

NATIONAL INSTITUTE OF URBAN AFFAIRS
CITY INVESTMENTS TO INNOVATE, INTEGRATE AND SUSTAIN (CITIIS)
INVITATIONS FOR EXPRESSIONS OF INTEREST (EOI)
FOR
CONSULTANCY SERVICES FOR TECHNICAL ASISTANCE UNDER THE CITIIS

Date of issue: 28th October 2019

Final date of submission: 25th November, 2019

PROCUREMENT OF A CONSULTANCY FIRM FOR TRANSVERSAL 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 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) [Principal Authority] 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 the Smart City proposals (SCPs) by providing funds for innovative projects, which are either 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 has engaged Mentors with proven international experience (including experience in developing countries) relevant to CITIIS thematic areas (*Sustainable Mobility, Public Open Spaces, Urban E-Governance and ICT and Social and Organizational Innovation in Low Income Settlements*). The mentorship process is 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. One dedicated Mentor and one Domestic expert has been appointed to each selected CITIIS project for a three-year period. The appointed Mentors and Domestic Experts 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.
7. The Program foresees the requirement of a specialized pool of experts- Transversal experts with the view of providing timely, high-level expertise to support the SPV on sectoral topics or cross-cutting topics as outlined in clause 08. The Duration of Consulting Services is expected to extend up to **36 months** depending upon the nature of the projects. This Expression of Interest (EoI) is for International and Domestic **Consulting Firms/ Joint Ventures (Bidders)** for provision of Transversal Experts in lots as outlined in clause number 08. The requirement of Transversal experts is expected at two levels-

- I. **Component I- SPV level Support-** The Transversal experts shall be expected to provide technical support to the 12 projects covered under the CITIIS program. The involvement of the Transversal Experts is expected in the Maturation (development phase of the project) as well as the Implementation Phase. (*For details, refer smartnet.niua.org/citiis*) The requirement of these specialized experts will be ascertained once the Road Map is agreed between the SPV, PMU, Mentor and the Domestic Expert for each of the CITIIS project, the requirement of Transversal Theme and the nature of intervention required is identified.
- II. **Component II- State Support-** the CITIIS program intends to create a partnership with a state and leverage this partnership to drive capacity building activities for smart city development within the partner state. This partnership will share good practices and enhance the replicability of integrated urban projects. Andhra Pradesh has been proposed as the Partner State for State Support.

The nature of support to be provided at the State level/ SPV level will be finalized in consultation with the State Urban Development Department.

8. The Bidder shall be expected to provide services in areas of expertise as classified in the Lots below. Accordingly, the Bidder can submit the EoI for one or more Lots.

LOT 01 (Institutional Integration)	
CORE EXPERTISE REQUIRED	ADDITIONAL EXPERTISE REQUIRED
<ul style="list-style-type: none"> — Monitoring and Evaluation expert — Project Finance and transaction Advisory Expert — Public Private Partnership Expert — Procurement Specialist 	<ul style="list-style-type: none"> — Open Data Management Expert — Land Economics (including Land Pooling, Value Capture)
LOT 02 (Urban Innovation)	
CORE EXPERTISE REQUIRED	ADDITIONAL EXPERTISE REQUIRED
<ul style="list-style-type: none"> — Urban Innovation and co-construction : inclusive planning, participatory planning, co-construction with private sector — Design thinking and systems thinking — Frugal Architecture: conception and design of urban prototypes for community based experimentation — Innovation and change management 	<ul style="list-style-type: none"> — Communication and Marketing
LOT 03 (Urban Sustainability)	
CORE EXPERTISE REQUIRED	ADDITIONAL EXPERTISE REQUIRED
<ul style="list-style-type: none"> — Urban Resilience and Disaster Management — Urban Biodiversity Expert/ Urban Botanist — Climate change (life cycle analysis and carbon footprint) — Inclusion & Social Development — Gender mainstreaming 	<ul style="list-style-type: none"> — Environmental Toxicologist — Water resource management including Hydrology Expertise — Education systems and Pedagogy — Waste Management — Transportation Modelling — E-vehicles Technology — Public Health — Decentralized Waste Water Management

