



**TAMIL NADU INFRASTRUCTURE DEVELOPMENT BOARD,  
FINANCE DEPARTMENT,  
SECRETARIAT,  
CHENNAI 600009.**

**REQUEST FOR PROPOSAL (RFP) FOR  
APPOINTMENT OF INDEPENDENT VERIFICATION AGENCY(IVA)  
FOR ASSESSING DISBURSEMENT LINKED INDICATORS (DLIs) TO  
SUPPORT  
CHENNAI CITY PARTNERSHIP PROGRAM ~ SUSTAINABLE URBAN  
SERVICES PROGRAM FOR RESULTS**

**QCBS**

**(Quality and Cost Based Selection)**

**RFP NO. <TNIDB-3 / Appointment of IVA/2022 >**

**MARCH 2022**

## Disclaimer

1. The information contained in this Request for Proposal document (“RFP”) or subsequently provided to prospective Applicants, whether verbally or in documentary or any other form by or on behalf of the Authority or any of its employees or advisers, is provided to Applicants on the terms and conditions set out in this RFP and such other terms and conditions subject to which such information is provided.
2. This RFP is neither an agreement nor an offer by the Authority to the prospective Applicants or any other person. The purpose of this RFP is to provide interested parties with the information that may be useful to them in the formulation of their Proposals (the “**Application**”) pursuant to this RFP. This RFP includes statements, which reflect various assumptions and assessments arrived at by the Authority in relation to the Consultancy. Such assumptions, assessments and statements do not purport to contain all the information that each Applicant may require. This RFP may not be appropriate for all persons, and it is not possible for the Authority, its employees or advisers to consider the objectives, technical expertise and particular needs of each party who reads or uses this RFP. The assumptions, assessments, statements and information contained in this RFP, may not be complete, accurate, adequate or correct. Each Applicant should, therefore, conduct its own investigations and analysis and should check the accuracy, adequacy, correctness, reliability and completeness of the assumptions, assessments and information contained in this RFP and obtain independent advice from appropriate sources. For the avoidance of doubt, in case an Applicant places reliance on any aforesaid assumptions, assessments, statements, data and information furnished by the Authority and/or its consultants, in this RFP or under any project report etc. then the same shall not in any manner bind/make liable the Authority and/or its consultants, employees or representatives, to indemnify the Applicant in respect of any loss/damage/costs whatsoever arising out of or in connection with such reliance placed by the Applicant on the aforesaid assumptions, assessments, statements, data and information.
3. Information provided in this RFP to the Applicants may be on a wide range of matters, some of which may depend upon interpretation of law. The information given is not intended to be an exhaustive account of statutory requirements and should not be regarded as a complete or authoritative statement of law. The Authority accepts no responsibility for the accuracy or otherwise for any interpretation or opinion on the law expressed herein.
4. The Authority, its employees, consultants and advisers make no representation or warranty and

shall have no liability to any person including any Applicant under any law, statute, rules or regulations or tort, principles of restitution or unjust enrichment or otherwise for any loss, damages, cost or expense which may arise from or be incurred or suffered on account of anything contained in this RFP or otherwise, including the accuracy, adequacy, correctness, reliability or completeness of the RFP and any assessment, assumption, statement or information contained therein or deemed to form part of this RFP or arising in any way in this Selection Process.

5. The Authority also accepts no liability of any nature whether resulting from negligence or otherwise, howsoever caused, arising from reliance of any Applicant upon the statements contained in this RFP.
6. The Authority may in its absolute discretion, but without being under any obligation to do so, update, amend or supplement the information, assessment or assumption contained in this RFP.
7. The issue of this RFP does not imply that the Authority is bound to select an Applicant or to appoint the Selected Applicant, as the case may be, for the Consultancy Services and the Authority reserves the right to reject all or any of the Proposals without assigning any reasons whatsoever.
8. The possession or use of this RFP in any manner contrary to any applicable law is expressly prohibited. The Applicant shall inform themselves concerning, and shall observe any applicable legal requirements. The information does not purport to be comprehensive or to have been independently verified. Nothing in this RFP shall be construed as legal, financial or tax advice.
9. The Applicant shall bear all its costs associated with or relating to the preparation and submission of its Proposal including but not limited to preparation, copying, postage, delivery fees, expenses associated with any demonstrations or presentations which may be required by the Authority or any other costs incurred in connection with or relating to its Proposal. All such costs and expenses will remain with the Applicant and the Authority shall not be liable in any manner whatsoever for the same or for any other costs or other expenses incurred by the Applicant in preparation or submission of the Proposal, regardless of the conduct or outcome of the Selection Process.
10. The Applicants are prohibited from any form of collusion or arrangement in an attempt to influence the selection and award process of the Proposal. Giving or offering of any gift, bribe or inducement or any attempt to any such act on behalf of the Applicant towards any officer/employee/ advisor/ representative of the Authority or to any other person in a position to influence the decision of the Authority for showing any favour in relation to this RFP or any

other contract, shall render the Applicant to such liability/penalty as the Authority may deem proper, including but not limited to rejection of the Proposal of the Applicant and forfeiture of its Proposal Security.

11. Laws of the Republic of India are applicable to this RFP.

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## **SECTION 1. Instructions to Applicants**

### **1.1 Background**

- 1.1.1 The Government of Tamil Nadu (GoTN) is setting up an urban service delivery improvement program for CMA, aligned with Tamil Nadu's Vision 2023 and is focused on poverty reduction, good quality service delivery with universal access, and environmental conservation.
- 1.1.2 To support the implementation of the Government's program, the World Bank is preparing the Chennai City Partnership (CCP) Program for Results (PforR) operation. The Program will support the GoTN's Finance Department through IBRD financing of US\$150m (with additional US\$150m co-financing from AIIB).
- 1.1.3 The Tamil Nadu Infrastructure Development Board (TNIDB) was set up under the Tamil Nadu Infrastructure Development Act (TNID Act) 2012. The Board is envisaged as the nodal agency for infrastructure development in the State of Tamil Nadu. TNIDB is expected to play a critical role in infrastructure development in the State by ensuring project development happens in a seamless, efficient and transparent manner. Tamil Nadu Infrastructure Development Board (TNIDB) will oversee the implementation of the CCP and will act as the overall Project Implementation Unit (PIU). Additional sector-level implementation entities will also be charged with monitoring the implementation progress including the Chennai Unified Metropolitan Transportation Authority (CUMTA), Greater Chennai City Corporation (GCC), Chennai Metro Water Supply and Sewerage Board (CMWSSB), Water Resources Department (WRD) and Metropolitan Transportation Corporation (MTC).
- 1.1.4 TNIDB now invites eligible Consulting entities/firms/educational institutions/consortium for acting as an Independent Verification Agency (IVA) to verify the achievement of the Disbursement Linked Indicators (DLIs) as agreed under the World Bank supported Chennai City Partnership program.
- 1.1.5 The Independent Verification Agency (IVA) will initially be offered a Contract for a period of five (5) years, extendable for an additional period of one year or more as required, dependent upon satisfactory performance in the first 5 years.

### **1.2 Validity of the Proposal**

- 1.2.1 The RFP Proposal shall remain valid for a period of 120 (One Hundred and Twenty) days from the last date of submission of the RFP with a provision for extension.

### 1.3 Brief Description of Selection Process(the “Selection Process”)

- 1.3.1 The Authority intends to select a Consulting entity/firm/consortium for acting as an Independent Verification Agency(IVA)(the “**Consultant**” or “**IVA**”)from the list of consultantswho make an Application (the “**Applicant**”)through a two cover (i.e., Technical and Financial Proposal) (the “**Proposal**”) Selection Processin accordance with the procedure set out herein.
- 1.3.2 In **Cover 1 - Technical Proposal**, the eligibility of Applicants will be verified based on the eligibility information mentioned in Data Sheet and provided by the Applicants as per the formatsgiven in this RFP. The Technical Proposal of only those firms found eligible and satisfying the minimum eligibility criteria shall be evaluated and scored based on the marking criteria mentioned in Data Sheet. Such applicants may be invited to make presentation on the Approach & Methodology, covering all the aspects of TOR, Work Schedule by the Team proposed for the assignment to the Evaluation Committee of the Authority. Team Leader proposed by the applicant must be present during the presentation. The time schedule and venue for presentation will be intimated to such applicants by the authority. Applicants scoring not less than 70% of the total points (S<sub>t</sub>) in Technical Proposal shall only be qualified for opening of **Cover 2 - Financial Proposal**. TheAuthority shall notify the Applicants, results of the technical evaluation and invite those who have secured the minimum qualifying mark for opening of the financial proposals indicating the date and time. The Financial Proposal of unqualified Applicants shall not be opened.
- 1.3.3 In Financial Proposal evaluation, the Financial Proposal of technically qualifiedApplicants shall be evaluated and the lowest evaluated financial proposal (F<sub>m</sub>) will be given the maximum financial score (S<sub>r</sub>) of 100 points. The financial scores (S<sub>r</sub>) of the other Financial Proposals will be computed as per the formula given below:  
$$S_r = 100 \times F_m / F$$
in which S<sub>r</sub> is the financial score, F<sub>m</sub> is the lowest price quoted by any Applicant and F is the price of the Proposal under consideration.
- 1.3.4 The total scores of the Applicants shall be arrived by applying the weights to the Technical and Financial Proposal to select the first ranked Applicant(R1) (the “**Selected Applicant**”).The remaining Applicants shall be ranked R2, R3 and so forth. The weights given to the Technical and Financial Proposals shall be as per the Data Sheet.  
The first ranked Applicant shall be selected for negotiation while the second ranked Applicant shall be kept in reserve.

