



सत्यमेव जयते

**NITI Aayog**



## **Selection of Technical Consultant**

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## **Request for Proposal (RFP)**

**Establishment of a Program Management Unit (PMU) to support DMEO in the Institutionalization of the Output-Outcome Monitoring Framework (OOMF) of Govt. of India**

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**August 2020**

**Government of India**

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No.U-11021/02/2020-DMEO  
Government of India  
NITI Aayog  
Development Monitoring and Evaluation Office  
Sansad Marg, New Delhi -110001

**Request for Proposal (RFP)**

August 31, 2020

**Subject: Request for Proposal (RFP) for Selection of Technical Consultant for Establishment of a Program Management Unit (PMU) to support DMEO in the Institutionalization of Output Outcome Monitoring Framework (OOMF) of Govt. of India.**

The Development Monitoring and Evaluation Office (DMEO), National Institution for Transforming India (NITI) Aayog, Government of India, intends to engage a Consultancy Firm to support in the Institutionalization of the Output Outcome Monitoring Framework (OOMF) of Govt. of India, details of which have been provided in the RFP document.

DMEO, NITI Aayog invites proposals for this assignment, from national / international firms / organisations / institutions, which have requisite experience in this field as detailed in the RFP. The salient features of the study, eligibility criteria and instructions on how to bid and other details are available in the RFP document uploaded on the DMEO website (<https://dmeo.gov.in/tenders>) and Central Public Procurement Portal (<https://eprocure.gov.in/eprocure/app>). Important information & tentative dates are given in section 1 of the RFP.

Interested applicants are requested to log into Central Public Procurement Portal (CPPP) and submit their RFP response online, on or before Oct 5, 2020, 1100 hours Please note manual / offline bids shall not be accepted. Detailed instructions for online bid submission have been provided in Appendix-IV. Applicants can also refer to Bidders' Manual available on CPPP (<https://eprocure.gov.in/eprocure/app?page=BiddersManualKit&service=page>) for further queries.

Shri O.P. Thakur  
Senior Research Officer  
Development Monitoring & Evaluation Office (DMEO)  
C022, 5<sup>th</sup> floor, NITI Aayog, Sansad Marg  
New Delhi, 110001  
Email: [dmeoeval-niti@gov.in](mailto:dmeoeval-niti@gov.in)

## Disclaimer

The information contained in this Request for Proposals document (“RFP”) or subsequently provided to Applicants, whether verbally or in documentary or any other form by or on behalf of the Authority or any of its employees or advisers, is provided to Applicants on the terms and conditions set out in this RFP and such other terms and conditions subject to which such information is provided.

This RFP is not an agreement and is neither an offer nor invitation by the Authority to the prospective Applicants or any other person. The purpose of this RFP is to provide interested parties with information that may be useful to them in the formulation of their Proposals pursuant to this RFP. This RFP includes statements, which reflect various assumptions and assessments arrived at by the Authority in relation to the Consultancy. Such assumptions, assessments and statements do not purport to contain all the information that each Applicant may require. This RFP may not be appropriate for all persons, and it is not possible for the Authority, its employees or advisers to consider the objectives, technical expertise and particular needs of each party who reads or uses this RFP. The assumptions, assessments, statements and information contained in this RFP, may not be complete, accurate, adequate or correct. Each Applicant should, therefore, conduct its own investigations and analysis and should check the accuracy, adequacy, correctness, reliability and completeness of the assumptions, assessments and information contained in this RFP and obtain independent advice from appropriate sources.

Information provided in this RFP to the Applicants is on a wide range of matters, some of which depends upon interpretation of law. The information given is not an exhaustive account of statutory requirements and should not be regarded as a complete or authoritative statement of law. The Authority accepts no responsibility for the accuracy or otherwise for any interpretation or opinion on the law expressed herein.

The Authority, its employees and advisers make no representation or warranty and shall have no liability to any person including any Applicant under any law, statute, rules or regulations or tort, principles of restitution or unjust enrichment or otherwise for any loss, damages, cost or expense which may arise from or be incurred or suffered on account of anything contained in this RFP or otherwise, including the accuracy, adequacy, correctness, reliability or completeness of the RFP and any assessment, assumption, statement or information contained therein or deemed to form part of this RFP or arising in any way in this Selection Process.

The Authority also accepts no liability of any nature whether resulting from negligence or otherwise, howsoever caused, arising from reliance of any Applicant upon the statements contained in this RFP.

The Authority may in its absolute discretion, but without being under any obligation to do so, update, amend or supplement the information, assessment or assumption contained in this RFP.

The issue of this RFP does not imply that the Authority is bound to select an Applicant or to appoint the Selected Applicant, as the case may be, for the Consultancy and the Authority reserves the right to reject all or any of the Proposals without assigning any reasons whatsoever.

The Applicant shall bear all its costs associated with or relating to the preparation and submission of its Proposal including but not limited to preparation, copying, postage, delivery fees, expenses associated with any demonstrations or presentations which may be required by the Authority or any other costs incurred in connection with or relating to its Proposal. All such costs and expenses will remain with the Applicant and the Authority shall not be liable in any manner whatsoever for the same or for any other costs or other expenses incurred by an Applicant in preparation or submission of the Proposal, regardless of the conduct or outcome of the Selection Process.

## Glossary

<b>Additional Costs</b>	As in Item H of Form-2 of Appendix-II
<b>Agreement</b>	As defined in Schedule-2
<b>Agreement Value</b>	As defined in Clause 6.1.2 of Schedule-2
<b>Applicable Laws</b>	As defined in Schedule-2
<b>Applicant</b>	As defined in Clause 2.1.1
<b>Associate</b>	As defined in Clause 2.3.3
<b>Authorized Representative</b>	As defined in Clause 2.13.3
<b>Authority</b>	As defined in Clause 1.1.1
<b>Bid Security</b>	As defined in Clause 2.20.1
<b>Bill of Quantity (BoQ)</b>	As defined in Clause 2.15.1
<b>Conditions of Eligibility</b>	As defined in Clause 2.2.1
<b>Conflict of Interest</b>	As defined in Clause 2.3.1
<b>Consultancy</b>	As defined in Clause 1.2
<b>Consultancy Team</b>	As defined in Clause 2.1.4
<b>Consultant</b>	As defined in Clause 1.2
<b>CPPP</b>	Central Public Procurement Portal
<b>CV</b>	Curriculum Vitae
<b>Deliverables</b>	As defined in Paragraph 8 of Schedule-1
<b>Documents</b>	As defined in Clause 2.12
<b>Effective Date</b>	As defined in Clause 2.1 of Schedule-2
<b>Eligible Assignments</b>	As defined in Clause 3.1.4
<b>Final Evaluation Report</b>	As specified in Paragraph 10 of Schedule-1
<b>Financial Proposal</b>	As defined in Clause 2.15.1
<b>Form of Agreement</b>	Form of Agreement as in Schedule-2

<b>INR, Re, Rs.</b>	Indian Rupee(s)
<b>Inception Report</b>	As specified in Paragraph 8 of Schedule-1
<b>Key Date</b>	As defined in Paragraph 9 of Schedule-1
<b>Key Personnel</b>	As defined in Clause 2.1.4
<b>Lead Member</b>	As defined in Clause 2.1.1
<b>LOA</b>	Letter of Award
<b>Member</b>	As defined in Clause 2.3.3 (a)
<b>Official Website</b>	As defined in Clause 1.11.2
<b>Personnel</b>	As defined in Clause 1.1.1(m) of Schedule-2
<b>Professional Personnel</b>	As defined in Clause 2.14.6
<b>Prohibited Practices</b>	As defined in Clause 4.1
<b>Project</b>	As defined in Clause 1.1.6
<b>Project Manager</b>	As defined in Clause 4.6 of Schedule-2
<b>Proposal</b>	As defined in Clause 1.2
<b>Proposal Due Date or PDD</b>	As defined in Clauses 1.5 and 1.8
<b>Resident Personnel</b>	As defined in Clause 1.1.1(n) of Schedule-2
<b>RFP</b>	As defined in Disclaimer
<b>Selected Applicant</b>	As defined in Clause 1.6
<b>Selection Process</b>	As defined in Clause 1.6
<b>Services</b>	As defined in Clause 1.1.1(p) of Schedule-2
<b>Sole Firm</b>	As defined in Clause 2.1.1
<b>Statement of Expenses</b>	As defined in Note 13, Form-2 of Appendix-II
<b>Statutory Auditor</b>	An Auditor appointed under Applicable Laws
<b>Support Personnel</b>	As defined in Clause 2.14.6
<b>Team Leader</b>	As defined in Clause 2.1.4
<b>Technical Proposal</b>	As defined in Clause 2.14.1

<b>TOR</b>	As defined in Clause 1.1.3
<b>US\$</b>	United States Dollar
<b>WG</b>	As defined in Paragraph 12 of the TOR

The words and expressions beginning with capital letters and defined in this document shall unless repugnant to the context, have the meaning ascribed thereto herein.

## **Invitation for Proposal**

## 1. Introduction<sup>1</sup>\$

### 1.1 Background

- 1.1.1. The Government of India has been undergoing a major reform and transformation towards achieving better outcomes for the people of India. To this account the Government has begun bringing the public schemes and projects under a monitorable Output-Outcome Monitoring Framework. The National Institution for Transforming India (NITI Aayog), through its Development, Monitoring and Evaluation Office (DMEO), is anchoring this initiative for the Govt. of India and with this exercise aims to nurture an open, accountable, pro-active and purposeful style of governance by transitioning from mere outlays, or physical and financial progress, to result-oriented outputs, outcomes and impact.
- 1.1.2. The Development Monitoring and Evaluation Office (DMEO) of NITI Aayog in consultation with the Ministry of Finance and various Central Government Ministries has devised this Output-Outcome Monitoring Framework (OOMF) based on international best practices. The scope of this exercise covered about 600 Central Sector and Centrally Sponsored schemes of around 67 Departments/ Ministries of the Government of India with a total average annual outlay of about Rs. 12 Lakh crores.
- 1.1.3. The OOMF is a result of the collaboration and teamwork of a wide range of stakeholders across various Ministries and Departments of the Government of India. In FY 2019-2020, the OOMF was formally included as part of the Union Budget presented by the Ministry of Finance, Government of India. This document and framework presented the financial outlay for FY 2019-20 with clearly defined outputs and outcomes along with measurable output and outcome-based indicators with specific targets as well. The document contained the Output-Outcome Framework for major Central Sector (CS) Schemes and Centrally Sponsored Schemes (CSS) with outlay greater than Rs. 500 crores in FY 2019-20. Hence, this document covered 163 schemes, which was around 95% of the total CS/ CSS budget for the 591 CS/ CSS schemes covered in the Outcome Budget 2019-20. The OOMF document for CS / CSS schemes with outlay less than Rs. 500 crores in FY 19-20 were presented by respective Ministries and Departments at the time of discussions on Detailed Demand for Grants. Following a similar process, the OOMF document has now been presented as part of the overall Budget of Government of India for FY 20-21 as well.
- 1.1.4. The DMEO intends to institutionalize the OOMF further for Government of India and State Governments. Having achieved this major milestone and looking forward to increasing NITI Aayog's mandated efforts to speed up the overall national development agenda, it is now an opportune stage to reflect on progress, map the road forward and build capacities. DMEO ultimately seeks to improve and transform the overall

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<sup>1</sup>\$ Instructions for Applicants

Note 1: Blank spaces contain formats that are to be used by the Applicant after the RFP is issued. (See Appendix-III)

Note 2: Footnotes marked - "\$" in the relevant Clauses of the RFP and Schedules are for guidance of the Applicants. In case of Appendices, the footnotes marked - "\$" or in other non-numerical characters shall be omitted by the Applicants while submitting their respective Proposals. (See Appendix-III)

Monitoring & Evaluation (M&E) framework for Government of India and therefore requires support in doing so.

1.1.5. For this purpose, it is proposed to select a suitably qualified consultancy firm to support DMEO, NITI Aayog as a Program Management Unit (PMU) in the institutionalization of OOMF and undertake parallel activities to speed up overall national development agenda. The consultancy firm shall assist in transfer of international best practices to the selected stakeholders, train and capacitate concerned officers of select departments in utilizing methodologies related to adopting an integrated development approach.

1.1.6. In pursuance of the above, the Authority has decided to carry out the process for selection of a Technical Consultant for Establishment of a Program Management Unit to support DMEO in the Institutionalization of the Output-Outcome Monitoring Framework (OOMF) of Govt. of India (the “**Project**”) in accordance with the Terms of Reference specified at Schedule-1 (the “**TOR**”).

## **1.2 Request for Proposals**

1.2.1. The Authority invites proposals (the “**Proposals**”) for selection of a Technical Consultant (the “**Consultant**”) who shall provide consultancy services as a Program Management Unit (PMU) in the institutionalization of OOMF and undertake parallel activities to speed up overall national development agenda, in accordance with the TOR (collectively the “**Consultancy**”).

The Authority intends to select the Consultant through an open competitive bidding process in accordance with the procedure set out herein.

## **1.3 Due diligence by Applicants**

Applicants are encouraged to inform themselves fully about the assignment and the local conditions before submitting the Proposal by paying a visit to the Authority, sending written queries to the Authority, and attending a Pre-Proposal Conference on the date and time specified in Clause 1.10.

## **1.4 Availability of RFP Document**

The document can be downloaded from the Official Website of the Authority (<https://dmeo.gov.in/tenders>) and CPPP - Central Public Procurement Portal (<https://eprocure.gov.in/eprocure/app>).

## **1.5 Validity of the Proposal**

The Proposal shall be valid for a period of not less than 90 days from the Proposal Due Date (the “**PDD**”).

## **1.6 Brief description of the Selection Process**

The Authority has adopted a two-stage selection process (collectively the “Selection Process”) for evaluating the Proposals comprising technical and financial bids to be submitted in two separate sealed envelopes.

In the first stage, a technical evaluation will be carried out as specified in Clause 3.1 Based on this technical evaluation, a list of short-listed applicants shall be prepared as specified in Clause 3.2. In the second stage, a financial evaluation will be carried out as specified in Clause 3.3. Proposals will finally be ranked according to their combined technical and financial scores as specified in Clause 3.4. The first ranked Applicant shall be selected for negotiation (the “**Selected Applicant**”) while the second ranked Applicant will be kept in reserve.

## 1.7 Currency conversion rate and payment

1.7.1 For the purposes of technical evaluation of Applicants, Rs. 73.4 (Rupees seventy-five)<sup>2</sup> per US\$ shall be considered as the applicable currency conversion rate. In case of any other currency, the same shall first be converted to US\$ as on the date 60 (sixty) days prior to the Proposal Due Date, and the amount so derived in US\$ shall be converted into INR at the aforesaid rate. The conversion rate of such currencies shall be the daily representative exchange rates published by the International Monetary Fund for the relevant date.

1.7.2 All payments to the Consultant shall be made in INR in accordance with the provisions of this RFP. The Consultant may convert INR into any foreign currency as per Applicable Laws and the exchange risk, if any, shall be borne by the Consultant.

## 1.8 Schedule of Selection Process

The Authority would endeavour to adhere to the following schedule:

#	Event Description	Date
1	Last date for receiving queries/clarifications	Thursday, 10 September, 2020
2	Pre-Proposal Conference	Tuesday, 15 September, 2020
3	Authority response to queries	Monday, 21 September, 2020
<b>4</b>	<b>Proposal Due Date or PDD</b>	<b>Monday, 5 October, 2020</b>
5	Opening of Proposals	Tuesday, 6 October, 2020
6	Letter of Award (LOA)	Tuesday, 27 October, 2020
7	Signing of Agreement	Monday, 9 November, 2020
8	Validity of Applications	90 days of Proposal Due Date

<sup>2</sup> Source : Financial Benchmarks India, Aug 28, 2020

## 1.9 Pre-Proposal Queries

Prospective Applicants may address their queries to the nodal officer specified below:

Shri O.P. Thakur  
Senior Research Officer  
Phone: 011 - 23045133  
Email: [dmeoeval-niti@gov.in](mailto:dmeoeval-niti@gov.in)

## 1.10 Pre-Proposal Conference

The date, time and venue of Pre-Proposal Conference shall be:

**Date:** September 15, 2020

**Time:** 1500 Hrs.

**Venue:** To be communicated on the NITI Aayog and DMEO website

Further details regarding the Pre-proposal will be updated on the official website of the Authority. Applicants may register for the same on or before September 13, 2020 by submitting the following details of their representatives attending the pre-proposal conference at the email address mentioned in clause 1.11: Name, Designation, Company, Mobile number, Email Address

## 1.11 Communications

1.11.1 All communications including the submission of Proposal should be addressed to:

Shri O.P. Thakur  
Senior Research Officer  
Development Monitoring & Evaluation Office (DMEO)  
C-022, 5th floor, NITI Aayog, Sansad Marg  
New Delhi, 110001  
Phone: 011 - 23045133  
Email: [dmeoeval-niti@gov.in](mailto:dmeoeval-niti@gov.in)

1.11.2 The Official Website of the Authority is: <https://dmeo.gov.in/>

**Note:** Please open <https://dmeo.gov.in/tenders> or CPPP - Central Public Procurement Portal (<https://eprocure.gov.in/eprocure/app>) to access all the posted and uploaded documents related to this RFP.

1.11.3 All communications, including submission of demand draft in original form for bid security (as per Clause 2.20), should have the following information, marked at the top in bold letters:

**“RFP for Establishment of a Program Management Unit (PMU) to support DMEO in the Institutionalization of the Output Outcome Monitoring Framework (OOMF) of Govt. of India”**

## 2. Instructions to Applicants

### A. General

#### 2.1 Scope of Proposal

2.1.1 Detailed description of the objectives, scope of services, Deliverables and other requirements relating to this Consultancy are specified in this RFP. In case an applicant firm possesses the requisite experience and capabilities required for undertaking the Consultancy, it may participate in the Selection Process either individually (the “Sole Firm”) or as lead member of a consortium of firms (the “**Lead Member**”) in response to this invitation. The term applicant (the “**Applicant**”) means the Sole Firm or the Lead Member, as the case may be. The manner in which the Proposal is required to be submitted, evaluated and accepted is explained in this RFP.

2.1.2 Applicants are advised that the selection of Consultant shall be on the basis of an evaluation by the Authority through the Selection Process specified in this RFP. Applicants shall be deemed to have understood and agreed that no explanation or justification for any aspect of the Selection Process will be given and that the Authority’s decisions are without any right of appeal whatsoever.

2.1.3 The Applicant shall submit its Proposal in the form and manner specified in this Section 2 (Instruction to Applicants) of the RFP. The Technical Proposal shall be submitted in the form at Appendix-I and the Financial Proposal shall be submitted in the form at Appendix-II. Upon selection, the Applicant shall be required to enter into an agreement with the Authority in the form specified at Schedule-2.

#### 2.1.4 Key Personnel

The Consultant shall form a multi-disciplinary team (the “**Consultancy Team**”) for undertaking this assignment. The Consultancy Team shall consist of the following key personnel (the “**Key Personnel**”). The Key Personnel will comprise of core team and non-core team who shall discharge their respective responsibilities as specified below:

Key Personnel	No. of Key Personnel	Minimum No. of Person Months	Responsibilities
<b>Core Team</b> (To be scored as a part of the bid evaluation)			
Lead Capacity Building Expert (the “ <b>Team Leader</b> ”)	1	24	S/He will lead, coordinate and supervise a multi-disciplinary team, and act as the focal point to the Authority throughout the duration of the Consultancy. S/He will be responsible for:

Key Personnel	No. of Key Personnel	Minimum No. of Person Months	Responsibilities
			<ul style="list-style-type: none"> <li>• Overall supervision, monitoring and coordination of the Consultancy assignment.</li> <li>• Reviewing Consultancy assignment's strategic directions and the operating model and give suggestions on course-corrections.</li> <li>• Building an integrated capacity building plan for training/sensitization workshops to be conducted for sustainable adoption of the OOMF among the Central ministries/departments and States/UTs.</li> <li>• Design and lead the development of course curriculum, pedagogic methods, training materials, post training reference materials, training feedback forms etc. including assessments to analyse training effectiveness.</li> <li>• Lead the execution of training/sensitization workshops among the Senior as well as mid-level Government officials in Central ministries/departments and States/UTs.</li> <li>• Ensuring all deliverables/milestones are satisfactorily delivered.</li> <li>• Build and implement systems to ensure sustainability of the initiatives deployed</li> </ul>
International Development Expert	1	12	<p>S/He will be responsible for:</p> <ul style="list-style-type: none"> <li>• Benchmarking the adoption status, efficacy and effectiveness of Performance</li> </ul>

Key Personnel	No. of Key Personnel	Minimum No. of Person Months	Responsibilities
			<p>Budgeting Systems in other countries with those in India.</p> <ul style="list-style-type: none"> <li>• Supporting the team in senior level interactions/meetings with Central Government ministries/departments and State/UT governments/administrations.</li> <li>• Providing insights based on learning from the State Governments and international best practices after contextualizing them to the Indian context.</li> <li>• Supporting the team with strategic inputs on possible implementation pathways in rolling out the Consultancy assignment.</li> </ul>
Monitoring & Evaluation (M&E) expert	1	12	<p>S/He will be responsible for:</p> <ul style="list-style-type: none"> <li>• Reviewing and documenting the systems and processes for institutionalizing the Output Outcome Monitoring Framework in India.</li> <li>• Benchmarking the programme monitoring systems in other countries with those in India.</li> <li>• Building an overall strategy for engagement of Central ministries/departments and States/UTs for OOMF institutionalization.</li> <li>• Developing guidelines, toolkits, checklists, standard operating procedures, manuals, etc. as well as training material for the Consultancy assignment.</li> <li>• Designing monitoring maturity assessment methodology and related templates.</li> </ul>

Key Personnel	No. of Key Personnel	Minimum No. of Person Months	Responsibilities
			<ul style="list-style-type: none"> <li>• Engage with the Senior government officials in the Central Ministries/departments and State governments to facilitate internalization of outcomes-based monitoring.</li> <li>• Define detailed work plans, establish review mechanisms, lead and submit review reports.</li> </ul>
Technology and Digital Enablement Expert (e-Governance Solution Architect)	1	9	<p>S/He will be responsible for:</p> <ul style="list-style-type: none"> <li>• Reviewing the current OOMF monitoring dashboard/IT system and analyse it in the context of current and future needs</li> <li>• Identify best practices and benchmark the current OOMF dashboard; keep assessing the Outcomes-based monitoring systems across Government of India and States/UTs and document learnings thereof</li> <li>• Lead stakeholder consultations for assessment of the scope of the OOMF dashboard 2.0</li> <li>• Lead the effort on preparation of the Business Requirements Document (BRD), Functional Design Document (FDD) and Technical Design Document (TDD) and converting that into a Terms of Reference and then a Request for Proposal (RFP) document for procurement of a technical agency for OOMF dashboard 2.0 development</li> <li>• Design and deploy the technical agency management and monitoring systems to be used during the development of the OOMF dashboard 2.0</li> </ul>

Key Personnel	No. of Key Personnel	Minimum No. of Person Months	Responsibilities
			<ul style="list-style-type: none"> <li>• Design training modules for training of nodal officers and NIC teams on OOMF monitoring dashboard and conducting the trainings with support from rest of the team members</li> <li>• Lead API integration effort of OOMF dashboard 2.0 with the MIS systems of other ministries/departments.</li> </ul>
Public Sector Expert	1	12	<p>S/He will be responsible for:</p> <ul style="list-style-type: none"> <li>• Providing strategic and tactical inputs on planning and executing the institutionalizing of OOMF within the Central ministries/departments and States/UTs</li> <li>• Provide insights based on existing accountability mechanisms in the government for performance budgeting to identify possible means of institutionalizing Outcomes-based</li> <li>• Support the delegations meeting the Senior Government Officials in the Centre and States by adding an implementation perspective from the Government viewpoint.</li> <li>• Add a historical perspective on performance budgeting through insights</li> <li>• Support the team during the training &amp; sensitization workshops with the Central ministries/departments and States</li> </ul>

Key Personnel	No. of Key Personnel	Minimum No. of Person Months	Responsibilities
<b>Non-core Team</b> (Expected to be deployed based on approach and methodology adopted for the assignment and requirements of the client, but not to be evaluated as a part of the bid)			
Development Facilitation Expert	1	24	S/He will be responsible for: <ul style="list-style-type: none"> <li>• Supporting the International Development Expert in integrating insights into the action plans for the Program Management Unit.</li> <li>• Engaging with the mid-senior level officials from the Central Ministries/Departments and State Governments.</li> <li>• Provide sector expertise during the ministry/department engagements.</li> <li>• Supplement the M&amp;E expert in designing, implementing and reviewing the feedback received during the workshops/trainings to improve technical approach &amp; methodology.</li> <li>• Support reviews of the team’s work plans and submission of timely review reports.</li> <li>• Act as a mid-management layer in the PMU team.</li> </ul>
Evidence-based Policy Making - Capacity Building Expert	1	24	S/He will be responsible for: <ul style="list-style-type: none"> <li>• Support the Lead Capacity Building Expert in the micro-planning and execution of the Capacity Building plan</li> <li>• Contribute to the development of course curriculum, pedagogic methods, training materials, post training reference materials, etc. including assessments to analyse training effectiveness.</li> <li>• Conduct pre-planning and provide operational and</li> </ul>

<b>Key Personnel</b>	<b>No. of Key Personnel</b>	<b>Minimum No. of Person Months</b>	<b>Responsibilities</b>
			<p>technical support to the training/sensitization workshops conducted among the Senior as well as mid-level Government officials in Central ministries/departments and States/UTs.</p> <ul style="list-style-type: none"> <li>• Support the development of training performance reports and report progress based on them.</li> </ul>
Communications Expert	1	12	<p>S/He will be responsible for:</p> <ul style="list-style-type: none"> <li>• Design and develop an integrated communications plan for the OOMF institutionalization exercise including but not limited to finalizing target audiences, key messages, modes of engagement, communication schedule, etc.</li> <li>• Work with the communications team at the Authority to own and execute the communications plan.</li> <li>• Identify and develop key stakeholder engagement metrics and track activity progress.</li> <li>• Conceptualize, develop and lead the execution of a National Conference/Event/Workshop on Outcomes-based monitoring/budgeting.</li> </ul>
Implementation Support Team (Project Management, Trainers etc.)	2	48	<p>S/He will be responsible for:</p> <ul style="list-style-type: none"> <li>• Support the team in execution of the various tasks as may be deemed necessary.</li> <li>• Provide data analytical support to the team for developing insights.</li> </ul>

Key Personnel	No. of Key Personnel	Minimum No. of Person Months	Responsibilities
			<ul style="list-style-type: none"> <li>• Support the preparation of the training materials, etc. and related content while conducting sensitization workshops/trainings.</li> <li>• Provide logistical/operational support in conducting the State level workshops/trainings.</li> </ul>

The consulting firm should demonstrate that they have sufficient qualified experts to undertake the proposed assignment.

## 2.2 Conditions of Minimum Eligibility of Applicants

2.2.1 Applicants must read carefully the minimum conditions of eligibility (the “**Conditions of Eligibility**”) provided herein. Proposals of only those Applicants who satisfy the Conditions of Eligibility will be considered for evaluation.

