

**Development Monitoring and Evaluation Office**

**NITI Aayog**

## Selection of Technical Consultant

Request for Proposals

for

Consultancy for Evaluation of Centrally  
Sponsored Schemes in Package 9 - Water  
Resources, Environment and Forest Sector

May 2019

Government of India

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No. I-19015/01/2019-DMEO  
Government of India  
NITI Aayog  
Development Monitoring and Evaluation Office  
Sansad Marg, New Delhi -110001

**Request for Proposal (RFP)**

May 6<sup>th</sup>, 2019

**Notice: Request for Proposal (RFP) for Consultancy for Evaluation of Centrally Sponsored Schemes under Package 9 - Water Resources, Environment and Forest Sector.**

The Development Monitoring and Evaluation Office (DMEO), National Institution for Transforming India (NITI) Aayog, Government of India, intends to engage Consultants to conduct evaluation of Centrally Sponsored Schemes (CSS) under **Package 9 - Water Resources, Environment and Forest Sector**, details of which have been provided in the RFP document.

DMEO, NITI Aayog invites proposals for Package 9 - Water Resources, Environment and Forest Sector, 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 websites <http://niti.gov.in/tenders>. Important Information & tentative dates are given in section 1 of the RFP.

Interested applicants are requested to submit their response to the RFP in a sealed envelope through Speed Post/ Registered Post or deliver by hand super scribing "**RFP for Evaluation of Centrally Sponsored Schemes in Package 9 - Water Resources, Environment and Forest Sector**" on top of the envelope to the following address on or before June 4<sup>th</sup>, 2019, 1100 hrs.

The submission must 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  
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>Authorised 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>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>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 or KD</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(n) 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(o) 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(q) 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>Sub-Consultant</b>	As defined in Clause 1.1.1(r) of Schedule-2
<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 1.1.6
<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 Proposals**

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

### 1.1. Background

- 1.1.1. The Development Monitoring and Evaluation Office (DMEO) (the “Authority”) was constituted in September 2015 by merging of the erstwhile Programme Evaluation Office (PEO) and the Independent Evaluation Office (IEO). DMEO is an attached Office of NITI Aayog to fulfil the mandates of monitoring and evaluation assigned to NITI Aayog.
- 1.1.2. To ensure efficient and effective use of public resources, the Government of India has made evaluation of the Centrally Sponsored Schemes (CSS) and Central Sector schemes mandatory before the schemes come up for fresh appraisal. The Government also has adopted output-outcome monitoring framework to strengthen monitoring and evaluation of the schemes. After the Five-Year Plans were done away with at the end of 12<sup>th</sup> Five Year Plan, in order to rationalize the available resources based on the recommendations of the Finance Commission for the achievement of the National Development Agenda, the Government had made the approval of the schemes co-terminus with the Finance Commission cycle.
- 1.1.3. The 14<sup>th</sup> Finance Commission cycle will end in March 2020, and the 15<sup>th</sup> Finance Commission will begin thereafter. The Government has assigned DMEO, NITI Aayog the responsibility to conduct independent third-party evaluation of all the CSS in a time bound manner so that the findings of the evaluation are made available to appropriate authorities for determining the rationalization of the schemes.
- 1.1.4. Proliferation of the number of CSS has led to a number of concerns. Based on the recommendation of the Sub-Group of Chief Ministers on the rationalization of CSS, and consultations with various Ministries/Departments and other stakeholders, the Government of India in 2016 rationalized the CSS under the 28 umbrella CSS to achieve the overarching National Development Agenda. The National Development Agenda consists of the following: (i) poverty elimination – livelihoods, jobs and skill development; (ii) drinking water and Swachh Bharat mission; (iii) rural connectivity: electricity, access roads and communication; (iv) agriculture including animal husbandry, fisheries, integrated watershed management and irrigation; (v) education including mid-day meal; (vi) health, nutrition, women and child; (vii) housing for all: rural and urban; (viii) urban transformation; (ix) law and order, justice delivery system; and (x) others, which may include: wildlife conservation and greening.
- 1.1.5. The evaluation of the CSS under the 28 umbrella CSS will be conducted through 10 sector evaluation studies listed below. DMEO invites proposal for selection of technical consultants (the Consultants) to conduct evaluation of the following 10 sectors

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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)

<b>Name of the package</b>	<b>Ministries/Departments involved</b>	<b>Name of Umbrella Centrally Sponsored Scheme</b>
Agriculture, Animal Husbandry and Fisheries	<ul style="list-style-type: none"> <li>Ministry of Agriculture and Farmers' Welfare</li> </ul>	<ul style="list-style-type: none"> <li>Blue Revolution (fisheries)</li> <li>Green Revolution (agriculture)</li> <li>White Revolution (animal husbandry)</li> </ul>
Women and Child Development	<ul style="list-style-type: none"> <li>Ministry of Women and Child Development</li> </ul>	<ul style="list-style-type: none"> <li>Integrated Child Development Services</li> <li>Mission for Empowerment and Protection of Women</li> </ul>
Human Resource Development	<ul style="list-style-type: none"> <li>Ministry of Human Resource Development</li> </ul>	<ul style="list-style-type: none"> <li>National Education Mission</li> <li>National Programme of Mid-day Meal in Schools</li> <li>Umbrella Programme for Development of Minorities</li> </ul>
Urban Transformation	<ul style="list-style-type: none"> <li>Ministry of Housing and Urban Affairs</li> </ul>	<ul style="list-style-type: none"> <li>Pradhan Mantri Awas Yojana (Urban)*</li> <li>Deendayal Antyodaya Yojana-National Urban Livelihood Mission*</li> <li>Swachh Bharat Mission (Urban)</li> <li>Urban Rejuvenation Mission (AMRUT and Smart Cities)</li> </ul>
Rural Development	<ul style="list-style-type: none"> <li>Ministry of Rural Development</li> </ul>	<ul style="list-style-type: none"> <li>Mahatma Gandhi National Rural Employment Guarantee Program</li> <li>National Rural Livelihood Mission (Aajeevika)</li> <li>National Social Assistance Programme</li> <li>Pradhan Mantri Awas Yojana (Gramin)*</li> <li>Pradhan Mantri Gram Sadak Yojana</li> <li>Shyama Prasad Mukherjee Rurban Mission</li> </ul>
Drinking Water and Sanitation	<ul style="list-style-type: none"> <li>Ministry of Drinking Water and Sanitation</li> </ul>	<ul style="list-style-type: none"> <li>Swachh Bharat Mission (Rural)*</li> <li>National Rural Drinking Water Mission</li> </ul>
Health	<ul style="list-style-type: none"> <li>Ministry of Health and Family Welfare</li> <li>Ministry of AYUSH</li> </ul>	<ul style="list-style-type: none"> <li>National Health Mission</li> <li>National Health Protection Scheme (erstwhile RSBY)</li> </ul>
Jobs and Skills	<ul style="list-style-type: none"> <li>Ministry of Labour and Employment</li> <li>Ministry of Skill Development and Entrepreneurship</li> </ul>	<ul style="list-style-type: none"> <li>Jobs and Skills Development</li> </ul>
Water Resources, Environment and Forest**	<ul style="list-style-type: none"> <li>Ministry of Water Resource, River Development and Gange Rejuvenation</li> <li>Ministry of Environment Forest and Climate Change</li> </ul>	<ul style="list-style-type: none"> <li>Pradhan Mantri Krishi Sinchai Yojana**</li> <li>Environment, Forestry and Wildlife</li> </ul>
Social Inclusion, Law and Order & Justice Delivery	<ul style="list-style-type: none"> <li>Ministry of Home Affairs</li> <li>Ministry of Law and Justice</li> <li>Ministry of Minority Affairs</li> <li>Ministry of Social Justice and</li> </ul>	<ul style="list-style-type: none"> <li>Umbrella Programme for Development of Scheduled Castes</li> <li>Umbrella Programme for Development of backward classes, differently abled and other vulnerable groups</li> <li>Umbrella Programme for Development of scheduled tribes</li> <li>Umbrella Programme for Development of minorities</li> <li>Modernization of Police Forces</li> <li>Infrastructure Facilities for Judiciary</li> </ul>

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\*Umbrella CSS split between two ministries that are evaluated under different ministries (SBM, Awas Yojana, Livelihood)

\*\* Pradhan Mantri Krishi Sinchai Yojana umbrella CSS although under three ministries (Water Resources, Rural Development and Agriculture), all components under the umbrella CSS will be evaluated by under package 9.

1.1.6. In pursuance of the above, the Authority has decided to carry out the process for selection of a Technical Consultant for Evaluation of Centrally Sponsored Schemes in Package 9 - Water Resources, Environment and Forest Sector (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 conduct an evaluation study of the concerned sector, including an assessment of the performance of the sector, the coverage and performance of the identified Umbrella CSS in the sector, and the performance of the schemes under the Umbrella CSS, 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 ([www.niti.gov.in/tenders/](http://www.niti.gov.in/tenders/)).

## 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. 69 (Rupees sixty-nine) 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:

<b>Event Description</b>	<b>Date</b>
1. Last date for receiving queries/clarifications	[20 days prior to PDD]
2. Pre-Proposal Conference	[16 days prior to PDD]
3. Authority response to queries	[11 days prior to PDD]
4. Proposal Due Date or PDD	4 <sup>th</sup> June 2019
5. Opening of Proposals	On Proposal Due Date
6. Letter of Award (LOA)	[Within 15 days of PDD]
7. Signing of Agreement	Within 10 days of LOA
8. Validity of Applications	90 days of Proposal Due Date

#### 1.9. **Pre-Proposal Queries**

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

Shri O.P. Thakur

Senior Research Officer

Development Monitoring & Evaluation Office (DMEO)

C-022, 5th Floor, NITI Aayog, Sansad Marg

New Delhi, 110001

Email: [dmeoeval-niti@gov.in](mailto:dmeoeval-niti@gov.in)

Phone: 011 - 23045133

### 1.10. **Pre-Proposal Conference**

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

Date: 20<sup>th</sup> May 2019

Time: 10:00 hrs

Venue: To be communicated on the NITI Aayog 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 18<sup>th</sup> May 2019 by submitting the following details of the representative at the email address mentioned in clause 1.11: Name, Designation, Company, Mobile number, Email Address, Sectors/Packages of interest.

### 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  
Email: [dmeoeval-niti@gov.in](mailto:dmeoeval-niti@gov.in)  
Phone: 011 - 23045133

1.11.2. The Official Website of the Authority is:

<http://www.niti.gov.in>

Note: Please open [www.niti.gov.in/tenders/](http://www.niti.gov.in/tenders/) to access all the posted and uploaded documents related to this RFP.

1.11.3. All communications, including the envelopes, should contain the following information, to be marked at the top in bold letters:

**RFP for Consultancy for Evaluation of Centrally Sponsored Schemes in Package 9 - Water Resources, Environment and Forest Sector**

## 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 Part-2 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	Responsibilities
<b>Core Team</b> (Expected to be deployed full time over the entire duration of the assignment and to be scored as a part of the bid evaluation)	
Team Leader (the “ <b>Team Leader</b> ”)	<p>S/He will lead, co-ordinate and supervise the multidisciplinary team for preparation of the Evaluation Study, and act as a focal point to the Authority throughout the duration of the Consultancy for the specific sector.</p> <p>S/He will be responsible for:</p> <ul style="list-style-type: none"> <li>● Overall execution of the consultancy assignment.</li> <li>● Accountable leadership providing guidance, problem solving support and leading discussions with senior stakeholders</li> <li>● Ensure all deliverables and milestones are satisfactorily delivered</li> <li>● Provide insights from experience in Social sector projects, PSU/Govt. work, large scale projects.</li> </ul>

Deputy Team Leader	<p>S/He will assist the Team lead in leading, co-ordinating and supervising the multidisciplinary team for preparation of the Evaluation Study.</p> <p>S/He will be responsible for:</p> <ul style="list-style-type: none"> <li>● Leading day-to-day management of the team</li> <li>● Project management of the project as per agreed activities, timelines and deliverables</li> <li>● Communication related activities</li> <li>● Defining the detailed work plan, and managing the team of consultants against the work plan</li> <li>● Drive discussions with senior officials in the Govt at Centre and State level</li> <li>● Working with the client project team and stakeholders</li> <li>● Sending periodic updates, and highlighting challenges in project execution</li> </ul>
Monitoring and Evaluation Expert	<p>S/He will be responsible for:</p> <ul style="list-style-type: none"> <li>● Designing the overall study approach to synthesize sectoral analysis and the CSS scheme-wise analysis.</li> <li>● Organizing and overseeing the use of qualitative and quantitative evaluation techniques</li> <li>● Designing a meta-analysis plan based on the secondary data (including NITI Aayog’s Output-Outcome Monitoring data).</li> <li>● Designing primary data collection tools like discussion guides for focus group discussions, agenda for in-depth interviews and household-level survey questionnaires and prepare a data analysis plan.</li> <li>● Ensuring data quality of the primary data collected and the use of latest analytical tools for qualitative and quantitative data analysis</li> </ul>
Economist	<p>S/He will be responsible for</p> <ul style="list-style-type: none"> <li>● Providing economic perspectives on all aspects of the project, including poverty alleviation,</li> <li>● Providing analysis, insights and inputs focussing on the cross-sectional themes of direct/indirect employment generation, impact on and role of private sector, community and civil society in the scheme.</li> </ul>
Water Resources Lead	<p>S/he will be responsible for providing subject matter/sector/domain expertise of the proposed Project including:</p> <ul style="list-style-type: none"> <li>● Shaping the Water Sector sub-Project and working on the overlapping areas in Environment and Forest Sector.</li> <li>● Providing analysis plan, meta-analysis, questionnaire and discussion guide design, analysis of secondary and primary data, mid-term and final evaluation report review, sector-specific synthesis and</li> </ul>



	recommendations, etc. among others.
Environment, Forestry, Wildlife and Climate Change Lead	<p>S/he will be responsible for providing subject matter/sector/domain expertise of the proposed Project including:</p> <ul style="list-style-type: none"> <li>● Shaping the Environment and Forest Sector sub-Project and working on the overlapping areas in Water Sector.</li> </ul> <p>Providing analysis plan, meta-analysis, questionnaire and discussion guide design, analysis of secondary and primary data, mid-term and final evaluation report review, sector-specific synthesis and recommendations, etc. among others.</p>
<b>Non-core Team (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)</b>	
Finance Specialist	<p>S/He will provide:</p> <ul style="list-style-type: none"> <li>● Financial analysis and support throughout the project.</li> <li>● Analysis, insights and inputs focussing on the cross-sectional theme of Public expenditure tracking.</li> </ul> <p>S/He will spend at least 30 (thirty) days on the Project.</p>
Statistician	<p>S/He will be responsible for providing basic statistical rigour in developing methodology including sampling, questionnaires, data analysis from primary and secondary sources.</p> <p>S/He shall spend at least 30 (thirty) days on the Project.</p>
Public Institution Specialist	<p>S/He will be responsible for</p> <ul style="list-style-type: none"> <li>● Providing expertise on dealing with government stakeholders across the system, from village level upwards, institutional arrangements, fund flows etc.</li> <li>● Providing analysis, insights and inputs focussing on the cross-sectional theme of accountability and transparency, reforms and regulations, human resource, capacity building etc.</li> </ul> <p>S/He shall spend at least 40 (forty) days on the Project.</p>
Gender and Social Inclusion Specialist	<p>S/He will be responsible for:</p> <ul style="list-style-type: none"> <li>● Providing expertise on assessing the integration of gender and social inclusion concerns, i.e., gender mainstreaming, attitudes towards gender etc, in the programmes, particularly in terms of equity.</li> <li>● Providing analysis, insights and inputs focussing on the cross-sectional themes of gender mainstreaming, inclusion of SC, ST, OBC, Minorities, Person with</li> </ul>

	<p>disabilities etc.</p> <p>S/He shall spend at least 20 (twenty) days on the Project.</p>
Environment, Climate Change & Sustainability Specialist	<p>S/He will be responsible for providing:</p> <ul style="list-style-type: none"> <li>• Expertise on assessing the integration of environmental sustainability and climate change in the programmes.</li> <li>• Analysis, insights and inputs focussing on the cross-sectional themes of Climate change and sustainability</li> </ul> <p>S/He shall spend at least 20 (twenty) days on the Project.</p>
Information Technology Specialist	<p>S/He will be responsible for:</p> <ul style="list-style-type: none"> <li>• Providing database support, standardization etc.</li> <li>• Reviewing and assessing application of IT for project implementation, M&amp;E etc.</li> <li>• Ensuring IT-based primary data collection, surveys etc.</li> <li>• Providing analysis, insights and inputs focussing on the cross-sectional themes of use of IT/Technology in driving efficiency.</li> </ul> <p>S/He shall spend at least 20 (twenty) days on the Project.</p>
Safeguards Specialist	<p>S/He will be responsible for:</p> <ul style="list-style-type: none"> <li>• Assessing environmental and social risks in the schemes under the sector</li> <li>• Recommending minimization and mitigation measures to address adverse project impacts/negative externalities on people and the environment.</li> </ul> <p>S/He shall spend at least 10 (ten) days on the Project.</p>
Water Resources Management Specialist	<p>S/he will be responsible for providing subject matter/sector/domain expertise of the proposed Project from the point of view of conceptualization, design and implementation challenges from technical perspective. S/he shall spend at least [30 (ten)] days on the Project.</p>
Flood Control, Management and Drainage Specialist	<p>S/he will be responsible for providing subject matter/sector/domain expertise of the proposed Project. S/he shall spend at least [10 (ten)] days on the Project.</p>
Water Resources Infrastructure and Micro-Irrigation Specialist	<p>S/he will be responsible for providing subject matter/sector/domain expertise of the proposed Project. S/he shall spend at least [10 (ten)] days on the Project.</p>
Environment, Forestry, Wildlife and Climate Change	<p>S/He will be responsible for providing expertise on assessing the integration of environmental sustainability and climate</p>

Specialist	change in the programmes. S/he shall spend at least 30 (twenty) days on the Project.
Aquatic Habitats Sector Specialist	S/he will be responsible for providing subject matter/sector/domain expertise of the proposed Project. S/he shall spend at least [10 (ten)] days on the Project.
Tribal Welfare Specialist	S/he will be responsible for providing subject matter/sector/domain expertise of the proposed Project. S/he shall spend at least [10 (ten)] days on the Project.