### 1.4 Schedule of Selection Process

The Authority would endeavour to adhere to the following schedule:

<b>Event Description</b>	<b>Date and Time</b>	<b>Venue</b>
Bid Start Date	29 March 2022	
Last date for receiving queries/clarifications	05 April 2022 - 15:00 hrs	
Pre-proposal Meeting	06 April 2022 -15:00 hrs	Refer Data Sheet
Proposal Due Date (the “PDD”)	27 April 2022- 15:00 hrs	Refer Data Sheet
Opening of Technical Proposal	27 April 2022 - 15:30 hrs	Refer Data Sheet
Opening of Financial Proposal	To be intimated to Technically Qualified Applicants	

## **1.5 Conflict of Interest**

- 1.5.1 An Applicant shall not have a conflict of interest that may affect the Selection Process or the Consultancy (the “**Conflict of Interest**”). Any Applicant found to have a Conflict of Interest shall be disqualified. In the event of disqualification, the Authority shall forfeit and appropriate the Bid Security as mutually agreed genuine pre-estimated compensation and damages payable to the Authority for, inter alia, the time, cost and effort of the Authority including consideration of such Applicant’s Proposal, without prejudice to any other right or remedy that may be available to the Authority hereunder or otherwise.
- 1.5.2 The Authority requires that the Consultant provides professional, objective, and impartial advice and at all times hold the Authority’s interests paramount, avoid conflicts with other assignments or its own interests, and act without any consideration for future work. The Consultant shall not accept or engage in any assignment that would be in conflict with its prior or current obligations to other Authority, or that may place it in a position of not being able to carry out the assignment in the best interests of the Authority. Without limiting the generality of the above, an Applicant shall be deemed to have a Conflict of Interest affecting the Selection Process, if:
- a. the Applicant, and any other Applicant, has common controlling shareholders or other ownership interest; provided that this disqualification shall not apply in cases where the direct or indirect shareholding or ownership interest of an Applicant, (or any shareholder thereof having a shareholding of more than 5 per cent of the paid up and subscribed share capital of such Applicant, as the case may be) in the other Applicant, is less than 5% (five per cent) of the subscribed and paid up equity share capital thereof; provided further that this disqualification



shall not apply to any ownership by a bank, insurance company, pension fund or a public financial institution referred to in section 4A of the Companies Act, 1956/ sub-Section (72) of Section 2 of the Companies Act, 2013. For the purposes of this Clause 1.5.2(a), indirect shareholding held through one or more intermediate persons shall be computed as follows: (aa) where any intermediary is controlled by a person through management control or otherwise, the entire shareholding held by such controlled intermediary in any other person (the “Subject Person”) shall be taken into account for computing the shareholding of such controlling person in the Subject Person; and (bb) subject always to sub-clause (aa) above, where a person does not exercise control over an intermediary, which has shareholding in the Subject Person, the computation of indirect shareholding of such person in the Subject Person shall be undertaken on a proportionate basis; provided, however, that no such shareholding shall be reckoned under this sub-clause (bb) if the shareholding of such person in the intermediary is less than 26% (twenty six percent) of the subscribed and paid up equity shareholding of such intermediary; or

- b. A constituent of such Applicant is also a constituent of another Applicant; or
- c. Such Applicant receives or has received any direct or indirect subsidy or grant from any other Applicant or its Associate; or
- d. Such Applicant has the same legal representative for purposes of this Application as any other Applicant; or
- e. Such Applicant has a relationship with another Applicant, directly or through common third parties, that puts them in a position to have access to each other’s information about, or to influence the Application of either or each of the other Applicant; or.
- f. There is a conflict among this and other consulting/IVA assignments of the Applicant (including its personnel) and any subsidiaries or entities controlled by such Applicant or having common controlling shareholders. The duties of the Consultant will depend on the circumstances of each case. While providing consultancy services to the Authority for this particular assignment, the Consultant shall not take up any assignment that by its nature will result in conflict with the present assignment; or
- g. A firm which has been engaged by the Authority to provide goods or works or services for a project, and its Associates, will be disqualified from providing consulting/verification services for the same project save and except as per provisions of this RFP; conversely, a firm hired to provide consulting/verification services for the preparation or implementation of a project, and its Members or Associates, will be disqualified from subsequently providing goods or works or services related to the same project, provided further that this restriction shall not apply to consultancy/advisory/verification services provided to the Authority in continuation of this

Consultancy/verification services or to any subsequent consultancy/ advisory/verification services provided to the Authority in accordance with the rules of the Authority

For purposes of this RFP, Associate means, in relation to the Applicant, a person who controls, is controlled by, or is under the common control with such Applicant (the “**Associate**”). As used in this definition, the expression “control” means, with respect to a person which is a company or corporation, the ownership, directly or indirectly, of more than 50% (fifty per cent) of the voting shares of such person, and with respect to a person which is not a company or corporation, the power to direct the management and policies of such person by operation of law or by contract.

## **1.6 Number of Proposals**

1.6.1 No Applicant or its Associate shall submit more than one Application for the Consultancy.

## **1.7 Cost of Proposal**

1.7.1 The Applicants shall be responsible for all the costs associated with the preparation of their Proposals and their participation in the Selection Process including subsequent negotiation, visits to the Authority, Project site etc. The Authority will not be responsible or in any way liable for such costs, regardless of the conduct or outcome of the Selection Process.

## **1.8 Verification of information and acknowledgment by the Applicant**

1.8.1 Applicants are encouraged to submit their respective Proposals after visiting the Authority for verification of information(if any)and ascertaining for themselves the local conditions, traffic, location, surroundings, climate, and other data, Applicable Laws and regulations or any other matter considered relevant by them. The costs of undertaking such visit shall be borne by the Applicant.

1.8.2 It shall be deemed that by submitting the Proposal, the Applicant has:

- a. Made a complete and careful examination of the RFP;
- b. Received all relevant information requested from the Authority;
- c. Acknowledged and accepted the risk of inadequacy, error or mistake in the information provided in the RFP or furnished by or on behalf of the Authority or relating to any of the matters referred to in Clause 1.8.1 above;
- d. satisfied itself about all matters, things and information, including matters referred to in 1.8.1 herein above, necessary and required for submitting an informed Application and performance of all of its obligations there under;
- e. Acknowledged that it does not have a Conflict of Interest; and

f. Agreed to be bound by the undertaking provided by it under and in terms hereof.

1.8.3 The Authority shall not be liable for any omission, mistake or error on the part of the Applicant in respect of any of the above or on account of any matter or thing arising out of or concerning or relating to RFP or the Selection Process, including any error or mistake therein or in any information or data given by the Authority.

### **1.9 Right to Cancel this RFP or Reject any Proposal**

1.9.1 Notwithstanding anything contained in this RFP, the Authority reserves the right to postpone / Cancel this RFP at any point of time without assigning any reason, whatsoever.

1.9.2 The Authority reserves the right to reject any Proposal if:

- a. At any time, a material misrepresentation is made or discovered, or
- b. The Applicant does not provide, within the time specified by the Authority, the supplemental information sought by the Authority for evaluation of the Proposal.

1.9.3 Misrepresentation/ improper response by the Applicant may lead to the disqualification of the Applicant. If such disqualification / rejection occurs after the Proposals have been opened and the highest ranking Applicant gets disqualified / rejected, then the Authority reserves the right to consider the next best Applicant, or take any other measure as may be deemed fit in the sole discretion of the Authority, including annulment of the Selection Process.

### **1.10 The Submission and Opening of Proposals**

1.10.1 The Proposals addressed to the Authority as mentioned in the Data Sheet shall be submitted in two separate sealed covers (with respective marking in bold letters) following the formats/schedules given for respective proposal.

1.10.2 The first cover marked “Technical Proposal” in one separate envelope, viz., Cover-1 must be sealed properly and clearly marked with the Title of the Consultancy Services as mentioned in the Data Sheet. This cover should contain the following documents:

#### **Technical Proposal**

- a. Bid Security and Processing Fee
- b. Form TECH A – Minimum Eligibility Experience
- c. Form TECH 1 – Technical Proposal Submission Form
- d. Form TECH 2 – Particulars of the Applicant
- e. Form TECH 3 – Power of Attorney for Signing of Proposal

- f. Form TECH 4 – Summary of Applicant’s Experience
- g. Form TECH 5 – Applicant’s Experience
- h. Form TECH 6 –Work Plan and Approach and Methodology Proposed
- i. Form TECH 7 – Work Schedule Form
- j. Form TECH 8 – Team Composition and Task Assigned
- k. Form TECH 9 – Curriculum Vitae of Key Personnel
- l. Annexure 1 –Format of Bank Guarantee for Bid Security
- m. Signed Copy of the RFP along with Addendum/Corrigendum

1.10.3 The Applicant shall prepare two copies of the proposal (one clearly marked as “ORIGINAL” and the other as “COPY”) to be submitted to the Authority along with soft copy (CD/DVD/Pen drive) of the Technical Proposal

1.10.4 The Proposal and its copy shall be typed or written in indelible ink, hard/spiral bound and signed by the authorized signatory of the Applicant who shall initial each page, in blue ink. In case of printed and published Documents, only the cover shall be initialled. All the alterations, omissions, additions, or any other amendments made to the Proposal shall be initialled by the person(s) signing the Proposal. The Proposals must be properly signed by the authorized representative (the “Authorized Representative”) as detailed below:

- a. By the Authorised Representative of the Lead Member, in case of Consortium; or
- b. By a partner, in case of a partnership firm and/or a limited liability partnership; or
- c. By a duly authorized person holding the Power of Attorney, in case of a Limited Company/Private Limited Company or a Corporation; or
- d. By a person authorized through a General or Specific Board Resolution for signing proposals; Certified True Copy of such resolution in the hands of a Director of the Company shall be submitted for this purpose.

