

**O-15012/14/21-Research**  
**Government of India**  
**NITI Aayog**  
**(Governance and Research Vertical)**

*Sansad Marg, New Delhi*  
Dated the November 22, 2021

To,

1. Dr Jadi Bala Komaraiah, Professor of Economic, Department of Economics, Banaras Hindu University, Varanasi - 221005 (E mail : <a href="mailto:komaraiah.bhu.ac.in">komaraiah.bhu.ac.in</a> )	2. Sh. Shubham Gupta, Partner Deloitte Touche Tohmatsu India LLP One International Center, Tower 3, 32nd floor, Senapati Bapat Marg, Elphinstone Road (West), Mumbai- 400 013, Maharashtra, India (E mail: <a href="mailto:shugupta@deloitte.com">shugupta@deloitte.com</a> )
3. Sh. Tejinder Gupta, Executive Director Grant Thornton Bharat LLP, 21st Floor, DLF Square, Jacaranda Marg, DLF Phase-II, Gurgaon –122002 (E mail: <a href="mailto:Tejinder.Gupta@IN.GT.COM">Tejinder.Gupta@IN.GT.COM</a> )	4. Dr. Saswata Bandyopadhyay, Infrastructure Specialist, ICSC Consultancy Services LLP F/304, Sahjanand Residency, Memnagar, Ahmedabad Gujarat- 380052, India (E mail: <a href="mailto:saswatb123@gmail.com">saswatb123@gmail.com</a> )
5. Dr. NAZIA JAMAL, Assitant Professor, Institute of Management Sciences, Second Campus, Jankipuram, University of Lucknow, Lucknow, UP (E mail: <a href="mailto:naziajamal786@gmail.com">naziajamal786@gmail.com</a> )	6. Ms Poonam Munjal Kunal, Senior Fellow, National Council of Applied Economic Research(NCAER), 11 Indraprastha Estate, New Delhi 110002 (E mail : <a href="mailto:pmunjal@ncaer.org">pmunjal@ncaer.org</a> )
7. Sh. Debabrata Gupta Society for Socio Economic Studies and Services Bhawani complex, Block M, Baroaritala, Krishnapur Road, Kolkata-700102 (Email: <a href="mailto:ssess.stat@gmail.com">ssess.stat@gmail.com</a> )	8. Sh. G. Lakshmipathi Naidu, Assistant General Manager, Voyants Solutions Private Limited, 403, 4th Floor, Park Centra, Sector – 30, NH – 8, Gurugram – 122 001, India (E mail: <a href="mailto:glakshmipathi@voyants.in">glakshmipathi@voyants.in</a> )

## Letter of Invitation (LoI)

**Subject: Request for Proposal (RFP) for a research study on “Preparation of Vision, Implementation Strategy and Integrated Industrial Infrastructure Plan for Kanpur Region”**

You are requested to submit the proposals for undertaking a study on the subject as mentioned above as per this RFP.

2. Your proposal shall be sealed in an outer big envelope containing (i) Forwarding letter (ii) sealed technical proposal and (iii) sealed financial proposal separately in envelopes, with the expression **‘DO NOT OPEN BEFORE the 06.01.2022** superscribed on top of the Big envelope. The Topic/ subject of this RFP should also be mentioned on the top of the Big envelope. This shall be sent by **registered post or by hand only** to reach address: Sh. Kulwant Rana, Deputy Secretary (Research), Room No. 401, NITI Aayog, Sansad Marg, New Delhi-110001 before 16:00 hrs of the last date of bid submission.

3. If you request for additional information, the same shall be provided expeditiously, but any delay in providing such information will not be considered as a reason for extending the submission date of your Technical & Financial proposal. For any queries you may write to rana.kulwant@nic.in

4. Late tenders will not be considered. No responsibility shall be taken for postal delay or non-delivery/non-receipt by the Governance & Research Vertical. Bid sent by Fax, e-mail, What-Sapp, etc. will not be considered and liable to be rejected.



(Kulwant Rana)  
Deputy Secretary (Research)  
Tel: 23096749  
Email: rana.kulwant@nic.in

Copy to:

1. Adviser (Industry I), NITI Aayog
2. Reception Officer, NITI Aayog (for keeping the bids in the Box)
3. File/Folder

## REQUEST FOR PROPOSAL (RFP)

on

### Study on “Preparation of Vision, Implementation Strategy and Integrated Industrial Infrastructure Plan for Kanpur Region”

#### BID SCHEDULE AND ADDRESS

Sl. No	Description	Detailed Information
1.	EoI Reference	Public Notice dated 23.09.2021
2.	Date of release of Bidding Document	22.11.2021
3.	Last date and time for Bid Submission	06.01.2022 latest by 1600 hrs
4.	Address for Bid Submission	Deputy Secretary (Research), Room No 401, NITI Aayog, Sansad Marg, New Delhi 110001
5.	Mode of Submission of bids	Only by registered post or by hand
6.	Bid Related Queries	Deputy Secretary (Research) Email: rana.kulwant@nic.in
7.	Maximum Bid Cost Ceiling as per Research Scheme of NITI Aayog (RSNA) 2021	There is no maximum bid cost ceiling.

## **INSTRUCTIONS TO BIDDERS**

### **Bidding Document**

#### **RFP**

- a) RFP shall mean Request for Proposal/ bidding document as per Rule 186 of GFR 2017.
- b) Bid, Tender and proposals are interchangeably used to mean the same.
- c) The Bidder is expected to examine all instructions, forms, Terms and Conditions and technical specifications mentioned in the RFP. Submission of a Bid not responsive to the Bidding Document in each and every respect may result in the rejection of its Bid without any further reference to the Bidder.
- d) NITI Aayog reserves the right to take appropriate decision in accordance with General Financial Rule (GFR) 2017; CVC Guidelines issued from time to time; and Research Scheme of NITI Aayog, 2021 as amended from time to time with regard to this RFP process for addressing any situation which is not explicitly covered in the RFP Document.
- e) The bidder must disclose any actual or potential conflict of interest with the NITI Aayog.