## 2.2. Conditions of 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 3 (three) Eligible General Assignments and 1 (one) Eligible Specific Assignments as specified in Clause 3.1.4. The Applicant (Bidder) should not have been 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. 50 (fifty) crores per annum from professional fees during each of the 3 (three) financial years preceding the Proposal Due Date. 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 refers 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:

Key Personnel	Educational Qualification	Length of Professional Experience	Experience on Eligible Assignments
<b>Core Team</b> (Expected to be deployed full time over the entire duration of the assignment and to be scored as a part of the bid evaluation)			
<b>Team Leader</b>	Postgraduate degree in Natural Resource	15 years	S/he should have led the team for 2 (two) Eligible General

	Management, Environmental Sciences, or related fields. Project Management certification and Ph D preferred		Assignments and 1 (one) Eligible Specific Assignment like Environmental Impact Assessment (EIA). S/he should have an experience of minimum 5 years in Water Resources, Environment, Forestry, Wildlife and Climate Change or related fields.
<b>Deputy Team Leader</b>	MBA or Postgraduate Diploma in Management or equivalent	12 years	S/He should have participated in at least 2 (two) Eligible General Assignments and been deputy leader of 1 (one) Eligible Specific Assignment.
<b>Monitoring and Evaluation Expert</b>	Postgraduate degree in International Development, Economics, Econometrics, Political Science, Statistics or related field. Diploma/training courses in M&E or Evaluations research preferred.	10 years	S/He should have undertaken M&E advisory and analysis for at least 1 (one) Eligible General Assignments and 2 (two) Eligible Specific Assignment.
<b>Economist</b>	Postgraduate degree, preferably PhD, in Economics, Econometrics or related fields.	10 years	S/He should have undertaken at least 2 (two) Eligible General Assignments and 1 (one) Eligible Specific Assignment preferably related to Ecosystem services.  Previous experience in population studies/demographics will be preferred
<b>Water Resources Lead</b>	Postgraduate degree in Rural Development, Rural Management, Development studies or related fields	10 years	S/He should have undertaken advisory and analysis of Water Resources and other related fields for 2 (two) Eligible General Assignments and 1 Eligible Specific Assignment.
<b>Environment, Forestry, Wildlife and Climate Change Lead</b>	Postgraduate degree in Environmental Sciences, Forestry, Wildlife, or related fields.	10 years	S/He should have undertaken advisory and analysis in Environment and Forestry for 2 (two) Eligible General Assignments and 1 Eligible

			Specific Assignment.
<b>Non-core Team (To be deployed based on approach and methodology adopted for the assignment and requirements of the client, but will not be evaluated as a part of the bid)</b>			
<b>Finance Specialist</b>	Postgraduate degree in Finance, Economics, Development Economics, Public Finance or Bachelors with CA/ ICWA or related fields	10 years	S/He should have undertaken financial analysis for 2 (two) Eligible General Assignments
<b>Statistician</b>	Postgraduate degree in Statistics, Economics, Econometrics, Mathematics or related fields	10 years	S/He should have undertaken statistical analysis and advisory for 2 (two) Eligible General Assignments and 1(one) Eligible Specific Assignment. S/he must have experience in designing and running household surveys.
<b>Public Institution Specialist</b>	Postgraduate degree in Public Policy, Governance, Public Administration or related fields or Post graduate degree in any discipline with at least 5 years of experience in Public Administration/Public Policy	7 years	S/He should have undertaken policy analysis /public administration advisory for 2 (two) Eligible General Assignments.
<b>Gender and Social Inclusion Specialist</b>	Postgraduate degree in social sciences, preferably Gender Studies, Social Inclusion etc. or related fields	7 years	S/He should have undertaken gender mainstreaming/social inclusion advisory and analysis for 2 (two) Eligible General Assignments
<b>Information Technology Specialist</b>	B.Tech/ B.E. or equivalent in Information Technology, Computer Applications OR Masters in Computer Applications or related fields	7 years	S/He should have undertaken technological support for 2 (two) Eligible General Assignments

<b>Safeguards Specialist</b>	Postgraduate in Anthropology, Sociology, Applied Social Science or other related fields.	7 years	S/He should have undertaken safeguards/risk advisory and analysis for 2 (two) Eligible General Assignments
<b>Water Resources Management Specialist</b>	Post-graduate in Water Resources and related fields	10 years	S/He should have undertaken Water Resources/Irrigation and other related advisory and analysis for 2 (two) Eligible General Assignments preferably in Watershed Management, Water conservation and management in major, medium and minor irrigation
<b>Flood Control, Management and Drainage Specialist</b>	Bachelor degree in Civil Engineering and post-graduate in Water Resources and related fields / MSc. in Geography	10 years	S/He should have undertaken Subject Matter advisory and analysis for 2 (two) Eligible General Assignments preferably in Flood control management, anti-erosion and drainage works
<b>Water Resources Infrastructure and Micro-Irrigation Specialist</b>	Bachelor degree in Civil Engineering / Agriculture engineering and post-graduate in Water Resources and related fields	10 years	S/He should have undertaken Subject Matter advisory and analysis for 2 (two) Eligible General Assignments preferably in Project Implementation of Irrigation Projects/Micro-irrigation Projects
<b>Environment, Forestry, Wildlife and Climate Change Specialist</b>	Postgraduate degree in Sustainability/ Sustainable Development/ Environmental Sciences/ Environmental Engineering/ Environmental Planning/ Wildlife Sciences or related field(s)	7 years	S/He should have undertaken advisory and analysis in Environment Sustainability/Forestry/Wildlife & Wildlife Habitat Conservation and analysis for 2 (two) Eligible General Assignments
<b>Aquatic Habitats Sector</b>	Bachelor degree in Limnology / Wetland Sciences/ Fisheries/	10 years	S/He should have undertaken Aquatic Habitat Sustainability and related advisory and analysis

<b>Specialist</b>	Aquatic Sciences and other related fields		for 2 (two) Eligible Assignments
<b>Tribal Welfare Specialist</b>	Bachelor degree in Social Sciences and other related fields	10 years	S/He should have undertaken Tribal Affairs/Tribal Welfare advisory and analysis for 2 (two) Eligible Assignments

- 2.2.3. The Applicant shall enclose with its Proposal, certificate(s) from its Statutory Auditors<sup>2</sup>\$ stating its total revenues from professional fees during each of the 3 (three) financial years preceding the PDD 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.
- 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

- 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.

<sup>2</sup>\$ No separate annual financial statements should be submitted.

- 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 sub-section (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 Sub-Consultant) 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**

RFPs have been invited for evaluation of schemes divided across 10 sectors: : (1) Agriculture, Animal Husbandry and Fisheries (2) Women and Child Development (3) Human Resource Development (4) Urban Transformation (5) Rural Development (6) Drinking Water and Sanitation (7) Health (8) Jobs and Skills (9) Water Resource, Environment and Forest (10) Social Inclusion, Law and Order & Justice Delivery.

No Applicant or its Associate shall submit more than one Application per sector/package for the Consultancy. An Applicant applying individually or as an Associate shall not be entitled to submit another application for the same sector/package either individually or as a member of any consortium, as the case may be. An Applicant may submit proposal for more than one sector/package, in which case, the Applicant will submit separate technical and financial bids under the respective RFP for each of such sectors/packages. However, no Applicant shall be selected for more than 5 (five) sectors/packages, of which only 3 (three) may be as Lead Member.

#### **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 schemes, guidelines 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: Approved Sub-Consultant(s)
  - Annex-5: Cost of Services
  - Annex-6: Payment Schedule
  - Annex-7: 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
- Form-14: Survey and Field Investigations
- Form-15: Proposal for Sub-Consultant(s)

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

- Form-1: Covering Letter
- Form-2: Financial Proposal
- Form-3: Estimate of Personnel Costs

## 2.10. Clarifications

2.10.1. Applicants requiring any clarification on the RFP may send their queries to the Authority in writing by speed post/ courier/ special messenger or by e-mail so as to reach before the date mentioned in the Schedule of Selection Process at Clause 1.8. The envelopes shall clearly bear the following identification:

"Queries concerning RFP for ..... (name of Assignment)"

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 responses will be sent by e-mail. The Authority will post the reply to all such queries on the Official Website 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 be posted on the Official Website 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>3</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

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<sup>3</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.

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 prepare one original set of the Proposal (together with originals/ copies of Documents required to be submitted along therewith pursuant to this RFP) and clearly marked "ORIGINAL". In addition, the Applicant shall submit 2 (two) copies of the Proposal, along with Documents, marked "COPY". In the event of any discrepancy between the original and its copies, the original shall prevail.

2.13.3. The Proposal, and its copy, shall be typed or written in indelible ink and signed by the authorised signatory of the Applicant who shall initial each page, in blue ink. In case of printed and published Documents, only the cover shall be initialled. All the alterations, omissions, additions, or any other amendments made to the Proposal shall be initialled by the person(s) signing the Proposal. The Proposals must be properly signed 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 accompany the Proposal.

2.13.4. 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 received 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 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 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 countersigned by the Applicant. Photocopy or unsigned / countersigned 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 75 (seventy five) 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 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. An Applicant may, if it considers necessary, propose suitable Sub-Consultants in specific areas of expertise. Credentials of such Sub-Consultants should be submitted in Form-15 of Appendix-I. A Sub-Consultant, however, shall not be a substitute for any Key Personnel.
- 2.14.8. 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.
- 2.14.9. 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**

2.15.1. Applicants shall submit the financial proposal in the formats at Appendix-II (the “**Financial Proposal**”) clearly indicating the total cost of the Consultancy (Item [G] of Form-2 of Appendix-II) in both figures and words, in Indian Rupees, 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 the Proposal in hard bound form with all pages numbered serially and by giving an index of submissions. Each page of the submission shall be initialled 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 will be sealed in an outer envelope which will bear the address of the Authority, RFP Notice number, Consultancy name as indicated at Clauses 1.11.1 and 1.11.3 and the name and address of the Applicant. It shall bear on top, the following:

“Do not open, except in presence of the Authorised Person of the Authority”

If the envelope is not sealed and marked as instructed above, the Authority assumes no responsibility for the misplacement or premature opening of the contents of the Proposal submitted and consequent losses, if any, suffered by the Applicant.

2.16.3. The aforesaid outer envelope will contain two separate sealed envelopes, one clearly marked ‘**Technical Proposal**’ and the other clearly marked ‘**Financial Proposal**’. The envelope marked “Technical Proposal” shall contain:

- (i) Application in the prescribed format (Form-1 of Appendix-I) along with Forms 2 to 15 of Appendix-I and supporting documents; and
- (ii) Bid security
- (iii) as specified in Clause 2.20.1

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

2.16.4. The Technical Proposal and Financial Proposal shall be typed or written in indelible ink and signed by the Authorised Representative of the Applicant. All pages of the original Technical Proposal and Financial Proposal must be numbered and initialled by the person or persons signing the Proposal.

- 2.16.5. The completed Proposal must be delivered on or before the specified time on Proposal Due Date. Proposals submitted by fax, telex, telegram 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 sheets of paper and only information that is directly relevant should be provided. This may include 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 for Evaluation of Centrally Sponsored Schemes in Package 9 - Water Resources, Environment and Forest Sector 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 at or before 11:00 hrs on the Proposal Due Date specified in Clause 1.8 at the address provided in Clause 1.11.1 in the manner and form as detailed in this RFP. A receipt thereof should be obtained from the person specified therein.
- 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 received by the Authority after the specified time on Proposal Due Date shall not be eligible for consideration and shall be summarily rejected.

## **2.19 Modification/ substitution/ withdrawal of Proposals**

- 2.19.1 The Applicant may modify, substitute, or withdraw its Proposal after submission, provided that written notice of the modification, substitution, or withdrawal is received by the Authority prior to Proposal Due Date. No Proposal shall be modified, substituted, or withdrawn by the Applicant on or after the Proposal Due Date.
- 2.19.2 The modification, substitution, or withdrawal notice shall be prepared, sealed, marked, and delivered in accordance with Clause 2.16, with the envelopes being additionally marked "MODIFICATION", "SUBSTITUTION" or "WITHDRAWAL", as appropriate.
- 2.19.3 Any 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. 1,00,000 (one lakh) in the form of a Demand Draft issued by one of the Nationalised/ Scheduled Banks in India in favour of PAO, NITI Aayog payable at New Delhi (the "Bid

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**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 Proposal Due Date, at the place specified in Clause 1.11.1 and in the presence of the Applicants who choose to attend. The envelopes marked “Technical Proposal” shall be opened first. The envelopes marked “Financial Proposal” shall be kept sealed for opening at a later date.

2.22.2 Proposals for which a notice of withdrawal has been submitted in accordance with Clause 2.19 shall not be opened.

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 signed, sealed, bound together in hard cover and marked 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, time and venue 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 read out. The opening of Financial Proposals shall be done in presence of respective representatives of Applicants who choose to be present. 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 Clarifications**

- 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 60% (sixty 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.
- 2.25.3 The Authority will examine the credentials of all Sub-Consultants proposed for this Consultancy 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.

## **2.27 Indemnity**

The Consultant shall, subject to the provisions of the Agreement, indemnify the Authority for an amount not exceeding 3 (three) times 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 the 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 3 (three) 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, analysed, 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 study shall be transferred to the authority. No data collected in context of the study may be destroyed or otherwise disposed off 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 on the basis of Applicant's experience, its understanding of TOR, proposed methodology and Work Plan, and the experience of Key Personnel. Only those Applicants whose Technical Proposals get a score of 60 (sixty) marks or more out of 100 (one hundred) shall qualify for further consideration, and shall be ranked from highest to the lowest on the basis of their technical score ( $S_T$ ).

3.1.2 Each Key Personnel must score a minimum of 60% (sixty per cent) marks except as provided herein. A Proposal shall be rejected if the Team Leader scores less than 60% (sixty per cent) marks or any two of the remaining Key Personnel score less than 60% (sixty per cent) marks. In case the Selected Applicant has one Key Personnel, other than the Team Leader, who scores less than 60% marks, he would have to be replaced within 2 (two) working days during negotiations, with a better candidate who, in the opinion of the Authority, would score 60% (sixty per cent) or above.

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

Item Code	Parameter	Maximum Marks	Criteria
1.	<b>Relevant Experience of the Applicant</b>	25	30% of the maximum marks shall be awarded for the number of Eligible Assignments undertaken by the Applicant firm. The remaining 70% shall be awarded for: (i) the comparative size and quality of Eligible General and Specific Assignments; (ii) overall professional income, experience and capacity of the firm.
2.	<b>Proposed Methodology and Work Plan</b>	10	Evaluation will be based on the quality of submissions.
3.	<b>Relevant Experience of the Key Personnel</b>	65	30% of the maximum marks for each Key Personnel shall be awarded for the number of Eligible Assignments the respective Key Personnel has worked on. The remaining 70% shall be awarded for the comparative size and quality of Eligible Assignments



3(a)	Team Leader	15	
3(b)	Deputy Team Leader	12	
3(c)	Monitoring and Evaluation Expert	10	
3(d)	Economist	8	
3(e)	Water Resources Lead	10	
3(f)	Environment, Forestry, Wildlife and Climate Change Lead	10	
<b>Grand Total</b>		<b>100</b>	

While awarding marks for the number of Eligible Projects, the Applicant or 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 Key Personnel, as the case may be, shall be entitled to a proportionate score. No score will be awarded to an Applicant/ 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/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/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 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) Evaluation studies involving quantitative and qualitative research, household surveys etc. in India granted by the government, regulatory commission, tribunal, multilateral agencies, statutory authorities, public sector entities etc. in respect of government programs 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. 50 (fifty) lakhs for such assignment, and where credit is being claimed by a Key Personnel, she/he should have completed the relevant assignment prior to PDD.

Provided further that if the Applicant firm is taking credit for an Eligible Specific Assignment, such assignment shall have been completed prior to PDD and the Applicant shall have received professional fees of at least Rs. 20 (twenty) lakhs.

Note: Applicants **cannot** provide the same assignment(s) under both General and Specific assignments mentioned above

### **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 60 (sixty) points 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 Proposal**

- 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  
(See Clause 1.1.3)

Consultancy for Evaluation of Centrally Sponsored Schemes  
in Package 9 - Water Resources, Environment and Forest  
Sector

Terms of Reference (TOR)

for

TECHNICAL CONSULTANT

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## **Terms of Reference (TOR) for Consultancy for Evaluation of Centrally Sponsored Schemes in Package 9 – Water Resources, Environment and Forest**

### **1. Background of the Sector**

Natural Resources (broadly, water, soil, forests, land and aquatic habitats including wild flora and fauna) put together provide the necessary ecosystem services, through a complex chain of interdependencies to maintain overall ecological balance. This provides fundamental life support in terms of both consumptive and public-good services. For example, sustainability of water resources ensures water security for purposes ranging from basic life-support in form of enabling better drinking water and sanitation facilities to driving economic activities through agriculture and irrigation. Similarly, ecological processes maintain soil productivity, nutrient recycling, the cleansing of air and water, and climatic cycles. Keeping these ecosystem services intact through human interventions and managing the way in which humans interact with their natural landscapes in an integrated and sustainable manner is what Natural Resource Management (NRM) entails.

In terms of the Government's intervention in this sector, the programmes are spread across several ministries, departments and related bodies like Ministry of Water Resources, River Development & Ganga Rejuvenation, Ministry of Environment, Forest and Climate Change, Ministry of Agriculture and Farmers' Welfare, Department of Land Resources, Central Pollution Control Board, Central Ground Water Board, etc.

In view of the above, it is critical that a study with an integrated approach to assess the efficacy of the government interventions in this area is undertaken. However, given the context and current requirements, this study will mainly focus on the interventions across the Ministry of Water Resources, River Development & Ganga Rejuvenation and Ministry of Environment, Forest and Climate Change.

The terms of reference herein will discuss the objectives of the study separately for the Water Resources sub-sector and Environment & Forest sub-sector and it will be expected from the Consultant that the report is also structured accordingly to reflect findings & provide recommendations for each sector separately in the form of two sub-reports while also drawing in the synergies across them at the level of Natural Resources Management.

#### **(I) Water Resources sub-sector**

As clearly laid out in NITI Aayog's India @ 75 Strategy, by 2022-23, India's water resources management strategy should facilitate water security to ensure adequate availability of water for life, agriculture, economic development, ecology and environment. Additionally, SDG targets 2.3 and 8.5 clearly put emphasis on doubling the agriculture productivity and incomes of the farmers which are not possible without providing assured irrigation facilities to farmers.<sup>4</sup>

It further states that in terms of the overall status of average availability of annual water resources, annual precipitation in India, including snowfall, which is the main source of water, is about 4000 billion cubic metres (bcm). About 53.3 per cent of the total precipitation is lost due to evapo-transpiration, which leaves a balance of 1869 bcm water in the country. Of this, the available utilizable water resource potential is 1137 bcm, comprising 690 bcm of surface water and 447 bcm of ground water.

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<sup>4</sup> Strategy for New India @ 75 ([http://niti.gov.in/writereaddata/files/Strategy\\_for\\_New\\_India.pdf](http://niti.gov.in/writereaddata/files/Strategy_for_New_India.pdf))

The rain-fed agriculture in India covers about 76 million hectare, constituting 54 percent of the net cultivated area in the country. However, out of the total food production in the country, only 44 percent is from rain-fed/ dry-land farming supporting about 40 percent of the population.

With proper irrigation facilities, food production from rain-fed areas can be increased substantially. In fact, enhancing agricultural production by extending irrigation coverage to rain-fed areas may improve food and nutrition security beside reducing imports and raising exports. There is a need for not only expanding area coverage under irrigation but also to minimize the gap between irrigation potential created and irrigation potential utilized. Substantial dependence on rainfall renders cultivation in un-irrigated regions uncertain and a high-risk, less productive occupation. Empirical evidence suggests that assured or protective irrigation encourages farmers to invest more in farming, improved technology and modern inputs leading to productivity enhancement and increased farm income. Provision of timely and sufficient irrigation on farms enhances crop productivity and also facilitates cultivation of multiple crops leading to substantial increase in agriculture production.

The primary scheme run by the Government of India to address these challenges is Pradhan Mantri Krishi Sinchai Yojana (PMKSY), comprising of five components. These are spread across Ministry of Water Resources, RD & GR, Ministry of Agricultural Cooperation and Farmers Welfare, and Ministry of Rural Development. The four major components are Har Khet Ko Pani, Per Drop More Crop, Watershed Development Component and Accelerated Irrigation Benefits Programme. These promote precision irrigation for water use efficiency, soil and moisture conservation activities, construction of canals, ponds, rainwater harvesting structures etc. A complete list of PMKSY and its components along with their outlays is given in **Appendix IV (A)**.

### **Mechanism of Implementation & Challenges:**

A 3-tier mechanism of implementation has been created at the National, State and District level:

1. An Inter-Ministerial Council has been constituted for PMKSY under the Chairmanship of CEO, NITI Aayog to oversee programme implementation, allocation of resources, inter-ministerial coordination, monitoring and performance assessment, addressing administrative issues etc.
2. At the State Level, Agriculture Department acts as the nodal department for implementation of PMKSY as the final outcome of the programme is to ensure access to efficient delivery and application of water at every farm thereby enhancing agriculture production and productivity. The State Level Sanctioning Committee (SLSC), already constituted under RKVY and chaired by the Chief Secretary of the State, is vested with the authority to sanction specific projects recommended by the Inter Departmental Working Group (IDWG).
3. The District Level Implementation Committee (DLIC) forms the third tier of the PMKSY. The DLIC is chaired by the District Collector/ District Magistrate and comprise of CEO Zila Parishad/PD DRDA, Joint Director/Deputy Directors of Departments of

Horticulture, Agriculture, Rural Development, Surface and Ground Water Resources, Irrigation, District Forest Officer and Lead Bank Officer of the District, and any other line Departments in the district. In addition, DLIC may have two progressive farmers and a leading NGO working in the District, if any, as members. As per the present PMKSY guidelines, central Assistance is provided in the ratio of 90:10 (central share: state Share) for all projects benefitting hilly states of J&K, HP, Uttarakhand and North Eastern States and 60:40 (central share: State Share) for projects in other areas.

