

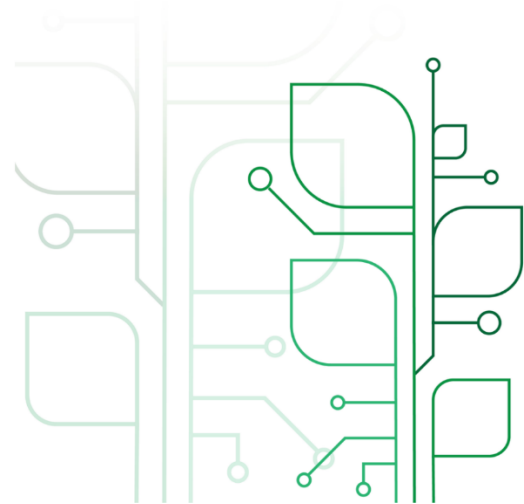


CONSULTANCY SERVICES FOR TECHNICAL ASSISTANCE UNDER CITIIS 2.0 PROGRAM – DOMESTIC POOL OF EXPERTS

EXPRESION OF INTEREST (EOI)

Date of Issue: 14-03-2024

Final Date of Submission: 04-04-2024



National Institute of Urban Affairs

1 Floor, Core 4B India Habitat Centre

Lodhi Road, New Delhi –110003

(91-11) 24643284 24617543, 24617517

(91-11) 24617513

Letter of Invitation

New Delhi
14-03-2024

Dear Mr./Ms.:

1. City Investments To Innovate, Integrate and Sustain (CITIIS) 2.0, the second phase of the CITIIS program, has been conceived by MoHUA in collaboration with Agence Française de Développement (AFD), Kreditanstalt für Wiederaufbau (KfW), European Union (EU), and National Institute of Urban Affairs (NIUA) to supplement such climate initiatives of Government of India and MoHUA through its unique model. The program builds upon the learnings and successes of CITIIS 1.0 and is designed to supplement MoHUA's actions undertaken through ongoing national programs, while deepening the values of innovation, inclusion, and sustainability.
2. The National Institute of Urban Affairs (NIUA) (hereinafter called "Client") has been designated as the Program Management Unit (PMU) by the MoHUA, AFD and KfW towards managing the CITIIS 2.0 program. The Client intends to apply a portion of the funds to eligible payments under the contract for which this Expression of Interest (EOI) is issued for selection of a Consulting Firm. The duration of the services is expected to extend up to 36 months depending upon the nature of the projects.
3. Domestic Experts (Individual Experts/Consultants) with successful and high standard of achievements and proven experiences are invited to submit their EOIs as per the submission format annexed to this document.
4. Among the submitted applications, the CITIIS PMU will shortlist upto 20 Domestic Experts based on Quality of proposals (QBS). 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 expects to appoint upto 10 Domestic Experts in this bidding process. 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 "COVENANT OF INTEGRITY" as per the format provided as a part of their EOI.
5. 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 Tech Form 3. Undertaking has to be co-signed by the head of the institution/organizing for consideration of EOI evaluation.
6. The EOI shall be published on the NIUA website and e-published on CPPP and is free for download. Bid Security / Earnest Money Deposit (EMD) is not required for the

submission of the proposal. It is not permissible to transfer this invitation to any other Individual Expert/Consultant.

7. Any queries in relation to the RFP to be sent prior to 22-03-2024 17:00 hr IST at the mail ID **citiis@niua.org** and the responses will be available online by 28-03-2024. For details refer to <https://niua.in/tenders> page and click on “Consultancy Services for Technical Assistance under CITIIS 2.0 Program – Domestic Pool of Experts”. The responses to the queries will be also be provided on the same page.
8. **The Consultant has to submit electronic copy as well as hardbound physical copy of the EOI as follows –**
 - EOI should be uploaded as electronic copy in English language only, not later than **1700 Hrs hours on 04-04-2024 at the NIUA website**. For details on online submission, refer to <https://niua.in/tenders> page and click on “Consultancy Services for Technical Assistance under CITIIS 2.0 Program – Domestic Pool of Experts”.
 - The physical copy of EOI should be submitted at the following address - **National Institute of Urban Affairs, Core 4B, 1st Floor, India Habitat Centre, New Delhi-110003 by 04-04-2024, 17:00 hr IST**. The Check List for submission of documents should be adhered. Late submissions would be rejected.
9. To substantiate their credentials and to respond to any queries, the Consultant may be asked to make a presentation of their EOI, during the evaluation stage.
10. The issue of the EOI does not imply that the NIUA is bound to select bid(s), and it reserves the right without assigning any reason to
 - i. reject any or all of the bids, or
 - ii. cancel the tender process; or
 - iii. abandon the procurement process; or
 - iv. issue another bid for identical or similar work

Yours sincerely,

Director - NIUA

National Institute of Urban Affairs

Terms of Reference

A. Background

1. The Government of India has undertaken various initiatives to promote climate-sensitive planning and development. During COP26 under the United Nations Framework Convention on Climate Change held at Glasgow in November 2021, the Honourable Prime Minister of India presented the five nectar elements (Panchamrit) of India's climate actions, which include achieving the target of net zero emissions by 2070. Moreover, there are eight National Missions under the National Action Plan on Climate Change which are focused on climate change adaptation and mitigation. One of them is the National Mission on Sustainable Habitat (NMSH) anchored at Ministry of Housing and Urban Affairs (MoHUA).
2. City Investments To Innovate, Integrate and Sustain (CITIIS) 2.0, the second phase of the CITIIS program, has been conceived by MoHUA in collaboration with Agence Française de Développement (AFD), Kreditanstalt für Wiederaufbau (KfW), European Union (EU), and National Institute of Urban Affairs (NIUA) to supplement such climate initiatives of Government of India and MoHUA through its unique model. The program builds upon the learnings and successes of CITIIS 1.0 and is designed to supplement MoHUA's actions undertaken through ongoing national programs, while deepening the values of innovation, inclusion, and sustainability.
3. The National Institute of Urban Affairs (NIUA) (hereinafter called "Client") has been designated as the Program Management Unit (PMU) by the MoHUA, AFD and KfW towards managing the CITIIS 2.0 program. The Client intends to apply a portion of the funds to eligible payments under the contract for which this Request for Proposal (RFP) is issued.

B. Objectives of CITIIS 2.0

- i. **Foster climate-sensitive planning and action** – The program will nurture climate planning and action in States and cities through evidence-driven approaches.
- ii. **Drive investments into urban climate action** – The program will provide financial assistance for competitively selected projects promoting circular economy with focus on integrated waste management.
- iii. **Build institutional mechanisms, leverage partnerships and anchor capacity building** – The program will help put into place a climate governance framework at the State and City levels as well as provide a three-tier technical assistance structure with domestic, international, and transversal experts to support capacity development for climate action in cities and States.

The program shall ensure regional equity; at-least one city from each of the regions of the country, i.e., North, North-East, East, Central, West and South, shall be selected. A maximum of one project from a SPV shall be selected from each zone:

- **Northern Zone:** Haryana, Himachal Pradesh, Delhi, Punjab, Uttarakhand, Ladakh, Chandigarh, Jammu & Kashmir
- **Western Zone:** Gujarat, Dadra and Nagar Haveli and Daman & Diu, Goa, Rajasthan and Maharashtra
- **Eastern Zone:** Bihar, Jharkhand and West Bengal
- **North-Eastern Zone:** Arunachal Pradesh, Assam, Sikkim, Manipur, Meghalaya, Tripura, Mizoram Nagaland
- **Central Zone:** Chhattisgarh, Madhya Pradesh, Odisha
- **Southern Zone:** Andhra Pradesh, Karnataka, Lakshadweep, Kerala, Tamil Nadu, Andaman & Nicobar Islands, Telangana, Puducherry

C. Components of CITIIS 2.0

There are three components of CITIIS 2.0 -

- Component 1: City Level Action on Promoting Circular Economy with Focus on Integrated Waste Management
- Component 2: State-Level Action on Strengthening Climate Governance Mechanisms for Climate Action Through Data-Driven Planning & Capacity Building
- Component 3: National-Level Action on Institutional Strengthening, Climate Research, Knowledge Capitalisation and Capacity Building

D. Component 1 of CITIIS 2.0

- i. Component 1 of CITIIS 2.0 strives to support the interventions of the Government of India to promote a circular economy with focus on integrated waste management by providing financial and technical support to projects from up to 18 Smart Cities selected through a competitive process. The projects would inter-alia focus on different components of Integrated Waste Management. However, interventions related to Solid Waste Management shall be prioritised.
- ii. Under Component 1 of CITIIS 2.0 program, financial and technical support will be provided to up to 18 smart cities through competitive selection of projects promoting circular economy with a focus on integrated waste management. The selected projects will undergo four phases i.e. preparation phase, selection phase, maturation phase and implementation phase. During preparation phase, the 100 Smart City SPVs under SCM will be invited to submit applications, presenting innovative projects that promote a circular economy with focus on integrated waste management.

E. Technical Support under CITIIS 2.0

- i. At the city level, the CITIIS 2.0 Expertise, comprising of two levels of technical support, will intervene in specific ways:
 - A dedicated Domestic Expert for each selected SPV, providing contextual expertise on integrated waste management, public participation, design thinking, urban development, capacity building and outreach.
 - A pool of specialized experts (transversal experts) provide specific expertise on several cross-cutting topics, such as integrated waste management, climate change, legal framework, E&S risk management, gender analysis, social engineering, business model, technical specification, especially with respect to the Indian context.
- ii. The objectives and content of the CITIIS 2.0 expertise activities will be tailored made for each city in twofold scheduled Road Map that will include:
 - The activities to optimize project design, procurement and implementation;
 - The capacity-development activities to strengthen the SPV & ULBs capacities related to CITIIS 2.0 objectives.
- iii. The Road Map will be prepared by the domestic expert and the SPV during the first on-site mission. At the national level, capitalization workshop will be organized for the awarded cities to work on certain transversal topics faced by the cities.

F. Under Component 1, the selected projects will undergo two phases

- Maturation Phase
 - Implementation Phase
- i. During the Maturation Phase, the SPVs will work with the Domestic Experts and Transversal Experts to develop the project documents and enhance the quality of the project proposal. Each SPV will thus comply with the eight mandatory steps of the Maturation Phase (listed below). The mandatory deliverables will be reviewed and endorsed by the Domestic Experts.
 - ii. The table below lists the eight mandatory deliverables (six for low-risk projects) that will be part of the Maturation Phase:

Key Deliverables	Template Mandatory	Justification
Baseline Study and Report	No	Updated baseline for the project and results from various studies undertaken to re-confirm and update the baseline

PLF – Project Logical Framework (Draft and Final)	Yes	First draft (prepared during the Maturation Phase Initiation) will evolve into the final version at the conclusion of the Maturation Phase with the assistance of the Domestic Expert
Feasibility Study	Yes	As per the provided template
Detailed Project Report	Yes	As per the provided template, including the M&E Plan
E&S Screening	Yes	As per the provided template
Stakeholder Engagement Plan	Yes	As per the provided template Samples will also be made available for stakeholder mapping and contacts identification
E&S Impact Assessment & Mitigation Measures	Yes	As per legal obligations and following World Bank standards (not applicable for low-risk projects)
E&S Management Plan and additional plans	No	As per legal obligations and following World Bank standards. A specific process is to be followed as defined by the PMU. This will include the development of risk-adequate E&S management plan and when needed RAP, SEA/SH or additional plans This may also include the development of a Gender Action Plan

- iii. During the Implementation Phase, SPVs will continue to benefit from the Domestic Experts’ support.

G. Scope of Domestic Experts

The scope of intervention for Domestic Experts will include (but not be limited to):

- Guiding the review process of studies conducted by an SPV for preparing a robust Detailed Project Report (DPR)
- Providing assistance while setting the Terms of Reference for the final DPR by the SPVs
- Reviewing and endorsing the mandatory deliverables of the Maturation Phase
- Supporting SPVs in identifying and mobilising the local ecosystem of actors to develop partnerships and collaborate with key stakeholders, define engagement strategies and plan outreach events
- Working with the SPVs to develop methods and techniques that promote innovative and participatory approaches, as per their needs identified during the CITIIS 2.0 application process (e.g., public consultations, participatory diagnostic tools, urban experimentations, open innovation tools such as hackathons, multi-stakeholder workshops, etc.)
- Supporting SPVs in mobilising and coordinating with the program’s pool of Transversal Experts with a view to acquire timely, high-level expertise on sectoral or cross-cutting topics (e.g., business modelling, financial and legal structuring, data management, safeguards management, procurement planning, etc.)

H. Duration of consulting services

The duration of consulting services upto a maximum of thirty-six (36) months depending on the requirements of the project. It is estimated that the assignment would cover an average 75 days consultancy services for each city per year (both offsite and onsite efforts).

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Evaluation Criteria

The Expression of Interest should clearly demonstrate the relevant experience of the individual with the reference format as enclosed in Tech Form 2. 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:

S. No.	Description	Max Marks (100)
1	Educational Qualification Relevant educational qualifications. Minimum qualification – Post Graduate in Environmental Engineering / Environmental Science / Infrastructure Development / Urban Planning/ Urban Development / Urban Management /Environmental Management / Climate Change / Waste Management	20 Marks
2	Work Experience Relevant work experience of minimum 10 years for Post Graduate Degree and 7 years for PhD in the Urban Sector.	20 Marks
3	Main Experience of working and/or offering technical assistance in the projects on integrated waste management promoting circular economy	15 Marks
4	Experience in designing and leading capacity development activities and/or institutional development, especially for Urban Local Bodies	15 Marks
5	Experience in designing and implementing participatory approaches preferably in urban projects.	15 Marks
6	Experience in integration of innovation tools and experimentation in the project design process, preferably in urban projects	15 Marks

Minimum Qualifying Marks are 70 marks out of 100 Marks. Only shortlisted Individual Expert / Consultant will be issued RFP for further procurement process.

Check List for Submission of the EOI

The Consultant has to ensure that the physical copy of proposal is page numbered. After scanning the page numbered and signed physical copy, the soft copy of the Technical Proposal is uploaded on the NIUA Website.

The physical copy of the Technical Proposal is properly bound and submitted to the NIUA Office as per Letter of Invitation.

The envelope should clearly mention details of the contact person with mobile number and e-mail ID and written Technical Proposal for ‘Consultancy Services for Technical Assistance under CITIIS 2.0 Program – Domestic Pool of Experts’

Following checklist should be adhered with EOI -

S. No.	Description	Page Number	Tech Forms
1	Technical Proposal Submission Form and Covenant of Integrity and signed on each page – as for given formats		Tech Form 1
2	Work Experience (CV)		Tech Form 2
3	Confirmation as Independent Consultant / Endorsement from the Current Employer		Tech Form 3

Tech Form 1 -Technical Proposal Submission Form

Location _____

Date _____

To:

The Director,

National Institute of Urban Affairs
Core 4B, 01st Floor, India Habitat Centre
Lodhi Road, New Delhi – 110003

**Subject: Consultancy Services for Technical Assistance under CITIIS 2.0 Program –
Domestic Pool of Experts**

Dear Sir,

I, the undersigned, offer to provide the Services for **Consultancy Services for Technical Assistance under CITIIS 2.0 Program – Domestic Pool of Experts** in accordance with your EOI dated [XXXX] and our Proposal. I am hereby submitting my Technical Proposal.

I, hereby, declare that:

- a) All the information and statements made in this Proposal are true and I accept that any misrepresentation contained in this Proposal may lead to the rejection of my Proposal by the Client;
- b) My Proposal shall be valid and remain binding upon us for the period of 90 days;
- c) My Proposal is binding upon us and subject to any modifications resulting from the Contract negotiations.

I acknowledge and agree that the Client reserves the right to annul the selection process and reject all Proposals at any time prior to Contract award, without thereby incurring any liability to me.

Enclosed -

- i. Covenant of Integrity signed on each page

I remain,

Yours sincerely,

Name of the Consultant: _____

Signature of the Consultant: _____

Address: _____

COVENANT OF INTEGRITY

I [Name], in my function as [function/position held] in [name of the company] and duly authorized representative for the signature of the contract to be signed for [title of the call for tender or the contract] hereby declare that we observe the highest standards of ethics during the procurement and, if we are successful in our tender, during the performance of the contract. We have not engaged nor will engage in, or have been convicted or sanctioned by any authority of, any fraud, corruption, collusion, coercion, obstruction, money laundering, financing of terrorism or other malpractice (hereafter referred to as “Prohibited Conduct”)¹. Where convictions occurred, details of the conviction and remedial measures are provided. If such events should occur in the future, including if any instance of Prohibited Conduct shall come to our attention, we hereby undertake to so inform [Promoter and AFD/EIB/KfW (whoever is MRI Lead Financier)] immediately.

Moreover, neither our company² nor any entity member of the joint venture or of the consortium or any one acting on our behalf, such as sub-contractors, is the subject of a current exclusion /has been the subject of any debarment, exclusion or other sanctioning decision by any of the Participating MRI Partners (AFD, EIB and/or KfW), EU institutions and/or any major Multi-lateral Development Bank (including World Bank Group, African Development Bank, Asian Development Bank, European Bank for Reconstruction and Development or Inter-American Development Bank) on the grounds of Prohibited Conduct and we further undertake to immediately inform [Promoter and AFD/EIB/KfW (whoever is MRI Lead Financier)] if this situation was to occur at a later stage. Where such a decision of exclusion has occurred, we commit to provide all necessary information and any remedial measures that have already been taken.

I also declare that neither our company nor any entity member of the joint venture or of the consortium is currently included /has been included on the list of financial sanctions (including in particular the fight against financing of terrorism) adopted by the United Nations, the EU financial or any national sanction³ list which is binding for any of the MRI Partners and we further undertake to immediately inform [Promoter and AFD] if this situation were to occur at a later stage.

We acknowledge that in the event our company or any entity member of the joint venture or of the consortium (i) is, after this Covenant of Integrity or the contract have been signed, added to any financial sanctions list enumerated above or (ii) is, before the contract has been signed, subject to any debarment, exclusion or otherwise sanctioning decision enumerated above or (iii) made a false statement in the Covenant of Integrity, the contract

¹ For KfW, please see “Guidelines for the Procurement of Consulting Services, Works, Plant, Goods and Non-Consulting Services in Financial Cooperation with Partner Countries” and FATF Recommendations ;

For AFD, please see “AFD Group’s policy to prevent and combat corruption, fraud, anti-competitive practices, money laundering and terrorist financing” and Guidelines for the procurement of AFD financed contracts in foreign countries”.

² For the purposes of these provisions “company” or “entity” shall include directors, employees, agents.

³ i.e. French sanction list for AFD, German sanction list for KfW.

may not be eligible for funding by one or more of the Participating MRI Partners (AFD, KfW). We commit not to procure goods and services from countries which are under an embargo which is binding upon AFD and KfW.

We also acknowledge that, in any of the afore-mentioned events, [Promoter] is entitled to exclude our company/the consortium from the procurement procedure and, if the contract is awarded to our company/the consortium, we undertake to take all necessary remedial actions in a manner satisfactory to [Promoter]. Such events may lead to termination of the contract, in accordance with the terms of the contract.

We declare that we have paid, or will pay, the following commissions, gratuities, or fees with respect to the Tendering process or execution of the Contract:⁴

Name of Recipient	Address	Reason	Amount

We grant the Participating MRI Partners and auditors appointed by either of them, as well as any authority or European Union institution or body having competence under European Union law, the right to inspect and copy our books and records and those of all our sub-contractors, under the contract, as well as joint venture/consortium partners. We accept to preserve these books and records generally in accordance with applicable law but in any case, for at least six years from the date of tender submission and, in the event, we are awarded the contract, at least six years from the date of substantial performance of the contract.

I declare that our company / consortium undertakes to comply with labour laws and national and international standards of environmental protection, health and safety applicable in the jurisdiction / country of implementation of the Project, including those contained in any relevant International Labour Organization (ILO) conventions and international agreements

⁴ *If none has been paid or is to be paid, indicate "none".*

on environmental protection, as well as with mitigation measures of the Environmental and Social Management Plan if applicable.

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.....

(Place)

(Date)

(Signature)

Tech Form 2 Submission Format

(maximum limit considered for evaluation is 10 pages)

1. 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 (in years and months)
6	Currently working as (and since)
7	Language skills (indicate only languages in which you can work)
8	Education [List college/university or other specialized education, giving names of educational institutions, dates attended, degree(s)/diploma(s) obtained]
9	Biggest contract and nature of assignments handled:
10	References (if any):
11	Expert's contact information: [e-mail, phone.....]

2. 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

[e.g., May 2005-present]	[e.g., Ministry of, advisor/consultant to... Name of the project For references: Tel...../email.....; Mr/Ms. Hbbbb, deputy minister] (Continued) Project website URL:	
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3. Adequacy for Services (maximum 10 pages)

Main Experience of working and/or offering technical assistance in the projects on integrated waste management promoting circular economy	Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks (Reference list of relevant projects, especially in India)
Experience in designing and leading capacity development activities and/or institutional development, especially for Urban Local Bodies	- Name of the project: - Year of execution: - Client name: - Role: - Budget handled: - Size of the team handled: - Project website URL:
Experience in designing and implementing participatory approaches preferably in urban projects.	- Name of the project: - Year of execution: - Client name: - Role: - Budget handled: - Size of the team handled: - Project website URL:
Experience in integration of innovation tools and experimentation in the project design process, preferably in urban projects	- Name of the project: - Year of execution: - Client name: - Role: - Budget handled: - Size of the team handled: - Project website URL:

**Tech Form 3 : 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 75 person-days for each city (including onsite and remote 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 75 person-days for each city (including onsite and remote work) per annum for 3 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]