2.2.2 To be eligible for evaluation of its Proposal, the Applicant shall fulfil the following

- (A) **Technical Capacity:** The Applicant should be a Private/ Public limited company or partnership firm or expert institution with operations in India. Individuals are not eligible to participate in this RFP. The Applicant shall have, over the past 5 (five) years preceding the PDD, undertaken a minimum of 5 (five) Eligible General Assignments and 3 (three) Eligible Specific Assignments as specified in Clause 3.1.4. The Applicant should not have been debarred or blacklisted by the Central Government, any State Government, a Statutory Authority, or a Public-Sector Undertaking, from participating in any consulting assignment.
- (B) **Financial Capacity:** The Applicant shall have received a minimum income of Rs. 250 (two hundred and fifty) crores per annum from professional fees during each of the 3 (three) financial years FY 2017-18, FY 2018-19 and FY 2019-20. For the purpose of evaluation, Applicants having comparatively larger revenues from professional fees shall be given added weightage. For the avoidance of doubt, professional fees hereunder refer to fees received by the Applicant for providing advisory or consultancy services to its clients.
- (C) **Availability of Key Personnel:** The Applicant shall offer and make available all Key Personnel meeting the requirements specified in sub-clause (D) below.
- (D) **Conditions of Eligibility for Key Personnel:** Each of the Key Personnel must fulfil the Conditions of Eligibility specified below:

S. No	Key Personnel	Minimum Educational Qualifications <sup>3</sup>	Length of Professional Experience	Experience on Eligible Assignment
<b>Core Team</b> (It is mandatory for each of the Core team - Key Personnel, that would be evaluated as per the scoring criteria, to have completed at least 1 year of full-time association with the Applicant Firm)				
1	Lead Capacity Building Expert (Team Leader)	Master's Degree (or equivalent) in Management, Development Studies or related field(s).	15 years	S/he should have undertaken at least 3 (three) Eligible General Assignments and 2 (two) Eligible Specific Assignments in the area. Minimum of 10 years' experience in the area of capacity building/ training/ facilitation for government officials or multi-lateral funding agencies.
2	International Development Expert	Master's Degree (or equivalent) in International Development, Economics, Social Sciences, Management or related field(s). Ph.D. will be preferred.	15 years	S/he should have led the team for 3 (three) Eligible General Assignments and 2 (two) Eligible Specific Assignment in the area.
3	Monitoring & Evaluation (M&E) expert	Master's Degree (or equivalent) in Economics, Statistics, Econometrics or related field(s). Ph.D. will be preferred.	15 years	S/he should have undertaken at least 2 (two) Eligible General Assignments and 3 (three) Eligible Specific Assignments in the area. Minimum of 10 years' experience in the area of Monitoring & Evaluation.
4	Technology and Digital Enablement Expert (e-Governance Solution Architect)	Master's Degree (or equivalent) in Information Technology, Computer Science or related field(s)	15 years	S/he should have undertaken at least 2 (two) Eligible General Assignments and 1 (one) Eligible Specific Assignments in the area.

<sup>3</sup> For degrees obtained from the accredited foreign Boards/universities, the applicant shall furnish a self-declaration on the academic equivalence to the 'Minimum Educational Qualifications' as defined in Clause 2.2.2 (D).

S. No	Key Personnel	Minimum Educational Qualifications <sup>3</sup>	Length of Professional Experience	Experience on Eligible Assignment
5	Public Sector Expert	Postgraduate degree in Public Policy, Public Administration, Governance, etc. or related field(s) or Post Graduate degree in any discipline	20 years	S/he should have undertaken at least 2 (two) Eligible General Assignments and 1 (one) Eligible Specific Assignments in the area with at least 10 years of experience in Public Administration.
<b>Non-core Team</b> (Expected to be deployed based on approach and methodology adopted for the assignment and requirements of the client, but not to be evaluated as a part of the bid)				
6	Development Facilitation Expert	Master's Degree (or equivalent) in International Development, Economics, Social Sciences, Management or related field(s).	10 years	S/he should have undertaken at least 2 (two) Eligible General Assignments and 1 (one) Eligible Specific Assignments in the area.
7	Evidence-based Policy Making - Capacity Building Expert	Master's Degree (or equivalent) in Economics, Statistics, Econometrics or related field(s).	10 years	S/he should have undertaken at least 2 (two) Eligible General Assignments and 1 (one) Eligible Specific Assignments in the area. Minimum of 5 years' experience in the area of Capacity Building/ Training/ Facilitation for Government officials or Multi-lateral funding agencies.
8	Communications Expert	MBA (or equivalent) in Marketing & Communications	10 years	S/he should have undertaken at least 2 (two) Eligible General Assignments. Minimum of 5 years' experience in the area of IEC (Information, Education and Communication) in Public/Development Sector.

S. No	Key Personnel	Minimum Educational Qualifications <sup>3</sup>	Length of Professional Experience	Experience on Eligible Assignment
9	Implementation Support Team (Project Management, Trainers etc.)	Post Graduate in Management or related field (s)	5 years	S/he should have undertaken at least 1 (one) Eligible General Assignments and 1 (one) Eligible Specific Assignments in the area.

2.2.3 The Applicant shall enclose with its Proposal, certificate(s) from its Statutory Auditors<sup>4</sup>\$ stating its total revenues from professional fees during each of the 3 (three) financial years i.e. FY 2017-18, FY 2018-19 and FY 2019-20 and the fee received in respect of each of the Eligible Assignments specified in the Proposal. In the event that the Applicant does not have a statutory auditor, it shall provide the requisite certificate(s) from the firm of Chartered Accountants that ordinarily audits the annual accounts of the Applicant.

However, for the Eligible Assignments, the Applicant can also provide requisite certificate(s) from its chartered accountant that ordinarily audits the annual accounts of the Applicant.

2.2.4 The Applicant should submit a Power of Attorney as per the format at Form-4 of Appendix-I; provided, however, that such Power of Attorney would not be required if the Application is signed by a partner of the Applicant, in case the Applicant is a partnership firm or limited liability partnership.

2.2.5 Any entity which has been barred by the Central Government, any State Government, a statutory authority or a public sector undertaking, as the case may be, from participating in any project, and the bar subsists as on the date of Proposal, would not be eligible to submit a Proposal either by itself or through its Associate.

2.2.6 An Applicant or its Associate should have, during the last three years, neither failed to perform on any agreement, as evidenced by imposition of a penalty by an arbitral or judicial authority or a judicial pronouncement or arbitration award against the Applicant or its Associate, nor been expelled from any project or agreement nor have had any agreement terminated for breach by such Applicant or its Associate.

2.2.7 While submitting a Proposal, the Applicant should attach clearly marked and referenced continuation sheets in the event that the space provided in the specified forms in the Appendices is insufficient. Alternatively, Applicants may format the specified forms making due provision for incorporation of the requested information.

## 2.3 Conflict of Interest

<sup>4</sup>\$ Please do not attach complete printed annual financial statements. In case relevant extracts of duly audited annual financial statements containing the requisite details are provided, duly countersigned by the authorised signatory, a separate certification by statutory auditors would not be necessary in respect of clause 2.2.3.

- 2.3.1 An Applicant shall not have a conflict of interest that may affect the Selection Process or the Consultancy (the “**Conflict of Interest**”). Any Applicant found to have a Conflict of Interest shall be disqualified. In the event of disqualification, the Authority shall forfeit and appropriate the Bid Security as mutually agreed genuine pre-estimated compensation and damages payable to the Authority for, inter alia, the time, cost and effort of the Authority including consideration of such Applicant’s Proposal, without prejudice to any other right or remedy that may be available to the Authority hereunder or otherwise.
- 2.3.2 The Authority requires that the Consultant provides professional, objective, and impartial advice and at all times hold the Authority’s interests’ paramount, avoid conflicts with other assignments or its own interests, and act without any consideration for future work. The Consultant shall not accept or engage in any assignment that would be in conflict with its prior or current obligations to other clients, or that may place it in a position of not being able to carry out the assignment in the best interests of the Authority.
- 2.3.3 Some guiding principles for identifying and addressing Conflicts of Interest have been illustrated, - in the Guidance Note at Schedule-3. Without limiting the generality of the above, an Applicant shall be deemed to have a Conflict of Interest affecting the Selection Process, if:
- (a) the Applicant, its consortium member (the “**Member**”) or Associate (or any constituent thereof) and any other Applicant, its consortium member or Associate (or any constituent thereof) have common controlling shareholders or other ownership interest; provided that this disqualification shall not apply in cases where the direct or indirect shareholding or ownership interest of an Applicant, its Member or Associate (or any shareholder thereof having a shareholding of more than 5% (five per cent) of the paid up and subscribed share capital of such Applicant, Member or Associate, as the case may be) in the other Applicant, its consortium member or Associate is less than 5 per cent of the subscribed and paid up equity share capital thereof; provided further that this disqualification shall not apply to any ownership by a bank, insurance company, pension fund or a public financial institution referred to in subsection (72) of section 2 of the Companies Act, 2013. For the purposes of this Clause 2.3.3(a), indirect shareholding held through one or more intermediate persons shall be computed as follows: (aa) where any intermediary is controlled by a person through management control or otherwise, the entire shareholding held by such controlled intermediary in any other person (the “Subject Person”) shall be taken into account for computing the shareholding of such controlling person in the Subject Person; and (bb) subject always to sub-clause (aa) above, where a person does not exercise control over an intermediary, which has shareholding in the Subject Person, the computation of indirect shareholding of such person in the Subject Person shall be undertaken on a proportionate basis; provided, however, that no such shareholding shall be reckoned under this sub-clause (bb) if the shareholding of such person in the intermediary is less than 26% (twenty six per cent) of the subscribed and paid up equity shareholding of such intermediary; or
  - (b) a constituent of such Applicant is also a constituent of another Applicant; or

- (c) such Applicant or its Associate receives or has received any direct or indirect subsidy or grant from any other Applicant or its Associate; or
- (d) such Applicant has the same legal representative for purposes of this Application as any other Applicant; or
- (e) such Applicant has a relationship with another Applicant, directly or through common third parties, that puts them in a position to have access to each other's information about, or to influence the Application of either or each of the other Applicant; or
- (f) there is a conflict among this and other consulting assignments of the Applicant (including its personnel) and any subsidiaries or entities controlled by such Applicant or having common controlling shareholders. The duties of the Consultant will depend on the circumstances of each case. While providing consultancy services to the Authority for this particular assignment, the Consultant shall not take up any assignment that by its nature will result in conflict with the present assignment; or
- (g) a firm which has been engaged by the Authority to provide goods or works or services for a project, and its Associates, will be disqualified from providing consulting services for the same project save and except as provided in Clause 2.3.4; conversely, a firm hired to provide consulting services for the preparation or implementation of a project, and its Members or Associates, will be disqualified from subsequently providing goods or works or services related to the same project; or
- (h) the Applicant, its Member or Associate (or any constituent thereof), and the bidder or Concessionaire, if any, for the Project, its contractor(s) or sub-contractor(s) (or any constituent thereof) have common controlling shareholders or other ownership interest; provided that this disqualification shall not apply in cases where the direct or indirect shareholding or ownership interest of an Applicant, its Member or Associate (or any shareholder thereof having a shareholding of more than 5% (five per cent) of the paid up and subscribed share capital of such Applicant, Member or Associate, as the case may be,) in the bidder or Concessionaire, if any, or its contractor(s) or sub-contractor(s) is less than 5% (five per cent) of the paid up and subscribed share capital of such Concessionaire or its contractor(s) or sub-contractor(s); provided further that this disqualification shall not apply to ownership by a bank, insurance company, pension fund or a Public Financial Institution referred to in sub-section (72) of section 2 of the Companies Act, 2013. For the purposes of this sub-clause (h), indirect shareholding shall be computed in accordance with the provisions of sub-clause (a) above.

For purposes of this RFP, Associate means, in relation to the Applicant, a person who controls, is controlled by, or is under the common control with such Applicant (the “**Associate**”). As used in this definition, the expression “control” means, with respect to a person which is a company or corporation, the ownership, directly or indirectly, of more than 50% (fifty per cent) of the voting shares of such person, and with respect to a person which is not a company or corporation, the power to direct the management and policies of such person by operation of law or by contract.

2.3.4 An Applicant eventually appointed to provide Consultancy for this Project, and its Associates, shall be disqualified from subsequently providing goods or works or services related to the construction and operation of the same Project and any breach of this obligation shall be construed as Conflict of Interest; provided that the restriction herein shall not apply after a period of 5 (five) years from the completion of this assignment or to consulting assignments granted by banks/ lenders at any time; provided further that this restriction shall not apply to consultancy/ advisory services performed for the Authority in continuation of this Consultancy or to any subsequent consultancy/ advisory services performed for the Authority in accordance with the rules of the Authority. For the avoidance of doubt, an entity affiliated with the Consultant shall include a partner in the Consultant's firm or a person who holds more than 5% (five per cent) of the subscribed and paid up share capital of the Consultant, as the case may be, and any Associate thereof.

## 2.4 Number of Proposals

No Applicant or its Associate shall submit more than one Application for the Consultancy. An Applicant applying individually or as an Associate shall not be entitled to submit another application either individually or as a member of any consortium, as the case may be.

## 2.5 Cost of Proposal

The Applicants shall be responsible for all of the costs associated with the preparation of their Proposals and their participation in the Selection Process including subsequent negotiation, visits to the Authority etc. The Authority will not be responsible or in any way liable for such costs, regardless of the conduct or outcome of the Selection Process.

## 2.6 Verification of information

Applicants are encouraged to submit their respective Proposals after verification of the documents, reference materials, etc. within the purview of this RFP and the Applicable Laws and regulations or any other matter considered relevant by them.

## 2.7 Acknowledgement by Applicant

2.7.1 It shall be deemed **that by submitting the Proposal, the Applicant has:**

- (a) made a complete and careful examination of the RFP;
- (b) received all relevant information requested from the Authority;
- (c) acknowledged and accepted the risk of inadequacy, error or mistake in the information provided in the RFP or furnished by or on behalf of the Authority; or relating to any of the matters referred to in Clause 2.6 above;
- (d) satisfied itself about all matters, things and information, including matters referred to in Clause 2.6 herein above, necessary and required for submitting an informed Application and performance of all of its obligations thereunder;

- (e) acknowledged that it does not have a Conflict of Interest; and
- (f) agreed to be bound by the undertaking provided by it under and in terms hereof.

2.7.2 The Authority shall not be liable for any omission, mistake or error on the part of the Applicant in respect of any of the above or on account of any matter or thing arising out of or concerning or relating to RFP or the Selection Process, including any error or mistake therein or in any information or data given by the Authority.

## **2.8 Right to reject any or all Proposals**

2.8.1 Notwithstanding anything contained in this RFP, the Authority reserves the right to accept or reject any Proposal and to annul the Selection Process and reject all Proposals, at any time without any liability or any obligation for such acceptance, rejection or annulment, and without assigning any reasons thereof.

2.8.2 Without prejudice to the generality of Clause 2.8.1, the Authority reserves the right to reject any Proposal if:

- (a) at any time, a material misrepresentation is made or discovered, or
- (b) the Applicant does not provide, within the time specified by the Authority, the supplemental information sought by the Authority for evaluation of the Proposal.

Misrepresentation/ improper response by the Applicant may lead to the disqualification of the Applicant. If the Applicant is the Lead Member of a consortium, then the entire consortium may be disqualified / rejected. If such disqualification / rejection occurs after the Proposals have been opened and the highest ranking Applicant gets disqualified / rejected, then the Authority reserves the right to consider the next best Applicant, or take any other measure as may be deemed fit in the sole discretion of the Authority, including annulment of the Selection Process.

## **B. Documents**

### **2.9 Contents of the RFP**

This RFP comprises the Disclaimer set forth hereinabove, the contents as listed below and will additionally include any Addendum / Amendment issued in accordance with Clause 2.11:

#### **Request for Proposal**

1. Introduction
2. Instructions to Applicants
3. Criteria for Evaluation
4. Fraud and corrupt practices

5. Pre-Proposal Conference
6. Miscellaneous

## **Schedules**

### **1. Terms of Reference**

### **2. Form of Agreement**

Annex-1: Terms of Reference

Annex-2: Deployment of Personnel

Annex-3: Estimate of Personnel Costs

Annex-4: Cost of Services

Annex-5: Payment Schedule

Annex-6: Bank Guarantee for Performance Security

### **3. Guidance Note on Conflict of Interest**

## **Appendices**

### **Appendix-I: Technical Proposal**

Form-1: Letter of Proposal

Form-2: Particulars of the Applicant

Form-3: Statement of Legal Capacity

Form-4: Power of Attorney

Form-5: Financial Capacity of Applicant

Form-6: Particulars of Key Personnel

Form-7: Proposed Methodology and Work Plan

Form-8: Abstract of Eligible Assignments of Applicant

Form-9: Abstract of Eligible Assignments of Key Personnel

Form-10: Eligible Assignments of Applicant

Form-11: Eligible Assignments of Key Personnel

Form-12: Curriculum Vitae (CV) of Key Personnel

Form-13: Deployment of Personnel & Team Structure

Form-14: Other Implementation Support Team Members

### **Appendix-II: Financial Proposal**

Form-1: Covering Letter

Form-2: Financial Proposal

Form-3: Estimate of Personnel Costs

Form-4: Estimates by Pillars for Resident Personnel Costs + Local Costs +  
Overhead Expenses

### **Appendix-III: List of Bid-Specific Provisions**

## **2.10 Clarifications**

2.10.1 Applicants requiring any clarification on the RFP may submit their queries online to the Authority through CPP portal <https://eprocure.gov.in/eprocure/app> by logging in through their registered email id before the date mentioned in the Schedule of Selection Process at Clause 1.8.

The Authority shall endeavour to respond to the queries within the period specified therein but not later than 7 (seven) days prior to the Proposal Due Date. The Authority will post the reply to all such queries on the Official Website / CPP portal without identifying the source of queries.

2.10.2 The Authority reserves the right not to respond to any questions or provide any clarifications, in its sole discretion, and nothing in this Clause 2.10 shall be construed as obliging the Authority to respond to any question or to provide any clarification.

## **2.11 Amendment of RFP**

2.11.1 At any time prior to the deadline for submission of Proposal, the Authority may, for any reason, whether at its own initiative or in response to clarifications requested by an Applicant, modify the RFP document by the issuance of Addendum/ Amendment and posting it on the Official Website.

2.11.2 All such amendments shall be posted on the CPP portal <https://eprocure.gov.in/eprocure/app> along with the revised RFP containing the amendments and will be binding on all Applicants.

- 2.11.3 In order to afford the Applicants a reasonable time for taking an amendment into account, or for any other reason, the Authority may, in its sole discretion, extend the Proposal Due Date<sup>5</sup>§.

## C. Preparation and Submission of Proposal

### 2.12 Language

The Proposal with all accompanying documents (the “**Documents**”) and all communications in relation to or concerning the Selection Process shall be in English language and strictly on the forms provided in this RFP. No supporting document or printed literature shall be submitted with the Proposal unless specifically asked for and in case any of these Documents is in another language, it must be accompanied by an accurate translation of the relevant passages in English, in which case, for all purposes of interpretation of the Proposal, the translation in English shall prevail.

### 2.13 Format and signing of Proposal

- 2.13.1 The Applicant shall provide all the information sought under this RFP. The Authority would evaluate only those Proposals that are received in the specified forms and complete in all respects.
- 2.13.2 The Applicant shall submit its bid in the electronic form on or before the date and time as mentioned in the Schedule of Selection Process at Clause 1.8.
- 2.13.3 Bids along with all the scanned copies of the document should be submitted in the electronic form only through CPPP e-tendering system as mentioned above. Before the bid documents are uploaded, all attached documents should be digitally signed using digitally signatures issued by the authorised representative (the “**Authorised Representative**”) as detailed below:
- (a) by the proprietor, in case of a proprietary firm; or
  - (b) by a partner, in case of a partnership firm and/or a limited liability partnership; or
  - (c) by a duly authorised person holding the Power of Attorney, in case of a Limited Company or a corporation; or
  - (d) by the Authorised Representative of the Lead Member, in case of consortium.

A copy of the Power of Attorney certified under the hands of a partner or director of the Applicant and notarised by a notary public in the form specified in Appendix-I (Form-4) shall be uploaded alongwith the Proposal.

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<sup>5</sup>§ While extending the Proposal Due Date on account of an addendum, the Authority shall have due regard for the time required by Applicants to address the amendments specified therein. In the case of significant amendments, at least 15 (fifteen) days shall be provided between the date of amendment and the Proposal Due Date, and in the case of minor amendments, at least 7 (seven) days shall be provided.

2.13.4 The following documents shall be sent separately to the Authority in original through Speed Post / Registered Post or delivered by hand to the person specified in the Clause 1.1.11 in a sealed envelope on or before the Bid Due Date, failing which the Bid shall be rejected:

- (a) Power of Attorney as required under Clause 2.13.3 (iii); and
- (b) Bank Guarantee/Demand Draft towards Bid Security as required under Clause 2.20

The envelope specified in this clause 2.13.4 shall clearly bear the following identification:

**“RFP for Establishment of a Program Management Unit (PMU) to support DMEO in the Institutionalization of the Output Outcome Monitoring Framework (OOMF) of Govt. of India”**

If this envelope is not sealed and marked as instructed above, NITI Aayog assumes no responsibility for the misplacement or premature opening of the contents of the Bid and consequent losses, if any suffered by the bidder.

Applicants should note the Proposal Due Date, as specified in Clause 1.8, for submission of Proposals. Except as specifically provided in this RFP, no supplementary material will be entertained by the Authority, and that evaluation will be carried out only on the basis of Documents uploaded on the CPP portal by the closing time of Proposal Due Date as specified in Clause 2.17.1. Applicants will ordinarily not be asked to provide additional material information or documents subsequent to the date of submission, and unsolicited material if submitted will be summarily rejected. For the avoidance of doubt, the Authority reserves the right to seek clarifications under and in accordance with the provisions of Clause 2.24.

## **2.14 Technical Proposal**

2.14.1 Applicants shall submit the technical proposal online in the formats at Appendix-I (the **“Technical Proposal”**).

2.14.2 While submitting the Technical Proposal, the Applicant shall, in particular, ensure that:

- (a) The Bid Security is provided;
- (b) all scanned copies of the forms are submitted in the prescribed formats and signed by the prescribed signatories;
- (c) Power of Attorney, if applicable, is executed as per Applicable Laws;
- (d) CVs of all Professional Personnel have been included;
- (e) Key Personnel have been proposed only if they meet the Conditions of Eligibility laid down at Clause 2.2.2 (D) of the RFP;

- (f) no alternative proposal for any Key Personnel is being made and only one CV for each position has been furnished;
- (g) the CVs have been recently signed and dated in blue ink by the respective Personnel and digitally countersigned by the Applicant. A copy of the CV signed by Key Personnel, duly digitally countersigned by the authorised signatory, shall be accepted. Unsigned CVs shall be rejected;
- (h) the CVs shall contain an undertaking from the respective Key Personnel about his/her availability for the duration specified in the RFP;
- (i) Professional Personnel proposed have good working knowledge of English language;
- (j) Key Personnel would be available for the period indicated in the TOR;
- (k) no Key Personnel should have attained the age of 70 (Seventy) years at the time of submitting the proposal; and
- (l) the proposal is responsive in terms of Clause 2.22.3.

2.14.3 Failure to comply with the requirements spelt out in this Clause 2.14 shall make the Proposal liable to be rejected.

2.14.4 If an individual Key Personnel makes a false averment regarding his qualification, experience or other particulars, or his commitment regarding availability for the Project is not fulfilled at any stage after signing of the Agreement, he shall be liable to be debarred for any future assignment of the Authority for a period of 5 (five) years. The award of this Consultancy to the Applicant may also be liable to cancellation in such an event.

2.14.5 The Technical Proposal shall not include any financial information relating to the Financial Proposal.

2.14.6 The proposed team shall be composed of experts and specialists (the “**Professional Personnel**”) in their respective areas of expertise and managerial/support staff (the “**Support Personnel**”) such that the Consultant should be able to complete the Consultancy within the specified time schedule. The Key Personnel specified in Clause 2.1.4 and 2.1.5 shall be included in the proposed team of Professional Personnel. Other competent and experienced Professional Personnel in the relevant areas of expertise must be added as required for successful completion of this Consultancy. The CV of each such Professional Personnel, if any, should also be submitted in the format at Form-12 of Appendix-I.

2.14.7 The Authority reserves the right to verify all statements, information and documents, submitted by the Applicant in response to the RFP. Any such verification or the lack of such verification by the Authority to undertake such verification shall not relieve the Applicant of its obligations or liabilities hereunder nor will it affect any rights of the Authority thereunder.

2.14.8 In case it is found during the evaluation or at any time before signing of the Agreement or after its execution and during the period of subsistence thereof, that one or more of the eligibility conditions have not been met by the Applicant or the Applicant has made material misrepresentation or has given any materially incorrect or false information, the Applicant shall be disqualified forthwith if not yet appointed as the Consultant either by issue of the LOA or entering into of the Agreement, and if the Selected Applicant has already been issued the LOA or has entered into the Agreement, as the case may be, the same shall, notwithstanding anything to the contrary contained therein or in this RFP, be liable to be terminated, by a communication in writing by the Authority without the Authority being liable in any manner whatsoever to the Applicant or Consultant, as the case may be.

In such an event, the Authority shall forfeit and appropriate the Bid Security as mutually agreed pre-estimated compensation and damages payable to the Authority for, inter alia, time, cost and effort of the Authority, without prejudice to any other right or remedy that may be available to the Authority.

## **2.15 Financial Proposal / Bill-of-Quantity (BoQ)**

2.15.1 Applicants shall submit online the financial proposal in the formats at Appendix-II (the “**Financial Proposal**”, also referred to as the “**Bill-of-Quantity**”) clearly indicating the total cost of the Consultancy (Item [G] of Form-2 of Appendix-II) in both figures and words, in Indian Rupees (INR or Rs.), and signed by the Applicant’s Authorised Representative. In the event of any difference between figures and words, the amount indicated in words shall prevail. In the event of a difference between the arithmetic total and the total shown in the Financial Proposal, the lower of the two shall prevail.

2.15.2 While submitting the Financial Proposal, the Applicant shall ensure the following:

- (i) All the costs associated with the assignment shall be included in the Financial Proposal. These shall normally cover remuneration for all the Personnel (Resident, in the field, office etc.), accommodation, air fare, equipment, printing of documents, surveys, geo-technical investigations etc. The total amount indicated in the Financial Proposal shall be without any condition attached or subject to any assumption, and shall be final and binding. In case any assumption or condition is indicated in the Financial Proposal, it shall be considered non-responsive and liable to be rejected.
- (ii) The Financial Proposal shall take into account all expenses and tax liabilities. For the avoidance of doubt, it is clarified that all taxes shall be deemed to be included in the costs shown under different items of the Financial Proposal. Further, all payments shall be subject to deduction of taxes at source as per Applicable Laws.
- (iii) Costs (including break down of costs) shall be expressed in INR.

## **2.16 Submission of Proposal**

2.16.1 The Applicants shall submit electronically the Proposal with all pages numbered serially and by giving an index of submissions. Each page of the submission shall be digitally

signed by the Authorised Representative of the Applicant as per the terms of the RFP. In case the proposal is submitted on the document downloaded from Official Website, the Applicant shall be responsible for its accuracy and correctness as per the version uploaded by the Authority and shall ensure that there are no changes caused in the content of the downloaded document. In case of any discrepancy between the downloaded or photocopied version of the RFP and the original RFP issued by the Authority, the latter shall prevail.

2.16.2 The proposal shall need to be submitted online on the CPP Portal itself; Manual/Offline bids shall not be accepted under any circumstances. Also, the Applicant shall have to separately send Bid Security and Power of Attorney in original to the Authority as specified in the Clause 2.13.4.

2.16.3 The Technical and Financial bids must be submitted online in their respective folders., one clearly marked “**Technical Proposal**” and the other clearly marked “**Financial Proposal**”. The folder marked —Technical Proposal shall contain:

(i) Application in the prescribed format (Form-1 of Appendix-I) along with Forms 2 to 14 of Appendix-I and supporting documents; and

(ii) Scanned copy of Bid security as specified in Clause 2.20.1

The folder marked —Financial Proposal shall contain the Financial Proposal in the prescribed format (Forms 1, 2 & 3 of Appendix-II).

2.16.4 All pages of the Technical Proposal and Financial Proposal must be numbered and digitally signed by the Authorised Representative of the Applicant.

2.16.5 The complete Proposal must be submitted online on or before 1100 hours on the Proposal Due Date specified in Clause 1.8. Proposals submitted by post, fax, telex, telegram, in-person or e-mail shall not be entertained.

2.16.6 The Proposal shall be made in the Forms specified in this RFP. Any attachment to such Forms must be provided on separate pages and only information that is directly relevant should be uploaded. This may include scanned photocopies of the relevant pages of printed documents. No separate documents like printed annual statements, company brochures, copy of contracts etc. will be entertained.

2.16.7 The rates quoted shall be firm throughout the period of performance of the assignment up to and including acceptance of the Consultancy by the Authority and discharge of all obligations of the Consultant under the Agreement.