However, the scheme still faces issues like States not supporting through matching contributions, no pari passu implementation of AIBP, CAD and Micro-Irrigation works, project time and cost overruns, challenges in land acquisition, efficacy of flood protection works, contract management, field staff capacity constraints and negligible engagement of communities for asset management through participatory processes<sup>5</sup>.

**Past studies undertaken and need for the current study:** Recently, there have been no studies commissioned by the Ministry of Water Resources, RD & GR for PMKSY and its four sub components though NITI Aayog has initiated evaluation studies for two components namely Per drop More Crop and Watershed Development Program. Also, an Outcome review/Third party evaluation of the two Plan Schemes 'Flood Management Programme (FMP)' and 'River Management Activities & Works related to Border Areas (RMBA)' implemented during XII Plan was carried out by a Committee constituted under the Director of National Institute of Hydrology, Roorkee based on which, "Flood Management Programme" (FMP) and "River Management Activities & Works related to Border Areas" (RMBA) were merged into single scheme - "Flood Management and Border Areas Programme" (FMBAP) for three year period from 2017-18 to 2019-20.

## **(II) Environment & Forest sub-sector**

As a part of the 28 umbrella schemes identified by the Government of India, the Centrally Sponsored Scheme (CSS) "Environment, Forestry & Wildlife" has a budget of Rs. 1019 crore, covering 8 schemes/sub-schemes. The schemes/sub-schemes, under this head, broadly cover management of protected areas/wildlife habitats in the country with the objective of conservation of flora and fauna. Along with managing protected areas, the umbrella scheme also covers 'Mission for a Green India' working on afforestation and forest fire prevention, and National River Conservation Programme, which works on cleaning polluted stretches of rivers. Conservation of Biosphere Reserves and Aquatic Eco-systems is also included.

The Umbrella Scheme includes Project Tiger which was launched on 1st April, 1973 for in-situ conservation of wild tigers in designated tiger reserves. In 2005, National Tiger Conservation Authority (NTCA) was set up to provide funding and technical support to the tiger reserves under the Project. Project Elephant (PE) was launched by the Government of India in the year 1992 as a Centrally Sponsored Scheme where financial and technical

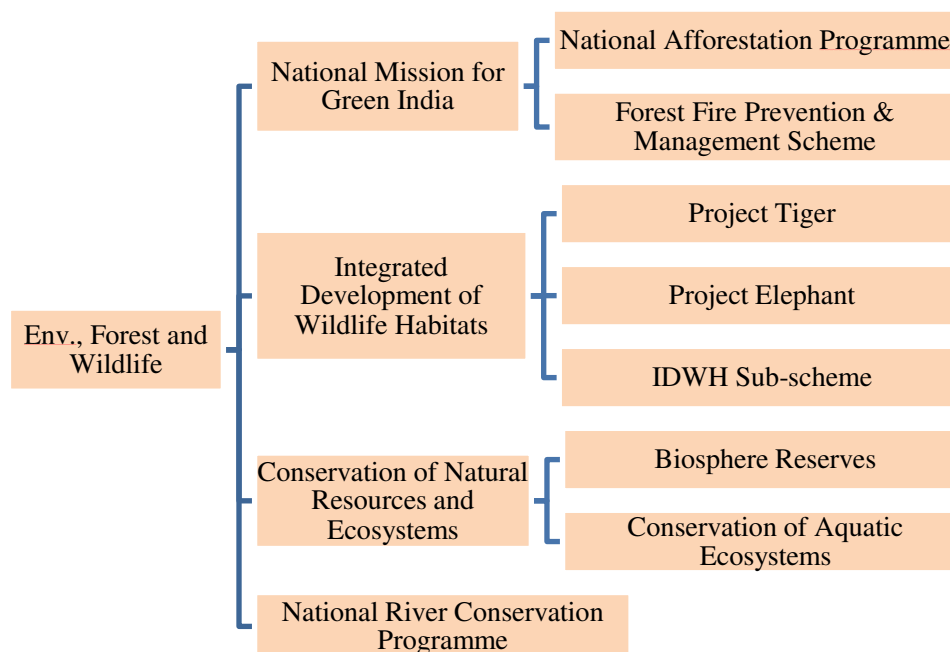
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<sup>5</sup> Annual reports of concerned ministries/departments & Strategy for New India @ 75  
([http://niti.gov.in/writereaddata/files/Strategy\\_for\\_New\\_India.pdf](http://niti.gov.in/writereaddata/files/Strategy_for_New_India.pdf))

support are being provided to the concerned States. Further, Integrated Development of Wildlife Habitats provides funding assistance to States for support to Protected Areas (PAs) other than tiger reserves, recovery programme of critically endangered species, and protection of wildlife outside Protected Areas including mitigation of human-wildlife conflict.

National Mission for Green India includes National Afforestation Programme and Forest Fire Prevention and Management Scheme. National Afforestation Programme aims at rehabilitation of degraded forests and other areas by institutionalizing decentralized/participatory forest management and supplementing livelihoods improvement processes. Forest Fire Prevention and Management Scheme aims to provide financial assistance to States for their integrated forest fire prevention and management efforts.

Conservation of Natural Eco-systems encompasses two schemes. Conservation of Aquatic Ecosystems envisages conservation of lakes and other wetlands in the country. The second scheme, Biosphere Reserves was initiated in 1986 for in-situ conservation of representative ecosystems of major bio-geographic zones of the country that are globally important, under UNESCO’s Man and Biosphere Programme. National River Conservation Plan aims to reduce the pollution load of rivers through implementation of various pollution abatement works, thereby improving their water quality. Further, the schemes covered under this CSS can be understood by the flow chart given below: -



The schemes in this sector broadly correspond to the Sustainable Development Goals of Life on Land (SDG 15) and Life below Water (SDG 14), while also contributing to SDG 13: Climate Action, by preserving forested land as carbon sinks, and building resilience among

forest communities. A list of all the CSS schemes along with their outlays is given in **Appendix IV (A)**.

In view of the above, a more comprehensive study on Water Resources sub-sector as well as in the Environment & Forest area is required to be commissioned to provide specific inputs for programme harmonization and identify structural gaps in the sector where further interventions need to be designed. In this way, the study will enable assessment of CSS schemes for their rationalization and continuity beyond the 14<sup>th</sup> Finance Commission period (2015-20). **The period of evaluation for the study will be 2015-16 to 2018-19.** The detailed objectives of the study are given below.

## **2. Objectives & Approach of the Evaluation Study – Water Resources sub-sector**

Here, the objectives and approach of Water Resources sub-sector are given.

### **Objectives**

#### **a. Sector Analysis**

- i. To **assess the status of the Water Resources sub-sector** in the country in terms of availability and utilization of water resources for various end uses (agriculture & allied, industry, rural & urban household needs) along the principles of **access, quality & adequacy, equity and sustainability**. The Consultant will also assess the overall nature and responsiveness of water resources planning in the country based on a source to user full water cycle approach and suggest structural improvements therein.
- ii. To provide a **forward-looking assessment** on the **Water Security** scenario of the country on four key dimensions - Household water security, Economic water security, Urban water security and Environmental water security and provide overarching policy suggestions therein.
- iii. To qualitatively and quantitatively **map the intended and actual contribution** of PMKSY to Water Resources sub-sector outcomes:
  - Agriculture Sector i.e. change in cropping pattern, area expansion, production, productivity of major crops, cropping intensity and diversity as well as cost benefit ratio of Agriculture/Horticulture Crops.
  - Change in the ground water table
  - Rural economy in terms of change in rural income and especially farmers' income, especially the vulnerable sections of the society, employment and skill enhancement, if any, and expenditure patterns.

#### **b. Umbrella and Scheme level analysis:**

- i. To assess the Umbrella schemes and each CSS scheme on the Relevance, Effectiveness, Efficiency, Sustainability, Impacts (REESI)<sup>6</sup> and Equity framework.

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<sup>6</sup> ECG. 2011. Good Practice Standards for Public Sector Operations. Washington, DC: (<https://www.ecgnet.org/documents/4794/download>)

- ii. To assess the Umbrella schemes and each CSS scheme on various cross-sectional themes as elaborated in the next section, as well as unintended consequences/negative externalities of PMKSY programme like migration, water table, shift to water-intensive crops, etc. and how these were triggered. Also map them against the social, economic and environmental safeguards in the scheme design.
- c. **To identify and highlight scalable best practices** and home-grown innovations, if any, create case studies for further dissemination
- d. **Programme Harmonization:**
  - i. To **provide recommendations** based on the synthesis of sectoral and scheme-level analysis, on the need to continue the schemes in their existing form, modify, scale-up, scale-down or close down the schemes
  - ii. To suggest revisions in the scheme/schemes design for the effective implementation in future, if modification is recommended

### **Approach**

- a. The **sectoral analysis** will be driven by the meta-analysis of secondary data, and validated through the primary data collection.
  - i. **Gaps in the broad sectoral outcomes** where national priorities/SDGs are not being addressed either due to absence of interventions or non-performance of existing schemes/interventions. For gap analysis, new schemes and initiatives announced in 2019-20 may also be considered.
  - ii. **Convergence** of the scheme, both intended and actual, to other developmental programmes of the Central and the State Governments as well as with private sector, CSR efforts, international multilateral and bilateral aid, etc.
- b. The **Umbrella and scheme-level analysis** will be based on triangulation of primary and secondary data, as outlined in the methodology. It will include an assessment of the relevance, effectiveness, efficiency, sustainability, impacts and equity of the Umbrella schemes and CSS schemes. Details on this framework are available in the Guidelines for Evaluation placed at **Appendix IV**. In line with this understanding, the following aspects will have to be assessed as a part of the analysis:
  - i. **Process of planning**, its efficacy and effectiveness by mapping it against implementation and enabling feedback/course corrections. This includes assessment of State & District Irrigation Plans (SIP and DIP), reasons for delay in their formulation, status of their implementation and available datasets therein for the decision-makers.
  - ii. **Appropriate indicators** for evaluation of both **structural** and **non-structural interventions** under the programmes/schemes will have to be identified.



- iii. **Input use efficiency** of PMKSY in terms of institutional mechanisms as per the mandate & its execution e.g. integration of works across 3 ministries/departments or implementation model for spread of Per Drop More Crop, regularity/timeliness and adequacy of fund flow at each step and utilization through public expenditure tracking, policy reforms and guidelines including provisions for asset maintenance, human resource capacity deployed at central, state, district, block, and village level, mechanisms to identify and reward best practices within the scheme design as well as Monitoring & Evaluation systems.
- iv. **Status of physical access of water** on the farm as envisioned under the programme/scheme including works done to strengthen the carrying capacity of the traditional water bodies; study the changes in the irrigation pattern and gross irrigated area of the country and analyze the irrigation potential created and potential utilized and the gap therein. This has to be examined at an overall as well as State/UT wise level for the reference period. The Consultant will **verify the potential creation reported** by the State from a particular project post completion of all the physical works on the ground and **examine the quality of assets created/services provided** under the schemes.
- v. **Coverage** of PMKSY in terms of eligible beneficiaries, geographies, etc. This should also specifically focus on coverage of landless and small and marginal farmers.
- vi. **Key bottlenecks/issues & challenges** in the implementation of PMKSY in aspects like constitution and functioning of District-level Monitoring Committees as against the guidelines, field staff capacity in terms of technical and administrative prowess, land acquisition and resettlement & rehabilitation, project monitoring & contract management, participatory asset management and on-ground convergence in works e.g. Command Area Development & Micro-Irrigation works.
- vii. **Participatory Irrigation Management** i.e. Water Users' Association (WUAs) in terms of their creation/ registration, capacity building, financial empowerment, taking-over of irrigation assets, and day-to-day functioning and evaluate the strengths and weaknesses of the functional WUAs including their financial sustainability, and capacity for proper maintenance of assets and in ensuring equitable distribution of water.
- viii. **Convergence** of programme/scheme with other schemes of the Central and State Government as well as Private Sector/CSR efforts.

For scheme-specific analysis and preparation of Appendix 2 of the Final Evaluation Report (as specified in para 9 of this TOR), the scheme-specific areas of inquiry in Appendix IV of this RFP should also be taken into consideration.

### c. **Cross-sectional Thematic Assessment**

The cross-sectional themes based on which the Umbrella scheme and each CSS scheme will be assessed may include:

- i. Accountability and transparency
- ii. Direct/indirect employment generation
- iii. Gender mainstreaming
- iv. Building resilience to climate change (including but not limited to developing water disaster preparedness) & ensuring sustainability
- v. Role of Tribal Sub-Plan (TSP) and Scheduled Caste Sub-Plan component of the scheme in mainstreaming of Tribal and Scheduled Caste population
- vi. Use of IT/Technology in driving efficiency and effectiveness
- vii. Stakeholder & beneficiary behavioural change
- viii. Research and Development
- ix. Acts/regulations, regulatory bodies and reforms
- x. Water sharing treaties/agreements & diplomacy
- xi. Conjunctive use of water - surface versus groundwater usage optimizations
- xii. Unlocking synergies with other government programmes
- xiii. Reforms & regulations
- xiv. Impact on and role of private sector, community and civil society/NGOs in the scheme especially in use of participatory resource management.

**d. Prioritization of Schemes:**

- i. For prioritization of schemes for evaluation, **two parameters** are to be taken into consideration: (i) duration of implementation, and (ii) budget allocation.
- ii. Based on **duration of implementation**, schemes can be classified into two categories: (a) those introduced prior to 14<sup>th</sup> Finance Commission cycle; and (b) those that were introduced during the 14<sup>th</sup> Finance Commission cycle. Schemes that were launched prior to 14<sup>th</sup> Finance Commission cycle (prior to 2015-16) are more amenable to full scale evaluation. For those schemes that are introduced during the 14<sup>th</sup> Finance Commission cycle (between 2015-16 to 2019-20), one needs to be cognizant that new schemes need time to be introduced, take off, and stabilize, and generally have to face a number of initiation challenges. This means, most of the schemes introduced in the 14<sup>th</sup> Finance Commission cycle have had only few years of full implementation, and therefore for these schemes a mid-term evaluation may be more relevant. Additionally, there are a few schemes that have been launched recently, in 2018-19, which can be categorized as ‘new’ schemes, for which a limited assessment of their progress till date could be conducted by the Consultant.
- iii. Schemes can also be classified based on the **budget outlay**. Of the 126 total schemes, 18 large schemes take up 80% of the CSS outlay, while 80 odd smaller schemes take up just 5%. Schemes with budget outlay less than Rs 3,000 crores cumulatively over five years (2015-16 to 2019-20) need to be particularly carefully evaluated from the perspective of Report of the Sub-Group of Chief Ministers on Rationalisation of Centrally Sponsored Schemes, 2015. Within these 80 small schemes, there are certain schemes

that have zero budget allocations during 1-4 years of the evaluation period. The selected Consultant may confer with the concerned Ministry/Department the status of these schemes, and conduct a short analysis for the schemes that are proposed to be closed.

- iv. In addition, there are certain schemes which are empowered through **specific acts of legislation**. Assuming that these schemes will continue, evaluation of these legislatively-backed schemes should focus on input and process insights for improving the outcomes and impact of these schemes.

### 3. Objectives & Approach of the Evaluation Study – Environment & Forest sub-sector

Here, the objectives and approach of Environment & Forest sub-sector are given.

#### Objectives

##### a. Sectoral analysis:

- i. To **assess the status of the sectoral performance** in terms of green cover augmentation, wildlife habitat conservation, biodiversity improvement including endangered species conservation within and outside protected areas and overall ecological balance restoration in the country for both on-land and aquatic ecosystems.
- ii. To qualitatively and quantitatively **map the intended and actual contribution** of Umbrella schemes and each CSS scheme under the Umbrella schemes to the sector outcomes.
  - Ecological restoration of existing natural habitats and migratory routes
  - Mitigation of human-wildlife conflicts and community engagement
  - Wildlife population stabilization and improvement
  - Wildlife health
  - Preparedness against disasters e.g. forest fires and epidemics
  - Role of eco-tourism in sustainable development
  - Climate Change Resilience

##### b. Umbrella and Scheme level analysis:

- i. To assess the Umbrella schemes and each CSS scheme on the Relevance, Effectiveness, Efficiency, Sustainability, Impacts (REESI)<sup>7</sup> and Equity framework.
- ii. To assess the Umbrella schemes and each CSS scheme on various cross-sectional themes as elaborated in the next section, as well as unintended consequences/negative externalities of programme implementation. Existing mechanisms such as environmental and social safeguards within the scheme design to mitigate these risks may be assessed as well.

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<sup>7</sup> ECG. 2011. Good Practice Standards for Public Sector Operations. Washington, DC: (<https://www.ecgnet.org/documents/4794/download>)

- c. **To identify and highlight scalable best practices** and home-grown innovations, if any, create case studies for further dissemination e.g. understanding the utilization of Panna Tiger Reserve success scenario.

Synergies – The Consultant will identify cross-sectoral best practices and suggest mechanisms for implementation of these learnings in each sub-sectoral interventions

d. **Programme Harmonization:**

- i. To **provide recommendations** based on the synthesis of sectoral and scheme-level analysis, on the need to continue the schemes in their existing form, modify, scale-up, scale-down or close down the schemes
- ii. To suggest revisions in the scheme/schemes design for the effective implementation in future, if modification is recommended

Synergies – The Consultant will also provide suggestions on merging programmes across sub-sectors e.g. river conservation in Ministry of Environment, Forest & Climate Change and Namami Gange in Ministry of Water Resources, River Development & Ganga Rejuvenation.

**Approach**

- a. The **sectoral analysis** will be driven by the meta-analysis of secondary data, and validated through the primary data collection.
  - i. **Gaps in the broad sectoral outcomes** where national priorities/SDGs are not being addressed either due to absence of interventions or non-performance of existing schemes/interventions. For gap analysis, new schemes and initiatives announced in 2019-20 may also be considered.

Synergies – The Consultant will **assess the cross-sectoral impacts** in terms of interventions under Water Resources sub-sector on environment at large and in and around the geographies targeted under the interventions under the environment and forest sub-sector. E.g. the interventions in the buffer zones may have an impact on the core forest areas and broader ecosystem or the environmental impact of projects under major irrigation works. Similarly, sustainable forest management enables supply of good-quality fresh water and protection against natural hazards like floods or soil erosion in buffer zones.

- ii. **Convergence** of the scheme, both intended and actual, to other developmental programmes of the Central and the State Governments as well as with private sector, CSR efforts, international multilateral and bilateral aid, etc.
- b. The **Umbrella and scheme-level analysis** will be based on triangulation of primary and secondary data, as outlined in the methodology. It will include an assessment of the relevance, effectiveness, efficiency, impacts, equity and sustainability of the Umbrella

schemes and CSS schemes. Details on this framework are available in the Guidelines for Evaluation placed at Appendix IV. In line with this understanding, the following aspects will have to be assessed as a part of the analysis:

- i. **Input use efficiency** of various CSS schemes such as institutional mechanisms like the functioning of the NTCA in relation to the Ministry, state Forest Development Agencies and division-level Joint Forest Management Committees, Wildlife Crime Control Bureau etc., fund flow (adequacy, timeliness and steps e.g. to states or CFOs) & utilization through public expenditure tracking, policy guidelines & existing laws like the Wildlife Protection Act, 1972 and Forest Rights Act 2006, international compliances to be adhered to like the Convention on Biological Diversity, and capacity and strength of human resources allocated for the implementation of the schemes at central, state, district, block, and village as well as Monitoring & Evaluation systems.
- ii. **Coverage** and prioritization of the scheme in terms of eligible species (flora and fauna), habitats & geographies, human settlements & beneficiaries in core and buffer zone.
- iii. **Key bottlenecks/issues & challenges** in the implementation mechanisms like land use change and challenge of forest-based industries, integrated and scientific nature of programmes, law enforcement and wildlife crime control, information, education and communications (IEC), community engagement and avoidance of human-wildlife conflict through livelihood generation/dependency, technical and administrative capacities on field, infrastructure augmentation and maintenance, use of technology, mainstreaming of traditional practices, etc. of various development schemes of the Ministry.
- iv. **Effectiveness** of perception management efforts among locals on social and economic advantages of eco-tourism like through sharing of revenue, alternate livelihood generation etc.
- v. **Quality of assets created/services provided** under the schemes and to see how far these assets/services benefitted the end beneficiaries. Examples of assets could include watchtowers, firelines, wells etc., while services include village relocation activities, alternative livelihood promotion, compensation due to human-wildlife conflict etc.
- vi. How far the guidelines of the programme have opened the doors of convergence to other developmental programmes of the Central and the State Governments, such as with the Ministries of Tribal Affairs, Rural Development as well as with Private Sector/CSR effort.
- vii. Identify appropriate indicators for evaluation of both structural and non-structural interventions under the programme.

