

**Government of Uttarakhand, Finance Department
Center for Training and Research in Financial Administration, (CTRFA)**

**REQUEST FOR EXPRESSIONS OF INTEREST
(CONSULTING SERVICES – FIRMS SELECTION)**

UTTARAKHAND, INDIA

Uttarakhand Public Financial Management Strengthening Project

Assignment Title: Consultancy Services for Developing Roadmap for Strengthening Revenue Management Systems in the State Transport Department, Government of Uttarakhand

Reference No.:IN-CTRFA-164012-CS-QCBS

Date: 12th March 2020

The GoUK has received a loan from IBRD for the Uttarakhand Public Financial Management Strengthening Project (UkPFMS) and intends to apply a part of the loan proceeds for this assignment toward the Consultancy Services for Developing Roadmap for Strengthening Revenue Management Systems in the State Transport Department, Government of Uttarakhand .

The objective of the assignment is as follows -:

- 'As is' and Gap analysis of the current processes in Transport Department, business process re-engineering and suggesting a To BE plan
- Revenue generation potential and Potential Leakage perspective
- IT intervention and leveraging of technology for improving department efficiency
- Study of improvement of Transport Service in hilly areas, urban transport, public transport and overall improvement in the quality of transport service in the state
- Inter-state and international Comparative study with regards to provision of transport services and revenue generation.

The Finance Department through the Center for Training and Research in Financial Administration (CTRFA) now invites eligible consulting firms ("Consultants") to indicate their interest in providing the Services. Interested Consultants should provide information demonstrating that they have the required qualifications and relevant experience to perform the Services. The minimum required qualifications/criteria are available in Annexure 1 and terms of reference of the assignment can be accessed on the website <http://www.uttarakhandaudit.uk.gov.in> or can be obtained from CTRFA.

The attention of interested Consultants is drawn to paragraph 3.14 and 3.17 of the World Bank Procurement Regulations, July 2016 revised in November 2017 and August 2018 ("Procurement Regulations"), setting forth the World Bank's policy on conflict of interest.

Consultant may associate with other firms to enhance their qualifications, but should indicate clearly whether association in the form of Joint Venture and/or sub-consultancy. In case of a Joint Venture, all the partners in a joint venture shall be jointly and severally liable for the entire contract , if selected

A Consultant will be selected in accordance with the **Quality Cost Based Selection (QCBS)** method set out in the Procurement Regulations.

Further information can be obtained at the address below during office hours *1000 to 1700 hours IST*.

Expression of Interest in the prescribed format along with relevant annexures must be delivered in a document form (hard copy or electronic pdf) at the address or mail id given below (in person, by post or by email) latest by **3rd April 2020 by 17:00 Hrs IST**

Project Director

**Uttarakhand Public Financial Management Strengthening Project
Center for Training and Research in Financial Administration**

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Annexure 1: Minimum Required Qualifications Criteria

S. No.	Basic Requirement	Specific Requirements	Supporting Documents Required	Points	
1)	Entity	Must be a legally constituted entity	Copy of the Certificate of Incorporation and constitutional documents		
2)	Turnover	Should have an Average Annual Turnover of at least Rs. Three Crores and positive net worth during the last three financial years (2016-17, 2017-18, and 2018-19,).	Certified copy of the audited financial statements OR certificate from a Chartered Accountant in the format provided.	More than 03 Crores	50 Points
				Positive Net worth	50 Points
3)	Overall experience	Should have at least 05 years' experience of working for Transport department	Self-certification of details of the experience	<p align="center">300Points</p> 5-7 Years -75% More than 7-10- 90% More than 10 Year - 100%	
4)	Technical Capability	Should have proven track record of having successfully carried out minimum two (2) assignments in of the areas as specified in the TOR	Work completion certificates from client (OR) In case of ongoing consultancy, the completion should be substantial (at least 75% of the technical deliverables has been submitted to client satisfaction). Letter from client stating the status of delivery along with work order to be submitted.	<p align="center">400 Points</p> 02 relevant assignments- 75% 03 relevant assignments - 90% 04 relevant assignments -100%	

5)	Staff	Should have at least 20 staff\consultants with relevant qualifications and at least 5 years' experience in any of the above areas.	Self-certification of list of such staff with qualification and experience as per format provided.	200 Points for more than 20 staff/consultant
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Instructions

1. Please provide the minimum details as required in the format. Non-completion of the format may lead to rejection during evaluation.
2. The consultant can add other materials about the Organization and other relevant details as annexures.
3. Please provide all documents requested as annexures.