The power of attorney, if applicable should be certified under the hands of a partner or director of the Applicant and notarised by a notary public in the form specified in Section 4 and shall accompany the Proposal.

- e. In case of Consortium, a copy of the Memorandum of Understanding (MoU) shall be furnished along with the Technical Proposal, which shall be produced in original at the time of signing of contract

1.10.5 In case the proposal is submitted on the document downloaded from Official Website, the Applicant shall be responsible for its accuracy and correctness as per the version uploaded by the Authority and shall ensure that there are no changes caused in the content of the downloaded

document. In case of any discrepancy between the downloaded or photocopied version of the RFP and the original RFP issued by the Authority, the latter shall prevail.

1.10.6 The Second cover marked “Financial Proposal” in another separate envelope, viz., Cover-2 must be sealed properly and clearly marked with the Title of the Consultancy Services as mentioned in the Data Sheet. This cover should contain the contents as below:

***Financial Proposal***

- a. FORM FIN-1: Financial Proposal Submission Form
- b. FORM FIN-2: Summary of Costs
- c. FORM FIN-3: Breakdown of Remuneration
- d. FORM FIN-4: Breakdown of Other expenses

1.10.7 Applicants shall submit the financial proposal in the proposed formats clearly indicating the total cost of the Consultancy in both figures and words, in Indian Rupees, and signed by the Applicant’s Authorised Representative. In the case of discrepancy between figures and words in the financial proposal, the lower of the two shall be considered.

1.10.7.1 While submitting the Financial Proposal, the Applicant shall ensure the following:

- a. All the costs associated with the assignment shall be included in the Financial Proposal. These shall normally cover remuneration for all the Personnel (Expatriate and Resident, in the field, office etc.), accommodation, air fare, equipment, printing of documents, surveys, geo-technical investigations etc. The total amount indicated in the Financial Proposal shall be without any condition attached or subject to any assumption and shall be final and binding. In case any assumption or condition is indicated in the Financial Proposal, it shall be considered non-responsive and liable to be rejected.
- b. The Financial Proposal shall take into account all expenses and tax liabilities except GST which shall be paid at applicable rates. For the avoidance of doubt, it is clarified that all taxes except GST shall be deemed to be included in the costs shown in the Financial Proposal. Further, all payments shall be subject to deduction of taxes at source as per Applicable Laws.
- c. Costs shall be expressed in INR.

1.10.8 The sealed envelopes Cover 1 and Cover 2 should again be placed in a separate sealed outer cover, which shall be clearly marked with the Title of the Consultancy Services, as mentioned in the Data Sheet, RFP No., name and address of the applicant, and proposal submission date and received as per the timeline mentioned in clause 1.4 and addressed to the Official mentioned in Data Sheet. It shall bear on top, the following: ***“Do not open, except in presence of the Authorised Person of the Authority”***.

If the envelope is not sealed and marked as instructed above, the Authority assumes no responsibility for the misplacement or premature opening of the contents of the Proposal submitted and consequent losses, if any, suffered by the Applicant. Authority may also choose not to open the envelope and return the same treating as “Not Qualified”.

1.10.9 The Applicants are advised in their own interest to ensure that completed Proposals reaches the office of Authority at the address mentioned well before the dates and time stipulated in the document. Proposals submitted through Speed post/ Courier/ Hand delivered shall be accepted. Proposals submitted through Telex / Telegraphic / Fax / email will not be considered and summarily rejected. Proposals received after the date and time stipulated in this RFP shall not be considered and shall be summarily rejected. Any proposal received after the closing time for submission of proposals shall be returned unopened. The Authority shall not be responsible for delayed receipt of Proposals.

1.10.10 Prior to evaluation of Proposals, the Authority will determine whether each Proposal is responsive to the requirements of the RFP. The Authority may, in its sole discretion, reject any Proposal that is not responsive hereunder. A Proposal shall be considered responsive only if:

- a. The Technical Proposal is received in the forms specified at Section 4;
- b. It is received by the Proposal Due Date including any extension there of pursuant to Clause 1.12
- c. It is accompanied by the Bid Security as specified in Clause 1.24
- d. It is accompanied by Processing Fee mentioned in Data Sheet.
- e. it is signed, sealed, bound together in hard/spiral cover and marked as stipulated in Clause 1.10
- f. It is accompanied by the Power of Attorney as specified in Form 3 or such other document stipulated in Clause 1.10;
- g. It contains all the information (complete in all respects) as requested in the RFP;
- h. It does not contain any condition or qualification.

1.10.11 The proposals (Technical Proposal) will be opened by the Authorised Representative of the Authority as per schedule mentioned in Clause 1.4. It may be noted that the Financial Proposal shall be opened in the presence of the shortlisted Applicants Representative who choose to attend.

## **1.11 Clarifications**

1.11.1 Applicants requiring any clarification on the RFP may send their queries to the Authority in writing at the address mentioned in the data sheet so as to reach before the date mentioned in the Schedule of Selection Process at Clause 1.4. The envelopes shall clearly bear the following identification:

**“Queries/Request for Additional Information concerning RFP for Appointment of Independent Verification Agency (IVA) for Assessing Disbursement Linked Indicators (DLIs) to Support Chennai City Partnership Program ~ Sustainable Urban Services Program for Results”.**

The Authority shall endeavour to respond to any queries or request for clarifications received from the Applicants within the date mentioned as per Clause 1.4 but not later than 7 (Seven) Days prior to the PDD. The Authority will post the reply to all such queries on the Official Website.

The Authority shall endeavour to respond to any further queries/request for clarifications received up to 48 (Forty eight) hours prior to the PDD. The Authority will post the reply to all such queries, addendum/corrigendum, if any on the Website mentioned in the Data Sheet. No Separate Advertisement for Addendum/Corrigendum/extension of date will be published in the Newspapers.

**1.12 Amendment of RFP**

- 1.12.1 At any time prior to the deadline for submission of Proposal, the Authority may, for any reason, whether at its own initiative or in response to clarifications requested by an Applicant, modify the RFP document by the issuance of Addendum/Amendment and posting it on its Website. All such amendments will be binding on all Applicants.
- 1.12.2 In order to afford the Applicants a reasonable time for taking an amendment into account, or for any other reason, the Authority may, in its sole discretion, extend the Proposal Due Date.

**1.13 Language**

- 1.13.1 The Proposal with all accompanying documents (the **“Documents”**) and all communications in relation to or concerning the Selection Process shall be in English language and strictly on the forms provided in this RFP. No supporting document or printed literature shall be submitted with the Proposal unless specifically asked for and in case any of these Documents is in another language, it must be accompanied by an accurate translation of the relevant passages in English, in which case, for all purposes of interpretation of the Proposal, the translation in English shall prevail.

**1.14 Modification/ substitution of proposals**

- 1.14.1 The Applicant may modify, or substitute, its Proposal after submission, provided that written notice of the modification, or substitution, is received by the Authority prior to Proposal Due Date. No Proposal shall be modified, or substituted, by the Applicant on or after the Proposal Due Date.
- 1.14.2 The modification, or substitution, notice shall be prepared, sealed, marked, and delivered in accordance with Clause 1.10, with the envelopes being additionally marked “MODIFICATION”, or “SUBSTITUTION”, as appropriate.
- 1.14.3 Any alteration / modification in the Proposal or additional information or material supplied subsequent to the Proposal Due Date, unless the same has been expressly sought for by the Authority, shall be disregarded.
- 1.14.4 Applicants shall not be allowed to withdraw the proposal any time after submission of Proposal.

### **1.15 Evaluation Committee**

- 1.15.1 The evaluation committee appointed by the Authority will carry out its evaluation of the Technical and Financial Proposals as per the RFP.
- 1.15.2 The Evaluation Committee appointed by the Authority will evaluate the Technical Proposals after evaluation of minimum eligibility criteria as given in the Data Sheet.
- 1.15.3 The committee will carry out evaluation of proposals meeting the minimum eligibility criteria as per the point system specified in the Data Sheet below. Each responsive proposal will be attributed a technical score (St)
- 1.15.4 The evaluation committee will determine if the financial proposals are complete in accordance with the RFP. The quoted price shall be corrected for arithmetical errors in accordance with TAMIL NADU TRANSPARENCY IN TENDERS ACT, 1998 and RULES 2000 and as amended there on. The evaluation committee will determine if the financial proposals are complete and without computational errors. In the case of discrepancy between figures and words in the financial proposal, the lower of the two shall be considered. In addition to the above corrections, activities and items described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items.

