

No. A-12013/23/2009-Adm.I
Government of India
Planning Commission

Yojana Bhawan, Sansad Marg,
New Delhi, 22 May, 2014

OFFICE MEMORANDUM

Subject:- Procedure and Guidelines for engagement of Consultants and Young Professionals in the Planning Commission in the 12th Plan (2012-17)

Whereas under the Central Sector Plan Scheme titled 'Plan Formulation, Appraisal and Review' inter-alia, the admissible component/activity includes procurement of Consultants for regular support to the Planning Commission like Young Professionals, Programmers and other Consultants. The Scheme guidelines stipulate that they shall be engaged solely for plan formulation, appraisal and review activities and shall include professional services engaged for high quality services for specific subject/issue for which general expertise is not available in the Planning Commission. Further, their engagement will be according to guidelines issued on the subject.

2. Now therefore, in supersession of the reference dated 06.11.2009 as amended from time to time, the following Guidelines and Procedures are prescribed for engagement of Consultants and Young Professionals in the Planning Commission.

Consultants:-

3. Consultants may be engaged for a fixed period for providing high quality services to the Planning Commission and for attending to specific and time-bound tasks. Consultants may not be appointed as Heads of Divisions and shall not be engaged for routine day-to-day work.

3.1 The appointment of Consultants is on full-time basis and they shall not be permitted to take up any other assignment during the period of Consultancy with the Planning Commission.

Qualifications:-

3.2 Professionals having a Masters degree or Bachelors degree in Engineering or Law in relevant subject and minimum post qualification experience of 10 years in the requisite field. Retired Government employees with (i) grade pay of Rs.7600/- and above & (ii) at least 10 years experience in the required domain field would also be eligible for this position. **In exceptional circumstances, the Consultancy Evaluation Committee (CEC) can relax the post qualification experience requirement upto 5 years.**

3.3 The engagement of Consultants is of a temporary (non-official) nature and can be cancelled at any time by the Commission without assigning any reason.

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Number of Consultants

3.4 The total number of Consultants to be engaged in various Divisions of the Planning Commission shall not exceed 15 at any given time.

Period of engagement:-

4. The initial term of appointment shall be for one year and subsequent extension(s), if any, shall be considered on case to case basis depending upon the requirement, work performance and quality output.

4.1 **Age-limit:** - The maximum age limit for Consultants shall be 65 years.

5. Young Professionals Programme (YPP):

5.1 The Young Professionals Programme (YPP) seeks to provide a unique opportunity for persons below the age of 40 years of exposure to Public Policy, Planning and Development. It seeks to engage persons with a passion for development and the potential to become future leaders in their respective fields. Under this programme, highly qualified, motivated individuals will work in the Planning Commission in areas that are relevant to development and provide high quality professional inputs in Economics, Finance, Education, Public Health, Social Sciences, Engineering, Urban Planning and Infrastructure amongst others. This highly selective programme requires candidates to demonstrate proven academic, credentials, professional achievement and leadership qualities. The YPP seeks to provide an opportunity to gain experience in Planning Commission of policies and programmes of the Government of India.

Qualifications and Number of YPs:

5.2. Persons having Masters Degree in relevant subject or technical qualifications like B.Tech, B. Arch, MBA or equivalent in relevant field/subject. Persons with M.Phil or additional qualifications, research experience, published papers and post qualification experience in the relevant field would be preferred. The total number in the YPP shall be capped at 60.

6. Procedure

6.1 Procedure to be followed for selecting candidates for engagement as Young Professionals and Consultants shall be as follows:

6.1.1 The Divisions desirous of engaging Young Professionals and Consultants shall prepare Terms of Reference for the work to be done in the format prescribed at Annexure-I (Format can be expanded by the concerned Division based on their specific requirement) within the framework of provisions contained in GFR 2005 (Rule 163, 165, 166, 170, 176 & 177) (Annexure-II). Chapter VII-Selection of Individual Consultants (para 1.2.1, 7.1 & 7.2) of Manual of Policies and Procedure of Employment of Consultants (Annexure- III).

6.1.2 Based on their requirement, the concerned Division will send a request to Administration division on a half yearly basis i.e. by February and August of every year.

The Administration division will invite applications for the available slots and place the same on Planning Commission website and also in one national newspaper.

Screening Committee

7. All the applications received in response to the vacancies advertised will be scrutinized and shortlisted by the Administration Division in accordance with eligibility and other conditions prescribed (see para 3, 4 & 5 above) and in the light of Consultancy guidelines.

7.1 This will be done by a Screening Committee consisting of the following:

Head of Administration Division	-Chairman
Director/DS level of 3 Subject Division	- Member

7.2 Thereafter, the Administration Division would send the shortlisted applications to the concerned Division and the concerned Division would submit a proposal before the Consultancy Evaluation Committee (CEC) as prescribed in para 1.6 of Manual of Policies and Procedure of Employment of Consultants (**Annexure- III**), which would recommend a panel of 3 names and may include a waitlist of 2 persons, per vacancy.

7.3 The panel would be valid for a period of one year.

7.4 There shall be at least one woman representative in the Committees.

Consultancy Evaluation Committee (CEC)

8. The composition of the CEC shall be as under:-

8.1 For Consultants

Head/ Senior Adviser of Subject Division	-Chairman
Senior Adviser/ Adviser from another Division (2 persons)	-Member (s)
Director (Admn.)/Deputy Secretary (Admn.)	-Member

8.2 For Young Professional

Head/ Senior Adviser of Subject Division	-Chairman
Adviser/ Joint Adviser/ Director Level Officer from another Division (3 persons)	-Member(s)
Joint Adviser/ Director Level Officer from Subject Division	-Member Convener

8.3 After the Consultancy Evaluation Committee makes its recommendations the concerned subject Division will send the information along with the check-list (in format at **Annexure- IV**) to Administration Division. The Administration division will thereafter obtain the administrative approval of Secretary (PC) in case of YPs/ Consultants before issuing offer of appointment to the candidates as per recommendations of CEC.

8.4 Administration-I Division will retain the list of candidates called for interview by any Division for a period of six months from the date of interview or until the end of the financial year, whichever is earlier. Any Division desirous of engaging Consultants may access the list in addition to fresh advertisement or in lieu of fresh advertisement in that period.

9. Entitlements

9.1 **Fee and Local Conveyance:-** The maximum amount of monthly consolidated fee and Local Conveyance payable to different categories of Consultants shall be as under:-

Young Professional	<p>Rs.30,000/- to Rs.50,000/- depending upon educational qualification and experience.</p> <p style="text-align: center;"><u>Plus</u></p> <p style="text-align: center;">Rs.1500/- p.m. as local conveyance.</p>
Consultant	<p>Rs.50,000/- to Rs. 80,000/- depending upon educational qualification and experience.</p> <p style="text-align: center;"><u>Plus</u></p> <p style="text-align: center;">Rs.3000/- p.m. as local conveyance.</p>

The amount of fee in the case of retired Government officials shall not exceed the ceiling of **(Last Pay + DA Drawn) – (Basic Pension)** and it will have to be within the remuneration band, prescribed in the Consultancy Guidelines.

9.2. **Pension:** A retired Government official appointed as Consultant shall continue to draw pension and the dearness relief on pension during the period of his engagement as Consultant. His/her engagement as Consultant shall not be considered as a case of re-employment.

9.3 **Allowances:-** The Consultants/Young professionals shall not be entitled to any allowance such as Dearness Allowance, Residential Telephone, Transport Facility, Residential Accommodation, Personal Staff, CGHS, Medical Reimbursement etc. However, they will be entitled for "local conveyance" as per the rates prescribed in para 9.1 above.

9.4 **Leave:-** Consultants and Young Professionals shall be eligible for 8 days' leave in a calendar year on pro-rata basis. Therefore, a Consultants/Young professionals shall not draw any remuneration in case of his/her absence beyond 8 days in a Year (calculated on a pro-rata basis). Also un-availed leave in a calendar year cannot be carried forward to next calendar year. The Commission would be free to terminate the

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services in case of absence by more than 15 days beyond the entitled leave in a calendar year.

9.5 TA/DA:- No TA/DA shall be admissible for joining the assignment or on its completion. Consultants/Young professionals will not be allowed foreign travel at Government expenses. However, TA/DA for their travel inside the country in connection with the official work is permissible as per details specified in **Annexure-V**.

9.6 Library Facility:- Access to the Planning Commission Library during the period of their engagement will be provided as well as facilities to borrow books as per Library Rules.

10. On expiry of their existing consultancy tenure, all Consultants will have to apply afresh in response to advertisements, if any, placed on Planning Commission website and newspaper by Administration-I Division and consequently compete with other applicants to be considered for selection for appointment after following the due procedure as per the new guidelines.


Performance Appraisal:

11. An annual Performance Appraisal of the Consultants/Young Professionals would be undertaken through an Annual Performance Report (APR) in the format prescribed at **Annexure-VI**. In order to bring objectivity, assessment would be done by the reporting officer of the Division and countersigned by the Head of the Division. The Division shall forward the APR for the preceding assessment year to Adm. I within one month prior to complete of term for each year. In case of Consultants/Young Professionals working with Members/DCH, the assessment shall be conveyed by them to Administration Division. Thereafter, the APR will be communicated by Administration-I Division to the concerned Consultants/Young Professionals.

Experience Certificate:

12. At the end of the term, an Experience Certificate would be issued highlighting the tenure, work handled, fee, achievements etc. in the format specified in **Annexure-VII**. The Experience Certificate would be issued by the Subject Division and countersigned by Director (Adm.-I).

13. This issues with the approval of Deputy Chairman, Planning Commission after consultation with Integrated Finance vide their ID No.9754 dated 19.3.2014.


(S. Mukherjee)
Director (Admn.)

Copy to PSs to DCH/MOS (Plg.)/Members/Secretary
All Divisional Heads of the Planning Commission
Circulated in Yojana Bhawan through e-mail.

Terms of Reference for the work to be done

(i) Precise statement of Objectives:-

(Disciplines or the domains where engagement of consultants is required should be indicated)

(ii) Outline of the tasks to be carried out:-

(Details of work required to be carried out/ specific tasks/activities to be assigned to Consultants should be indicated)

(iii) Schedule for completion of Tasks:-

(This should be framed in such a manner that both the time frame for the jobs as well as the deliverables are clearly identified and are amenable to periodic monitoring over the duration of the assignment).

(iv) The support or inputs to be provided by Planning Commission to facilitate the Consultancy:-

(Officer who will provide guidance to the Consultant and to whom reporting is to be done should be specified here)

(v) The final outputs that will be required of the Consultant at the end of the consultancy period should be specified.

EXTRACTS FROM GFR 2005

II PROCUREMENT OF SERVICES

Rule 163. The Ministries or Departments may hire external professionals, consultancy firms or consultants (referred to as consultant hereinafter) for a specific job, which is well defined in terms of content and time frame for its completion or outsource certain services.

Rule 164. This chapter contains the fundamental principals applicable to all Ministries or Departments regarding engagement of consultant(s) and outsourcing of services. Detailed instructions to this effect may be issued by the

concerned Ministries or Departments. However, the Ministries or Departments shall ensure that they do not contravene the basic rules contained in this chapter.

Rule 165. Identification of Work / Services required to be performed by Consultants : Engagement of consultants may be resorted to in situations requiring high quality services for which the concerned Ministry/ Department does not have requisite expertise. Approval of the competent authority should be obtained before engaging consultant(s).

Rule 166. Preparation of scope of the required work / service : The Ministries / Departments should prepare in simple and concise language the requirement, objectives and the scope of the assignment. The eligibility and pre-qualification criteria to be met by the consultants should also be clearly identified at this stage.

Rule 167. Estimating reasonable expenditure : Ministry or Department proposing to engage consultant(s) should estimate reasonable expenditure for the same by ascertaining the prevalent market conditions and consulting other organisations engaged in similar activities.

Rule 168. Identification of likely sources :

- (i) Where the estimated cost of the work or service is upto Rupees twenty-five lakhs, preparation of a long list of potential consultants may be done on the basis of formal or informal enquiries from other Ministries or Departments or Organisations involved in similar activities, Chambers of Commerce & Industry, Association of consultancy firms etc.
- (ii) Where the estimated cost of the work or service is above Rupees twenty-five lakhs, in addition to (i) above, an enquiry for seeking 'Expression of Interest' from consultants should be published in at least one national daily and the Ministry's web site. The web site address should also be given in the advertisements. Enquiry for seeking Expression of Interest should include in brief, the broad scope of work or service, inputs to be provided by the Ministry or Department, eligibility and the pre-qualification criteria to be met by the consultant(s) and consultant's past experience in similar work or service. The consultants may also be asked to send their comments on the objectives and scope of the work or service projected in the enquiry. Adequate time should be allowed for getting responses from interested consultants

Rule 169. Short listing of consultants : On the basis of responses received from the interested parties as per Rule 168 above, consultants meeting the requirements should be short listed for further consideration. The number of short listed consultants should not be less than three.



Rule 170. Preparation of Terms of Reference (TOR) : The TOR should include

- (i) Precise statement of objectives;
- (ii) Outline of the tasks to be carried out;
- (iii) Schedule for completion of tasks;
- (iv) The support or inputs to be provided by the Ministry or Department to facilitate the consultancy.
- (v) The final outputs that will be required of the Consultant;

Rule 171. Preparation and Issue of Request for Proposal (RFP) : RFP is the document to be used by the Ministry / Department for obtaining offers from the consultants for the required work / service. The RFP should be issued to the shortlisted consultants to seek their technical and financial proposals. The RFP should contain :

- (i) A letter of Invitation
- (ii) Information to Consultants regarding the procedure for submission of proposal .
- (iii) Terms of Reference (TOR).
- (iv) Eligibility and pre-qualification criteria incase the same has not been ascertained through Enquiry for Expression of Interest.
- (v) List of key position whose CV and experience would be evaluated.
- (vi) Bid evaluation criteria and selection procedure.
- (vii) Standard formats for technical and financial proposal.
- (viii) Proposed contract terms.
- (ix) Procedure proposed to be followed for midterm review of the progress of the work and review of the final draft report.

Rule 172. Receipt and opening of proposals : Proposals should ordinarily be asked for from consultants in 'Two-bid' system with technical and financial bids sealed separately. The bidder should put these two sealed envelops in a bigger envelop duly sealed and submit the same to the Ministry or Department by the specified date and time at the specified place. On receipt, the technical proposals should be opened first by the Ministry or Department at the specified date, time and place.

Rule 173. Late Bids : Late bids i.e. bids received after the specified date and time of receipt, should not be considered.

Rule 174. Evaluation of Technical Bids : Technical bids should be analysed and evaluated by a Consultancy Evaluation Committee (CEC) constituted by the Ministry or Department. The CEC shall record in detail the reasons for acceptance or rejection of the technical proposals analysed and evaluated by it.

Rule 175. Evaluation of Financial Bids of the technically qualified bidders : The Ministry or Department shall open the financial bids of only those bidders who have been declared technically qualified by the Consultancy Evaluation

Committee as per Rule 174 above for further analysis or evaluation and ranking and selecting the successful bidder for placement of the consultancy contract.

Rule 176. Consultancy by nomination : Under some special circumstances, it may become necessary to select a particular consultant where adequate justification is available for such single-source selection in the context of the overall interest of the Ministry or Department. Full justification for single source selection should be recorded in the file and approval of the competent authority obtained before resorting to such single-source selection.

Rule 177. Monitoring the Contract : The Ministry / Department should be involved throughout in the conduct of consultancy, preferably by taking a task force approach and continuously monitoring the performance of the consultant(s) so that the output of the consultancy is in line with the Ministry /Department's objectives.



**Manual of Policies
and
Procedure of Employment
of
Consultants**

Chapter – I

1.1 Purpose

1.1.1 The purpose of these Guidelines is to define the Government of India's broad policies and procedures for selection, contracting and monitoring of consultants and other professional services providers financed from Govt. of India's resources. *Projects funded partially or in whole by loan/grant from International organizations like International Bank for Reconstruction and Development (IBRD), International Development Association (IDA) or grant from the Bank or trust funds would normally be governed by guidelines agreed to in the respective loan/credit agreement with them.*

1.1.2 For the purpose of these Guidelines, the term consultant(s) includes a wide variety of private and public entities, including consulting firms, engineering firms, construction management firms, management firms, procurement agents, inspection agents, auditors, investment and merchant bankers, universities, research institutions, government agencies, non governmental organizations (NGOs) and individuals/experts. These organizations as consultants could be used for help in a wide range of activities – such as policy advice; institutional reforms; management; engineering services; construction supervision/ project management; feasibility studies, financial services; privatization studies and procedures, procurement services; social and environmental studies; and identification and preparation of projects, development of Computer hardware /software services etc. to complement the capabilities of the Government Ministry / department or other Government authorities(referred as "employer" hereafter).

1.2 When and how to engage Consultant

1.2.1 The specific purpose and the specific rules and procedures to be followed for employing Consultants depend on the circumstances of the particular case. However, following main considerations would guide the need and the selection process:-

- (a) Absence of required expertise in-house;
- (b) The need for high quality services;
- (c) The need for economy and efficiency;
- (d) The need to have qualified Consultants for providing the specific services;
- (e) The importance of transparency in the selection process;
- (f) The identification of scope of work and the time frame for which services are to be availed of.

2. Combined Quality Cum Cost Based System (CQCCBS): This method of selection shall be used for highly technical projects where weightage needs to be given to higher technical standards, while finalizing the prices, as per para 3.12 below.

3. Quality Based Selection (QBS): This method of selection may be used under the following circumstances:

(i) the outcome of the assignment will have high impact and hence it is essential to engage most qualified consultant. Examples are national policy formulation; capacity building program etc.

(ii) the assignment is very complex or highly specialized where it is difficult to define scope of work with accuracy. Examples are country specific study; reforms related studies, high precision scientific work etc.

4. Cost Based Selection (CBS): This method of selection may be used for the assignments of following nature: (i) assignment where any experienced consultant can deliver the services without requirement of specific expertise. Examples are traffic surveys, market surveys etc. and (ii) cost of which shall not exceed Rs. Ten lakh.

1.5.3 Selection by direct negotiations: The selection by direct negotiations/nomination is permissible in terms of Rule 17B of General Financial Rules, 2005 under exceptional circumstance such as (a) for tasks that represent a natural continuation of previous work carried out by the firm, (b) in case of emergency situation, situation arising after natural disasters, situations where timely completion of the assignment is of utmost importance, (c) situations where the execution of assignment may involve use of proprietary techniques or only one consultant has requisite expertise. Such selection may normally be restricted to a financial ceiling of Rs. Ten lakh.

1.6 Consultancy Evaluation Committee (CEC)

For all cases having financial implications of more than Rs. Ten lakh, a CEC comprising of at least three members at appropriate level including Financial Adviser or his representative and also a representative of the user shall be constituted by the employer in order to carry out the consultant selection procedure. The CEC shall be responsible for all aspects and stages of the consultant selection i.e. issuance of EOI, evaluation of EOI, short-listing of consultants, deciding Terms of Reference, issuance of RFP, evaluation of technical and financial proposals, negotiations and final selection of the consultant. Even in case of selection of consultant by direct negotiations having financial implication of more than Rs. 10 lakh, the CEC shall negotiate with the consultant on technical and financial aspects.

[Note: Separate committees may be constituted for separate assignments.]