Synergies – The Consultant will assess the input-use efficiency of on-ground coordination mechanism in and around forest areas, convergence of fund flow to buffer zone development activities with water resources related works, change in behavioral aspects of populace in buffer zones triggered due to improved access to

irrigation towards broader ecosystem conservation, ease of programme implementation in light of conflicting regulations in the buffer zones (if any), coordination of efforts to design and execute water resources related works in migratory pathways, and need for holistic planning for natural resources management while establishing institutional linkages between the two sub-sectors and their linkage with other related ministries like mines, etc.

For scheme-specific analysis and preparation of Appendix 2 of the Final Evaluation Report (as specified in para 10 of this TOR), the scheme-specific areas of inquiry in Appendix IV of this RFP should be taken into consideration.

### **c. Cross-sectional Thematic Assessment**

The cross-sectional themes based on which the Umbrella scheme and each CSS scheme will be assessed may include:

- i. Accountability and transparency
- ii. Direct/indirect employment generation
- iii. Gender mainstreaming
- iv. Climate change & sustainability
- v. Role of Tribal Sub-Plan (TSP) and Scheduled Caste Sub-Plan component of the scheme in mainstreaming of Tribal and Scheduled Caste population
- vi. Use of IT/Technology in driving efficiency
- vii. Stakeholder & beneficiary behavioural change
- viii. Research and Development
- ix. Unlocking synergies with other government programmes
- x. Reforms & regulations
- xi. Impact on and role of private sector, community and civil society/NGOs in the scheme.

Synergies – The Consultant will explore the synergies in each of the thematic areas above in terms of planning and executional convergence e.g. how the private sector effort for each sub-sectors can be mapped in buffer zones while planning and executing government interventions.

### **d. Prioritization of Schemes:**

For prioritization of schemes for evaluation, the process for the Environment & Forest sub-sector will be the same as that followed for Water Resources sub-sector.

## **4. Scope of Services**

- a. Reference period of the study: The sectoral evaluation will be for the period from 2015-16 to 2018-19.

- b. Based on meta-analysis and key informant interviews, and community and household surveys, the evaluation study will provide insights into reasons for success and failure of program design, institutional arrangements, human resources, political economy considerations, among others. The study will also provide strategic insights into:
- Sector gaps both due to lack of specific interventions and failure or poor outcomes of existing schemes;
  - Institutional and human resource failures and best practices;
  - Institutional provisions for monitoring and evaluation;
  - Degree of adoption of outcome-output framework;
  - Adoption of technology for effective program implementation;
  - Political economy constraints and program design constraints/provisions; among others

The analysis of sectoral performance and Umbrella programmes' contribution to this performance will primarily be based on meta-analysis whereas the individual CSS scheme-wise analysis will be based on the field study as well as scheme-wise secondary data analysis. The findings of scheme-wise analysis will feed into the broader Umbrella programme & sectoral findings for better synthesis.

- c. The analysis of sectoral performance and Umbrella programmes' contribution to this performance will primarily be based on meta-analysis whereas the individual CSS scheme-wise analysis will be based on the field study as well as scheme-wise secondary data analysis. The findings of scheme-wise analysis will feed into the broader Umbrella programme & sectoral findings.

d. Meta-analysis

The data and methods will involve review of:

- National and International development goals and sector documents;
- Financial data on allocation and expenditures of the schemes;
- Annual reports of the ministries for output and outcome assessment;
- Available evaluation reports for output and outcomes assessment;
- Annual progress reports and implementation documents to assess the institutional arrangements;
- Available evaluation reports done at the district and state level for the states/districts covered under field study, if applicable;
- Evaluations done by non-government agencies.

An indicative list of key documents to be referred to by the Consultant is placed at **Appendix IV(C)**.

e. Field Study

- Designing of the discussions guides for focus group discussions, interview guides for in-depth interviews and structured questionnaires/schedules for household surveys.
- Preparation of the analysis plan
- Pre-testing and finalizing the required tools in partnership with DMEO team

- Establishment of a managerial structure for field operations
- Recruitment of investigators and training/capacity building of the field investigators
- Putting in place appropriate IT hardware and application software for data collection and management.
- Collecting and compiling the quality data from selected areas.
- High quality data management and adherence to quality assurance mechanisms as per agreed protocols, plans and schedules.
- Collation and data cleaning
- Running data analysis and submitting cross-tabulations/summarizations
- Preparation of draft evaluation report and conducting stakeholder consultations
- Submission of final evaluation report and dissemination of the key findings
- Incorporating concurrent feedback into the workflow

During meta-analysis and field study, inputs from the concerned ministry/department may be incorporated for fine tuning the methodology, preparation of analysis plan, listing of secondary data sources, investigator training and tool/questionnaire design.

## **5. Primary Data Collection Methodology**

- a. A qualitative and quantitative study backed with extensive meta-analysis will be conducted to provide a sectoral assessment. The study will consist of two main components:
  - i. Key Informant Interviews & Focus Group Discussions - Herein, it is proposed that key informant interviews be held with officials from central ministries/departments, state-level implementing bodies and district and block level administration. Other stakeholders supporting implementation or indirectly involved in enabling the scheme's success, as well as opinion makers at the village level should also be interviewed. National level key informants should also include experts from recognized national level think tanks, institutions and prominent non-profit organizations.

Additionally, focus group discussions will be conducted mostly at block and village level with diverse groups involving implementing stakeholders, opinion makers as well as selected beneficiaries.

- ii. Household Surveys - A selected sample of household surveys shall be conducted to assess the beneficiary-level perspective of the programmes.

Since, various CSS schemes have different target groups, it is to be ensured that the sample & geography selection for Key Informant Interviews/household surveys factors in representation from each of the respective target groups/geographies.

Additionally, the key information areas to be covered in the discussion guides/questionnaires for key informant interviews and household surveys should include data points included but not limited to NITI Aayog's Output-Outcome



Monitoring Framework for corresponding schemes. This is further detailed in **Appendix IV (D)** of the RFP.

**b. Sampling**

The sample design for a household survey must be stratified in such a way that the sample actually selected is spread over geographic sub-areas and population sub-groups properly. The size of the sample must take account of competing needs so that costs and precision are optimally balanced. Given all India nature of the CSS scheme implementation, the sampling methodology will involve multi-stage, stratified and clustered features. In view of the sector level evaluation, the household surveys will be ‘general-purpose’ in scope, covering multiple topics of interest to the government. The sample plan must make use of clusters of households in order to keep costs to a manageable level but at the same time it must avoid being overly clustered. Keeping in view time frame and other factors, a non-probability judgmental and/or convenience sampling will be followed. The sample size can be based on a comparatively small proportion of the target population focused on several subjects. The survey managers may decide to base the sample size on being able to measure, reliably, a characteristic held by certain percent of the population dependent upon budget considerations.

An indicative sampling framework and minimum sample sizes for costing purposes is as follows:

Entire country can be divided into 6 geographical zones i.e. (i) North & Central, (ii) South, (iii) East, (iv) West, (v) North-East and (vi) Hilly states.

Zone-wise list of states are mentioned in the table below:

Sr No.	Zone	States / UTs
1	North & Central	Chandigarh, Chhattisgarh, Delhi, Haryana, Madhya Pradesh, Punjab, Uttar Pradesh
2	South	Andhra Pradesh, Karnataka, Kerala, Lakshadweep, Puducherry, Tamil Nadu, Telangana
3	East	Andaman & Nicobar Islands, Bihar, Jharkhand, Orissa, West Bengal
4	West	Dadra & Nagar Haveli, Daman & Diu, Goa, Gujarat, Maharashtra, Rajasthan
5	North-East	Assam, Arunachal Pradesh, Manipur, Meghalaya, Mizoram, Nagaland, Sikkim, Tripura
6	Hilly States	Jammu & Kashmir, Himachal Pradesh, Uttarakhand

A minimum of 11 States and 1 Union Territory are to be selected, of which each zone must be represented by at least one State. The State/UT selection criteria is to be proposed by the Consultant as a part of the Methodology and Work Plan in **Appendix I Form 7**.

Subsequently, in case of Water Resources sub-sector, within each selected state, all the districts will be classified into 3-4 strata based on key sectoral performance/index and one

district can be selected from each strata; thereby taking the total no. of districts selected to a minimum of around 30-35 districts. In a similar way, 3-4 villages will be selected in each district using stratified sampling. Selection of a state, district or village in each strata can be based on either systematic random or probability proportional to size sample selection technique. Within each village, about 10 households will be selected which will cover eligible beneficiaries of one or more CSS covered in the sub-sector.

Similarly, in case of Environment & Forest sub-sector, within each selected state, all the forest reserves like national parks, wildlife sanctuaries, etc. can be classified into 2-3 strata based on project interventions/species and board sectoral performance/index in mind and one forest reserve can be selected from each strata; thereby taking the total no. of forest reserves selected to a minimum of around 24 forest reserves. In a similar way, 2-3 villages will be selected in and around each forest reserve i.e. both core and buffer zone villages using stratified sampling. Selection of a state, forest reserve or village in each strata can be based on either systematic random or probability proportional to size sample selection technique. Within each village, about 10 households will be selected which will cover eligible beneficiaries of one or more CSS covered in the sub-sector. In case of UTs, a minimum of 1 district with 3-4 villages should be selected and a minimum of 10 households from each village should be covered.

It is important to note that these numbers are indicative and it is proposed that the Consultant may suggest their methodology best suited to meet the objectives of the evaluation.

However, for Water Resources sub-sector study, a minimum of about 550 key informant interviews, about 100 focus group discussions and about 1000 household interviews should be conducted as a part of the field study. Similarly, for Environment & Forest sub-sector study, a minimum of about 2 key informant interviews, about 50 focus group discussions and about 500 household interviews should be conducted during the field study.

Also, it should be ensured that Left Wing Extremism-affected (LWE) areas, aspirational districts and island areas are not inadvertently left out, if relevant. This has to be suitably included.

c. Details on the Evaluation Framework & Guidelines are included in **Appendix IV(F)** of the RFP.

d. **Mechanisms to ensure Data Quality**

A multi-pronged robust process for quality control needs to be followed during data collection. The following aspects need to be considered:

- i. The field investigators to be engaged for conducting the household study & key informant interviews/FGDs should have at least 3 years of experience in conducting similar surveys/interviews. 2-step training (classroom and then on-the-field training) should be conducted for all field investigators.
- ii. It is recommended that Pilots should be conducted on at least 2% of the sample size for both Key Informant Interviews as well as household surveys to fine tune the

inquiry tools. A brief on the learnings from such a pilot exercise and subsequent improvements in the tools/questionnaires should also be shared with NITI Aayog.

- iii. 100% data collected should be validated using a validation checklist. Missing data points should be recollected.
- iv. In case of household survey, at least 50% data should also be telephonically verified and if not verified via phone, back checks should be undertaken to ensure at least 50% data verification.
- v. Use of mobile-based, near real-time and geo-tagged data collection and validation tools should be done to ensure efficiency and accuracy in data collection. Access to the tools and data should be provided to the Authority.

## 6. Listing of stakeholders to be consulted

An indicative list of stakeholders to be interacted with during the key informant interviews, FGDs, institutional household surveys is placed at **Appendix IV(B)**.

## 7. Time Schedule

Agencies will be assessed based on the background and experience of the firm/organization/consortium, background and experience of the project team, proposed approach and methodology for the project, and if required, an in-person presentation to the Bid Evaluation Committee.

The process will be as follows:

S No	Activity	Deadline
1	Release of RFP	6 <sup>th</sup> May 2019
2	Last date for receiving queries/requests for clarifications	16 <sup>th</sup> May 2019
3	Pre-Proposal Conference	20 <sup>th</sup> May 2019
4	Final date for submission of bids	4 <sup>th</sup> June 2019
5	Award of contract	19 <sup>th</sup> June 2019

## 8. Deliverables & Timelines

- a. Inception report with final scope, methodology and approach. This should also include findings from the meta-analysis and therefore the areas which will be further explored during field visits.
- b. Mid-term report with initial findings of the study.
- c. Draft evaluation report for stakeholder consultations.
- d. Final Evaluation Report after incorporation of inputs from all the concerned stakeholders.

All the reports are required to be submitted in hard copy in triplicate and in soft copy. In addition to the reports, for further analysis in future, verifiable raw data in soft copy

should also be shared with NITI Aayog. This will include detailed transcriptions of key informant interviews and focus group discussions as well as raw data from household surveys in MS Excel/CSV format.

Timelines for the above deliverables would be as follows:

<b>Sr. No</b>	<b>Activity</b>	<b>Deadline</b>
1	Award of contract	T
2	Inception report	T+15 days
3	Finalization of inception report based on comments by NITI Aayog	T+17 days
4	Mid-term report	T+45 days
5	Sign-off on the mid-term report based on comments by NITI Aayog	T+48 days
6	Draft evaluation report	T+85 days
7	Comments on draft evaluation report by NITI Aayog	T+92 days
8	Sign-off on the Final Evaluation Report	T+100 days

## 9. Payment Schedule

The payment schedule linked to the specified deliverables above is given below:

<b>Key Date No.</b>	<b>Description of Deliverables</b>	<b>Week No.</b>	<b>Payment</b>
KD1	Inception report approved by Authority	3	20%
KD2	Mid-term report approved by Authority	7	30%
KD3	Draft evaluation report	13	30%
KD4	Final Evaluation Report approved by Authority	14	20%
	<b>Total</b>		<b>100%</b>

<sup>s</sup> Excludes the time taken by the Authority in providing its comments on the Draft evaluation report. The Consultant shall get one week for submission of the Final Evaluation Report after comments of the Authority are provided.

## 10. Indicative Structure of the Final Evaluation Report<sup>8</sup>:

### 1) Executive Summary

### 2) Introduction

### 3) Background to the Study

3.1. Objectives of the Study

3.2. Scope of the Study

3.3. Structure of Report

### 4) Approach and Methodology

4.1. Overall Approach

4.2. Meta-analysis Methodology

4.3. Field Study Methodology

4.3.1. Qualitative

4.3.1.1. Stakeholder & geographical coverage

4.3.1.2. Tools

4.3.2. Quantitative

4.3.2.1. Sampling - Geographical coverage & respondent profile

4.3.2.2. Sample size

4.3.2.3. Sample selection

4.3.2.4. Tools

4.4. Limitations of the Study

### 5) Sector-level Analysis

*(This section will be a synthesis of the findings from the meta-analysis and the field study. This should draw from the literature/desk review of evaluations studies, government reports, academic literature etc., as well as the granular Umbrella CSS and CSS level analysis.)*

5.1. Background of the Sector

*(This should include public/private structures and stakeholders; government interventions – State and Centre; trends, key drivers and dynamics within the sector, the sector's contribution to the economy and job creation, and levels of social inclusion in the sector etc.)*

5.2. Performance of the Sector

*(This should include sectoral performance on key metrics including the cross-sectional themes<sup>9</sup> and performance against global benchmarks; the intended and*

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<sup>8</sup> This is an indicative structure, which will evolve through the project timeline.

<sup>9</sup> Separate sub-sections should be provided for each of the cross-sectional themes as outlined in Paragraph 2 of the TOR. This is applicable across sections of the Indicative Report Structure where cross-sectional themes are mentioned.

*actual performance of the government sector; contribution of Umbrella CSS, CSS, State, CS schemes and other noteworthy multilateral interventions etc. to sectoral outcomes)*

### 5.3. Issues & Challenges

*(This should outline what the key gaps and bottlenecks in the sector are and why they continue to exist. This will include a root cause analysis, implementation challenges, policy/structural challenges, negative externalities etc.)*

### 5.4. Recommendations and Solutions

*(These should be provided based on the pillars of Relevance, Effectiveness, Efficiency, Equity, Sustainability and Impact at Sectoral level, and should also correspond to the issues and challenges as identified above.)*

5.4.1. Policy interventions including the cross-sectional themes

5.4.2. Legislative framework

5.4.3. Others

## 6) Umbrella CSS-level Analysis

*(This section will be a synthesis of the findings from the meta-analysis and the field study. This should draw from the literature/desk review of evaluations studies, government reports, academic literature etc., as well as the granular CSS level analysis. There should be one chapter on each Umbrella CSS.)*

### 6.1. Background of the Umbrella CSS

*(This should include the origins, history and evolution of the Umbrella scheme; its objectives, structures and stakeholders; details of schemes under the Umbrella; intended contribution to sectoral performance and national and international goals etc.)*

### 6.2. Performance of the Umbrella CSS

*(This should include performance on key metrics including the Output-Outcome Framework and cross-sectional themes; the actual vs intended contribution of Umbrella programmes to sectoral performance, etc.)*

### 6.3. Issues & Challenges

*(This should outline what the key gaps and bottlenecks in the UCSS are and why they continue to exist. This will include a root cause analysis, implementation challenges, structural challenges, negative externalities etc. The aspects to be covered will include: governance, institutional mechanisms, convergence with other schemes and programmes, fund flow efficiency and utilization, capacity-building and M&E systems)*

### 6.4. Recommendations and Solutions

*(These should be provided based on the pillars of Relevance, Effectiveness, Efficiency, Equity, Sustainability and Impact at Umbrella CSS level, and should also correspond to the issues and challenges as identified above. The interventions should include modifications/deletions/additions required in the Umbrella CSS to fill sectoral gaps. Recommendations should be provided separately across the cross-sectional themes)*

## 7) Conclusions

7.1. Summary of sectoral level issues & challenges

7.2. Sector Way Forward

## 8) References & Appendices

8.1. Appendix 1 - Details of Key Informant Interviews and Household Survey

8.1.1. Appendix 1a – Details of Key Informant Interviews

Sr. No.	Concerned Umbrella CSS	Scheme	Date of Interaction	Name & Designation of the key informant interviewed

8.1.2. Appendix 1b – Details of Household Surveys

Sr. No.	State	District	Beneficiary type	Number of samples covered

8.2. Appendix 2 - Format for CSS scheme-level analysis<sup>10</sup>

8.2.1. Scheme-level Analysis

*(This section will be a synthesis of the findings from the meta-analysis and the field study. This should draw from the literature/desk review of evaluations studies, government reports, academic literature etc., as well as the granular CSS level analysis. There should be one section on each scheme.)*

8.2.1.1. Background of the scheme

*(This should include the origins, history and evolution of the scheme; its objectives, implementation structures and stakeholders; intended contribution to sectoral performance and national and international goals etc.)*

8.2.1.2. Performance of the scheme

*(This should include performance on key metrics including the Output-Outcome Framework and cross-sectional themes; the actual vs. intended contribution of schemes to sectoral performance, etc.)*

<sup>10</sup> This section is applicable only where there is more than one scheme under the Umbrella.

### 8.2.1.3. Issues & Challenges

*(This should outline what the key gaps and bottlenecks in the scheme are and why they continue to exist. This will include a root cause analysis, implementation challenges, structural challenges, negative externalities etc. The aspects to be covered will include: governance, institutional mechanisms, convergence with other schemes and programmes, fund flow efficiency and utilization, capacity-building and M&E systems)*

### 8.2.1.4. Recommendations and Solutions

*(These should be provided based on the pillars of Relevance, Effectiveness, Efficiency, Equity, Sustainability and Impact at CSS level, and should also correspond to the issues and challenges as identified above. The interventions should include modifications/deletions/additions required in the CSS to fill sectoral gaps. Recommendations should be provided separately across the cross-sectional themes)*

## 8.3. Appendix 3 - Case Studies

The case studies should be identified using the criteria of effectiveness, efficiency, relevance, ethical soundness, scalability, sustainability and partner & community engagement and political commitment<sup>11</sup>. Kindly refer to the Chapter 1, 2 and 3 of the WHO Guidelines mentioned in the footnote for identifying and documenting best practices.

It is to be ensured that the Final Evaluation Report submitted is in the proper format, well-designed and readable.