### **1.16 Clarifications during Evaluation**

- 1.16.1 To facilitate evaluation of Proposals, the Authority may, at its sole discretion, seek clarifications from any Applicant regarding its Proposal. Such clarification(s) shall be provided within the time specified by the Authority for this purpose. Any request for clarification(s) and all clarification(s) in response thereto shall be in writing.



1.16.2 If an Applicant does not provide clarifications sought under Clause 1.16.1 above within the specified time, its Proposal shall be liable to be rejected. In case the Proposal is not rejected, the Authority may proceed to evaluate the Proposal by construing the particulars requiring clarification to the best of its understanding, and the Applicant shall be barred from subsequently questioning such interpretation of the Authority.

### **1.17 Confidentiality**

1.17.1 Information relating to the examination, clarification, evaluation, and recommendation for the selection of Applicants shall not be disclosed to any person who is not officially concerned with the process or is not a retained professional adviser advising the Authority in relation to matters arising out of or concerning the Selection Process. The Authority will treat all information, submitted as part of the Proposal, in confidence and will require all those who have access to such material to treat the same in confidence. The Authority may not divulge any such information unless it is directed to do so by any statutory entity that has the power under law to require its disclosure or is to enforce or assert any right or privilege of the statutory entity and/or the Authority.

### **1.18 Negotiations**

- 1.18.1 The aim of the negotiations is to reach agreement on all points and initial a draft contract by the conclusion of Negotiations.
- 1.18.2 Negotiations with selected applicant will commence with a discussion of technical proposal, the proposed methodology (work plan), costing, staffing and any suggestions made to improve the TOR. Agreement must then be reached on the final TORs, the staffing and staff months, logistics and reporting.
- 1.18.3 The Authority will not consider substitutions in the proposed key personnel during contract negotiations unless both parties agree that undue delay in the selection process makes such substitution unavoidable or for reasons such as death or medical incapacity. Any proposed substitute shall have equivalent or better qualifications and experience than the original candidate and be submitted by the successful applicant within the period specified in the letter of invitation to negotiate.
- 1.18.4 Any need for substitution as a result of negligence on the part of the successful applicant such as non-confirmation of availability of key personnel before submission of proposal may result in disqualification of the successful applicant and bid security of such applicant be forfeited.

- 1.18.5 Changes agreed upon will then be reflected in the draft contract, including all tax liabilities and all costs, etc.
- 1.18.6 The Contract will be awarded after successful negotiations, with the selected applicant. In the event the selected applicant fails to reconfirm its commitments during negotiations such that there arises a material deviation in the technical proposal as evaluated by the Authority, then the Authority reserves the right to disqualify the proposal of the selected applicant and designate the next ranked applicant as the selected applicant and invite it for negotiations.
- 1.18.7 The Contract will be awarded after successful negotiations, with the qualified/selected applicant.

### **1.19 Substitution of Key Personnel**

1.19.1 The Authority expects all the Key Personnel specified in the Proposal to be available during implementation of the Scope of Work mentioned in this RFP. The Authority will not consider any substitution of Key Personnel except under compelling circumstances beyond the reasonable control of the Consultant such as retirement, death, medical incapacity among others, of key Personnel.

#### **(i) Until submission & acceptance of verification report of Year 2:**

- Substitution shall be limited to a maximum of Two (2) Key Personnel other than Team Leader subject to equally or better qualified and experienced personnel being provided to the satisfaction of the Authority. Any subsequent substitution of key personnel would call for reduction of 10% of the remuneration of the personnel so replaced for the remaining period till submission & acceptance of verification report of Year 2.
- Requests by Consultant for replacement of Team Leader may be considered by the authority for situation beyond the reasonable control of the consultant and allowed based on merits of the case so determined by the Authority, subject to equally or better qualified and experienced personnel being provided to the satisfaction of the Authority. Such substitution of Team Leader shall be allowed only once. The Authority may impose, at its discretion, reduction of up to 20% of the applicable remuneration of the Team Leader for the remaining period till submission & acceptance of verification report of Year 2. Inability of consultant to deploy Team Leader for the assignment will be grounds for termination by the Authority.
- Substitutions undertaken at the time of contract negotiations shall be counted while calculating the number of substitutions under this clause.

#### **(ii) Year 3 onwards till completion of contract:**

- Substitution shall be limited to a maximum of two (2) times for each of the Key Personnel subject to equally or better qualified and experienced personnel being provided to the

satisfaction of the Authority. The total number of substitutions allowed overall herein shall be limited to a maximum of fifteen (15) substitutions.

- Any subsequent substitution beyond the applicable limit allowed for key personnel or overall limit, as the case may be, would call for additional reduction of remuneration by 10% of the remuneration of the personnel so replaced for the remaining period.

### **1.20 Award of Consultancy**

1.20.1 After selection, a Letter of Award (the “LOA”) shall be issued, in duplicate, by the Authority to the Selected Applicant(the “**Consultant**”) and the Selected Applicant shall, within 7 (seven) days of the receipt of the LOA, sign and return the duplicate copy of the LOA in acknowledgement thereof. In the event the duplicate copy of the LOA duly signed by the Selected Applicant is not received by the stipulated date, the Authority may, unless it consents to extension of time for submission thereof, appropriate the Bid Security of such Applicant for damages suffered by the Authority on account of failure of the Selected Applicant to acknowledge the LOA, and the next highest ranking Applicant may be invited for negotiations.

### **1.21 Execution of Contract**

1.21.1 After acknowledgement of the LOA as aforesaid by the Selected Applicant, it shall execute the Contract within the period of 30 days or as informed by the Authority. The Selected Applicant shall not be entitled to seek any deviation in the Contract.

### **1.22 Commencement of Assignment**

1.22.1 The Consultant shall commence the Services within 7 (seven) days of signing of contract or such other date as may be mutually agreed. If the Consultant fails to either sign the contract as specified in Clause 1.21 or commence the assignment as specified herein, the Authority may invite the next ranked Applicant for negotiations. In such an event, the Bid Security of the Selected Applicant shall be forfeited and appropriated in accordance with the provisions of Clause 1.24

### **1.23 Proprietary Data**

1.23.1 Subject to the provisions of Clause 1.17, all documents and other information provided by the Authority or submitted by an Applicant to the Authority shall remain or become the property of the Authority. Applicants and the Consultant, as the case may be, are to treat all information as strictly confidential. The Authority will not return any Proposal or any information related thereto. All information collected, analysed, processed or in whatever manner provided by the Consultant to the Authority in relation to the Consultancy shall be the property of the Authority.

#### **1.24 Bid Security**

1.24.1 The Applicant shall furnish as part of its Proposal, a bid security as per details mentioned in clause 2.1 in the form of electronic transfer/Demand Draft/ Bank Guarantee issued by Scheduled Commercial Banks in India (the “**Bid Security**”), returnable not later than 60 (Sixty) days after the expiration of the tender validity period, including any extension thereof, or 60 (Sixty) days after the issuance of the Letter of Award, whichever is earlier. The Selected Applicant’s Bid Security shall be returned upon the Applicant signing the Contract. In case of Bank Guarantee, it shall be valid for a minimum period of 120 (one hundred and twenty) days from PDD.

1.24.2 Any Proposal not accompanied by the Bid Security shall be rejected by the Authority as non-responsive.

1.24.3 The Authority shall not be liable to pay any interest on the Bid Security and the same shall be interest free.

1.24.4 The Applicant, by submitting its Application pursuant to this RFP, shall be deemed to have acknowledged that without prejudice to the Authority’s any other right or remedy hereunder or in law or otherwise, the Bid Security maybe forfeited and appropriated by the Authority for damages payable to the Authority for, inter alia, the time, cost and effort of the Authority in regard to the RFP including the consideration and evaluation of the Proposal under the following conditions:

- a. If an Applicant engages in any of the Prohibited Practices specified in Clause 1.26 of this RFP;
- b. If an Applicant withdraws its Proposal during the period of its validity as specified in this RFP and as extended by the Applicant from time to time;
- c. If an Applicant refuses to accept the correction of arithmetical errors in its Proposal
- d. In the case of the Selected Applicant, if the Applicant fails to reconfirm its commitments during negotiations as required vide Clause 1.18;
- e. In the case of a Selected Applicant, if the Applicant fails to accept the LOA as specified in Clause 1.20

- f. In the case of a Selected Applicant, if the Applicant fails to sign the Contract or provide the performance security within the specified time limit as specified in Clauses 1.21 and 1.25 respectively; or
- g. If the Applicant is found to have a Conflict of Interest as specified in Clause 1.5.
- h. if the firm has furnished incorrect information on qualification and experience.

### **1.25 Performance Security**

- 1.25.1 Prior to signing of contract, the Selected Applicant shall furnish Performance Security to the Authority, for an amount mentioned in the Data Sheet. The Performance Security shall be in the form of Demand Draft/Bank Guarantee issued by Scheduled Commercial Banks in India, in the name of the Authority mentioned in the Data Sheet, as per the format attached *in Draft Contract*.
- 1.25.2 In case of Bank Guarantee, this Performance Security shall remain valid for a period of 90 (Ninety) days beyond the date of completion of all contractual obligations by the Selected Applicant. The validity of performance security will be extended according to the extension of contract period as per the contract executed. The Performance Security shall be in the prescribed form as provided in this RFP.
- 1.25.3 The Penalty for error/variation and Penalty for delay shall be recovered by appropriation from the Performance Security or otherwise as provided in the Draft Contract.
- 1.25.4 If Selected Applicant fails to fulfil its obligations in terms of the Contract, the Performance Security may be invoked by the Authority as compensation.
- 1.25.5 If any amendment is issued to the Contract, the Selected Applicant shall, within 21 (twenty-one) days of issue of the amendment, furnish the corresponding amendment to the Performance Security (as necessary), rendering the same valid in all respects in terms of the contract, as amended.
- 1.25.6 The Authority shall have the right to appropriate the Performance Security, in whole or in part, in the event of breach of Contract or for recovery of penalty. Subject to the above sub-clauses, the Authority will release the Performance Security without any interest to the Selected Applicant on completion of the firm's contractual obligations.

