

**REQUEST FOR PROPOSAL**  
**(CONSULTING SERVICES – Individual)**

**India**

*Uttarakhand Public Financial Management Strengthening Project*

Loan No.: IBRD 8928

**PREPARATION OF MEDIUM-TERM EXPENDITURE FRAMEWORK (MTEF) FOR FIVE IDENTIFIED DEPARTMENTS OF GoUK**

**(CONSULTING SERVICES – INDIVIDUAL)**

<b>Application Deadline:</b>	21 <sup>st</sup> Feb 2023 upto 1600 Hrs
<b>Type of Contract:</b>	Individual Contract
<b>Method of Procurement:</b>	Open Competitive Selection of Individual Consultants (Fixed Budget)

**Reference No : IN-CTRFA-335249-CS-FBS**

**Date: 19/01//2023**

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 Preparation of Medium-Term Expenditure Framework (MTEF) for five identified departments of GoUK

Uttarakhand Public Financial Management Strengthening Project (UKPFMS) invites proposals from Individual Consultants for Preparation of Medium-Term Expenditure Framework (MTEF) for five identified departments of GoUK.

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.

The individuals will be selected in accordance with the *Open Competitive Selection of Individual Consultants (Fixed Budget)* method set out in the Procurement Regulations of World Bank.

Further, any queries may be sought through email [ukpfmswb@gmail.com](mailto:ukpfmswb@gmail.com) within 5 days from the publication of this notice.

**Interested consultant should submit their proposal as per the formats given in RFP through speed post latest by 21<sup>st</sup> Feb 2023 by 16:00 Hrs.**

**GOVERNMENT OF UTTARAKHAND**  
**UTTARAKHAND PUBLIC FINANCIAL MANAGEMENT STRENGTHENING PROJECT**  
**RFP FOR INDIVIDUAL CONSULTANTS**  
**FOR**  
**PREPARATION OF MEDIUM-TERM EXPENDITURE FRAMEWORK (MTEF)**

**1. Background**

1. Budget and financial planning form an important constituent of public financial management system. Currently, the departments of Government of Uttarakhand (GoUK) follow the budget calendar and process as described in the Budget Manual of the state Government. It has been observed that planning and budget preparation is done on an incremental basis rather than on schemes. There is no medium-term budgeting which hinders a long-term view on budgeting for the sector. In terms of schemes there is no prioritization which leads to distortion in coverage. Also cost and time overruns affects the planning and budgeting cycle and requirements. Annual assessment of resources and their allocation to the sector is based on the priorities indicated by the state government on an annual basis. Implicit in this is that priorities may change affecting the outcome and quality of expenditure.
2. GoUK has with assistance from the World Bank embarked upon Uttarakhand Public Financial Management Strengthening (UKPFMS) Project to enhance accountability in public finances and increase effectiveness of revenue management systems in Uttarakhand for betterment of the finance system through a series of reform measures. To implement and manage the UKPFMS Project, a Project Management Unit (PMU) has been established to carry out the different strengthening projects of the related departments.
3. As part of UKPFMS Project, it is contemplated to get over the shortcomings of an annual budgeting system, it is proposed to gradually shift to a medium-term budgeting system, specifically Medium-Term Expenditure Framework (MTEF) to facilitate a continuous review of policy, programs, objectives, and outcomes and budgetary allocations on an annual basis. In this background the PMU of UKPFMS Project is considering to hire a suitably qualified and experienced consultant for preparation of MTEF for 5 key departments of GoUK, and invites applications from eligible individual consultants only.
4. 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 Appointment of an Individual Consultant to develop Medium Term Expenditure Framework for five key department of GoUK.

**2. Objective of the Assignment**

The assignment aims at –

- 1) Preparation of MTEF for 5 key departments of GoUK to strengthen the link between policy and budget, and to introduce a “result” orientation in the way resources are allocated;

- 2) Training and Knowledge transfer of the personnel of the 5 key departments in preparation of MTEF to facilitate sustainability of this approach for planning and budgeting; and to enhance the public financial management system of the State.

