Implementation Phase
Reference Guide
City Investments to Innovate, Integrate and Sustain (CITIIS)
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March 2021
Implementation Phase
Reference Guide
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Background
1. Background

1.1 CITTIS

City Investments To Innovate, Integrate, and Sustain (CITTIS) is the main component of the ‘Supporting Smart Cities Mission for a more Inclusive and Sustainable Urban Development in India’ initiative launched by the Ministry of Housing and Urban Affairs (MoHUA), Government of India in the year 2018. The program is supported by the Agence Française de Développement (AFD) and the European Union (EU), and is being coordinated and managed by the Program Management Unit (PMU) at the National Institute of Urban Affairs (NIUA). External aid to the tune of EUR 100 million has been provided to twelve (12) Smart City Special Purpose Vehicles (SPVs) in the form of loan by Government of India and the S, and EUR 6 million has been made available for technical support. CITTIS comprises three program components that have been operationalised at the City, State, and National levels respectively.

1.1.1 Component 1 and Maturation Phase

Component 1 (or CITTIS) is the main component of the program, and entails financing and technical support for twelve (12) projects (one each in 12 SPVs) under four thematic areas of urban infrastructure development: Sustainable Mobility; Public Open Spaces; Urban e-governance and ICT; and Social and Organisational Innovation in Low-income Settlements. This was operationalised through the City Innovation Challenge wherein 67 proposals were received from 36 Smart Cities in the Smart Cities Mission (SCM), and from which projects in the Smart Cities of Amritsar, Amaravati, Agartala, Bhubaneswar, Chennai, Dehradun, Hubballi-Dharwad, Kochi, Puducherry, Surat, Ujjain, and Visakhapatnam were selected to receive support under the program.

As part of Component 1, a unique project planning process called the ‘Maturation Phase’ was utilised in the program. The key objective of this process was to enable the SPVs of these 12 cities to holistically plan their projects by anchoring their designs to the core CITTIS values of innovation, participation and sustainability. Essentially, the Maturation Phase is a preparatory phase to strengthen and refine projects through dedicated technical expertise and mentorship (consisting of International Mentors, Domestic Experts, and Transversal Experts¹). It marks a shift – from the conventional approaches of hasty urban infrastructure planning to one that is backed by critical thinking, user-centred design, and participatory processes.

The design of the Maturation Phase rests on four verticals that aim to introduce and strengthen global best practices of project design and implementation, monitoring and evaluation, community engagement, and environmental and social safeguards through a dedicated and comprehensive 24-step ‘Maturation Framework’. Over the course of the planning (the duration of which varies with the nature and scale of the project), many steps of the framework work in tandem providing feedback to each other, and to the overall framework. It was envisioned that the richness of such coordinated and holistic planning would iron out the inadequacies and mitigate design risks so often observed in urban projects.

1.1.2 Component 2 and 3

Component 2 entails capacity development activities at the State level and is intended to be operationalised through state-level advisory services as well as the promotion of organisational learning through smart cities networking. Component 3 entails the promotion of the concept of Integrated Urban Management at the National level through systematic frameworks for results-based management, relevant and accessible knowledge capitalisation, and adoption of technology for urban project/program management.

¹The roles and responsibilities of each expert for the Implementation Phase will be explained later in this guide.
1.2 Purpose of this reference guide

As the CITIIS program and its projects move towards the end of the Maturation Phase, it is imperative to harness the gains made in the project planning stage by fully capitalising on the innovations and rigour established during project design. It is also important that the core values of CITIIS—integray embedded in SPV actions during the Maturation Phase—continue to be mainstreamed in the life-cycle of CITIIS projects going forward. In that regard, it is also essential to ensure that complementary initiatives in Component 2 and Component 3, led by the PMU, are fully realised in order to augment on-ground implementation and achieve the requisite project and program outcomes.