### **1.26 Fraud and Corrupt Practises**

1.26.1 The Applicants and their respective officers, employees, agents and advisers shall observe the highest standard of ethics during the Selection Process. Notwithstanding anything to the contrary contained in this RFP, the Authority will reject a Proposal without being liable in any manner whatsoever to the Applicant, if it determines that the Applicant has, directly or indirectly or through an agent, engaged in corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice (collectively the “**Prohibited Practices**”) in the Selection Process. In such an event, the Authority will, without prejudice to its any other rights or remedies, forfeit and appropriate the Bid Security, as mutually agreed genuine pre-estimated compensation and damages payable to the Authority for, inter alia, time, cost and effort of the Authority, in regard to the RFP, including consideration and evaluation of such Applicant’s Proposal.

1.26.2 For the purposes of this Clause, the following terms shall have the meaning hereinafter respectively assigned to them:

- a. “**corrupt practice**” means (i) the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence the action of any person connected with the Selection Process (for avoidance of doubt, offering of employment to or employing or engaging in any manner whatsoever, directly or indirectly, any official of the Authority who is or has been associated in any manner, directly or indirectly with the Selection Process or the LOA or has dealt with matters concerning the Contractor arising there from, before or after the execution thereof, at any time prior to the expiry of one year from the date such official resigns or retires from or otherwise ceases to be in the service of the Authority, shall be deemed to constitute influencing the actions of a person connected with the Selection Process; or (ii) save as provided herein, engaging in any manner whatsoever, whether during the Selection Process or after the issue of the LOA or after the execution of the Contract, as the case may be, any person in respect of any matter relating to the Project or the LOA or the Contract, who at any time has been or is a legal, financial or technical consultant/ adviser of the Authority in relation to any matter concerning the Project;
- b. “**fraudulent practice**” means a misrepresentation or omission of facts or disclosure of incomplete facts, in order to influence the Selection Process;
- c. “**coercive practice**” means impairing or harming or threatening to impair or harm, directly or indirectly, any persons or property to influence any person’s participation or action in the Selection Process;

- d. “**undesirable practice**” means (i) establishing contact with any person connected with or employed or engaged by the Authority with the objective of canvassing, lobbying or in any manner influencing or attempting to influence the Selection Process; or (ii) having a Conflict of Interest; and
- e. “**Restrictive practice**” means forming a cartel or arriving at any understanding or arrangement among Applicants with the objective of restricting or manipulating a full and fair competition in the Selection Process.

## SECTION 2. DATA SHEET

1.	Title of the Project	Appointment of Independent Verification Agency(IVA) for Assessing Disbursement Linked Indicators (DLIs) to Support Chennai City Partnership Program ~ Sustainable Urban Services Program for Results
2.	Project Owner	Tamil Nadu Infrastructure Development Board(TNIDB)
3.	Contract Signing Agency/Authority	Tamil Nadu Infrastructure Development Board(TNIDB)
4.	Proposal Validity Period	120 days from the PDD
5.	Processing Fee (Non-refundable)	Amount – INR 11,800/- (Rupees Eleven Thousand Eight Hundred Only) inclusive of GST through Electronic Transfer/Demand Draft In favor of - Chief Executive Officer, Tamil Nadu Infrastructure Development Board Payable at Chennai
6.	Bid Security	Amount – INR 1,50,000/- (Rupees One Lakh Fifty Thousand Only) through Electronic Transfer/ Demand Draft/Bank Guarantee In favor of –Chief Executive Officer, Tamil Nadu Infrastructure Development Board Payable at Chennai
7.	Bank Account Number for Payment of Processing Fee and or Bid Security	<p>Applicants can also transfer the Processing Fee and or Bid Security online via NEFT/RTGS/IMPS into the Account of the Authority by adding it as a beneficiary with the following details:</p> <p><b>Name of Beneficiary</b> : Tamil Nadu Infrastructure Development Board</p> <p><b>Savings Account Number</b> : 117201000016300</p> <p><b>Name of Bank</b> : Indian Overseas Bank</p> <p><b>Branch Name</b> : Secretariat Campus, Fort ST, George, Chennai-9</p> <p><b>IFSC Code</b> : IOBA0001172</p> <p><b>MICR Code</b> : 600020061</p> <p>Applicants making online transfer are required to make separate transfer</p>



		of Processing fee and Bid Security. <b><u>Applicants are required to attach with the document, separate payment screenshot clearly mentioning the Unique Transaction Reference (UTR) number separately for Processing Fee and or Bid Security as the case maybe.</u></b>
8.	Performance Security	5% of the Contract value
9.	Method of Selection	Quality and Cost Based Selection (QCBS)
10.	Weightage	T = 0.8 and F = 0.2  $S = S_t \times 0.8 + S_f \times 0.2$
11.	Consortium Allowed	Yes [The maximum members in a Consortium shall be two. In case the Applicant is a Consortium, a letter of association in favour of the Lead Member shall be furnished along with Technical proposal.]
12.	Address for Submission of Application	All communications including the submission of Proposal should be addressed to:  Designation: The Chief Executive Officer  Organisation Name: Tamil Nadu Infrastructure Development Board (TNIDB)  Address: Finance Department, Secretariat, Fort St. George, Chennai 600009.  Email: <a href="mailto:soinfra.findpt@tn.gov.in">soinfra.findpt@tn.gov.in</a>  Office Telephone No: 044-25672509/25665980
13.	Proposal Due Date (PDD)	25=7April2022 – 15:00 hrs
14.	Venue for Pre-proposal Conference / Pre-Bid Meeting / RfP Clarification Meeting	The pre-proposal conference shall be held online and the authority shall send link for attending the conference to potential applicants who send their requests for attending the pre-proposal conference at least 24 hours prior to the scheduled date & time of the conference to the following email id:  <a href="mailto:soinfra.findpt@tn.gov.in">soinfra.findpt@tn.gov.in</a>  Applicants are requested to limit their number of representatives for attending the pre-proposal conference by requesting link for a maximum of three (3) email addresses per company.
15.	Website details	Replies to queries/clarifications/addendum/corrigendum etc. shall be posted at the following websites:  <a href="http://www.tnidb.tn.gov.in/">http://www.tnidb.tn.gov.in/</a> ; <a href="http://www.tenders.tn.gov.in/">http://www.tenders.tn.gov.in/</a>
16.	Project Related Documents	Refer Annexure 2, Annexure 3 and Annexure 4
17.	Minimum Eligibility Criteria	The firms meeting the below mentioned requirements shall only be considered for evaluation and scoring of Technical Proposal:

	<p><b>Financial Capacity:</b></p> <p>The Applicant/Lead Member (in case of Consortium) shall have a minimum annual average turnover of INR 5 crore (Rupees Five crores) as professional fees in the last three financial years preceding the PDD. For the avoidance of doubt, professional fees hereunder refer to fees received by the Applicant for providing advisory or consultancy services to its clients. The Applicant/Lead Member (in case of Consortium) shall have positive net worth as per last audited financial accounts.</p> <p><b>Minimum Project Experience:</b></p> <p>Applicant should have completed at least 2 similar* projects in India in last 10 years or 2 similar ongoing projects in India in last 10 years along with necessary proof. Ongoing projects shall be considered as experience subject to receipt of 80% of the project fee by the applicant or completion of 80% of work assigned. In this regard, Applicant shall enclose a certificate from the client/minutes of meeting issued by client as proof for completion of 80% of the work assigned to the Applicant or certificate from its Statutory Auditor certifying the percentage of fee received for such assignment.</p> <p><b>*Similar Project Experience</b> – Design and carrying out relevant targeted assessments and studies, implementation of verification protocols for results-based financing/ Third Party Evaluation / End line Study / End-Term Evaluation/ tracking of Physical and Financial Progress of Programmes or similar approaches for projects under Central or State Government or Externally Aided Projects funded through Department of Economic affairs, Government of India by World Bank/ DFID/ JICA/ ADB, etc.</p>
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18.	Technical Proposal Scoring	<table border="1"> <thead> <tr> <th>S. No.</th> <th>Parameter</th> <th>Max. Marks</th> </tr> </thead> <tbody> <tr> <td><b>I.</b></td> <td><b>Applicant Qualification</b></td> <td><b>15</b></td> </tr> <tr> <td><b>1)</b></td> <td><b>Similar Project Experience</b></td> <td><b>15</b></td> </tr> <tr> <td></td> <td>           a) Similar project experience* of the Applicant(as a firm) relevant to the Task during the last 10 years   <b>2 Assignments - 10 Marks</b>             2.5 Marks extra for each assignment if such assignment is part of an Externally aided Project         </td> <td></td> </tr> <tr> <td><b>II.</b></td> <td><b>Team Qualification &amp; Experience</b></td> <td><b>60</b></td> </tr> <tr> <td></td> <td>           a) Team Leader – 9 Marks            b) FM/Budget Specialists – 7 Marks            c) Procurement Specialists – 7 Marks            d) Urban Specialist – 8 Marks            e) Health System Specialist – 8 Marks            f) Transport Specialist – 8 Marks            g) Water Specialist – 8 Marks            h) Statistical Analyst– 5 Marks   <i>Guideline:            (Educational Qualifications– 30% Weightage            Professional Experience – 70% Weightage)</i> </td> <td>60</td> </tr> <tr> <td><b>III.</b></td> <td>           Adequacy and quality of the proposed methodology, and work plan in responding to the Terms of Reference (TORs) in respect of Scope of Work:   <b>A. Approach &amp; Methodology – 15 Marks</b>             1) Understanding of objectives and Scope of the assignment –<b>5 Marks</b>            2) Technical approach &amp; Methodology for Evaluation of DLIs –<b>7 Marks</b>            3) Structure &amp; composition of the support team(task wise/DLI wise) – <b>3 Marks</b>   <b>B. Work Plan – 10 Marks</b>             1) Plan for Implementation of main activities / tasks of the assignment, &amp; Duration – <b>5 Marks</b>            2) Phasing &amp; Interrelations, and Assignment milestones (Including interim approval by the client) –<b>5 Marks</b> </td> <td><b>25</b></td> </tr> <tr> <td></td> <td><b>Total score</b></td> <td><b>100</b></td> </tr> </tbody> </table>	S. No.	Parameter	Max. Marks	<b>I.</b>	<b>Applicant Qualification</b>	<b>15</b>	<b>1)</b>	<b>Similar Project Experience</b>	<b>15</b>		a) Similar project experience* of the Applicant(as a firm) relevant to the Task during the last 10 years  <b>2 Assignments - 10 Marks</b>  2.5 Marks extra for each assignment if such assignment is part of an Externally aided Project		<b>II.</b>	<b>Team Qualification &amp; Experience</b>	<b>60</b>		a) Team Leader – 9 Marks b) FM/Budget Specialists – 7 Marks c) Procurement Specialists – 7 Marks d) Urban Specialist – 8 Marks e) Health System Specialist – 8 Marks f) Transport Specialist – 8 Marks g) Water Specialist – 8 Marks h) Statistical Analyst– 5 Marks  <i>Guideline:            (Educational Qualifications– 30% Weightage            Professional Experience – 70% Weightage)</i>	60	<b>III.</b>	Adequacy and quality of the proposed methodology, and work plan in responding to the Terms of Reference (TORs) in respect of Scope of Work:  <b>A. Approach &amp; Methodology – 15 Marks</b>  1) Understanding of objectives and Scope of the assignment – <b>5 Marks</b> 2) Technical approach & Methodology for Evaluation of DLIs – <b>7 Marks</b> 3) Structure & composition of the support team(task wise/DLI wise) – <b>3 Marks</b>  <b>B. Work Plan – 10 Marks</b>  1) Plan for Implementation of main activities / tasks of the assignment, & Duration – <b>5 Marks</b> 2) Phasing & Interrelations, and Assignment milestones (Including interim approval by the client) – <b>5 Marks</b>	<b>25</b>		<b>Total score</b>	<b>100</b>
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## SECTION 3. TERMS OF REFERENCE

### 3.1 Project Background

**The southern State of Tamil Nadu is one of India's most urbanized states and an economic powerhouse.** By 2011, nearly half (48.4 percent) of Tamil Nadu's population of 72.1 million was already urban. With the rapid urbanization that is underway, the share of the urban population is expected to increase to 63 percent by 2030. From 2004 to 2012, the state's GDP grew at an annual average of 9.3 percent – around two percentage points higher than the national average– while per capita income witnessed a compound annual growth of 15.9 percent in the same period.

The government of Tamil Nadu is setting up an urban service delivery improvement program for CMA, aligned with Tamil Nadu's Vision 2023 and focused on poverty reduction, good quality service delivery with universal access, and environmental conservation. Accordingly, the proposed Government program ('p,' the program) is focused on improving the quality and access of core urban services in CMA to enhance the livability, productivity, resilience, and competitiveness of Chennai, as the most significant metropolitan area and economic growth engine of the state. The program adopts a comprehensive approach for service delivery improvement by focusing on three pillars across all the identified services, including (i) strengthening policies and institutions, (ii) improving infrastructure and service delivery, and (iii) expansion of funding and financing mechanisms for capital and operational expenditures. In its first phase, the program would focus on the following: (i) water supply services with an emphasis on integrated urban water resource management and resilience; (ii) urban mobility services; and (iii) municipal services including solid waste management and public health services.

In order to support the implementation of the Government's program, the World Bank has prepared the Chennai City Partnership Program for Results (PforR) operation. The Program will support the Government of Tamil Nadu's (GoTN) Finance Department through IBRD financing of US\$150m (with additional US\$150m co-financing from AIIB), with implementation to be undertaken by the Tamil Nadu Infrastructure Development Board (TNIDB), which will act as the overall Project Monitoring Unit (PMU). Additional sector-level implementation entities will also be charged with monitoring the implementation progress including the Chennai Unified Metropolitan Transportation Authority (CUMTA), Greater Chennai City Corporation (GCC), Chennai Metro Water Supply and Sewerage Board (CMWSSB), Water Resources Department (WRD) and Metropolitan Transportation Corporation (MTC). The Program will disburse to GoTN based on the achievement of Disbursement Linked Indicators (DLIs) which are tied to key results from the Program. The results areas for the Program are detailed below:

***Results Area 1: Strengthening governance and institutions.*** This results area will support the improvement of key Chennai service delivery entities through key policy reforms and institutional strengthening. Under this results area support will be provided to (i) create or strengthen institutions that can improve integration and coordination of service delivery across administrative and institutional jurisdictions, and (ii) enhance the organizational capability of key agencies. The key activities are listed below:

- i. *Activity 1 - Strengthen the human resource capacity of GCC.* The activity would support the revision of the staffing norms and cadre structure of GCC with a specific focus on professional employee grades (Groups A & B), strengthen the recruitment process for GCC to enable recruitment of better quality of professionals, and reduction in vacancies as per the revised staffing norms.

- ii. *Activity 2 - Establish and strengthen the CUMTA as the key coordinating agency for the delivery of urban mobility services across providers of bus, metro, rail, road, and pedestrian services and infrastructure.* For CUMTA, priorities include the recruitment of needed technical staff, the adoption of a strategic vision plan (i.e., the Comprehensive Mobility Plan), and securing authority for budgetary allocation and oversight of urban mobility investments. The program will also support the capacity development of the newly established Gender Lab within the GCC to allow for the integrated delivery of activities under the Women’s Safety in Public Space program supported by the Nirbhaya Fund.
- iii. *Activity 3 – Adopt water legislation that includes provisions for the establishment of a water regulatory authority and groundwater regulation for water resource planning and management, focusing on improved water security and reduced vulnerability to the flood and drought cycles plaguing the city.* In addition to establishing a strong water regulatory authority, the Program will support the development and adoption of a Water Security Plan and the introduction of data analytics and IT management system for water basin monitoring, cascade reservoir management, optimization and monitoring.
- iv. *Activity 4 - Adoption of an e-procurement system by GCC and CMWSSB* to enhance the transparency and efficiency of procurement. The CMWSSB and GCC will prepare an e-procurement road map and achieve, in a phased manner, targets related to use of e-procurement, contract management modules, and timely disclosure of contract awards.

**Results Area 2: Enhancing the quality, efficiency and sustainability of urban services.** Under this results area, support will be provided to three key service delivery entities—MTC, CMWSSB, and GCC—to improve service delivery outcomes and performance.

- i. *Activity 1 – Improve the quality and access to public health services with a focus on comprehensive primary health care.* This activity will support the development, adoption and implementation of a comprehensive Quality of Care strategy and operational plan by GCC; increasing the access to primary health care services in UPHCs, UWHCs; quality accreditation of UPHCs, UCHCs; strengthening the disease surveillance systems and developing a comprehensive digital health system in GCC.
- ii. *Activity 2 – Strengthen the planning and management of municipal solid waste services and enhance resource recovery efficiency from dry waste.* This activity will support the long-term integrated planning, management and performance monitoring of SWM services by GCC to ensure that all the performance-based waste management service contracts deliver good quality services. In addition, this activity will also support expanding the capacity and improving the efficiency of the resource recovery facilities for dry waste through improved technologies and integrated system planning for better throughput in selected zones (zones 4, 5, 6 & 8).
- iii. *Activity 3 – Integrated planning and delivery of safe streets, urban space and utility.* This activity will support GCC in scaling-up the planning and implementation of 11.6KMs of streets with provision for improved walkability, non-motorized transport and overall pedestrian environment along with safe public spaces, under the Chennai city mega-streets program. In addition, capacity will be built in a new Gender Lab to strengthen the integrated delivery of activities under the Women’s Safety in Public Space program supported by the Nirbhaya Fund.
- iv. *Activity 4 – Implement performance-based contracts for expansion and/or improvement in delivery of*

*bus services in CMA and WSS services in GCC area.* This activity includes implementing public transport service contracts between GoTN and MTC; gross cost contracts between MTC and private sector bus service providers for rolling out 1000 buses; and performance-based contracts for water-supply services improvement in core city area (zones X and XIII) including HH connections, metering and NRW reduction. Incentives will be provided to MTC and CMWSSB for rolling out contracts and monitoring the service performance improvements through DLIs.