### **3. TOR**

3.1 The assignment covers 5 Departments of GoUK. These Departments are –

- 1) Public Works Department
- 2) Forest Department
- 3) Industries Department
- 4) Technical Education Department, and
- 5) Women & Child Development Department

3.2 With respect to each of the 5 departments listed above, the broad scope of work entails-

- 1) Preparation of MTEF for a period of 5 financial years from 2023-24 to 2027-28
- 2) Training and Knowledge Transfer for preparation of MTEF.

3.3 To carry out the work, attention should be given on the following tasks -

#### **3.3.1 Preparation of MTEF**

In preparation of MTEF, the below mentioned tasks are to be undertaken –

- Estimation of availability of financial resources for each of the departments over next five years starting from 2023-24 to 2027-28 implicitly flowing from government policy goals and priorities; and would include resources from state's own internally generated resources, central support, and external aid;
- Assessment of fund requirements in term of status of key indicators to identify issues of concern, review of adequacy of the existing schemes of the departments, followed by review of service delivery mechanism of the related departments in terms of functions and processes to prioritize the objectives of the sector;
- Building linkages from individual schemes and their respective outputs to the objectives of the departments to meet broad government goals via log frame, wherein components of the planning and budgeting process, namely schemes, outputs or major schemes' outputs, department objectives, and long-term government goals (sectoral and societal) are put down in a format that shows the logical connections between them;
- Reconcile estimated expenditure requirements with fund availability estimates and carry out re-prioritization exercise for the departments in case of constraining resource envelope.

### 3.3.2 Training and Knowledge Transfer

As part of knowledge transfer exercise, 3 workshops on MTEF will be organized – one at the beginning of the assignment to provide conceptual framework on MTEF; second in the interim period of the assignment to address the issues in understanding of MTEF; and last at the end after preparation of MTEF for each of the departments.

In addition, a manual for preparation of MTEF is to be developed as reference document for use by the 5 departments.

### 4. Deliverables/Outputs

The Deliverables/Outputs from the assignment will be –

<b>Sl. No.</b>	<b>Deliverable/Output</b>	<b>Timeframe</b>
1.	Inception Report	Within 15 days from the date of commencement of the assignment
2.	Workshop 1	Within 21 days from the date of commencement of the assignment
2.	Draft MTEF Reports for each of the 5 departments	Within 7.5 months from the date of commencement of the assignment
4.	Workshop 2	Within 8 months from the date of commencement of the assignment
5.	Manual for Preparation of MTEF for each department	Within 9 months from the date of commencement of the assignment
6.	Final MTEF Reports for each of the 5 departments	Within 9.5 months from the date of commencement of the assignment
7.	Workshop 3	Within 10 months from the date of commencement of the assignment
8.	Monthly Progress Report (max 2-3 pages) showing the status of work, issues if any, and suggested resolution.	Within 7 days from the close of the month under report (i.e. Previous month)

### 5. Duration of the Assignment

The assignment will be spread over 10 calendar months from the date of commencement of the assignment. The assignment is to be started within 7 days from the date of signing of the contract. The contract may be extended on mutual consent basis without any cost escalation.

## 6. Counterpart Staff

In carrying out the assignment, counterpart officials from each of the 5 departments will be deputed to participate in the exercise and familiarize themselves in preparation of MTEF. The consultant will have to collect the data from the said departments. The client will facilitate and coordinate with the department for smooth collection of the data and any assistance wanted to complete the assignment by the consultant. UKPFM will nominate a nodal officer for this.

## 7. Qualification of Consultant

The criteria for consideration for selection of the consultant are -

- **Qualification-** Chartered Accountant or MBA (Finance) / PGDBM (FM) who has experience of preparation of MTEF of any State Government / Govt. of India with minimum 10 years post qualification experience.
- **Experience:** Must have experience of preparation and completion of minimum of two MTEF assignment.
- Experience of working in similar geographical areas, preferably in Uttarakhand will be an added advantage.
- **Others:** The consultant should have a valid PAN & GST no.