It is against this backdrop that this document, i.e. the ‘Implementation Phase Reference Guide’ has been prepared. The guide shall provide all the program actors, primarily the SPV staff executing the CITIIS projects and the Technical Assistance (i.e. Domestic Expert and Global Mentor assigned to every SPV), with the basic approach principles, operational arrangements, and allied requirements envisaged for the Implementation Phase.
The Implementation Phase
2. The Implementation Phase

2.1 Design

The Implementation Phase of the CITIIS program follows the same basic tenets of urban program management used in the CITIIS Maturation Phase, i.e. to anchor projects in the values of innovation, integration, participatory approaches, and sustainability. The four-pillar structure adopted in the Maturation Phase is replicated in the Implementation Phase to continue with the unique approach of the program as well as to mainstream CITIIS values at the project level through greater harmonisation. The high-level design of the Implementation Phase is shown in the figure below:

Corresponding to their counterparts in the Maturation Phase, the four pillars of the Implementation Phase are: Project Implementation; Stakeholder Engagement; Capacity Enhancement; and CITIIS Reporting. Under each pillar, key operational buckets (termed ‘Steps’) relevant to project implementation have been identified.

A key feature of the Implementation Phase design was consonance with the development of the CITIIS Management Platform (CMP), on which project-related activities for the Maturation Phase have so far been mapped. By adopting the same design skeleton with which SPV users are already familiar, all Implementation Phase reporting and management shall be undertaken on CMP.

2.1.1 Mainstreaming CITIIS values

A foundational facet of the design of the CITIIS Implementation Phase was the continued focus on mainstreaming core CITIIS values (as seen in the figure below).

Building on the robust planning and design works accomplished in the Maturation Phase that established the relevance and feasibility of the CITIIS projects, the Implementation Phase has been designed to ensure that these outputs are appropriately operationalised. To realise the value of excellence in sustainable urban development, it is intended that the strong emphasis laid on developing thorough Environmental and Social (E&S) safeguards in the Maturation Phase are carried over to the Implementation Phase across other elements of the project lifecycle such as tendering, construction, and Operations and Maintenance (O&M).
Similarly, it is hoped that the preliminary work done on incorporating innovative approaches, institutional integration and partnerships in the Maturation Phase is brought to fruition in the Implementation Phase in order to ensure that the CITIIS projects attain high potential for scalability and replicability. Cutting across these mainstreaming measures is the underpinning focus on participatory approaches and capacity building in the CITIIS program – even in the Implementation Phase, actions such as citizen and community outreach initiatives and grievance redressal mechanisms should be prioritised.

### 2.2 Roles and responsibilities of stakeholders

#### 2.2.1 SPV users

As the primary actors in the CITIIS program at the project level, SPV users need to adhere to the following matrix while undertaking Implementation Phase activities. The reader is reminded that this matrix considers that activities are going to be mapped on CMP, resulting in well-defined approval/endorsement workflows and linked deliverables for each task identified.

<table>
<thead>
<tr>
<th>Task</th>
<th>Owner</th>
<th>Approver</th>
<th>Endorser</th>
<th>Deliverable to be uploaded on CMP</th>
<th>Frequency of reporting / Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Financial management</td>
<td>SPV Project In-charge (PIC)</td>
<td>No approval</td>
<td>SPV CEO</td>
<td>Bank Statement reflecting credited account value</td>
<td>In the month of the receipt</td>
</tr>
<tr>
<td>Intimation of receipt of tranche funds</td>
<td>SPV Project In-charge (PIC)</td>
<td>No approval</td>
<td>SPV CEO</td>
<td>Monthly Utilisation Certificate (UC)</td>
<td>Monthly: by 5th of every month (for the UC of previous month)</td>
</tr>
<tr>
<td>Utilisation of CITIIS funds</td>
<td>SPV Project In-charge (PIC)</td>
<td>No approval</td>
<td>SPV CEO</td>
<td>SPV Audit Report</td>
<td>Annually</td>
</tr>
<tr>
<td>SPV Audit</td>
<td>SPV Project In-charge (PIC)</td>
<td>No approval</td>
<td>SPV CEO</td>
<td>SPV Audit Report</td>
<td>Annually</td>
</tr>
</tbody>
</table>