### **Cost of Bidding Document**

The Bidder shall bear all costs associated with the preparation and submission of its Bid and NITI Aayog will in no case be responsible or liable for those costs.

### **Content of Bidding Document**

#### **Clarification on/the Amendments of the Bidding Documents:**

The bidders are required to provide responses on all the points as mentioned in this RFP document.

Any modification to the Bidding Documents which may become necessary as a result of any queries shall be made by the NITI Aayog by issuing a Corrigendum to the same Bidders who are the recipients of this RFP

#### **Amendment of Bidding Documents:**

Any such corrigendum, if issued, will be binding on the Bidders. It will be presumed that the amendments contained in such Corrigendum was taken into account by the concerned Bidder while submitting their technical and financial bids.

In order to give Bidders reasonable time for taking the corrigendum into account in preparing their bids, NITI Aayog may, at its discretion, extend the deadline for the submission of bids, and in the case of such an eventuality, the extended deadline will be communicated to all the recipients of the RFP.

From the date of issue, any such corrigendum shall be deemed to form an integral part of the RFP.

All such corrigendum would be issued online on the NITI Aayog website and would be intimated to probable bidders wherever possible.

### **1. Selection of consultants**

- (i) The NITI Aayog, Government of India, hereby invites the bids w.r.t this Request for Proposal (RFP) from organizations as per Para 7.14 of RSNA 2021. It may be noted that *this RFP is not transferable*.
- (ii) For selection of consultants, two-bid system shall be adopted after following the two stage procedure in terms of rules 177 to 195 of General Financial Rules (GFR), 2017.
- (iii) The first stage includes the receiving of the EoIs (Expression of Interest) vide **Public Notices dated**

**23.09.2021** on the NITI Aayog website and the subsequent shortlisting of the EoIs as per the RSNA 2021 for further consideration into the 2<sup>nd</sup> stage i.e. RFP Stage.

- (iv) This study would be financed in form of consultancy fee for hiring of professional services in the form of Research Studies under the Research Scheme of NITI Aayog (RSNA), 2021 which may be seen in the website of NITI Aayog at <https://www.niti.gov.in/guidelines> before sending bids to this RFP.

## **2. Terms of Reference (ToR):** The ToR shall include

The scope of services envisaged for the preparation of report is as follows:

- Collection and Review of available data
- City as unit of assessment
- Industrial sector cum Market Study / Demand Assessment
- Identification of sectors of strength of the Kanpur region
- Identifying the development needs of existing industrial sector and suggesting enablers/projects
- Financial analysis and Project Structuring for identified projects/enablers
- Suggesting Project Implementation Plan
- Any other activities required for the project

### **2.1 Detailed Scope of Work**

- **Collection and review of available data**

On award of work, consultant shall collect the available data with industry departments and from other sources relevant to the project. The consultant shall also identify the additional data and collect the same from the concerned authorities.

- **Analysis of Industrial Drivers**

The consultant shall carry out an analysis of the identified site and its surroundings. The site analysis shall include

- a. Location Study
- b. Hinterland Connectivity (Road, Rail, Port and Airport)
- c. Condition of existing roads and traffic pattern
- d. Socio-economic profile
- e. Available social infrastructure
- f. Existing and proposed developments in the region
- g. Land use pattern & Catchment study
- h. Existing visible utilities
- i. Details of nearby water sources, power and status of availability for the project
- j. Identification of environmentally/ecologically sensitive areas

- **Industrial sector cum Market Study / Demand Assessment**

The Consultant shall review the existing industrial / manufacturing segment ecosystem and information related to economic sectors and industry types to carry out a focused market survey and identify infrastructure and other needs of the industry sector specific to the Kanpur region for the next 30 years. The tasks expected to be carried out as part of the study include:

- a. A macroeconomic review of the region to assess regional and locational strengths and constraints and analysing the investment climate with respect to existing resources and potential sectors that would influence the successful development of the proposed project.
- b. Competitor analysis for similar developments in the project area and North India sub- region and Demand Assessment to analyse future development prospects, identify target sectors / markets based on the competitive and comparative advantage to enhance the pace of economic development, and ensure balanced development.

- c. This detailed overview includes the details of existing clusters, classification of existing heavy engineering industry, backward linkages for raw material and technology, forward linkages (markets and marketing channels), share in national production / exports, segment wise number of units, turnover, exports, employment, etc.
- d. Special infrastructure requirements to market the project to targeted companies. Identify services that could help the project, such as retail, community level facilities and so on, or that could exploit location-specific resources.
- e. An analysis of the regulatory and policy scenario and institutional mechanism along with the incentives offered by the Central/State Government. In addition, the consultant will identify policy incentives available as per Central and State Government policies for applicable industries to promote industrialization (sector specific policies / support programmes, support under a policy for MSME or industries etc.)
- f. Inventory of existing, on-going and proposed land use, industry and infrastructure development initiatives in the vicinity of the proposed project area.
- g. Development of a product mix to be used as a basis for master planning of the project which will include among other things, a list of industries and activities with land requirements, estimate of land and building area for commercial, retail, institutional and supporting amenity developments along with an estimate of housing demand by housing type, with number of resident population, and employment estimates.
- h. Study of Economic and Investments Scenario in Uttar Pradesh including the trends in economy, investment attractiveness, comparison with other states and regions, leading destinations of investments, attractiveness of proposed hub from the view of foreign investor etc., shall be studied.
- i. Study the upcoming and proposed major infrastructure developments in the hinterland.
- j. An analysis of the Labour Market of the region needs to be undertaken. This shall include the enumeration of various labour laws and regulations applicable in the region. Further, information regarding the availability of skilled and unskilled labour and the market wages needs to be ascertained from both the Government of UP and the industries themselves. Further information is also need on the mechanisms in place, both governmental and private, to impart skills to workers
- k. Carry out SWOT analysis
- l. Carry out one to one interaction with segment wise key players in the area and elicit their expansion plans and their requirements.
- m. Organize stakeholder consultations and extract the view of the prospective tenants into the proposed industrial region.

• **Identifying the Development Needs of existing industrial sectors and suggesting enablers/projects**

The Demand for the proposed industrial region shall be assessed taking account the trends in industrial growth, macro-economic and demographic indicators and the location's potential to attract end users. The assessment shall include demand projections for each of the development components over the project period. The phasing of the development would be based on the demand potential identified.