General Particulars of Consultant

Name of the Consultant	
Registered Address	
Phone No:	
Email id:	
Name of the Contact Person for this EoI	
Phone no. of the Contact Person for this EoI	
Email id of the Contact person for this EoI	

Particulars of Consultant

Date of Consultant's establishment	
Consultants Years of experience	
Registration No. (Company/Society)	
PAN No.	
GST No.	
Number of full time staff	
Do you have a branch office in the State	Yes/No. If yes, please provide the address

If you have a JV please fill the above table for each JV partner separately.

Financial Particulars of the Consultant

Financial year	Turnover	Net worth
2018-19		
2017-18		
2016-17		

Staff Brief Profile ***

Name of Staff	Age	Years of experience	Qualification	Number of years associated with the Consultant	Name of clients handled with nature of work done

*** Please provide detail CVs separately as per format given below

Relevant assignments – Last Five years***

Project Name	Funding agency Name	Client Name	Nature of work	Year of Work	Status (Completed/Ongoing)	Fees
	Central/State/Multilateral/Bilateral funding agency					

*** Please provide detail citation of work separately in the format given below

Detailed Format for Citations

Assignment name:	Approx. value of the contract (in current US\$ or Euro):
Country: Location within country:	Duration of assignment (months):
Name of Client:	Total N° of staff-months of the assignment:
Address:	Approx. value of the services provided by your Consultant under the contract (in current US\$ or Euro):
Start date (month/year): Completion date (month/year):	N° of professional staff-months provided by associated Consultants:
Name of associated Consultants, if any:	Name of senior professional staff of your Consultant involved and functions performed (indicate most significant profiles such as Project Director/Coordinator, Team Leader):
Narrative description of Project:	
Description of actual services provided by your staff within the assignment:	

Uttarakhand Public Financial Management Strengthening Project

Terms of Reference

Consultancy Services for Developing Roadmap for Strengthening Revenue Management Systems in the State Transport Department, Government of Uttarakhand

Background

1. The Transport Department, Uttarakhand functions under the provisions of section 213 of the Motor Vehicle Act, 1988. The Transport Department is primarily established for enforcement of the provisions of the Motor Vehicle Act, 1988, Central Motor Vehicle Rules, 1989, Uttarakhand Vehicles Taxation Act, 2003 and the Uttarakhand Motor Vehicles Rules 2011 framed there under. Of various types of transport facilities available, road transport plays a unique role as the best mode of transport for relatively short distances connecting the rural /hilly areas with towns and cities for which other modes of transport are not readily suited. In this regard, the Department assists other organizations in the development of transport facilities and endeavors to provide an efficient, adequate, safe, comfortable and economic transport service for the movement of passengers and goods by road.

2. In discharging statutory functions, the department has shaped up as one of the major revenue earning departments in the shape of taxes on motor vehicles and regulatory department to the Government. Actual collection of revenue by the department was Rs. 797.63 crores in FY2018/19 up from Rs. 65.91 crores in previous year. Revenue in FY2019/20 is expected to be Rs. 965 crores, but there is potential to garner more revenue.

3. The Transport Department is headed by the Transport Commissioner. He is assisted by Additional Transport Commissioner, Deputy/ Assistant Transport Commissioners, and Finance Controller in the Head Office. In the field, he is assisted by Regional Transport Officers, Assistant Regional Transport Officers, Transport Tax Officers, Motor Vehicles Inspectors besides other technical and ministerial staff.

4. The key functions of Transport Department are:

- i. Providing citizen-centric services like issuance of Driving Licenses, Registration of Motor Vehicles, Grant of National/ other road permits, etc., Registration of Motor Driving Training Schools, Registration of Garages/ Vehicle Service Centers.
- ii. Contribution of revenue to Government exchequer through collection of taxes, fees and fines.
- iii. Regulating transport services in the state, fares for different categories of commercial vehicles, interstate operation of vehicles, etc.
- iv. Training of Drivers, Conducting Fitness Test/ Pollution Check Test of Vehicles.
- v. Taking measures for safety on roads.

- vi. Regulatory Function with regards to Compliance of traffic Rules
- vii. Taking measures to control vehicular pollution.
- viii. Assisting other organizations in the development of transport facilities.