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1. All tasks will be mapped on CMP; wherever not specified, each task will have any one of three default statuses: ‘Pending’, ‘Ongoing’, and ‘Completed’
2. Overall project progress will be calculated as a simple average of the completion status of tasks; SPVs are requested to provide start dates and end dates for all tasks on CMP to enable the measurement of overall physical progress against time.
<table>
<thead>
<tr>
<th>Task</th>
<th>Owner</th>
<th>Approver</th>
<th>Endorser</th>
<th>Deliverable to be uploaded on CMP</th>
<th>Frequency of reporting / Timeline</th>
</tr>
</thead>
</table>
| **B** | **Procurement**<sup>4,5</sup>  
Component 1<sup>4</sup>  
Component 2  
...  
Component n | PIC | No approval | CEO | Tender documents<sup>2</sup>  
Letter of Award/Authorization (LoA)<sup>3</sup> | Whenever there is an update in the procurement process for a component |
| **C** | **Project Physical Progress**<sup>9,10</sup>  
Quick Win<sup>11</sup>  
Project Component 1<sup>12</sup>  
Project Component 2  
Project Component 3  
...  
Project Component n | PIC | No approval | CEO | SPV self-declaration on completion of project component or Quick Win | Whenever there is an update in the status of a project component or Quick Win |
| **D** | **Operations and Maintenance (O&M)**<sup>13</sup>  
SPV Commitment Plan for O&M in the project<sup>14</sup> | PIC | No approval  
TA to provide inputs and review | CEO | O&M Commitment Plan | One month after completion of Maturation Phase |
| **E** | **Compliance with Environmental and Social (E&S) Safeguards**<sup>15</sup>  
Compliance with Environmental and Social Commitment Plan (ESCP)  
Ensuring E&S safeguards while tendering | Environmental and Social Nodal Officer, SPV (ESNO) | No approval needed | PIC/CEO | All compliance and monitoring activities will be reported on CMP quarterly/bi-annually, and discussed with the E&S Specialist, PMU bi-weekly | Quarterly / bi-annual reporting (as applicable) |

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<sup>1</sup> The PIC will specify whether a particular component being procured is one of ‘Works; ’Consulting Services; ’ Individual Consultants; ’ Plants; ’ Goods; or ‘Non-consulting Services’ on CMP (as defined in the AFD Procurement Plan template)

<sup>2</sup> Please refer the Reference document for Procurement / Tendering under CITIIS

<sup>3</sup> Note that these components need not necessarily be the same as ‘Project Component’ as specified in the Detailed Project Report (DPR); procurement may happen in different packages than project components

<sup>4</sup> When the tender documents are uploaded on CMP, the task status of the relevant procurement activity will be updated from “Pending” to “Ongoing”

<sup>5</sup> When the LoA is/are uploaded on CMP, the task status of the relevant procurement activity will be updated from “Ongoing” to “Completed”

<sup>6</sup> Project Physical Progress corresponds to construction/works or ‘implementation’ of the project components as specified in the DPR

<sup>7</sup> Any Project Physical Progress task will have one of the following statuses: ‘Pending’, ‘In Procurement’, ‘Ongoing’, ‘Completed’, and ‘O&M’

<sup>8</sup> A ‘Note on Learnings from Quick Win implementation’ will be prepared by the Domestic Expert (DE) as part of their Knowledge Capitalisation activities – Milestone 2

<sup>9</sup> As identified in the DPR

<sup>10</sup> Applicable for capital assets (hard infrastructure)

<sup>11</sup> Please refer to the template prepared for the O&M Commitment Plan to be submitted by the SPV

<sup>12</sup> For more details on E&S safeguards activities in the Implementation Phase, SPVs are requested to get in touch with the E&S Specialist, PMU to discuss project-specific contextualities
### Task 1