## 2.17 Proposal Due Date

2.17.1 Proposal should be submitted online on the CPP portal, on or before 1100 hours on the Proposal Due Date specified in Clause 1.8 in the manner and form as detailed in this RFP. The Applicant is advised to retain the acknowledgement of the online submission of the bid for future reference.

2.17.2 The Authority may, in its sole discretion, extend the Proposal Due Date by issuing an Addendum in accordance with Clause 2.11 uniformly for all Applicants.

## 2.18 Late Proposals

Proposals submitted after the due date will not be accepted by the CPP portal and hence will automatically be rejected. DMEO will in no case be responsible if the bid is not submitted online within the specified timelines.

## 2.19 Modification/ substitution/ withdrawal of Proposals

2.19.1 The Applicant may modify, substitute, or withdraw its proposal by logging into the CPP portal prior to the proposal due date and time.

2.19.2 No Proposal shall be modified, substituted, or withdrawn by the Applicant on or after the Proposal Due Date.

2.19.3 Any request for alteration / modification in the Proposal or additional information or material supplied subsequent to the Proposal Due Date, unless the same has been expressly sought for by the Authority, shall be disregarded.

## 2.20 Bid Security

2.20.1 The Applicant shall furnish as part of its Proposal, a bid security of Rs. 2,50,000 (two lakh and fifty thousand) in the form of a Demand Draft issued by one of the Nationalized/ Scheduled Banks in India in favour of PAO, NITI Aayog payable at New Delhi (the **Bid Security**), returnable not later than 30 (thirty) days from PDD except in case of the two highest ranked Applicants as required in Clause 2.25.1. In the event that the first ranked Applicant commences the assignment as required in Clause 2.30, the second ranked Applicant, who has been kept in reserve, shall be returned its Bid Security forthwith, but in no case not later than 120 (one hundred and twenty) days from PDD. The Selected Applicant's Bid Security shall be returned, upon the Applicant signing the Agreement and completing the Deliverables assigned to it for the first 2 (two) months of the Consultancy in accordance with the provisions thereof.

2.20.2 Any Bid not accompanied by the Bid Security shall be rejected by the Authority as non-responsive.

2.20.3 The Authority shall not be liable to pay any interest on the Bid Security and the same shall be interest free.

2.20.4 The Applicant, by submitting its Application pursuant to this RFP, shall be deemed to have acknowledged that without prejudice to the Authority's any other right or remedy hereunder or in law or otherwise, the Bid Security shall be forfeited and appropriated by the Authority as the mutually agreed pre-estimated compensation and damage payable to the Authority for, *inter alia*, the time, cost and effort of the Authority in regard to the RFP including the consideration and evaluation of the Proposal under the following conditions:

- (a) If an Applicant submits a non-responsive Proposal;
- (b) If an Applicant engages in any of the Prohibited Practices specified in Section 4 of this RFP;
- (c) If an Applicant withdraws its Proposal during the period of its validity as specified in this RFP and as extended by the Applicant from time to time;
- (d) In the case of the Selected Applicant, if the Applicant fails to reconfirm its commitments during negotiations as required vide Clause 2.25.1;
- (e) In the case of a Selected Applicant, if the Applicant fails to sign the Agreement or commence the assignment as specified in Clauses 2.29 and 2.30 respectively; or
- (f) If the Applicant is found to have a Conflict of Interest as specified in Clause 2.3.

## 2.21 Performance Security

2.21.1 The Applicant, by submitting its Application pursuant to this RFP, shall be deemed to have acknowledged that without prejudice to the Authority's any other right or remedy hereunder or in law or otherwise, its Performance Security shall be forfeited and appropriated by the Authority as the mutually agreed pre-estimated compensation and damages payable to the Authority for, *inter alia*, the time, cost and effort of the Authority in regard to the RFP, including the consideration and evaluation of the Proposal, under the following conditions:

- (a) If an Applicant engages in any of the Prohibited Practices specified in Clause 4.1 of this RFP;
- (b) if the Applicant is found to have a Conflict of Interest as specified in Clause 2.3; and
- (c) if the Selected Applicant commits a breach of the Agreement.

2.21.2 An amount equal to 10% (ten per cent) of the Agreement Value shall be deemed to be the Performance Security for the purposes of this Clause 2.21, which may be forfeited and appropriated in accordance with the provisions hereof.

## D. Evaluation Process

### 2.22 Evaluation of Proposals

2.22.1 The Authority shall open the Proposals at 14:00 hours on the next working day after the Proposal Due Date via online bid opening. The folder of Technical Proposal shall be opened first. The folder of Financial Proposal shall be kept locked for opening at a later date.

2.22.2 Proposals withdrawn prior to proposal due date shall not be considered for evaluation in accordance with Clause 2.19.

2.22.3 Prior to evaluation of Proposals, the Authority will determine whether each Proposal is responsive to the requirements of the RFP. The Authority may, in its sole discretion, reject any Proposal that is not responsive hereunder. A Proposal shall be considered responsive only if:

- (a) the Technical Proposal is received in the form specified at Appendix-I;
- (b) it is received by the Proposal Due Date including any extension thereof pursuant to Clause 2.17;
- (c) it is accompanied by the Bid Security as specified in Clause 2.20.1.
- (d) it is digitally signed, numbered and submitted as stipulated in Clauses 2.13 and 2.16;
- (e) it is accompanied by the Power of Attorney as specified in Clause 2.2.4;
- (f) it contains all the information (complete in all respects) as requested in the RFP;
- (g) it does not contain any condition or qualification; and
- (h) it is not non-responsive in terms hereof.

2.22.4 The Authority reserves the right to reject any Proposal which is non-responsive and no request for alteration, modification, substitution or withdrawal shall be entertained by the Authority in respect of such Proposals.

2.22.5 The Authority shall subsequently examine and evaluate Proposals in accordance with the Selection Process specified at Clause 1.6 and the criteria set out in Section 3 of this RFP.

2.22.6 After the technical evaluation, the Authority shall prepare a list of pre-qualified and shortlisted Applicants in terms of Clause 3.2 for opening of their Financial Proposals. A date and time will be notified to all Applicants for announcing the result of evaluation and opening of Financial Proposals. Before opening of the Financial Proposals, the list of pre-qualified and shortlisted Applicants along with their Technical Score will be uploaded. The Authority will not entertain any query or clarification from Applicants who fail to qualify at any stage of the Selection Process. The financial evaluation and final ranking of the Proposals shall be carried out in terms of Clauses 3.3 and 3.4.

2.22.7 Applicants are advised that Selection shall be entirely at the discretion of the Authority. Applicants shall be deemed to have understood and agreed that the Authority shall not be required to provide any explanation or justification in respect of any aspect of the Selection Process or Selection.

2.22.8 Any information contained in the Proposal shall not in any way be construed as binding on the Authority, its agents, successors or assigns, but shall be binding against the Applicant if the Consultancy is subsequently awarded to it.

## **2.23 Confidentiality**

Information relating to the examination, clarification, evaluation, and recommendation for the selection of Applicants shall not be disclosed to any person who is not officially concerned with the process or is not a retained professional adviser advising the Authority in relation to matters arising out of, or concerning the Selection Process. The Authority shall treat all information, submitted as part of the Proposal, in confidence and shall require all those who have access to such material to treat the same in confidence. The Authority may not divulge any such information unless it is directed to do so by any statutory entity that has the power under law to require its disclosure or is to enforce or assert any right or privilege of the statutory entity and/or the Authority or as may be required by law or in connection with any legal process.

## **2.24 Clarification**

2.24.1 To facilitate evaluation of Proposals, the Authority may, at its sole discretion, seek clarifications from any Applicant regarding its Proposal. Such clarification(s) shall be provided within the time specified by the Authority for this purpose. Any request for clarification(s) and all clarification(s) in response thereto shall be in writing.

2.24.2 If an Applicant does not provide clarifications sought under Clause 2.24.1 above within the specified time, its Proposal shall be liable to be rejected. In case the Proposal is not rejected, the Authority may proceed to evaluate the Proposal by construing the particulars requiring clarification to the best of its understanding, and the Applicant shall be barred from subsequently questioning such interpretation of the Authority.

## **E. Appointment of Consultant**

### **2.25 Negotiations**

2.25.1 The Selected Applicant may, if necessary, be invited for negotiations. The negotiations shall generally not be for reducing the price of the Proposal, but will be for re-confirming the obligations of the Consultant under this RFP. Issues such as deployment of Key Personnel, understanding of the RFP, methodology and quality of the work plan shall be discussed during negotiations. A Key Personnel who did not score 65% (sixty-five per cent) marks as required under Clause 3.1.2 shall be replaced by the Applicant with a better candidate to the satisfaction of the Authority. In case the Selected Applicant fails to reconfirm its commitment, the Authority reserves the right to designate the next ranked Applicant as the Selected Applicant and invite it for negotiations.

2.25.2 The Authority will examine the CVs of all other Professional Personnel and those not found suitable shall be replaced by the Applicant to the satisfaction of the Authority.

### **2.26 Substitution of Key Personnel**

2.26.1 The Authority will not normally consider any request of the Selected Applicant for substitution of Key Personnel as the ranking of the Applicant is based on the evaluation of Key Personnel and any change therein may upset the ranking. Substitution will, however, be permitted if the Key Personnel is not available for reasons of any incapacity

or due to health, subject to equally or better qualified and experienced personnel being provided to the satisfaction of the Authority.

2.26.2 The Authority expects all the Key Personnel to be available during implementation of the Agreement. The Authority will not consider substitution of Key Personnel except for reasons of any incapacity or due to health. Such substitution shall ordinarily be limited to one Key Personnel subject to equally or better qualified and experienced personnel being provided to the satisfaction of the Authority. As a condition to such substitution, a sum equal to 20% (twenty per cent) of the remuneration specified for the original Key Personnel shall be deducted from the payments due to the Consultant. In the case of a second substitution hereunder, such deduction shall be 50% (fifty per cent) of the remuneration specified for the original Key Personnel. Any further substitution may lead to disqualification of the Applicant or termination of the Agreement.

2.26.3 Substitution of the Team Leader will not normally be considered and may lead to disqualification of the Applicant or termination of the Agreement.

2.26.4 In case the Authority is not satisfied with the performance of any Key Personnel, the Authority may initiate a request for substitution of such Key Personnel. This substitution will also be subject to payment deductions as described in Clause 2.26.2.

## **2.27 Indemnity**

The Consultant shall, subject to the provisions of the Agreement, indemnify the Authority for an amount not exceeding the value of the Agreement for any direct loss or damage that is caused due to any deficiency in services.

## **2.28 Award of Consultancy**

After selection, a Letter of Award (the “LOA”) shall be issued, in duplicate, by the Authority to the Selected Applicant and the Selected Applicant shall, within 7 (seven) days of the receipt of the LOA, sign and return the duplicate copy of the LOA in acknowledgement thereof. In the event the duplicate copy of the LOA duly signed by the Selected Applicant is not received by the stipulated date, the Authority may, unless it consents to extension of time for submission thereof, appropriate the Bid Security of such Applicant as mutually agreed genuine pre-estimated loss and damage suffered by the Authority on account of failure of the Selected Applicant to acknowledge the LOA, and the next highest ranking Applicant may be considered.

## **2.29 Execution of Agreement**

After acknowledgement of the LOA as aforesaid by the Selected Applicant, it shall execute Agreement within the period prescribed in Clause 1.8. The Selected Applicant shall not be entitled to seek any deviation in the Agreement.

## **2.30 Commencement of assignment**

The Consultant shall commence the Services within 7 (seven) days of the date of the Agreement, or such other date as may be mutually agreed. If the Consultant fails to either sign the Agreement as specified in Clause 2.29 or commence the assignment as specified herein, the Authority may invite the second ranked Applicant for negotiations. In such an event, the Bid Security of the first ranked Applicant shall be forfeited and appropriated in accordance with the provisions of Clause 2.20.4.

### **2.31 Proprietary Data**

Subject to the provisions of Clause 2.23, all documents and other information provided by the Authority or submitted by an Applicant to the Authority shall remain or become the property of the Authority. Applicants and the Consultant, as the case may be, are to treat all information as strictly confidential. The Authority will not return any Proposal or any information related thereto. All information collected, analyzed, processed or in whatever manner provided by the Consultant to the Authority in relation to the Consultancy shall be the property of the Authority. The Consultant shall make suitable arrangements for the preservation of data collected during the study, such as filled in schedules, tabulation or working sheets, reports, photographs etc., relating to the Project in electronic form and this shall be shared with the Authority at the time of submission of Final report. The ownership of all such data shall remain with the Authority. All raw data compiled during the consultancy assignment shall be transferred to the authority. No data collected in context of the study may be destroyed or otherwise disposed of or given to any other organization/individual, unless so approved by the Authority.

### 3.Criteria for Evaluation

#### 3.1 Evaluation of Technical Proposals

3.1.1 In the first stage, the Technical Proposal will be evaluated based on Applicant's experience, its understanding of TOR, proposed methodology and Work Plan, and the experience and qualifications of the proposed Key Personnel. Only those Applicants whose Technical Proposals get a score of 65 (sixty-five) marks or more out of 100 (one hundred) shall qualify for further consideration and shall be ranked from highest to the lowest based on their technical score ( $S_T$ ).

3.1.2 Each Key Personnel must score a minimum of 65% (sixty-five per cent) marks except as provided herein. A Proposal shall be rejected if the Team Leader scores less than 65% (sixty-five per cent) marks or any two of the remaining Key Personnel score less than 65% (sixty-five per cent) marks. In case the Selected Applicant has one Key Personnel, other than the Team Leader, who scores less than 65% marks, he would have to be replaced during negotiations, with a better candidate who, in the opinion of the Authority, would score 65% (sixty-five per cent) or above.

3.1.3 The scoring criteria to be used for evaluation shall be as follows.

S. No.	Parameter	Maximum Marks	Criteria
1.	<b>Relevant Experience of the Applicant</b>	<b>25</b>	10% of the maximum marks for each Applicant shall be awarded for overall professional income and experience of the firm. 30% of the maximum marks shall be awarded for the number of Eligible Assignments undertaken by the Applicant firm. The remaining 60% shall be awarded for the comparative size and quality of Eligible General and Specific Assignments.
2.	<b>Proposed Methodology and Work Plan</b>	<b>20</b>	Evaluation will be based on the quality of submissions., including the presentation made by the Applicant
3.	<b>Experience of Proposed core Key Personnel of the Applicant</b>	<b>55</b>	10% of the maximum marks for each core Key Personnel shall be awarded for the educational qualifications. 30% of the maximum marks for each core Key Personnel shall be awarded for the number of Eligible Assignments the respective core Key Personnel has worked on. The remaining 60% shall be awarded for the comparative size
3(a)	Lead Capacity Building Expert (Team Leader)	15	
3(b)	International Development Expert	12	

S. No.	Parameter	Maximum Marks	Criteria
3(c)	Monitoring & Evaluation (M&E) Expert	12	and quality of Eligible General and Specific Assignments
3(d)	Technology and Digital Enablement Expert (e-Governance Solution Architect)	8	
3(e)	Public Sector Expert	8	
<b>TOTAL</b>		<b>100</b>	

While awarding marks for the number of Eligible Projects, the Applicant or core Key Personnel, as the case may be, that has undertaken the highest number of Eligible Assignments shall be entitled to the maximum score for the respective category and all other competing Applicants or respective core-Key Personnel, as the case may be, shall be entitled to a proportionate score. No score will be awarded to an Applicant/core Key Personnel for fulfilling the eligibility criteria of a minimum number of Eligible Assignments and only projects exceeding the eligibility criteria shall qualify for scoring. For the avoidance of doubt and by way of illustration, if the minimum number of Eligible Projects for meeting the eligibility criteria is say, 3 (three), then an equivalent number will be ignored for each Applicant/core Key Personnel and only the balance remaining will be considered for awarding scores relating to the number of Eligible Assignments on a proportionate basis. However, for assigning scores in respect of the size and quality of Eligible Assignments, all Eligible Assignments of the Applicant / Core Key Personnel shall be considered.

#### 3.1.4 Eligible Assignments

For the purposes of determining Conditions of Eligibility and for evaluating the Proposals under this RFP, advisory/ consultancy assignments shall be deemed as eligible assignments (the “**Eligible Assignments**”) as follows:

- (i) Advisory/consultancy assignments in India or any other country granted by the government, regulatory commission, tribunal, multilateral agencies, statutory authorities, public sector entities etc. in respect of design, implementation, evaluation etc. of government programs shall be deemed as eligible general assignments (the “**Eligible General Assignments**”)
- (ii) Program Management Support involving implementation handholding, capacity building, MIS development and monitoring, advocacy, institutionalization etc. in India granted by the Central or State government agencies, regulatory commission, tribunal, statutory authorities, public sector entities etc. in respect

of government schemes shall be deemed as eligible specific assignments (the “**Eligible Specific Assignments**”)

Provided that the Applicant firm claiming credit for an Eligible General Assignment shall have, prior to PDD, received professional fees of at least Rs. 2 crores (two crores) for such assignment, and where credit is being claimed by a Key Personnel, the estimated cost of the assignment should be at least Rs. 2 crores (two crores).

Provided further that if the Applicant firm is claiming credit for an Eligible Specific Assignment, shall have, prior to the PDD, received professional fees of at least Rs. 1.50 crores (one crore and fifty lakh) for such assignment, and where credit is being claimed by a Key Personnel, the estimated cost of the assignment should be at least Rs. 1.50 crores (one crore and fifty lakh).

Note: The same assignment(s) cannot be provided under both General and Specific Assignments mentioned above. The Applicant and Key Personnel may claim credit for Eligible Assignments that have been completed in the 5 (five) financial years preceding the PDD, or have been initiated in the 5 (five) financial years preceding the PDD and are currently ongoing.

### **3.2 Short-listing of Applicants**

Of the Applicants ranked as aforesaid, not more than 5 (five) shall be pre-qualified and short-listed for financial evaluation in the second stage. However, if the number of such pre-qualified Applicants is less than two, the Authority may, in its sole discretion, pre-qualify the Applicant(s) whose technical score is less than 65 (sixty five) marks even if such Applicant(s) do(es) not qualify in terms of Clause 3.1.2; provided that in such an event, the total number of pre-qualified and short-listed Applicants shall not exceed two

### **3.3 Evaluation of Financial Proposals**

3.3.1 In the second stage, the financial evaluation will be carried out as per this Clause 3.3. Each Financial Proposal will be assigned a financial score ( $S_F$ ).

3.3.2 For financial evaluation, the total cost indicated in the Financial Proposal, excluding Additional Costs, will be considered. Additional Costs shall include items specified as such in Form-2 of Appendix-II.

3.3.3 The Authority will determine whether the Financial Proposals are complete, unqualified and unconditional. The cost indicated in the Financial Proposal shall be deemed as final and reflecting the total cost of services. Omissions, if any, in costing any item shall not entitle the firm to be compensated and the liability to fulfil its obligations as per the TOR within the total quoted price shall be that of the Consultant The lowest Financial Proposal ( $F_M$ ) will be given a financial score ( $S_F$ ) of 100 points. The financial scores of other proposals will be computed as follows:

$$S_F = 100 \times F_M/F$$

(F = amount of Financial Proposal)

### 3.4 Combined and Final Evaluation

3.4.1 Proposals will finally be ranked according to their combined technical ( $S_T$ ) and financial ( $S_F$ ) scores as follows:

$$S = S_T \times T_w + S_F \times F_w$$

Where, S is the combined score, and  $T_w$  and  $F_w$  are weights assigned to Technical Proposal and Financial Proposal, which shall be 0.80 and 0.20 respectively.

3.4.2 The Selected Applicant shall be the first ranked Applicant (having the highest combined score). The second ranked Applicant shall be kept in reserve and may be invited for negotiations in case the first-ranked Applicant withdraws, or fails to comply with the requirements specified in Clauses 2.25, 2.29 and 2.30, as the case may be.

## 4. Fraud and Corrupt Practices

- 4.1** The Applicants and their respective officers, employees, agents and advisers shall observe the highest standard of ethics during the Selection Process. Notwithstanding anything to the contrary contained in this RFP, the Authority shall reject a Proposal without being liable in any manner whatsoever to the Applicant, if it determines that the Applicant has, directly or indirectly or through an agent, engaged in corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice (collectively the “**Prohibited Practices**”) in the Selection Process. In such an event, the Authority shall, without prejudice to its any other rights or remedies, forfeit and appropriate the Bid Security or Performance Security, as the case may be, as mutually agreed genuine pre-estimated compensation and damages payable to the Authority for, *inter alia*, time, cost and effort of the Authority, in regard to the RFP, including consideration and evaluation of such Applicant’s Proposal.
- 4.2** Without prejudice to the rights of the Authority under Clause 4.1 hereinabove and the rights and remedies which the Authority may have under the LOA or the Agreement, if an Applicant or Consultant, as the case may be, is found by the Authority to have directly or indirectly or through an agent, engaged or indulged in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice during the Selection Process, or after the issue of the LOA or the execution of the Agreement, such Applicant or Consultant shall not be eligible to participate in any tender or RFP issued by the Authority during a period of 2 (two) years from the date such Applicant or Consultant, as the case may be, is found by the Authority to have directly or through an agent, engaged or indulged in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice, as the case may be.
- 4.3** For the purposes of this Section, the following terms shall have the meaning hereinafter respectively assigned to them:
- (a) “**corrupt practice**” means (i) the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence the action of any person connected with the Selection Process (for avoidance of doubt, offering of employment to or employing or engaging in any manner whatsoever, directly or indirectly, any official of the Authority who is or has been associated in any manner, directly or indirectly with the Selection Process or the LOA or has dealt with matters concerning the Agreement or arising therefrom, before or after the execution thereof, at any time prior to the expiry of one year from the date such official resigns or retires from or otherwise ceases to be in the service of the Authority, shall be deemed to constitute influencing the actions of a person connected with the Selection Process); or (ii) save as provided herein, engaging in any manner whatsoever, whether during the Selection Process or after the issue of the LOA or after the execution of the Agreement, as the case may be, any person in respect of any matter relating to the Project or the LOA or the Agreement, who at any time has been or is a legal, financial or technical consultant/ adviser of the Authority in relation to any matter concerning the Project;

- (b) “**fraudulent practice**” means a misrepresentation or omission of facts or disclosure of incomplete facts, in order to influence the Selection Process;
- (c) “**coercive practice**” means impairing or harming or threatening to impair or harm, directly or indirectly, any persons or property to influence any person’s participation or action in the Selection Process;
- (d) “**undesirable practice**” means (i) establishing contact with any person connected with or employed or engaged by the Authority with the objective of canvassing, lobbying or in any manner influencing or attempting to influence the Selection Process; or (ii) having a Conflict of Interest; and
- (e) “**restrictive practice**” means forming a cartel or arriving at any understanding or arrangement among Applicants with the objective of restricting or manipulating a full and fair competition in the Selection Process.

## **5.Pre-Proposal Conference**

- 5.1** Pre-Proposal Conference of the Applicants shall be convened at the designated date, time and place. Only those Applicants, who have downloaded the RFP document from the Official Website of the Authority, shall be allowed to participate in the Pre-Proposal Conference. A maximum of two representatives of each Applicant shall be allowed to participate on production of an authority letter from the Applicant.
- 5.2** During the course of Pre-Proposal Conference, the Applicants will be free to seek clarifications and make suggestions for consideration of the Authority. The Authority shall endeavour to provide clarifications and such further information as it may, in its sole discretion, consider appropriate for facilitating a fair, transparent and competitive Selection Process.

## 6. Miscellaneous

- 6.1** The Selection Process shall be governed by, and construed in accordance with, the laws of India and the Courts in the State in which the Authority has its headquarters shall have exclusive jurisdiction over all disputes arising under, pursuant to and/or in connection with the Selection Process.
- 6.2** The Authority, in its sole discretion and without incurring any obligation or liability, reserves the right, at any time, to:
- (a) suspend and/or cancel the Selection Process and/or amend and/or supplement the Selection Process or modify the dates or other terms and conditions relating thereto;
  - (b) consult with any Applicant in order to receive clarification or further information;
  - (c) retain any information and/or evidence submitted to the Authority by, on behalf of and/or in relation to any Applicant; and/or
  - (d) independently verify, disqualify, reject and/or accept any and all submissions or other information and/or evidence submitted by or on behalf of any Applicant.
- 6.3** It shall be deemed that by submitting the Proposal, the Applicant agrees and releases the Authority, its employees, agents and advisers, irrevocably, unconditionally, fully and finally from any and all liability for claims, losses, damages, costs, expenses or liabilities in any way related to or arising from the exercise of any rights and/or performance of any obligations hereunder, pursuant hereto and/or in connection herewith and waives any and all rights and/or claims it may have in this respect, whether actual or contingent, whether present or future.
- 6.4** All documents and other information supplied by the Authority or submitted by an Applicant shall remain or become, as the case may be, the property of the Authority. The Authority will not return any submissions made hereunder. Applicants are required to treat all such documents and information as strictly confidential.
- 6.5** The Authority reserves the right to make inquiries with any of the clients listed by the Applicants in their previous experience record.

## **Schedules**

## **Schedule 1: Terms of Reference**

(See Clause 1.1.3)

### **TERMS OF REFERENCE**

**FOR**

**Consultancy Services for Establishment of Program  
Management Unit (PMU) to support DMEO in the  
Institutionalization of the Output-Outcome Monitoring  
Framework (OOMF) of Govt. of India**

## **Contents:**

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## Terms of Reference

### 1. Introduction

The Government of India has undertaken major structural shifts in the public expenditure management initiatives in the previous few years with an aim to improve the efficacy, effectiveness and accountability of public spending in the country. To this account the Government of India has begun bringing the public schemes and projects under a monitorable Output-Outcome Monitoring Framework, led by Department of Expenditure (DoE), Ministry of Finance (MoF). The National Institution for Transforming India (NITI Aayog), through its Development, Monitoring and Evaluation Office (DMEO), is supporting this initiative for the Govt. of India. With this exercise, it aims to nurture an open, accountable, proactive and transparent governance by transitioning from simply outlays to result-oriented outputs, outcomes and impacts.

### 2. Background and Need Context:

The Government of India spent INR 13 Lakh Crores (FY 2019-20 budget) annually into various welfare programmes in the form of Central Sector and Centrally Sponsored Schemes. Achieving India's ambitious development targets with limited resources requires improving how Government of India invests development funds. When the government does not measure the achievement of outcomes, the risk of public expenditure becoming wasteful increases. This is the case if only input, activities and outputs are measured and accounted for, but not outcomes. Linking budgets, or inputs, to outcomes, and monitoring the progress, increases opportunities to increase the development impact per rupee spent.

Mechanisms and processes of administration seek to balance the demand for resources with their limited supply and to maximise corresponding outcomes and impact. At the implementation level, this is achieved through the structural responsibilities of scheme divisions as implementers requesting resources, and Financial Advisers as approving authorities to facilitate fiscal responsibility. Scheme division heads are in-charge of scheme implementation including reviewing and obtaining budget approvals whereas Financial Advisers of DoE are the embedded representatives of the Department of Expenditure (DoE) and Ministry of Finance (MoF) in the line ministries/departments enabling regular performance review of schemes and ensuring linkage with financing decisions. These two stakeholders review programme performance and advise changes where evidence suggests change is required. To enable this review, they would require Specific, Measurable, Achievable, Relevant and Time-bound (SMART) indicator reports, provided by reliable data collection systems.

In order to improve the impact of the development schemes/programmes, it is required that schemes are well-designed and well-implemented. Good programme design is determined by the scheme division teams that obtain program approvals through Secretaries of the respective ministry/department and the standard Standing Finance Committee (SFC)/. Expenditure Finance Committee (EFC) approval processes of the MoF. Implementation efficacy is determined mainly by the scheme divisions teams that are supposed to monitor and report progress against targets, get reviews by Secretaries

of the concerned Ministries/Departments and by DoE's Financial Advisors. Program reviews by the Secretaries and by DoE's Financial advisors are intended provide opportunities for program and budget adjustments. Adjustments include increasing or decreasing funding as deemed appropriate, based on evidence. At State level the same pattern repeats, albeit on a proportionally smaller scale. State governments also run various schemes/programs which are funded by the State budgets.

