



GOVERNMENT OF INDIA (GOI)

MINISTRY OF HOUSING AND URBAN AFFAIRS (MOHUA)

NATIONAL INSTITUTE OF URBAN AFFAIRS (NIUA)

CITY INVESTMENTS TO INNOVATE, INTEGRATE AND SUSTAIN (CITIIS)

**INVITATION FOR EXPRESSIONS OF INTEREST (EOI)
FOR
CONSULTANCY SERVICES FOR TECHNICAL ASSISTANCE UNDER THE CITIIS**

Date of Issue: 25/04/2019

Final Date of Submission: 23/05/2019

PROCUREMENT OF DOMESTIC POOL OF EXPERTS

1. CITIIS is developed by the Smart Cities Mission, Ministry of Housing and Urban Affairs (MoHUA) with support from the National Institute of Urban Affairs (NIUA) and the French Development Agency (AFD) to provide additional funding and tailor-made technical support to up to 15 most innovative Smart City projects in 100 Smart Cities. The Project Management Unit (PMU) of the CITIIS, a dedicated project management team under the NIUA, is the Implementing Agency for the CITIIS program.
2. This program is financed by the French Development Agency (AFD) and supported by the European Union (EU) with Smart City Special Purpose Vehicle (SPV) in 100 Smart Cities as the primary beneficiaries.
3. The program would not only strengthen the implementation of Smart City Proposals (SCPs) by providing funds for innovative projects, which are either a part of or are strongly linked to the approved SCPs, but will also make available international and domestic expertise over the program period.
4. The core principle of the program is to promote sustainability, innovation and participation in Indian Smart Cities. It supplements the Smart Cities Mission by supporting SPV in design, project development (maturation) and implementation for the projects selected under this program through a challenge process. Four urban themes are targeted under this program: Sustainable Mobility, Public Open Spaces, Urban E-Governance and ICT, and Social and Organizational Innovation in Low-Income Settlements. The details of shortlisted projects are documented as part of [CITIIS Project Compendium](#) on Smartnet. For more details on Smart Cities Mission and CITIIS program, refer to smartcities.gov.in and smartnet.niua.org/citiis.

5. The mission of this technical assistance consultancy service shall consist of elaborating and monitoring a roadmap of activities with the selected SPV based on the project logical framework; contributing to develop the technical capacity of the selected SPV staff through interactive workshops and working sessions; and ensuring the development and implementation of the agreed Environmental & Social Management Plan. This also includes activities such as – defining additional studies to be carried out; supporting selected SPV team in identifying and securing project specific partnerships and collaborations; identify areas where capacity building is needed, organizing a project innovation team within the selected SPV and develop appropriate methods to facilitate innovation management using data and open platforms to mobilize collective knowledge; supporting the structuring of tender documents and Detailed Project Reports (DPRs); and testing project solution prototypes (if any) and provide support for public consultation and co-construction process.
6. NIUA is in the process of engaging mentors with proven international (including developing countries) experience relevant to CITIIS thematic areas. One dedicated mentor will be appointed to each selected CITIIS project for the three-year period. The appointed mentor will work on a regular basis with the SPV CEOs and their teams to handhold them through the maturation and implementation of the selected projects and to develop tools and activities to address the governance issues linked to partnership, public participation, monitoring & evaluation and urban innovation. The mentorship process would be facilitated by a **Domestic Pool of Experts** recruited at the national level to contextualize the expertise and play a key role in the implementation phase of the specific project. The **Domestic Experts** will be co-owners of all the mentorship deliverables along with international mentors, especially multi-stakeholder engagement approach, internal capacity building of SPVs, and integration of innovation and experimentation in the design process. This Expression of Interest is for the appointment of **Domestic Pool of Experts**.
7. In accordance with Government of India Procurement Guidelines and AFD Procurement Guidelines, Quality Based Selection (QBS) mode of procurement will be adopted. Eligibility criteria to AFD financing are specified in sub-clause 1.3 of the “Guidelines for the Procurement of the AFD-Financed Contracts in Foreign Countries” available online at www.afd.fr. Candidates are required to submit the “Statement of Integrity, Eligibility and Social and Environmental Responsibility” as per the format provided in **Annexure 3** as a part of their EOI.
8. Each selected expert is likely to be assigned two smart city projects and the CITIIS Expertise, comprising of mentors and domestic pool of experts, will cover **six major tasks to be jointly executed** as listed below. A long-term commitment upto 3 years may be required from each expert to guarantee continuity in the support provided to the selected SPV:
 - I. **Review the projects selected for CITIIS grant** within the smart city proposal context and understand the thematic requirements of the city. This includes provision of recommendation on any documents (feasibility study, DPR etc) prepared supporting project proposal for CITIIS Challenge.
 - II. **Develop strategies for partnership and collaboration** with objective to promote innovation and sustainability in projects undertaken by SPV under Smart Cities Mission.