<table>
<thead>
<tr>
<th>Task</th>
<th>Owner</th>
<th>Approver</th>
<th>Endorser</th>
<th>Deliverable to be uploaded on CMP</th>
<th>Frequency of reporting / Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Preparing necessary E&amp;S safeguards documentation during pre-screening for works/construction</td>
<td></td>
<td></td>
<td></td>
<td>Relevant documents such as Gender Action Plan (GAP) and Resettlement Action Plan (RAP)</td>
<td></td>
</tr>
<tr>
<td>2. Ensuring E&amp;S safeguards during construction/implementation</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Update of Environmental and Social Safeguards Management Plan (ESMP)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Pillar 2: Stakeholder Engagement

#### Operationalisation of the Communications and Outreach Plan (COP) 16

<table>
<thead>
<tr>
<th>COP Activity 1</th>
<th>Owner</th>
<th>Approver</th>
<th>Endorser</th>
<th>Deliverable</th>
<th>Frequency of Reporting / Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>COP Activity 2</td>
<td>Public Engagement and Partnerships Officer, SPV (PEPO)</td>
<td>No approval needed</td>
<td>PIC/CEO</td>
<td>Communications and Outreach (C&amp;O) Event reports, wherever applicable 18</td>
<td>Monthly updates to Communications Specialist, PMU; quarterly reporting on CMP</td>
</tr>
</tbody>
</table>

#### Operationalisation of the Stakeholder Engagement Plan (SEP)

<table>
<thead>
<tr>
<th>SEP Activity 1</th>
<th>Owner</th>
<th>Approver</th>
<th>Endorser</th>
<th>Deliverable</th>
<th>Frequency of Reporting / Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>SEP Activity 2</td>
<td>Public Engagement and Partnerships Officer, SPV (PEPO)</td>
<td>No approval needed</td>
<td>PIC/CEO</td>
<td>Stakeholder engagements events/meetings reports, whenever applicable 20</td>
<td>Quarterly reporting on CMP in the ‘Communications and Outreach’ table</td>
</tr>
</tbody>
</table>

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16 Please also refer the Communications and Outreach toolkit and the CITIIS Communications (Branding) Guidelines
17 As stated in the endorsed Communications and Outreach Plan (COP); for more details on Communications and Outreach (C&O) activities in the Implementation Phase, SPVs are requested to get in touch with the Communications Specialist, PMU to discuss project-specific contextualities
18 To be mutually decided with the Communications Specialist, PMU on a monthly basis
19 As stated in the endorsed Stakeholder Engagement Plan (SEP)
20 SPVs shall upload images, audio, video, etc. on CMP
### Pillar 3: Capacity Enhancement

<table>
<thead>
<tr>
<th>Task</th>
<th>Owner</th>
<th>Approver</th>
<th>Endorser</th>
<th>Deliverable to be uploaded on CMP</th>
<th>Frequency of reporting / Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Operationalisation of the Capacity Building Plan</td>
<td>Domestic Expert</td>
<td>PIC</td>
<td>CEO</td>
<td>Capacity Building Plan</td>
</tr>
<tr>
<td>Preparing a Capacity Building Plan for the SPV</td>
<td>PIC</td>
<td>CEO</td>
<td>Capacity Building Plan</td>
<td>Inside one month of completion of Maturation Phase</td>
<td></td>
</tr>
<tr>
<td>Capacity building activity 1</td>
<td>PEPO / PIC</td>
<td>No approval needed</td>
<td>PIC/CEO</td>
<td>Capacity building Event Reports</td>
<td>Quarterly</td>
</tr>
<tr>
<td>Capacity building activity 2</td>
<td>...</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capacity building activity n</td>
<td>...</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B</td>
<td>Knowledge management and coordination with the DE for project-level knowledge capitalisation activities</td>
<td>...</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>C</td>
<td>Voluntary knowledge capitalisation / communication material (blogs, articles, reports) on CITIIS website</td>
<td>Communications Officer / Knowledge Officer, PMU</td>
<td>...</td>
<td>...</td>
<td>...</td>
</tr>
</tbody>
</table>

