Request for Proposal (RFP) for Undertaking

“Comprehensive Study for Preparation of a Policy/Scheme for Providing Support for Formalising Informal Sector through Entrepreneurship Promotion”

THE NATIONAL INSTITUTE FOR ENTREPRENEURSHIP AND SMALL BUSINESS DEVELOPMENT (NIESBUD)
A-23, SECTOR-62, NOIDA – 201 309
SCHEDULE OF FINALISATION OF PROPOSALS*

- Floating of RFP : 29-04-2019
- Pre-bid Meeting (1500 Hrs.) : 13-05-2019
- Up-loading of Clarifications (if any) : 15-05-2019
- Last day for Receipt of Proposals (1500 Hrs.) : 27-05-2019
- Opening of Technical Proposals (1530 Hrs.) : 27-05-2019
- Shortlisting of Proposers for making Technical Presentations (1700 Hrs.) : 29-05-2019
- Technical Presentations by the Proposers (1000-1700 Hrs.) : 03 & 04-06-2019
- Finalisation of Pre-qualification of the Proposers (1500 Hrs.) : 06-06-2019
- Opening of Financial Proposals (1500 Hrs.) : 10-06-2019
- Award of Undertaking of Study/Acceptance Letter : 17-06-2019
- Signing of the Agreement : 19-06-2019
- Start of the Work under Study : 01-07-2019

* The indicated timelines are tentative and subject to change.
# CONTENTS

<table>
<thead>
<tr>
<th>Section</th>
<th>Particulars</th>
<th>Page No.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><em>Schedule of Finalisation of Proposals</em></td>
<td>ii</td>
</tr>
<tr>
<td></td>
<td><em>Disclaimer</em></td>
<td>iv</td>
</tr>
<tr>
<td></td>
<td><em>Request for Proposal (RFP)</em></td>
<td>v</td>
</tr>
<tr>
<td>I</td>
<td>Definitions</td>
<td>1</td>
</tr>
<tr>
<td>II</td>
<td>Guidelines for the Proposers</td>
<td>3</td>
</tr>
<tr>
<td>III</td>
<td>Scope of Study</td>
<td>13</td>
</tr>
<tr>
<td>IV</td>
<td>Terms and Conditions</td>
<td>17</td>
</tr>
<tr>
<td>V</td>
<td>Schedule of Rates</td>
<td>25</td>
</tr>
<tr>
<td></td>
<td><em>Appendix-1</em> Details of Proposers</td>
<td>27</td>
</tr>
<tr>
<td></td>
<td><em>Appendix-2</em> Details of Personnel</td>
<td>29</td>
</tr>
<tr>
<td></td>
<td><em>Appendix-3</em> Details of Other Surveys/Studies</td>
<td>31</td>
</tr>
</tbody>
</table>
DISCLAIMER

All informations contained in the RFP, to be subsequently provided / clarified are in good faith. This is not an agreement and is not an offer or invitation to enter into an agreement of any kind with any party.

NIESBUD reserves the right to cancel the RFP and / or invite afresh with or without amendments to the RFP, without liability or any obligation for such RFP and without assigning any reason.
REQUEST FOR PROPOSAL

NIESBUD, an autonomous body under administrative control of the Ministry of Skill Development and Entrepreneurship, Government of India, engaged in activities aimed at entrepreneurship development in the country, invites Proposals from the eligible and competent Institutions for undertaking “Comprehensive Study for Preparation of a Policy/Scheme for Providing Support for Formalising Informal Sector through Entrepreneurship Promotion” as sponsored by the parent Ministry.

The details regarding broad Scope of Study, Eligibility Conditions etc. can be seen at www.niesbud.nic.in/www.msde.gov.in

The Proposals, prepared in the prescribed manner must reach the Institute latest by 1500 Hrs. on 27-05-2019.

Director (ORA)
M : 9810569166
SECTION - I
DEFINITIONS

1.0 “Consultant” means the Proposer which becomes successful and is awarded Undertaking of the Study.

2.0 “Institute”/“NIESBUD” means The National Institute for Entrepreneurship and Small Business Development (NIESBUD), NOIDA.

3.0 “Micro Enterprise” would mean an Enterprise engaged in Manufacturing having an Investment in Plant and Machinery upto Rs. 25.00 lakh and that engaged in Services having Investment in Equipment upto Rs. 10.00 lakh.

4.0 “Ministry” means the Ministry of Skill Development and Entrepreneurship (MSDE), Government of India.

5.0 “Policy/Scheme” signifies the Policy/Scheme envisaged under the Study aimed at providing Support for Formalising the Informal Sector through Entrepreneurship Promotion.

6.0 “Small Enterprise” means an Enterprise engaged in Manufacturing having an Investment in Plant and Machinery above Rs. 25.00 lakh upto Rs. 5.00 crore and that engaged in Services having Investment in Equipment above Rs. 10.00 lakh upto Rs. 2.00 crore.

7.0 “Study” means the ‘Comprehensive Study for Preparation of a Policy/Scheme for providing Support for Formalising Informal Sector through Entrepreneurship Promotion’ as commissioned by the Ministry of Skill Development and Entrepreneurship, Government of India.

8.0 “Work” implies different activities/tasks comprised in the Study.
SECTION - II
GUIDELINES FOR THE PROPOSERS

1.0 BACKGROUND

1.1 The Ministry of Skill Development and Entrepreneurship (MSDE), Government of India, aiming to support skill development and entrepreneurship activities for large scale employment generation in the country, has awarded Undertaking of the Study to the Institute, to be completed in a time-bound manner.

1.2 The overall objective of the Study is formulation of a Policy / Scheme for Providing Support for Formalising the Informal Sector through Entrepreneurship Promotion.

1.3 The activities under the Study are being co-ordinated by The National Institute for Entrepreneurship and Small Business Development (NIESBUD), an apex organisation engaged in activities aimed at entrepreneurship development in the country.

1.4 The Request for Proposal (RFP) is accordingly being floated by the Institute for Undertaking the Study on behalf of the Ministry.

2.0 BROAD SCOPE OF STUDY : OUTCOMES/DELIVERABLES

2.1 While different tasks and activities comprised under the Study have been delineated in Section-III, the following broad Outcomes/Deliverables are expected out of the Study :-

2.1.1 Estimation of informal enterprises and detailed classification of informal enterprises under various Sectors and Sub-sectors.

2.1.2 Classification of informal enterprises leading to identification of priority sectors (based on various parameters like employment, economic contribution, inclusiveness, geography etc.) and states/departments/industry associations etc. for MSDE to focus on.

2.1.3 Identification of Challenges (Key Issues) faced by micro-entrepreneurs, especially issues in terms of access to finance capital, infrastructure capital, knowledge capital etc.

2.1.4 Validation of action points with the identified stakeholders to create a roadmap/guidelines for MSDE to provide necessary support to enable movement of informal enterprises towards the formal sector through exploring various approaches and
solutions, including disruptive digital technology solutions as the key anchor point.

This would also include the potential role of MSDE and the support it may provide to informal enterprises in terms of skills, training, access to markets and capital, mentoring and capacity building.

2.1.5 Provision of a solution/ working plan in order to align all support schemes geared towards informal sector to remove duplicity and increase impact thereof.

2.1.6 Proposing an operational framework to MSDE for implementation by clearly identifying mission, vision, due diligence processes for partnerships, yearly plans, governance model, digital platform and support eco-systems (compliance handling, payment solutions, B2B, B2C and G2B networking etc.), convergence etc.

2.2 The Reporting Requirements and those of submission of different Reports by the Consultant under the Study have been indicated in Clause 2.0, Section-IV.

3.0 ELIGIBILITY CONDITIONS

3.1 The Proposer should be an established/reputed Academic/Research/Economic Institution or that dealing with issues of Micro and Small Enterprises in the country (Public/Private) inter-alia engaged in undertaking All-India Surveys or Studies on different economic or social issues.

3.2 The Proposer should be registered / incorporated Institution with Appropriate Authority and in existence / have operations in India for the last 05 years.

3.3 The Proposer should have completed at least one All-India Survey or Study of similar scale covering an economic or social issue during the last 03 years. (2016-17, 2017-18 and 2018-19) on behalf of either a public or private body.

3.4 The Proposer should have average gross turnover of at least Rs. 5.00 crore during the last three years 2016-17, 2017-18 and 2018-19 from its operations in India.

In case of a Grantee (Central / State / Local Bodies) Institution, the Proposer should have received average gross Grants (Recurring Maintenance/Project Specific except Capital Grants) of at least Rs. 5.00 crore during the last three years 2016-17, 2017-18 and 2018-19.
3.5 The Proposer should have minimum experienced in-house personnel which could effectively manage the important/vital activities under the Study.

3.6 The Proposer should have valid PAN and registered under GST Act, 2017.

4.0 INVITATION TO INSTITUTIONS

4.1 The Institute reserves the right to invite any reputed/eminent Institution to submit its Proposal in response to the RFP which, as a matter of principle/policy or otherwise did not submit its Proposal within the closing date and time prescribed for receipt of the Proposals.

4.2 The Institute also reserves the right to suitably relax the Eligibility Conditions prescribed for the Proposers in such a case.

4.3 Such Institution(s) shall rank pari passu with other Proposers in all respects except the relaxation(s) granted, if any.

5.0 UNDERSTANDING SCOPE OF STUDY

5.1 The Proposers, in their own interest, are advised to clearly understand the Scope of Study; full import of Activities/Sub-activities delineated in Section-III, the Outcomes/Deliverables expected, including their Operational Details and extent/coverage of Activities etc., before submitting their respective Proposals.

6.0 PRE-BID MEETING

6.1 While attempts have been made to incorporate all the relevant details of the Work at appropriate places so as to enable the Proposers to comprehend all the finer details to quote accordingly for the Work.

6.2 A Pre-Bid Meeting will be held at 1500 Hrs. on 13-05-2019 at Conference Hall, Second Floor, Shivaji Stadium Annexe, New Delhi-110001.

Any change of Venue will be notified upon Website.

6.3 All the Clarifications of general nature, as may be furnished during the Pre-Bid Meeting shall also be uploaded on the Website and shall form an integral part of the Agreement between the Institute and the Consultant.

7.0 PROPOSALS BY CONSORTIUMS

7.1 Proposals by Consortiums shall not be considered/accepted.

8.0 DOCUMENTS TO BE SUBMITTED (Essential to be included in Packet-I : Technical Proposal)

8.1 An attested copy each of the following documents:
   a) Details of Proposers (APPENDIX-1).
b) Memorandum/Articles of Association clearly depicting the objectives of the Institution;

c) Incorporation/Registration Certificate etc.

d) Details of Other Surveys/Studies conducted during the last three years 2016-17, 2017-18 and 2018-19 (APPENDIX-3).

e) Audited Books of Accounts for 2016-17, 2017-18 and 2018-19 clearly showing the gross turnover or gross Grants, in case of a Grantee Institution, during each of the three years.

   A Certificate from a Chartered Accountant to this effect may be submitted for 2018-19 in case the Books of Accounts for the year have not been finalised/audited till submission of the Proposal.

f) Details of In-house Personnel available for undertaking Study (APPENDIX-2).

g) Registration Certificate(s) (GST) and PAN.

h) Affiliation/Recognition, with any other Institution, if any.

i) Award Letter and Completion Certificate issued by the concerned Institution in respect of the Survey/Study mentioned at d) above and each of those mentioned at e) above.