This includes support to SPV team to identify and mobilize the local ecosystem of actors and key projects stakeholders w.r.t CITIIS grant project, and define common goals and road maps. Handhold the SPV to implement frugal experimentations during the maturation phase

- III. **Guide and mentor the Environmental and Social Nodal Officer** of the SPV for carrying out necessary impact assessment studies and preparation of the mitigation plans where necessary towards fulfilment of the Environmental and Social Commitment Plan.
 - IV. **Project Management Support** to the selected SPV team to implement robust project management tools, with objective to successfully manage financial, operational and safeguards risks. This includes on a case-by-case basis, provide technical recommendation throughout the development of the CITIIS Grant Project using CITIIS results-based management framework, based on a gap's analysis carried out with the SPV team and stakeholders, as well as an international benchmarking exercise.
 - V. **SPV Institutional assessment** and based on the same, design of an institutional capacity development framework with specific attention to public consultation process and innovation management using data and open platforms. In addition to this, provide adequate support measures for the CITIIS PMU at NIUA to capitalize on the experiences developed through the CITIIS technical assistance to share lessons learnt and leverage knowledge throughout the Smart Cities peer learning network.
 - VI. In addition to the above, **Domestic Experts** shall be expected to provide upon request, and on a time-based assignment, support to CITIIS PMU for monitoring & evaluation, capacity building and knowledge management activities. Under this task, they may be called upon, if and when the need arises, for inputs in the project monitoring and knowledge sharing platform design, in particular during the peer learning activities.
9. The **Domestic Experts** will broadly undertake the following scope of work:

Priority Tasks:

- Primary role in mobilizing city's ecosystem to facilitate partnerships and collaboration between main stakeholders of the project in line with common goals and road maps under the guidance of mentor.
- Facilitating incorporation of innovative participatory approaches through the various phases of project design and implementation
- Capacity building and training of SPVs in thematic topics (mobility, urban planning, digital service delivery etc.) but also cross-cutting topics (sustainable development, participatory approach, business model, data management, legal partnership framework, etc.)
- Along with Mentors, assist the PMU in the knowledge management process. In particular, identification of innovative/outstanding practices and collection of relevant information and knowledge from the project implementation in respective cities.

Secondary Tasks:

- Primary coordination of technical expertise in the implementation phase of the project and secondary coordination of technical expertise in maturation phase to complement the efforts of mentors.
 - Under the strategic guidance of mentors, handhold cities to refine the design and implementation of the various project components.
 - Help in identification of gaps through the project phases and key resources or assets for timely risks mitigation.
 - Ensuring implementation in line with results-based planning, management and monitoring approaches.
 - Development of Maturation Phase Roadmap and Maturation Phase Final Report, among other periodic reports, under the guidance of mentor.
10. The duration of consulting services will be for a minimum of 12 months and could extend upto a maximum of thirty-six (36) months depending on the requirements of the project. It is estimated that the assignment would cover an indicative 3-4 person-months (pm) of consulting services of each key expert per year (both offsite and onsite effort). During the first year, the initial 1.5 to 2 months will require a focus on the program design and frameworks for above tasks. Highest mobilization is expected during the first year (1 month on site and 1 month offsite for each city).
11. **Domestic Experts** with successful and high standard of achievements and proven experiences in the region are invited to submit their EOIs as per the submission format annexed to this document.
12. **Domestic Experts** having contractual obligations with the current employer to submit an EOI on individual basis, would have to submit an undertaking with endorsement from the current employer as per the submission format provided in **Annexure 2**. This undertaking should describe the contractual arrangement required indicating the payment mode and conditions (if any) by the current employer. Undertaking has to be co-signed by the head of the institution/organizing for consideration of EOI evaluation.
13. The Expression of Interest should clearly demonstrate the relevant experience of the individual with the reference format as enclosed in **Annexure 1**. The candidates are required to provide comparable references of their past work in the areas indicated below. Determination of the similarity of experiences will be based on the services of similar nature:
- Experience of working and/or offering technical assistance on managing multi-stakeholder projects in the CITIIS thematic areas: Sustainable Mobility, Public Open Spaces, Urban E-Governance and ICT, and Social and Organizational Innovation in Low-Income Settlements;
 - Experience in designing and leading capacity development activities and/or institutional development, especially for Urban Local Bodies.
 - Experience in designing and implementing participatory approaches for thematic projects.
 - Experience in integration of innovation tools and experimentation in the project design process, preferably in urban projects
14. Among the submitted applications, the CITIIS PMU will shortlist a maximum of sixteen (16) consultants, four (4) consultants per thematic area. The PMU reserves the right to accept or reject any / all Expressions of Interest and cancel the notification without assigning any reason. Only shortlisted individuals will be issued Request for Proposal (RFP) Documents, including Terms of Reference (TOR) for the assignment, and be invited to submit a detailed proposal. CITIIS PMU expects to appoint 6 - 8 **Domestic Experts** covering all the thematic areas in this bidding process.