9. International/ Domestic **Consulting Firms/ Joint Venture (JV) of Firms (Bidder)** with successful and high standard of achievements and proven experiences including International experience are invited to submit their EOIs as per the submission format annexed to this document.
10. A Bidder may be a natural person, private entity, government-owned entity, or any combination of them with a formal intent to enter into an agreement or under an existing agreement in the form of a joint venture (JV). The details of the Bidder's constitution have to be provided as per **Annexure 01**.
11. The Expression of Interest should clearly demonstrate the relevant experience of the Bidder as per format as enclosed in **Annexure 02**. Determination of the similarity of experiences will be based on the size of contracts for services of similar nature:
 - ✓ Management of time-bound, short term and complex consultancy services, preferably multi-lateral donor-funded projects;

- ✓ Management and review of feasibility and design studies for multi-sector, integrated urban development projects in Disciplines listed in at-least one of the Lots as defined in Clause 08;
- ✓ Experience of working and/or offering technical assistance on project management in Disciplines listed in at-least one of the Lots as defined in Clause 08; especially in emerging and/or developing countries.
- ✓ Specific experience in designing and leading capacity development activities and/or institutional development. The firms are required to provide comparable references of their past work in the areas indicated above. References of International projects would be preferred and given a higher weightage.
- ✓ Professional affiliations and Quality Assurance Certifications, if any.

12. **Domestic/ International Consulting Firms or JV of Firms may apply for one or more of the Lots as defined clause 8.** Among the submitted applications, the CITIIS PMU will shortlist a maximum of **three (3) Consulting Firms/ JVs for each of the Lots** (maximum of nine (9) shortlisted consulting firms / JVs in total). The PMU reserves the right to accept or reject any / all Expressions of Interest and cancel the notification without assigning any reason. Only shortlisted bidders 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 may engage **one (1)/ two (2)/ three (3) Consulting Firm / JVs** for individual or a combination of Lots.
13. In accordance with Government of India Procurement Guidelines and AFD Procurement Guidelines, Quality cum Cost Based Selection (QCBS) 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 03** as a part of their EOI.
14. For each of the Lots, the PMU will enter into a **Framework Agreement** with the **selected Bidder (Transversal Consultant)**. The Subject of the Agreement will be the provision by the Transversal Consultant to the PMU of expert consultancy services on transversal matters in the context of the CITIIS program which is being implemented by the Principal Authority, and for which the PMU has been designated as the Project Management Unit. The services may be required at any stage of the CITIIS program, commencing from the date of signing of the Framework Agreement with a validity of **36 months**. In case of Joint Ventures, the Framework Agreement will be signed with the Lead Partner of the JV as identified in Annexure 01.
15. The mobilization of the Transversal Experts will be triggered through the issue of **Request for Services** and The Specific Work Order will be issued to the Transversal Consultant once the specific scope of services and expert’s requirements have been finalized. When drawing up the **Specific Work Order**, the PMU shall use the rates per Expert Person Day/Month indicated in the **Framework Agreement**.
16. The Expression of Interest (Eoi), should clearly demonstrate the relevant Experience of the Bidder for individual Lots in the format as enclosed in **Annexure 02**. Bidders are expected to

highlight competencies in each of the individual Disciplines as listed in clause 8 as per the format provided in Annexure 02. Bidders are also expected to showcase the experience profile of their Experts corresponding to the respective Disciplines in format enclosed in Annexure 03. Detailed CVs of these Experts will have to be submitted for each of the proposed experts at the RFP stage.

17. EOIs should be submitted as electronic copies in English language only, not later than 1600 Hrs hours on 25th November, 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 Transversal Experts".
18. Queries received up to **10 days prior to the last date of the submission** of the EOI will addressed. Only online queries are considered, for details 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 Transversal Experts". The responses to the queries will be also be provided on the same page. (<https://www.niua.org/job-tenders>)

ANNEXURE 01

BIDDER'S INFORMATION FORM

The bidder shall provide the information requested in the corresponding Information Sheets included hereunder.