5. The strategic objectives and priorities of STD are:

- Improving efficiency and accountability in services through upgradation of all offices of the department through full-fledged computerization with improved connectivity.
- Providing online accessibility to citizens to avail services from anywhere, anytime, with latest technologies.
- Enhancing road safety by leveraging technology to strengthen the testing procedures for issue of driving licenses and fitness certificates.
- Improving infrastructure and strengthening human resource capacity of the department.

6. The Transport Department started rolling out Web enabled Vahan 4 and Sarathi 4 to various RTO/DTO offices in 19 but the roll out become a challenge due to low / inadequate reliable bandwidth in offices situated in remote hilly areas. Despite of low / inadequate bandwidth, Sarthi 4.0 & Vahan 4.0 has been rolled out in all 19 offices of Transport Department. Along with the migration to the new software systems, GoUK wishes to improve digital system for regulation, service delivery and administration by making necessary linkages to SARATHI and VAHAN for e-payments, e-challans, license renewal and a host of other regulatory and penal services under powers provided by the Motor Vehicles Act, 1988. Department is also in the process of introducing new software modules like m-fitness, e-permit, e-green card etc. In regard to legacy files and documents of old vehicles' registration, permit etc. Department has proposed to digitize the record by scanning files and integrate the database with vahan 4. Department also wishes to improve/upgrade regular file sharing & management in its offices by scanning/digitization of old files of vehicle registration, permits, DL & other documents. In addition, the GoUK wishes to improve inter-departmental coordination in the sharing and use of transport related data. At the end of the process of re-engineering the STD is expected to reduce standard time-lines for delivering various services, improve regulatory transparency, maintain digital records of vehicles, drivers' licenses and other permits and move to an "any time anywhere" model of service delivery with the overall objective of strengthening revenue management systems in the department.

7. The Government of Uttarakhand (GoUK) has applied for a loan to finance the Uttarakhand Public Financial Management Strengthening Project (UkPFMS) and intends to apply a part of the loan proceeds for this assignment which involves development of a Roadmap for strengthening and modernizing the revenue administration systems of Transport Department with the overall objective of improving the efficiencies of processes and improve revenue generation.

Objectives of Assignment

- 'As is' and Gap analysis of the current processes in Transport Department, business process re-engineering and suggesting a To BE plan

- Revenue generation potential and Potential Leakage perspective
- IT intervention and leveraging of technology for improving department efficiency and regulation
- Study of improvement of Transport Service in hilly areas, urban transport, public transport and overall improvement in the quality of transport service in the state
- Inter-state and international Comparative study with regards to provision of transport services and revenue generation.

Detailed Scope of Assignment

8. Task I - As-is” Processes Mapping, Gap Analysis and TO BE Roadmap of the State Transport Department

I.1 AS IS and Gap Analysis: Review, map and analyze current structure, functions and administrative processes and existing IT/ automated systems of the department, including policies and business rules, and the responsibilities and constraints of individual functionaries – vertically at all levels of administration including state, district, sub-districts; and horizontally across other key cross-functional departments and agencies and relationships with the State and National systems and databases with the objective(a) to develop a correct understanding of how things happen “actually and (b) identify the gaps in the above to be redesigned including beginning and end points, interfaces, as well as department units and stakeholders involved.

I.2 Business Process re-engineering: Evaluate and, wherever appropriate, re-design the core business processes by eliminating unproductive/redundant task or activities, integrating small process steps into composite tasks, processing tasks in parallel rather than sequentially, re-sequencing tasks optimally to reduce the need for multiple layers of approvals, and redesigning forms, verification processes, and supporting documentation – all with the objective of greater simplicity, efficient delivery of services and ease of access for citizens; achieve measurable improvements in productivity, efficiency of Value-added activities and reduce Non value-added activities, improve cycle times and quality in the delivery of department’s services on lines of expected service standards.

I.3 TO BE Roadmap: Recommend a comprehensive BPR strategy and process transformation road map; and suggest step-by-step approach for its state-wide implementation as detailed below. This should include logical sequencing of activities and mechanisms for interim evaluation of the BPR implementation road-map and draw from the parallel studies as mentioned in Tasks II, III and IV.

- a) Detail out the requirements related to training, capacity building and change management – to feed into the capacity building and change management strategies of the department. Identify logistics, staff training, and change management requirements to implement the business process re-engineering proposed and design and develop quantitative and qualitative performance indicators for key business processes. Recommend institutional mechanism for assessing the achievement of defined service levels and performance outcomes.
- b) Develop a report on the areas suggested for improvement and the Functional Requirement Specifications (FRS) document that details out the essential technical requirements to transform the re-engineered administrative and service delivery process prototypes into IT enabled systems for efficient and better functioning of the department and improving service deliveries.
- c) Recommend a design for modern office setup commensurate with use of Information & Communication Technologies (ICT) for the Regional & Sub regional Transport Offices and Head

Quarters of the Transport Department.