15. EOIs should be submitted as electronic copies in English language only, not later than 1600 hours on 23/05/2019 Late Submissions would be rejected. For details on online submission, refer to <https://www.niua.org/job-tenders> page and click on "Invitation for EOI for Consultancy Services for Technical Assistance under the CITIIS Program – Procurement of Domestic Pool of Experts".

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Annexure 1

Submission Format (maximum limit considered for evaluation is 10 pages)

1. Field of expertise

(please delete as appropriate):

- Sustainable Mobility,
- Public Open Spaces,
- Urban E-Governance and ICT,
- Social and Organizational Innovation in Low-Income Settlements

2. General information

| S.no | Information required (all field are mandatory*) |
|------|---|
| 1 | Full Name |
| 2 | City currently based in |
| 3 | Country of Citizenship/residence |
| 4 | Year of Graduation |
| 5 | Total experience <i>(in years and months)</i> |
| 6 | Currently working as <i>(and since)</i> |
| 7 | Language skills (indicate only languages in which you can work) |
| 8 | Education <i>[List college/university or other specialized education, giving names of educational institutions, dates attended, degree(s)/diploma(s) obtained]</i> |
| 9 | Biggest contract and nature of assignments handled: |
| 10 | References (if any): |

3. Employment record relevant to the Services:

[Starting with present position, list in reverse order. Please provide dates, name of employing organization, titles of positions held, types of activities performed and location of the assignment, and contact information of previous clients and employing organization(s) who can be contacted for references. Past employment that is not relevant to the Services does not need to be included.]

| Period | Employing organization and your title/position. Contact information for references | Summary of activities performed relevant to the Services |
|---------------------------------|--|--|
| <i>[e.g., May 2005-present]</i> | <i>[e.g., Ministry of, advisor/consultant to... Name of the project For references: Tel...../e-mail.....; Mr/Ms. Hbbbb, deputy minister] (Continued) Project website URL:</i> | |

4. Adequacy for Services (maximum 10 pages)

| <p>Main experience required <i>(in at least one of the four thematic)</i></p> | <p>Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks <i>(Reference list of relevant projects, especially in India)</i></p> |
|--|---|
| <p>Experience of working and/or offering technical assistance on managing multi-stakeholder projects</p> | <ul style="list-style-type: none"> - Name of the project: - Year of execution: - Client name: - Role: - Budget handled: - Size of the team handled: - Project website URL: |
| <p>Experience in designing and leading capacity development activities and/or institutional development, especially for Urban Local Bodies</p> | <ul style="list-style-type: none"> - Name of the project: - Year of execution: - Client name: - Role: - Budget handled: - Size of the team handled: - Project website URL: |
| <p>Experience in designing and implementing participatory approaches for thematic projects</p> | <ul style="list-style-type: none"> - Name of the project: - Year of execution: - Client name: - Role: - Budget handled: - Size of the team handled: - Project website URL: |
| <p>Experience in integration of innovation tools and experimentation in the project design process, preferably in urban projects</p> | <ul style="list-style-type: none"> - Name of the project: - Year of execution: - Client name: - Role: - Budget handled: - Size of the team handled: - Project website URL: |

4. Expert 's contact information: [*e-mail*, *phone*.....]

Annexure: 2

(Appendix to Expression of Interest)

Confirmation as Independent Consultant / Endorsement from the Current Employer

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes my qualifications, my experience, and myself

(Please choose the appropriate option below)

(Option A)

As an independent consultant, I certify to be available to undertake the Services for approximately 100 person-day (including 50-55 days of onsite work) per annum for 3 years in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by the Client.