8.2 The Pay Order/Bank Draft of EMD.

9.0 EARNEST MONEY DEPOSIT

9.1 The prescribed Earnest Money Deposit (EMD) for submission of the Proposals is Rs. 1.00 lakh.

9.2 The EMD is to be deposited in form of Pay Order/Bank Draft drawn upon any Nationalised Bank in favour of “NIESBUD, NOIDA”.

9.3 The EMD of the Proposers which are not shortlisted for making Technical Presentations will be returned within 07 days of decision on the shortlisting of the Proposers and in case of Pre-qualified Proposers within 15 days of Award of Undertaking of the Study.

9.4 No interest shall be payable on the EMD.

9.5 The EMD of the Proposers may be forfeited if:

   • The concerned Proposer withdraws the Proposal during the prescribed period of validity of the Rates.

   • In case the Consultant fails to:

      (i) Sign the Agreement on the date and time specified for the purpose.

      (ii) Commence Work under the Study from the agreed date.
10.0 PERFORMANCE GUARANTEE

10.1 The amount of Performance Guarantee for Undertaking of the Study is Rs. 5.00 lakh.

10.2 The Earnest Money Deposit of the Consultant shall be converted into part of the Performance Guarantee with the balance amount being also deposited before signing of the Agreement.

10.3 However, the Performance Guarantee shall also be accepted in the form of Unconditional Bank Guarantee in favour of “NIESBUD, NOIDA” issued by any Nationalised Bank valid for full duration of the Agreement.

10.4 If the Consultant wishes to submit the Performance Guarantee in the form of Unconditional Bank Guarantee for the entire amount, then upon submission thereof, the Pay Order / Bank Draft of the Earnest Money Deposit shall be refunded to the Consultant.

10.5 The Performance Guarantee shall be liable to be forfeited / enforced upon determination or recession of the Agreement as provided in Clause 19.2 (ii) Section-IV.

10.6 The Performance Guarantee shall be released to the Consultant latest within 15 days of completion of the Agreement as provided in Clause 22.2.

11.0 AMENDMENT TO RFP

11.1 At any time, prior to expiry of the prescribed period for submission of the Proposals, NIESBUD may, for any reason whatsoever, modify the RFP through up-loading the Amendments on the Institute’s Website and may also suitably extend the time limit for submission of the Proposals through placing the Extension Notification on the Website.

11.2 The Amendments thus notified will form an integral part of the Agreement.

11.3 The Institute even otherwise, may, in its sole discretion which will not be challenged, extend the last date for submission of the Proposals.

12.0 DEVIATIONS

12.1 The Proposer(s) should read carefully and understand all the terms and conditions of the RFP. If there are certain apprehensions/observations, the same should be clarified beforehand. The Clarifications as may be issued shall form an integral part of the Agreement.

12.2 No deviation(s) in the RFP on part of the Proposer(s), are allowed.

12.3 The Conditional Proposals shall not be entertained.
13.0 **MODE OF SUBMISSION OF PROPOSALS**

13.1 The “Request for Proposal” should be downloaded from the Website of the Institute (www.niesbud.nic.in) (*No hard copies will be provided*).

13.2 The Proposal shall be submitted in accordance with the procedure detailed in the “Request for Proposal”. The specified documents shall be kept and sealed in separate envelope(s) of appropriate size.

13.3 The Packet No. I (*Technical Proposal*) shall contain the “Request for Proposal” and the Documents as provided in Clause 8.0 above and mentioned elsewhere in the “Request for Proposal”.

13.4 The Packet No. I shall also contain the prescribed Earnest Money Deposit.

13.5 The Packet No. II (*Schedule of Rates*) shall contain the “Cost for Undertaking Study” (*Section-V*) only, duly filled in words and figures, signed and stamped.

13.6 The Proposal should be duly signed with date by an Authorised Signatory of the Proposer, sealed and witnessed. The proof of such authorisation, in favour of the person signing the Proposal, should also be submitted in Packet No. I.

13.7 Both the Packets I and II should be put in a bigger outer envelope superscribed as “Request for Proposal for Undertaking Comprehensive Study on Informal Sector”.

14.0 **QUOTATION OF RATES**

14.1 The Proposers must quote one consolidated amount in the Schedule of Rates (*Section-V*) for entire spectrum of activities/sub-activities as per details incorporated in the RFP including those which are considered essential by the Consultant for achieving the objectives of the Study but have not been delineated in the RFP.

14.2 If the Goods and Service Tax (GST) is intended to be levied/charged extra over and above the consolidated amount, as above, it should be clearly mentioned in relevant column of the Schedule of Rates.

15.0 **SUBMISSION AND OPENING OF PROPOSALS**

15.1 The Proposals, duly filled in and completed in the prescribed manner, should be deposited with Shri M.K. Gupta, Director (ORA), against acknowledgment, not later than **1500 Hrs. on 27-05-2019** at the Institute’s NOIDA Campus (A-23, Sector-62, NOIDA) who can also be approached for any Assistance (except during May 05-10, 2019).
15.2 The Institute, at its sole discretion, may extend the date of submission of the Proposals through uploading the Extension Notification on the Website.

15.3 The Technical Proposals (Packet-I) shall be opened at **1530 Hrs. on 27-05-2019** in the presence of the Proposers or their representatives who wish to be present.

This will be primarily restricted to listing out of the Proposals received by the prescribed date & time and examining whether these are accompanied with the prescribed Earnest Money Deposit or not.

