

Appendices

Appendix-I: Technical Proposal for Empanelment

(See Clause 1.2.2)

Form-1:

Letter of Proposal

(On Applicant's letterhead)

(Date and Reference)

To,

.....

.....

.....

**Subject: Empanelment of Survey Firm for Evaluation of Central Government Schemes
- rgd**

Dear Sir/Madam,

With reference to your RFE Document dated _____, I/ we, having examined all relevant documents and understood their contents, hereby submit our Proposal for *Empanelment of Survey Firm for Evaluation of Central Government Schemes* . 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 empanelment as the Survey Firm 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 RFE Documents, including any Addendum issued by the Authority;
- (b) I/We do not have any Conflict of Interest in accordance with Clause 1.5 of the RFE Document;
- (c) I/We have not directly or indirectly or through an agent engaged or indulged in any corrupt practice, fraudulent practice, anti-competitive practice, coercive practice, conflict of interest, obstructive practice, as defined in Clause 5.2 of the RFE 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 5 of the RFE, no person acting for us or on our behalf will engage in any corrupt practice, fraudulent practice, anti-competitive practice, coercive practice, conflict of interest, obstructive 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 empanel the Survey Firm, without incurring any liability to the Applicants in accordance with Clause 1.9 of the RFE document.

9. I/We certify that 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.

10. 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.

11. 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.\$

12. 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 Survey Firm or in connection with the Selection Process itself in respect of the above

mentioned Project.

13. The Bid Security is attached, in accordance with the RFE document.
14. I/We agree and understand that the proposal is subject to the provisions of the RFE document. In no case, shall I/we have any claim or right of whatsoever nature if the Empanelment is not awarded to me/us or our proposal is not opened or rejected.
15. I/We agree to keep this offer valid for 120 (hundred and twenty) days from the Proposal Due Date specified in the RFE.
16. A Notarised Power of Attorney in favour of the authorised signatory to sign and submit this Proposal and documents is attached herewith in Appendix I Form-3.
17. In the event of my/our firm being empanelled as the Survey Firm, I/we agree to enter into an agreement in accordance with the form at Schedule-2 of the RFE. We agree not to seek any changes in the aforesaid form and agree to abide by the same.
18. I/We have studied RFE 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 Empanelment Process.
19. I/We specifically undertake to abide by Clause 1.2 of the RFE Document. without any demur.
20. I/We agree and undertake to abide by all the terms and conditions of the RFE Document. In witness thereof, I/we submit this Proposal under and in accordance with the terms of the RFE 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 the RFE: Empanelment of Survey Firms for Evaluation of Central Government Schemes
1.2	Nature of Work: Qualitative and Quantitative Surveys
1.3	State whether applying as Sole Firm:
1.4	State the following: (i) Details of the Applicant 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 (ii) Details of the Authorized Representative of the Applicant Name: Designation:

	Company: Address: Phone No.: E-mail address:
1.5	For the Applicant, state the following information: (i) In case of non-Indian Firm, does the Firm have a business presence in India? Yes/No/Not Applicable If so, provide the office address(es) in India. (ii) Has the Applicant been penalized by any organization for poor quality of work or breach of contract in the last five years? Yes/No (iii) Has the Applicant ever failed to complete any work awarded to it by any authority/entity as stated in the eligible assignment (Clause 1.4.5 of the RFE) in the last five years? Yes/No (iv) Has the Applicant been blacklisted by any Government department/Public Sector Undertaking in the last five years? Yes/No (v) Has the Applicant suffered bankruptcy/insolvency in the last five years? Yes/No Note: If answer to any of the questions at (ii) to (v) is yes, the Applicant is not eligible for the empanelment.