Bidder's Information									
Bidder's legal name									
Bidder's country of constitution									
Bidder's year of constitution									
In case of JV, state the countries and year of constitution of each member									
Status of the bidder (Please tick against the relevant category)	Sole Proprietorship Firm: <input type="checkbox"/> Partnership Firm: <input type="checkbox"/> Private Limited Company: <input type="checkbox"/> Public Limited Company: <input type="checkbox"/> Joint Venture : <input type="checkbox"/>								
In case of JV, Legal name of each partner with percentage participation (also provide information of each member in separate sheet)	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 70%; text-align: left; padding: 2px;">Legal name of JV member</th> <th style="width: 30%; text-align: center; padding: 2px;">% participation</th> </tr> </thead> <tbody> <tr> <td style="padding: 2px;">1.</td> <td style="padding: 2px;"></td> </tr> <tr> <td style="padding: 2px;">2.</td> <td style="padding: 2px;"></td> </tr> <tr> <td style="padding: 2px;">3.</td> <td style="padding: 2px;"></td> </tr> </tbody> </table>	Legal name of JV member	% participation	1.		2.		3.	
Legal name of JV member	% participation								
1.									
2.									
3.									
Name of Lead Member of JV									
Bidder's legal address in country of constitution and in India									
Bidder's authorized representative (name, address, telephone numbers, fax numbers, e-mail address)									

ANNEXURE 02

AGENCY/FIRM PROFILE

- Provide here a brief description of the background and organization of your company, and – in case of a Joint Venture – of each member for this assignment.
- Include organizational chart.

(List only previous **similar** assignments successfully completed in the last **10 years**.)

LOT [INSERT NUMBER] -

DISCIPLINE – [INSERT DISCIPLINE] -

Duration	Assignment name/& brief description of main deliverables/outputs	Name of Client & Country of Assignment	Approx. Contract value (<i>in INR</i>)/ Amount paid to your firm	Competencies handled in particular project pertaining to the Lot	Country of reference
{e.g., Jan.2009– Apr.2010}	{e.g., “Improvement quality of.....”: designed master plan for rationalization of; }	{e.g., Ministry of, country}			
{e.g., Jan-May 2008}	{e.g., “Support to sub-national government.....” : drafted secondary level regulations on.....}	{e.g., municipality of....., country}			

**A bidder has to necessarily have experience in all core competencies in a lot to be able to qualify for the said lot.*

Experience in Additional Competencies will be also be taken into consideration for evaluation.

ANNEXURE 03
PROFILE OF EXPERTS

Bidders are requested to fill up the number of experts available for each of the Core and Additional Expertise as per the below format. In case of JV, indicate the name of the parent organization of the Expert

Lot Number – 01/ 02 / 03 *(lot number to be specified)*

Lot name – *(e.g. Urban Sustainability) //as per clause 8*

Discipline	Experience Profile of Experts	Number of Experts Available	Name of firm (in case of JV)
Experts with Core Competencies			
<i>[e.g. monitoring and evaluation expert]</i>	More than 15 years	<i>[insert number]</i>	<i>[insert]</i>
	8 to 15 years	<i>[insert number]</i>	
	Less than 8 years	<i>[insert number]</i>	
<i>[e.g. PPP Expert]</i>	More than 15 years	<i>[insert number]</i>	
	8 to 15 years	<i>[insert number]</i>	
	Less than 8 years	<i>[insert number]</i>	
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Experts with Additional Competencies			
<i>[e.g. Open Data Management Experts]</i>	More than 15 years	<i>[insert number]</i>	
	8 to 15 years	<i>[insert number]</i>	
	Less than 8 years	<i>[insert number]</i>	
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**A bidder has to necessarily have Experts in all core competencies in a lot to be able to qualify for the said lot.*

Experts available in Additional Competencies will be also be taken into consideration for evaluation.

ANNEXURE 03

(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.