15.4 The names of the Proposers who have been shortlisted for making of the Technical Presentations shall be uploaded on the Website of the Institute by **1700 Hrs. on 29-05-2019**.

15.5 The names of the Proposers which have been technically pre-qualified for Opening of Financial Proposals will be uploaded on the Website by **1500 Hrs. on 06-06-2019**.

15.6 The Financial Proposals : Schedule of Rates of only the technically pre-qualified Proposers shall be opened at **1500 Hrs. on 10-06-2019** at the Institute’s NOIDA Campus in presence of the Proposers or their representatives who wish to be present.

15.7 The Proposers or their representatives who are present at the opening of the Technical or Financial Proposals shall sign the Register evidencing their presence on the occasion(s).

16.0 **APPROACHING THE PROPOSERS FOR CLARIFICATION/ADDITIONAL INFORMATION**

16.1 NIESBUD reserves the right to approach any Proposer for seeking clarification/additional information primarily with a view to adjudge eligibility to quote for Undertaking of the Study including the quoted Rates being too high/low, as the case may be.

17.0 **TECHNICAL EVALUATION OF PROPOSALS**

17.1 The Technical Evaluation of all the Proposals which are accompanied with the prescribed Earnest Money Deposit shall be carried out by a duly constituted Proposal Opening Committee which will be based upon inter-alia the documents and details comprised in the Proposal.

17.2 This would essentially include satisfaction of the stipulated Eligibility Conditions by the Proposers as evidenced by copies of the prescribed Documents attached.

This may, however, also include the Committee’s primary satisfaction about ability of the Proposer to undertake the Study in an efficient and effective manner.
17.3 The Technical Presentations (maximum of 20 minutes) would essentially include understanding of the Indian Informal Sector, the Scope of Study by the Proposer, methodology/manner of its execution and movement of Units of Informal Sector to Formal Sector through Entrepreneurship Promotion.

17.4 The Proposal Evaluation Committee may also require the Proposer(s) to share, for its perusal, the submitted Reports in respect of any Survey/Study claimed to have been carried out by the Proposer(s) during the last three years.

17.5 The Proposers shall be evaluated by the Proposal Evaluation Committee on the following Matrix of 100 Marks with a Proposer required to score at least 70 Marks in order to be technically pre-qualified for opening of their Financial Proposals:

<table>
<thead>
<tr>
<th>Sl.No.</th>
<th>Element/Attribute</th>
<th>Maximum Marks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Standing/Capacity of the Institution including Professional Experience/Strength etc.</td>
<td>20</td>
</tr>
<tr>
<td>2.</td>
<td>Understanding of Indian Informal Sector</td>
<td>20</td>
</tr>
<tr>
<td>3.</td>
<td>Understanding Scope of Study</td>
<td>20</td>
</tr>
<tr>
<td>4.</td>
<td>Methodology/Manner of Execution of Study</td>
<td>20</td>
</tr>
<tr>
<td>5.</td>
<td>Movement of Units from Informal to Formal Sector through Entrepreneurship Promotion</td>
<td>20</td>
</tr>
</tbody>
</table>

**Total** | 100

17.6 The Proposal Evaluation Committee, at its sole discretion, may, however, lower the threshold limit for technical pre-qualification of the Proposers.

17.7 The decision of the Proposal Evaluation Committee with respect to technical pre-qualification of the Proposers shall be final and binding.

18.0 **CANVASSING**

18.1 Canvassing in any form/manner in respect of the Proposals is prohibited and will result in summary rejection of the Proposals of such Proposers indulging therein.

19.0 **RIGHT TO ACCEPT OR REJECT ANY OR ALL PROPOSALS**

19.1 The Institute reserves the right to accept, cancel or reject a Proposal and to annul and reject all the Proposals at any time prior to award of Undertaking of the Study without assigning any reason or incurring any liability/obligation to the concerned Proposer(s) as regards communication of the grounds for such an action or otherwise.
20.0 PERIOD OF VALIDITY OF RATES

20.1 The quoted Rates shall be valid for a period of 45 days after opening of the Financial Proposals: Schedule of Rates.

21.0 AWARD OF UNDERTAKING OF STUDY

21.1 The Institute will intimate the successful Proposer about acceptance of its Proposal for Undertaking the Study, in writing: Letter of Acceptance.

21.2 The Letter of Acceptance shall constitute part of the Agreement.

22.0 SIGNING OF AGREEMENT

22.1 On receipt of the Letter of Acceptance, the Consultant shall enter into an Agreement with the Institute as per the prescribed Format on the date and time to be intimated for the purpose.

22.2 The Agreement shall be considered as complete only upon submission of the Final Report of the Study as envisaged in Clause 7.4, Section-IV to the Institute and handing over of all the supporting material.
SECTION - III
SCOPE OF STUDY

1.0 INTRODUCTION

1.1 The Indian economy consists largely of the informal sector. According to estimates of the National Commission for Enterprises in the Unorganized Sector (NCEUS), about 50 percent of the GDP was contributed by the informal sector during 2004-05, while providing livelihoods to 86 percent of the 470 million workers in the country\(^1\). Apart from agriculture, which is one of the major contributors to the informal economy, manufacturing, construction and trade also contribute to this sector.

1.2 Indian informal economy, like any other, is a multifaceted and diverse phenomenon. Thus, each situation in the informal sector poses different challenges and solutions. Today, the informal economy is marred by low wages, seasonal unemployment, absence of bargaining skills, lack of access to credit and inability to access government schemes and policies which hamper prospects of growth.

1.3 Moving towards formal economy is a tall task and Government has taken multiple initiatives towards this end. In 2017, implementation of the Goods and Services Tax (GST) and demonetization might have a direct impact on the informal sector in India.\(^2\)

In short term, these actions have resulted into reduced cost competitiveness of the informal sector owing to higher transaction and compliance costs. However, if provided with necessary support in terms of entrepreneurship training, access to markets, mentoring, and access to credit, it is likely that the informal enterprises could gradually move towards formalization with potential to generate employment and wealth.

1.4 In 2002, ILO launched the Decent Work Agenda providing seven key avenues towards formalization of an economy. Out of the seven agenda points, one was ‘Entrepreneurship, Skills, Finance, Management and Access to Markets’\(^3\). Given the spread of informal sector in India, which is marred with low productivity and poor wages, it is crucial for Government policies and programmes to aim at informal enterprises which can support them to move towards formalization\(^4\).

---


\(^3\) The informal economy and decent work : A policy resource guide : Supporting transitions to formality (Geneva, 2013), Brief 4C2.

1.5 The present Government has taken multiple initiatives in this direction, with several Government Ministries/Departments supporting entrepreneurship through one or the other scheme. However, entrepreneurship support in true sense doesn’t get percolated to rural areas due to lack of access of these schemes.

1.6 To overcome these challenges, the Ministry of Skill Development and Entrepreneurship (MSDE) is expected to work towards providing necessary growth support to informal enterprises to enable them to move towards formal sector and thus contribute positively towards India’s growth story.

2.0 OBJECTIVES

2.1 Understanding the ‘spread and depth’ of informal enterprises in India, highlighting the challenges faced by them and proposing action points for MSDE to enable their movement towards Formal Sector.

2.2 Developing a Framework for MSDE to provide entrepreneurial support to informal enterprises, especially by aligning the current initiatives taken by multiple Ministries in Informal Sector and strengthening the existing support.

2.3 Identifying appropriate solutions including technology integration that support the movement of informal enterprises towards formalization through Policy as well as Funding Support.

3.0 SCOPE OF STUDY

3.1 Conducting a Comprehensive Study, through the existing databases (already commissioned Studies, Private Reports etc.) to understand the Informal Sector

3.1.1 Activities

3.1.1.1 Performing a literature review of the Studies conducted in the Informal Sector aimed at formalization.

3.1.1.2 Mapping the current available database (national as well as state level) such as NCEUS, Economic Survey, MOSPI, NSSO, data available with various relevant Ministries and other available Reports to provide an in-depth Report on extent of Informal Sector in India. *(The analysis would cover extent of Informal Sector in all States and Union Territories, providing a percentage*
break-up between formal and informal enterprises under each Sector).

3.1.1.3 Mapping all the Policies and Support provided to Informal Sector by various stakeholders such as Central and State Governments/Ministries, large scale NGOs, Social Impact Enterprises, Private Sector CSR Activities, Technology Firms etc. and identifying agencies which are carrying out the related ground level support and implementation activities.

3.1.1.4 Reviewing Case Studies, working mode of private organisations, international best practices etc. to understand the challenge faced by micro-entrepreneurs, including gaps in terms of accessing government policies, formal/informal training, access to capital, markets, monitoring and role played by technology platforms (if any) etc.

3.1.2 Outcomes

3.1.2.1 Estimation of informal enterprises and detailed classification of informal enterprises under various Sectors and Sub-sectors.

3.1.2.2 Classification of informal enterprises leading to identification of priority sectors (based on various parameters like employment, economic contribution, inclusiveness, geography etc.) and states/departments/industry associations etc. for MSDE to focus on.

3.1.2.3 Identification of Challenges (Key Issues) faced by micro-entrepreneurs, especially issues in terms of access to finance capital, infrastructure capital, knowledge capital etc.

3.2 Exploring Potential Role of MSDE

3.2.1 Discussing the results of comprehensive desktop research with a Panel of Experts in ‘Stakeholder Workshop’ with a view to identify areas of intervention for MSDE in order to support conversion of informal enterprises to formal ones. The Panel will consist of representative of stakeholders in the entrepreneurial space, such as enabling agencies and incubators, impact investors, NGOs, key sector experts, technology firms and financial institutions providing support to micro-enterprises in the informal sector as well as policy making bodies.
3.2.2 Activities

3.2.2.1 Developing a framework of approach based on possible synergies across the stakeholders in the eco-system for facilitating formulation of Policy by MSDE.

3.2.2.2 Conducting Stakeholder Workshops as well as individual interviews to discuss the implications of desktop research conducted.

3.2.2.3 Deliberating and discussing various approaches that could be adopted by MSDE to support conversion of informal enterprises to formal ones.

3.2.3 Outcomes

3.2.3.1 Validation of action points with the identified stakeholders to create a roadmap/guidelines for MSDE to provide necessary support to enable movement of informal enterprises towards the formal sector through exploring various approaches and solutions, including disruptive digital technology solutions as the key anchor point. This would also include the potential role of MSDE and the support it may provide to informal enterprises in terms of skills, training, access to markets and capital, mentoring and capacity building.

3.2.3.2 Providing a solution/ working plan in order to align all support schemes geared towards informal sector to remove duplicity and increase impact.

3.2.3.3 Proposing an operational framework to MSDE for implementation by clearly identifying mission, vision, due diligence processes for partnerships, yearly plans, governance model, digital platform and support ecosystems (compliance handling, payment solutions, B2B, B2C and G2B networking etc.), convergence etc.
SECTION - IV
TERMS AND CONDITIONS

1.0 COMPETENT / QUALIFIED PERSONNEL

1.1 The Consultant shall be required to at least deploy the following personnel for Undertaking the Study :-

**Key Experts**

<table>
<thead>
<tr>
<th>S.N.</th>
<th>Position</th>
<th>No.</th>
<th>Skills Set</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Team Leader</td>
<td>01</td>
<td>• At least 7 years of experience of working with Government advisory, supporting skills and entrepreneurship development programmes.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Should have a master’s degree in public policy or similar qualification.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Should have conducted at least two such quantitative studies at State level.</td>
</tr>
<tr>
<td>2.</td>
<td>Manager-Research &amp; Strategy</td>
<td>01</td>
<td>• At least 5 years of experience of working with Government advisory and preferably should have prior experience in Project Management.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Should have a master’s degree in public policy/ rural management/business management.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Should have prior experience of conducting similar sectoral research studies, M&amp;E Activities etc.</td>
</tr>
</tbody>
</table>

**Non Key Experts**

<table>
<thead>
<tr>
<th>S.N.</th>
<th>Position</th>
<th>No.</th>
<th>Skills Set</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Research Consultant</td>
<td>02</td>
<td>• At least 3 years of experience of conducting quantitative and qualitative analysis.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Should be well versed with research tools such as STATA, SPSS etc.</td>
</tr>
<tr>
<td>2.</td>
<td>Research Analyst</td>
<td>02</td>
<td>• At least 1-3 years of experience of strategy consulting.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Should have relevant experience of supporting similar Studies.</td>
</tr>
</tbody>
</table>

1.2. However, the Consultant, before commencement of the Work, shall make available to the Institute, the requisite particulars of all its personnel to be
deployed for completion of the Work accompanied with their respective CVs, attested copies of the Testimonials and their assigned roles.

1.3 There is no requirement of the Consultant’s personnel being stationed either at the Institute or MSDE.

2.0 REPORTING REQUIREMENTS : OBLIGATIONS OF CONSULTANT

<table>
<thead>
<tr>
<th>S. No.</th>
<th>Type of Document</th>
<th>Reporting Format</th>
<th>Deliverables (Illustrative)</th>
<th>Timelines</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Inception Report</td>
<td>One hard copy, one soft copy to be signed off and given</td>
<td>Kick-off meeting, finalizing Approach and Methodology, governance structure, reporting formats</td>
<td>T+10 days</td>
</tr>
<tr>
<td>2.</td>
<td>Interim Report with Data Analysis using existing databases</td>
<td>One hard copy, one soft copy to be signed off and given</td>
<td>Analysis of secondary research and classification of informal enterprises, action plan to conduct stakeholder workshop</td>
<td>T+60 days</td>
</tr>
<tr>
<td>3.</td>
<td>Draft Final Report</td>
<td>One hard copy, one soft copy to be signed off and given</td>
<td>Prioritization of the action plan as per the operational framework/stakeholder workshop findings</td>
<td>T+95 days</td>
</tr>
<tr>
<td>4.</td>
<td>Final Report</td>
<td>One hard copy, one soft copy to be signed off and given</td>
<td>Finalization of the operational framework to be adopted by MSDE</td>
<td>T+120 days</td>
</tr>
</tbody>
</table>

3.0 EXECUTION PLAN

3.1 The Consultant within 03 days of commencement of the Work shall submit a detailed Action Plan for execution of different tasks/activities along with the respective timelines.

3.2 The Institute/MSDE shall review the Action Plan and suggest the modifications in interest of timely completion of the Work.

4.0 PERIODIC REVIEW OF PROGRESS OF STUDY

4.1 The Consultant will submit weekly / fortnightly Progress Reports to the Institute/MSDE about progress of the Work clearly bringing out any hindering factors and changes / modifications in strategy, if any, for execution of the remaining tasks/activities.

4.2 The Consultant may also be required to make periodic Presentations to the Institute/MSDE at either NOIDA or New Delhi for which no reimbursements will be admissible to the Consultant.
4.3 Similarly, the Consultant or its representative(s) visiting NOIDA or New Delhi for Work in connection with the Study either of their own or upon requisition by the Institute/MSDE, shall not be entitled to any reimbursements.

5.0 TIME PERIOD FOR COMPLETION OF STUDY

5.1 The entire range of activities / sub-activities comprised in the Study shall be completed efficiently in a time-bound manner as per Clause 2.0 above.

5.2 The Institute/MSDE shall give its observations/comments on Interim Report and Draft Final Report within 10 and 05 working days respectively of receipt of the same.

5.3 The Consultant shall be under obligation to incorporate the changes/carry out amendments as per observations/comments of the Institute/MSDE in the concerned Reports.

5.4 No extension in time period for completion of Study shall ordinarily be allowed on this account.

5.5 In case any new task/activity which was not originally envisaged but is considered essential by the Institute/MSDE and the Consultant, for achieving objectives of the Study for which additional cost has also been mutually agreed to be paid to the Consultant, the time period for completion of the Study in such a case, shall be suitably extended through mutual discussions.

6.0 PENALTY

6.1 Timely completion of the Work is the essence of Agreement with the Consultant. The Consultant shall be under obligation to strictly adhere to the prescribed time schedule for different stages.

6.2 In case of failure of the Consultant to adhere to the timelines as prescribed in Clause 2.0 above for any reason not attributable to either Institute or MSDE, the Consultant will be penalised a maximum of Rs. 25,000/- per day of delay for a maximum of 10 days in one instance.

6.3 After second instance of levy of Penalty upon Consultant in terms of the previous Clause, the Institute shall also be at liberty to determine or rescind the Agreement as provided in Clause 19.1 vi) subsequently.

7.0 AMENDMENT OF FINAL REPORT(S)

7.1 The Institute/MSDE will convey its observations/comments on the Final Report latest within 15 working days of receipt of the Report.

7.2 The Consultant shall be under obligation to incorporate the changes/carry out amendments as per observations/comments, as above, in all cases.
where the Consultant is satisfied with the rationale/reasoning given by
the Instituted/MSDE for offering observations/comments under reference.

7.3 In case of disagreement about rationale/reasoning of the observations/
comments of the Institute/MSDE, the Consultant shall still be under
obligation to incorporate the changes/carry out amendments based
thereon *albeit* after putting a Disclaimer to this effect if so decided by the
Consultant.

7.4 The Final Report of the Study shall be duly submitted to the Institute/MSDE
latest within a period of 01 month of receipt of the observations/comments
from the Institute/MSDE.

8.0 QUOTATION OF SOURCES AND REFERENCES

8.1 The Consultant shall be under obligation to duly disclose the Sources of
the Data produced and give reference of the Quotations at the concerned
places in the Report(s).

9.0 SUB-LETTING

9.1 The Consultant shall not sub-let/outsource and/or assign the Undertaking
of the Study or any of its activities / sub-activities to any other person
under any circumstances.

9.2 However, the Consultant will be at liberty to hire experts, specialists etc.
for due completion of any activity/sub-activity under the Study after
intimating the Institute about the same.

10.0 ASSISTANCE IN GETTING INFORMATION

10.1 The Institute/MSDE may assist the Consultant in obtaining data,
information etc. from a public or private body for purpose of the Study
through making requests etc.

10.2 However, the basic responsibility of getting the data, information etc. from
the concerned body shall lie with the Consultant only.

11.0 REIMBURSEMENT OF TA & DA

11.1 The Institute shall reimburse separately any TA and DA at the prescribed
scale incurred by the Consultant in interviewing/discussing with a
particular stakeholder outside NCR as may be advised specifically by
the Institute/MSDE.

11.2 The TA and DA of outstation Experts etc. invited to participate in the
proposed Stakeholders’ Workshop shall be borne by the Institute.

        However, all the other costs of the Workshop including venue charges
etc. shall be borne by the Consultant.
12.0 NOMINATION OF SPOC BY CONSULTANT

12.1 Immediately upon signing of the Agreement, the Consultant shall appoint one Single Point of Contact (SPOC) for interacting with SPOC of the Institute/MSDE with respect to all the matters in connection with Undertaking of the Study.

12.2 The SPOC nominated by the Consultant will be at least a mid-level management representative of the Consultant and its contact detail shall be shared with SPOC of the Institute/MSDE.

12.3 All the instructions, approvals etc. given to SPOC of the Consultant shall be deemed to have been duly given to the Consultant.

13.0 RELEASE OF PAYMENT TO CONSULTANT

13.1 The payment to the Consultant shall be released as per the following stages:

- Upon submission of Inception Report 10%
- Upon submission of Interim Report etc. 30%
- Upon submission of Final Report 30%
- Upon receipt of Final Report after incorporating observations/comments by Institute/MSDE 30%

13.2 The payment shall however be subject to submission of an Invoice for the concerned amount by the Consultant, all applicable deductions and recovery of any amount which becomes due to be recovered from the Consultant.

13.3 The claim(s) for reimbursement of TA/DA which are payable to the Consultant separately shall, however be entertained as soon as submitted after completion of the concerned journey.

14.0 OWNERSHIP/IPR OF REPORTS ETC.

14.1 The Institute/MSDE shall have sole ownership of the data, reports etc. which shall not be shared/used reproduced/transmitted by the Consultant anywhere during the period of Agreement and even subsequently without prior permission of the Institute/MSDE.

15.0 RELATIONSHIP BETWEEN PARTIES

15.1 The relationship between the Institute/MSDE and Consultant shall neither be that of Master or Servant; Employer or Employee or Principal or Agent.

15.2 The Consultant shall not bind the Institute/MSDE with anything which has not been authorised by the Institute/MSDE or indulge in any work/activity
15.3 Similarly, the personnel engaged by the Consultant for the purpose shall be employees of the Consultant and the Institute in no way will be responsible for their engagement, emoluments & benefits, payment of compensation, termination etc.

15.4 Accordingly, the Institute, as regards the third parties shall not be responsible for those acts/deeds of the Consultant and/or its personnel which either do not fall within the scope of Undertaking of the Study or have not been authorised by the Institute/MSDE.

16.0 CONFIDENTIALITY OF THE REPORTS ETC.

16.1 The Consultant and its personnel shall maintain strict confidentiality with regard to all the data, reports etc. generated / collected during Undertaking of the Study.

17.0 INTERPRETATION

17.1 In case of any ambiguity in interpretation of any of the Clauses of the Agreement, the interpretation thereof by the Institute shall be binding on the Consultant.

18.0 ABANDONMENT OF UNDERTAKING OF STUDY

18.1 If the Consultant for any reason abandons Undertaking of the Study or becomes incapacitated from acting as such or fails to Undertake the Study at any stage for any reason not directly attributable to the Institute/MSDE, the Consultant shall be liable to pay such damages to the Institute as may be assessed by the Institute for Undertaking the Study or remaining activities/sub-activities thereunder through alternate arrangements.

19.0 DETERMINATION OR RECESSION OF AGREEMENT

19.1 The Institute without prejudice to any other remedy available against the Consultant in terms of provisions of the Agreement or otherwise shall have right to determine the Agreement after issuing a written notice to the Consultant to this effect in any of the following circumstances :-

i) If the Consultant commits breach of any of terms of the Agreement;

ii) If the Consultant is found guilty of misrepresentation, concealment of material facts etc.

iii) If the Consultant abandons Undertaking of the Study in terms of the previous Clause.
iv) If the Consultant fails to observe or perform any of the covenants of the Agreement and such failure or non-performance has not been remedied or set right within three days of this being brought to its notice.

v) If the Work of the Consultant from the very beginning, is of such quality/standard that the Institute/MSDE, is of the opinion that the Consultant shall not be in a position to Undertake the Study in a professional/time bound manner subsequently.

vi) If the Consultant has been penalised for delay on two different occasions in terms of Clause 6.0 above.