1.6	(i) Does the Applicant's firm/company combine functions as a consultant or adviser along with the functions as a contractor and/or a manufacturer? Yes/No (ii) If yes, does the Applicant agree to limit the Applicant's role only to that of a Survey Firm to the Authority and to disqualify themselves, their Associates/affiliates, subsidiaries and/or parent organization subsequently from the empanelment process in any other capacity? Yes/No/Not Applicable
1.7	(i) Does the Applicant intend to borrow or hire temporarily, personnel from contractors or suppliers for performance of the field surveys to execute any projects that the Authority will bring out under Limited Tendering Route? Yes/No (ii) If yes, does the Applicant agree that it will only be acceptable as Survey Firm, if those contractors or suppliers disqualify themselves from subsequent execution of work on the Projects other than that of the Survey Firm till the completion of the particular project they are undertaking with the survey firm? Yes/No/Not Applicable (iii) If yes, Does the applicant also agree that such supporting firms will not be eligible for empanelment for such a time period? Yes/No/Not Applicable (iv) If yes, have any undertakings been obtained (and annexed) from such contractors, suppliers, etc. that they agree to disqualify themselves from subsequent execution of work on any other and agree to limit their role to that of Survey Firm for the Authority only and also that they will not submit application for empanelment for such time period? Yes/No/Not Applicable
1.8	States/UTs Experience in Field Surveys: States/Union Territories (UTs) where the Applicant possesses Survey Team to conduct field-based, in-person surveys, and has conducted at least one Eligible Assignment in such States/UTs (Please indicate Yes/No as relevant)

	North & Central ☐ Chandigarh ☐ Chhattisgarh ☐ Delhi ☐ Haryana ☐ Madhya Pradesh ☐ Punjab ☐ Uttar Pradesh	South ☐ Andhra Pradesh ☐ Karnataka ☐ Kerala ☐ Puducherry ☐ Tamil Nadu ☐ Telangana	East ☐ Bihar ☐ Jharkhand ☐ Orissa ☐ West Bengal
	West ☐ Dadra & Nagar Haveli and Daman & Diu ☐ Goa ☐ Gujarat ☐ Maharashtra ☐ Rajasthan	North East ☐ Arunachal Pradesh ☐ Assam ☐ Manipur ☐ Meghalaya ☐ Mizoram ☐ Nagaland ☐ Sikkim ☐ Tripura	Hilly States ☐ Himachal Pradesh ☐ Jammu & Kashmir ☐ Ladakh ☐ Uttarakhand
	Central ☐ Chhattisgarh ☐ Madhya Pradesh	Indian Islands ☐ Andaman & Nicobar Islands ☐ Lakshadweep	
1.9	Network of Own Field Offices: Total number of field offices across India - Number of States/UTs covered -		
1.10	Experience in Types of Surveys: Types of Surveys where the Applicant possesses Survey Team to conduct field-based, in-person surveys, and has conducted at least three Eligible Assignments in such Types of Surveys (Please indicate Yes/No as relevant) ☐ Household Surveys ☐ Establishment Surveys ☐ Facility Surveys ☐ Key Informant Interviews/Structured Surveys/Interviews ☐ Focus Group Discussions		

1.11	Sectoral Experience in Field Surveys: Sectors in which the Applicant possesses Survey Team to conduct field-based, in-person surveys, and has conducted at least one Eligible Assignment in such Sectors (Please indicate Yes/No as relevant) Agriculture Allied Activities (includes Animal Husbandry, Livestock and Livestock Products, Fisheries, Integrated Watershed Management and Irrigation, etc.) Drinking Water, Sanitation and Hygiene Education and Skills Development Employment and Livelihoods Energy (includes Electrification, PNG/CNG/LPG, Solar Energy, Wind Energy, etc.) Environment, Forest and Climate Change Financial Services (includes Financial Inclusion, Banking, MFI, etc.) Health and Nutrition Housing Industry, Trade and Commerce (Includes Manufacturing and Services) Infrastructure (Includes Roads & Highways, Railways, Shipping - Ports & Inland Waterways, Digital Connectivity Infrastructure, Airports, etc.) Internal Security and Home Affairs Justice Delivery / Judiciary Mining & Minerals Rural Development Social Inclusion Tourism, Travel and Hospitality Urban Transformation Water Resources Women and Child Development Others, specify
	It is certified that the aforesaid information is true and correct to the best of my knowledge and belief. (Signature, name and designation of the authorised signatory) For and on behalf of

APPENDIX-I

Form-3:

Power of Attorney

(Refer to Clause 1.4.4 and Clause 1.12.3 (a))

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 **Empanelled Survey Firm for the Evaluation of Central Government Schemes** proposed by the (the “**Authority**”) including but not limited to signing and submission of all applications, proposals and other documents and writings, participating in empanelment process 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 Empanelment 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 ₹ 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-4:

Financial Capacity of the Applicant

(Refer to Clause 1.4.2 (C))

S. No.	Financial Year	Annual Revenue (₹)
1.		
2.		
3.		

Certificate from the Statutory Auditor^{\$}

This is to certify that (name of the Applicant) has the annual revenue shown above against the respective years.

Name of the audit firm:

Seal of the audit firm

Date:

(Signature, name and designation of the authorised signatory)

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

Note: Please do not attach any printed Annual Financial Statement. In case relevant extracts of duly audited Annual Financial Statements containing the requisite details are provided, duly countersigned by the authorised signatory, a separate certification by statutory auditors would not be necessary in respect of Clause 1.4.3.

APPENDIX-I

Form-5: Particulars of Key Personnel

A) Details of Key Personnel

1	Designation	
2	Name	
3	Date of Birth	
4	Nationality	
5	Educational Qualification¹ (clearly mentioning the subject)	

6	Employment Record/ Professional experience <i>(Starting with present position, list in reverse chronological order every employment held)</i>			
S No	Name of Firm	Designation	Start Date	End Date
1				
2				
3				
..				
..				

Certification:

- I am willing to work on any Project as and when assigned by the Authority being as a Key Personnel/Support Personnel of the empanelled survey firm.
- I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes me, my qualifications and my experience.

¹ For degrees obtained from the accredited foreign Boards/universities, the applicant shall furnish a self-declaration on the academic equivalence to the 'Minimum Educational Qualifications' as defined in Annexure A of the RFE.

Place.....

(Signature and name of the Key
Personnel)

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

APPENDIX-I
Form-6:
Eligible Assignments of the Applicant
(Refer Clause 4.2)

A) Eligible Assignments of the Applicant^{2*}

S No	Name of the Assignment	Brief Description of the Assignment (in not more than 1000 characters)	Is the Assignment a study related to standard of living parameters (including but not restricted to _____?)	Is the research/evaluation study for Union/State Government / government, regulatory commission, tribunal, multilateral agencies, statutory authorities, public sector entities etc (Yes/No)	Sample size of the assignment (No. of respondents)	Use of CAPI & Types of Data Collected (Quantitative & Qualitative) Indicate the number	Name of the Client & Address	Client Category	Name & Telephone no. of Client's representative	Value of assignment as per the contract/ work order/ agreement of the Assignment (in ₹)	Start Date of the Assignment	End Date of the Assignment	Description of Services performed by the applicant (in not more than 1000 characters)
(1)	(2)	(3.1)	(3.2)	(3.3)	(3.5)		(4.1)	(4.2)	(5)	(6)	(8)	(9)	(10)
1													
...													

^{2*} The Applicant shall provide requisite supporting documents such as copies of contracts, agreements etc. The value for the assignment should be clearly mentioned in the supporting documents provided. In the absence of supporting documents with requisite details, the assignment will not be considered as an Eligible Assignment.