## 11. Support from NITI Aayog

- a. A detailed list of scheme-specific information required for better contextual understanding of the Consultant is given in **Appendix IV** of the RFP.
- b. An authority letter will be provided to the Consultant to accord the necessary permissions for accessing the requisite stakeholders.

## 12. 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. 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 inception report, mid-term report and draft evaluation report 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

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<sup>11</sup> WHO: A Guide to Identifying and Documenting Best Practices in Family Planning Programmes ([https://www.who.int/reproductivehealth/publications/family\\_planning/best-practices-fp-programs/en/](https://www.who.int/reproductivehealth/publications/family_planning/best-practices-fp-programs/en/))



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 Consultants' 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.

### **13. 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) man 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.

### **14. 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 first 16 (sixteen) weeks 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 (Paragraph 4). The study 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 52 (fifty two) weeks 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 1 (one) year from the Effective Date, unless extended by mutual consent of the Authority and the Consultant.

**SCHEDULE-2**  
*(See Clause 2.1.3)*

**AGREEMENT**

**FOR**

**Consultancy for Evaluation of Centrally Sponsored Schemes  
in Package 9 - Water Resources, Environment and Forest  
Sector**

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## **AGREEMENT**

### **Consultancy for Evaluation of Centrally Sponsored Schemes in Package 9 - Water Resources, Environment and Forest Sector**

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 Evaluation of Centrally Sponsored Schemes in Package 9 - Water Resources, Environment and Forest Sector (hereinafter called the “**Consultancy**”) for the ..... Project (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;
- (l) “**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;
- (m) “**Party**” means the Authority or the Consultant, as the case may be, and Parties means both of them;
- (n) “**Personnel**” means persons hired by the Consultant or by any Sub-Consultant as employees and assigned to the performance of the Services or any part thereof;
- (o) “**Resident Personnel**” means such persons who at the time of being so hired had their domicile inside India;
- (p) “**RFP**” means the Request for Proposal document in response to which the Consultant’s proposal for providing Services was accepted;
- (q) “**Services**” means the work to be performed by the Consultant pursuant to this Agreement, as described in the Terms of Reference hereto;
- (r) “**Sub-Consultant**” means any entity to which the Consultant subcontracts any part of the Services in accordance with the provisions of Clause 4.7; and
- (s) “**Third Party**” means any person or entity other than the Government, the Authority, the Consultant or a Sub-Consultant.

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:

.....

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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:

.....

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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 1 (one) year 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 such Party’s Sub-Consultant 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 Sub-Consultants or 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 any Sub-Consultant, as well as the Personnel and agents of the Consultant and any Sub-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, as well as any Sub-Consultant and any entity affiliated with such Sub-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 its Sub-Consultant nor the Personnel of either of them 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 any Sub-Consultant, as well as the Personnel and agents of either of them, 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, its Sub-Consultants and the Personnel of either of them 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, its Sub-Consultants 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, its Sub-Consultants and the Personnel of either of them may disclose Confidential Information to the extent that such Confidential Information:

- (i) was in the public domain prior to its delivery to the Consultant, its Sub-Consultants and the Personnel of either of them or becomes a part of the public knowledge from a source other than the Consultant, its Sub-Consultants and the Personnel of either of them;
- (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, its Sub-Consultants and the Personnel of either of them 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 its Sub-Consultants or Personnel of either of them, as is reasonable under the circumstances; provided, however, that the Consultant or its Sub-Consultants or Personnel of either of them, 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, and shall cause any Sub-Consultant to take out and maintain, at its (or the Sub-Consultant's, as the case may be) 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 and of any Sub-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) entering into a subcontract for the performance of any part of the Services, it being understood (i) that the selection of the Sub-Consultant and the terms and conditions of the subcontract shall have been approved in writing by the Authority prior to the execution of the subcontract, and (ii) that the Consultant shall remain fully liable for the performance of the Services by the Sub-Consultant and its Personnel pursuant to this Agreement; or
- (c) 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 by the Sub-Consultants 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, its Sub-Consultants 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 its Sub-Consultants 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 AND SUB-CONSULTANTS**

### **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 man 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.

#### **4.7 Sub-Consultants**

Sub-Consultants listed in Annex-4 of this Agreement are hereby approved by the Authority. The Consultant may, with prior written approval of the Authority, engage additional Sub-Consultants or substitute an existing Sub-Consultant. The hiring of Personnel by the Sub-Consultants shall be subject to the same conditions as applicable to Personnel of the Consultant under this Clause 4.

### **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, its Sub-Consultants and Personnel with work permits and such other documents as may be necessary to enable the Consultant, its Sub-Consultants or 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-5 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-5 (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-6 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 execution of the Agreement. In the event the Agreement does not get executed within 1 (one) year 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 18 (eighteen) weeks 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-7 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

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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>12</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)

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<sup>12</sup> Where the Agreement Value specified in Clause 6.1.2 of this Agreement is expected to be less than Rs. 2 crore, the provision for a sole arbitrator shall be retained and where the Agreement Value is likely to be more than Rs. 2 crore, the provision for a Board shall be retained.

In the presence of:

1.

2.

## 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

**Approved Sub-Consultant(s)**

*(Refer Clause 4.7)*

(Reproduce as per Form-15 of Appendix-I)



## Annex-5

### **Cost of Services**

*(Refer Clause 6.1)*

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

## Annex-6

### Payment Schedule

(Refer Clause 6.3)

Key Date No.	Description of Deliverables	Week No.	Payment
KD1	Inception report approved by Authority	3	20%
KD2	Mid term report approved by Authority	7	30%
KD3	Draft evaluation report	13	30%
KD4	Final Evaluation Report approved by Authority	14	20%
	Total		100%

<sup>s</sup> Excludes the time taken by the Authority in providing its comments on the Draft evaluation report. The Consultant shall get one week for submission of the Final Evaluation Report after comments of the Authority are provided.

#### 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. All Reports shall first be submitted as draft reports for comments of the Authority. The Authority shall provide its comments no later than 3 (three) weeks from the date of receiving a draft report and in case no comments are provided within such 3 (three) weeks, the Consultant shall finalise its report. Provided, however, that the Authority may take upto 4 (four) weeks in providing its comments on the Draft evaluation report.*
- 3. Draft evaluation report shall be completed in 13 (thirteen) weeks excluding the time taken by the Authority in providing its comments on the Draft evaluation report. The Consultant may take 1 (one) week for submitting its Final Evaluation Report after receipt of comments from the Authority.*

Annex- 7

**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**

*(See Clause 2.3.3)*

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

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, they should 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**

**TECHNICAL PROPOSAL**

Form-1

**Letter of Proposal**  
(On Applicant's letter head)

(Date and Reference)

To,

.....  
.....  
.....

Sub: Appointment of Consultant for Evaluation of Centrally Sponsored Schemes in Package 9 - Water Resources, Environment and Forest Sector

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>13</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 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.

---

<sup>13</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.

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: Evaluation of Centrally Sponsored Schemes
1.2	Title of Project: Package 9 - Water Resources, Environment and Forest Sector
1.3	State whether applying as Sole Firm or Lead Member of a consortium: Sole Firm or Lead Member of a consortium
1.4	State the following: Name of Company or Firm: Legal status (e.g. incorporated private company, unincorporated business, partnership etc.): Country of incorporation: Registered address:  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:
1.5	If the Applicant is Lead Member of a consortium, state the following for each of the other Member Firms:

	<p>(i) Name of Firm:</p> <p>(ii) Legal Status and country of incorporation</p> <p>(iii) Registered address and principal place of business.</p>
1.6	<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?</p> <p style="text-align: right;">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?</p> <p style="text-align: right;">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?</p> <p style="text-align: right;">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?</p> <p style="text-align: right;">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?</p> <p style="text-align: right;">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>
1.7	<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?</p> <p style="text-align: right;">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?</p> <p style="text-align: right;">Yes/No</p>
1.8	<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 Consultant: ..... Project

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>14</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>14</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 Evaluation of Centrally Sponsored Schemes in Package 9 - Water Resources, Environment and Forest Sector for the ..... Project, 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.

APPENDIX-I

Form-6

**Particulars of Key Personnel**

S. No.	Designation of Key Personnel	Name	Educational Qualification	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.	Team Leader							
2	Deputy Team Leader							
3	Monitoring and Evaluation Expert							
4	Economist							
5	Water Resources Lead							
6	Environment, Forestry, Wildlife and Climate Change Lead							
7	Finance Specialist							
8	Statistician							

9	Public Institution Specialist							
10	Gender and Social Inclusion Specialist							
11	Environment and Climate Change Specialist							
12	Information Technology specialist							
13	Safeguards Specialist							
14	Water Resources Management Specialist							
15	Flood Control, Management and Drainage Specialist							
16	Water Resources Infrastructure and Micro-Irrigation Specialist							
17	Environment, Forestry, Wildlife and Climate Change Specialist							

18	Aquatic Habitats Sector Specialist							
19	Tribal Welfare Specialist							

§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 four pages)

The Applicant will submit its methodology for carrying out this assignment, outlining its approach toward achieving the Objectives laid down in the TOR, including approach, methodology, sampling, criteria for State/UT selection etc. The Applicant will submit a brief write up on its proposed team and organisation of personnel explaining how different areas of expertise needed for this assignment have been fully covered by its proposal. 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, locations and timelines of important activities in the form of a Gantt chart, and provide a quality assurance plan for carrying out the Consultancy Services.

**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 3.1.4
(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> 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:** 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)

Name of Key Personnel:

Designation:

S.No	Name of Project <sup>§</sup>	Name of Client	Estimated capital 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								

<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 3.1.4)

1.	Name of Applicant:	
2.	Name of the Project:	
3.	Type of Assignment (General/Specific) as per Clause 3.1.4	
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 capital 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.</p> <p style="text-align: right;">(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 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 capital 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: right;">(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 projects on which the Personnel has worked

Name of project

Description of responsibilities

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

Certification:

- 1 I am willing to work on the Project and I will be available for entire duration of the Project assignment as required.
- 2 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. Photocopies will not be considered for evaluation.

APPENDIX-I

Form-13

**Deployment of Personnel**

S.No.	Designation	Name	Person Days (PD)		Week Numbers																			
			On Field	In Office	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
1.																								
2.																								
3.																								
4.																								
5.																								
6.																								
7.																								
8.																								
9.																								
10.																								
11.																								
<b>Total Person days</b>																								

APPENDIX-I

Form-14

**Survey and Field Investigations**

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

APPENDIX-I

Form-15

**Proposal for Sub-Consultant(s)**

1. Details of the Firm				
Firm's Name, Address and Telephone				
Name and Telephone No. of the Contact Person				
Fields of Expertise				
No. of Years in business in the above Fields				
2. Services that are proposed to be sub contracted:				
3. Person who will lead the Sub- Consultant				
Name:				
Designation:				
Telephone No:				
Email:				
4. Details of Firm's previous experience				
Name of Work	Name, address and telephone no. of Client	Total Value of Services Performed	Duration of Services	Date of Completion of Services
1.				
2.				
3.				

(Signature and name of the authorised signatory)

**Note:**

1. The Proposal for Sub-Consultant(s) shall be accompanied by the details specified in Forms 12 and 13 of Appendix –I.
2. Use separate form for each Sub-Consultant

APPENDIX-II

**FINANCIAL PROPOSAL**

Form-1

**Covering Letter**

(On Applicant's letter head)

(Date and Reference)

To,

.....  
.....  
.....

Dear Sir,

Subject: Appointment of Consultant for Evaluation of Centrally Sponsored Schemes in  
Package 9 - Water Resources, Environment and Forest Sector

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**

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 (A):</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>Total of Personnel and Local Costs (A+B):</b>	
<b>C.</b>	<b>POST REPORT CONSULTATIONS</b>	
	2 person days each of	
I	Team Leader	
II	Deputy Team Leader	
III	Monitoring and Evaluation Expert	
IV	Economist	
V	Water Resources Lead	
VI	Environment, Forestry, Wildlife and Climate Change Lead	



	<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>SERVICE TAX</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 evaluation)</b>	
<b>I</b>	Domestic travel from firm's office to the Project Office (restricted to five return economy class air fares for each Key Personnel)	
<b>II</b>	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> In Indian Rupees ..... (in figures) ..... (in words)	

**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.

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 man day rate/ overhead/ miscellaneous expenses.
10. The Authority may require the Key Personnel to visit the Project/ the Authority's offices for further consultations after their Report has been accepted. The cost (remuneration including personal allowances) of 2 (two) person days of each Key Personnel is included in the Financial Proposal. The Authority may require upto 12 (twelve) extra days of consultation with any or all Key Personnel on payment of additional charges. For any increase as compared to the aforesaid 2 (two) days, payment shall be computed solely on the basis of relevant man 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 man 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 man days spent on the Consultancy.

APPENDIX-II

Form-3

**Estimate of Personnel Costs**

ID No.	Position	Name	Man day Rate (Rs.)	Total Person Days	Amount (Rs.)
<b>A I. Remuneration for Resident Professional Personnel (including all personal allowances)</b>					
Total					
<b>A II. Remuneration for Resident Support Personnel (including all personal allowances)</b>					
Total					
Total:					

APPENDIX - III  
**LIST OF BID-SPECIFIC PROVISIONS<sup>15</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>15</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

REFERENCES

**A. List of Sectors and Corresponding Umbrella Schemes**

**Water Resources Sub-sector**

Sr. No.	Ministries/Departments Involved	Umbrella CSS	CSS Scheme list	Cumulative outlay for past 4 years (2015-16 to 2019-20) <sup>16</sup>	Year of scheme launch
1.	Ministry of Agriculture cooperation and Farmers' Welfare	Pradhan Mantri Krishi Sinchayee Yojana	Per Drop More Crop	16,300	2015*
2.	Department of Land Resources, Ministry of Rural Development		Watershed Development Component	13,590	2015*
3.	Ministry of Water Resources, RD & GR		Har khet ko Pani	18,397	2015*
4.	Ministry of Water Resources, RD & GR		Accelerated Irrigation Benefits Programme	16,818	2015*
5.	Ministry of Water Resources, RD & GR		Flood Management and Border Area Programme	3,342	2017*
6.	Ministry of Water Resources, RD & GR		River Management Activities and Works Related to Border Areas	618	2012*
7.	Ministry of Water Resources, RD & GR		Flood Management Programme	713	2010
8.	Ministry of Water Resources, RD & GR		Assistance for Sutlej Yamuna Link Canal Project	0	Yet to start
9.	Ministry of Water		Irrigation	257.8	2017

<sup>16</sup> This is derived from the budget document (<https://www.indiabudget.gov.in/>) as Total = AE 15-16 + AE 16-17 + AE 17-18 + RE 18-19 + BE 19-20

	Resources, RD & GR		Census		
10.	Ministry of Water Resources, RD & GR		Atal Bhujal Yojna	0	Yet to start
11.	Ministry of Water Resources, RD & GR		Servicing of loans from NABARD under PMKSY	1994	2019-20
12.	Ministry of Water Resources, RD & GR		Special Package for Irrigation Projects to address agrarian distress in districts of Vidarbha and Marathawada and other chronically drought prone areas of rest of Maharashtra	800	2018-19
13.	Ministry of Water Resources, RD & GR		Impact Assessment Studies	2.25	2016

\*Restructuring of old schemes

### Environment & Forest Sub-sector

Sr. No.	Ministry/ Department	Umbrella CSS Scheme	CSS Schemes	Cumulative outlay for past 4 years (2015-16 to 2019-20) <sup>17</sup>	Year of scheme launch
1	MoEFCC	Environment & Forestry	Conservation of Natural Resources and Ecosystems	417.77	2017-18*
3	MoEFCC		National River Conservation Programme	685.55	1995
4	MoEFCC		National Mission for Green India	967	2014
6	MoEFCC		Integrated Development of Wildlife Habitats	2323.82	2017-18*

\*Restructuring of old schemes

#### **B. Indicative Stakeholder Mapping**

#### Water Resources Sub-sector

	Key Informant Interviews	Focus Group Discussions	Surveys
National*	Secretary, JS – M/o WR, Department of Land Resources (D/o LR), DACFW M/o Agriculture & Farmers' Welfare Commissioner SPR (PS) MOWR, Commissioner (CAD) MOWR, Commissioner (FM) MOWR, Director MI-Stat.Wing MoWR Officers of Metrological Department Officers of Central Water Commission, Ganga Flood Control Commission (GFCC), Brahmaputra Board (BB), National Disaster	If applicable	If applicable

<sup>17</sup> This is derived from the budget document (<https://www.indiabudget.gov.in/>) as Total = AE 15-16 + AE 16-17 + AE 17-18 + RE 18-19 + BE 19-20

	Management Authority (NDMA), National Rainfed Area Authority (NRAA), WaterAid, International Water Management Institute, etc.		
State	Officers of State Irrigation Department and Agriculture Department, State Watershed Department (if present), Water Resources Departments, Irrigation Departments, Public Works Departments, State Technical Advisory Committees (STAC), Flood Control Boards, State level Nodal Agency (SLNA) - DC/Addl CS/Agro Comm/PS as “CEO” and other officers as well as relevant NGOs/Private sector bodies at state level	If applicable	If applicable
District HO	Officers of District Administration involved in framing and implementation of District Irrigation Plans, Resource organization and development partners, Panchayati Raj Institution Representatives District watershed development unit/ District level committee	If applicable	If applicable
Block	Project Implementation agencies and Vos, Watershed Development Teams, Panchayati Raj Institution Representatives	NGOs working in the field of water and irrigation like Bhartiya Jain Sangathana, Tarun Bharat Sang, Samaj Pragati Sahyog.	If applicable
Village	Watershed committee, Panchayati raj institutions	Water Users Associations Self Help groups	If applicable
Households	Not Applicable	Not Applicable	Beneficiary farmers of different socio-economic status (landless, marginal,



			women etc.) Beneficiaries engaged in animal husbandry Migrant farm labourers Beneficiaries living in flood plain areas where interventions have been performed (maybe even a control group living in similar untreated geomorphology)
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\*includes Government, Academia, Think tanks, Multilaterals, NGOs, Experts, etc.

**Environment & Forest Sub-sector**

	Key Informant Interviews	Focus Group Discussions	Surveys
National*	<ul style="list-style-type: none"> <li>• Wildlife Wing, Ministry of Environment, Forest and Climate Change</li> <li>• National River Conservation Directorate, Ministry of Environment, Forest and Climate Change</li> <li>• National Afforestation and Eco-Development Board, Ministry of Environment, Forest and Climate Change</li> <li>• National Tiger Conservation Authority</li> <li>• National Board for Wildlife</li> <li>• National Green Tribunal</li> <li>• Forest Advisory Committee</li> </ul>	If applicable	If applicable
State	<ul style="list-style-type: none"> <li>• State Board for Wildlife</li> <li>• Principal Chief Conservator of Forests</li> <li>• Chief Wildlife Warden</li> </ul>	If applicable	If applicable

	<ul style="list-style-type: none"> <li>• Deputy Conservators of Forests</li> <li>• Forest Development Corporations</li> <li>• Cooperative Societies</li> <li>• Corporate interests in mining, timber and non-timber forest produce</li> </ul>		
District/Town	Forest Officers	If applicable	If applicable
Block	If applicable	If applicable	If applicable
Village	If applicable	If applicable	If applicable
Households	If applicable	If applicable	In core and buffer zones

### C. List of key documents to be referred by Consultant

1. National level:
  - a) Strategy for New India @ 75, NITI Aayog
  - b) Three Year Action Agenda, 2017-18 to 2019-20, NITI Aayog
  - c) Finance Commission Reports;
  - d) Report of the Sub-Group of Chief Ministers on the Rationalisation of CSS, October 2015;
  - e) Annual Economic Survey of India,
  - f) SDG related reports; etc
2. Sector specific: Evaluations, reports e.g. CPCB reports, UNESCO Reviews, etc.
3. Scheme specific: guidelines, annual reports, Status of Tigers, Co-predators and Prey in India 2010, Joining the Dots, etc.
4. Evaluation studies: Ministry, NITI, CAG, etc
5. Important websites: Ministry of Water Resources, Ministry of Statistics and Programme Implementation CAG, NITI Aayog- Composite Water Management Index, Twelfth Plan Document, Compendium of Best Practices in Water Sector
6. 5<sup>th</sup> & 6<sup>th</sup> Minor Irrigation Census of Ministry of Water Resources, River Development & Ganga Rejuvenation.