A shared understanding and commitment to outcome-oriented planning, budgeting, and monitoring is therefore required by the Ministries/Departments and the States. Hence the need for an integrated Output-Outcome Monitoring Framework (OOMF) with adoption across Central Ministries/Departments as well as States. DoE manages the budgetary and the expenditure-related processes and is therefore best positioned to ensure uptake and ownership of the Output-Outcome Monitoring Framework by all other Ministries/Departments and the States.

In support of DoE, MoF, the Development Monitoring and Evaluation Office (DMEO) of NITI Aayog in consultation with various Central Government Ministries has facilitated the process of development of an Output-Outcome Monitoring Framework (OOMF) based on international best practices.

The OOMF is a result of the collaboration and teamwork of a wide range of stakeholders across various Ministries and Departments of the Govt. of India. In FY 2019-2020, the OOMF was formally included as part of the Union Budget presented by the Ministry of Finance, Govt. of India to the Parliament of India. This document and framework presented the financial outlay for FY 2019-20 with clearly defined outputs and outcomes along with measurable output and outcome-based indicators with specific targets as well. The document contained the Output-Outcome Framework for major Central Sector (CS) Schemes and Centrally Sponsored Schemes (CSS) with outlay greater than Rs. 500 crores in FY 2019-20. Hence, this document covered 163 schemes, which was around 95% of the total CS/ CSS budget for the 591 CS/ CSS schemes covered in the Outcome Budget 2019-20. Rest of the schemes with outlay less than Rs. 500 crores were presented by the respective Ministries/Departments at the time of presenting Detailed Demand for Grants (DDGs). Similarly, the OOMF document has now been presented as part of the overall budget of Govt. of India for FY 2020-21. Based on the targets against largely quantitative indicators finalized by the concerned Ministries/Departments against the budgetary outlays in the OOMF document, DMEO facilitates the tracking of the progress through an online dashboard. The concerned ministries/departments report progress against output indicators on a quarterly and on outcome indicators on an annual basis on this dashboard.

Having achieved this first major milestone and looking forward to increasing NITI Aayog's mandated efforts to speeding up the overall national development agenda, it is now an opportune stage to reflect on progress, map the road forward and build capacities. The OOMF currently faces various challenges listed as under:

- Outcomes as well as Outcome indicators as not well-defined for various schemes/programmes due to (i) Absence of data structure to capture outcomes

data from the field and (ii) issues pertaining to overlapping attributions across schemes both within the same ministry/department as well as others.

- The OOMF framework is not yet integrated into scheme design right from the stage a new scheme is conceived and proposed through an EFC/SFC memorandum
- Low Compliance on the reporting of progress against the OOMF indicators on the dashboard due to (i) low internal use of OOMF indicators for internal reviews, monitoring and budgeting decisions by respective line Ministries and Departments, and (ii) difficulty in updating information on the dashboard due to manual process and lower user friendliness of the present dashboard.
- Due to the above reasons, the integration of OOMF architecture in financing decisions like deciding on annual budgets for programs, arriving at revised estimates, fund releases to States (in case of Centrally Sponsored Schemes), etc., both at the level of the respective line Ministry/Department as well as Department of Expenditure is not yet complete.

The DoE and DMEO therefore intend to institutionalize the OOMF further across Govt. of India and State Governments. Institutionalization here refers to the embedding of modern outcome-oriented good practices and in particular outcome-based budgeting, within government and the M&E eco-system. This includes changes of norms, particular values and modes of behaviour of key stakeholders, in selected government departments and in States. The ultimate aim is to increase sustained outcomes and impact per rupee of public money spent. To improve and further institutionalize of outcomes-based governance within the Govt. of India, DMEO now requires additional capacity in the form of consultancy services.

The broader areas of intervention for the consultancy service envisaged includes:

- Review and document OOMF architecture, processes and systems
- Advocacy of outcomes monitoring within the M&E ecosystem in the country
- Support to selected Ministries/Departments to institutionalize outcomes-based monitoring approach and practices and establish examples for the other ministries/departments to follow
- Supports to States to entrench outcomes-based approach and practices and establish examples for the other states to follow
- Coordination of institutionalization process across key stakeholders in M&E eco-system

The broad outcomes, further detailed through objectively defined deliverables, include:

- OOMF architecture, processes, systems (technological and otherwise) and capacity enhanced to better meet stakeholder requirements.
- Greater awareness, improved buy-in and enhanced capacities in selected champion Ministries/Departments and States for outcomes-based planning, budgeting and monitoring.
- Stronger outcomes-based planning budgeting and monitoring practices among the Ministries & Departments
- Expanding the foothold of outcomes-based planning, budgeting and monitoring within the State governments.
- Improved Capacities of selected training institutions enhanced to scale up capacity building in outcomes-based planning budgeting and monitoring practices.

For this purpose, it is proposed to select a suitably qualified consultancy firm to support DMEO, NITI Aayog as a Program Management Unit (PMU) in the institutionalization of OOMF and undertake parallel activities to speed up overall national development agenda. The consultancy firm shall assist in transfer of international best practices to the selected stakeholders, train and capacitate concerned officers of select departments and states, to shift towards outcomes-based governance and to ensure better integration to achieve national priorities and SDGs.

### **3. Objectives**

The objectives of this exercise are:

#### **i. Review Output Outcome Monitoring Framework (OOMF)**

The purpose of an outcome budget is to increase accountability by monitoring outputs as well as outcome targets. Outcomes are defined as the improvement of the performance of various target groups, as intended. OOMF was developed at NITI Aayog based on international good practice and customized for Government of India. The DMEO team and key stakeholders involved need to be engaged to assess the progress made and document OOMF methodology to reflect, identify issues and gaps, and opportunities to improve. On completion, the revised methodology and processes need to be documented professionally for the purposes of: training, , for online self-learning and for quick reference. On completion, the DMEO OOMF competencies need to be deepened further by providing training to more members.

#### **ii. Expand OOMF to Departments/ Ministries**

Departments/Ministries play a crucial role in the overall National Development Agenda through Central Sector and Centrally Sponsored schemes. With limited financial resources and much higher need for developmental spending, it is always important for them to optimize their investments in effective public services delivery programmes. To

do so, an objective means to separate out the performing schemes from the non-performing ones needs to be institutionalized. The OOMF methodology has the potential to entrench essential good development oversight practices, which lead to deeper insights and thus enable better public investment. The OOMF methodology and processes will therefore be institutionalized in selected ministries/departments of the Government of India, to start driving change internally. These ministries/departments will then act as the torchbearers of good practice in adopting outcomes-based monitoring which will then be used as case studies after project completion by Department of Expenditure in percolating their change to other ministries/departments. These introductions will entail awareness raising, provision of toolkits, training and backstopping support until successful implementation.

### **iii. Expand OOMF to States**

States play a pivotal role in the overall National Development Agenda by driving decentralized change. Led by the State Departments of Expenditure and Planning, States also seek to increase their outcomes given limited public funds. With the need to become more effective with public investment, greater clarity is required about which States-funded schemes are more effective vs those that are less so. The OOMF methodology has the potential to entrench essential good development oversight practices, which lead to deeper insights and thus enable better public investment.

Selected States will therefore be assisted to establish a core capacity to strengthen outcomes-based monitoring competency, systems and results. In addition, some state training institutions will be identified and capacitated as trainers to expand OOMF capacity on a larger scale.

### **iv. Advocacy of Outcomes to transform M&E ecosystem**

Better monitoring and evaluation is required across India's hundreds of development programs/schemes and across all the States. To achieve this, both demand for and supply of M&E professionals needs to be bolstered. By increasing awareness of the increasing importance of better evidence-based decision making and simultaneously building more creative tension, the overall M&E eco-system can be strengthened over time. To enable this, a national/international workshop on Outcomes-based monitoring to learn from best practices; consolidate knowledge and viewpoints and pave the way forward will be conducted.

In addition, it seeks to mobilize and promote relevant M&E platforms including networks and training institutions, to respond to the increasing demand as well as to strengthen contributions towards M&E policy debate and frameworks. This entails identifying platforms and mechanisms for conducting advocacy activities, preparing a roadmap for advocacy activities and preparing an integrated communications plan specifically for outcomes monitoring.

### **v. Strengthen the OOMF dashboard, stakeholder communications and online services**

The Output Outcome Monitoring Framework is currently monitored through a web-based dashboard. The dashboard needs to enable reviews both from a stakeholder perspective and from a technical perspective. The reviews will inform how best the dashboard features can be enhanced to provide greater insight to decision makers and for larger scale adoption across the government agencies.

The dashboard strengthening will entail two phases, a rapid enhancement of known features (version 1.2) and a more holistic upgrade after a thorough review. OOMF dashboard version 2.0 is envisaged to report progress better and inform GoI planning, budgeting and payment processes. The dashboard needs to provide better insights for decision makers, including holistic, convergent and comparative views of scheme performance.

#### **4. Detailed list of activities**

The scope of work envisaged towards achieving the above objectives of this exercise are listed under five pillars (the ‘Pillars’) as follows:

- i. Pillar 1 - Review the Output Outcome Monitoring Framework (OOMF) and capture past experiences through systematic documentation for NITI Aayog**
  - a. Conduct a series of key interviews and reflection workshops with involved stakeholders including DMEO, NITI Aayog Verticals, Ministries/ Depts, Dept. Of Expenditure, DEA as well as external stakeholders like UN and multilateral funding agencies among others, to elicit the required information to map the OOMF process and methodology “as implemented”.
  - b. Identify the issues and gaps as observed/perceived by stakeholders.
  - c. During the same workshops, “lessons learnt” should be captured and utilized to identify improvement opportunities. These may for instance include increasing Department reporting compliance levels, linking OOMF targets to the 3-5-year Medium Term Expenditure Framework and automating data collection. It may also include simplification of the OOMF methodology, processes and systems for easier adoption and more effective use by Departments and DoE.
  - d. International and National best practices that fit-for-India-purpose should be blended in, as and where needed.
  - e. The finding and recommendations need to be documented, and the draft set of OOMF material, as revised methodology and processes. This includes documents such as Policy principles, manuals, training manuals and promotional briefs. The formats may include documents, presentations and online videos or other. On completion, the material will

be shared for a final round of input from relevant stakeholders, such as DoE, MoSPI and selected Departments.

- f. The recommended improvements to the approach for institutionalization of OOMF must first be subjected to robust testing, deliberation and reviews, prior to inclusion as enhancements to the OOMF methodology.
- g. Train selected DMEO members and others, including officials from Ministry/ Depts., to be proficient in the methodology of framing indicators and processes as documented and developing OOMF.

**Associated deliverables:**

- OOMF Documentation - Progress report with previous experience and lessons learnt improvement opportunities and recommendations/way forward
- Draft of OOMF v2.0 toolkit - including method, process, tools and training material
- Draft OOMF v2 improvement test report, detailing fitness-for-purpose in terms of: functionality, robustness and ease of use.
- Final OOMF v2.0 toolkit - including method, process, tools and training material
- Final OOMF v2 improvement test report detailing fitness-for-purpose in terms of: functionality, robustness and ease of use.
- Conducting 2 x 1-day trainings/workshops and submission of reports, with participant skills test results.

**ii. Pillar 2 - Conceptualize and develop OOMF dashboard 2.0, stakeholder communications and online services**

- a. Conduct relevant stakeholders (Central ministries/departments) consultations to assess the user needs and requirements of OOMF dashboard 2.0
- b. Review the web-based dashboard fitness for the purpose of the Output Outcome Monitoring Framework.
- c. Prepare a Business Requirements Document (BRD), Functional Design Document (FDD) and Technical Design Document (TDD) along with a roadmap for OOMF dashboard 2.0.

- d. Develop tender document for selection of an agency for developing OOMF dashboard 2.0 (including support), conducting the bidding and ensuring procurement of the technical agency.
- e. Assistance in Selection and onboarding of the agency, monitoring works and ensuring dashboard development and migration from the existing dashboard.
- f. Conducting training/ workshops on the new dashboard features for dissemination among the ministry/ department nodal/ divisional officers.

**Associated deliverables:**

- Compilation of stakeholder-wise requirement documentation & Business Requirements Document (BRD), Functional Design Document (FDD) and Technical Design Document (TDD) (with a roadmap for OOMF dashboard 2.0)
- Develop the terms of references required to appoint suitably qualified service providers to provide the required solution components and systems.
- Preparation of Bidding Documents
- Active support in conducting the bidding and evaluation of bids - Upto Agency Selection
- Preparation of the detailed Business Requirement Documentation (BRD) with Wireframes for the OOMF dashboard 2.0
- Completion of the User Acceptance Testing (UAT) for the OOMF dashboard 2.0
- Final deployment of the dashboard 2.0 on the NIC servers after all necessary clearances including security audit to the satisfaction of the Authority.
- 4 slots x 2 training = 8 x 2-hour trainings on Dashboard 2.0 user training/workshop and reports

**iii. Pillar 3 - Advocacy of Outcomes to transform M&E ecosystem**

- a. Identify the most suitable platforms and mechanisms for conducting various advocacy activities/events in the country to drive the strategic shift towards outcomes-based monitoring within various government agencies.

- b. Prepare a roadmap for advocacy activities to be conducted both (a) round the year and (b) in one-off manner.
- c. Prepare an integrated communications plan for outcomes monitoring to be followed by DMEO, NITI Aayog.
- d. Plan and organize a mid-assignment international/national level workshop on Outcomes-based monitoring/budgeting to facilitate cross-learning and sharing of experiences.
- e. Support the DMEO leaders and team members with advocacy content and promotional material such as presentations, concept notes, brochures, media releases including social media.

**Associated deliverables:**

- Integrated communications plan for outcomes monitoring
- 1 x 2-day National Outcomes-based monitoring / budgeting workshop
- Advocacy content and promotional material support for a period of 24 months.

**iv. Pillar 4 - Expand OOMF to Departments/ Ministries**

- a. Conduct multiple workshops across various levels of officers within 20 Departments / Ministries. The indicative list of parameters to shortlist Ministries/Departments is as below:
  - Level of interest expressed by the concerned Secretaries of the Ministries/departments.
  - Average budgetary allocations for the previous three years
  - Level of compliance on the OOMF progress on the current dashboard.
  - Presence of flagship CS/CSS schemes in the ministry/department.
  - Existing level of maturity of use of monitoring/data systems in decision making among others.

For each of the selected ministries/departments, the following steps need to be undertaken:

- Post benchmarking and gap assessments, engage Departments to offer support & capacitate. Prioritise according to national development agenda and demand by Departments.
  - Sensitization towards an Outcomes-oriented implementation and monitoring approach.
  - Support the development of monitoring mechanisms, identify challenges in current data systems and design data collection processes.
  - Develop training materials, toolkits, guidelines, etc. and conduct trainings/workshops.
  - Enable capacity building for use of outputs and outcomes in internal programme reviews.
- b. Conduct workshops with NIC teams of selected Central Ministries/ Departments on building cutting edge monitoring dashboards at Ministries/ Departments
- Identifying & disseminate best practices within GoI/ State govts.
  - Prepare checklists for NIC teams/ Standard wireframes, etc. to be adhered to by the shortlisted Central Ministries/ Departments during dashboard development.
  - Conduct workshops with NIC teams of the shortlisted Central Ministries/ Departments on building cutting edge monitoring dashboards at Ministries/ Departments.

Post project it is envisaged that the trained institutions (see next section) would be contracted by remaining Departments to similarly capacitate their OOMF teams.

**Associated deliverables:**

- 20 Ministries/Departments x 5 one-to-one meetings (with individual scheme divisions) in Outcomes-oriented implementation and monitoring
- 20 x 2 x 1-day- Capacity development & Awareness workshops at Ministry/Department level along with coaching/progress reports including training on the use of outputs and outcomes in internal programme reviews
- 2 x 1-week long centralized training session inviting nominations from ministries/departments (2 rounds per ministry/department)
- 20 x Monitoring mechanisms: Findings on existing mechanisms and recommendations report/ department for improving the same.

- Workshop design and training material - building cutting edge monitoring dashboards for two workshops mentioned above
- Guidelines and checklists for building cutting edge dashboards
- Training in building cutting edge monitoring dashboards: 4 workshops x 1-day for 5 Depts. at a time (awareness, Concepts, Implementation). + coaching + progress reports

**v. Pillar 5 - Expand OOMF to States**

- a. Identify and shortlist 5 States/UTs to be supported for expansion of Output-Outcome Monitoring systems. The indicative list of parameters to shortlist the 5 States/UTs is as below:
  - Level of interest expressed by the concerned States governments/UT administrations.
  - Average size of the State Government/UT administration Welfare programmes.
  - Regional spread of States/UTs to be shortlisted.
  - Devolutions under the Finance Commission as a proxy measure of the developmental needs of the States/UTs.
  - Any other parameter deemed to be relevant on further enquiry.
- b. Identify and establish contact with the shortlisted 5 States/UTs nodal agencies and post outreach, pave the way for signing MoUs/ SoIs with respective State Governments/UT administrations.
- c. Develop toolkits to build stronger State/UT Level M&E in the shortlisted 5 States/UTs:
  - Understand the state of outcomes monitoring architecture across various State Government.
  - Conduct gap analysis to identify the State-wise capacity building plans.
  - Prepare a roadmap for implementation of State capacity building exercise.
- d. Establish and capacitate core OOMF team capacities, anchored at Planning- and Finance departments, to strengthen outcomes based monitoring competency, systems and results:

- Conduct sensitization workshops among the shortlisted 5 State Govts. towards outcomes oriented implementation and monitoring.
  - Support the development of monitoring mechanisms, challenges in data systems and designing data collection processes.
  - Enable internal capacity building for use of outputs and outcomes in Internal Programme Reviews.
- e. Partnership with institutions for strengthening OOMF at Central and the State level – To identify areas of partnership and conduct meetings for possible collaboration such as LBSNAA - Lal Bahadur Shastri National Academy of Administration, IIPA - Indian Institute of Public Administration, DoPT - Department of Personnel and Training, The Institute of Secretariat Training & Management (ISTM), etc.:
- Design and develop course curriculum pertaining to outcomes monitoring jointly in partnership with Partners with whom DMEO has signed SoIs.
  - Conduct intermediate refresher trainings/ Workshops for ministry & State government officials at the identified partner institutions.
  - Conduct regional workshops with participant States demonstrating their success stories in institutionalizing OOMF towards the end of the Consultancy period.
  - Post project it is envisaged that the trained institutions would continue to capacitate OOMF teams at Departments.

**Associated deliverables:**

- OOMF awareness workshop – One-day workshop at NITI Aayog with participants from all the State Planning / Finance Depts.
- 5 x Outreach meetings with States/UTs in respective States/UTs
- 5 x MoUs with States / UTs
- 5 x 1-day M&E leadership sensitization / kickstart workshops & reports in respective States/UTs
- 5 x 1-day Roadmaps for implementation of State capacity building exercise in respective States/UTs
- 5 x 1-day trainings of OOMF champions team in Outcomes-oriented implementation and monitoring approach: awareness presentations in respective States/UTs

- 5 x 1-day trainings of OOMF champions team in facilitating the use of outputs and outcomes in internal programme reviews: awareness presentations in respective States/UTs
- 5 x 2 x 1-day workshops (for any 2 selected departments) in each state for institutionalization of OOMF - Planning and Approach design + Coaching & Progress reports in respective States/UTs
- 5 x 2 x 1-day workshops (for any 2 selected departments) in each state for institutionalization of OOMF - Implementation & Monitoring support + Coaching & Progress reports in respective States/UTs
- Developing a maturity assessment framework and preparing 5 maturity assessment reports for each of the shortlisted 5 States (One at the beginning of the exercise after MoU and 4 i.e. one every six months after MoU for next two years)
- 1 x Course curriculum pertaining to outcomes monitoring jointly in partnership with Partners with whom DMEO has signed SoIs
- 3 x Progress report on refresher trainings/ Workshops for ministry & State government officials at the identified partner institutions at the end of each workshop.
- 5 x 1 regional workshops and dissemination reports with all States for demonstrating the success stories of 5 shortlisted States provided support under the Consultancy.

## 5. Duration:

The duration of the contract with the consultant shall be for a period of 24 (twenty-four) months. However, the contract may be extended based on further roll out of OOMF as deemed fit, on mutually agreed terms and conditions.

## 6. Deliverables and Timelines

The following table provides the timelines for the key milestones along with major deliverables that need to be submitted in order to achieve these milestones:

S. No.	Description of Deliverables	Timeline (in months)
1.	Inception Report	T+0.5

S. No.	Description of Deliverables	Timeline (in months)
<b>Pillar 1 - Review the Output-Outcome Monitoring Framework (OOMF) and capture institutional memory for NITI Aayog</b>		
2.	OOMF Documentation - Progress report with previous experience and lessons learnt improvement opportunities and recommendations/way forward	T+3
	Draft of OOMF v2.0 toolkit - including method, process, tools and training material	T+2
	Draft OOMF v2 improvement test report , detailing fitness-for-purpose in terms of: functionality, robustness and ease of use.	T+2
	Final OOMF v2.0 toolkit - including method, process, tools and training material	T+3
	Final OOMF v2 improvement test report detailing fitness-for-purpose in terms of: functionality, robustness and ease of use.	T+3
	Conducting 2x1-day trainings/workshops and submission of reports, with participant skills test results.	T+3
<b>Pillar 2 - Conceptualize and develop OOMF dashboard 2.0, stakeholder communications and online services</b>		
3.	Compilation of stakeholder-wise requirement documentation & Business Requirements Document (BRD), Functional Design Document (FDD) and Technical Design Document (TDD) (with a roadmap for OOMF dashboard 2.0)	T+3
	Develop the terms of references required to appoint suitably qualified service providers to provide the required solution components and systems.	T+6
	Preparation of Bidding Documents	T+6
	Active support in conducting the bidding and evaluation of bids - Upto Agency Selection	T+9
	Preparation of the detailed Business Requirement Documentation (BRD) with Wireframes for the OOMF dashboard 2.0	T+10
	Completion of the User Acceptance Testing (UAT) for the OOMF dashboard 2.0	T+13
	Final deployment of the dashboard 2.0 on the NIC servers after all necessary clearances including security audit to the satisfaction of the Authority.	T+15

S. No.	Description of Deliverables	Timeline (in months)
	4 slots x 2 training = 8 x 2-hour trainings on Dashboard 2.0 user training/workshop and reports	T+15
<b>Pillar 3 - Advocacy of Outcomes to transform M&amp;E ecosystem</b>		
4.	Integrated communications plan for outcomes monitoring	T+6
	1 x 2-day National Outcomes-based monitoring / budgeting workshop	T+12
	Advocacy content and promotional material support for a period of 24 months.	Every Month
<b>Pillar 4 - Expand OOMF to Departments/ Ministries</b>		
5.	20 Ministries/Departments x 5 one-to-one meetings (with individual scheme divisions) in Outcomes-oriented implementation and monitoring	T+12
	20 x 2 x 1-day- Capacity development & Awareness workshops at Ministry/Department level along with coaching/progress reports including training on the use of outputs and outcomes in internal programme reviews	T+4 to 24
	2 x 1-week long centralized training session inviting nominations from ministries/departments (2 rounds per ministry/department)	T+7 and T+16
	20 x Monitoring mechanisms: Findings and recommendations report/ department	T+4 to T+15
	Workshop design and training material - building cutting edge monitoring dashboards for two workshops mentioned above	T+1 to T+6
	Guidelines and checklists for cutting edge dashboards	T+4 to T+9
	Training in building cutting edge monitoring dashboards: 4 workshops x 1-day for 5 Depts. at a time (awareness, Concepts, Implementation). + coaching + progress reports	T+10 to T+21
<b>Pillar 5 - Expand OOMF to States</b>		
6.	OOMF awareness workshop – One-day workshop at NITI Aayog with participants from all the State Planning / Finance Depts.	T+7
	5 x Outreach meetings with States/UTs in respective States/UTs	T+1 to T+9
	5 x MoUs with States / UTs	T+4 to T+18

S. No.	Description of Deliverables	Timeline (in months)
	5 x 1-day M&E leadership sensitization / kickstart workshops & reports in respective States/UTs	T+5 to T+21
	5 x 1-day Roadmaps for implementation of State capacity building exercise in respective States/UTs	T+7 to T+24
	5 x 1-day trainings of OOMF champions team in Outcomes-oriented implementation and monitoring approach: awareness presentations in respective States/UTs	T+10 to T+21
	5 x 1-day trainings of OOMF champions team in facilitating the use of outputs and outcomes in internal programme reviews: awareness presentations in respective States/UTs	T+10 to T+21
	5 x 2 x 1-day workshops (for any 2 selected departments) in each state for institutionalization of OOMF - Planning and Approach design + Coaching & Progress reports in respective States/UTs	T+13 to T+24
	5 x 2 x 1-day workshops (for any 2 selected departments) in each state for institutionalization of OOMF - Implementation & Monitoring support + Coaching & Progress reports in respective States/UTs	T+13 to T+24
	Developing a maturity assessment framework and preparing 5 maturity assessment reports for each of the shortlisted 5 States (One at the beginning of the exercise after MoU and 4 i.e. one every six months after MoU for next two years)	T, T+6, T+12, T+18, T+24
	1 x Course curriculum pertaining to outcomes monitoring jointly in partnership with Partners with whom DMEO has signed SoIs	T+7 to T+9
	3 x Progress report on refresher trainings/ Workshops for ministry & State government officials at the identified partner institutions at the end of each workshop.	T+13, T+19, T+24
	5 x 1 regional workshops and dissemination reports with all States for demonstrating the success stories of 5 shortlisted States provided support under the Consultancy.	T+24

*Note: "T" refers to the "Effective Date" as defined in clause 1.1.1 (h). Furthermore, the above timelines are subject to approvals of concerned authorities. Based on satisfactory completion of the above deliverables, the time duration of the contract may be mutually extended for an additional duration of appropriate months with additional output targets and potential roll out to other relevant stakeholders, as deemed fit.*

## 7. Payment terms to the Consultant

The payments under Resident Personnel Costs (A) + Local Costs (B) + Overhead Expenses (E), as defined in Financial Proposal (Form-2) will be completely linked to the achievement of the deliverables highlighted above.

Based on internal analysis, a suggested range of the split of the costs under Personnel Costs (A) + Local Costs (B) + Overhead Expenses (E) by pillars is provided below. The consultant shall have to provide his estimates of split of these costs by pillars, as per the format outlined in Appendix-II, Form-4 '**Estimates by Pillars for Resident Personnel Costs + Local Costs + Overhead Expenses**'. The Consultants shall bid in such a way that the pillar-wise breakup of these costs fall in the suggested range.