[Date/month/year]

Name of Expert

Signature

Date

(Option B)

As a Domestic Expert having contractual obligations with the current employer to submit an EOI on individual basis, I declare hereby to have got my employer consent to make myself available to undertake the Services for approximately 100 person-day (including 50-55 days of onsite work) per annum for three years in case of award. My employer understands that a shortage of availability will lead to the cancellation of the contract by the Client, as no change of CV will be acceptable for the client.

[Date/month/year]

Name of Expert

Signature

Date

[Date/month/year]

Name of Employer

Signature

Date

Representative of the Consultant *[the same who signs the Proposal]*

Annexure: 3

(Appendix to Expression of Interest)

Statement of Integrity, Eligibility and Social and Environmental Responsibility

Reference name of the bid or proposal: _____ (The "Contract")

To: _____ (The "Contracting Authority")

1. We recognise and accept that *Agence Française de Développement* ("AFD") only finances projects of the Contracting Authority subject to its own conditions which are set out in the Financing Agreement which benefits directly or indirectly to the Contracting Authority. As a matter of consequence, no legal relationship exists between AFD and our company, our joint venture or our suppliers, contractors, subcontractors, consultants or sub-consultants. The Contracting Authority retains exclusive responsibility for the preparation and implementation of the procurement process and performance of the contract. The Contracting Authority means the Purchaser, the Employer, the Client, as the case may be, for the procurement of goods, works, plants, consulting services or non-consulting services.
2. We hereby certify that neither we nor any other member of our joint venture or any of our suppliers, contractors, subcontractors, consultants or sub-consultants are in any of the following situations:
 - 2.1. Being bankrupt, wound up or ceasing our activities, having our activities administered by the courts, having entered into receivership, reorganisation or being in any analogous situation arising from any similar procedure;
 - 2.2. Having been:
 - a. convicted, within the past five years by a court decision, which has the force of *res judicata* in the country where the Contract is implemented, of fraud, corruption or of any other offense committed during a procurement process or performance of a contract (in the event of such conviction, you may attach to this Statement of Integrity supporting information showing that this conviction is not relevant in the context of this Contract);
 - b. subject to an administrative sanction within the past five years by the European Union or by the competent authorities of the country where we are constituted, for fraud, corruption or for any other offense committed during a procurement process or performance of a contract (in the event of such sanction, you may attach to this Statement of Integrity supporting information showing that this sanction is not relevant in the context of this Contract);
 - c. convicted, within the past five years by a court decision, which has the force of *res judicata*, of fraud, corruption or of any other offense committed during the procurement process or performance of an AFD-financed contract;
 - 2.3. Being listed for financial sanctions by the United Nations, the European Union and/or France for the purposes of fight-against-terrorist financing or threat to international peace and security;
 - 2.4. Having been subject within the past five years to a contract termination fully settled against us for significant or persistent failure to comply with our contractual obligations during contract performance, unless this termination was challenged and dispute resolution is still pending or has not confirmed a full settlement against us;

