude with any person in relation to this engagement *(9.16)*
- ❑ Not to initiate further contact with the Trustee after submission of proposal *(9.19)*

D. Submission of proposal *(para 9, Appendices 3-5)*

Technical Proposal *(9.3 and Appendix 4-6)*

- Part I - Particulars of the Proponent (Form)
 - one form for each party in case of an alliance / consortium

- Part II(a) - Details of Proposal (Form)
 - one form for each proposal

- Part II(b) – Details of Proposal (Free format)
 - one proposal for each submission
 - Proposed framework and information to be provided (*Appendix 4*) are consistent with the detailed assessment criteria (*Appendix 6*).
 - To adopt the framework and provide all the information required for comprehensive and accurate assessment

- Consent to Disclosure (Form, Appendix 5)

Fee Proposal *(9.4 and Appendix 3)*

- Part A - Mandatory scope
 - One Fixed, all-inclusive lump sum service fee

- Part B – Optional scope
 - One Fixed, all-inclusive lump sum service fee (with unit cost of each assignment)

- Part C – High level breakdown of the key cost components of service fees in Parts A and B (free format)

Technical 80% : Fee 20% *(10.2)*

Details of Proposal

Assessment and weighting

Technical Proposal *(Appendix 4)* ----- *(Appendix 6)*

(10.3)

- | | |
|---|----|
| 1. Understanding of the Study's context | 15 |
| 2. Research design for the study | 35 |
| 3. Capability | 35 |
| 4. Implementation / Execution | 15 |

passing
score: 60
(10.4)

Fee Proposal *(Appendix 3)* ----- *(para 10.9)*

Four-stage assessment process

Stage 1 – Assessment of Technical Proposals by Assessment Panel

- Eligibility stipulated in para 8.1-8.3 *(10.6a)*



- Requirements on submission of proposal stipulated in para 9.1-9.6 *(10.6a)*



- Technical proposals reaching the passing score of 60 in the initial assessment proceed to Stage 2 *(10.6b)*

Stage 2 – Interview by Assessment Panel

- Interview and clarification *(10.7)*
- Technical proposals reaching the passing score of 60 in the final assessment proceed to Stage 3 *(10.8)*

Four-stage assessment process (cont'd)

Stage 3 – Assessment of Fee Proposal and Recommendation by Assessment Panel

$$20 \times \frac{\text{the lowest total service fees among all the conforming proposals } (10.9)}{\text{total service fees proposed in the Proponent's fee proposal}}$$

total service fees = sum of service fees for mandatory AND optional scope *(10.10)*

Stage 4 – Endorsement by Task Force

- Task Force reviews Assessment Panel's recommendation and endorses the appointment *(10.11)*
- Appointment made by the Trustee on the advice of Task Force *(10.11)*

Financial capability of proponents and engagement

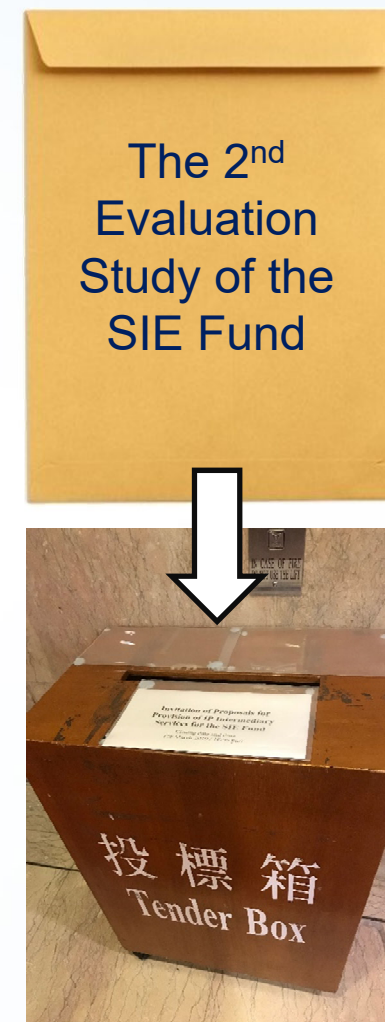
- ❑ Consistent with government procurement regulations
- ❑ For contract value exceeding \$15m, financial vetting is required. Contract deposit equivalent to 2% to 6% of the fixed, all-inclusive lump sum service fee agreed is required *(10.12 & 10.13)*
- ❑ The Trustee reserves the right to include any part of the optional scope listed in Appendix 3 in the Engagement Agreement *(10.14)*

- ❑ Key terms and conditions (non-exhaustive) to be stipulated in Engagement Agreement
 - Engagement and Research Period
 - Payment Arrangement
 - Consultant's Obligations
 - Corporate Governance
 - Variation in the Service Scope
 - Insurance
 - Conflict of Interest
 - Probity and Anti-Corruption
 - Data Security
 - Confidentiality
 - Intellectual Property Rights
 - Termination of the Agreement
 - Liabilities and Indemnity
 - Sub-Contracting
 - Disclosure of Fees Payable
 - Nature of Agreement
 - Governing Law
 - Trustee Not Liable of Information
 - Third Party Rights
 - Settlement of Disputes

- ❑ Essence of the above is set out in paras 11 to 31 of the invitation brief

G. Submission Checklist

- ❑ Technical Proposal (Appendix 4)
 - Part I – Particular of proponent (one form for each party)
 - Part II(a) – Details of Proposal (one form)
 - Part II(b) – Details of Proposal (one proposal)
- ❑ Fee Proposal (Parts A to C) (Appendix 3)
- ❑ Consent to Disclosure (Appendix 5)
- ❑ All the above documents duly signed and sealed
- ❑ One set of hardcopy and one set of softcopy (USB)
- ❑ Sealed plain envelope marked “The 2nd Evaluation Study of the SIE Fund”
- ❑ Deposit in the collection box marked as “The 2nd Evaluation Study of the SIE Fund” located at 41/F of Revenue Tower not later than **18:00 hr on 23 Nov 2020 (Monday)**



- ❑ Closing of Invitation 18:00 hr, 23 Nov 2020

Tentative

- ❑ Assessment of Proposals Dec 2020 – Jan 2021
- ❑ Notification of Results Jan - Feb 2021
- ❑ Negotiation and Preparation of Engagement Agreements Feb 2021
- ❑ Commencement of the Evaluation Study Mar 2021

Q&A



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Thank you.