### Pillar 4: CITIIS Reporting

<table>
<thead>
<tr>
<th>Task</th>
<th>Owner</th>
<th>Approver</th>
<th>Endorser</th>
<th>Deliverable to be uploaded on CMP</th>
<th>Frequency of reporting / Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Review of project progress by Technical Assistance (TA) through Project Missions</td>
<td>DE and Global Mentor (GM)</td>
<td>PIC</td>
<td>CEO</td>
<td>Quarterly Progress Report (QPR)</td>
</tr>
<tr>
<td>Results-based management on M&amp;E indicators, including Project indicators Project physical and financial progress Knowledge Capitalisation E&amp;S safeguards</td>
<td>SPV Staff (including PIC)</td>
<td>PIC</td>
<td>CEO</td>
<td>Project Progress Report (PPR)</td>
<td>Quarterly report will be published to program partners (AFD, MoHUA) bi-annually</td>
</tr>
</tbody>
</table>

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1. In a few SPVs, this deliverable (responsibility of the Domestic Expert) was not prepared in the Maturation Phase; the Capacity Building Plan will also include the Training Needs Assessment (TNA) for the SPVs.
2. As stated in the Capacity Building Plan; includes trainings, workshops, study tours, etc.
3. For more details on Capacity Enhancement activities in the Implementation Phase, SPVs are requested to get in touch with the Domestic Expert to discuss project-specific contextualities.
4. As part of their mandate, Domestic Experts are required to translate project-level insights and execution process into knowledge products.
5. Note that any knowledge capitalisation by the SPV is purely optional, and not a mandate of the CITIIS program. SPVs are encouraged to contribute to the inventory of program knowledge by contributing articles, blogs, human-interest stories, and technical documentation. For further details, please contact the Domestic Expert / Knowledge Officer, PMU.
6. Template will be shared by PMU (for the use of Domestic Expert and Global Mentor).
7. As stated in the endorsed M&E Plan.
8. Format of the auto-generated report from CMP will be shared by the PMU.
9. Even though reporting on CMP (on M&E indicators) will be done quarterly, the Project Progress Report will be published bi-annually to showcase more meaningful updates on project progress to the program partners.
2.2.1.1 Implementation Phase Framework for SPVs

The matrix can be summarised in the following Framework for SPVs in the Implementation Phase, in which key deliverables/activities under each pillar are mentioned.

2.2.2 Technical Assistance

The Technical Assistance (TA), composed of the Global Mentor and Domestic Expert in each SPV, and the Transversal Experts at the program level, have played a pivotal role in augmenting capacities and strengthening project delivery. A similar role, albeit more streamlined and tailored to the needs of the Implementation Phase, has been envisaged for the TA. Observations and insights from the Maturation Phase have been incorporated while defining the scope of responsibilities of the TA in the Implementation Phase.

In a nutshell, it is expected that the TA will play a guiding role in ensuring that:

- Projects continue to adopt sustainable practices – as envisioned/designed in the Maturation Phase
- E&S safeguards are complied with, and key concerns/risks are flagged immediately
- Need for Transversal expertise is appropriately identified and leveraged through quarterly TA Missions
- Innovations in projects are captured, and partnerships are facilitated to improve scalability and replicability of projects
- A more hands-on, “approvals-free” approach to working with the SPVs is undertaken in the Implementation Phase


2.2.2.1 Global Mentor

The key responsibilities of the Global Mentor have been highlighted below.