- v. *Activity 5 – Improved efficiency, quality and sustainability of water and sewerage services.* This activity will support CMWSSB in implementation of bulk metering, establishment of a baseline on non-revenue water (NRW), and actions to steadily reduce NRW and/or unaccounted for water. It will incentivize steady expansion of metering and use of volumetric tariffs as a crucial step in influencing user behavior and enhancing demand-side management. The CMWSSB will also initiate reforms to strengthen the quality and accountability of service delivery improvements. Key activities include a tripartite agreement on improving service delivery performance between GoTN, CMWSSB and GCC, including targets for a phased improvement of services in duration, volume and quality of supply at the customer end as well as tangible reduction in NRW in select zones and areas of the city; establishment of two independent directors on CMWSSB Board for greater transparency and improved services; annual publication and disclosure of customer report card to enhance the quality of customer feedback; and establishment of working arrangements between GCC and CMWSSB to ensure greater coordination between the agencies. This DLI also supports a phased increase in the number of water supply connections for assured water supply, including a robust baseline on quality and quantity of service delivery.

***Results Area 3: Improving financial sustainability of urban services.*** Under this results area, support will be provided to MTC, CMWSSB and GCC to improve their overall financial performance and, especially, the financial sustainability of selected services.

- i. *Activity 1 – Strengthen the financial resource base of GCC* to meet the expanding service delivery expenditures in solid waste, public health and other key municipal services through steady increase in own-source revenues (OSR). This includes (i) policy reforms to revise the property tax rates in GCC area, and (ii) development and implementation of an OSR improvement action plan that includes improvements in its property tax system and fees for services such as SWM and parking.
- ii. *Activity 2 – Improve the O&M cost recovery of WSS services delivered by CMWSSB.* This activity will support (i) policy reforms and implementation of a progressive user charge volumetric framework for water supply and sewerage services, and (ii) reduction of operational inefficiencies and costs, for instance, through adoption of energy efficiency measures. The user charge framework will be designed to fully cover O&M costs of WSS service delivery.
- iii. *Activity 3 – Improve revenues and establish transparent VGF mechanisms for MTC.* This activity will include support for improving MTC’s cost recovery ratio by increasing own revenues, both through enhancement of non-fare box revenues and adoption of mechanisms for regular tariff increase for bus services. In addition, a transparent mechanism will be established to deliver viability gap funding from GoTN to MTC.

### 3.2 Objective of the Assignment:

The objective of the consultancy is to design, undertake and provide regular, high quality independent verification of the achievement of the 10 DLIs as agreed under the World Bank supported Chennai City Partnership Urban Services Program for Results.

### 3.3 Scope of work

- (a) The achievement of DLIs triggers World Bank and co-financier disbursements to the Program, requiring independent verification of progress and achievement of the agreed performance targets. Therefore, the timely, accurate verification of progress is critical to the incentivization of performance from the implementing agencies and the progress of the Program. Verification will be done through routine assessment of each DLI's progress toward the achievement target. The list of DLIs and targets is provided as Annex 2, the description of the DLI targets as Annex 3 and verification protocol is included as Annex 4. The DLIs, targets and draft protocol referenced in the Annexes are preliminary and will be subject to changes and finalization following agreement with the implementing entities by project effectiveness.
- (b) Verification of DLIs under the Program will require a comprehensive plan and clear delineation of measurement protocols and methodology, close correspondence with implementing entities (TNIDB, CUMTA, GCC, MTC, WRD and CMWSSB) to report milestone progress and clear, agreed timelines for reporting milestones. DLIs will also require different data collection and reporting approaches that span different sectors and results types. For example, DLI 2 will require the submission and verification of different types of staffing and operational planning documents that will be produced for use by the Chennai Unified Metropolitan Transportation Authority. DLIs 7.2,7.3 and 7.5, as well as DLI 8.3 relate to improvements in water services and will require assessments of annual achievements against a baseline and field checks in properties, households and water distribution systems, along with regular monitoring based on standard reports produced by CMWSSB to inform the performance relative to the DLI targets. The consultant will also be responsible for the verification of Prior Results – which are DLIs that have been achieved prior to the approval of the project by the Board of the World Bank.
- (c) The consultant will also be responsible for regular reporting on implementation or data collection challenges as part of the assignment. The purpose of this would be to help the World Bank and GoTN to identify implementation bottlenecks or gaps in order to address them for the timely achievement of Program results.

### 3.4 Deliverables

The assignment will include the following deliverables:

1. **Inception report.** The consultant will prepare an inception report detailing the scope and approach to the assignment, including a preliminary methodology, timeline, work plan and identification of potential risks or challenges to the completion of the assignment as well as ways to address them. The methodology proposed by the consultant should review indicative data sources for verification of results (i.e. reports, database, IT systems, etc that will be used by the IAs to report on the DLIs achievements) supplemented by other verification sources, such as field checks, random beneficiaries interviews, etc.



**2. Final Design of the verification protocol and verification implementation plan.** In consultation with the Bank team and drawing from the approved Inception report, the consultant will review existing proposed verification methods and protocols and develop a final verification plan for each DLI under the Program. The verification plan should detail the content of information/data/documentation, timing, staffing/resources required for verification and the sequence and processing for reviewing, verifying and initiating disbursement upon achievement of each DLI milestone. Where applicable (such as DLIs 7.2, 7.3, 7.5, DLI 8.3) the methodology should also propose sampling and stratification methods, margins of error and other statistical parameters that could confirm the credibility of the verification of results.

Rather than planning to complete verification of all of the DLIs together before reporting the Verification report, the consultant should evaluate the potential for delays in verifying certain DLIs and optimize the verification plan to ensure that the verification of results for the ‘quicker-to-verify DLIs’ is not held up by delays in verifying other DLIs. For example, DLIs that will be verified based on the approval of a new policy or plan (eg. DLI 7.1 and 8.2) could be verified earlier, while DLI that require field checks will take longer. The consultant should consult closely with the GoTN and the World Bank team when developing the verification plan. The detailed verification protocol and design will be finalized in consultation with GoTN and the World Bank team.

**3. Tools and materials for verifications.** Drawing from the verification plan, the consultant should develop all the required data collection tools, methodologies and instruments (reporting templates, questionnaires, surveys and so forth) for use in verification for each of the DLIs. The tools, instruments and sampling/collection methodologies would be developed with and to the satisfaction of the World Bank. For the DLIs that require field checks, a pilot should be conducted upfront to calibrate the questionnaires and/or procedures to access field spots (such as households or locations where meters are placed). The results from the pilot should be shared and validated with the Bank and GoTN before the full field verification starts. The consultant is responsible to obtain all needed government approvals to carry out field work across the City.

**4. Undertaking the verification of DLIs.** The consultant will be responsible for undertaking verification of the DLIs in a transparent and independent manner that provides clear and robust evidence for timely decision-making for disbursements to GoTN by the World Bank. Verification of the DLIs will be submitted in the form of a Semi-Annual Verification Report to a steering committee under the PIU. All DLIs with targets to be achieved in a certain year must be verified at least once a year, and scalable DLIs must have also a semi-annual verification as well. Field verification must be completed within threeweeks of the Project Monitoring Unit’s reporting on the DLI achievement and will be completed within one month of the start of the verification process. For each DLI, a proposed verification protocol is outlined in Annex 4. Any changes or refinements should be agreed with the World Bank and included as inputs to Deliverables 1 and 2 above. . Verification of elements of both DLI 7 and DLI 8 will require field work by the consultant. The outline methodology for this field work is described in Section 3.5 below. The frequency of verification shall be Semi-Annual.

### **3.5 Field Work Outline Methodology.**

This section presents the outline methodology for the field work required to verify elements of DLI 7 (7.2, 7.3 and 7.5) Improved operational efficiency in water supply and DLI 8 (8.3) Improved access to water supply services. The consultant should develop this outline methodology further in consultation with GoTN and the World Bank team and include it in the verification plan, including details such as sample size, margins of errors and arrangements for stratification. The outline methodology will be reviewed by the GoTN and the World Bank team on an annual basis.



### ***DLI 7: Improved operational efficiency in water supply***

In year 1 of the Program, the consultant will physically verify the implementation of DLI 7.2 (bulk water metering). Physical verification will be through spot checks of at least 10% of the bulk meters reported to be installed, to confirm that installation of the bulk meters has taken place, that they are operational, and that they are being read regularly and reported in respective (official) metering report.

In years 2<sup>1</sup>, 3, 4 and 5 of the Program, the consultant will physically verify the results reported against the target of metering of 90% of high-rise and commercial connections (DLI 7.3) and metering of low-rise (Ground+2 and below) domestic connections (DLI 7.5) on a stratified random sample basis (spot checks). Annual physical verification will be through random spot checks of 300-500 high-rise or commercial properties with connections for DLI 7.3 and 600-800 domestic households with connections for DLI 7.5 to confirm whether these connections are metered, and the meters are operational. The consultant should also check and that the meters are being read regularly and reported in respective (official) metering report. Sample sizes may be adjusted in consultation and agreement with GoTN and the Bank.