- a. Target Groups Perceptions & Requirements of manufacturing sector
- b. Perception about the Kanpur region in context to its suitability for particular industry/sector.
- c. Relocation / Expansion / Investment plans
- d. Value chain assessment of top 10 (in consultation with Authority) potential manufacturing sectors
- e. Regulatory framework and requirement of Government support related inputs.
- f. List all major products and activities that may possibly be considered based on market studies and value addition / economic impact criteria.

- g. Determine sectors where the proposed location / region exhibits competitive strengths- skilled manpower, resource base, cost advantage and large domestic markets.
- h. Understand global trends in various sectors especially - outsourcing and contract manufacturing.
- i. Determine the broad domestic and international market potential of the selected activities and shortlist those worth considering.
- j. Identify constraints in entering select sectors based on user perception / attitudes; infrastructure and government policy dictate.
- k. Finalize on industries within each sector in which the local area holds clear advantage-like local skill availability, market access, raw material availability, external infrastructure quality and linkages, foreign FDI interests etc.
- l. Based on demand / market study, the consultant shall prepare a industrial development strategy
- m. Based on the consultations with industries in the region and prospective investors issues regarding social infrastructure in the region need to be identified. This includes aspects like public health, education facilities, crime rates, pollution levels, etc. This shall include, creation of indicators on the lines of ease of living and municipal performance index developed by the Ministry of Housing and Urban Affairs.

- **Infrastructure Demand**

Based on the product mix and the industrial / social facilities defined in the demand assessment, the consultant shall quantify the following infrastructure requirements for proposed industrial region. Road network along with capacity by assessing the traffic expected from the proposed facilities.

- a. Estimate the water demand for Industrial and domestic demand based on the defined ~~prod~~ mix. Identify the water sources and assess their capacity to meet the required demand.
- b. Estimate the wastewater originated from the proposed facilities. Identify the disposal point for the wastewater.
- c. Estimate the power demand for the Industrial, commercial, social and other supporting infrastructure facilities. Identify the nearest source for drawing the power. Comparison with other similarly industrialized regions like Tamil Nadu, Gujarat, etc.
- d. Power – Consultant shall provide the details for drawing the power from the identified substation to the proposed facility.
- e. Road and Rail connectivity and its shortcomings, if any. Eastern DFC and Amritsar Kolkata Industrial Corridor
- f. The potential for Inland Waterways due to cost effectiveness. Especially, linking Kanpur to National Waterway 1

Analysing the Logistics profile including the development of an index highlighting logistics performance, akin to Logistic Performance Index of World Bank

- **Investment Plan Estimation**

- a. The appointed consultant shall estimate the broad cost estimate and capex plan
- b. Estimate the project capex, industrial infrastructure estimate
- c. Infrastructure phasing plan

- **Project Structuring for Implementation the Project**

Each identified projects/enablers should be supplemented with need assessment, conceptual preliminary plan, broad techno economic feasibility and viable project structure options that can be used for implementation.

- **Background and Objectives of the study:**

The modern prosperity has primarily been through increased economic activity based in urban centers. As shifts in production structure fueled the growth of industrial cities; economic activity

has since been synonymous with urbanization and city clusters. Most notably, cities account for more than 80% of global GDP.

Urban centers attract workers with a wide range of talent and skill. As a result, the inflow of working population into cities is inextricably related to a region's economic development and vice versa. While the rise of new economic cities such as Shanghai, Shenzhen, and others has helped to alleviate poverty and has contributed positively to China's economic growth, the decline of cities such as Glasgow, Detroit, and others has not only resulted in the economic ruin of their residents but has also caused social unrest and long-term negative consequences for their respective countries. Looking at the rise and decline of cities across the country over the last seventy years, a skewed economic pattern can be seen.

Taking population as a measure of economic activity, it is observed that economic activity has shifted from the north to the rest of the country after independence. In 1951, the country's Northern region had six large industrial cities among the top 15 cities. However, in 2011, this number reduced to four (i.e. Delhi, Ghaziabad, Lucknow and Kanpur). However, even from Kanpur and Lucknow, economic activity is moving southward.

Such a skewed economic growth pattern is not only bad for the region in particular but also for the nation as a whole. De-industrialization pushes capital and labour towards the already congested metropolitan cities like Delhi, Mumbai, Bengaluru, etc. Such over-crowding reduces the productivity of these cities due to shortage of housing, infrastructure, education, etc. Thus, re-industrialization of these areas is critical for the country's equitable growth.

#### **Relevance of Kanpur:**

Kanpur has been a large industrialized centre in Northern India since before Independence. At one point, it was the second most industrialized center in British India, second only to Calcutta. It was a large centre for the textile and leather sector.

Even after independence, Kanpur continued remained important industrial city with public sector companies such as British India Corporation, National Textile Corporation, Ordnance factories, etc. Private sector also set up large units. These are due to the locational advantages offered by Kanpur:

- i. It lies between the metropolitan cities of Delhi and Kolkata. As a result, it is well connected by road (NH-19, NH-27 and NH-34) and rail (Eastern DFC passes through it and Kanpur Central is 3rd busiest station). Further, the geography allows for the development of new age transport like High-Speed Rail.
- ii. It lies on the banks of River Ganga, thus allowing perennial supply of water along with inland water connectivity.
- iii. It lies at the heart of Northern plains, thus allowing access to nearby agriculture lands for raw materials.
- iv. It has access to a large pool of labor, both from the city and the region nearby.
- v. The availability of reputed institutions like IIT Kanpur, Chandra Shekhar Azad Agricultural University, Central Pulse Research Institute, etc. provides easy access to skilled labour.

Kanpur is a large centre for the leather industry; however, the last decade has seen a decline. Other industries include manufacturing of silk, woolen and jute textiles, food products, fire-bricks, fertilizers, railway wagons, textile machinery, television sets, metal ware, soap, tents, durries, fountain pens, hosiery, cutlery, etc.