- Guides and mentors SPV on overall project implementation
- Review of project through Quarterly TA Project Missions (virtual, if COVID-19 restrictions continue)
  - Review will be captured in Quarterly Review Reports – primary verification document for PMU
- Conducts/leads at least one capacity building workshop in every TA Mission
- Disseminates relevant case studies and best practices to the SPV
- Develops strategies for institutional strengthening and other technical assistance needed during implementation
  - These strategies/suggestions may be executed by the transversal experts
- Prepares the Implementation Phase Final Report (IPFR) for project closure

Key deliverables

- Note on ‘Learnings from Quick Win Implementation’
- Quarterly TA Review Reports
- Implementation Phase Final Report

2.2.2.2 Domestic Expert

The key responsibilities of the Domestic Expert have been highlighted below.

- Facilitates and coordinates the development of projects on ground
- Review of project through Quarterly TA Project Missions
  - Review will be captured in Quarterly Review Reports
- Prepares the Capacity Building Plan for SPV\(^{32}\)
  - This Capacity Building Plan will also include a Training Needs Assessment
  - Ensures the plan is operationalised by facilitating trainings, with the PMU
- Ensures that the SPV M&E Plan is regularly updated; suggests improved indicators/methodologies
- Ensures stakeholder engagement is regularly done, and COP activities are undertaken
- Anchors Knowledge Capitalisation at the project level – creates three project-level deliverables per SPV

Key deliverables

- Capacity Building Plan (Trainings Needs Assessment)
- 2-3 Knowledge Products per SPV
- Quarterly TA Review Reports

\(^{32}\) Template will be shared by PMU
Note 1: Both the Domestic Expert and Global Mentor will also review other project-level documents, including the SPV O&M Commitment Plan; updates on ESMP; and Results-based Management Reports (auto-generated report from CMP on M&E indicators).

2.2.3.3 Transversal Expertise

Within the unique three-tier TA structure adopted by the CITIIS program, the Transversal Experts shall provide specialised expertise on cross-cutting or specific sectoral topics pertaining to urban infrastructure project delivery. The scope of services is categorised into three ‘Lots’: Institutional Integration, Urban Innovation, and Urban Sustainability. These lots are further delineated into ‘disciplines’ (e.g. ‘Open Data Management’ in the Institutional Integration Lot). The following key responsibilities are envisaged for the Transversal Experts:

- On-demand services to individual SPVs providing expertise
- Support on capacity building; advisory; and knowledge dissemination activities

A separate note detailing the mobilisation process of the Transversal Experts by the SPVs has been prepared, and will be shared with the SPVs alongside this Reference Guide. The engagement process has been summarised in the following figure.

2.2.3 PMU (NIUA)

The Program Management Unit (PMU) at NIUA will continue to coordinate the CITIIS program by facilitating implementation progress at the project level even as it activates various program-level initiatives in alignment with the vision of the CITIIS program. A summary of the responsibilities of the PMU have been highlighted below.

- Harmonising program- and project-level activities in the CITIIS program through the Implementation Phase Framework
- Developing and disseminating knowledge capitalisation outputs, insights and learnings from both the project and program levels

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Please refer the Process Document on Engaging Transversal Expertise in CITIIS for more details.
• Maintaining and managing CMP
• Collating project-level M&E results for evaluation; compiling program-level M&E information
• Developing and curating communications and outreach material for CITIIS
• Fostering partnerships with national and international entities in academia and industry to strengthen the CITIIS program
• Monitoring and enforcing E&S safeguards at the project level
• Contract management of TA and Transversal Experts alongside program-level procurement of agencies and consultants to execute specific works/services
• Program-level coordination, risk management and meeting compliances

2.2.4 Apex Committee

The role of the Apex Committee will essentially remain the same as it was in the Maturation Phase. The Apex Committee remains the decision-making body for the CITIIS program, and shall provide the appropriate supervision and administrative clarity. Key responsibilities of the Apex Committee are highlighted below.

• Guidance and leadership on program-level decisions and initiatives
• Quarterly (periodic) progress reviews and providing mid-course correction, if necessary
• Reviewing scheme aspects including budget, implementation and coordination with the Smart Cities Mission and other urban development initiatives/dialogue in India
Operational Arrangements
## 3. Operational Arrangements

The following table details the operational arrangements envisaged for the Implementation Phase in the CITIIS program.