## 8. Review of Work

A Technical Review Committee will be constituted by the PMU, UKPFMS Project to review the work of the Consultant, especially the deliverables and reports as stated in Section 4 of this REOI. The payment will be processed after the satisfactory report by the TRC as per payment schedule.

**9. Budget Estimate-** The maximum budget for the assignment is Rs 60 Lakh + GST as applicable. **The cost of workshop (venue, logistic, food / refreshment etc.) will be borne by the UKPFMS Project.** Training materials and other related materials will be provided by the consultant and needs to be built in the financial proposal. Proposal costing more than 60 lac plus GST will not be entertained and will be summarily rejected.

## 10. Indicative Payment Terms –

Sl. No.	Deliverable/Output	% of contract amount to be paid
1.	Inception Report	10% + GST
2.	Draft MTEF Reports for each of the 5 departments @ 6% per department can be paid	30% + GST
3.	Manual for Preparation of MTEF	20% + GST
4.	Final MTEF Reports for each of the 5 departments @ 6% per department can be paid	30% + GST
5.	Monthly Progress Report showing the status of work, issues if any, and suggested resolution.	10% + GST

## **11. Proposal Submission**

Interested individual consultants have to submit Form 1 & 2 in one sealed envelope and Form 3 (marked with financial quote) in another sealed envelope and put both envelope in a bigger envelope marked as “RFP for preparation of MTEF” as to reach the Office of Project Director, UKPFMS, Urban Development Directorate, 31/62 Rajpur Road, Dehradun – 248001 latest **by 21/02/2023 upto 1600 hrs.** The offer received after due date and time will be rejected out rightly and no communication in this regard will be entertained.

**Project Director  
PMU, UKPFMS Project**

**REOI/RFP for selection of individual consultant to prepare MTEF****FORM 1**

<b>Curriculum Vitae (CV) of Consultant</b>					
<b>No.</b>	<b>Particulars</b>	<b>Description</b>			
.1	Name of Consultant				
2	Address of Correspondence				
3	Mobile Number				
4	Aadhar Number				
5	PAN No.				
6	GST Registration No.				
7	E-mail Address				
8	Educational Qualification				
9	Professional Qualification				
10	Experience of Delivering Training				
11	Overall Experience (In past 20 years) (Separate sheet can be added)	SL. No.	Activity.	Client Name	Period of Working
12	No. of MTEF prepared (Details to be furnished in form No. 2)				
13	Employment Details (Separate sheet can be added)	1. Employer Name	from	To	Position Held
14	If work in Uttarakhand, please mention the Name and Period of Assignment				

Copies of.

1. Pan Card, Aadhar Card & GST Registration need to be attached.
2. Attach Separate Form 2. For each MTEF assignment.

Signature

**FORM 2**  
**DETAILS OF MTEF EXPERIENCE IN LAST 20 YEARS**  
(Separate Form 2. Should be submitted for each MTEF)

- 1. Assignment Name:**
  
- 2. Country/ Location of State:**
  
- 3. Name of the Client and their Address:**
  
- 4. Start Date of MTEF Project:**
  
- 5. End Date of MTEF Project:**
  
- 6. Approx. Value of the Assignment:**
  
- 7. Name of Associated Consultant, If Any:**
  
- 8. Short Description of Project:**

Signature

Name of Consultant:



**FORM 3**  
**Financial Proposal**

I, the undersigned, offer to provide Consulting services for the preparation of MTEF for the sum of **Rs. \_\_\_\_\_ ( Rupees\_\_\_\_\_Only)** excluding GST.

The above cost includes cost towards Consulting Fees, Travel, Local Conveyance, Accommodation, Printing, training material of workshop and all other direct/ indirect expenses associated with said assignment.

My Financial Proposal shall be binding subject to the modifications resulting from Contract negotiations.

Yours Faithfully,

(Signature of Consultant)

Date:

Place: