

F.No.O-15012/1/16-Research
Government of India
NITI Aayog
(Governance & Research Vertical)

Dated at New Delhi: 16th March, 2017


Public Notice # 1

Sub: EoIs on Research/Study on each of the subjects as mentioned in Annexure-I and II (ToRs).

NITI Aayog invites Expressions of Interest (EoIs) for conducting research/study on the topics as mentioned in Annexure-I from institutions/organisations of repute (including universities/deemed universities). A brief synopsis/ToRs of the studies proposed are enclosed as Annexure-II. The detailed Research Scheme of NITI Aayog, 2015 (RSNA-2015) guidelines may be seen in the NITI Aayog website at <http://www.niti.gov.in/guidelines>

Here, the aim is to arrive at the policy prescriptions on the issue and to have more focused feedback for future policy-making. The Research/Study Proposals, for which EoIs are being invited, will be funded under the Research Scheme of NITI Aayog, 2015 (RSNA-2015). All the institutions/organisations are requested to go through the Guidelines of the Research Scheme of NITI Aayog, 2015 (RSNA-2015) before responding to this public notice, especially to satisfy themselves that they fulfill all the eligibility criteria for availing of grant under the said scheme and also that they can conduct the research study project as per the guidelines.

The hard copy of EoIs must be submitted by hand/by Registered post to SRO (Governance & Research), Room#435, NITI Aayog, Sansad Marg, New Delhi-110001. The EoIs, for the copies submitted by post, must be sent in envelopes superscribed with the words "EoIs on (name of the topic, as mentioned in Annexure-I)" and the same must reach the NITI Aayog within 30 days of the Public Notice. For any query in this regard, the SRO (Research) (+91-11-23096725) may please be contacted over phone.


16 Mar 2017
(Dr. B. Bishoi)
SRO (Research)

Annexures: As above

Research Vertical has received the following Thrust Area/ToRs from the following Verticals of the NITI Aayog

S.No.	Name of the Vertical	Thrust areas/topics
1.	HRD	<ol style="list-style-type: none">1. Efficacy of Vocational Studies at Secondary Level so as to examine relevance, retention and placement.2. Sample Survey and Study under Section 12 (I)c of the RTE Act, 2009.
2.	Decentralized Planning	<ol style="list-style-type: none">1. Examination of the reasons for the failure to prepare District Plans and Implement them- Learnings for Policy Making.2. Use of Fourteenth Finance Commission's Grant for Gram Panchayats (GPs) by the Gram Panchayats (GPs) for basic services-whether the FFC Grants are being used for the purpose for which they have been given.3. Reasons for Gram Panchyats not being selected for availing the Performance Grants recommended by the FFC.4. Whether FFC Grants were released to the States and whether they were released to the GPs by them- State wise comparisons and reasons for non-release.5. Study the Village Plan/Gram Panchayats Plans in selected States- whether these plans accommodate various loal development requirements.6. Status of Devolution to Panchayati Raj Institutions-A Study of selected States.

HRD Vertical

1. **Topic: Efficacy of Vocational Studies at Secondary Level so as to examine relevance, retention and placement.**

(I) BACKGROUND

12th Plan envisioned that vocational education at the secondary stage provides for diversification of educational opportunities so as to enhance individual employability, reduce the mismatch between demand and supply of skilled manpower and provides an alternative for those pursuing higher education. Hence, it is important and would be implemented from class IX onwards, unlike the present provision for its implementation from class XI, and would be subsumed under RMSA. Vocational Education courses would be based on national occupation standard brought out by the Sector Skill Councils (SSCs) that determine the minimum levels of competencies for various vocations. Haryana launched a pilot for introducing vocational education under NVEQF in 40 pilot schools in eight districts. Based on learning from pilot(s) the scheme was extended 32 States/UTs and 7448 in 2016-17. The scheme is now subsumed under RMSA.

The NVEQF was assimilated into the National Skills Qualifications Framework (NSQF) which was notified for the country on 27th December, 2013. The NSQF retains the basic spirit and components of NVEQF.

(II) OBJECTIVES

- (a) To know the relevance of the scheme in present scenario;
- (b) To know the retention level in vocational education; and
- (c) To know the opportunities in terms of placement.

(III) Research Methodology

Both types of data i.e. Secondary and Primary are required for the study. The data may be analyzed qualitatively as well as quantitatively.

(IV) Sample Size, Study area and target group

Secondary Data may be acquired from MHRD-RMSA unit, SPD-RMSA of the States and from the concerned schools. 6 States, one in each North, South, East, West, Central and North-Eastern region may be taken for the study. Further, 75 schools (0.1% of the schools sanctioned under RMSA) may be taken for the study. Questionnaire for different stakeholders will be developed.

(V) Outline of the tasks and final output expected from the consultants

The task will be conducted by the Research team of the consultant. Exemplary works need to be found out; further the market demand supply of different courses and the placement trends need to be explored

(VI) Schedule for completion of the study – 12 Months

2. Topic: Sample Survey and Study under Section 12 (I)c of the RTE Act, 2009.

(I) BACKGROUND

Section 12(1)(c) specified in states that the schools specified in sub-clause (iii) and (iv) of clause (n) in section 2 shall admit in class-I, to the extent of atleast twenty five per-cent of the children of that class, children belonging to weaker sections and disadvantaged groups in the neighbourhood and provide free and compulsory elementary education till its completion.

Section 12(1)(c) of the RTE, with approximately 1.6 crore opportunities in next 8 years, is the world's largest programme for public funding and private provision in education. It provides school choice for underprivileged children who traditionally would have been limited to the government schools. (*State of the Nation: RTE Section 12(1)(c)*)

(II) OBJECTIVES

Very few studies are available public domain on the subject. Therefore, a study is required:

- (a) To know the percentage of children actually enroled Year-wise under the Section in different States.
- (b) To know about the awareness amongst the parents
- (c) To know the status of year-wise re-imbursement made by the State Governments
- (d) To know the status of children studying under the section in private schools in terms of discrimination, if any and their quality of education.

(III) Research Methodology

Both types of data i.e. Secondary and Primary are required for the study. The data may be analyzed qualitatively as well as quantitatively.

(IV) Sample Size, Study area and target group

The study can be done in the States having 74% educationally backward blocks (EBBs) of the entire country. The States are Andhra Pradesh, Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Odisha, Rajasthan and Uttar Pradesh. 20 Districts from each of the States with dominating SC/ST/OBC/Minority population may further be chosen. The selection of the number of districts may be done on the basis of proportionate number of the districts to the total of the districts of the sampling States. Total of 10% of private schools and habitations may be taken for study.

(V) Outline of the tasks and final output expected from the consultants

- (a) Within 3 months of award of research/receipt of LoA by researcher
- (b) Within 12 months of award of research/receipt of LoA by researcher
- (c) Within 18 months of award of research/receipt of LoA by researcher

(VI) Schedule for completion of the study – 18 Months

DP (Division)

1. Topic: Examination of the reasons for the failure to prepare District Plans & Implement them – Learnings for Policy Making.

(I) Background and Objective of the Study

District planning is needed to maximize the development potential of districts. The exercise requires matching of local requirements with the availability of finances and other resources. Though district plans have been prepared for many districts, most of them have not been implemented.

The aim of the study is to assess the problems in preparing district plans and the reasons why they remain on paper only. With the fast changing economic scenario, there is a need to study examples of district plans for states where they have failed to take-off and states where some success has been achieved.

(II) Research Methodology

The research study involves the analysis of the process of district planning; support provided by the state in terms of policy prescriptions, government orders, guidelines, etc and interaction with local bodies/Panchayati Raj Institutions, Government departments and NGOs. It involves travel to the State Capitals as well as the districts.

(III) Sample Size, Study Area and Target Group

A total of 8 districts could be selected from four states – two where the process of district planning is well established such as Karnataka, Maharashtra, Madhya Pradesh, etc and two where the effort has not taken off such as Jharkhand, Uttar Pradesh, etc.

(IV) Outline of The Tasks and Final Output Expected from Consultants

- a) Preparation of the research plan, finalization of states and GPs and detailed methodology-Inception Report.
- b) Visits to States and GPs for examination of budgets and interaction with State level and GP level officers/ functionaries/experts -interim report
- c) Situational analysis of flow of funds and comparison of practices across States/GPs including the efficacy of the process-draft report
- d) Examination of the report by NITI and feedback-final report.

(V) Schedule for completion of the task

Inception workshop to discuss the methodology, sample size, etc.; peer review of draft report or joint review by NITI and Ministry of Panchayati Raj, workshop to discuss the draft Report.

Draft Report- 4 months; Final Report – one month after approval of the report by NITI.

(VI) Budget, duration and schedule for completion of the assignment

Budget: Rs. 30 lakhs

Duration: 8 months

(VII) Any support or inputs to be provided to the consultant by the subject Vertical

Introduction of the consultant to the State Governments, sharing available documents, any other guidance from time to time.

2. Topic: Use of Fourteenth Finance Commission's Grant for Gram Panchayats (GPs) by the Gram Panchayats (GPs) for basic services – whether the FFC Grants are being used for the purpose for which they have been given.

(I) Background and Objective of the Study

The Terms of Reference (ToR) of the Fourteenth Finance Commission (FFC) required the recommendation of "the measures needed to augment the Consolidated Fund of a State to supplement the resources of the Panchayats and Municipalities in the State, on the basis of the recommendations made by the Finance Commission of the State."

The FFC has worked out the total size of the grant to be Rs. 2,87,436 crore for the period 2015-20, constituting an assistance of Rs. 488 per capita per annum at an aggregate level. Of this, the grant recommended to panchayats is Rs. 2,00,292.2 crore and that to municipalities is Rs. 87,143.8 crore. The FFC has recommended grants in two parts - a basic grant and a performance grant for duly constituted gram panchayats and municipalities. In the case of gram panchayats, 90 per cent of the grant will be the basic grant and 10 per cent will be the performance grant. As per the Report of the FFC "The own resources of gram panchayats and municipalities are meagre. They are required, as per the relevant statutes, to deliver a number of core services to their constituents. In addition, they have been assigned numerous agency functions by Union and State Governments. However, they depend on devolution from the State Government and grants from the State and Union Governments for providing core services. The purpose of the basic grant is to provide a measure of unconditional support to the gram panchayats and municipalities for delivering the basic functions assigned to them under their respective statutes. The grant provided is intended to be used to improve the status of basic civic services including water supply, sanitation including septage management, sewerage and solid waste management, storm water drainage, maintenance of community assets, maintenance of roads, footpaths and street-lighting and burial and cremation grounds". As substantial funding is being provided to gram panchayats as per the award of the FFC, critical analysis of the use of these funds is required.

(II) Research Methodology

The research study involves analysis of the data on pattern of use of funds released to the GPs as per the award of the FFC. The State level and GP budget documents will have to be studied to see if the funds have been allocated for delivering basic services as defined in the Report of the FFC and as per the Guidelines of the Ministry of Finance dated 8th October, 2015 for the use of these grants for local bodies.

(III) Sample Size, Study Area and Target Group

A total of 36 GPs could be selected from six states from various regions-East, West, North, North East, Central and South India.

(IV) Outline of The Tasks and Final Output Expected from Consultants

- a) Preparation of the research plan, finalization of states and GPs and detailed methodology-Inception Report
- b) Visits to States and GPs for examination of budgets and interaction with State level and GP level officers/ functionaries/experts -interim report
- c) Situational analysis of flow of funds and comparison of practices across States/GPs including the efficacy of the process-draft report
- d) Examination of the report by NITI and feedback-final report.

- (V) **Schedule for completion of the task**
 Inception workshop to discuss the methodology, sample size , etc.; peer review of draft report or joint review by NITI and Ministry of Panchayati Raj, workshop to discuss the draft Report.
 Draft Report- 4 months; Final Report – one month after approval of the report by NITI.
- (VI) **Budget, duration and schedule for completion of the assignment**
 Budget: Rs. 50 lakhs
 Duration: 6 months
- (VII) **Any support or inputs to be provided to the consultant by the subject Vertical**
 Introduction of the consultant to the State Governments, sharing available documents, any other guidance from time to time

3. **Topic: Reasons for Gram Panchayats not being selected for availing the Performance Grants recommended by the FFC.**

- (I) **Background and Objective of the Study**
 The terms of reference (ToR) of the Fourteenth Finance Commission (FFC) required the recommendation of "the measures needed to augment the Consolidated Fund of a State to supplement the resources of the Panchayats and Municipalities in the State, on the basis of the recommendations made by the Finance Commission of the State."
 The FFC has worked out the total size of the grant to be Rs. 2,87,436 crore for the period 2015-20, constituting an assistance of Rs. 488 per capita per annum at an aggregate level. Of this, the grant recommended to panchayats is Rs. 2,00,292.2 crore and that to municipalities is Rs. 87,143.8 crore. The FFC has recommended grants in two parts - a basic grant and a performance grant for duly constituted gram panchayats and municipalities. In the case of gram panchayats, 90 per cent of the grant will be the basic grant and 10 per cent will be the performance grant. It has been observed by the FFC that there is a lack of reliable data on receipts and expenditure at the local body level. The FFC has therefore, provided performance grants to address the following issues: (i) making available reliable data on local bodies' receipt and expenditure through audited accounts; and (ii) improvement in own revenues.
 As per the recommendation of the FFC, these performance grants are to be disbursed from the second year of the award period, that is, 2016-17 onwards. As the eligibility of the GPs to receive performance grants would have been decided, it would be pertinent to examine the reasons for the better performance of some GPs and underperformance of others. Best practices could be identified for sharing amongst States/ GPs.
- (II) **Research Methodology**
 The research study involves the analysis of the instruments used and practices adopted to make available reliable data on receipts and expenditure of GPs. Information would have to be collected from the State Capitals and GPs.
- (III) **Sample Size, Study Area and Target Group**
 A total of 60 GPs could be selected from six states. Three underperforming States would be compared with three States which have claimed performance grants. Similarly, better performing GPs would be compared with under performers.

- (IV) **Outline of The Tasks and Final Output Expected from Consultants**
- Preparation of the research plan, finalization of states and GPs and detailed methodology-Inception Report
 - Visits to States and GPs for examination of practices in maintaining data on receipts and expenditure and interaction with State level and GP level officers/ functionaries/experts -interim report
 - Situational analysis of flow of funds and comparison of practices across States/GPs including the efficacy of the practices-draft report
 - Examination of the report by NITI and feedback-final report.

- (V) **Schedule for completion of the task**
Inception workshop to discuss the methodology, sample size , etc.; peer review of draft report or joint review by NITI and Ministry of Panchayati Raj, workshop to discuss the draft Report.

- (VI) **Budget, duration and schedule for completion of the assignment**

Budget: Rs. 50 lakhs

Duration: 6 months

- (VII) **Any support or inputs to be provided to the consultant by the subject Vertical**
Introduction of the consultant to the State Governments, sharing available documents, any other guidance from time to time

4. **Topic: Whether FFC Grants were released to the States and whether they were released to the GPs by them – State wise comparisons and reasons for non-release.**

- (I) **Background and Objective of the Study**

The Terms of Reference (ToR) of the Fourteenth Finance Commission(FFC) required the recommendation of "the measures needed to augment the Consolidated Fund of a State to supplement the resources of the Panchayats and Municipalities in the State, on the basis of the recommendations made by the Finance Commission of the State." The FFC has worked out the total size of the grant to be Rs. 2,87,436 crore for the period 2015-20, constituting an assistance of Rs. 488 per capita per annum at an aggregate level. Of this, the grant recommended to panchayats is Rs. 2,00,292.2 crore and that to municipalities is Rs. 87,143.8 crore. The FFC has recommended grants in two parts - a basic grant and a performance grant for duly constituted gram panchayats and municipalities. In the case of gram panchayats, 90 per cent of the grant will be the basic grant and 10 per cent will be the performance grant. As per the Report of the FFC "The own resources of gram panchayats and municipalities are meagre. They are required, as per the relevant statutes, to deliver a number of core services to their constituents. In addition, they have been assigned numerous agency functions by Union and State Governments. However, they depend on devolution from the State Government and grants from the State and Union Governments for providing core services. The purpose of the basic grant is to provide a measure of unconditional support to the gram panchayats and municipalities for delivering the basic functions assigned to them under their respective statutes.

(II) Research Methodology

The research study involves the analysis of the flow of funds from the Centre to the State level and thereon to the Gram Panchayats. The State level and GP budget documents will have to be studied and selected GPs visited to assess the ground level situation.

(III) Sample Size, Study Area and Target Group

A total of 36 GPs could be selected from six states from various regions-East, West, North, North East, Central and South India.

(IV) Outline of The Tasks and Final Output Expected from Consultants

- a) Preparation of the research plan, finalization of states and GPs and detailed methodology-Inception Report
- b) Visits to States and GPs for examination of budgets and interaction with State level and GP level officers/ functionaries/experts -interim report
- c) Situational analysis of flow of funds and comparison of practices across States/GPs including the efficacy of the process-draft report.
- d) Examination of the report by NITI and feedback-final report.

(V) Schedule for completion of the task

Inception workshop to discuss the methodology, sample size , etc.; peer review of draft report or joint review by NITI and Ministry of Panchayati Raj, workshop to discuss the draft Report.

Draft Report- 4 months; Final Report – one month after approval of the report by NITI.

(VI) Budget, duration and schedule for completion of the assignment

Budget: Rs. 50 lakhs

Duration: 6 months

(VII) Any support or inputs to be provided to the consultant by the subject Vertical

Introduction of the consultant to the State Governments, sharing available documents, any other guidance from time to time.

5. Topic: Study the Village Plan/Gram Panchayats Plans in selected States – whether these plans accommodate various local development requirements

(I) Background and Objective of the Study

Consequent on the recommendations of the Fourteenth Finance Commission(FFC) to award a grant of Rs. 2,00,292.2 crore to Panchayats, Ministry of Panchayati Raj issued Guidelines for the preparation of Model Gram Panchayat Development Plans on 4th November,2015 to optimize the use of these grants and ensure participatory planning. Subsequently the States also issued their own guidelines based on the model prescribed by MOPR.

The objective of this study is to analyze whether the Gram Panchayat Plans have been prepared based on the guidelines issued for the purpose by the concerned State. Practices adopted by the States for participatory planning and inclusive development also need to be documented.

(II) Research Methodology

The research methodology involves the study of guidelines issued for the preparation of Gram Panchayat Development Plans by the States and assessment of the process of GP level Planning in identified GPs in selected States. Information would have to be collected from the Departments at the State level and from the GP. Panchayat functionaries and elected members and other stakeholders would also need to be interviewed to analyze the planning processes in the GPs.

(III) Sample Size, Study Area and Target Group

A total of 36 GPs could be selected from six states from various regions-East, West, North, North East, Central and South India

(IV) Outline of The Tasks and Final Output Expected from Consultants

- a) Preparation of the research plan, finalization of states and GPs and detailed methodology-Inception Report
- b) Visits to States and GPs for interaction with State level and GP level officers/ functionaries/experts including interviews and focus Group discussions – Interim report.
- c) Situational analysis of the GP level planning processes and comparison of practices across States/GPs including their efficacy -draft report.
- d) Examination of the report by NITI and feedback-final report.

(V) Schedule for completion of the task

Inception workshop to discuss the methodology, sample size, etc.; peer review of draft report or joint review by NITI and Ministry of Panchayati Raj, workshop to discuss the draft Report.

Draft Report- 4 months; Final Report – one month after approval of the report by NITI

(VI) Budget, duration and schedule for completion of the assignment

Budget: Rs. 50 lakhs

Duration: 6 months

(VII) Any support or inputs to be provided to the consultant by the subject Vertical

Introduction of the consultant to the State Governments, sharing available documents, any other guidance from time to time

6. Topic: Status of Devolution to Panchayati Raj Institutions – A study of selected States.

(I) Background and Objective of the Study

The 73rd Constitutional Amendment Act, 1992 conferred Constitutional status on the Panchayati Raj Institutions (PRIs). It envisaged the establishment of a democratic decentralized development process through people's participation in decision-making, implementation and delivery. In order to achieve this objective, the Constitution provides for devolution of powers and responsibilities upon panchayats at appropriate levels. 29 subjects listed in the Eleventh Schedule of the Constitution have been identified for devolution to the PRIs.

With the enactment of 73rd Constitutional Amendment, there has been a progressive transfer of functions, funds and functionaries to the Panchayati Raj Institutions (PRIs). In many of the States all the 29 subjects indicated in the Eleventh Schedule have been devolved. However, in some cases Government orders have not yet been implemented and there is no significant devolution of functionaries except in a few States. Line departments control both funds and functionaries though there has been some progress in involving the PRIs particularly Gram Sabhas in the identification of beneficiaries.

The objective of this study is to prepare the latest status of devolution by the States to the PRIs with case studies of four States for in-depth analysis.

(II) Research Methodology

The research methodology involves the examination of Government orders regarding the transfer of functions, funds and functionaries to the PRIs for all the States. The in-depth study in four states will focus on the implementation of government orders and the actual ground level position. In addition to departmental staff, Panchayat functionaries and elected members and other stakeholders would also need to be interviewed to assess the status of devolution.

(III) Sample Size, Study Area and Target Group

The study will analyze the status of devolution in all states with detailed ground level analysis in four States- two wherein there has been substantial devolution and two which have lagged behind. Most of the analysis will be at the state level with corroboration with field visits to 5 GPs in each of the four identified States.

(IV) Outline of The Tasks and Final Output Expected from Consultants

- a) Preparation of the research plan, finalization of states and GPs and detailed methodology-Inception Report
- b) Visits to States and GPs for interaction with State level and GP level officers/ functionaries/experts including interviews and focus Group discussions – Interim report
- c) Analysis of the orders/notifications regarding transfer of functions, funds and functionaries and ratification by field level feed-back -draft report
- d) Examination of the report by NITI and feedback-final report.

(V) Schedule for completion of the task

Inception workshop to discuss the methodology, sample size, etc.; peer review of draft report or joint review by NITI and Ministry of Panchayati Raj, workshop to discuss the draft Report.

Draft Report- 6 months; Final Report – one month after approval of the report by NITI.

(VI) Budget, duration and schedule for completion of the assignment

Budget: Rs. 40 lakhs

Duration: 8 months

(VII) Any support or inputs to be provided to the consultant by the subject Vertical

Introduction of the consultant to the State Governments, sharing available documents, any other guidance from time to time.