- d) After signoff by the Department concerned, prepare the DPR and detailed bidding documents/RFP document along with Technical specifications/TORs for development of the IT Infrastructure and systems for electronic delivery of various services.

9. Task II –Study of Revenue generation potential and Potential Leakage perspective and Roadmap

- a) Examine the revenue generation mechanism of the State Transport Department and to suggest ways to augment the revenue from existing provisions in the law on Motor Vehicles Taxation and new methods. Rationalization of the existing rates of taxes, fees and fines Of State Government
- b) Identify and devise ways to tap new sources of revenue from other departmental activities and assets. Also identify alternative modes of transport.
- c) Devise methods to minimize the arrears of revenue and ensure better compliance of rules regarding taxation.
- d) Identify the total potential and minimize the gap between potential revenue from taxes, fees and fines and the actual revenue being realized.
- e) Identify the pros and cons in the department carrying out certain technical responsibilities and examine the possibilities of fruitful engagement of private partners in providing services/ carrying out assigned departmental work. Also, to evaluate the efficacy of current private partner engagements like issuance of Pollution Under Control (PUC) certificate, Dealer Point Registration of Vehicles etc.
- f) Devise ways to prevent the use of private vehicles for commercial purpose and checking the evasion of tax by use of surrendered Commercial Vehicles

10. Task III - IT Intervention and Technology Driven mechanism

III.1 Minimizing human intervention in the provision of Services and during Enforcement: Identify how IT capabilities can influence and improve the process design; recommend appropriate technology enabled processes to leapfrog over infrastructure and other capacity constraints; design IT enabled prototypes of the simplified administrative processes with the objective of minimizing discretion in providing services like Vehicle Registration Certificate and Number Plate, Issuance of Driving Licenses, Issuance of Permits, Submission of Tax, Fees or Fines, Conducting Fitness test of Vehicles, Intercepting of vehicles during enforcement work and Communication with Stakeholders. Access to most of the services should be on anywhere, anytime basis.

The FRS should invariably incorporate the automation of re-engineered departmental back-end processes and workflows, beneficiary feedback system, grievance redressal mechanism, and linkages to the other related departments. In addition, the FRS should detail out the technical requirements for creating the secure online repository of data and records for real-time access by citizens on demand.

III. 2 Reorganization of Border Check Posts using technology to capture vehicle movement across state boundaries and verify bonafides of vehicular credential and compliance with transport rules.

III.3 **System Integration/ Data Sharing/ Sharing of Facilities with other Departments of the State Government** at borders and other internal checkpoints to minimize interference with vehicular flow and complete all departmental checks in one go sharing Data/Facilities etc.

III.4 **Improving road safety** through the use of IT to provide information on road and traffic conditions, driving behavior, accidents, etc. to enable inter-departmental co-ordination in improving road safety.

III.5 **IT-based Grievance Redressal Mechanism:** suggestions for the design of an IT based-robust and effective grievance redressal mechanism that is user friendly, tracks the redressal process, has mechanisms for reminders and elevation and provides MIS on the nature of complaints that can serve as policy design inputs to prevent their recurrence.

11. IV. Inter -State Comparative study and Best Practices in India and Abroad

IV.1 Conduct an inter-state comparative Study with regards to Tax Structure, Collection of tax, Rules, Office Automation, Efficiency and accountability in services and Enhancing road safety. Special reference can be taken of states having an advance road transport system.

List of key positions, whose CV and experience would be evaluated

12. The consulting firm expressing interest in the assignment should demonstrate that they have successfully carried out similar work at the sub-national level in India and have enough qualified key staff to undertake the proposed assignment, particularly in analysis of transport system, Business Process Re-engineering etc. The key staff will be supported by adequate number and qualified staff in BPR and Transport sector. Ability to speak and read Hindi would be essential. The expected man months for the key staff are around 50 man months.