<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>Feature</th>
<th>Arrangement</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Governing agreement</td>
<td>The governing document for the SPV in the Implementation Phase shall continue to be the Tripartite Agreement signed between the SPV, State Government and MoHUA.(^\text{34}) However, the respective agreements may-be updated to reflect the extended timelines of the CITIIS program as well as the requisite compliances and operational arrangements of the Implementation Phase.(^\text{35})</td>
</tr>
<tr>
<td>2</td>
<td>Operative framework</td>
<td>Implementation Phase Ownership Matrix (see 2.2.1)</td>
</tr>
<tr>
<td>3</td>
<td>Project management and reporting</td>
<td>SPVs will report project progress and achievement on project indicators (as finalised in the endorsed M&amp;E Plan) on CMP. All project management activities (including risks and compliances, project tasks, financial information management, etc.) will be mapped and managed on the platform.</td>
</tr>
<tr>
<td>4</td>
<td>Project review and risk management</td>
<td>Review of projects will be done on four levels: Weekly/Fortnightly team meetings (SPV, TA, PMU) Monthly/bi-monthly review meetings with MoHUA Quarterly review by the TA through TA Missions Quarterly/bi-annual reporting by SPV on CMP</td>
</tr>
<tr>
<td>5</td>
<td>Complementing program activities</td>
<td>The PMU shall coordinate program-level activities with SPVs, including knowledge capitalisation, mobilisation of transversal expertise, program M&amp;E, and communications.</td>
</tr>
</tbody>
</table>

\(^{34}\) The Tripartite Agreements were signed between the SPVs, State Government and MoHUA on 5th March 2019

\(^{35}\) This decision was made in the 14th Apex Committee meeting of the CITIIS program, held on 26th February 2021. The minutes of the meeting were issued 16th March 2021 under the OM “K-15016/1/2021-SCI-US-I”.
Implementation Phase Resources
4. Implementation Phase Resources

4.1 Templates/forms for reference in the Implementation Phase

I. Template for SPV O&M Commitment Plan
II. Reference Document for Procurement / Tendering under CITIIS
III. Process Document for Engaging Transversal Expertise in CITIIS
IV. Communications and Outreach Toolkit
V. CITIIS Communications (Branding) Guidelines
VI. Template for TA Quarterly Review Report (to be used by Technical Assistance for quarterly updates on project progress)
VII. Template for Implementation Phase Final Report (to be used by Global Mentor for submission to SPV)
VIII. Template for Project Closure Report (PMU will share the template in due course)

4.2 Reporting on CMP

For the Implementation Phase, all reporting from the SPV on project progress and M&E indicators (based on the endorsed M&E Plan) will be done on CMP. A dedicated M&E module on CMP is currently under development (as of March 2021), and is expected to be made ‘live’ in April 2021 (tentative). This module allows for the input of pre-defined indicators and other M&E metrics on a quarterly basis. It mimics the approval mechanisms devised for project monitoring, and embeds those in the module workflows in real time. A screenshot of the module design is given below to acquaint the SPV user with the look-and-feel of the module.

It should be noted that the M&E module closely resembles the M&E Plan document submitted by the SPVs in the Maturation Phase. A detailed orientation on using the M&E module will be provided in the Orientation Workshop on CMP planned to be conducted in April 2021 (tentative).
About CITIIS

City Investments To Innovate, Integrate, and Sustain (CITIIS) is the main component of the ‘Supporting Smart Cities Mission for a more Inclusive and Sustainable Urban Development in India Initiative’ launched by the Ministry of Housing and Urban Affairs (MoHUA), Government of India in 2018. The program is supported by the Agence Française de Développement (AFD) and the European Union (EU), and is being coordinated and managed by the Program Management Unit (PMU) at the National Institute of Urban Affairs (NIUA). External aid to the tune of EUR 100 million has been provided to twelve Smart City SPVs in the form of loan, and EUR 6 million has been made available for technical support to the program.