- 2.5. Not having fulfilled our fiscal obligations regarding payments of taxes in accordance with the legal provisions of either the country where we are constituted or the Contracting Authority's country;
 - 2.6. Being subject to an exclusion decision of the World Bank and being listed on the website <http://www.worldbank.org/debarr> (in the event of such exclusion, you may attach to this Statement of Integrity supporting information showing that this exclusion is not relevant in the context of this Contract);
 - 2.7. Having created false documents or committed misrepresentation in documentation requested by the Contracting Authority as part of the procurement process of this Contract.
3. We hereby certify that neither we, nor any of the members of our joint venture or any of our suppliers, contractors, subcontractors, consultants or sub-consultants are in any of the following situations of conflict of interest:
 - 3.1. Being an affiliate controlled by the Contracting Authority or a shareholder controlling the Contracting Authority, unless the stemming conflict of interest has been brought to the attention of AFD and resolved to its satisfaction;
 - 3.2. Having a business or family relationship with a Contracting Authority's staff involved in the procurement process or the supervision of the resulting Contract, unless the stemming conflict of interest has been brought to the attention of AFD and resolved to its satisfaction;
 - 3.3. Being controlled by or controlling another bidder or consultant, or being under common control with another bidder or consultant, or receiving from or granting subsidies directly or indirectly to another bidder or consultant, having the same legal representative as another bidder or consultant, maintaining direct or indirect contacts with another bidder or consultant which allows us to have or give access to information contained in the respective applications, bids or proposals, influencing them or influencing decisions of the Contracting Authority;
 - 3.4. Being engaged in a consulting services activity, which, by its nature, may be in conflict with the assignments that we would carry out for the Contracting Authority;
 4. If we are a state-owned entity, and to compete in a procurement process, we certify that we have legal and financial autonomy and that we operate under commercial laws and regulations.
 5. We undertake to bring to the attention of the Contracting Authority, which will inform AFD, any change in situation with regard to points 2 to 4 here above.
 6. In the context of the procurement process and performance of the corresponding contract:
 - 6.1. We have not and we will not engage in any dishonest conduct (act or omission) deliberately intended to deceive others, to intentionally conceal items, to violate or vitiate someone's consent, to make them circumvent legal or regulatory requirements and/or to violate their internal rules in order to obtain illegitimate profit;
 - 6.2. We have not and we will not engage in any dishonest conduct (act or omission) contrary to our legal or regulatory obligations or our internal rules in order to obtain illegitimate profit;
 - 6.3. We have not promised, offered or given and we will not promise, offer or give, directly or indirectly to (i) any Person who holds a legislative, executive, administrative or judicial mandate within the State of the Contracting Authority regardless of whether that Person was nominated or elected, regardless of the permanent or temporary, paid or unpaid nature of the position and regardless of the hierarchical level the Person occupies, (ii) any other Person who performs a public function, including for a State institution or a State-owned company, or who provides

a public service, or (iii) any other person defined as a Public Officer by the national laws of the Contracting Authority's country, an undue advantage of any kind, for himself or for another Person or entity, for such Public Officer to act or refrain from acting in his official capacity;

- 6.4. We have not promised, offered or given and we will not promise, offer or give, directly or indirectly to any Person who occupies an executive position in a private sector entity or works for such an entity, regardless of the nature of his/her capacity, any undue advantage of any kind, for himself or another Person or entity for such Person to perform or refrain from performing any act in breach of its legal, contractual or professional obligations;
 - 6.5. We have not and we will not engage in any practice likely to influence the contract award process to the detriment of the Contracting Authority and, in particular, in any anti-competitive practice having for object or for effect to prevent, restrict or distort competition, namely by limiting access to the market or the free exercise of competition by other undertakings;
 - 6.6. Neither we nor any of the members of our joint venture or any of our suppliers, contractors, subcontractors, consultants or sub-consultants shall acquire or supply any equipment nor operate in any sectors under an embargo of the United Nations, the European Union or France;
 - 6.7. We commit ourselves to comply with and ensure that all of our suppliers, contractors, subcontractors, consultants or sub-consultants comply with international environmental and labour standards, consistent with laws and regulations applicable in the country of implementation of the Contract, including the fundamental conventions of the International Labour Organisation (ILO) and international environmental treaties. Moreover, we shall implement environmental and social risks mitigation measures when specified in the environmental and social commitment plan (ESCP) provided by the Contracting Authority.
7. We, as well as members of our joint venture and our suppliers, contractors, subcontractors, consultants or sub-consultants authorise AFD to inspect accounts, records and other documents relating to the procurement process and performance of the contract and to have them audited by auditors appointed by AFD.

Name: _____

In the capacity of: _____

Duly empowered to sign in the name and on behalf of¹: _____

Signature:

Dated:

¹ In case of joint venture, insert the name of the joint venture. The person who will sign the application, bid or proposal on behalf of the applicant, bidder or consultant shall attach a power of attorney from the applicant, bidder or consultant.