Position		Qualifications/Experience
Team Leader	<ul style="list-style-type: none"> • 12 Month 	<ul style="list-style-type: none"> • Bachelor’s degree in Civil/ Mechanical Engineering with 10 years of experience in Urban Transport planning, research and operations and maintenance management or Post Graduate in Public Administration/ Management / Business Administration / Chartered Accountant with 10 years of experience of which 5 years should be in managing business process re-design/re-engineering assignments • Experience in BPR, planning, and management and familiarity with the transport department • Have worked as a key member in at least one similar assignment relating to reforms in public sectors of road transport during the last 5 years

Position		Qualifications/Experience
BPR Expert	<ul style="list-style-type: none"> • 12 Month 	<ul style="list-style-type: none"> • Post Graduate in Public Administration / Management/ Business Administration/ or a Chartered Accountant • Must have overall working experience of 10 years • Minimum 05 years demonstrated experience in business process re-engineering • Relevant expertise in government process studies, business process re design, government process re-engineering , Institutional strengthening , IT & business process assimilation etc and good knowledge of transport department functioning • Must have worked in at least one BPR assignment any level of government in last five years • Additional relevant qualification(s)/experience/assignments would be of additional advantage and would be given added weightage.
Domain expert : Revenue	10 Month	<ul style="list-style-type: none"> • Post Graduate in Public Administration /Post Graduate in Management/ Business Administration(with finance as specialization) / or a Chartered Accountant • Must have overall working experience of 10 years • Minimum 05 years demonstrated experience in finance modeling, business modeling , revenue leakage in transport department • Should have worked in at least one similar assignment relating to financial modeling during the last 05 years • Additional relevant qualification(s)/experience/assignments would be of additional advantage and would be given added weightage.
Domain Expert - Financial Expert	8 month	<ul style="list-style-type: none"> • Financial Expert with MBA (Finance) or CA/ Chartered Financial Analyst or B.Com with MBA (Finance) • Must have overall working experience of 10 years • Should have worked in at least one similar assignment relating to reform and improvement including capacity building during the last 5 years • Additional relevant qualification(s)/experience/assignments would be of additional advantage and would be given added weightage.

Position		Qualifications/Experience
IT Business Analyst	8 month	<ul style="list-style-type: none"> • BE / B. Tech. in Computer Science / Information Technology / MCA. • Must have experience in full SDLC of a information technology/BPR/software development project. • Minimum 5 years' experience demonstrating assessment of business processes, evaluating software and hardware requirements and rolling-out software application. • Relevant certification like Certified Business Analysis Professions (CBAP) • Must have worked on at least one similar assignment during the last 5 years. • Additional relevant qualification(s)/experience/assignments would be of additional advantage and would be given added weightage.

Deliverables

13. The Consultant will prepare and submit the following reports/manuals to the Uttarakhand State Transport Department as per the following schedule. The consultant would provide 3 hard copies of the report and one soft copy of the report.

Sl. No.	Deliverable	Timeline from the effective date of the contract (T)
1.	Inception Report	T + 2weeks
2.	Report on "As is" and Gap Analysis (Task I.1)	T+ 3 months
3	Report on BPR and TO BE Roadmap (Tasks I.2 and I.3a)	T + 6 months
4.	Report on Study of Revenue Generation potential, leakage of revenue and Roadmap (Task II)	T +8 months
5.	Report on IT Intervention, Technological Driven Mechanism and IT based Grievance Redress Mechanism(Task III)	T + 10months
6 .	Report on Inter-State Comparative Study and best practices in India and Abroad (Task IV)	T + 12 months
7.	Functional Specifications Requirement and Detailed Project Report (Tasks 1.3a to d)	T + 15 months

Technical review committee

14. A Technical review committee headed by the Transport Commissioner and comprising of other senior officers of Transport Department (as required) will carry out the review of all the steps taken and provide comments which will be shared with the consultant for incorporation in the final reforms

appropriately, along with any comments/suggestions from the World Bank. The Task Team will endeavor to review and provide the comments at the earliest, but not later than 3 weeks of submission of the reports and will inform the consultant in case of any delays.

Services & Support to be provided by Client

15. The assignment will be administratively coordinated by the Project Director for the Uttarakhand PFM project.

16. Technical coordination will be done by the Transport Commissioner, Uttarakhand or any other officer deputed by the Transport Commissioner.

17. The Transport Commissioner, Uttarakhand or any other officer deputed by him will coordinate with all the sections for the workshops/training and to designate staff for training and facilitate meetings with the stakeholders. For training, Uttarakhand Transport Department will provide the venue and cost of trainee travel including TA/DA, but all other requirements will be arranged by the Consultant.