19.2 If the Consultant has made itself liable for action under any of the Clauses aforesaid, the Institute shall have powers to:

i) Determine or rescind the Agreement;

ii) Forfeit/enforce the Performance Guarantee of the Consultant and

iii) Engage any other Consultant to Undertake the Study or complete remaining activities/sub-activities thereunder.

19.3 In such a circumstance, the Institute shall also be entitled to recover from the Consultant any amount by which the cost of Undertaking the Study or completing remaining activities/sub-activities thereunder through alternate arrangements shall exceed the amount that would have been payable to the Consultant for the same.

20.0 FORCE MAJEURE

20.1 The standard Force Majeure Clause subject to the express provisions of this Clause shall apply and in such an eventuality, the rights and obligations of the respective parties shall subject to the express provisions of the Agreement, be determined in a mutually agreed manner.

20.2 Either party to the Agreement shall not be liable for non-performance of its respective obligations under the Agreement from Force Majeure. However, the Consultant shall continue to make endeavours to complete the Work as long as practical.

20.3 In the unlikely event of such a factor persisting even beyond a reasonable period of time, either party shall have the right to terminate the Agreement and the right and liabilities of the parties upon such termination shall be determined in a mutually agreed manner.
21.0 SETTLEMENT OF DISPUTES

21.1 In the event of any dispute or difference whatsoever arising between the parties out of or pertaining to any Clause of this Agreement including any question relating to meaning and interpretation of this Agreement or any alleged breach thereof, except those the decisions whereof have been specifically provided in the Agreement, the same shall be settled as far as possible by mutual discussions and consultations between the parties.

21.2 In case of failure to resolve the difference/dispute in the above manner, the same shall be referred to the sole arbitration of any person appointed by the Director General of the Institute, in terms of the Arbitration & Conciliation Act, 1996.

21.3 The Award, if any, of the Arbitrator, so appointed, shall be final and binding upon all the parties.

21.4 If any question, difference or dispute still remains unresolved, the same shall be subject to the jurisdiction of the Courts in the State of Delhi.
### SECTION - V

**SCHEDULE OF RATES**

*In Rs.*

<table>
<thead>
<tr>
<th>Sl.No.</th>
<th>Particulars</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>In Figures</td>
</tr>
<tr>
<td>1.</td>
<td>Cost for Undertaking Study</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>GST</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Total</td>
<td></td>
</tr>
</tbody>
</table>

**Notes :**

1. The quoted amount would be inclusive of all the costs, travel expenses etc. except the expenses which have been specifically mentioned as payable separately to the Consultant in the RFP.

2. In case any new task/activity emerges during course of the Work which was not envisaged earlier and which is considered essential by the Institute/MSDE and the Consultant for achieving the objectives of the Study, the same shall also be undertaken by the Consultant at a mutually agreed cost.

---

**Signature of Authorised Signatory**

Name : 

Designation : 

Official Stamp : 

Place : 

Date : 

---

*RFP for Preparation of Policy/Scheme for Providing Support to Informal Sector*
DETAILS OF PROPOSERS

1. Name of the Institution : 
2. Date of Establishment/Creation : 
3. Details of Registration : 
4. Address of Head Office : 
5. Affiliation/Recognition : 
6. Brief Description of Functions/Activities : 
7. Gross Turnover / Grants : 
   (Amount in Rs.) 
   2016-17 : 
   2017-18 : 
   2018-19 : 
8. Salient Details of the All-India Survey or Study as stipulated in Clause 3.3 : 
   Section-II 
9. PAN : 
   GST Number : 
10. Whether the Institution has been Black-listed by any Public/Private Organisation 
    during the last 05 years? 
    (Strike out whichever is not applicable) : Yes/No 

Signature of Authorised Signatory

Place : 
Date : 
## DETAILS OF PERSONNEL

(This should be filled separately for all the In-house Personnel presently available with the Proposer who will be engaged in Undertaking the Study)

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Name &amp; Designation</td>
</tr>
<tr>
<td>2</td>
<td>Educational &amp; Technical Qualifications</td>
</tr>
<tr>
<td>3</td>
<td>Period of Service in Institution &amp; Level in the Hierarchy</td>
</tr>
<tr>
<td>4</td>
<td>Brief details of relevant Experience in the Institution and specific role played by the Incumbent</td>
</tr>
<tr>
<td>5</td>
<td>Expected Role in the Study</td>
</tr>
<tr>
<td>6</td>
<td>Any other relevant information</td>
</tr>
</tbody>
</table>

---

Signature of Authorised Signatory

Place :
Date :
BLANK
APPENDIX-3

DETAILS OF OTHER SURVEYS/STUDIES

Brief Details about other Surveys/Studies conducted during 2016-17, 2017-18 and 2018-19 covering the following in respect of each of the Surveys/Studies claimed :-

a. Name of the Survey/Study : 

b. Institution for which carried out : 

c. Period of the Survey/Study : 

d. Objectives of the Survey/Study : 

e. Date of award to the Institution : 

f. Date of completion of Survey/Study : 

g. Total value of the Survey/Study : 

h. Contact Details of Sponsor’s SPOC for the Survey/Study

(A copy each of the Award Letter and Completion Certificate issued by the concerned Institution(s) in respect of each of the Surveys/Studies as mentioned/claimed shall be invariably enclosed with the Proposal in Packet-I : Technical Proposal)

______________________________
Signature of Authorised Signatory

Place :
Date :