Pillars	Suggested Range
i) Review Output-Outcome Monitoring Framework (OOMF)	1-5%
ii) Conceptualize and develop OOMF dashboard 2.0, stakeholder communications and online service	5-10%
iii) Advocacy of Outcomes to transform M&E ecosystem	5-10%
iv) Expand OOMF to Departments/Ministries	25-30%
v) Expand OOMF to States	50-55%

Furthermore, within each of the objective, the quoted amount will be paid as per the achievement of the deliverables as outlined below:

Sr. No.	Pillars	Deliverables	Milestone-linked Payment (% of amount quoted for each pillar)
1	<b>Review Output-Outcome Monitoring Framework (OOMF)</b>	OOMF Documentation - Progress report with previous experience and lessons learnt improvement opportunities and recommendations/way forward	10%
2		Draft of OOMF v2.0 toolkit - including method, process, tools and training material	20%
3		Draft OOMF v2 improvement test report, detailing fitness-for-purpose	

Sr. No.	Pillars	Deliverables	Milestone-linked Payment (% of amount quoted for each pillar)
		in terms of: functionality, robustness and ease of use.	
4		Final OOMF v2.0 toolkit - including method, process, tools and training material	50%
5		Final OOMF v2 improvement test report detailing fitness-for-purpose in terms of: functionality, robustness and ease of use.	
6		Conducting 2x1-day trainings/workshops and submission of reports, with participant skills test results.	20%
7	<b>Conceptualize and develop OOMF dashboard 2.0, stakeholder communications and online services</b>	Compilation of stakeholder-wise requirement documentation & Business Requirements Document (BRD), Functional Design Document (FDD) and Technical Design Document (TDD) (with a roadmap for OOMF dashboard 2.0)	20%
8		Develop the terms of references required to appoint suitably qualified service providers to provide the required solution components and systems.	40%
9		Preparation of Bidding Documents	
10		Active support in conducting the bidding and evaluation of bids - Upto Agency Selection	
11		Preparation of the detailed Business Requirement Documentation (BRD) with Wireframes for the OOMF dashboard 2.0	10%
12		Completion of the User Acceptance Testing (UAT) for the OOMF dashboard 2.0	10%
13		Final deployment of the dashboard 2.0 on the NIC servers after all necessary clearances including security audit to the satisfaction of the Authority.	10%

Sr. No.	Pillars	Deliverables	Milestone-linked Payment (% of amount quoted for each pillar)
14		4 slots x 2 training = 8 x 2-hour trainings on Dashboard 2.0 user training/workshop and reports	10%
15	<b>Advocacy of Outcomes to transform M&amp;E ecosystem</b>	Integrated communications plan for outcomes monitoring	10%
16		1 x 2-day National Outcomes-based monitoring / budgeting workshop	50%
17		Advocacy content and promotional material support for a period of 24 months.	40%
18	<b>Expand OOMF to Departments/Ministries</b>	20 Ministries/Departments x 5 one-to-one meetings (with individual scheme divisions) in Outcomes-oriented implementation and monitoring	30%
19		20 x 2 x 1-day- Capacity development & Awareness workshops at Ministry/Department level along with coaching/progress reports including training on the use of outputs and outcomes in internal programme reviews	30%
20		2 x 1-week long centralized training session inviting nominations from ministries/departments (2 rounds per ministry/department)	5%
21		20 x Monitoring mechanisms: Findings and recommendations report/ department	10%
22		Workshop design and training material - building cutting edge monitoring dashboards for two workshops mentioned above	5%
23		Guidelines and checklists for cutting edge dashboards	5%
24		Training in building cutting edge monitoring dashboards: 4 workshops x 1-day for 5 Depts. at a time (awareness, Concepts, Implementation). + coaching + progress reports	15%

<b>Sr. No.</b>	<b>Pillars</b>	<b>Deliverables</b>	<b>Milestone-linked Payment (% of amount quoted for each pillar)</b>
25	<b>Expand OOMF to States</b>	OOMF awareness workshop – One-day workshop at NITI Aayog with participants from all the State Planning / Finance Depts.	3%
26		5 x Outreach meetings with States/UTs in respective States/UTs	4%
27		5 x MoUs with States / UTs	3%
28		5 x 1-day M&E leadership sensitization / kickstart workshops & reports in respective States/UTs	10%
29		5 x 1-day Roadmaps for implementation of State capacity building exercise in respective States/UTs	10%
30		5 x 1-day trainings of OOMF champions team in Outcomes-oriented implementation and monitoring approach: awareness presentations in respective States/UTs	10%
31		5 x 1-day trainings of OOMF champions team in facilitating the use of outputs and outcomes in internal programme reviews: awareness presentations in respective States/UTs	10%
32		5 x 2 x 1-day workshops (for any 2 selected departments) in each state for institutionalization of OOMF - Planning and Approach design + Coaching & Progress reports in respective States/UTs	10%
33		5 x 2 x 1-day workshops (for any 2 selected departments) in each state for institutionalization of OOMF - Implementation & Monitoring support + Coaching & Progress reports in respective States/UTs	15%
34		5 maturity assessment reports for each of the shortlisted 5 States (One at the beginning of the exercise after	15%

Sr. No.	Pillars	Deliverables	Milestone-linked Payment (% of amount quoted for each pillar)
		MoU and 4 i.e. one every six months after MoU for next two years)	
35		1 x Course curriculum pertaining to outcomes monitoring jointly in partnership with Partners with whom DMEO has signed SoIs	3%
36		3 x Progress report on refresher trainings/ Workshops for ministry & State government officials at the identified partner institutions at the end of each workshop.	2%
37		5 x 1 regional workshops and dissemination reports with all States for demonstrating the success stories of 5 shortlisted States provided support under the Consultancy.	5%

While the payments will accrue to the Consultant based on the achievement of milestones as highlighted above, the Consultant shall submit consolidated bills at the end of the financial quarter for payments processing. Release of the payments will be done as per Clause 6.3 in the Agreement.

## 8. Reporting

- a. The Consultant will work closely with the Authority. The Authority has established a Working Group (the “WG”) to enable conduct of this assignment. A designated Project Director of the Authority will be responsible for the overall coordination and project development. S/He will play a coordinating role in dissemination of the Consultant’s outputs, facilitating discussions, and ensuring required reactions and responses to the Consultant.
- b. The Consultant may prepare issue papers highlighting issues that could become critical for the timely completion of the Project and that require attention from the Authority.
- c. The Consultant will make a presentation on the key deliverables for discussion with the WG at a meeting. This will be a working document. The Consultant is required to prepare and submit a weekly update that includes and describes, inter alia, general progress to date; data and reports obtained and reviewed, conclusions to date, if any; concerns about availability of, or access to, data, analyses, reports; questions regarding the TOR or any other matters regarding work scope and related issues; and so on. The Consultant’s work on the TOR

tasks should continue while the report is under consideration and is being discussed.

- d. Regular communication with the WG and the Project Director is required in addition to all key communications. This may take the form of telephone/teleconferencing, emails, faxes, and occasional meetings.
- e. The Deliverables will be submitted as per schedule provided in this RFP.

## 9. Meetings

The Authority may review with the Consultant, any or all of the documents and advice forming part of the Consultancy, in meetings and conferences which will be held at the Authority's office. The expenses towards attending such meetings during the period of Consultancy, including travel costs and per diem, shall be reimbursed in accordance with the Financial Proposal contained in Form-2 of Appendix-II of the RFP. The days required to be spent at the office of the Authority shall be computed at the rate of 8 (eight) person hours a day in case of an outstation Consultant. For a Consultant having its office within or near the city where the Authority's office is situated, the time spent during meetings at the Authority's office shall be calculated as per actuals. No travel time shall be payable.

## 10. Miscellaneous

- a. The Consultant shall have/establish an office in Delhi/NCR, for efficient and coordinated performance of its Services. All the Key Personnel shall be deployed at this office during the 24 (twenty-four) months as specified in the Manning Schedule forming part of the Agreement. The authorised officials of the Authority may visit the Consultant's Project Office or field locations any time during office hours for inspection and interaction with the Consultant's Personnel. It is not expected of the Consultant to carry out the operations from the Head/Home Office.
- b. The Consultant shall mobilise and demobilise its Professional Personnel and Support Personnel with the concurrence of the Authority and shall maintain the time sheet/ attendance sheet of the working of all Personnel in the Project Office. These time sheets/ attendance sheets shall be made available to the Authority as and when asked for and a copy of such record shall be submitted to the Authority at the end of each calendar month.
- c. All the study outputs including primary data shall be compiled, classified and submitted by the Consultant to the Authority in soft form apart from the reports indicated in the Deliverables. The project outputs shall remain the property of the Authority and shall not be used for any purpose other than that intended under these Terms of Reference without the permission of the Authority. The Consultancy shall stand completed on acceptance by the Authority of all the

Deliverables of the Consultant and execution of the Agreement or 3 (three) years from the Effective Date, whichever is earlier. The Authority shall issue a certificate to that effect. The Consultancy shall in any case be deemed to be completed upon expiry of 3 (three) years from the Effective Date, unless extended by mutual consent of the Authority and the Consultant.

## **Schedule 2: Form of Agreement**

*(See Clause 2.1.3)*

### **AGREEMENT**

#### **FOR**

**Consultancy Services for Establishment of Program  
Management Unit (PMU) to support DMEO in the  
Institutionalization of the Output-Outcome Monitoring  
Framework (OOMF) of Govt. of India**

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## AGREEMENT

### **Consultancy for Establishment of a Program Management Unit (PMU) to support DMEO in the Institutionalization of the Output-Outcome Monitoring Framework (OOMF) of Govt. of India**

This AGREEMENT (hereinafter called the “**Agreement**”) is made on the ..... day of the month of ..... 20..., between, on the one hand, the President of India acting through Development Monitoring & Evaluation Office (hereinafter called the “**Authority**” which expression shall include their respective successors and permitted assigns, unless the context otherwise requires) and, on the other hand, ..... (hereinafter called the “**Consultant**” which expression shall include their respective successors and permitted assigns).

#### WHEREAS

- (A) The Authority vide its Request for Proposal for Consultancy for Establishment of a Program Management Unit (PMU) (hereinafter called the “**Consultancy**”) to support DMEO for the Institutionalization of the Output-Outcome Monitoring Framework (OOMF) of Govt. of India (hereinafter called the “**Project**”);
- (B) the Consultant submitted its proposals for the aforesaid work, whereby the Consultant represented to the Authority that it had the required professional skills, and in the said proposals the Consultant also agreed to provide the Services to the Authority on the terms and conditions as set forth in the RFP and this Agreement; and
- (C) the Authority, on acceptance of the aforesaid proposals of the Consultant, awarded the Consultancy to the Consultant vide its Letter of Award dated ..... (the “**LOA**”); and
- (D) in pursuance of the LOA, the parties have agreed to enter into this Agreement.

NOW, THEREFORE, the parties hereto hereby agree as follows:

### **1. General**

#### **1.1 Definitions and Interpretation**

1.1.1 The words and expressions beginning with capital letters and defined in this Agreement shall, unless the context otherwise requires, have the meaning hereinafter respectively assigned to them:

- (a) “**Additional Costs**” shall have the meaning set forth in Clause 6.1.2;
- (b) “**Agreement**” means this Agreement, together with all the Annexes;
- (c) “**Agreement Value**” shall have the meaning set forth in Clause 6.1.2;

- (d) “**Applicable Laws**” means the laws and any other instruments having the force of law in India as they may be issued and in force from time to time;
- (e) “**Confidential Information**” shall have the meaning set forth in Clause 3.3;
- (f) “**Conflict of Interest**” shall have the meaning set forth in Clause 3.2 read with the provisions of RFP;
- (g) “**Dispute**” shall have the meaning set forth in Clause 9.2.1;
- (h) “**Effective Date**” means the date on which this Agreement comes into force and effect pursuant to Clause 2.1;
- (i) “**Government**” means the Government of .....
- (j) “**INR, Re. or Rs.**” means Indian Rupees;
- (k) “**Member**”, in case the Consultant consists of a joint venture or consortium of more than one entity, means any of these entities, and “**Members**” means all of these entities;
- (l) “**Party**” means the Authority or the Consultant, as the case may be, and Parties means both of them;
- (m) “**Personnel**” means persons hired by the Consultant as employees and assigned to the performance of the Services or any part thereof;
- (n) “**Resident Personnel**” means such persons who at the time of being so hired had their domicile inside India;
- (o) “**RFP**” means the Request for Proposal document in response to which the Consultant’s proposal for providing Services was accepted;
- (p) “**Services**” means the work to be performed by the Consultant pursuant to this Agreement, as described in the Terms of Reference hereto;

All terms and words not defined herein shall, unless the context otherwise requires, have the meaning assigned to them in the RFP.

1.1.2 The following documents along with all addenda issued thereto shall be deemed to form and be read and construed as integral parts of this Agreement and in case of any contradiction between or among them the priority in which a document would prevail over another would be as laid down below beginning from the highest priority to the lowest priority:

- (a) Agreement;
- (b) Annexes of Agreement;
- (c) RFP; and

(d) Letter of Award.

## **1.2 Relation between the Parties**

Nothing contained herein shall be construed as establishing a relation of master and servant or of agent and principal as between the Authority and the Consultant. The Consultant shall, subject to this Agreement, have complete charge of Personnel performing the Services and shall be fully responsible for the Services performed by them or on their behalf hereunder.

## **1.3 Rights and obligations**

The mutual rights and obligations of the Authority and the Consultant shall be as set forth in the Agreement, in particular:

- (a) the Consultant shall carry out the Services in accordance with the provisions of the Agreement; and
- (b) the Authority shall make payments to the Consultant in accordance with the provisions of the Agreement.

## **1.4 Governing law and jurisdiction**

This Agreement shall be construed and interpreted in accordance with and governed by the laws of India, and the courts in the State in which the Authority has its headquarters shall have exclusive jurisdiction over matters arising out of or relating to this Agreement.

## **1.5 Language**

All notices required to be given by one Party to the other Party and all other communications, documentation and proceedings which are in any way relevant to this Agreement shall be in writing and in English language.

## **1.6 Table of contents and headings**

The table of contents, headings or sub-headings in this Agreement are for convenience of reference only and shall not be used in, and shall not affect, the construction or interpretation of this Agreement.

## **1.7 Notices**

Any notice or other communication to be given by any Party to the other Party under or in connection with the matters contemplated by this Agreement shall be in writing and shall:

- (a) in the case of the Consultant, be given by e-mail and by letter delivered by hand to the address given and marked for attention of the Consultant's Representative set out below in Clause 1.10 or to such other person as the Consultant may from time to time designate by notice to the Authority; provided that notices or other

communications to be given to an address outside the city specified in Sub-clause (b) below may, if they are subsequently confirmed by sending a copy thereof by registered acknowledgement due, air mail or by courier, be sent by e-mail to the number as the Consultant may from time to time specify by notice to the Authority;

(b) in the case of the Authority, be given by e-mail and by letter delivered by hand and be addressed to the Authority with a copy delivered to the Authority Representative set out below in Clause 1.10 or to such other person as the Authority may from time to time designate by notice to the Consultant; provided that if the Consultant does not have an office in the same city as the Authority's office, it may send such notice by e-mail and by registered acknowledgement due, air mail or by courier; and

(c) any notice or communication by a Party to the other Party, given in accordance herewith, shall be deemed to have been delivered when in the normal course of post it ought to have been delivered and in all other cases, it shall be deemed to have been delivered on the actual date and time of delivery; provided that in the case of e-mail, it shall be deemed to have been delivered on the working days following the date of its delivery.

## **1.8 Location**

The Services shall be performed at the site of the Project in accordance with the provisions of RFP and at such locations as are incidental thereto, including the offices of the Consultant.

## **1.9 Authority of Member-in-charge**

In case the Consultant consists of a consortium of more than one entity, the Parties agree that the Lead Member shall act on behalf of the Members in exercising all the Consultant's rights and obligations towards the Authority under this Agreement, including without limitation the receiving of instructions and payments from the Authority.

## **1.10 Authorised Representatives**

1.10.1 Any action required or permitted to be taken, and any document required or permitted to be executed, under this Agreement by the Authority or the Consultant, as the case may be, may be taken or executed by the officials specified in this Clause 1.10.

1.10.2 The Authority may, from time to time, designate one of its officials as the Authority Representative. Unless otherwise notified, the Authority Representative shall be:

.....  
.....  
Tel: .....  
Mobile: .....  
Email: .....

1.10.3 The Consultant may designate one of its employees as Consultant’s Representative. Unless otherwise notified, the Consultant’s Representative shall be:

.....

.....

Tel: .....

Mobile: .....

Email: .....

### **1.11 Taxes and duties**

Unless otherwise specified in the Agreement, the Consultant shall pay all such taxes, duties, fees and other impositions as may be levied under the Applicable Laws and the Authority shall perform such duties in regard to the deduction of such taxes as may be lawfully imposed on it.

## **2. Commencement, Completion and Termination of Agreement**

### **2.1 Effectiveness of Agreement**

This Agreement shall come into force and effect on the date of this Agreement (the “Effective Date”).

### **2.2 Commencement of Services**

The Consultant shall commence the Services within a period of 3 (three) days from the Effective Date, unless otherwise agreed by the Parties.

### **2.3 Termination of Agreement for failure to commence Services**

If the Consultant does not commence the Services within the period specified in Clause 2.2 above, the Authority may, by not less than 2 (two) weeks’ notice to the Consultant, declare this Agreement to be null and void, and in the event of such a declaration, the Bid Security of the Consultant shall stand forfeited.

### **2.4 Expiry of Agreement**

Unless terminated earlier pursuant to Clauses 2.3 or 2.9 hereof, this Agreement shall, unless extended by the Parties by mutual consent, expire upon the earlier of (i) expiry of a period of 90 (ninety) days after the delivery of the final deliverable to the Authority; and (ii) the expiry of 3 (three) years from the Effective Date. Upon Termination, the Authority shall make payments of all amounts due to the Consultant hereunder.

### **2.5 Entire Agreement**

2.5.1 This Agreement and the Annexes together constitute a complete and exclusive statement of the terms of the agreement between the Parties on the subject hereof, and no amendment or modification hereto shall be valid and effective unless such modification or amendment is agreed to in writing by the Parties and duly executed by persons especially empowered in this behalf by the respective Parties. All prior written or oral

understandings, offers or other communications of every kind pertaining to this Agreement are abrogated and withdrawn; provided, however, that the obligations of the Consultant arising out of the provisions of the RFP shall continue to subsist and shall be deemed to form part of this Agreement.

2.5.2 Without prejudice to the generality of the provisions of Clause 2.5.1, on matters not covered by this Agreement, the provisions of RFP shall apply.

## 2.6 Modification of Agreement

Modification of the terms and conditions of this Agreement, including any modification of the scope of the Services, may only be made by written agreement between the Parties. Pursuant to Clauses 4.2.3 and 6.1.3 hereof, however, each Party shall give due consideration to any proposals for modification made by the other Party.

## 2.7 Force Majeure

### 2.7.1 Definition

(a) For the purposes of this Agreement, “**Force Majeure**” means an event which is beyond the reasonable control of a Party, and which makes a Party’s performance of its obligations hereunder impossible or so impractical as reasonably to be considered impossible in the circumstances, and includes, but is not limited to, war, riots, civil disorder, earthquake, fire, explosion, storm, flood or other adverse weather conditions, strikes, lockouts or other industrial action (except where such strikes, lockouts or other industrial action are within the power of the Party invoking Force Majeure to prevent), confiscation or any other action by government agencies.

(b) Force Majeure shall not include (i) any event which is caused by the negligence or intentional action of a Party or agents or employees, nor (ii) any event which a diligent Party could reasonably have been expected to both (A) take into account at the time of the conclusion of this Agreement, and (B) avoid or overcome in the carrying out of its obligations hereunder.

(c) Force Majeure shall not include insufficiency of funds or failure to make any payment required hereunder.

### 2.7.2 No breach of Agreement

The failure of a Party to fulfil any of its obligations hereunder shall not be considered to be a breach of, or default under, this Agreement insofar as such inability arises from an event of Force Majeure, provided that the Party affected by such an event has taken all reasonable precautions, due care and reasonable alternative measures, all with the objective of carrying out the terms and conditions of this Agreement.

### 2.7.3 Measures to be taken

- (a) A Party affected by an event of Force Majeure shall take all reasonable measures to remove such Party's inability to fulfil its obligations hereunder with a minimum of delay.
- (b) A Party affected by an event of Force Majeure shall notify the other Party of such event as soon as possible, and in any event not later than 14 (fourteen) days following the occurrence of such event, providing evidence of the nature and cause of such event, and shall similarly give notice of the restoration of normal conditions as soon as possible.
- (c) The Parties shall take all reasonable measures to minimise the consequences of any event of Force Majeure.

#### 2.7.4 Extension of time

Any period within which a Party shall, pursuant to this Agreement, complete any action or task, shall be extended for a period equal to the time during which such Party was unable to perform such action as a result of Force Majeure.

#### 2.7.5 Payments

During the period of its inability to perform the Services as a result of an event of Force Majeure, the Consultant shall be entitled to be reimbursed for Additional Costs reasonably and necessarily incurred by it during such period for the purposes of the Services and in reactivating the Services after the end of such period.

#### 2.7.6 Consultation

Not later than 30 (thirty) days after the Consultant has, as the result of an event of Force Majeure, become unable to perform a material portion of the Services, the Parties shall consult with each other with a view to agreeing on appropriate measures to be taken in the circumstances.

### 2.8 Suspension of Agreement

The Authority may, by written notice of suspension to the Consultant, suspend all payments to the Consultant hereunder if the Consultant shall be in breach of this Agreement or shall fail to perform any of its obligations under this Agreement, including the carrying out of the Services; provided that such notice of suspension (i) shall specify the nature of the breach or failure, and (ii) shall provide an opportunity to the Consultant to remedy such breach or failure within a period not exceeding 30 (thirty) days after receipt by the Consultant of such notice of suspension.

### 2.9 Termination of Agreement

#### 2.9.1 By the Authority

The Authority may, by not less than 30 (thirty) days' written notice of termination to the Consultant, such notice to be given after the occurrence of any of the events specified in this Clause 2.9.1, terminate this Agreement if:

- (a) the Consultant fails to remedy any breach hereof or any failure in the performance of its obligations hereunder, as specified in a notice of suspension pursuant to Clause 2.8 hereinabove, within 30 (thirty) days of receipt of such notice of suspension or within such further period as the Authority may have subsequently granted in writing;
- (b) the Consultant becomes insolvent or bankrupt or enters into any agreement with its creditors for relief of debt or take advantage of any law for the benefit of debtors or goes into liquidation or receivership whether compulsory or voluntary;
- (c) the Consultant fails to comply with any final decision reached as a result of arbitration proceedings pursuant to Clause 9 hereof;
- (d) the Consultant submits to the Authority a statement which has a material effect on the rights, obligations or interests of the Authority and which the Consultant knows to be false;
- (e) any document, information, data or statement submitted by the Consultant in its Proposals, based on which the Consultant was considered eligible or successful, is found to be false, incorrect or misleading;
- (f) as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than 60 (sixty) days; or
- (g) the Authority, in its sole discretion and for any reason whatsoever, decides to terminate this Agreement.

#### 2.9.2 By the Consultant

The Consultant may, by not less than 30 (thirty) days' written notice to the Authority, such notice to be given after the occurrence of any of the events specified in this Clause 2.9.2, terminate this Agreement if:

- (a) the Authority fails to pay any money due to the Consultant pursuant to this Agreement and not subject to dispute pursuant to Clause 9 hereof within 45 (forty-five) days after receiving written notice from the Consultant that such payment is overdue;
- (b) the Authority is in material breach of its obligations pursuant to this Agreement and has not remedied the same within 45 (forty-five) days (or such longer period as the Consultant may have subsequently granted in writing) following the receipt by the Authority of the Consultant's notice specifying such breach;
- (c) as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than 60 (sixty) days; or

- (d) the Authority fails to comply with any final decision reached as a result of arbitration pursuant to Clause 9 hereof.

#### 2.9.3 Cessation of rights and obligations

Upon termination of this Agreement pursuant to Clauses 2.3 or 2.9 hereof, or upon expiration of this Agreement pursuant to Clause 2.4 hereof, all rights and obligations of the Parties hereunder shall cease, except (i) such rights and obligations as may have accrued on the date of termination or expiration, or which expressly survive such Termination; (ii) the obligation of confidentiality set forth in Clause 3.3 hereof; (iii) the Consultant's obligation to permit inspection, copying and auditing of such of its accounts and records set forth in Clause 3.6, as relate to the Consultant's Services provided under this Agreement; and (iv) any right or remedy which a Party may have under this Agreement or the Applicable Law.

#### 2.9.4 Cessation of Services

Upon termination of this Agreement by notice of either Party to the other pursuant to Clauses 2.9.1 or 2.9.2 hereof, the Consultant shall, immediately upon dispatch or receipt of such notice, take all necessary steps to bring the Services to a close in a prompt and orderly manner and shall make every reasonable effort to keep expenditures for this purpose to a minimum. With respect to documents prepared by the Consultant and equipment and materials furnished by the Authority, the Consultant shall proceed as provided respectively by Clauses 3.9 or 3.10 hereof.

#### 2.9.5 Payment upon Termination

Upon termination of this Agreement pursuant to Clauses 2.9.1 or 2.9.2 hereof, the Authority shall make the following payments to the Consultant (after offsetting against these payments any amount that may be due from the Consultant to the Authority):

- (i) remuneration pursuant to Clause 6 hereof for Services satisfactorily performed prior to the date of termination;
- (ii) reimbursable expenditures pursuant to Clause 6 hereof for expenditures actually incurred prior to the date of termination; and
- (iii) except in the case of termination pursuant to sub-clauses (a) through (e) of Clause 2.9.1 hereof, reimbursement of any reasonable cost incidental to the prompt and orderly termination of the Agreement including the cost of the return travel of the Consultant's personnel.

#### 2.9.6 Disputes about Events of Termination

If either Party disputes whether an event specified in Clause 2.9.1 or in Clause 2.9.2 hereof has occurred, such Party may, within 30 (thirty) days after receipt of notice of termination from the other Party, refer the matter to arbitration pursuant to Clause 9 hereof, and this Agreement shall not be terminated on account of such event except in accordance with the terms of any resulting arbitral award.

### **3. Obligations of the Consultant**

#### **3.1 General**

##### **3.1.1 Standards of Performance**

The Consultant shall perform the Services and carry out its obligations hereunder with all due diligence, efficiency and economy, in accordance with generally accepted professional techniques and practices, and shall observe sound management practices, and employ appropriate advanced technology and safe and effective equipment, machinery, materials and methods. The Consultant shall always act, in respect of any matter relating to this Agreement or to the Services, as a faithful adviser to the Authority, and shall at all times support and safeguard the Authority's legitimate interests in any dealings with Third Parties.

##### **3.1.2 Terms of Reference**

The scope of services to be performed by the Consultant is specified in the Terms of Reference (the “**TOR**”) at Annex-1 of this Agreement. The Consultant shall provide the Deliverables specified therein in conformity with the time schedule stated therein.

##### **3.1.3 Applicable Laws**

The Consultant shall perform the Services in accordance with the Applicable Laws and shall take all practicable steps to ensure that the Personnel and agents of the Consultant comply with the Applicable Laws.

#### **3.2 Conflict of Interest**

**3.2.1** The Consultant shall not have a Conflict of Interest and any breach hereof shall constitute a breach of the Agreement.

**3.2.2** Consultant and Affiliates not to be otherwise interested in the Project

The Consultant agrees that, during the term of this Agreement and after its termination, the Consultant or any Associate thereof and any entity affiliated with the Consultant, shall be disqualified from providing goods, works, services, loans or equity for any project resulting from or closely related to the Services and any breach of this obligation shall amount to a Conflict of Interest; provided that the restriction herein shall not apply after a period of five years from the completion of this assignment or to consulting assignments granted by banks/ lenders at any time; provided further that this restriction shall not apply to consultancy/ advisory services provided to the Authority in continuation of this Consultancy or to any subsequent consultancy/ advisory services provided to the Authority in accordance with the rules of the Authority. For the avoidance of doubt, an entity affiliated with the Consultant shall include a partner in the Consultant's firm or a person who holds more than 5% (five per cent) of the subscribed and paid up share capital of the Consultant, as the case may be, and any Associate thereof.

**3.2.3** Prohibition of conflicting activities

Neither the Consultant nor the Personnel shall engage, either directly or indirectly, in any of the following activities:

- (a) during the term of this Agreement, any business or professional activities which would conflict with the activities assigned to them under this Agreement;
- (b) after the termination of this Agreement, such other activities as may be specified in the Agreement; or
- (c) at any time, such other activities as have been specified in the RFP as Conflict of Interest.

3.2.4 Consultant not to benefit from commissions, discounts, etc.

The remuneration of the Consultant pursuant to Clause 6 hereof shall constitute the Consultant's sole remuneration in connection with this Agreement or the Services and the Consultant shall not accept for its own benefit any trade commission, discount or similar payment in connection with activities pursuant to this Agreement or to the Services or in the discharge of its obligations hereunder, and the Consultant shall use its best efforts to ensure that the Personnel and agents similarly shall not receive any such additional remuneration.

3.2.5 The Consultant and its Personnel shall observe the highest standards of ethics and shall not have engaged in and shall not hereafter engage in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice (collectively the "**Prohibited Practices**"). Notwithstanding anything to the contrary contained in this Agreement, the Authority shall be entitled to terminate this Agreement forthwith by a communication in writing to the Consultant, without being liable in any manner whatsoever to the Consultant, if it determines that the Consultant has, directly or indirectly or through an agent, engaged in any Prohibited Practices in the Selection Process or before or after entering into of this Agreement. In such an event, the Authority shall forfeit and appropriate the performance security, if any, as mutually agreed genuine pre-estimated compensation and damages payable to the Authority towards, *inter alia*, the time, cost and effort of the Authority, without prejudice to the Authority's any other rights or remedy hereunder or in law.

3.2.6 Without prejudice to the rights of the Authority under Clause 3.2.5 above and the other rights and remedies which the Authority may have under this Agreement, if the Consultant is found by the Authority to have directly or indirectly or through an agent, engaged or indulged in any Prohibited Practices, during the Selection Process or before or after the execution of this Agreement, the Consultant shall not be eligible to participate in any tender or RFP issued during a period of 2 (two) years from the date the Consultant is found by the Authority to have directly or indirectly or through an agent, engaged or indulged in any Prohibited Practices.

3.2.7 For the purposes of Clauses 3.2.5 and 3.2.6, the following terms shall have the meaning hereinafter respectively assigned to them:

- (a) **“corrupt practice”** means (i) the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence the actions of any person connected with the Selection Process (for removal of doubt, offering of employment or employing or engaging in any manner whatsoever, directly or indirectly, any official of the Authority who is or has been associated in any manner, directly or indirectly with Selection Process or LOA or dealing with matters concerning the Agreement before or after the execution thereof, at any time prior to the expiry of one year from the date such official resigns or retires from or otherwise ceases to be in the service of the Authority, shall be deemed to constitute influencing the actions of a person connected with the Selection Process); or (ii) engaging in any manner whatsoever, whether during the Selection Process or after the issue of LOA or after the execution of the Agreement, as the case may be, any person in respect of any matter relating to the Project or the LOA or the Agreement, who at any time has been or is a legal, financial or technical adviser the Authority in relation to any matter concerning the Project;
- (b) **“fraudulent practice”** means a misrepresentation or omission of facts or suppression of facts or disclosure of incomplete facts, in order to influence the Selection Process;
- (c) **“coercive practice”** means impairing or harming, or threatening to impair or harm, directly or indirectly, any person or property to influence any person’s participation or action in the Selection Process or the exercise of its rights or performance of its obligations by the Authority under this Agreement;
- (d) **“undesirable practice”** means (i) establishing contact with any person connected with or employed or engaged by the Authority with the objective of canvassing, lobbying or in any manner influencing or attempting to influence the Selection Process; or (ii) having a Conflict of Interest; and
- (e) **“restrictive practice”** means forming a cartel or arriving at any understanding or arrangement among Applicants with the objective of restricting or manipulating a full and fair competition in the Selection Process.

### 3.3 Confidentiality

The Consultant and the Personnel shall not, either during the term or within two years after the expiration or termination of this Agreement disclose any proprietary information, including information relating to reports, data, drawings, design software or other material, whether written or oral, in electronic or magnetic format, and the contents thereof; and any reports, digests or summaries created or derived from any of the foregoing that is provided by the Authority to the Consultant and the Personnel; any information provided by or relating to the Authority, its technology, technical processes, business affairs or finances or any information relating to the Authority’s employees, officers or other professionals or suppliers, customers, or contractors of the Authority;

and any other information which the Consultant is under an obligation to keep confidential in relation to the Project, the Services or this Agreement ("**Confidential Information**"), without the prior written consent of the Authority.

Notwithstanding the aforesaid, the Consultant and the Personnel may disclose Confidential Information to the extent that such Confidential Information:

- (i) was in the public domain prior to its delivery to the Consultant and the Personnel or becomes a part of the public knowledge from a source other than the Consultant and the Personnel;
- (ii) was obtained from a third party with no known duty to maintain its confidentiality;
- (iii) is required to be disclosed by Applicable Laws or judicial or administrative or arbitral process or by any governmental instrumentalities, provided that for any such disclosure, the Consultant and the Personnel shall give the Authority, prompt written notice, and use reasonable efforts to ensure that such disclosure is accorded confidential treatment; and
- (iv) is provided to the professional advisers, agents, auditors or representatives of the Consultant or Personnel as is reasonable under the circumstances; provided, however, that the Consultant or Personnel as the case may be, shall require their professional advisers, agents, auditors or its representatives, to undertake in writing to keep such Confidential Information, confidential and shall use its best efforts to ensure compliance with such undertaking.

### **3.4 Liability of the Consultant**

3.4.1 The Consultant's liability under this Agreement shall be determined by the Applicable Laws and the provisions hereof.

3.4.2 The Consultant shall, subject to the limitation specified in Clause 3.4.3, be liable to the Authority for any direct loss or damage accrued or likely to accrue due to deficiency in Services rendered by it.

3.4.3 The Parties hereto agree that in case of negligence or wilful misconduct on the part of the Consultant or on the part of any person or firm acting on behalf of the Consultant in carrying out the Services, the Consultant, with respect to damage caused to the Authority's property, shall not be liable to the Authority:

- (i) for any indirect or consequential loss or damage; and
- (ii) for any direct loss or damage that exceeds (a) the Agreement Value set forth in Clause 6.1.2 of this Agreement, or (b) the proceeds the Consultant may be entitled to receive from any insurance maintained by the Consultant to cover such a liability in accordance with Clause 3.5.2, whichever of (a) or (b) is higher.

- 3.4.4 This limitation of liability specified in Clause 3.4.3 shall not affect the Consultant's liability, if any, for damage to Third Parties caused by the Consultant or any person or firm acting on behalf of the Consultant in carrying out the Services subject, however, to a limit equal to 3 (three) times the Agreement Value.

### **3.5 Insurance to be taken out by the Consultant**

- 3.5.1 (a) The Consultant shall, for the duration of this Agreement, take out and maintain, at its own cost, but on terms and conditions approved by the Authority, insurance against the risks, and for the coverages, as specified in the Agreement and in accordance with good industry practice.

(b) Within 15 (fifteen) days of receiving any insurance policy certificate in respect of insurances required to be obtained and maintained under this clause, the Consultant shall furnish to the Authority, copies of such policy certificates, copies of the insurance policies and evidence that the insurance premia have been paid in respect of such insurance. No insurance shall be cancelled, modified or allowed to expire or lapse during the term of this Agreement.

(c) If the Consultant fails to effect and keep in force the aforesaid insurances for which it is responsible pursuant hereto, the Authority shall, apart from having other recourse available under this Agreement, have the option, without prejudice to the obligations of the Consultant, to take out the aforesaid insurance, to keep in force any such insurances, and pay such premia and recover the costs thereof from the Consultant, and the Consultant shall be liable to pay such amounts on demand by the Authority.

(d) Except in case of Third Party liabilities, the insurance policies so procured shall mention the Authority as the beneficiary of the Consultant and the Consultant shall procure an undertaking from the insurance company to this effect; provided that in the event the Consultant has a general insurance policy that covers the risks specified in this Agreement and the amount of insurance cover is equivalent to 3 (three) times the cover required hereunder, such insurance policy may not mention the Authority as the sole beneficiary of the Consultant or require an undertaking to that effect.

- 3.5.2 The Parties agree that the risks and coverages shall include but not be limited to the following:

(a) Third Party liability insurance as required under Applicable Laws, with a minimum coverage of Rs. 1 (one) crore;

(b) employer's liability and workers' compensation insurance in respect of the Personnel of the Consultant in accordance with Applicable Laws; and

(c) professional liability insurance for an amount no less than the Agreement Value.

The indemnity limit in terms of "Any One Accident" (AOA) and "Aggregate limit on the policy period" (AOP) should not be less than the amount stated in Clause 6.1.2

of the Agreement. In case of consortium, the policy should be in the name of Lead Member and not in the name of individual Members of the consortium.

### **3.6 Accounting, inspection and auditing**

The Consultant shall:

- (a) keep accurate and systematic accounts and records in respect of the Services provided under this Agreement, in accordance with internationally accepted accounting principles and in such form and detail as will clearly identify all relevant time charges and cost, and the basis thereof (including the basis of the Consultant's costs and charges); and
- (b) permit the Authority or its designated representative periodically, and up to one year from the expiration or termination of this Agreement, to inspect the same and make copies thereof as well as to have them audited by auditors appointed by the Authority.

### **3.7 Consultant's actions requiring the Authority's prior approval**

The Consultant shall obtain the Authority's prior approval in writing before taking any of the following actions:

- (a) appointing such members of the Professional Personnel as are not listed in Annex-2.
- (b) any other action that is specified in this Agreement.

### **3.8 Reporting obligations**

The Consultant shall submit to the Authority the reports and documents specified in the Agreement, in the form, in the numbers and within the time periods set forth therein.

### **3.9 Documents prepared by the Consultant to be property of the Authority**

- 3.9.1 All plans, drawings, specifications, designs, reports and other documents (collectively referred to as "**Consultancy Documents**") prepared by the Consultant (or any Third Party) in performing the Services shall become and remain the property of the Authority, and all intellectual property rights in such Consultancy Documents shall vest with the Authority. Any Consultancy Document, of which the ownership or the intellectual property rights do not vest with the Authority under law, shall automatically stand assigned to the Authority as and when such Consultancy Document is created and the Consultant agrees to execute all papers and to perform such other acts as the Authority may deem necessary to secure its rights herein assigned by the Consultant.
- 3.9.2 The Consultant shall, not later than termination or expiration of this Agreement, deliver all Consultancy Documents to the Authority, together with a detailed inventory thereof. The Consultant may retain a copy of such Consultancy Documents. The Consultant or a Third Party shall not use these Consultancy Documents for purposes unrelated to this Agreement without the prior written approval of the Authority.

- 3.9.3 The Consultant shall hold the Authority harmless and indemnified for any losses, claims, damages, expenses (including all legal expenses), awards, penalties or injuries (collectively referred to as ‘Claims’) which may arise from or due to any unauthorised use of such Consultancy Documents, or due to any breach or failure on part of the Consultant or a Third Party to perform any of its duties or obligations in relation to securing the aforementioned rights of the Authority.

### **3.10 Equipment and materials furnished by the Authority**

Equipment and materials made available to the Consultant by the Authority shall be the property of the Authority and shall be marked accordingly. Upon termination or expiration of this Agreement, the Consultant shall furnish forthwith to the Authority, an inventory of such equipment and materials and shall dispose of such equipment and materials in accordance with the instructions of the Authority. While in possession of such equipment and materials, the Consultant shall, unless otherwise instructed by the Authority in writing, insure them in an amount equal to their full replacement value.

### **3.11 Providing access to Project Office and Personnel**

The Consultant shall ensure that the Authority, and officials of the Authority having authority from the Authority, are provided unrestricted access to the Project Office and to all Personnel during office hours. The Authority’s official, who has been authorised by the Authority in this behalf, shall have the right to inspect the Services in progress, interact with Personnel of the Consultant and verify the records relating to the Services for his satisfaction.

### **3.12 Accuracy of Documents**

The Consultant shall be responsible for accuracy of the data collected by it directly or procured from other agencies/authorities, the designs, drawings, estimates and all other details prepared by it as part of these services. Subject to the provisions of Clause 3.4, it shall indemnify the Authority against any inaccuracy in its work which might surface during implementation of the Project, if such inaccuracy is the result of any negligence or inadequate due diligence on part of the Consultant or arises out of its failure to conform to good industry practice. The Consultant shall also be responsible for promptly correcting, at its own cost and risk, the drawings including any re-survey / investigations.

## **4. Consultant’s Personnel**

### **4.1 General**

The Consultant shall employ and provide such qualified and experienced Personnel as may be required to carry out the Services.

### **4.2 Deployment of Personnel**

- 4.2.1 The designations, names and the estimated periods of engagement in carrying out the Services by each of the Consultant’s Personnel are described in Annex-2 of this

Agreement. The estimate of Personnel costs and person day rates are specified in Annex-3 of this Agreement.

- 4.2.2 Adjustments with respect to the estimated periods of engagement of Personnel set forth in the aforementioned Annex-3 may be made by the Consultant by written notice to the Authority, provided that: (i) such adjustments shall not alter the originally estimated period of engagement of any individual by more than 20% (twenty per cent) or one week, whichever is greater, and (ii) the aggregate of such adjustments shall not cause payments under the Agreement to exceed the Agreement Value set forth in Clause 6.1.2 of this Agreement. Any other adjustments shall only be made with the written approval of the Authority.
- 4.2.3 If additional work is required beyond the scope of the Services specified in the Terms of Reference, the estimated periods of engagement of Personnel, set forth in the Annexes of the Agreement may be increased by agreement in writing between the Authority and the Consultant, provided that any such increase shall not, except as otherwise agreed, cause payments under this Agreement to exceed the Agreement Value set forth in Clause 6.1.2.

#### **4.3 Approval of Personnel**

- 4.3.1 The Professional Personnel listed in Annex-2 of the Agreement are hereby approved by the Authority. No other Professional Personnel shall be engaged without prior approval of the Authority.
- 4.3.2 If the Consultant hereafter proposes to engage any person as Professional Personnel, it shall submit to the Authority its proposal along with a CV of such person in the form provided at Appendix-I (Form-12) of the RFP. The Authority may approve or reject such proposal within 14 (fourteen) days of receipt thereof. In case the proposal is rejected, the Consultant may propose an alternative person for the Authority's consideration. In the event the Authority does not reject a proposal within 14 (fourteen) days of the date of receipt thereof under this Clause 4.3, it shall be deemed to have been approved by the Authority.

#### **4.4 Substitution of Key Personnel**

The Authority expects all the Key Personnel specified in the Proposal to be available during implementation of the Agreement. The Authority will not consider any substitution of Key Personnel except under compelling circumstances beyond the control of the Consultant and the concerned Key Personnel. Such substitution shall be limited to not more than two Key Personnel subject to equally or better qualified and experienced personnel being provided to the satisfaction of the Authority. Without prejudice to the foregoing, substitution of one Key Personnel shall be permitted subject to reduction of remuneration equal to 20% (twenty per cent) of the total remuneration specified for the Key Personnel who is proposed to be substituted. In case of a second substitution, such reduction shall be equal to 50% (fifty per cent) of the total remuneration specified for the Key Personnel who is proposed to be substituted.

#### **4.5 Working hours, overtime, leave, etc.**

The Personnel shall not be entitled to be paid for overtime nor to take paid sick leave or vacation leave except as specified in the Agreement, and the Consultant's remuneration shall be deemed to cover these items. All leave to be allowed to the Personnel is excluded from the person days of service set forth in Annex-2. Any taking of leave by any Personnel for a period exceeding 7 (seven) days shall be subject to the prior approval of the Authority, and the Consultant shall ensure that any absence on leave will not delay the progress and quality of the Services.

#### **4.6 Resident Team Leader and Project Manager**

The person designated as the Team Leader of the Consultant's Personnel shall be responsible for the coordinated, timely and efficient functioning of the Personnel. In addition, the Consultant shall designate a suitable person as Project Manager (the "Project Manager") who shall be responsible for day to day performance of the Services.

### **5. Obligations of the Authority**

#### **5.1 Assistance in clearances etc.**

Unless otherwise specified in the Agreement, the Authority shall make best efforts to ensure that the Government shall:

- (a) provide the Consultant and the Personnel with work permits and such other documents as may be necessary to enable the Consultant or the Personnel to perform the Services;
- (b) facilitate prompt clearance through customs of any property required for the Services; and
- (c) issue to officials, agents and representatives of the Government all such instructions as may be necessary or appropriate for the prompt and effective implementation of the Services.

#### **5.2 Access to land and property**

The Authority warrants that the Consultant shall have, free of charge, unimpeded access to the site of the project in respect of which access is required for the performance of Services; provided that if such access shall not be made available to the Consultant as and when so required, the Parties shall agree on (i) the time extension, as may be appropriate, for the performance of Services, and (ii) the additional payments, if any, to be made to the Consultant as a result thereof pursuant to Clause 6.1.3.

#### **5.3 Change in Applicable Law**

If, after the date of this Agreement, there is any change in the Applicable Laws with respect to taxes and duties which increases or decreases the cost or reimbursable expenses

incurred by the Consultant in performing the Services, by an amount exceeding 2% (two per cent) of the Agreement Value specified in Clause 6.1.2, then the remuneration and reimbursable expenses otherwise payable to the Consultant under this Agreement shall be increased or decreased accordingly by agreement between the Parties hereto, and corresponding adjustments shall be made to the aforesaid Agreement Value.

#### **5.4 Payment**

In consideration of the Services performed by the Consultant under this Agreement, the Authority shall make to the Consultant such payments and in such manner as is provided in Clause 6 of this Agreement.

### **6. Payment to the Consultant**

#### **6.1 Cost estimates and Agreement Value**

- 6.1.1 An abstract of the cost of the Services payable to the Consultant is set forth in Annex-4 of the Agreement.
- 6.1.2 Except as may be otherwise agreed under Clause 2.6 and subject to Clause 6.1.3, the payments under this Agreement shall not exceed the agreement value specified herein (the “**Agreement Value**”). The Parties agree that the Agreement Value is Rs. .... (Rupees. ....), which does not include the Additional Costs specified in Annex-4 (the “**Additional Costs**”).
- 6.1.3 Notwithstanding anything to the contrary contained in Clause 6.1.2, if pursuant to the provisions of Clauses 2.6 and 2.7, the Parties agree that additional payments shall be made to the Consultant in order to cover any additional expenditures not envisaged in the cost estimates referred to in Clause 6.1.1 above, the Agreement Value set forth in Clause 6.1.2 above shall be increased by the amount or amounts, as the case may be, of any such additional payments.

#### **6.2 Currency of payment**

All payments shall be made in Indian Rupees. The Consultant shall be free to convert Rupees into any foreign currency as per Applicable Laws.

#### **6.3 Mode of billing and payment**

Billing and payments in respect of the Services shall be made as follows:

- (a) No Mobilisation Advance shall be paid.
- (b) The Consultant shall be paid for its services as per the Payment Schedule at Annex-5 of this Agreement, subject to the Consultant fulfilling the following conditions:
  - (i) No payment shall be due for the next stage till the Consultant completes, to the satisfaction of the Authority, the work pertaining to the preceding stage.

- (ii) The Authority shall pay to the Consultant, only the undisputed amount.
- (c) The Authority shall cause the payment due to the Consultant to be made within 30 (thirty) days after the receipt by the Authority of duly completed bills with necessary particulars (the “**Due Date**”). Interest at the rate of 10% (ten per cent) per annum shall become payable as from the Due Date on any amount due by, but not paid on or before, such Due Date.
- (d) The final payment under this Clause shall be made only after the final report and a final statement, identified as such, shall have been submitted by the Consultant and approved as satisfactory by the Authority. The Services shall be deemed completed and finally accepted by the Authority and the final deliverable shall be deemed approved by the Authority as satisfactory upon expiry of 90 (ninety) days after receipt of the final deliverable by the Authority unless the Authority, within such 90 (ninety) day period, gives written notice to the Consultant specifying in detail, the deficiencies in the Services. The Consultant shall thereupon promptly make any necessary corrections and/or additions, and upon completion of such corrections or additions, the foregoing process shall be repeated. The Authority shall make the final payment upon acceptance or deemed acceptance of the final deliverable by the Authority.
- (e) Any amount which the Authority has paid or caused to be paid in excess of the amounts actually payable in accordance with the provisions of this Agreement shall be reimbursed by the Consultant to the Authority within 30 (thirty) days after receipt by the Consultant of notice thereof. Any such claim by the Authority for reimbursement must be made within 1 (one) year after receipt by the Authority of a final report in accordance with Clause 6.3 (d). Any delay by the Consultant in reimbursement by the due date shall attract simple interest @ 10% (ten per cent) per annum.
- (f) 10% (ten per cent) of the Agreement Value has been earmarked as Final Payment to be made to the Consultant upon completion of Services. In the event of non-completion of Services within 3 (three) years of the Effective Date, the Final Payment shall not become due to the Consultant, save and except the costs incurred for meeting its reimbursable expenses during the period after expiry of 24 (twenty-four) months from the Effective Date, including travel costs and personnel costs, at the agreed rates.
- (g) All payments under this Agreement shall be made to the account of the Consultant as may be notified to the Authority by the Consultant.

## **7. Liquidated Damages and Penalties**

### **7.1 Performance Security**

- 7.1.1** The Authority shall retain by way of performance security (the “**Performance Security**”), 10% (ten per cent) of all the amounts due and payable to the Consultant, to be appropriated against breach of this Agreement or for recovery of liquidated damages

as specified in Clause 7.2. The balance remaining out of the Performance Security shall be returned to the Consultant at the end of 3 (three) months after the expiry of this Agreement pursuant to Clause 2.4 hereof. For the avoidance of doubt, the parties hereto expressly agree that in addition to appropriation of the amounts withheld hereunder, in the event of any default requiring the appropriation of further amounts comprising the Performance Security, the Authority may make deductions from any subsequent payments due and payable to the Consultant hereunder, as if it is appropriating the Performance Security in accordance with the provisions of this Agreement.

- 7.1.2 The Consultant may, in lieu of retention of the amounts as referred to in Clause 7.1.1 above, furnish a Bank Guarantee substantially in the form specified at Annex-6 of this Agreement.

## **7.2 Liquidated Damages**

- 7.2.1 Liquidated Damages for error/variation

In case any error or variation or plagiarism is detected in the data, data analysis or reports, submitted by the Consultant and such error or variation is the result of negligence or lack of due diligence on the part of the Consultant, the consequential damages thereof shall be quantified by the Authority in a reasonable manner and recovered from the Consultant by way of deemed liquidated damages, subject to a maximum of 10% (10 per cent) of the Agreement Value.

- 7.2.2 Liquidated Damages for delay

In case of delay in completion of Services, liquidated damages not exceeding an amount equal to 1% (one per cent) of the Agreement Value per week, subject to a maximum of 10% (ten per cent) of the Agreement Value will be imposed and shall be recovered by appropriation from the Performance Security or otherwise. However, in case of delay due to reasons beyond the control of the Consultant, suitable extension of time shall be granted.

- 7.2.3 Encashment and appropriation of Performance Security

The Authority shall have the right to invoke and appropriate the proceeds of the Performance Security, in whole or in part, without notice to the Consultant in the event of breach of this Agreement or for recovery of liquidated damages specified in this Clause 7.2.

## **7.3 Penalty for deficiency in Services**

In addition to the liquidated damages not amounting to penalty, as specified in Clause 7.2, warning may be issued to the Consultant for minor deficiencies on its part. In the case of significant deficiencies in Services causing adverse effect on the Project or on the reputation of the Authority, other penal action including debarring for a specified period may also be initiated as per policy of the Authority.

## 8. Fairness and Good Faith

### 8.1 Good Faith

The Parties undertake to act in good faith with respect to each other's rights under this Agreement and to adopt all reasonable measures to ensure the realisation of the objectives of this Agreement.

### 8.2 Operation of the Agreement

The Parties recognise that it is impractical in this Agreement to provide for every contingency which may arise during the life of the Agreement, and the Parties hereby agree that it is their intention that this Agreement shall operate fairly as between them, and without detriment to the interest of either of them, and that, if during the term of this Agreement either Party believes that this Agreement is operating unfairly, the Parties will use their best efforts to agree on such action as may be necessary to remove the cause or causes of such unfairness, but failure to agree on any action pursuant to this Clause shall not give rise to a dispute subject to arbitration in accordance with Clause 9 hereof.

## 9. Settlement of Disputes

### 9.1 Amicable settlement

The Parties shall use their best efforts to settle amicably all disputes arising out of or in connection with this Agreement or the interpretation thereof.

### 9.2 Dispute resolution

- 9.2.1 Any dispute, difference or controversy of whatever nature howsoever arising under or out of or in relation to this Agreement (including its interpretation) between the Parties, and so notified in writing by either Party to the other Party (the “**Dispute**”) shall, in the first instance, be attempted to be resolved amicably in accordance with the conciliation procedure set forth in Clause 9.3.
- 9.2.2 The Parties agree to use their best efforts for resolving all Disputes arising under or in respect of this Agreement promptly, equitably and in good faith, and further agree to provide each other with reasonable access during normal business hours to all non-privileged records, information and data pertaining to any Dispute.

### 9.3 Conciliation

In the event of any Dispute between the Parties, either Party may call upon CEO, NITI Aayog and the Chairman of the Board of Directors of the Consultant or a substitute thereof for amicable settlement, and upon such reference, the said persons shall meet no later than 10 (ten) days from the date of reference to discuss and attempt to amicably resolve the Dispute. If such meeting does not take place within the 10 (ten) day period or the Dispute is not amicably settled within 15 (fifteen) days of the meeting or the Dispute is not resolved as evidenced by the signing of written terms of settlement within 30 (thirty) days of the notice in writing referred to in Clause 9.2.1 or such longer period as

may be mutually agreed by the Parties, either Party may refer the Dispute to arbitration in accordance with the provisions of Clause 9.4.

#### 9.4 Arbitration

- 9.4.1 Any Dispute which is not resolved amicably by conciliation, as provided in Clause 9.3, shall be finally decided by reference to arbitration by an Arbitral Tribunal appointed in accordance with Clause 9.4.2. Such arbitration shall be held in accordance with the Rules of Arbitration of the International Centre for Alternative Dispute Resolution, New Delhi (the “**Rules**”), or such other rules as may be mutually agreed by the Parties, and shall be subject to the provisions of the Arbitration and Conciliation Act, 1996. The place of such arbitration shall be the capital of the State where the Authority has its headquarters and the language of arbitration proceedings shall be English.
- 9.4.2 There shall be a sole arbitrator whose appointment or an Arbitral Tribunal of three arbitrators, of whom each Party shall select one, and the third arbitrator shall be appointed by the two arbitrators so selected, and in the event of disagreement between the two arbitrators, the appointment<sup>6</sup> shall be made in accordance with the Rules.
- 9.4.3 The arbitrators shall make a reasoned award (the “**Award**”). Any Award made in any arbitration held pursuant to this Clause 9 shall be final and binding on the Parties as from the date it is made, and the Consultant and the Authority agree and undertake to carry out such Award without delay.
- 9.4.4 The Consultant and the Authority agree that an Award may be enforced against the Consultant and/or the Authority, as the case may be, and their respective assets wherever situated.
- 9.4.5 This Agreement and the rights and obligations of the Parties shall remain in full force and effect, pending the Award in any arbitration proceedings hereunder.

**IN WITNESS WHEREOF, the Parties hereto have caused this Agreement to be signed in their respective names as of the day and year first above written.**

SIGNED, SEALED AND DELIVERED  
For and on behalf of  
Consultant:

(Signature)  
(Name)  
(Designation)  
(Address)

SIGNED, SEALED AND DELIVERED  
For and on behalf of  
Authority

(Signature)  
(Name)  
(Designation)  
(Address)

In the presence of:

1.

2.

<sup>6</sup> Where the Agreement Value specified in Clause 6.1.2 of this Agreement is expected to be less than Rs. 2 crores, the provision for a sole arbitrator shall be retained and where the Agreement Value is likely to be more than Rs. 2 crores, the provision for a Board shall be retained.

## **Annex-1: Terms of Reference**

*(Refer Clause 3.1.2)*

(Reproduce Schedule-1 of RFP)

## **Annex-2: Deployment of Personnel**

*(Refer Clause 4.2)*

(Reproduce as per Form-13 of Appendix-I)

## **Annex-3: Estimate of Personnel Costs**

*(Refer Clause 4.2)*

(Reproduce as per Form-3 of Appendix-II)

## **Annex-4: Cost of Services**

*(Refer Clause 6.1)*

(Reproduce as per Form-2 of Appendix-II)

## Annex-5: Payment Schedule

(Refer Clause 6.3)

The payments under Resident Personnel Costs (A) + Local Costs (B) + Overhead Expenses (E), as defined in Financial Proposal (Form-2) will be completely linked to the achievement of the deliverables highlighted above.

The split of the payment under these heads by pillars is provided below –

Pillars (as defined under Schedule 2, Clause 4)	Estimate of Resident Personnel Costs (A) + Local Costs (B) + Overhead Expenses (E) <sup>7</sup>		
	Split % as proposed by Consultant	Split % as proposed by Consultant	Amount (Rs.) <sup>8</sup> (as quoted in Bid)
i) Review Output-Outcome Monitoring Framework (OOMF)	1-5%		
ii) Conceptualize and develop OOMF dashboard 2.0, stakeholder communications and online service	5-10%		
iii) Advocacy of Outcomes to transform M&E ecosystem	5-10%		
iv) Expand OOMF to Departments/Ministries	25-30%		
v) Expand OOMF to States	50-55%		
<b>TOTAL</b>	<b>100%</b>	<b>100%</b>	

Furthermore, within each of the pillars, the quoted amount will be paid as per the achievement of the deliverables as outlined below:

<sup>7</sup> The payments under Resident Personnel (A) + Local Costs (B) + Overhead Expenses (E), as provided in Financial Proposal (Form-2) will be completely linked to the achievement of the deliverables.

<sup>8</sup> The Total in Amount (Rs) column above should match with the sum of Resident Personnel Costs (A) + Local Costs (B) + Overhead Expenses (E) as provided in Financial Proposal (Form-2)

Sr. No.	Pillars	Deliverables	Milestone-linked Payment (% of amount quoted for each pillar)
1	<b>Review Output-Outcome Monitoring Framework (OOMF)</b>	OOMF Documentation - Progress report with previous experience and lessons learnt improvement opportunities and recommendations/way forward	10%
2		Draft of OOMF v2.0 toolkit - including method, process, tools and training material	20%
3		Draft OOMF v2 improvement test report, detailing fitness-for-purpose in terms of: functionality, robustness and ease of use.	
4		Final OOMF v2.0 toolkit - including method, process, tools and training material	50%
5		Final OOMF v2 improvement test report detailing fitness-for-purpose in terms of: functionality, robustness and ease of use.	
6		Conducting 2x1-day trainings/workshops and submission of reports, with participant skills test results.	20%
7	<b>Conceptualize and develop OOMF dashboard 2.0, stakeholder communications and online services</b>	Compilation of stakeholder-wise requirement documentation & Business Requirements Document (BRD), Functional Design Document (FDD) and Technical Design Document (TDD) (with a roadmap for OOMF dashboard 2.0)	20%
8		Develop the terms of references required to appoint suitably qualified service providers to provide the required solution components and systems.	40%
9		Preparation of Bidding Documents	
10		Active support in conducting the bidding and evaluation of bids - Upto Agency Selection	
11		Preparation of the detailed Business Requirement Documentation (BRD) with Wireframes for the OOMF dashboard 2.0	10%
12		Completion of the User Acceptance Testing (UAT) for the OOMF dashboard 2.0	10%
13		Final deployment of the dashboard 2.0 on the NIC servers after all necessary clearances including security audit to the satisfaction of the Authority.	10%
14		4 slots x 2 training = 8 x 2-hour trainings on Dashboard 2.0 user training/workshop and reports	10%

Sr. No.	Pillars	Deliverables	Milestone-linked Payment (% of amount quoted for each pillar)
15	<b>Advocacy of Outcomes to transform M&amp;E ecosystem</b>	Integrated communications plan for outcomes monitoring	10%
16		1 x 2-day National Outcomes-based monitoring / budgeting workshop	50%
17		Advocacy content and promotional material support for a period of 24 months.	40%
18	<b>Expand OOMF to Departments/Ministries</b>	20 Ministries/Departments x 5 one-to-one meetings (with individual scheme divisions) in Outcomes-oriented implementation and monitoring	30%
19		20 x 2 x 1-day- Capacity development & Awareness workshops at Ministry/Department level along with coaching/progress reports including training on the use of outputs and outcomes in internal programme reviews	30%
20		2 x 1-week long centralized training session inviting nominations from ministries/departments (2 rounds per ministry/department)	5%
21		20 x Monitoring mechanisms: Findings and recommendations report/ department	10%
22		Workshop design and training material - building cutting edge monitoring dashboards for two workshops mentioned above	5%
23		Guidelines and checklists for cutting edge dashboards	5%
24		Training in building cutting edge monitoring dashboards: 4 workshops x 1-day for 5 Depts. at a time (awareness, Concepts, Implementation). + coaching + progress reports	15%
25		<b>Expand OOMF to States</b>	OOMF awareness workshop – One-day workshop at NITI Aayog with participants from all the State Planning / Finance Depts.
26	5 x Outreach meetings with States/UTs in respective States/UTs		4%
27	5 x MoUs with States / UTs		3%
28	5 x 1-day M&E leadership sensitization / kickstart workshops & reports in respective States/UTs		10%

Sr. No.	Pillars	Deliverables	Milestone-linked Payment (% of amount quoted for each pillar)
29		5 x 1-day Roadmaps for implementation of State capacity building exercise in respective States/UTs	10%
30		5 x 1-day trainings of OOMF champions team in Outcomes-oriented implementation and monitoring approach: awareness presentations in respective States/UTs	10%
31		5 x 1-day trainings of OOMF champions team in facilitating the use of outputs and outcomes in internal programme reviews: awareness presentations in respective States/UTs	10%
32		5 x 2 x 1-day workshops (for any 2 selected departments) in each state for institutionalization of OOMF - Planning and Approach design + Coaching & Progress reports in respective States/UTs	10%
33		5 x 2 x 1-day workshops (for any 2 selected departments) in each state for institutionalization of OOMF - Implementation & Monitoring support + Coaching & Progress reports in respective States/UTs	15%
34		Developing a maturity assessment framework and preparing 5 maturity assessment reports for each of the shortlisted 5 States (One at the beginning of the exercise after MoU and 4 i.e. one every six months after MoU for next two years)	15%
35		1 x Course curriculum pertaining to outcomes monitoring jointly in partnership with Partners with whom DMEO has signed SoIs	3%
36		3 x Progress report on refresher trainings/ Workshops for ministry & State government officials at the identified partner institutions at the end of each workshop.	2%
37		5 x 1 regional workshops and dissemination reports with all States for demonstrating the success stories of 5 shortlisted States provided support under the Consultancy.	5%

Notes:

1. The above payments shall be made to the Consultant provided that the payments to

- be made at any time shall not exceed the amount certified by the Consultant in its Statement of Expenses.*
2. *While the payments will accrue to the Consultant based on the achievement of milestones as highlighted above, the Consultant shall submit consolidated bills at the end of the financial quarter for payments processing. Release of the payments will be done as per Clause 6.3 in the Agreement.*
  3. *All reports and deliverables, wherever applicable, shall first be submitted as draft copies for comments of the Authority. The Authority shall provide its comments no later than 3 (three) weeks from the date of receiving a draft copy and in case no comments are provided within such 3 (three) weeks, the Consultant shall finalize the same.*

## Annex-6: Bank Guarantee for Performance Security

(Refer Clause 7.1.2)

To

[The President of India /Governor of .....]

acting through

.....

.....

.....

In consideration of ..... acting on behalf of the [President of India/Governor of .....] (hereinafter referred as the “**Authority**”, which expression shall, unless repugnant to the context or meaning thereof, include its successors, administrators and assigns) awarding to ....., having its office at ..... (hereinafter referred as the “**Consultant**” which expression shall, unless repugnant to the context or meaning thereof, include its successors, administrators, executors and assigns), vide the Authority’s Agreement no. .... dated ..... valued at Rs. .... (Rupees .....), (hereinafter referred to as the “**Agreement**”) the assignment for consultancy services in respect of the ..... Project, and the Consultant having agreed to furnish a Bank Guarantee amounting to Rs. .... (Rupees .....) to the Authority for performance of the said Agreement.

We, ..... (hereinafter referred to as the “**Bank**”) at the request of the Consultant do hereby undertake to pay to the Authority an amount not exceeding Rs. .... (Rupees .....) against any loss or damage caused to or suffered or would be caused to or suffered by the Authority by reason of any breach by the said Consultant of any of the terms or conditions contained in the said Agreement.

2. We, ..... (indicate the name of the Bank) do hereby undertake to pay the amounts due and payable under this Guarantee without any demur, merely on a demand from the Authority stating that the amount/claimed is due by way of loss or damage caused to or would be caused to or suffered by the Authority by reason of breach by the said Consultant of any of the terms or conditions contained in the said Agreement or by reason of the Consultant’s failure to perform the said Agreement. Any such demand made on the bank shall be conclusive as regards the amount due and payable by the Bank under this Guarantee. However, our liability under this Guarantee shall be restricted to an amount not exceeding Rs. .... (Rupees .....).

3. We, ..... (indicate the name of the Bank) do hereby undertake to pay to the Authority any money so demanded notwithstanding any dispute or disputes raised by the Consultant in any suit or proceeding pending before any court or tribunal relating thereto, our liability under this present being absolute and unequivocal. The payment so made by us under this bond shall be a valid discharge of our liability for payment thereunder and the Consultant shall have no claim against us for making such payment.

4. We, ..... (indicate the name of Bank) further agree that the Guarantee herein contained shall remain in full force and effect during the period that would be required for the performance of the said Agreement and that it shall continue to be enforceable till all the dues of the Authority under or by virtue of the said Agreement have been fully paid and its claims satisfied or discharged or till the Authority certifies

that the terms and conditions of the said Agreement have been fully and properly carried out by the said Consultant and accordingly discharges this Guarantee. Unless a demand or claim under this Guarantee is made on us in writing on or before a period of one year from the date of this Guarantee, we shall be discharged from all liability under this Guarantee thereafter.

5. We, ..... (indicate the name of Bank) further agree with the Authority that the Authority shall have the fullest liberty without our consent and without affecting in any manner our obligations hereunder to vary any of the terms and conditions of the said Agreement or to extend time of performance by the said Consultant from time to time or to postpone for any time or from time to time any of the powers exercisable by the Authority against the said Consultant and to forbear or enforce any of the terms and conditions relating to the said Agreement and we shall not be relieved from our liability by reason of any such variation, or extension being granted to the said Consultant or for any forbearance, act or omission on the part of the Authority or any indulgence by the Authority to the said Consultant or any such matter or thing whatsoever which under the law relating to sureties would, but for this provision, have the effect of so relieving us.

6. This Guarantee will not be discharged due to the change in the constitution of the Bank or the Consultant(s).

7. We, ..... (indicate the name of Bank) lastly undertake not to revoke this Guarantee during its currency except with the previous consent of the Authority in writing.

8. For the avoidance of doubt, the Bank's liability under this Guarantee shall be restricted to Rs. .... crore (Rupees ..... crore) only. The Bank shall be liable to pay the said amount or any part thereof only if the Authority serves a written claim on the Bank in accordance with Paragraph 2 hereof, on or before [..... (indicate the date falling 365 days after the date of this Guarantee)].

For .....

Name of Bank:

Seal of the Bank:

Dated, the .....day of ....., 20.....

(Signature, name and designation of the authorised signatory)

NOTES:

- (i) The Bank Guarantee should contain the name, designation and code number of the officer(s) signing the Guarantee.
- (ii) The address, telephone no. and other details of the Head Office of the Bank as well as of issuing Branch should be mentioned on the covering letter of issuing Branch.

### **Schedule 3: Guidance Note on Conflict of Interest**

(See Clause 2.3.3)

1. This Note further explains and illustrates the provisions of Clause 2.3 of the RFP and shall be read together therewith in dealing with specific cases.
2. Consultants should be deemed to be in a conflict of interest situation if it can be reasonably concluded that their position in a business or their personal interest could improperly influence their judgment in the exercise of their duties. The process for selection of consultants should avoid both actual and perceived conflict of interest.
3. Conflict of interest may arise between the Authority and a consultant or between consultants and present or future contractors. Some of the situations that would involve conflict of interest are identified below:
  - (a) Authority and consultants:
    - (i) Potential consultant should not be privy to information from the Authority which is not available to others;
    - (ii) potential consultant should not have defined the project when earlier working for the Authority;
    - (iii) potential consultant should not have recently worked for the Authority overseeing the project.
  - (b) Consultants and contractors:
    - (i) No consultant should have an ownership interest or a continuing business interest or an on-going relationship with a potential contractor save and except relationships restricted to project-specific and short-term assignments; or
    - (ii) no consultant should be involved in owning or operating entities resulting from the project; or
    - (iii) no consultant should bid for works arising from the project.

The participation of companies that may be involved as investors or consumers and officials of the Authority who have current or recent connections to the companies involved, therefore, needs to be avoided.

4. The normal way to identify conflicts of interest is through self-declaration by consultants. Where a conflict exists, which has not been declared, competing companies are likely to bring this to the notice of the Authority. All conflicts must be declared as and when the consultants become aware of them.
5. Another approach towards avoiding a conflict of interest is through the use of “Chinese walls” to avoid the flow of commercially sensitive information from one part of the consultant’s company to another. This could help overcome the problem of availability of

limited numbers of experts for the project. However, in reality effective operation of “Chinese walls” may be a difficult proposition. As a general rule, larger companies will be more capable of adopting Chinese walls approach than smaller companies. Although, “Chinese walls” have been relatively common for many years, they are an increasingly discredited means of avoiding conflicts of interest and should be considered with caution. As a rule, “Chinese walls” should be considered as unacceptable and may be accepted only in exceptional cases upon full disclosure by a consultant coupled with provision of safeguards to the satisfaction of the Authority.

6. Another way to avoid conflicts of interest is through the appropriate grouping of tasks. For example, conflicts may arise if consultants drawing up the terms of reference or the proposed documentation are also eligible for the consequent assignment or project.
7. Another form of conflict of interest called “scope–creep” arises when consultants advocate either an unnecessary broadening of the terms of reference or make recommendations which are not in the best interests of the Authority but which will generate further work for the consultants. Some forms of contractual arrangements are more likely to lead to scope-creep. For example, lump-sum contracts provide fewer incentives for this, while time and material contracts provide built in incentives for consultants to extend the length of their assignment.
8. Every project contains potential conflicts of interest. Consultants should not only avoid any conflict of interest but should also report any present/ potential conflict of interest to the Authority at the earliest. Officials of the Authority involved in development of a project shall be responsible for identifying and resolving any conflicts of interest. It should be ensured that safeguards are in place to preserve fair and open competition and measures should be taken to eliminate any conflict of interest arising at any stage in the process.

## Appendices

## Appendix-I: Technical Proposal

(See Clause 2.1.3)

### Form-1: Letter of Proposal

(On Applicant's letter head)

(Date and Reference)

To,

.....

.....

.....

**Subject: Consultancy Services to establish a Program Management Unit (PMU) to support DMEO in the Institutionalization of the Output-Outcome Monitoring Framework (OOMF) of Govt. of India**

Dear Sir,

With reference to your RFP Document dated....., I/ we, having examined all relevant documents and understood their contents, hereby submit our Proposal for selection as Consultant for the ..... Project. The proposal is unconditional and unqualified.

2. All information provided in the Proposal and in the Appendices is true and correct and all documents accompanying such Proposal are true copies of their respective originals.
3. This statement is made for the express purpose of appointment as the Consultant for the aforesaid Project.
4. I/We shall make available to the Authority any additional information it may deem necessary or require for supplementing or authenticating the Proposal.
5. I/We acknowledge the right of the Authority to reject our application without assigning any reason or otherwise and hereby waive our right to challenge the same on any account whatsoever.
6. I/We certify that in the last three years, we or any of our Associates have neither failed to perform on any contract, as evidenced by imposition of a penalty by an arbitral or judicial authority or a judicial pronouncement or arbitration award against the Applicant, nor been expelled from any project or contract by any public authority nor have had any contract terminated by any public authority for breach on our part.
7. I/We declare that:

- (a) I/We have examined and have no reservations to the RFP Documents, including any Addendum issued by the Authority;
  - (b) I/We do not have any Conflict of Interest in accordance with Clause 2.3 of the RFP Document;
  - (c) I/We have not directly or indirectly or through an agent engaged or indulged in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice, as defined in Clause 4.3 of the RFP document, in respect of any tender or request for proposal issued by or any agreement entered into with the Authority or any other public sector enterprise or any government, Central or State; and
  - (d) I/ We hereby certify that we have taken steps to ensure that in conformity with the provisions of Section 4 of the RFP, no person acting for us or on our behalf will engage in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice.
8. I/We understand that you may cancel the Selection Process at any time and that you are neither bound to accept any Proposal that you may receive nor to select the Consultant, without incurring any liability to the Applicants in accordance with Clause 2.8 of the RFP document.
9. I/We declare that we/any member of the consortium, are/is not a Member of a/any other Consortium applying for Selection as a Consultant.
10. I/We certify that in regard to matters other than security and integrity of the country, we or any of our Associates have not been convicted by a Court of Law or indicted or adverse orders passed by a regulatory authority which would cast a doubt on our ability to undertake the Consultancy for the Project or which relates to a grave offence that outrages the moral sense of the community.
11. I/We further certify that in regard to matters relating to security and integrity of the country, we have not been charge-sheeted by any agency of the Government or convicted by a Court of Law for any offence committed by us or by any of our Associates.
12. I/We further certify that no investigation by a regulatory authority is pending either against us or against our Associates or against our CEO or any of our Directors / Managers / employees.<sup>9</sup>\$
13. I/We hereby irrevocably waive any right or remedy which we may have at any stage at law or howsoever otherwise arising to challenge or question any decision taken by the

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<sup>9</sup>\$ In case the Applicant is unable to provide the certification specified in Paragraph 12, it may precede the Paragraph by the words viz. —Except as specified in Schedule ..... hereto. The exceptions to the certification or any disclosures relating thereto may be clearly stated in a Schedule to be attached to the Application. The Authority will consider the contents of such Schedule and determine whether or not the exceptions/disclosures are material to the suitability of the Applicant for pre-qualification hereunder.

Authority [and/ or the Government of India] in connection with the selection of Consultant or in connection with the Selection Process itself in respect of the above mentioned Project.

14. The Bid Security of Rs. .... (Rupees ..... ) in the form of a Demand Draft is attached, in accordance with the RFP document.
15. I/We agree and understand that the proposal is subject to the provisions of the RFP document. In no case, shall I/we have any claim or right of whatsoever nature if the Consultancy for the Project is not awarded to me/us or our proposal is not opened or rejected.
16. I/We agree to keep this offer valid for 90 (ninety) days from the Proposal Due Date specified in the RFP.
17. A Power of Attorney in favour of the authorised signatory to sign and submit this Proposal and documents is attached herewith in Form-4.
18. In the event of my/our firm/ consortium being selected as the Consultant, I/we agree to enter into an agreement in accordance with the form at Schedule–2 of the RFP. We agree not to seek any changes in the aforesaid form and agree to abide by the same.
19. I/We have studied RFP and all other documents carefully. We understand that except to the extent as expressly set forth in the Agreement, we shall have no claim, right or title arising out of any documents or information provided to us by the Authority or in respect of any matter arising out of or concerning or relating to the Selection Process including the award of Consultancy.
20. The Financial Proposal is being submitted in a separate cover. This Technical Proposal read with the Financial Proposal shall constitute the Application which shall be binding on us.
21. I/We agree and undertake to abide by all the terms and conditions of the RFP Document. In witness thereof, I/we submit this Proposal under and in accordance with the terms of the RFP Document.

Yours faithfully,

(Signature, name and designation of the authorised signatory)  
(Name and seal of the Applicant / Lead Member)

APPENDIX-I

Form-2:

**Particulars of the Applicant**

1.1	Title of Consultancy: OOMF Institutionalization Consultancy Services
1.2	Title of Project: Establishment of a Program Management Unit (PMU) to support DMEO in the Institutionalization of the Output-Outcome Monitoring Framework (OOMF) of Govt. of India
1.3	State whether applying as Sole Firm or Lead Member of a consortium: Sole Firm or Lead Member of a consortium
1.4	<p>State the following:</p> <p>Name of Company or Firm: Legal status (e.g. incorporated private company, unincorporated business, partnership etc.): Country of incorporation: Registered address:</p> <p>Year of Incorporation: Year of commencement of business: Principal place of business: Brief description of the Company including details of its main lines of business Name, designation, address and phone numbers of authorised signatory of the Applicant: Name: Designation: Company: Address: Phone No.: E-mail address:</p>
1.5	<p>If the Applicant is Lead Member of a consortium, state the following for each of the other Member Firms:</p> <p>(i) Name of Firm: (ii) Legal Status and country of incorporation (iii) Registered address and principal place of business.</p>

<p>1.6</p>	<p>For the Applicant, (in case of a consortium, for each Member), state the following information:</p> <p>(i) In case of non-Indian Firm, does the Firm have business presence in India? Yes/No</p> <p>If so, provide the office address(es) in India.</p> <p>(ii) Has the Applicant or any of the Members in case of a consortium been penalized by any organization for poor quality of work or breach of contract in the last five years? Yes/No</p> <p>(iii) Has the Applicant/ Member ever failed to complete any work awarded to it by any public authority/ entity in last five years? Yes/No</p> <p>(iv) Has the Applicant or any member of the consortium been blacklisted by any Government department/Public Sector Undertaking in the last five years? Yes/No</p> <p>(v) Has the Applicant or any of the Members, in case of a consortium, suffered bankruptcy/insolvency in the last five years? Yes/No</p> <p><b>Note: If answer to any of the questions at (ii) to (v) is yes, the Applicant is not eligible for this consultancy assignment.</b></p>
<p>1.7</p>	<p>Does the Applicant's firm/company (or any member of the consortium) combine functions as a consultant or adviser along with the functions as a contractor and/or a manufacturer? Yes/No</p> <p>If yes, does the Applicant (and other Member of the Applicant's consortium) agree to limit the Applicant's role only to that of a consultant/ adviser to the Authority and to disqualify themselves, their Associates/ affiliates, subsidiaries and/or parent organization subsequently from work on this Project in any other capacity? Yes/No</p>
	<p>Does the Applicant intend to borrow or hire temporarily, personnel from contractors, manufacturers or suppliers for performance of the Consulting Services?</p>

	Yes/No
	If yes, does the Applicant agree that it will only be acceptable as Consultant, if those contractors, manufacturers and suppliers disqualify themselves from subsequent execution of work on this Project (including tendering relating to any goods or services for any other part of the Project) other than that of the Consultant?
	Yes/No
	If yes, have any undertakings been obtained (and annexed) from such contractors, manufacturers, etc. that they agree to disqualify themselves from subsequent execution of work on this Project and they agree to limit their role to that of consultant/ adviser for the Authority only?
	Yes/No
	(Signature, name and designation of the authorised signatory) For and on behalf of .....

APPENDIX-I

Form-3:  
**Statement of Legal Capacity**

*(To be forwarded on the letter head of the Applicant)*

Ref. Date:

To,

.....

.....

.....

Dear Sir,

**Sub: RFP for Selection of Technical Consultant for Establishment of a Program Management Unit (PMU) to support DMEO in the Institutionalization of the Output-Outcome Monitoring Framework (OOMF) of Govt. of India**

I/We hereby confirm that we, the Applicant (along with other members in case of consortium, the constitution of which has been described in the Proposal<sup>10</sup>), satisfy the terms and conditions laid down in the RFP document.

I/We have agreed that ..... (insert Applicant's name) will act as the Lead Member of our consortium.

I/We have agreed that ..... (insert individual's name) will act as our Authorised

Representative/ will act as the Authorised Representative of the consortium on our behalf and has been duly authorized to submit our Proposal. Further, the authorised signatory is vested with requisite powers to furnish such proposal and all other documents, information or communication and authenticate the same.

Yours faithfully,

(Signature, name and designation of the authorised signatory) For and on behalf of

.....

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<sup>10</sup>\$ Please strike out whichever is not applicable

APPENDIX-I

Form-4:  
**Power of Attorney**

Know all men by these presents, we, ..... (name of Firm and address of the registered office) do hereby constitute, nominate, appoint and authorise Mr / Ms..... son/daughter/wife and presently residing at ....., who is presently employed with us and holding the position of ..... as our true and lawful attorney (hereinafter referred to as the “**Authorised Representative**”) to do in our name and on our behalf, all such acts, deeds and things as are necessary or required in connection with or incidental to submission of our Proposal for and selection as the Consultant for Establishment of a Program Management Unit (PMU) to support DMEO in the Institutionalization of the Output-Outcome Monitoring Framework (OOMF) of Govt. of India proposed to be developed by the ..... (the “**Authority**”) including but not limited to signing and submission of all applications, proposals and other documents and writings, participating in pre-bid and other conferences and providing information/ responses to the Authority, representing us in all matters before the Authority, signing and execution of all contracts and undertakings consequent to acceptance of our proposal and generally dealing with the Authority in all matters in connection with or relating to or arising out of our Proposal for the said Project and/or upon award thereof to us till the entering into of the Agreement with the Authority.

AND, we do hereby agree to ratify and confirm all acts, deeds and things lawfully done or caused to be done by our said Authorised Representative pursuant to and in exercise of the powers conferred by this Power of Attorney and that all acts, deeds and things done by our said Authorised Representative in exercise of the powers hereby conferred shall and shall always be deemed to have been done by us.

IN WITNESS WHEREOF WE, ..... THE ABOVE-NAMED PRINCIPAL HAVE EXECUTED THIS POWER OF ATTORNEY ON THIS ..... DAY OF ....., 20.....

For .....  
(Signature, name, designation and address)

Witnesses:

- 1.
- 2.

Notarised

Accepted  
.....  
(Signature, name, designation and address of the Attorney)

*Notes:*

- *The mode of execution of the Power of Attorney should be in accordance with the procedure, if any, laid down by the applicable law and the charter documents of the executant(s) and when it is so required the same should be under common seal affixed in accordance with the required procedure. The Power of Attorney should be executed on a non-judicial stamp paper of Rs. 100 (hundred) and duly notarised by a notary public.*
- *Wherever required, the Applicant should submit for verification the extract of the charter documents and other documents such as a resolution/power of attorney in favour of the person executing this Power of Attorney for the delegation of power hereunder on behalf of the Applicant.*
- *For a Power of Attorney executed and issued overseas, the document will also have to be legalised by the Indian Embassy and notarised in the jurisdiction where the Power of Attorney is being issued. However, Applicants from countries that have signed the Hague Legislation Convention 1961 need not get their Power of Attorney legalised by the Indian Embassy if it carries a conforming Apostille certificate.*

APPENDIX-I

Form-5:

**Financial Capacity of the Applicant**

(Refer Clause 2.2.2 (B))

S. No.	Financial Year	Annual Revenue (Rs. /US\$ in million)
1.		
2.		
3.		

**Certificate from the Statutory Auditor<sup>\$</sup>**

This is to certify that ..... (name of the Applicant) has received the payments shown above against the respective years on account of professional fees.

Name of the audit firm:

Seal of the audit firm Date:

(Signature, name and designation of the authorised signatory)

<sup>\$</sup> In case the Applicant does not have a statutory auditor, it shall provide the certificate from its chartered accountant that ordinarily audits the annual accounts of the Applicant.

Note: Please do not attach any printed Annual Financial Statement. In case relevant extracts of duly audited Annual Financial Statements containing the requisite details are provided, duly countersigned by the authorised signatory, a separate certification by statutory auditors would not be necessary in respect of clause 2.2.3.

APPENDIX-I

Form-6:

**Particulars of Key Personnel**

S. No.	Designation of Key Personnel	Name	Educational Qualification <sup>11</sup>	Length of Professional Experience	Present Employment		No. of Eligible General Assignments <sup>\$</sup>	No. of Eligible Specific Assignments <sup>\$</sup>
					Name of Firm	Employed Since		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
1.	Lead Capacity Building Expert (Team Leader)							
2	International Development Expert							
3	Monitoring & Evaluation Expert							
4	Technology and Digital Enablement Expert (e-Governance Solution Architect)							

<sup>11</sup> For degrees obtained from the accredited foreign Boards/universities, the applicant shall furnish a self-declaration on the academic equivalence to the 'Minimum Educational Qualifications' as defined in Clause 2.2.2 (D).

S. No.	Designation of Key Personnel	Name	Educational Qualification <sup>11</sup>	Length of Professional Experience	Present Employment		No. of Eligible General Assignments <sup>\$</sup>	No. of Eligible Specific Assignments <sup>\$</sup>
					Name of Firm	Employed Since		
5	Public Sector Expert							
6	Development Facilitation Expert							
7	Evidence-based Policy Making - Capacity Building Expert							
8	Communications Expert							
9	Implementation Support Team (Project Management, Trainers etc.)							

<sup>\$</sup>Refer Form 9 of Appendix I Experience of Key Personnel

## APPENDIX-I

### Form-7:

### **Proposed Methodology and Work Plan**

The proposed methodology and work plan shall be described as follows:

1. Understanding of TOR (not more than two pages)

The Applicant shall clearly state its understanding of the TOR and also highlight its important aspects. The Applicant may supplement various requirements of the TOR and also make precise suggestions if it considers this would bring more clarity and assist in achieving the Objectives laid down in the TOR.

2. Methodology and Work Plan (not more than ten pages)

The Applicant shall submit its methodology for carrying out this assignment, outlining its approach toward achieving the Objectives laid down in the TOR, including approach, methodology etc. The Applicant will submit a brief write up on its proposed team and organization of personnel explaining how different areas of expertise needed for this assignment have been fully covered by its proposal. The Applicant will also explain the proposed organization chart of the team to be deployed along with reporting procedures and role clarity. In case the Applicant is a consortium, it should specify how the expertise of each firm is proposed to be utilised for this assignment. The Applicant should specify the sequence and timelines of important activities in the form of a Gantt chart, and provide a quality assurance plan for carrying out the Consultancy Services.

3. Transfer of Knowledge / Sustainability measures (not more than four pages)

The Applicant shall submit a detailed transition plan that outlines systems and mechanisms to be put in place to drive Sustainability of the interventions as and when they are executed/deployed. It should ensure transfer of knowledge post capacity building measures and toolkits/methods that are institutionalized to facilitate continuity post exit and prevents relapse.

**Note:** Marks will be deducted for writing lengthy and out of context responses.

APPENDIX-I

Form-8:

**Abstract of Eligible Assignments of the Applicant<sup>§</sup>**

(Refer Clause 3.1.4)

S. No	Name of Project	Name of Client	Estimated cost of Project/ Assignment (in Rs. crore/ US\$ million)	Payment <sup>§§</sup> of professional fees received by the Applicant (in Rs. crore)	Type of Assignment (General / Specific) As per Clause 3.1.3
(1) <sup>£</sup>	(2)	(3)	(4)	(5)	(6)
1					
2					
3					
4					

<sup>§</sup> The Applicant should provide details of only those projects that have been undertaken by it under its own name.

<sup>§§</sup> Exchange rate for conversion of US \$ shall be as per Clause 1.7.1.

<sup>£</sup> The names and chronology of Eligible Projects included here should conform to the project-wise details submitted in Form-10 of Appendix-I.

**Certificate from the Statutory Auditor<sup>§</sup>**

This is to certify that the information contained in Column 5 above is correct as per the accounts of the Applicant and/ or the clients.

Name of the audit firm:

Seal of the audit firm:

Date:

(Signature, name and designation of the authorised signatory)

<sup>§</sup> The Applicant can also provide the certificate from its chartered accountant that ordinarily audits the annual accounts of the Applicant.

**Note:** The Applicant may attach separate sheets to provide brief particulars of other relevant experience of the Applicant.

APPENDIX-I

Form-9:

**Abstract of Eligible Assignments of Key Personnel<sup>\$</sup>**

(Refer Clause 3.1.4)

S. No	Name of Project <sup>\$</sup>	Name of Client	Estimated cost of project (in Rs. cr./ US\$ million)	Name of firm for which the Key Personnel worked	Designation of the Key Personnel on the assignment	Date of completion of the assignment	Person days spent	Type of Assignment (General/Specific) As per Clause 3.1.4
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

Name of Key Personnel:

Designation:

<sup>\$</sup> Use separate Form for each Key Personnel.

<sup>\$\$</sup> The names and chronology of projects included here should conform to the project-wise details submitted in Form-11 of Appendix-I.

**Note:** The Applicant may attach separate sheets to provide brief particulars of other relevant experience of the Key Personnel.

APPENDIX-I

Form-10:

**Eligible Assignments of Applicant**

(Refer Clause 3.1.3)

1.	Name of Applicant:	
2.	Name of the Project:	
3.	Type of Assignment (General/Specific) as per Clause 3.1.3	
4.	Description of services performed by the Applicant Firm:	
5.	Name of client and Address: (indicate whether public or private)	
6.	Name and telephone no. of client's representative:	
7.	Estimated cost of the Project (in Rs crore or US\$ million):	
8.	Payment received by the Applicant (in Rs. crore):	
9.	Start date of the services (month/year):	
10.	Finish date of the services (month/year):	
11.	Brief description of the Project:	
<p>It is certified that the aforesaid information is true and correct to the best of my knowledge and belief. (Signature and name of Authorized Signatory)</p>		

**Notes:**

1. Use separate sheet for each Eligible Project.
2. The Applicant may attach separate sheets to provide brief particulars of other relevant experience of the Applicant.
3. Exchange rate for conversion of US \$ shall be as per Clause 1.7.1.

APPENDIX-I

Form-11:

**Eligible Assignments of Key Personnel**

(Refer Clause 3.1.4)

1	Name of Key Personnel:	
2	Designation of Key Personnel:	
3	Name of the Project:	
4	Type of Assignment (General/Specific) as per Clause 3.1.4	
5	Name of Consulting Firm where employed:	
6	Description of services performed by the Key Personnel (including designation):	
7	Name of client and Address: (indicate whether public or private)	
8	Name and telephone no. of client's representative:	
9	Estimated cost of the Project (in Rs crore or US\$ million):	
10	Start date of the services (month/ year):	
11.	Finish date of the services (month/ year):	
12.	Brief description of the Project:	
<p>It is certified that the aforesaid information is true and correct to the best of my knowledge and belief.</p> <p style="text-align: center;">(Signature and name of Key Personnel)</p>		

**Notes:**

1. Use separate sheet for each Eligible Project.
2. The Applicant may attach separate sheets to provide brief particulars of other relevant experience of the Key Personnel.
3. Exchange rate for conversion of US \$ shall be as per Clause 1.7.1.

APPENDIX-I

Form-12:

**Curriculum Vitae (CV) of Key Personnel**

1. Proposed Position:

2. Name of Personnel:

3. Date of Birth:

4. Nationality:

5. Educational Qualifications:

6. Employment Record:

(Starting with present position, list in reverse order every employment held.)

7. List of all projects on which the Personnel has worked

Name of project	Duration (time period in DD/MM/YY on the project)	Description of responsibilities

8. Details of the current assignment and the time duration for which services are required for the current assignment.

Certification:

- a. I am willing to work on the Project and I will be available for entire duration of the Project assignment as required.
- b. I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes me, my qualifications and my experience.

(Signature and name of the Key Personnel)

Place.....

(Signature and name of the authorised signatory of the Applicant)

**Notes:**

1. Use separate form for each Key Personnel
2. The names and chronology of assignments included here should conform to the project-wise details submitted in Form-8 of Appendix-I.
3. Each page of the CV shall be signed in ink and dated by both the Personnel concerned and by the Authorised Representative of the Applicant firm along with the seal of the firm. A copy of the CV signed by Key Personnel, duly countersigned by the authorised signatory, shall be accepted. Unsigned CVs shall be rejected.

APPENDIX-I

Form-13:  
**Deployment of Personnel**

Pillars	Resource Type	Person Days of Deployment for each of the months for next two years																							
		M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	M13	M14	M15	M16	M17	M18	M19	M20	M21	M22	M23	M24
<b>Review Output-Outcome Monitoring Framework (OOMF)</b>  <b>Deliverables - OOMF</b> Documentation, Draft of OOMF v2.0 toolkit, Draft OOMF v2 improvement test report, Final OOMF v2.0 toolkit, Final OOMF v2 improvement test report, Submission of 2 training workshop reports	Lead Capacity Building Expert (Team Leader)																								
	International Development Expert																								
	Monitoring & Evaluation (M&E) expert																								
	Technology and Digital Enablement Expert (e-Governance Solution Architect)																								

Pillars	Resource Type	Person Days of Deployment for each of the months for next two years																							
		M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	M13	M14	M15	M16	M17	M18	M19	M20	M21	M22	M23	M24
	Public Sector Expert																								
	Development Facilitation experts																								
	Evidence-based Policy Making - Capacity Building Expert																								
	Communications Expert																								
	Implementation Support Team (Project Management, Trainers etc.)																								
<b>Conceptualize and develop OOMF dashboard 2.0,</b>	Lead Capacity Building Expert (Team Leader)																								

Pillars	Resource Type	Person Days of Deployment for each of the months for next two years																							
		M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	M13	M14	M15	M16	M17	M18	M19	M20	M21	M22	M23	M24
<b>stakeholder communications and online services</b>  <b>Deliverables -</b> Compilation of stakeholder-wise requirement documentation & Software Requirements Business Requirements Document (BRD), Functional Design Document (FDD) and Technical Design Document (TDD), Terms of Reference, RFP, Bid evaluation and Vendor selection, Dashboard 2.0 development monitoring reports, Training workshops	International Development Expert																								
	Monitoring & Evaluation (M&E) expert																								
	Technology and Digital Enablement Expert (e-Governance Solution Architect)																								
	Public Sector Expert																								
	Development Facilitation experts																								
	Evidence-based Policy Making -																								

Pillars	Resource Type	Person Days of Deployment for each of the months for next two years																							
		M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	M13	M14	M15	M16	M17	M18	M19	M20	M21	M22	M23	M24
	Capacity Building Expert																								
	Communications Expert																								
	Implementation Support Team (Project Management, Trainers etc.)																								
<b>Advocacy of Outcomes to transform M&amp;E ecosystem</b>  <b>Deliverables - Integrated communications plan, National Outcomes-based monitoring / budgeting workshop, Advocacy content and promotional material support</b>	Lead Capacity Building Expert (Team Leader)																								
	International Development Expert																								
	Monitoring & Evaluation (M&E) expert																								

Pillars	Resource Type	Person Days of Deployment for each of the months for next two years																							
		M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	M13	M14	M15	M16	M17	M18	M19	M20	M21	M22	M23	M24
	Technology and Digital Enablement Expert (e-Governance Solution Architect)																								
	Public Sector Expert																								
	Development Facilitation experts																								
	Evidence-based Policy Making - Capacity Building Expert																								
	Communications Expert																								
	Implementation Support Team (Project)																								

Pillars	Resource Type	Person Days of Deployment for each of the months for next two years																							
		M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	M13	M14	M15	M16	M17	M18	M19	M20	M21	M22	M23	M24
	Management, Trainers etc.)																								
<b>Expand OOMF to Departments/Ministries</b>  <b>Deliverables - 66</b> Ministries/Departments x 5 one-to-one meetings, 66 x2 - Capacity development & Awareness workshops, 2 week long centralized training session, 66 x Monitoring mechanisms: Findings and recommendations report, Workshop design and training material, Guidelines and checklists for cutting edge dashboards, 13 workshops for 5 Depts.	Lead Capacity Building Expert (Team Leader)																								
	International Development Expert																								
	Monitoring & Evaluation (M&E) expert																								
	Technology and Digital Enablement Expert (e-Governance Solution Architect)																								

Pillars	Resource Type	Person Days of Deployment for each of the months for next two years																							
		M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	M13	M14	M15	M16	M17	M18	M19	M20	M21	M22	M23	M24
at a time for building world class dashboards	Public Sector Expert																								
	Development Facilitation experts																								
	Evidence-based Policy Making - Capacity Building Expert																								
	Communications Expert																								
	Implementation Support Team (Project Management, Trainers etc.)																								
<b>Expand OOMF to States</b>	Lead Capacity Building Expert (Team Leader)																								

Pillars	Resource Type	Person Days of Deployment for each of the months for next two years																							
		M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	M13	M14	M15	M16	M17	M18	M19	M20	M21	M22	M23	M24
<b>Deliverables-</b> OOMF awareness workshop (One) , 29+7 x Outreach meetings, 29+7 x MoUs, 29+7 x one-day M&E leadership sensitization workshop, 29+7 x one Roadmaps exercise workshop, 29+7 x trainings of OOMF - Implementation and monitoring workshop, 29+7 trainings of OOMF - Use of outputs and outcomes in internal programme reviews, 29+7 x 4 workshops (for any 2 selected departments) in each state for institutionalization of OOMF - 2 for Planning and 2 for Implementation support,	International Development Expert																								
	Monitoring & Evaluation (M&E) expert																								
	Technology and Digital Enablement Expert (e-Governance Solution Architect)																								
	Public Sector Expert																								
	Development Facilitation experts																								

Pillars	Resource Type	Person Days of Deployment for each of the months for next two years																							
		M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	M13	M14	M15	M16	M17	M18	M19	M20	M21	M22	M23	M24
Course curriculum, 3 x Progress report on refresher trainings/ Workshops, 5 x 1 regional workshops and dissemination reports with all States for demonstrating the success stories of 5 shortlisted	Evidence-based Policy Making - Capacity Building Expert																								
	Communications Expert																								
	Implementation Support Team (Project Management, Trainers etc.)																								

APPENDIX-I

Form-14:

**Other Implementation Support Team Members**

Item of Work/ Activity	To be carried out/ prepared by		Months																								
	Name	Designation	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	

## **Appendix-II: Financial Proposal**

### Form 1: **Covering Letter**

(On Applicant's letter head)

(Date and Reference)

To,

.....

.....

.....

Dear Sir,

**Subject: Consultancy Services to establish a Program Management Unit (PMU) to support DMEO in the Institutionalization of the Output-Outcome Monitoring Framework (OOMF) of Govt. of India**

I/We, ..... (Applicant's name) herewith enclose the Financial Proposal for selection of my/our firm as Consultant for above.

I/We agree that this offer shall remain valid for a period of 90 (ninety) days from the Proposal Due Date or such further period as may be mutually agreed upon.

Yours faithfully,

(Signature, name and designation of the authorised signatory)

Note: The Financial Proposal is to be submitted strictly as per forms given in the RFP.

## APPENDIX-II

(See Clause 2.1.3)

### Form-2: Financial Proposal

*In addition to the format provided below, the financial proposal shall also need to be submitted in the Bill-of-Quantity excel format as provided separately in the tender documents.*

Item No.	Description	Amount (Rs.)
<b>A.</b>	<b>RESIDENT PERSONNEL</b>	
I.	Remuneration for Resident Professional Personnel (inclusive of all personal allowances)	
II.	Remuneration for Resident Support Personnel (inclusive of all personal allowances)	
	<b>Sub-total Resident Personnel (A1):</b>	
<b>B.</b>	<b>LOCAL COSTS</b>	
I.	Office Rent	
II.	Office Consumables like stationery, communication etc.	
III.	Office Furniture and Equipment (Rental)	
IV.	Reports and Document Printing	
V.	Surveys & Investigations	
VI.	Miscellaneous Expenses	
	<b>Subtotal Local Costs (B):</b>	
<b>C.</b>	<b>POST SERVICES CONSULTATIONS</b>	
	7 person days each of	
I.	Lead Capacity Building Expert (Team Leader)	
II.	International Development Expert	
III.	Monitoring & Evaluation (M&E) Expert	
IV.	Technology and Digital Enablement Expert (e-Governance Solution Architect)	
V.	Public Sector Expert	
	<b>Subtotal Post Report Consultations (C):</b>	

<b>D.</b>	<b>SUBTOTAL OF A+B+C</b>	
<b>E.</b>	<b>OVERHEAD EXPENSES @. % of (D)</b>	
<b>F.</b>	<b>GOODS AND SERVICES TAX (F)</b>	
<b>G.</b>	<b>TOTAL (including taxes) (D+E+F) (in Rs.)</b> In Indian Rupees .....(in figures) .....(in words)	
<b>H.</b>	<b>ADDITIONAL COSTS (not included in consultancy assignment)<sup>12</sup></b>	
I.	Domestic travel from firm's office to the Project Office (restricted to five return economy class air fares for each Key Personnel)	
II.	Return journeys from Project Office to Authority's office to attend meetings held by the Authority (provide indicative amount for five return fares)	
	<b>Total of Additional Costs (H)</b>	
<b>I.</b>	<b>TOTAL COST OF THE CONSULTANCY (G+H)</b> <b>In Indian Rupees ..... (in figures)</b> <b>..... (in words)</b>	

**Note:**

1. The financial evaluation shall be based on the above Financial Proposal, excluding Additional Costs. The total in Item G shall, therefore, be the amount for purposes of evaluation. Additional Costs in Item H shall not be reckoned for purposes of financial evaluation.
2. Estimate of Costs for Item A-I and A-II shall be as per Form-3.
3. Miscellaneous Expenses in Item B(VI) shall not exceed 15% (fifteen per cent) of the total amount in Item D.
4. Domestic Air Fare in Item H I shall not be payable to the Consultant's Personnel who are normally stationed in Delhi NCR.
5. All costs shall be reimbursed on production of a Statement of Expenses, duly certified by the Authorised Representative. However, no details of expenditures would be sought for overhead expenses, which will be reimbursed in proportion to the total expenses under Item D.

<sup>12</sup> Not included in the Excel Template considering the Additional Costs in Item H shall not be reckoned for purposes of financial evaluation

6. The reimbursement of expenses shall be limited to the amounts indicated above.
7. Savings of upto 20% (twenty per cent) under any head of expenditure specified in the summary of Financial Proposal may be reappropriated by the Consultant and added to any other head of expenditure, subject to a ceiling of 10% (ten per cent) in respect of the recipient head of expenditure. Upon Notification of such reappropriation to the Authority, the Financial Proposal shall be deemed to be amended, and payment shall be made accordingly.
8. No escalation on any account will be payable on the above amounts.
9. All other charges not shown here and all insurance premia are considered included in the person day rate/ overhead/ miscellaneous expenses.
10. The Authority may require the core Key Personnel to visit the Project/ the Authority's offices for further consultations after the completion of the designated 24 months of consultancy period. The cost (remuneration including personal allowances) of 7 (seven) person days of each core Key Personnel is included in the Financial Proposal. The Authority may require upto 15 (fifteen) extra days of consultation with any or all core Key Personnel on payment of additional charges. For any increase as compared to the aforesaid 7 (seven) days, payment shall be computed solely on the basis of relevant person day rates specified in the Financial Proposal. In all cases, return full fare economy class airfare shall be reimbursed in addition, as per actuals.
11. The Authority may require Professional Personnel to visit the Project/the Authority's offices for further consultations or undertake desk work after the report has been accepted. The Additional Costs on this account shall be paid to the Consultant as per agreed person day rates and economy return airfare as per actuals shall also be reimbursed. However, the total number of additional person days requisitioned hereunder shall not exceed 120 (one hundred and twenty)
12. All payments shall be made in Indian Rupees and shall be subject to applicable Indian laws withholding taxes if any.
13. For the purposes hereof **Statement of Expenses** means a statement of the expenses incurred on each of the heads indicated in the Financial Proposal; provided that in relation to expenses on Personnel, the Statement of Expenses shall be accompanied by the particulars of Personnel and the person days spent on the Consultancy.

APPENDIX-II

Form-3:

**Estimate of Personnel Costs**

<b>ID No.</b>	<b>Position</b>	<b>Name</b>	<b>Person-Month (Rs.)</b>	<b>Total Person-Month</b>	<b>Amount (Rs.)</b>
<b>A1 (I). Remuneration for Resident Professional Personnel (including all personal allowances)</b>					
Total					
<b>A2 (II). Remuneration for Resident Support Personnel (including all personal allowances)</b>					
Total					
<b>Total:</b>					

APPENDIX-II

Form-4:

**Estimates by Pillars for Resident Personnel Costs + Local Costs + Overhead Expenses**

Pillars <i>(as defined under Schedule 2, Clause 4)</i>	Estimate of Resident Personnel Costs (A) + Local Costs (B) + Overhead Expenses (E) <sup>13</sup>		
	Split % Range <sup>14</sup> as suggested in RFP	Split % as proposed by Consultant	Amount (Rs.) <sup>15</sup> (as quoted in Bid)
vi) Review Output-Outcome Monitoring Framework (OOMF)	1-5%		
vii) Conceptualize and develop OOMF dashboard 2.0, stakeholder communications and online service	5-10%		
viii) Advocacy of Outcomes to transform M&E ecosystem	5-10%		
ix) Expand OOMF to Departments/Ministries	25-30%		
x) Expand OOMF to States	50-55%		
<b>TOTAL</b>	<b>100%</b>	<b>100%</b>	

<sup>13</sup> The payments under Resident Personnel (A) + Local Costs (B) + Overhead Expenses (E), as provided in Financial Proposal (Form-2) will be completely linked to the achievement of the deliverables.

<sup>14</sup> Based on internal analysis, a suggested range of the split of the costs under Personnel Costs (A) + Local Costs (B) + Overhead Expenses (E) by pillars is provided above. The Consultants shall bid in such a way that the pillar-wise breakup of these costs fall in the suggested range.

<sup>15</sup> The Total in Amount (Rs) column above should match with the sum of Resident Personnel Costs (A) + Local Costs (B) + Overhead Expenses (E) as provided in Financial Proposal (Form-2)

## **Appendix-III: List of Bid-Specific Provisions<sup>16§</sup>**

### **A. Clauses with currency-based footnotes**

1. Introduction.
2. Clause 2.2.3: Conditions of Eligibility of Applicants.
3. Clause 2.11.3: Amendment of RFP.

**Note:** The above footnotes marked –“\$” shall be retained in the RFP for guidance of the Applicants while submitting their respective Proposals.

### **B. Schedules with non-numeric footnotes**

All non-numeric footnotes marked –“\$” in the Schedules shall be retained in the respective Schedules for guidance of the Applicants while submitting their respective Proposals.

### **C. Appendices with non-numeric footnotes**

All non-numeric footnotes in the Appendices shall be retained in the respective Appendices for guidance of the Applicants. These shall be omitted by the Applicants while submitting their respective Proposals.

### **D. Schedules and Appendices with blank spaces**

All blank spaces in the Schedules and Appendices shall be retained in the RFP. These shall be filled up when the format of the respective Schedule or Appendix is used.

---

<sup>16§</sup> This Appendix-III contains a list of Clauses, Schedules and Appendices that would need to be suitably modified for reflecting bid-specific provisions. This Appendix-III may, therefore, be included in the RFP document to be issued to prospective Applicants

## Appendix-IV: Instructions for Online Bid Submission

The Applicants are required to submit soft copies of their bids electronically on the CPP Portal, using valid Digital Signature Certificates. The instructions given below are meant to assist the Applicants in registering on the CPP Portal, prepare their bids in accordance with the requirements and submitting their bids online on the CPP Portal: <https://eprocure.gov.in/eprocure/app>

### REGISTRATION:

- 1) Applicants are required to enrol on the e-Procurement module of the Central Public Procurement Portal (URL: <https://eprocure.gov.in/eprocure/app>) by clicking on the link "Online bidder Enrolment" on the CPP Portal which is free of charge.
- 2) As part of the enrolment process, the Applicants will be required to choose a unique username and assign a password for their accounts.
- 3) Applicants are advised to register their valid email address and mobile numbers as part of the registration process. These would be used for any further communication from the CPP Portal.
- 4) Upon enrolment, the Applicants will be required to register their valid Digital Signature Certificate (Class II or Class III Certificates with signing key usage) issued by any Certifying Authority recognized by CCA India (e.g. Sify / TCS / nCode / eMudra etc.), with their profile
- 5) Only one valid DSC should be registered by an Applicant. Please note that the Applicants are responsible to ensure that they do not lend their DSCs to others which may lead to misuse.
- 6) Applicant can then log in to the site through the secured log-in by entering their user ID / password and the password of the DSC / e-Token.

### LANGUAGE:

The bids are to be submitted with all accompanying documents (the “**Documents**”) and all communications in relation to or concerning the Selection Process shall be in English language and strictly on the forms provided in this RFP. in English only.

### SEARCHING FOR TENDER DOCUMENTS:

- 1) There are various search options built in the CPP Portal, to facilitate Applicants to search active tenders by several parameters. These parameters could include Tender ID, organization name, location, date, value, etc. There is also an option of advanced search for tenders, wherein the Applicants may combine a number of search parameters such as organization name, form of contract, location, date, other keywords etc. to search for a tender published on the CPP Portal.

- 2) Once the Applicants have selected the tenders they are interested in, they may download the required documents / tender schedules. These tenders can be moved to the respective 'My Tenders' folder. This would enable the CPP Portal to intimate the Applicants through SMS / e-mail in case there is any corrigendum issued to the tender document.
- 3) The Applicant should make a note of the unique Tender ID assigned to each tender in case they want to obtain any clarification / help from the Helpdesk.

#### **PREPARATION OF BIDS:**

- 1) Applicant should take into account any corrigendum published on the tender document before submitting their bids.
- 2) Please go through the tender advertisement and the tender document carefully to understand the documents required to be submitted as part of the bid. Any deviations lead to rejection of the bid.
- 3) Applicant, in advance, should get ready the bid documents to be submitted as indicated in the tender document / schedule and generally, they can be in PDF / XLS / RAR / DWF formats. Bid documents may be scanned with 100 dpi with black and white option.
- 4) To avoid the time and effort required in uploading the same set of standard documents which are required to be submitted as a part of every bid, a provision of uploading such standard documents (e.g. PAN card copy, annual reports, auditor certificates etc.) has been provided to the Applicants. Applicants can use "My Space" area available to them to upload such documents. These documents may be directly submitted from the "My Space" area while submitting a bid, and need not be uploaded again and again. This will lead to a reduction in the time required for bid submission process.

#### **SUBMISSION OF BIDS:**

- 1) Applicant should log-in the site well in advance for bid submission so that Applicant upload the bid in time i.e. on or before the bid submission time. Applicant will be responsible for any delay due to other issues.
- 2) The Applicant has to digitally sign and upload the required bid documents one by one as indicated in the tender document.
- 3) Applicant has to select the payment option as "offline" to pay the bid security as applicable and enter details of the instrument.
- 4) Applicant should prepare the bid security as per the instructions specified in the tender document. The original should be posted/given in person to the Tender Processing Section, latest by the last date of bid submission or as specified in the

tender document. The details of the DD/any other accepted instrument, physically sent, should tally with the details available in the scanned copy and the data entered during bid submission time. Otherwise the uploaded bid will be rejected.

- 5) Applicants are requested to note that they should necessarily submit their financial bids in the format provided and no other format is acceptable.
- 6) The serve time (which is displayed on the Applicants' dashboard) will be considered as the standard time for referencing the deadlines for submission of the bids by the Applicants, opening of bids etc. The Applicants should follow this time during bid submission.
- 7) All the documents being submitted by the Applicants would be encrypted using PKI encryption techniques to ensure the secrecy of the data. The data entered cannot be viewed by unauthorized persons until the time of bid opening. The confidentiality of the bids is maintained using the secured Socket Layer 128-bit encryption technology. Data storage encryption of sensitive fields is done. Any bid document that is uploaded to the server is subjected to symmetric encryption using a system generated symmetric key. Further this key is subjected to asymmetric encryption using buyers/bid openers public keys. Overall, the uploaded tender documents become readable only after the tender opening by the authorized bid openers.
- 8) The uploaded tender documents become readable only after the tender opening by the authorized bid openers.
- 9) Upon the successful and timely submission of bids, the portal will give a successful bid submission message & a bid summary will be displayed with the bid no. and the date & time of submission of the bid with all other relevant details.
- 10) The bid summary has to be printed and kept as an acknowledgement of the submission of the bid. This acknowledgement may be used as an entry pass for any bid opening meetings.

#### **SYSTEM REQUIREMENTS:**

1. Windows XP with latest service pack
2. Loaded IE 7.0 or above
3. Loaded JRE 1.6 or above
4. Antivirus Software with latest definition.
5. Internet connectivity
6. Scanner to scan the documents if required
7. Printer and PDF Creator.

#### **ASSISTANCE TO APPLICANTS:**

1. Any queries relating to the tender document and the terms and conditions contained therein should be addressed to the Tender Inviting Authority for a tender or the relevant contact person indicated in the tender.
2. Any queries relating to the process of online bid submission or queries relating to CPP Portal in general may be directed to the 24x7 CPP Portal Helpdesk. The contact number for the helpdesk is 1800 233 7315.
3. Detailed information useful for submitting online bids on the CPP Portal may be obtained at: <https://eprocure.gov.in/eprocure/app>

## ABOUT THIS DOCUMENT

The Development Monitoring and Evaluation Office (DMEO) intends to engage a Consultancy Firm to support in the Institutionalization of the Output Outcomes Monitoring Framework (OOMF) of Govt. of India. In regards to the same, DMEO is inviting proposals from national / international firms / organisations / institutions, which have requisite experience in this field.

## ABOUT DMEO, NITI AAYOG

The Development Monitoring and Evaluation Office (DMEO), attached to NITI Aayog, is the apex monitoring & evaluation (M&E) office in the country, with a mandate to drive evidence-based policy making through M&E of government policies and programmes. Since its inception in 2015, the Office aims to shift the discourse of public policy towards rigorous, data-driven, citizen-centric, and decentralized policymaking, to improve governance and facilitate the formation of a New India. Visit us at [www.dmeo.gov.in](http://www.dmeo.gov.in)



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DEVELOPMENT MONITORING AND EVALUATION OFFICE

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