APPENDIX-I

Form-7:

Particulars of Key Personnel³ on Payrolls of Applicant

(To be submitted in attached format)

S. No.	State	City	Designation of Key Personnel (viz. Team Leader, Senior Data Analyst, Field Manager)	Total Count of Key Personnel by Role	Breakup by Educational Qualification	No. of years of experience
(1)	(2)	(3)	(4)	(5)	(7)	(8)

³ For only permanent employees on payrolls of Applicant; Exclude subcontractors or contractual employees

APPENDIX-I

Form-8:

Institution's Survey Capabilities and Mechanisms for Data Quality Assurance

(To be submitted in attached format)

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

1.	Methodologies for Data Collection: Select from the interview modes provided below, those where the Applicant possesses technical expertise, requisite systems/applications and experience <i>(Please indicate Yes/No as relevant)</i>		
	a) CAPI (Computer Assisted Personal Interview) b) CATI (Computer Assisted Telephone Interview) c) CAWI (Computer Assisted Web Interview) d) IVRS (Interactive Voice Response System) e) PAPI (Pen-and-Paper Personal Interview) f) CASI (Computer Assisted Self interview) ⁴ g) Others, specify _____		
2.	Quantitative and Qualitative Data Quality Assurance Techniques: Select from the list provided below, those mechanisms as employed by the Applicant for data quality assurance? <i>(Please indicate Yes/No as relevant)</i>		
	1 Real-time tracking of enumerator movements 2 Comprehensive Videography and Photography with Geo-tagging 3 Real-time updation of data onto the servers 4 Concurrent monitoring of data quality 5 Automated rules/algorithms for flagging of data anomalies for review 6 Random checking of record data and transcribed interviews by supervisor 7 Automated detecting of patterns in data submission and flagging for review 8 Others, specify _____ _____		
3.	Data Analysis & Visualization Platforms: Select from the list provided below, those platforms where the Applicant possesses inhouse expertise and experience. <i>(Please indicate Yes/No as relevant)</i>		
	Quantitative Data Analysis 1. STATA 2. SPSS 3. R 4. Python 5. SAS 6. MS Office (Excel) 7. Others _____	Qualitative Data Analysis (a) NVivo (b) ATLAS.ti (c) MAXQDA (d) Taguette (e) Others _____	Data Visualization & Dashboard 1 PowerBI 2 Tableau 3 QlikView 4 Others _____
4.	Does the Applicant possess previous experience of using more than 100 handheld devices for a particular survey, and setting up of dedicated secure servers, real-time dashboards, online data analysis and schematics for nation-wide social surveys? • Yes • No		
	If Yes, provide details below of one such Assignment below: <i>(in not more than 500 characters)</i>		
5.	Does the Applicant have an in-house technical team to ensure scripting, data collection, compilation, aggregation, analysis and dashboard development for Surveys? • Yes • No		
	If Yes, provide details about their capabilities below: <i>(in not more than 500 characters)</i>		

6.	Quality Certification / Accreditation / Compliance: Select from the list provided below, those quality certifications / accreditations / compliance as secured or possessed by the Applicant: <i>(Please indicate Yes/No as relevant)</i> 3.7.1. ISO Certification (List all relevant ISO Certifications below) _____ 3.7.2. Compliance to MRSI Code of conduct 3.7.3. Compliance to the ICC/ESOMAR International Code on Market, Opinion and Social Research and Data Analytics 3.7.4. Compliance to GDPR (The General Data Protection Regulation) Self-attested copy of ISO Certificate(s) and other supporting documents for above Certifications / Accreditations / Compliance valid as on the date to be attached.
7.	Data Management and Security Protocols: Select from the list provided below, those data management and security practices as adopted by the Applicant? <i>(Please indicate Yes/No as relevant)</i> ➤ Mobile Device Management (MDM) ➤ Encryption of data on the portable devices ➤ Restricted Data Access and Controls ➤ In-country Data Hosting ➤ Password Protection on data collection and storage devices ➤ Storing of Respondent Consent electronically ➤ PII (Personally Identifiable Information) Security Controls ➤ Data Loss Prevention and Backup Recovery ➤ Others _____

⁴ Includes ACASI=audio computer-assisted self-interview; VCASI=video computer-assisted self-interview
 AVCASI=audio-video computer-assisted self-interview