Despite these apparent advantages provided by Kanpur, the city has been experiencing steady de-industrialization in the last few decades, with many old companies either closing down or shifting production to other regions.

The city has dropped from 8th place in 1951 to 11th place in 2011 in terms of its population. Between 1991 and 2011, the city's population grew by 20%, while similar cities (like Surat, Pune, etc) doubled in population. As labour tends to migrate towards regions of greater economic opportunities, this indicates a declining importance of the region's industries. Even when compared to industries in the state of Uttar Pradesh, it can be seen that Kanpur has grown at a much lower rate than other centres like Agra, Lucknow, etc. even in the 2010s. While Kanpur grew by about 50% in the last decade, Agra grew by more than 100%.

There are similar instances of de-industrialization seen over the world. These are especially prevalent when a region is primarily dominated by one or two large industries. For example, Detroit in USA was the hub for US Automotive sector. It had huge network effect (like seen in California for Tech) with abundance of skilled workers, engineers, etc. In 1960s, it was one of the richest cities in the USA, but over the years as the automobile factories shut down, the network gains of Detroit also began to wane away. Today, the city is a mere shadow of its former self.

In order to prevent a similar fate for our cities, it is important to identify the issues causing this de-industrialization. Kanpur in this regard is a good starting point as despite the abundance of the basic resources needed for industries, it is not performing that well. Thus, it becomes pertinent to identify the factors which are hindering the city from realizing its true potential.

Further, identifying and addressing such causes of de-industrialization would not only improve the prosperity of the region but also create poles which can reduce the concentration of economic activity in few metropolitan areas. In this regard, development of Kanpur also takes priority in easing the congestion in Delhi and to an extent even in Kolkata.

Given this background, NITI Aayog proposes to undertake a study to analyze different parameters pertinent to present industrial scenario and undertake a suitable action plan for the Re-industrialization of the Kanpur region. Thereby, developing a template which can be implemented at pan-India level to cope-up with de-industrialization

- 2.2 Outline of the tasks to be carried out:** Selection of a consultant for conducting a study to identify a roadmap for Re-industrialization of Kanpur region as per the above ToR.
- 2.3 Study Area:** Preparation of Vision, Implementation Strategy and Integrated Industrial Infrastructure Plan for re-industrialization of Kanpur Region.
- 2.4 Target groups:** Industrialists, industrial clusters/corridors, Corporates, Government bodies among others
- 2.5 Sample Size:** NA
- 2.6 Duration of the Study:** 6 (Six) months from the Effective Date, unless extended by mutual consent of the Authority and the Consultant.
- 2.7 Methods of review and Schedule of Research Study:**
  - i. Starting date of Study: Actual release of 1<sup>st</sup> instalment by RTGS/ECS/NEFT
  - ii. Closing date of Study: After 24 weeks from the effective date
  - iii. Submission of inception report within 2 weeks from the effective date
  - iv. Submission of Industrial demand & Infrastructural assessment report within 18 weeks from the effective date
  - v. Submission of 1<sup>st</sup> draft report within 22 weeks from the effective date

- vi. Submission of the final Draft Report: Last day of completion of 24 weeks period or earlier
- vii. Power Point presentation to share findings and recommendations of the draft reports (if any): should be provided
- viii. Submission of Final Project completion report: within 2 months after the closing date of study.
- ix. Any other: If required, a stakeholder consultation may be conducted in NITI Aayog

2.8 Any support or inputs to be provided to the consultant to facilitate this consultancy.

2.9 The final outputs expected from the consultant

### 3. Proposed Activities (if required):

- (i) Preparation of questionnaires for the Study: [As per need].
- (ii) Data analysis: [As per need].

### 4. Validity of Proposal:

The proposal shall be valid for a period of one hundred and twenty days (120 days) from the last/closing date of receiving the bids.

5. Reporting and Monitoring Arrangements: As per para 9.1 to 9.3 of RSNA 2021.

### 6. Deadline for submission of proposals:

- (i) The bid proposal shall be submitted within the stipulated date. The last/closing date for submission of the Bids is **06.01.2022**
- (ii) Address of submitting the proposal: Deputy Secretary (Research), Room No 401, NITI Aayog, Sansad Marg, New Delhi 110001 with the expression **DO NOT OPEN BEFORE the 06.01.2022** superscribed on top of the big envelope.

### 7. Late Proposals:

Any Proposal received by the NITI Aayog after the last/closing date will be summarily rejected.

8. The Consulting Institutions may take up the assignment individually or associate with another organisation/ individual to complement the activities/ role assigned by NITI Aayog. In case of a **joint collaboration**, all members of the collaboration shall agree to the terms and conditions of the Letter of Approval/RSNA 2021 for the assignment jointly and severally. Under such circumstances, there shall be one lead member of the consulting organisations and NITI Aayog shall deal with the lead member for all the administrative purposes.

9. This bidding process has two components—technical proposal (technical bid) and financial proposal (financial bid) in the prescribed format -It is a Two-Bid system in accordance with Rule 187 of GFR-2017. The technical bid format is as per Annexure 1 and financial bid format is as per Annexure 2 of RFP. To safeguard the integrity of the process, the bids are required to be sealed separately in two envelopes for technical and financial bids respectively. These two sealed envelopes shall be put in a bigger envelope with forwarding letter (Annexure-3 to RFP) which is also to be duly sealed. This may be submitted as the above para.

### 10. Clarification of proposals:

To assist in the examination, evaluation and comparison of technical Proposals, NITI Aayog may, at its discretion, ask the Bidder for clarification of its technical Proposal. The request for clarification and the response shall be in writing and no change in total budget or substance of the Proposal shall be sought, offered or permitted.

## 11. Opening of proposals/bids:

- (i) The technical proposals shall be opened first by Research Evaluation Committee (REC) at a suitable date, time and place [to be notified on website/intimated on email] on/after the closing date of receiving bids. The bidders are welcome to be present.
- (ii) Date of opening of financial bid will be intimated at later stage after acceptance of the technical bids. The financial bid of only those organisations/ institutions/bidders will be opened whose technical bids are found compliant/ suitable in accordance with provision of RSNA 2021 after technical evaluation is done by REC, NITI Aayog.

## 12. Minimum Eligibility Criterion

<b>General Eligibility</b>	Should be an Indian firm and having an establishment as well as infrastructure consulting experience in India for at least 10 year
<b>Financial Eligibility</b>	The Bidder or the Consortium should have an Average Annual Turnover from Consultancy in the last 03 financial years i.e. FY 18, FY 19, FY 20 of minimum Rs.100 Crores. In case of consortium, the minimum turn over shall be met by lead consortium partner
<b>Technical Eligibility</b>	The Consortium / JV should have completed assignments with Government Agencies in past 10 years; • Eligible assignments: Bidder / Consortium shall have minimum 02 projects and for the purposes of satisfying the conditions of eligibility and for evaluating the proposals under this RFP, advisory/ consultancy assignments granted by the government, regulatory commission, tribunal, statutory , public sector / private entity in preparation of Master Plans / Development Plans or - TEFS/DPR for SEZ / Industrial park / investment region / industrial growth centre / railway siding/ logistic infrastructure like ICD/ warehouse / studies pertaining to industrial infrastructure like road, rail, water, waste water and power etc during the last ten years preceding the PDD shall be deemed as eligible assignment (the “Eligible Assignment”).

**Note: In case of Consortium/JV the lead member of the JV should give in writing ascertaining the responsibility for delivery of the project**

## 13. Format for Technical proposal:

The bidder should provide the proper information for evaluating the technical proposals as per the format given at annexure-1 to the RFP.

## 14. Evaluation of Technical Bids (50% weightage)

- (i) 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.
- (ii) Only those Applicants whose Technical Proposals get a score of **50 (Fifty)** 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 (ST).
- (iii) The scoring criteria to be used for evaluation shall be as follows.

## Scoring Scheme

Description		Marks																		
Relevant Experience of the Bidder / Consortium / JV <ul style="list-style-type: none"> <li>• Turnover               <ul style="list-style-type: none"> <li>○ INR 100 - 150 Crore</li> <li>○ INR 150 – 200 Crore</li> <li>○ Above INR 200 Crore</li> </ul> </li> <li>• Bidders / Consortium / JV relevant project experience –               <ul style="list-style-type: none"> <li>○ 03 marks for each Eligible Assignment subject to overall ceiling of 15 marks</li> </ul> </li> </ul>		02 03 05  15																		
<ul style="list-style-type: none"> <li>• Relevant Experience of the key personnel</li> </ul> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Position</th> <th style="text-align: center;">Marks</th> <th style="text-align: left;">Experience</th> </tr> </thead> <tbody> <tr> <td>Team Leader</td> <td style="text-align: center;">15</td> <td>Min 15 years,</td> </tr> <tr> <td>Industry Expert - 02 no's</td> <td style="text-align: center;">20 (10 for each Expert)</td> <td>Min 10 years</td> </tr> <tr> <td>Infrastructure Planner</td> <td style="text-align: center;">10</td> <td>Min 10 years</td> </tr> <tr> <td>Urban Planner</td> <td style="text-align: center;">10</td> <td>Min. 10 years</td> </tr> <tr> <td>Financial Analyst</td> <td style="text-align: center;">05</td> <td>Min. 05 years</td> </tr> </tbody> </table>		Position	Marks	Experience	Team Leader	15	Min 15 years,	Industry Expert - 02 no's	20 (10 for each Expert)	Min 10 years	Infrastructure Planner	10	Min 10 years	Urban Planner	10	Min. 10 years	Financial Analyst	05	Min. 05 years	60
Position	Marks	Experience																		
Team Leader	15	Min 15 years,																		
Industry Expert - 02 no's	20 (10 for each Expert)	Min 10 years																		
Infrastructure Planner	10	Min 10 years																		
Urban Planner	10	Min. 10 years																		
Financial Analyst	05	Min. 05 years																		
<ul style="list-style-type: none"> <li>• Adequacy and quality of the proposed methodology, and work plan in responding to the terms of Reference (TORs) to be submitted as a presentation</li> </ul>		20																		

## Scoring Methodology

Team Position	Marks	Minimum Education Qualification	Evaluation Criterion
Team Leader	15	MBA or equivalent degree	<ul style="list-style-type: none"> <li>• Meeting of professional experience – 02marks</li> <li>• Meeting the qualification – 03 marks</li> <li>• 02 marks for experience in executing eligible engagement and maximum up to 10 marks</li> </ul>
Industry Expert / Industrial Logistic Expert – 02 no's	10	Bachelor's degree in relevant field	<ul style="list-style-type: none"> <li>• Meeting of professional experience – 02marks</li> <li>• Meeting the qualification – 03 marks</li> <li>• 01 marks for experience in executing eligible engagement and maximum up to 05 marks</li> </ul>
Infrastructure Planner	10	Bachelor's in Engineering and Master's degree in Planning & Relevant Field	<ul style="list-style-type: none"> <li>• Meeting of professional experience – 02marks</li> <li>• Meeting the qualification – 03 marks</li> <li>• 01 marks for experience in executing eligible engagement and maximum up to 05 marks</li> </ul>

Urban Planner	10	Bachelor's in Architecture and Master degree in Planning & Relevant Field	<ul style="list-style-type: none"> <li>• Meeting of professional experience – 02marks</li> <li>• Meeting the qualification –03 marks</li> <li>• 01 marks for experience in executing eligible engagement andmaximum up to 05 marks</li> </ul>
FinancialAnalyst	05	Bachelor's in Engineering/Finance /Economics and MBA or equivalent degree	<ul style="list-style-type: none"> <li>• Meeting the qualification –02 marks</li> <li>• 01 marks for experience in executing eligible engagement andmaximum up to 03 marks</li> </ul>

- (iv) The names of successful technically qualified bidders, who have satisfied the minimum qualifying marks, shall be notified on the NITI Aayog website/or intimated on email.
- (v) NITI Aayog or any successor body replacing the same reserves the right to do a reference check on the organisation's background and work. The maximum scores noted in the evaluation sheet are tentative and can be changed depending on the need or major attributes of technical proposal.
- (vi) After evaluation of technical bids, the names of the bidders/consultants whose proposals did not meet the minimum qualifying score or were considered non-responsive to the RFP, their financial proposals will be discarded unopened after completing the selection process.

#### 15. Format for Financial Proposal:

The bidder should provide the proper information for evaluating the financial proposals as per the format given at Annexure-2 to RFP.

#### 16. Opening of Financial Bids:

The financial proposals/ bids of these technically qualified bidders, which has scored a minimum of **50 marks**, shall be opened by REC within 7 working days of notification on the NITI Aayog website/or date of intimation email. The bidders are welcome to be present during this process.

#### 17. Evaluation of Financial Bids: (30% weightage)

- (i) The name of the consultant, the technical scores, and the indicated prices shall be read aloud and recorded when the financial proposals are opened.
- (ii) In the financial proposal, the total proposed cost indicated by the bidder would be taken for determination of Lowest bidder.
- (iii) The REC will then examine if there are any arithmetical errors that need to be corrected in the total amount and decisions of REC shall be absolute and final.
- (iv) For the purpose of evaluation, the total cost shall include all the taxes as applicable.
- (v) If there are conditions attached to any financial proposal, the REC shall reject any such proposals as non-responsive to this RFP.
- (vi) The Financial Proposal shall take into account all expenses related to the study including all taxes. All payments shall be subjected to deduction of taxes at source as per applicable laws. Costs (including break up of costs) shall be expressed in INR (₹).
- (vii) At the End, the REC shall prepare a financial bid evaluation report.

#### 18. Selection of Winning Consultant:

- (i) The selection will be as per —Quality and Cost Based Selection (QCBS) method as given in

Rule 192 of GFR 2017.

- (ii) A final combined score (H) shall be made thereby allotting 70% weightage to technical score and 30% weightage to financial score.
- (iii) The organisation getting the highest combined score (H1) shall be called for the power point presentation at the level of Chairman of REC or Adviser of concerned SV/D, if deemed necessary. If the organisation fails to exhibit necessary expertise to carry out the study then the subsequent bidders (H2, H3, etc.) shall be called for power point presentation and the study shall be awarded upon satisfaction of NITI Aayog regarding capability of the organisation to undertake the study.
- (iv) The REC will prepare a final bid evaluation report based on the weighted scores of technical bid and financial bid, and may give the recommendation for award of study. The decisions of the REC shall be final and binding upon the applicants/bidders.

**19. Release of funds/consultancy fee:** as per the para 7.15 and 7.16 of RSNA 2021 guidelines.

**20. Required Documents with Technical Bid (if not submitted at EoI stage):**

The proposal shall be submitted by the Head of the concerned Institutions/Organisations or PI or by an authorized officer of the institution empowered to execute legal documents on behalf of the institution along with the following requisite documents:-

- (i) Copy of Registration Certificate of the Institution/Organisation **OR** Articles of Association {Copy of the Constitution/MOA (Memorandum of Association) of the Institute/Any letter issued by UGC if University}
- (ii) Registration Number in NGO-Portal —Darpanl of NITI Aayog and its copy, if applicable.
- (iii) Photo copy PAN card of the organisation
- (iv) '**Undertaking**': "The [Institute/ Organisation/University (name only)] has not obtained or applied for assistance for the same purpose/activity for .....[Name of the event to be mentioned] from any Ministry/Department of Central Government / State Governments. It is solely depending on assistance of NITI Aayog".

**21. Rejection of all proposals and re-invitation:**

The NITI Aayog will have the right to reject all proposals. However, such rejections should well be considered and normally would be done in the bids which deviate to the Terms & Conditions of RFP. NITI Aayog also reserves the right to accept or reject any Proposal, and to annul the solicitation process and reject all Proposals at any time prior to award of contract, without thereby incurring any liability to the affected Bidder or any obligation to inform the affected Bidder or Bidders of the grounds for the action such taken.

**22. GENERAL TERMS & CONDITIONS:**

The study shall be undertaken as per the Terms and conditions mentioned in para 11 of Research Scheme of NITI Aayog (RSNA) 2021 which is available on the website of NITI Aayog at <https://www.niti.gov.in/guidelines>. This is also given as Annexure-4 to RFP.

**Format for Technical Proposal for Research Study**

**A. Contents of Technical Proposal**

1. Name of the Topic
2. Objectives of the study
3. Brief literature review and underlying concepts/ theories on which the study is based
4. Selection of study area (if any)
5. Methodology (including sample design)
6. Statistical Design including Tools and Software required. This also includes (i) Reference period or base year of the proposed study, (ii) Selection of data (primary/ secondary), (iii) whether it's a sample survey, case study or other (please specify), (iv) type of hypothesis to be tested, (v) case studies to verify hypothesis (if any)
7. Relevance and need of the study (How does it help in contribution to policy process and knowledge transfer for NITI Aayog as a think tank of Govt. of India): a brief note in bullet points of 200 words
8. Chapterisation, contents and lay out of the proposed report

**B. Profile of Key Personnel & their suitability for the assignment in the research study**

This includes (i) educational qualifications, research experience and details of publication in the national and international journals, (ii) address, telephone number, email ID, fax number and any other relevant details (in a brief CV) of:

1. Principal Investigator (PI)
2. Co- Principal Investigator(s) (Co-PI)
3. Other Professionals and Supporting Staff for this research study

**C. Experience of the organisation in conducting research projects/reports in the above subject/ themes for Government Departments/ Reputed Institutes in the last 10 years**

Name of the Person	Team Position	Educational Qualification	Experience (Years)	Study	Name of the Organisation/ Agency	Month/year	Publication in any journals (Name & Address with impact factor)

**D. Brief of the Organisation/ Institution**

1. (a) Brief bio-data of the head of the institution with contact details (mobile no., email & fax in one page only), (b) Research expertise and infrastructure facilities available for conducting research work in the proposed area(s),

2. Name and contact details of 2 key persons of the organisation other than the head, PI and Co-PI.
3. List of Branches of the Institution (if any) with address and telephone numbers and name and designation of the nodal person of each branch.

**E. Proposed Work Plan and execution strategy**

S. No.	Items	Duration (in days/ months)
1.	Date/ Days of Commencement of work after getting LoA of NITI Aayog	
2.	Preparatory work including Selection of Staff, Pilot Study (if any), and Schedule of Sample Drawing	
3.	Data Collection and analysis schedules	
4.	(i) Submission of 1 <sup>st</sup> draft report	
	(ii) Submission of final draft report	
5.	Organising a Workshop or Power Point presentation (if required by nodal vertical) before submitting the project completion report in book bound form	
6.	project completion report to be submitted	
	Total Duration:	

**F. Other Information**

- (i) Have the organisation submitting proposal or any of its collaborating partners been penalized by any organization for poor quality of work or breach of contract in the last five years? Yes/No (If Yes details thereof).
- (ii) Have the organisation submitting proposal or any of its collaborating partners ever failed to complete any work awarded to it by any Public Sector Undertaking/Ministry/ Department/NITI Aayog in last 5 years? Yes/No (If Yes details thereof).
- (iii) Have the organisation submitting proposal or any of its collaborating partners been blacklisted by any Government department/Ministries/Public Sector Undertaking in the last five years? Yes/No (If Yes details thereof).
- (iv) Whether this organisation is Blacklisted or debarred from receiving any grant from the Govt. for any specific period? Yes/No (If Yes..define)

Name and Signature of the Principal Investigator  
(P I)

Name and Signature of the Head of the  
Institution/ Registrar (if university) / Principal  
(if college)

Date :

Place

Official Seal

**Format for Financial Proposal of Research Study: {Name}****I. Consultancy Fee:**

Sl No.	Persons	Duration	Amount (₹)
i)	Principal Investigator (PI) (only one)	Whole study period	
ii)	Co-Principal Investigator (Co-PI) (one or two)	Specify the period	
iii)	Research Staff:	Specify the period	
iv)	Field Staff:	Specify the period	

**II. Travel and DA:**

(a) Domestic Traveling: There may be admissible for domestic travel only. No International travel is permitted unless prior approval is taken from NITI Aayog.

Sl No.	Persons	Amount (₹)
i)	Principal Investigator (PI)	
ii)	Co-Principal Investigator (Co-PI)	
iii)	For field /research staff:	

(b) DA as per the following

Sl No.	Persons	Duration	Amount (₹)
i)	Principal Investigator (PI)	No. of Days	
ii)	Co-Principal Investigator (Co-PI)	No. of Days	
iii)	For field /research staff:	No. of Days	

**III. Other Miscellaneous Expenses**

Particulars	Amount (₹)
<b>(a) Data Processing including computation &amp; Computer Work</b>	
<b>(b) Stationery, printing and photocopying</b>	
<b>(c) Overheads/ Institutional Fee</b>	
<b>(d) Any other – (i) For hiring services of technocrats /experts / testing laboratory etc.</b> if required, for a fixed duration on consolidated amount or <b>(ii) Holding Workshop/Debate discussion:</b> For expert advice and suggestions of the group of distinguished scholars /researchers, in case, of revamping and improving the quality of the study, that should specifically be justified in the proposal along with details of participating scholars/ researchers /luminaries from the field of the subject concerned.	

**IV. Proposed Budget** (i.e. I+II+III): ₹.....

**V. Contingency** (3% of the proposed Budget): ₹.....

**VI. GST/ Taxes** (if any): ₹.....

**Total Budget** (including GST/ all taxes): ₹..... (in words)

Name and Signature of the Principal Investigator (PI)

Name and Signature of the Head of the Institution/  
Registrar (if university) /Principal (if college)

Date:

Place:

**Forwarding Letter of the Research Study falling under Consultancy by Advertisement and Nomination (solicited/unsolicited)**

**Forwarding Letter**

I have the pleasure in forwarding the research proposal entitled as —.....ll for financial support to NITI Aayog (G&R vertical).

2. The organisation agrees to administer this research project, manage its finances, provide accommodation, furniture and the research facilities such as library, equipment, secretarial staff, etc. required for research study. The organization shall also provide the material and managerial assistance for the research study, which would be considered under the proposed '**Overhead**' cost.

3. It is certified that no similar research proposal has been submitted for funding to any other Ministry/ Departments of central/state governments.

4. It is certified that the Principal Investigator (PI) \_\_\_ [name]\_\_\_\_\_ shall continue with the organisation till the completion of the proposed study. **In the instance of the PI leaving the organisation without completing the study, the organisation undertakes to get the study completed by appointing a new PI, without any additional financial liability on the part of the NITI Aayog and within the stipulated time.** However, if the NITI Aayog desires to transfer the project to some other institution, this Institution will have no objection to the same.

**Signature and Seal of the Head of the Institution /Registrar (if university)  
/Principal (if college)**

(Official Seal)

Date:

Place:

## 11. GENERAL TERMS AND CONDITIONS

- 11.1 All the communications including intimation regarding 1<sup>st</sup> Draft/ final draft/ Project Completion Report of research study/white paper/research work etc. will be submitted to Deputy Secretary, Governance and Research Vertical, NITI Aayog, Room No 401, Sansad Marg, New Delhi by the PI or Head of the organisation/individual.
- 11.2 **Copyright:** NITI Aayog would have the intellectual property rights for all the research studies/ white papers/research work outsourced. Prior permission of NITI Aayog would be necessary before such studies/white paper/research work could be publicized by the organisations/ bodies/individuals concerned. The soft copy of this study shall be put up in the official website of NITI Aayog for wider circulation. The NITI Aayog may grant permission for publication in any form (Book/Journal/Newspaper) generally after 6 months of submission of the Project Completion Report of the assigned study/white paper/research work. Request for any financial assistance for bringing out such publication under the RSNA will not be entertained.
- 11.3 **Adherence to Timelines in case of research study:** The assignment should be completed within the time line stipulated in the Letter of Approval (LoA). Unless extension is approved by NITI Aayog in writing, the delay in submission of the project completion report beyond the stipulated time will attract penalty as per the penal provisions of the bond executed by the consultant. This penalty shall be calculated on the released funds and would be deducted from the last/remaining installment(s).
- 11.4 The consultant organization/individual shall have to carry out the Research Study as per the provisions in these guidelines and Letter of Approval (LoA). In case of any breach of the terms and conditions, the remaining amount would be forfeited and the organization/individual shall have to refund the released amount with penal interest @ 11.5% compounded annually.
- 11.5 NITI Aayog, in case of research study, if desired, may carry out site visit for review of field survey/work being carried out by the consulting organisation for the study. Officials from Governance & Research Vertical and/ or SV/Ds or any other persons may be deputed to make field visit(s) for monitoring and verifying the genuineness of the study or respondents.
- 11.6 Foreign travel is not allowed under this scheme unless this is considered necessary in terms of objectives of the study and the same is duly approved in writing by NITI Aayog.
- 11.7 The persons employed in the research study project will be treated as the employees of the consultant organization only. The conditions of their service will be governed in accordance with the rules and order of that consultant organisation as applicable to such personnel.
- 11.8 The Consultant organisation or PI/Co-PI of the project/individual expert will not accept any financial assistance from any other source(s) for the same project assigned under the scheme.
- 11.9 In case of research study, the organisation shall provide permanent infrastructure facilities, viz., accommodation, furniture, research facilities, library, laboratory, equipment, secretarial & managerial staff and material required for the project for which a budget provision may be made by the Organisation under—Overheads.
- 11.10 The Research Study, funded under the RSNA, should generally have a single PI, whose credentials will be as per the requirements of the study. There may also be one or two Co-

- Principal Investigators (Co-PI), who will support the PI. The names of the PI and the Co-PIs will be specified in the Letter of Approval (LoA).
- 11.11 The Consultant Organisation or the PI or his associates or individual expert shall not share the data collected for the assigned research study/white paper/research work with any other person/organisation without the prior approval of the NITI Aayog. The research study shall not be used by the PI or his associates or anybody else for the preparation of any doctoral thesis/ dissertation or for other degrees/diplomas or publication(s) without the prior approval of the NITI Aayog.
  - 11.12 In case of research study, the Organisation or the PI shall make suitable arrangements for the safe custody of raw data and other documents related to the study for a period of one year after completion of the research study. The NITI Aayog may ask for perusal/review of raw or processed data at any time.
  - 11.13 In case of research study, if the PI associated with the project leaves the Institution/ Organisation at any stage after the commencement of the research study, the project may be continued by either appointing (i) a new PI by the institute, or (ii) an eligible Co-PI who could be considered as the PI, subject to recommendation of the Head of the Consultant organisation and the approval of the NITI Aayog. Such request should be sent well in advance preferably within 15 days after the leaving of the original PI. The same would apply in case change is to be made with respect to Co-PIs.
  - 11.14 The concerned organization/individual expert will have to bear all responsibilities regarding any discrepancy and irregularity in the funding w.r.t. the sanctioned studies.
  - 11.15 NITI Aayog reserves the right of seeking additional information including copies of the other project completion report or Audited annual statement of accounts while examining individual cases.
  - 11.16 During the course of the study/white paper/research work, there might be some changes in the scope of the study depending upon circumstances on mutual agreements only. The same may have to be carried out by the Organisation/individual expert without any additional compensation.
  - 11.17 NITI Aayog reserves the right to reject and re-invite any of the proposals.
  - 11.18 No capital expenditure will be incurred from the assistance provided for the project.
  - 11.19 The liability of payment of the tax will be of the Organisation/individual expert.
  - 11.20 **Plagiarism:** The consultant organisation may certify while submitting the study report that the content of the report is original and has not been plagiarized. The concerned SV/D may also check for plagiarism at the draft stage of the report.
  - 11.21 **Termination:** This contract may be terminated by both parties upon 30 days' notice period. If the consultant Organisation/ individual expert terminate the contract then it shall refund the credited amount/fee with penal interest. However, NITI Aayog may permit the Organisation/individual expert to retain part of the fee paid depending upon the services already rendered. NITI Aayog may also terminate this contract in whole or in part, in writing to the assigned organisation/individual expert. The initiation of arbitration proceedings in accordance with "settlement of disputes" stated below shall not be deemed a termination of this contract. In the event of any termination by the NITI Aayog, no payment shall be paid to the agency/individual expert except for work and services satisfactorily performed in conformity with the terms and conditions of the contract. The agency/individual expert shall take immediate steps to terminate the work and services in a prompt and orderly manner and to minimize losses and further expenditures. Should the

agency/individual expert be adjudged bankrupt, or be liquidated or become insolvent, or should the agency make an assignment for the benefit of its creditors, or should a receiver be appointed on account of the insolvency of the agency, the NITI Aayog may, without prejudice to any other right or remedy it may have, terminate this contract forthwith. The agency/individual expert shall immediately inform the NITI Aayog of the occurrence of any of the above events.

## **11.22 SETTLEMENT OF DISPUTES**

- (i) **Amicable settlement:** The parties shall use their best efforts to settle amicably any dispute, controversy or claim arising out of, or relating to this contract or the breach, termination or invalidity thereof.
- (ii) **Arbitration:**
  - (a) In the event of any dispute or difference between the parties hereto, such disputes or differences shall be resolved amicably by mutual consultation. If such resolution is not possible, then the unresolved dispute or difference shall be referred to arbitration of the sole arbitrator to be appointed by the CEO, NITI Aayog. In case it is felt necessary to do so, the Department of Legal Affairs would be consulted in an appropriate manner. The provisions of Arbitration and Conciliation Act, 1996 (No. 26 of 1996) shall be applicable to the arbitration.
  - (b) All litigations will be subject to Delhi Jurisdiction. The venue of such arbitration shall be New Delhi only.
  - (c) The language of arbitration proceedings shall be English. The arbitrator shall make a reasoned award (the —Award), which shall be final and binding on the parties.
  - (d) The cost of the arbitration shall be shared equally by the parties to the agreement. However, expenses incurred by each party in connection with the preparation, presentation shall be borne by the party itself.
  - (e) Pending the submission of and/or decision on a dispute, difference or claim or until the arbitral award is published; the Parties shall continue to perform all of their obligations under this scheme without prejudice to a final adjustment in accordance with such award.