Chapter – VII

Selection of Individual Consultants

- 7.1. Individual consultants are normally employed on assignments for which (a) teams of personnel is not required, (b) no additional outside professional support is required, and (c) the experience and qualifications of the individual are the paramount requirement.
- 7.2. Selection of Individual consultants shall be carried out by advertising the requirement in at least one national newspaper of repute. Selection shall be based on their qualifications for the assignment. They shall be selected through comparison of qualifications of at least three candidates among those who have expressed interest in the assignment or have been approached directly by the Employer. Individuals employed by Employer shall meet all relevant qualifications and shall be fully capable of carrying out the assignment. Capability is judged on the basis of academic background, experience, and, as appropriate, knowledge of the local conditions, such as local language, culture, administrative system, and government organization.
- 7.3. Selection will be carried out by the CEC as mentioned in para 1.6 which will award marks for the educational qualifications and experience and select the most suitable candidate for the assignment. The CEC may also interview the candidates and award marks for their performance in the interview and recommend the remuneration to be paid.
- 7.4. From time to time, permanent staff or associates of a consulting firm may be available as individual consultants. In such cases, the conflict of interest provisions described in these Guidelines shall apply to the parent firm.
- 7.5. Individual consultants may be selected on a direct negotiation basis with due justification in exceptional cases such as: (a) tasks that are a continuation of previous work that the consultant has carried out and for which the consultant was selected competitively; (b) assignments lasting less than six months; (c) emergency situations resulting from natural disasters; and (d) when the individual is the only consultant qualified for the assignment.

Annexure IV

**Check-list to be sent to Administration by the Concerned Subject Division of
the Planning Commission.**

1.	Whether an advertisement was placed on Planning Commission website for inviting applications for appointment of Consultant?	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.	Whether the vacancy was published in the Newspaper?	Yes <input type="checkbox"/> No <input type="checkbox"/>
3.	Whether 15 days time for applying against the vacancy was given after publication of the vacancy circular in the Newspaper?	Yes <input type="checkbox"/> No <input type="checkbox"/>
4.	Total no. of applicants	
4 A.	Total shortlisted for interview	
4 B.	Total no. appeared for interview (list attached)	
4 C.	Whether the short-listed candidates fulfilled the criteria regarding (i) educational qualification (ii) experience (ii) Other conditions, if any?	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.	Whether a panel of 3 including a waitlist of 2 persons, per vacancy has been recommended by the duly constituted Consultancy Evaluation Committee (CEC)?	Yes <input type="checkbox"/> No <input type="checkbox"/>
6.	Whether the fee recommended is as per the prescribed norms?	Yes <input type="checkbox"/> No <input type="checkbox"/>

(Signature)
Name of the Head of the Division

TA/DA ENTITLEMENTS FOR CONSULTANTS

Types of Consultant	TA/DA (on Tour) Entitlement
Young Professionals	TA - Reimbursement of Second AC Train Fare. DA - Reimbursement for Hotel accommodation of upto Rs.500/- per day; reimbursement of travel charges of upto Rs.100/- per diem for travel within the city and reimbursement of food bills not exceeding Rs.150/- per day.
Consultant	TA- reimbursement of Second AC Train fare/ Air fare (economy class). DA- Reimbursement for Hotel accommodation of upto Rs.1500/- per day; reimbursement of travel charges of upto Rs.150/- per diem for travel within the city and reimbursement of food bills not exceeding Rs.200/- per day.

Annual Performance Report of Consultants

Year of Report:

Period: From to

Part-I: Basic Details

Name	
Date of Birth	
Date of Joining	
Designation	
Subject Division	
Reporting Authority (Name and Designation of the Officer)	
Period worked	
Brief Description of Duties:	

Part-II: Performance Appraisal

Brief Description of task	Deliverables	Actual Achievements

III. Please mention significant contribution, personal achievements, other accomplishments, if any.

IV. Remarks.

**Name of the Assessing Officer
Designation**

Countersigned by Head of the Subject Division

Experience Certificate

Dated:

To Whomsoever It May Concern

This is to certify that has worked in Planning Commission, Government of India, on contract basis, for a period from to The positions held by him, since his joining in Planning Commission, are as under:-

S.No	Designation	Division	Period of Consultancy		Consolidated monthly fee
			From	To	
1.					

The duties discharged and task performed by him during his tenure is listed below:

Outstanding Achievements (if any):

Head of the subject Division

Countersigned by Director (Adm. I)