### D. Output-Outcome framework for the Schemes

**Water Resources Sub-sector**

**PMKSY – AIBP AND Har Khet Ko Pani Components**

<b>OUTPUTS 2018-19</b>		<b>OUTCOMES 2018-19</b>	
<i>Output</i>	<i>Indicator(s)</i>	<i>Outcome</i>	<i>Indicator(s)</i>
1. Repayment of interest/ principal of loan from NABARD under LTIF for Implementation of Priority projects in Mission Mode. Implementation of AIBP works for 48 projects would be expedited.	1.1. Works to complete 48 AIBP projects to be monitored	1. Creation of additional irrigation potential	1.1. Total Irrigation Potential Created (in Ha) through PMKSY –AIBP
2. Expedite progress on the RRR/SMI components of the scheme	2.1. No. of RRR & SMI projects to be completed	1. Creation of additional irrigation potential	1.1. Additional irrigation potential created (in lakh ha)
3. CADWM works in the identified prioritised projects will remain in progress	3.1. Culturable Command Area (ha) covered	1. Reduce the gap between Irrigation potential created and utilized;	1.1. Utilisation of irrigation potential in an additional culturable command area in ha.
	3.2. No. of Water User's Associations created	2. Strengthen participatory irrigation management	2.1. Command area (in ha) covered for participatory irrigation management through the Water User Associations formed.

**PMKSY – Watershed Development Component**

<b>OUTPUTS 2018-19</b>		<b>OUTCOMES 2018-19</b>	
<i>Output</i>	<i>Indicator(s)</i>	<i>Outcome</i>	<i>Indicator(s)</i>

OUTPUTS 2018-19		OUTCOMES 2018-19	
<i>Output</i>	<i>Indicator(s)</i>	<i>Outcome</i>	<i>Indicator(s)</i>
1. Conserve rainwater, reduce surface run-off and recharge groundwater	1.1. No. of water harvesting structures created / renovated (in Lakh)	1.1 Higher agriculture yield	1.1 Additional area brought under protective irrigation (in Lakh ha)
	1.2 Area brought under plantation [Afforestation / Horticulture etc.] (in Lakh ha)	1.2 Increased farmers' income	1.2 No. of farmers benefitted (in Lakh)
2. Development of Culturable Wasteland	2.1. Area of culturable wastelands treated in completed watershed development projects (in Lakh ha)	2. Contribution to employment	2.1.No. of person days generated (in Lakh person days)

PMKSY – Per Drop More Crop Component

OUTPUTS 2018-19		OUTCOMES 2018-19	
<i>Output</i>	<i>Indicator(s)</i>	<i>Outcome</i>	<i>Indicator(s)</i>
1. Efficient water conveyance and precision water app. devices - sprinklers, drips, pivots, rain-guns etc.	1.1. Area covered under micro-irrigation	1. Increased crop productivity, enhanced farmer income	1.1.Enhancement in yield (kg/ha) in cultivated area under MI
	1.2. % of net cultivated area micro-irrigated- 8.3%		1.2.Increase in farm income levels of farmers who used MI
	1.3. No. of farmers adopted MI	2. Improved water use efficiency	2.1.Water use efficiency enhancement.
2. Extending coverage of MI to water intensive crops like sugarcane, banana etc.	2.1. Area covered under MI in water intensive crops (ha)	3. Drought proofing of agriculture	3.1. Area of Protective Irrigation Potential created
3. Provisioning of protective irrigation facilities in rainfed	3.1. No. of Micro-Water harvesting structures to be		

OUTPUTS 2018-19		OUTCOMES 2018-19	
<i>Output</i>	<i>Indicator(s)</i>	<i>Outcome</i>	<i>Indicator(s)</i>
agriculture	created		
4. Awareness campaigns on water-saving technologies, capacity building, scientific moisture conservation	4.1. No. of scientific knowledge & awareness campaigns conducted (Trainings)		

Flood Management and Border Area Programme

OUTPUTS 2018-19		OUTCOMES 2018-19	
<i>Output</i>	<i>Indicator(s)</i>	<i>Outcome</i>	<i>Indicator(s)</i>
1. Execution of river management, anti-erosion, Flood Control, Restoration of Damage Flood Management Works and anti-sea erosion works in critical areas	1.1. Total no. of flood management works completed out of ongoing 244 projects	1. Reduction in damage due to floods, river erosion in selected river catchments.	1.1. Total population benefited under the intervention
			1.2. Total area protected due to new construction works (in Lakh ha)
2.1. Expedite the finalisation of DPR of Pancheswar Multipurpose project (PMP) by both India and Nepal, related pre-construction activities of PMP and preparation of DPR of Sapta Kosi High Dam & Sun-Kosi diversion scheme etc as well as other flood management works in border area projects	2.1. Finalization of DPR of Pancheswar Multipurpose project by both India and Nepal (Yes/No)	2. Reduction in damage due to floods, river erosion in selected river catchments and related pre-construction activities of PMP.	2.1. The Pancheswar Multipurpose project, when constructed and becomes operational would provide following benefits:  Power: 5040 MW (2520 MW to India and 2520 MW to Nepal) Irrigation: 0.43 million Ha (0.26 Mha to India + 0.17 Mha to Nepal) C. Flood Control benefits

OUTPUTS 2018-19		OUTCOMES 2018-19	
<i>Output</i>	<i>Indicator(s)</i>	<i>Outcome</i>	<i>Indicator(s)</i>
	2.2. Action for preparation of DPR of Sapta Kosi High Dam and Sub-Kosi diversion scheme (Yes/No)		
	2.2. Maintenance of embankments in river Kosi & Gandak in Nepal portion.		

**Environment & Forest Sub-sector**

*Project Tiger*

OUTPUTS 2019-20		OUTCOMES 2019-20	
<i>Output</i>	<i>Indicator (s)</i>	<i>Outcome</i>	<i>Indicator (s)</i>
1. Anti-poaching activities including camps, patrolling.	1.1. Number of anti-poaching infrastructure assets to be constructed	1. Stabilization of populations of critically endangered, flagship and other species in their habitats	1.1. Size of tiger population
	1.2. Number of wildlife crime seizures made w.r.t. tiger		
	1.3. Deployment of anti-poaching personnel		
2. Strengthening of infrastructure within Tiger Reserve (including new Tiger Reserves)	2.1. Number of high watch towers to be constructed for surveillance	2. Expansion of PAs covered under the scheme	2.1. Increase in number of Tiger Reserves
	2.2. Number of bridges/Culverts to be constructed		2.2. Increase in area under Tiger Reserves
	2.3. Number of earthen ponds /dams to be created		2.3. Increase in percentage of area designated as a Protected Area and/or Tiger Reserve
	2.4. Number of fire watch towers to be constructed		
	2.5. Number of staff quarters to be constructed		
	2.6. Number of Offices to be constructed		
3. Habitat improvement	3.1. Area to be covered	3. Strengthening	3.1. Number of

(enrichment, planting, soil/moisture conservation, water harvesting, fire/flood protection)	under grassland development (ha)	and consolidation of PA management	Tiger Reserves showing positive category change in Management Effectiveness Evaluation
	3.2. Area to be covered under invasive plant removal activities including removal of gregarious plant growth from grasslands		3.2. No. of TRs with unified control over Core and Buffer zones
4. Supporting livelihoods	4.1. Number of man-days of livelihood to be provided	4. Securing critical wildlife habitats like corridors and critically endangered habitats like mangroves	4.1. Increase in area under forest cover within designated wildlife corridors
5. Voluntary Relocation of villages from core /critical tiger habitats of Tiger Reserves to make them inviolate	5.1. Number of families to be relocated	5. Reduction in man-animal conflict	5.1. Number of human fatalities due to man-animal conflict.
	5.2. Number of villages to be relocated		5.2. Amount of financial ex-gratia paid for instances of conflict
	5.3. Area to be made inviolate by relocation (ha)		
6. Management planning, strengthening research and awareness, capacity building	6.1. Number of Tiger Conservation Plan (TCP) / indicative Tiger Conservation Plan (where Tiger Conservation Plan is not approved) to be put in place	6. Legalisation of the management interventions in Tiger Reserves	6.1. Number of Tiger Conservation plans to be approved
	6.2. Dissemination workshops to be conducted		
	6.3. Number of Trainings to be conducted		
	6.4. Study tours to be conducted for appraisal of good practices		
		7. Increased preparedness	7.1. Number of persons to be

		of the forest officials for active management involving stakeholders concerned	sensitised
		8. Enhancement of capacity of forest/other dept. officials	8.1. Number of persons to be trained
		9. Replication of good management practices	9.1. Number of Tiger Reserves where good management practices to be replicated



**Project Elephant**

<b>OUTPUTS 2019-20</b>		<b>OUTCOMES 2019-20</b>	
<b>Output</b>	<b>Indicator (s)</b>	<b>Outcome</b>	<b>Indicator (s)</b>
1. Management planning, strengthening research and awareness, capacity building	1.1. No. of workshops/seminars/trainings/conferences to be organised	1. Stabilization of populations of critically endangered, flagship and other species in their habitats	1.1. Size of elephant population
2. Habitat improvement (enrichment planting, soil/moisture conservation, water harvesting, fire/flood protection)	2.1. Area to be improved under tree/fodder plantation	2. Integrated protection through landscape-level interventions and transboundary PA initiatives	2.1. Length of fire-lines to be brought under fire prevention and control
	2.2. Area to be covered under invasive plant removal activities		2.2. Number of elephant barriers to be created
	2.3. No. of water holes to be created		2.3. Number of salt licks to be created
3. Anti-poaching activities including camps, watchtowers, patrolling, legal aid, procurement of rifles/guns/ammunition and infrastructure such	3.1. Number of anti-poaching camps/sheds to be created	3. Securing critical wildlife habitats like corridors	3.1. No. of Elephant Reserves to be created
	3.2. Number of anti-poaching squads to be created		3.2. Amount to be spent on
	3.3. Number of watch towers to be created		

as GPS, fire crackers etc	3.4. Stretch of patrolling path to be created/ maintained		eco- develop ment work in elephant corridor
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***Integrated Development of Wildlife Habitats***

<b>OUTPUTS 2019-20</b>		<b>OUTCOMES 2019-20</b>	
<b><i>Output</i></b>	<b><i>Indicator (s)</i></b>	<b><i>Outcome</i></b>	<b><i>Indicator (s)</i></b>
1. Management planning strengthening research and awareness, capacity building	1.1.Total number of PAs to be covered	1. Stabilization of populations of critically endangered, flagship and other species in their habitats	1.1. Number of species to be covered
	1.2. No. of PAs to have Management Plans		1.2. Species count - Lion
	1.3. No. of PAs with Management Plan to be active		1.3.Species count - Manipur brow-antlered deer
	1.4. Number of Capacity building seminars/workshop/trainings to be organised		1.4.Species count – Nilgiri Tahr
	1.5. Number of Awareness programmes/stakeholder consultations to be organized		1.5.Species count - Rhinoceros
1.6. Number of species declared extinct in the last year			
2. Relocation of villages	2.1. Size of population to be relocated	2. Integrated protection through landscape-level interventions and transboundary PA initiatives	2.1. Area to be brought under fire protection
	2.2. Number of PAs to be covered by relocation programmes		2.2. Area to be brought under boundary protection
			2.3. Perambulation
3. Including projects for high-value biodiversity areas outside of PAs	3.1. Combined area of projects to be taken up outside of PAs	3. Expansion of PAs covered under the scheme	3.1. Percentage of area to be under forest cover
			3.2. Percentage of national territorial area to be designated as a Protected Area
4. Habitat improvement (enrichment planting, soil/ moisture conservation , water harvesting,	4.1. Area to be covered under tree plantation		
	4.2. Area to be brought under invasive plant removal		
	4.3. No. of water holes to be created		
	4.3. No. of water holes to be maintained		

fire/ flood protection)			
5. Anti-poaching activities including camps, watchtowers, patrolling, legal aid, State Crime Cells	5.1. Number of Watch towers to be created		
	5.2. Distance to be covered by Patrolling		
	5.3. Number of Raids to be conducted		
	5.4. Number of people to be provided with Legal Aid		
	5.5. Intelligence network to be built		
6. Supporting alternative livelihoods, minor forest produce, eco tourism	6.1. Number of HHs to be provided with alternate livelihoods		
7. Integrated protection through landscape-level interventions and transboundary PA initiatives	7.1. Area to be covered under Fire protection activities		
	7.2. Area to be brought under boundary protected		
	7.3. Perambulation		

### *National Afforestation Programme*

<b>OUTPUTS 2019-20</b>		<b>OUTCOMES 2019-20</b>	
<i>Output</i>	<i>Indicator (s)</i>	<i>Outcome</i>	<i>Indicator (s)</i>
1. First Year Activities: Advance Work-Comprising Soil Moisture Conservation, Raising of Nurseries and Clearance of Land for plantation	1.1. Area to be covered by advance work (raising of nurseries and soil and moisture conservation work)	1. Increase in forest cover (ha)-which includes Advance, Plantation and three-year maintenance work	1.1. Area to be increased in forest cover
2. Second Year Activities:	2.1. Area to be covered by plantation	2. Increase in forest quality, i.e. canopy density (ha)- which	2.1. Area to be covered by forest quality

Creation/Plantation of saplings	activities	includes Advance, Plantation and three-year maintenance work	improvement activities
3. Years 3-5: Maintenance of Plantation	3.1. Area to be covered by maintenance work	3. Diversification of household incomes	3.1. Percentage of HH reporting diversification of income sources
4. Promotion of alternative fuel energy devices	4.1. No. of Households to be benefited	4. Improvement in carbon sequestration capacity of forests	4.1. Amount of carbon sequestered

### ***Forest Fire Prevention and Management Scheme***

<b>OUTPUTS 2019-20</b>		<b>OUTCOMES 2019-20</b>	
<b><i>Output</i></b>	<b><i>Indicator (s)</i></b>	<b><i>Outcome</i></b>	<b><i>Indicator (s)</i></b>
1. Creation and maintenance of firelines including control burning	1.1. Length of fire lines to be created and maintained (in km)	1. Decrease in number of forest fire incidences	1.1. Percentage decrease in forest fire incidences
2. Procurement of fire fighting equipments	2.1. No. of fire fighting equipments to be procured	2. Decrease in forest areas affected by forest fire	2.1. Total decrease in estimated area affected due to forest fire
3. Procurement of field vehicles for transportation of resources	3.1. No. of field vehicles to be procured for transportation of resources		
4. Water harvesting structure	4.1. Nos. of Water harvesting structures to be constructed		
5. Engagement Fire watchers	5.1. Mandays of Fire watchers engaged		
6. Training and pre-fire season workshops	6.1. No. of Training and pre-fire season workshops to be organised		
7. Incentivizing villages / JFMCs for protection against forest fire	7.1. No. of villages / JFMCs to be incentivized for protection against		

	forest fire		
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*Conservation of Aquatic Ecosystems*

<b>OUTPUTS 2019-20</b>		<b>OUTCOMES 2019-20</b>	
<i>Output</i>	<i>Indicator(s)</i>	<i>Outcome</i>	<i>Indicator(s)</i>
1. Conservation and Management activities for wetlands (includes lakes) such as survey and demarcation, catchment area treatment, pollution abatement, strengthening of bund, fencing, weed control, fisheries development, education & awareness etc.	1.1 Number of wetlands where conservation and management activities are to be undertaken	1. Conservation & management of wetlands	1.1 Tentative Area of wetlands to be covered under conservation activities
			1.2 Number of Regional Workshops for wetland Managers for Conservation & Management of wetlands to be organized

**Biodiversity Conservation**

<b>OUTPUTS 2019-20</b>		<b>OUTCOMES 2019-20</b>	
<b>Output</b>	<b>Indicator(s)</b>	<b>Outcome</b>	<b>Indicator(s)</b>
1. Designation of new Biosphere Reserves (BR) and inclusion in the World Network of Biosphere Reserves (WNBR) of Man and the Biosphere Programme (MAB-UNESCO)	1.1. Number of new BRs to be designated and included in the WNBR	1. Conservation of Biodiversity by enhancing the socio-economic and livelihood issues of the people living in BRs.	1.1. Number of villages to be covered by activities to improve socio-economic conditions and livelihoods
2. Organisation of Workshops/seminars and stakeholders meeting etc	2.1. Number of meetings/workshops/seminars to be held for BR managers	2. Sharing of knowledge generated by research studies: More research projects on the important issues of Biosphere and the sustainable development leading to SDGs to be encouraged and promoted.	2.1. Number of meetings/seminars/ Workshops to be organized
	2.2. Number of international meetings/workshops/seminars to be held		
3. Branding of BRs	3.1. Number of BRs to be branded	3. Branding of BRs	3.1. Number of BR's Periodic Review Reports to be submitted to MAB-UNESCO
	3.2. Number of WNBR (UNESCO) certificate plaques to be constructed by State Governments		

***National River Conservation Plan***

<b>OUTPUTS 2019-20</b>		<b>OUTCOMES 2019-20</b>	
<b><i>Output</i></b>	<b><i>Indicator(s)</i></b>	<b><i>Outcome</i></b>	<b><i>Indicator(s)</i></b>
1. Conserving riverine ecosystems	1.1. Number of polluted river stretches to be covered under NRCP	1. Reduction in pollution load in rivers	1.1. BoD load to be prevented from reaching the river.
	1.2. Number of polluted towns to be covered under NRCP		
	1.3. Number of polluted states to be covered under NRCP		
2. Interception, diversion and treatment of waste water flowing into the river	2.1. Sewage treatment capacity to be created (mld)	2. Reuse and recycling of wastewater to prevent drawl from the rivers	2.1. Estimated amount of treated wastewater to be used to meet agricultural industrial and domestic demand (mld)
	2.2. No. of STPs		



## **E. Areas of Inquiry for Water Resources Sub-Sector**

### **Per Drop More Crop component of PMKSY**

1. The Consultant will study the status of the completion of the projects under programme and compile reasons for delay in completion of the project.
2. The Consultant will examine the financial outlay of the programme vis-à-vis the financial resources used in the programme till date.
3. The Consultant will examine the status of physical access of water on the farm as envisioned under the programme.
4. The Consultant will examine the Irrigation potential utilized out of created potential.
5. The Consultant will examine the status of monitoring of the projects and details of agency which undertook the monitoring.
6. The Consultant will report the status of third-party evaluation of the scheme.
7. The Consultant will study the details of convergence with other schemes like IWMP and MGNREGA.
8. The Consultant will study the details on provisions for the operation and maintenance activities of the projects constructed under the programme.
9. The Consultant will study the details of Water Users' Association (WUAs) in terms of their creation/ registration, capacity building, financial empowerment, taking-over of irrigation assets, and day-to-day functioning and evaluate the strengths and weaknesses of the functional WUAs including their financial sustainability, and capacity for proper maintenance of assets and in ensuring equitable distribution of water.
10. The Consultant will examine the status of implementation of District Irrigation Plans.
11. The Consultant will track the constitution of District-Level Monitoring Committee formed in accordance with the guidelines of PMKSY and report details of their functioning
12. The Consultant will study the status and details of the platform to share, display and reward the best practices.
13. The Consultant will examine the status and details of the Participatory Irrigation Management, Water User Associations and NGOs working in the domain of PDMC.
14. The Consultant will study the measures taken to promote water use efficiency specific to PDMC.
15. The Consultant will analyze the savings on various inputs such as fertilizers, water, power, pesticides, labour etc., or any other additional benefits caused to Agriculture/Horticulture crops, as an outcome of use of micro-irrigation.
16. The Consultant will study the enhancement of productivity and quality of produce.
17. The Consultant will study the impact of Micro Irrigation (MI) on water intensive crops like sugarcane, banana and cotton.
18. The Consultant will study work flow pattern and monitoring mechanism including Direct Benefit Transfer, of state implementing agency.
19. The Consultant will examine employment generation due to MI.
20. The Consultant will study overall impact of MI on farmer's income enhancement including cost benefit ratio of Agriculture/Horticulture Crops.

### **Watershed Development Component of PMKSY**

1. The Consultant will examine the financial outlay of the programme vis-à-vis the financial resources used in the programme till date.
2. The Consultant will record the changes observed in natural resources in the project area. This includes change in Land use & Land cover, reclamation of waste-land, change in irrigated areas, change in ground water level and reduction in runoff.
3. The Consultant will assess the change in agriculture sector i.e. change in cropping pattern, area expansion, production, productivity of major crops, cropping intensity and diversity.
4. The Consultant will assess the change in economy of the watershed community—i.e. change in income, employment, skill enhancement, if any, and expenditure patterns.
5. The Consultant will assess the level of people's participation in the project and its implications.
6. The Consultant will assess the level & pattern of fund utilization by states and explore reasons for unspent balances or low spending along with suggestions for improvement.
7. The Consultant will assess the post project maintenance of assets & institutions generated under the project and suggest policy option for their sustenance.
8. The Consultant will study the details of convergence with other schemes like IWMP and MGNREGA.
9. The Consultant will examine the status and details of the Participatory Irrigation Management, Water User Associations and NGOs working in the domain of WDC.
10. The Consultant will provide an overall national level summary of findings and document the best practices observed, lessons learnt, etc., with policy suggestions for future improvement.

### **Har Khet Ko Paani (SMI & RR) Component of PMKSY**

1. The Consultant will examine the financial outlay of the programme vis-à-vis the financial resources used in the programme till date.
2. The Consultant will evaluate the status and details of new water resources created through Minor Irrigation (surface and groundwater) and development of lift irrigation system.
3. The Consultant will evaluate the status and details of the water bodies repaired, renovated and restored under the programme, where 'restoration' would mean restoring, if not more, the original designed command.
4. The Consultant will evaluate the status and details of the works done to strengthen the carrying capacity of the traditional water bodies targeted under the programme.
5. The Consultant will examine the status and details of the rain water harvesting structures constructed under the programme.
6. The Consultant will evaluate the status and details of the works under the scheme.
7. The Consultant will examine the Irrigation potential created under the programme.
8. The Consultant will examine the Irrigation potential utilized out of created potential.
9. The Consultant will verify the potential creation reported by the State from a particular project post completion of all the physical works on the ground.
10. The Consultant will study the details of the groundwater development works undertaken under the programme.

11. The Consultant will study the details of the works done to improve the water management and distribution system of the water bodies.
12. The Consultant will study the details of the works done to divert water from the sources of different locations where it is plenty to water scarce areas.
13. The Consultant will examine the status of monitoring of the projects and details of agency which undertook the monitoring.
14. The Consultant will report the status of Third-party evaluation of the scheme.
15. The Consultant will examine the status (including frequency of data updating) of the online MIS system for the programme, if developed; and if not developed, examine the reasons thereof.
16. The Consultant will study the details of convergence with other schemes like IWMP and MGNREGA.
17. The Consultant will study the details on provisions for the operation and maintenance activities of the projects constructed under the programme.
18. The Consultant will study the details of Water Users' Association (WUAs) in terms of their creation/ registration, capacity building, financial empowerment, taking-over of irrigation assets, and day-to-day functioning and evaluate the strengths and weaknesses of the functional WUAs including their financial sustainability, and capacity for proper maintenance of assets and in ensuring equitable distribution of water.
19. The Consultant will study the status of District Irrigation Plans and reasons for delay in their formulation.
20. The Consultant will study the status of implementation of District Irrigation Plans.
21. The Consultant will study the status of State Irrigation Plans and reasons for delay in their formulation.
22. The Consultant will study the status of implementation of State Irrigation Plans.
23. The Consultant will track the constitution of District-Level Monitoring Committee formed in accordance with the guidelines of PMKSY and report details of their functioning.
24. The Consultant will study the status and details of the platform to share, display and reward the best practices.
25. The Consultant will examine the status and details of the Participatory Irrigation Management, Water User Associations and NGOs working in the domain of SMI and RR.
26. The Consultant will study the measures taken to promote water use efficiency specific to SMI and RR.
27. The Consultant will evaluate the measures taken to explore the feasibility of reusing treated municipal waste water for peri-urban agriculture.
28. The Consultant will evaluate whether rural economy has improved with the inception of the AIBP programme in the command - change in income, employment, skill enhancement, if any, and expenditure patterns.
29. The Consultant will provide an overall national level summary of findings and document the best practices observed, lessons learnt, etc., with policy suggestions for future improvement.

### **AIBP Component of PMKSY**

1. The Consultant will examine the financial outlay of the programme vis-à-vis the financial resources used in the programme till date.
2. The Consultant will study the status of completion of the projects under the programme and reasons for delay in completion of the project.
3. The Consultant will examine the status of physical access of water on the farm as envisioned under the Programme.
4. The Consultant will review of the implementation process of AIBP.
5. The Consultant will study the Irrigation potential created under the programme.
6. The Consultant will study the Irrigation potential utilized out of created potential.
7. The Consultant will verify the potential creation reported by the State from a particular project post completion of all the physical works on the ground.
8. The Consultant will examine the status of monitoring of the projects and details of agency which undertook the monitoring.
9. The Consultant will report the status of Third party evaluation of the scheme.
10. The Consultant will examine the status (including frequency of data updating) of the online MIS system for the programme, if developed; and if not developed, examine the reasons thereof.
11. The Consultant will study the details of convergence with other schemes like IWMP and MGNREGA.
12. The Consultant will study the details on provisions for the operation and maintenance activities of the projects constructed under the programme.
13. The Consultant will study the details of Water Users' Association (WUAs) in terms of their creation/ registration, capacity building, financial empowerment, taking-over of irrigation assets, and day-to-day functioning and evaluate the strengths and weaknesses of the functional WUAs including their financial sustainability, and capacity for proper maintenance of assets and in ensuring equitable distribution of water.
14. The Consultant will study the status of District Irrigation Plans and reasons for delay in their formulation.
15. The Consultant will study the status of implementation of District Irrigation Plans
16. The Consultant will study the status of State Irrigation Plans and reasons for delay in their formulation.
17. The Consultant will study the status of implementation of State Irrigation Plans.
18. The Consultant will track the constitution of District-Level Monitoring Committee formed in accordance with the guidelines of PMKSY and report details of their functioning
19. The Consultant will study the status and details of the platform to share, display and reward the best practices.
20. The Consultant will examine the status and details of the Participatory Irrigation Management, Water User Associations and NGOs working in the domain of AIBP.
21. The Consultant will study the measures taken to promote water use efficiency specific to AIBP.

22. The Consultant will evaluate whether rural economy has improved with the inception of the AIBP programme in the command - change in income, employment, skill enhancement, if any, and expenditure patterns.
23. The Consultant will provide an overall national level summary of findings and document the best practices observed, lessons learnt, etc., with policy suggestions for future improvement.

#### **Flood Management and Border Areas Programme (FMBAP)**

1. The Consultant will examine the financial outlay of the programme vis-à-vis the financial resources used in the programme till date.
2. The Consultant will examine the performance of the Centrally Sponsored Scheme “Flood Management and Border Areas Programme” during the reference period including performance vis-à-vis output - outcome indicators, protection of area with reasonable degree from flood, erosion, waterlogging.
3. The Consultant will examine the capacity building (both technical and human) works taken under the Programme in order to fulfill the objectives.
4. The Consultant will examine the status of monitoring of the projects and details of agency which undertook the monitoring.
5. The Consultant will report the status of Third party evaluation of the scheme.
6. The Consultant will examine the status (including frequency of data updating) of the online MIS system for the programme, if developed; and if not developed, examine the reasons thereof.
7. The Consultant will study the details of convergence with other schemes.
8. The Consultant will evaluate whether funds have been released to the States/UTs for conduct of the flood management and Border Area protection works.
9. The Consultant will evaluate the progress of field work in States/UTs, along with efficacy of protection from floods, water logging, drainage etc.

The Consultant will provide an overall national level summary of findings and document the best practices observed, lessons learnt, etc., with policy suggestions for future improvement.

### **Irrigation Census**

1. The Consultant will examine the financial outlay of the programme vis-à-vis the financial resources used in the programme till date.
2. The Consultant will examine the performance of the Centrally Sponsored Scheme “Irrigation Census” during the reference period including performance vis-à-vis output - outcome indicators.
3. The Consultant will examine whether the fifth Minor Irrigation Census with reference year 2013-14 has been completed and the National level report published during 2017-18.
4. The Consultant will evaluate whether the preparatory work for launching 6<sup>th</sup> Minor Irrigation Census and Census of Water Bodies like --Constitution of Steering Committee, finalization of Statistical Instruments (viz. schedules, instruction manual, methodology) , organization of All India & Six Regional Training Workshops, development of Software & Mobile application by National Informatics Centre, conduct of Four Regional Data Processing Workshops, launching of software & mobile application and start of field work --has been completed.
5. The Consultant will evaluate whether funds have been released to the States/UTs for conduct of the Census.
6. The Consultant will evaluate the progress of field work in States/UTs.
7. The Consultant will decide regarding the continuation of Irrigation Census Scheme during the next Finance Commission cycle.

## Environment & Forest Sub-sector

### **Background of Schemes**

#### Project Tiger

Project Tiger was launched on 1<sup>st</sup> April, 1973 for in-situ conservation of wild tigers in designated tiger reserves. Wild tigers are found in 18 of our States, viz. Andhra Pradesh, Arunachal Pradesh, Assam, Bihar, Chhattisgarh, Jharkhand, Karnataka, Kerala, Madhya Pradesh, Maharashtra, Mizoram, Odisha, Rajasthan, Tamil Nadu, Telangana, Uttarakhand, Uttar Pradesh and West Bengal. Project Tiger is being implemented in these States in collaboration with the respective State Governments. The objective of the Scheme is to foster an exclusive tiger agenda in the core areas of tiger reserves, with an inclusive people-oriented agenda in the buffer.

#### Project Elephant

Project Elephant (PE) was launched by the Government of India in the year 1992 as a Centrally Sponsored Scheme. Financial and Technical support are being provided to major elephant bearing States in the country. The project is being implemented in 16 States/UTs, viz. Andhra Pradesh, Arunachal Pradesh, Assam, Chhattisgarh, Jharkhand, Karnataka, Kerala, Maharashtra, Meghalaya, Nagaland, Orissa, Tamil Nadu, Tripura, Uttarakhand, Uttar Pradesh, West Bengal. The objectives are to protect elephants, their habitat & corridors; to address issues of man-animal Conflict; and Welfare of captive elements.

#### Integrated Development of Wildlife Habitats

This Scheme provides funding assistance to States for support to Protected Areas (PAs) other than tiger reserves, Recovery Programme of critically endangered species, and Protection of wildlife outside Protected Areas including management of human-wild animal conflict. Through this the Government of India provides financial and technical assistance to the State/UT Governments for activities aimed at wildlife conservation.

#### National Afforestation Programme

National Afforestation Programme provides support, both in physical and capacity building terms, to the Forest Development Agencies (FDAs) which in turn are the main organs to move forward institutionalization of Joint Forest Management. The FDA has been conceived and established as a federation of Joint Forest Management Committees (JFMCs) at the Forest Division level to undertake holistic development in the forestry sector with people's participation. This is a paradigm shift from the earlier afforestation programmes wherein funds were routed through

the State Governments.

### Forest Fire Prevention and Management Scheme

In view of the uncontrolled forest fire incidences, the Government of India through the Ministry of Environment, Forest and Climate Change (MoEF&CC) has been assisting the efforts of the States/UTs by extending financial assistance every year. This Scheme has been shaped after restructuring the earlier Scheme of Intensification of Forest Management Scheme (IFMS), aims to provide financial assistance to States for their integrated forest fire prevention and management efforts.

### Conservation of Aquatic Ecosystems

The Scheme “Conservation of Aquatic Ecosystems” envisages controlling the continued degradation and loss of lakes and wetlands in the country and ensuring their conservation and management by promoting a cross sectoral planning and decision making perspective. It mandates a shift from the sectoral approaches adopted till date for management of these ecosystems, and instead focuses on mainstreaming of aquatic ecosystem services, and biodiversity at State/UT level development programmes.

### Conservation of Natural Eco-system- Biosphere Reserves

The Scheme on Biosphere Reserves (BRs) was initiated in 1986 for in-situ conservation of representative ecosystems of major bio-geographic zones of the country that are globally important. Sustainable development, protection research, monitoring, education, training and information exchange are its major components. Assistance is provided for approved activities/interventions in BRs. Research projects are also supported.

### National River Conservation Plan

The Central Government started the river pollution abatement programme with the launching of the Ganga Action Plan (GAP-I) in the year 1985. Subsequently, the GAP Phase II was launched in 1993 for pollution abatement of river Yamuna and Gomti, major tributaries of river Ganga. The river pollution abatement programme was further expanded to include other major rivers of the country in 1995 under the aegis of National River Conservation Plan (NRCP). Finally, in December 1996, GAP Phase II was also merged with the NRCP and all projects for river cleaning in the country was brought under one umbrella Scheme of NCRP. The objective of NCRP is to reduce the pollution load in rivers through implementation of various pollution abatement works, thereby improving their water quality.



## **F. Areas of Inquiry for Environment and Forest Sub-Sector**

- a. General Objective: To assess the effectiveness, success and impact of the concerned Scheme vis-à-vis inputs/assistance provided by Government of India.
- b. Specific Objectives for each of the schemes/sub-schemes is mentioned below:

### Project Tiger:

- To examine the progress against identified indicators for last 5 years upto March 2019.
- To scrutinize protection, habitat amelioration, day to day monitoring, eco-development for local people in buffer areas, voluntary relocation of people from core/critical tiger habitats, and addressing human-wildlife conflicts, within the ambit of the Wildlife (Protection) Act, 1972 and guidelines of Project Tiger/ National Tiger Conservation Authority.
- To review and analyse the conduct of the country level assessment of the status of tiger, co-predators, prey and habitat once in four years, using the refined methodology, as approved by the Tiger Task Force.

### Project Elephant:

- To examine the progress against identified indicators for last 5 years upto March 2019.
- Assess ecological restoration of existing natural habitats and migratory routes of elephants;
- Monitor Development of scientific and planned management for conservation of elephant habitats and viable population of Wild Asiatic elephants in India
- Review promotion of measures for mitigation of man elephant conflict in crucial habitats and moderating pressures of human and domestic stock activities in crucial elephant habitats;
- Assess the strengthening of measures for protection of wild elephants from poachers and unnatural causes of death;
- Assess research on Elephant management related issues;
- Check the efforts made towards public education and awareness programmes;
- Eco-development
- Veterinary care
- Elephant Rehabilitation/Rescue Centers.

### Integrated Development of Wildlife Habitats

- To assess the progress against identified indicators for last 5 years upto March 2019.

- To study the strength and weaknesses of architecture, design, approach and delivery/implementation of the scheme and suggest the modifications, if required necessary;
- To assess the effectiveness of scheme in combating poaching and report the best practices, if any;
- To examine the infrastructure works undertaken under the scheme and their effect on wildlife habitats;
- To assess the information system installed, if any, under the scheme and its utilization.
- To examine the habitats restored under the scheme; habitats undergoing restoration; effects of restoration on the habitats; and the feasibility of such restoration works.
- To analyze the steps undertaken to strengthen wildlife research, education and nature awareness
- To examine the measures undertaken for reducing man- animal conflict;
- To evaluate the training activities undertaken for strengthening staff and capacity building;
- To examine the utilization of funds allotted under the scheme;
- To examine the operational and implementation challenges and identify bottlenecks, if any.

#### National Afforestation Programme

- To assess the progress against identified indicators attached as for last 5 years upto March 2019.
- To assess the effectiveness of the scheme, especially in terms of cost-effectiveness, in rehabilitation of degraded areas on a sustainable basis in terms of quality and quantity of the growing stock. This will include assessment of survival percentage of the planted seedlings and its relationship with various factors, and improvement in forest/ tree cover due to the FDA project;
- Overall cost-effectiveness of the FDA-JFMC mechanism for forest development.
- To examine activities undertaken for Promotion of fuel saving devices to encourage efficient use of fuelwood and to reduce the drudgery of rural women involved in collection of wood, as also to improve the environment
- Shortfalls in the objectives of the programme approved and the actual implementation at the field level.
- People's perception/observation about the programme in terms of qualitative parameters, e.g. social harmony, inter-village and intra- village social position of various groups, and improved livelihood opportunities.
- Benefits of the projects in terms of flow of fuel wood, timber (small and large), fodder, food and nutritional supplements and other non-timber forest products (NTFPs) for self-consumption and sale.

- To assess the effectiveness of programme enhancing local capacity and institutional building for strengthening improved land & eco system management.
- To assess the effectiveness of programme in addressing ecological concerns (e.g. ways to improve survival percentage of the planted seedlings, overall increase in forest and tree cover, regulated grazing of cattle, control of illicit felling, control of forest fire, etc.).
- To assess the effectiveness of FDA-JFMC mechanism against the following specific parameters:-
  - a) Employment opportunities and income to tribals and other disadvantaged groups/individuals in the JFM villages.
  - b) Flow of forest products to tribals and other disadvantaged groups/individuals in the JFM villages.
  - c) Creation of durable community assets that could contribute to overall eco- development in the JFM villages.
  - d) Effective mechanisms to ensure that the benefits reach the intended beneficiaries.

#### Forest Fire Prevention and Management Scheme

- To assess the progress against identified indicators for last 5 years upto March 2019.
- To examine State-wise/UT-wise forest fire incidences & their causes and the regional concentration of Forest fires & the underlying causes.
- To assess the increase/decrease in the forest fire incidence in all States/UTs and reasons thereof.
- To examine fire danger rating system and forest fire forecasting system installed under the scheme and their effects on forest fire prevention and management
- To examine the use of modern technology (such as Remote Sensing, GPS and GTS) by the States /UTs in planning, developing and operationalizing Fire Prevention and Management System
- To assess Knowledge Information System created on Forest Fire Prevention and Management, if any, under the scheme
- To examine the assistance provided in restoring productivity of forests in forest fire-affected areas under the scheme
- To examine the steps undertaken for partnership with forest fringe communities for forest protection
- To examine whether the larger goal of maintaining environmental stability has been achieved and indicate the shortfalls, if any
- To review the awareness campaigns conducted on prevention of forest fire by each states/ UTs under the scheme
- To examine the measures undertaken for improving the traditional practices and employing available modern methods under the scheme

- To assess the training programmes conducted for the field staff and forest fringe communities on fire-fighting by prescribed means and methods in the forest areas
- To examine the steps undertaken to encourage community participation and level of awareness among the general public in prevention and control of forest fire
- To examine the steps undertaken to improve the Forestry infrastructure of the States and UTs for effective prevention and management of Forest fire under the scheme
- To study the strength and weaknesses of architecture, design, approach and delivery/implementation of the scheme and suggest the modifications, if required necessary
- To review the inter-state/region specific physical progress of the programme and the expenditure incurred by the respective State Implementing Agencies; and the major reasons thereof
- To examine the utilization of funds allotted under the scheme by the States/UTs
- To examine the operational and implementation challenges and identify bottlenecks, if any.

#### Conservation of Aquatic Ecosystems

- To assess the progress against identified indicators for last 5 years upto March 2019
- To study the strength and weaknesses of architecture, design, approach and delivery/implementation of the scheme and suggest the modifications, if required necessary;
- To examine the steps undertaken for eco-restoration of aquatic ecosystems leading to reduction in pollution load, improving ecosystem health and sustained delivery of ecosystem services;
- To undertake a comparative analysis of the wetlands' health, pre and post-scheme and indicate achievements/shortfalls, if any.
- To assess the information system installed, if any, under the scheme and its utilization in the conservation of aquatic ecosystems;
- To evaluate the training activities undertaken for strengthening the capacity of managers and stakeholders for effective management of aquatic ecosystems;
- To examine the utilization of funds allotted under the scheme;
- To examine the operational and implementation challenges and identify bottlenecks, if any.

#### Conservation of Natural Eco-system- Biosphere Reserves

- To assess the progress against identified indicators as per the output-outcome framework.
- To evaluate the effectiveness of the scheme in serving as wider base for conservation of entire range of living resources and their ecological foundations

in addition to already established protected area network system

- To examine the progress of the scheme in bringing out representative ecosystems under conservation and sustainable use on a long-Term basis
- To evaluate the effectiveness of the scheme in ensuring participation of local inhabitants for effective management of the BRs
- To assess the progress of the scheme in devising means of improving livelihood of the local inhabitants through sustainable use.
- To review the progress of the scheme in integrating scientific research with traditional knowledge of conservation, education and training as a part of the overall management of BR.
- To evaluate the efficiency of support functions, administration, Governance and coordination for the BRs
- To assess the effectiveness of the scheme in integrating and connecting protection initiatives with sustainable development

#### National River Conservation Plan

- To assess the progress of the scheme against identified indicators attached at Annexure.
- To evaluate the effectiveness of the scheme in improving the water quality of rivers to the Designated Best Use (DBU) Standard
- To review the effectiveness of the scheme in undertaking research in consonance with improving the water quality of rivers to the Designated Best Use (DBU) Standard
- To review the progress of the scheme in instituting interception and diversion works to capture the raw sewage flowing into the river through open drains and diverting them for treatment
- To evaluate the performance of Sewage treatment plants for treating the diverted sewage funded under NRCP
- To evaluate the performance of the low cost sanitation works to prevent open defecation on river banks funded under NRCP
- The assess the progress of construction of Electric Crematoria and Improved Wood Crematoria to help in ensuring proper cremation of bodies brought to the burning ghats under NRCP
- To evaluate the performance of the River front development works such as improvement of bathing ghats etc. under NRCP
- To examine the effectiveness of the scheme in promoting public participation & awareness and capacity building with regards to the scheme

### **G. Guidelines for Evaluation Methodology**

One of the objectives of the study is to evaluate each of the individual centrally sponsored schemes (CSS) implementation during the 14<sup>th</sup> Finance Commission (14<sup>th</sup> FC) cycle (April

2015- March 2020). Some of the CSS were launched during the 14<sup>th</sup> FC period e.g., Smart Cities. Some of the CSS have continued from 12<sup>th</sup> Five Year plan period, e.g. MGNREGA. Some have been re-launched during the 14<sup>th</sup> FC period (e.g., AMRUT, Ayushman Bharat) with an expanded or modified mandate. Depending upon the duration of the implementation period, the evaluation has to flexibly adopt the logical framework to evaluate the scheme (Figure 1).

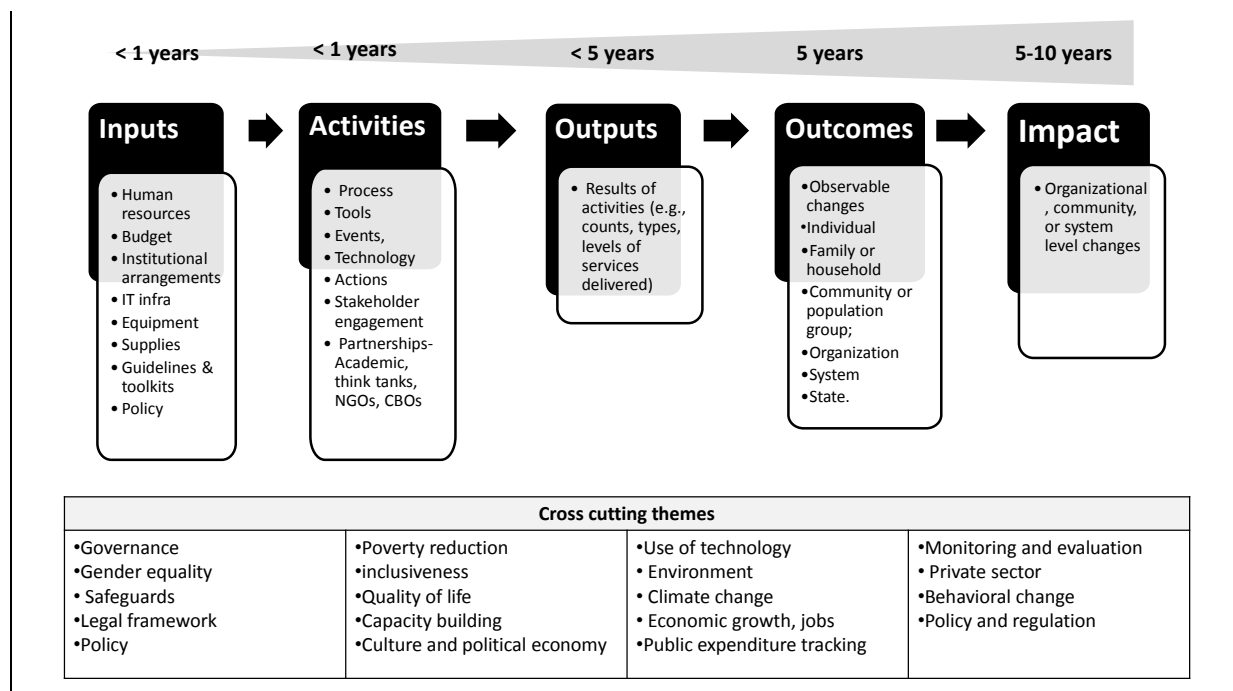
### **Logical Framework: Inputs, Activities, Outputs, Outcomes, and Impact**

The evaluation will adopt the logical framework for consistency across all the 10 studies. The logical framework or *logframe* is an analytical tool used to plan, monitor and evaluate projects. It derives its name from the logical linkages to connect a project's means with its ends. The main components of logical framework are inputs, activities, outputs, outcome and impact, which are described below:

- a) **Inputs:** The financial, human, material, technological and information resources used for the development intervention.
- b) **Activity:** Actions taken or work performed through which inputs, such as funds, human resources, and other types of resources are mobilised to produce specific outputs.
- c) **Outputs:** The products and services which result from the completion of activities within a development intervention.
- d) **Outcome:** The intended or achieved short-term and medium-term effects of an intervention's outputs. Outcomes represent changes in development conditions which occur between the completion of outputs and the achievement of impact.
- e) **Impact:** Positive and negative long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types.

The evaluation team will assess all the dimensions of the logical framework. In mature programs whose implementation period is more than 5 years, greater emphasis will be on outcomes and impact, while in more recently launched programs with less than 5 years of implementation period, the evaluation will focus more on activities, outputs and outcomes.

**Figure 1: Logical Framework: Inputs, Activities, Outputs, Outcomes and Impact**



## Cross Sectional Themes

It is important for the evaluation to assess the relevant cross sectional themes, where such a theme is not the main component of the scheme but can indirectly influence scheme performance in terms its relevance, effectiveness, efficiency, equity and sustainability. The specific cross-sectional themes relevant to a sector have been covered in the evaluation study objectives.

## Mixed Methods and Triangulation

Given various constraints and complexity of the evaluation of CSS, a flexible mixed methodology, relying on triangulation of existing evidence and primary data to be collected by the evaluation study would be required. Mixed methods approaches are used to increase validity of evaluation findings by using a variety of data collection techniques. Using both qualitative and quantitative data collection, along with meta-analysis of previous evaluation studies and monitoring reports produced by the government (central, state, government agencies, etc.) and by non-government agencies (think tanks, academia, international development agencies), the evaluation study will triangulate the findings to evaluate the scheme using the Relevance, Effectiveness, Efficiency, Equity, Sustainability and Impact framework. During the designing of the evaluation tools—qualitative and quantitative--the evaluation consultant will keep in view the relevance, effectiveness, efficiency, sustainability, equity and impact framework, which is described below:

## Assessments using the core criteria of relevance, effectiveness, efficiency, sustainability, impact (REESI)<sup>18</sup> and equity

<sup>18</sup> ECG. 2011. Good Practice Standards for Public Sector Operations. Washington, DC: <https://www.ecgnet.org/documents/4794/download>

**Relevance.** The relevance assessment addresses the extent to which: (i) the intended outcomes of the scheme were strategically aligned with India's national priorities (considering both what is included in the scheme and what ought to be included) and did not duplicate other government initiatives; and (ii) the scheme design was appropriate for achieving the intended outcomes, i.e., competent analysis was carried out, lessons were applied, the right financing instrument or modality was chosen, innovation and transformative effects were given attention, and the indicators and targets at various levels were laid down well and lent themselves to measurement.

In assessing for relevance, credit should be given to scheme design elements that are innovative and/or that contribute to transformative effects, in terms of significantly improving the beneficiaries' well-being, or promoting positive reforms. A scheme's approach to addressing an identified development constraint should be assessed relative to existing good practice standards.

**Effectiveness.** The effectiveness assessment looks at whether the scheme's intended outcomes were achieved or were expected to be achieved at the time of observation, and whether any unintended outcomes had inadvertently reduced the value of the scheme. The outcomes are evaluated against the baselines and targets listed in the scheme documents at the outcome level. Outcomes must be available to the intended scheme beneficiaries. For a scheme to be assessed as effective, outcomes should have been achieved or be likely to be achieved and output targets should normally also have been substantially achieved. Scheme-level output-outcome monitoring framework indicators provided as part of the terms of reference will be used for assessment of effectiveness.

Data on outputs and outcomes need to be derived from credible and documented sources. When no data on outcomes are available, it may be possible to review available data on the quality of outputs and capacity of the facilities developed by the scheme, as well as available data on demand conditions, to infer the likely level of usage of the outputs and the attainment of outcomes. Some outputs can serve as leading indicators of outcomes. Lack of any credible evidence can be reason to assume the outcomes were not fully achieved.

Schemes can have unintended adverse effects on people if social and environmental risks are not dealt with. If scheme interventions resulted in environmental degradation or in scheme communities or women being negatively affected (in spite of safeguard measures or gender action plans), the effectiveness assessment will be reduced. If well executed safeguard plans have led to net benefits, for instance if they have improved the livelihoods of affected people or improved the environment, this will improve the effectiveness assessment.

**Efficiency:** The efficiency of a scheme is a measure of how well it used resources to achieve its outcomes. It indicates whether the scheme used resources efficiently for the country and/or on a whole-of-life basis. A quantitative assessment that weighs the scheme's economic benefits against economic costs is generally needed to assess efficiency. Scheme economic performance indicators, such as the EIRR, net present value, and the benefit-cost ratio, are often used to determine whether the net gains from investing in a particular scheme will be enjoyed by society following scheme completion. Applying the traditional EIRR approach may not always be feasible, for instance for some social sector schemes, or for other schemes where benefits are not easy to quantify comprehensively. In such cases, alternative analytical methods may have to be used: least cost analysis, among others.



Unit cost analysis can be used as a proxy for economic efficiency where benefits cannot be quantified with a high degree of confidence, or where data on benefits are not available. Efficiency can sometimes be analyzed for an assumed level of economic benefits, based on an average unit cost analysis based on industry benchmarks, at the time of appraisal and completion. Analysis can be based on unit costs for comparable activities that could achieve the same or similar benefits in order to assess efficiency on a least unit cost basis. If financial data are lacking, estimates can be prepared for indicators such as average financial unit costs for achieving a defined development outcome. Cost per beneficiary estimations can also be used in sectors such as education and health.

A process efficiency assessment should examine aspects such as the scale of delays and cost overruns and their effects on scheme performance, including the factors that resulted or contributed to these overruns.

**Sustainability:** The sustainability assessment will focus on the likelihood that scheme outcomes and outputs will be maintained over the economic life of the scheme or over a meaningful timeframe. Since evaluation in some schemes is carried out during the first few years of the scheme's operational life, evaluators must make assumptions about the likely sustainability of operational arrangements, many of which are new, and about probable future operations and maintenance arrangements. They must also look into the wider environmental effects of schemes. The major factors to be considered when assessing sustainability are as follows:

- a) *Sustainability and managing risks.* Assessments of sustainability should consider risks such as political, economic, institutional, technical, social, environmental, and financial events that might limit the extent to which the scheme's achievements continue to be felt. The assessment should also consider the adequacy of risk mitigation measures.
- b) *Financial sustainability.* This can be assessed on a qualitative or a quantitative basis depending on the feasibility of assessing the scheme's income (revenue) and expenditure flows. Financial viability for revenue-generating schemes is based on the estimated financial internal rate of return (FIRR) of these incremental cash flows. Key aspects of the financial sustainability of both revenue and non-revenue generating schemes are: the financial capacity of the agency involved, prospects for the demand for services or products, cost recovery mechanisms, and the availability of resources for O&M of the scheme outputs.
- c) *Institutional sustainability.* The assessment of institutional sustainability needs to consider factors such as the ability to ensure adequate levels of qualified human resources, finance, equipment and other inputs, and the suitability of organizational arrangements and processes, governance structures, and institutional incentives. An institutional assessment may include an analysis of how the ownership, functions, structures, and capacity of scheme-related agencies affected scheme-related inputs and service delivery, including the institution's capacity to assume its identified role or mandate.
- d) *Environmental and social sustainability.* The scheme's likely medium- to long- term effects on natural resource management, pollution, biodiversity, and greenhouse gas

emissions should form part of the sustainability assessment, if applicable. Close attention also needs to be paid to the effects of the scheme on social sustainability, for instance how the scheme is accepted by the local communities and stakeholders.

**Impacts:** The development impacts assessment is focused on long-term, far-reaching changes to which the scheme has plausibly contributed. It should answer questions such as: Does the scheme contribute to reaching higher-level development objectives (preferably, overall objective/national priorities)? What is the impact or effect of the intervention in proportion to the overall situation of the target group or those affected? Further, the assessment should also consider possible unintended positive and negative development impacts.

*Special development impacts:* If the scheme aimed to have demonstration effects and/or had innovative features, their impact may be considered. The assessment can also include a discussion of any efforts to scale up and replicate successful features of the scheme that were not previously evident in other schemes in the country or in communities, that have been made during or after scheme implementation. Other elements that would receive positive consideration include successful capacity building activities, and potential for positive institutional or governance impacts.

*Attribution to the scheme:* Development impacts to which the scheme contributes tend to be outside the scheme's direct control and their achievement is often not solely attributable to the scheme outcomes. Typically, they are dependent on other development efforts. The focus of analysis should be on the contribution of scheme outcomes to the achievement of the impacts.

**Equity:** In addition to the globally accepted REESI framework, it is important to conduct the evaluation through the lens of equity. It assesses the extent to which government services are being made available to and accessed by different social groups. Particularly in schemes designed for universal coverage, the fair inclusion or intended or unintended exclusion of beneficiaries belonging to vulnerable, marginalized, disadvantaged groups and weaker sections of society must be considered. The existence and effectiveness of targeted action for these groups should also be assessed. Further, the schemes should be assessed based on their contribution to the reduction of inequality of opportunity and income.

It should be assessed whether this principle has been integrated into the scheme at the design stage, as well as whether it is playing out in implementation, i.e. whether all sub-groups within the target beneficiary group are getting equitable benefits. This will involve identifying barriers to participation among different groups, and whether these barriers have been sufficiently addressed by the scheme design and implementation. Equity should thus be factored in during data collection, preparation of findings and conclusions and in the recommendations arising from the evaluation.

## **Tools for evaluation**

Both qualitative and quantitative tools will be utilized by the consultant to assess the CSS from the relevance, effectiveness, efficiency, sustainability and impact framework. While framing the questionnaires for qualitative and quantitative tools, the audience, questions and information use given at Figure 2 may be considered.

**Qualitative tools:** The consultant will utilize in-depth interviews and focus group discussion.

**In-depth Interview:** It is a personal interview that is carried out with one respondent at a time. This is purely a conversational method and invites opportunities to get details in depth from the respondent. One of the advantages of this method provides a great opportunity to gather precise data about what people believe and what their motivations are. These interviews can be performed face-to-face or on phone and usually can last between half an hour to two hours or even more.

- *Guide for Review of Documentation and Interviews with Policymakers, Managers, and Other Key Stakeholders:* From your perspective, what is the program trying to accomplish, and what resources does it have? What results have been produced to date? What results are likely in the next year or two? Why would the program produce those results? What are the program's main problems? How long will it take to solve those problems? What kinds of information do you get on the program's performance and results? What kinds of information do you need? How do you (how would you) use this information? What kinds of program performance information are requested by key stakeholders?
- *Guide for Review of Documentation and Interviews with Operating-Level Managers and Staff:* What are your goals for the project or program? What are the major project activities? Why will those activities achieve those goals? What resources are available to the project? Number of staff? Total budget? Sources of funds? What outputs are being delivered by the project? To whom? What evidence is necessary to determine whether goals are met? What happens if goals are met? What happens if they are not met? How is the project related to local priorities? What data or records are maintained? Costs? Services delivered? Service quality? Outcomes? Something else? How often are these data collected? How is this information used? Does anything change based on these data or records? What major problems are you experiencing? How long will it take to solve those problems? What results have been produced to date? What results are likely in the next two to three years?

**Focus Group:** A focus group is a group interview of approximately six to twelve people who share similar characteristics or common interests. A facilitator guides the group based on a predetermined set of topics. The facilitator creates an environment that encourages participants to share their perceptions and points of view. Focus groups are a qualitative data collection method, meaning that the data is descriptive and cannot be measured numerically. Focus groups are useful for: gathering feedback on activities, projects and services; generating and evaluating data from different groups that use a service or facility, or that an agency wants to target; generating and evaluating data from different groups within a local community or population; and developing topics, themes and questions for further research activities like questionnaires and more detailed interviews. They are good in use in conjunction with other forms of evaluation as they can help 'triangulate' findings.

**Figure 2: Audience, questions, and information use**

Audience	Question	Information Use	Audience	Typical Questions
<ul style="list-style-type: none"> <li>For each focus area identified, list the audiences that are most likely to be the most interested in that area</li> </ul>	<ul style="list-style-type: none"> <li>For each focus area and audience identified, list the questions they might have about your program</li> </ul>	<ul style="list-style-type: none"> <li>For each audience and questions identified, list the ways and extent to which you plan to use the evaluation information</li> </ul>	Program Management and Staff	<ul style="list-style-type: none"> <li>Are we reaching our target population?</li> <li>Are our participants satisfied with our program?</li> <li>Is the program being run efficiently?</li> <li>How can we improve our program?</li> </ul>
			Beneficiaries	<ul style="list-style-type: none"> <li>Did the program help me and people like me?</li> <li>What would improve the program next time?</li> </ul>
			Community Members	<ul style="list-style-type: none"> <li>Is the program suited to our community needs?</li> <li>What is the program really accomplishing?</li> </ul>
			Public representatives, NGOs, CBOs	<ul style="list-style-type: none"> <li>Who is the program serving?</li> <li>What difference has the program made?</li> <li>Is the program reaching its target population?</li> <li>What do participants think about the program?</li> <li>Is the program worth the cost?</li> </ul>
			Cross cutting: experts, researchers	<ul style="list-style-type: none"> <li>Is what was promised being achieved?</li> <li>Is the program working?</li> <li>Is the program worth the cost?</li> </ul>

## Quantitative Tools

Household/individual level survey: The household survey is important to evaluate the quantity and quality of outputs (services rendered by the government or publicly funded services but provided through private or non-government organizations). Household surveys also give deeper insights into outcomes, although establishing cause-effect relationship between an individual CSS outputs to outcomes may be not that clear. With help of innovative survey designs, triangulation between qualitative and quantitative, along with weight of past evidence, a more robust understanding of umbrella and individual CSS's contribution to desired sector outcomes can be arrived for policy making purposes.

Household surveys will consist of two parts: household level questions and individual level questions.

To ensure consistency across all the 10 studies, both household and individual level survey questionnaires will consist of standardized questionnaires as well as sector specific variable questionnaires. The standardized questionnaire will be provided around the time of bid award, but will broadly follow the household characteristics of 69 and 71 rounds of the National Sample Survey of India, and individual characteristics of 71 round of the National Sample Survey of India.<sup>19</sup>

## Generalizability of the findings

The key to quantitative surveys is to find a means to strengthen the generalizability of findings once desired outcome are measured. The key questions to ask to strengthen the generalizability of findings include:

<sup>19</sup> [http://mospi.nic.in/download-reports?main\\_cat=Nzly&cat=All&sub\\_category=All](http://mospi.nic.in/download-reports?main_cat=Nzly&cat=All&sub_category=All)

- a) To what groups or sites will generalization be desired?
- b) What are the key demographic (or other) groups to be represented in the sample?
- c) What sample size, with adequate sampling of important subgroups, is needed to make generalizations about the outcomes of the intervention?
- d) What aspects of the intervention and context in which it was implemented merit careful measurement to enable generalizability or transferability of findings?