### ***DLI 8: Improved access to water supply services***

In years 2 to 5 of the Program, the consultant will carry out physical verification of the results reported on the percentage of additional households that are connected and receiving assured 1 hour of water supply daily, as well as those households receiving 1 hour of assured daily supply for HHs from the previous year, in years 3 to 5 of the Program in the added areas of the city.

The consultant will apply stratified random sampling to conduct annual spot checks of 600-800 households in the added areas to verify the accuracy of the data reported. Sample sizes may be adjusted in consultation and agreement with the GoTN and the Bank.

For DLI 7.3, 7.5 and 8.3, the consultant will finalize the sampling design, including selection of sampling frame, sample size, stratification, treatment of non-response and verification protocols in consultation with the GoTN and the World Bank.

All data collected in the field should be kept by the consultant throughout the duration of the program and available to the GoTN and World Bank for consultation. Data on meters, household connections, etc should be registered in an IT database. It is highly recommended that the consultant uses an online data collection application.

Ensure that appropriate (as outlined in the ESSA) environmental social management plans are implemented, particularly in physical infrastructures.

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<sup>1</sup>A program restructuring is currently under discussion in which the target year for this DLI and a few others DLIs may be extended. The Verification work should follow the latest officially approved DLI matrix and its timeline.

### 3.6 Timeline and Payment Schedule

Timeline and payment schedule are detailed below:

Deliverable	Action Description	Payment	Timeline
1	Submission and acceptance of an inception report	5percent	2 weeks from contract signing
2	Acceptance of proposed verification methodology	10 percent	2 months from contract signing
3	Submission and acceptance of Semi-Annual Verification Reports	7.5percent against each report for years 1-5	Semi-Annually
4	Submission and acceptance of final Annual Verification Report	10 percent for final year of project	Final year of project

3.6.1 The contract will cover the duration of the Program (tentatively May 2022 – Mar 2027).Theconsultants will report to TNIDB. The services shall be delivered in Chennai, Tamil Nadu.

3.6.2 The Reports should be submitted in 3 physical copies (printed back-to-back) besides providing an editable soft copy of all reports, including calculations in MS-Excelor such other workings forming part of the deliverables. In case such files are corrupted then the consultant shall be required to re-submit the same to the satisfaction of the Authority.

3.6.3 Consultants shall attend periodical reviews to be conducted by the Authority with various departments of the government. Consultants shall make presentations to Authority, to various departments and TNIDB as required during various stages of the assignment.

3.6.4 Payment relating to particular stage shall be done after approval of the respective stage report.

3.6.5 No mobilization advance will be given to the Consultant.

#### 3.6.6 Review Committee

The review committee will review the reports submitted by the Consultant. The decisions/suggestion carried out will be reviewed in the next meeting.

### 3.7 Experience,Qualifications and Level of Effort of IVA Team

Including the Team Leader, the key staff shall be constituted with senior professionals in critical sectoral and thematic areas as specified in the below table. The number of experts are indicative and the Applicants are encouraged to provide the best team composition to respond to this ToR.

An indicative description of minimum qualifications expected from the key staff is detailed below. Experience and qualifications of the key staff will be an integral part of the technical evaluation and each expert will be evaluated individually in addition to the team composition. The DLIs referred to for each position are indicative.

The indicative level of effort for the IVA Team is shown in the table below and totals 14 person months per year.

**Chief Executive Officer  
Tamil Nadu Infrastructure Development Board**

S. No	Position	DLI	Nos. Required	Person Months each Per Year	Qualification and Experience Requirement
1.	Team Leader	<i>Cross-cutting</i>	1	1	Post graduate degree in economics/ engineering/ management/ public policy or similar field with minimum 15 years of post-qualification experience in urban infrastructure sector. The Team Leader should have worked on monitoring and evaluation / Results-Based Programs for at least 1 (one) project leading multi-sectoral team for the design, collection, verification and reporting of project results in urban service delivery improvement projects, including experience in leading field work (field data collection)
2.	FM/Budget Specialists	<i>Cross-cutting</i>	2	2	Post graduate degree in accounting/ financial management/Commerce or similar field or CA with at least 10 years post qualification experience. The Specialist should have experience in project auditing or accounting/ budget review and expertise in common public accounting software and reporting formats for Government/Public Sector agencies or undertaken as assignment awarded by such entities. Familiarity with adoption protocols of sector, budget and strategic plans by Government agencies is desirable. Experience with results-based program management is desirable.
3.	Procurement specialist	<i>Cross-cutting</i>	2	2	Post graduate degree in finance/ accounting/ management/Legal or similar field. The Specialist should have at least 8 years of post-qualification experience in procurement. The specialists should have experience in procurement system reforms and strengthening and/ development or implementation of e-procurement systems/ design, development and or evaluation of performance-based contracting modalities. Experience in monitoring and reporting compiled procurement data is desirable. Familiarity with GoTN procurement procedures and standards, experience with results-based project management is desirable.
4.	Urban Specialist	<i>1 and 9</i>	1	2	Post graduate degree in urban planning/ urban governance/ public administration/ municipal finance/ public policy/ finance/management or similar field. The Specialist should have at least 12 years of post-qualification experience in urban sector. The specialist should have experience of working on urban governance and finance, including municipal reform programs related with improving institutional & financial performance of ULBs / urban sector institutions. Results-based program management experience is desirable.
5.	Health	5	1	2	Post graduate degree in public health/ health policy/ epidemiology/ healthcare quality/ hospital

S. No	Position	DLI	Nos. Required	Person Months each Per Year	Qualification and Experience Requirement
	Systems Specialist				<p>management/medicine or similar field.</p> <p>The Specialist should have at least 10 years of experience in health system strengthening in India / leading or managing aspects of hospital and or health facility operation and administration, including staffing, operations, service delivery and quality strategies and plans.</p> <p>Experience related to implementation of Global standards of improving NCD management and healthcare quality (e.g., Lancet Global Health Commission on High Quality Health Systems) /Experience in Strengthening or assessment of comprehensive primary health care/ urban healthcare delivery or implementation or progress monitoring of integrated disease surveillance program (IDSP) in line with National Quality Assurance Standards (NQAS) and familiarity with health system challenges in India is essential.</p> <p>Experience of results-based program management is desirable</p>
6.	Transport Specialist	2 and 6	1	1	<p>Post graduate degree in transport planning/engineering or similar field</p> <p>The Specialist should have at least 12 years of relevant post-qualification experience with specific experience in urban transport systems demand assessment/ transport planning/ investment planning/ contracting/ management for urban mobility or bus transport service contracting under Gross Cost Contract including development of key performance indicators, and assessment of viability gap funding.</p> <p>Experience in public transport service contracts or results-based project management is desirable.</p>
7.	Water Specialist	3,7 and 8	2	2	<p>Post graduate degree in hydraulic/ civil or municipal engineering or similar field</p> <p>Both Specialists (1 &amp; 2) should have at least 12 years' experience in water sector.</p> <p>Specialist 1: Should have experience in water resources management planning/ hydrology or hydrogeology, including substantive experience in the design and or assessment of strategies and plans for administrating water management and storage systems.</p> <p>Specialist 2: Should have experience in municipal water system design and expansion including experience in assessing municipal water connections/network expansion, metering, designing and undertaking survey tools for measuring water systems coverage and functional network expansion, as well as experience of reviewing utility financial statements.</p> <p>Experience of results-based program management is desirable.</p>

S. No	Position	DLI	Nos. Required	Person Months each Per Year	Qualification and Experience Requirement
8.	Statistical Analyst	<i>Cross-cutting</i>	1	2	Post graduate degree in statistics/ economics/ sociology or similar field with at least 10 years of post-qualification experience. The analyst must have experience in statistical analysis for program monitoring and results reporting, experience in use of statistical software, design of survey and interview questionnaires, sampling plans, data collection methodologies.

The Team leader is expected to attend all the meetings and presentations related to the project with the Authority. Other experts shall attend the meetings/presentations based on expertise required as per the deliverables/ project requirement.

In addition to the key staff, the Consultant shall propose adequate number of support staff with appropriate skills and experience.

The curriculum vitae of the Key Personnel shall be duly signed by concerned personnel.

The consultant will be responsible to mobilize, contract, train and manage the enumerators for the required field work. The quantity and quality of enumerators should be enough to comply with the timeline and other requirements of the field work. The enumerators should have previous experience in conducting field work, and they should also be trained by the consultant on a yearly basis, before the commencement of the field work, on the specificities of the program's verification protocol.



## SECTION 4. FORMATS

### FORMTECH A – Minimum Eligibility Experience

#### 1. Outline of Similar Project Experience:

S. No	Project Name	Client Name	Location	Project Fees (Rs. In Lakhs)	Total Project Cost (Rs. In Lakhs)	Date of Commencement	Date of Completion	Proof Attached

- Kindly attach Project Description Sheet(PDS)as per format given in Form TECH 5 and Relevant Proofs

**For completed Projects** - LOI/LOA/ Work Order/Agreement copy **and** Completion Certificate from client/Certificate from Statutory Auditor of applicant certifying receipt of 100% professional fee for assignment

**For Ongoing Projects** - LOI/LOA/ Work Order/Agreement copy **and** Work in Process (WIP) certificate or minutes of meeting issued by client as proof for completion of 80% of the work assigned to the applicant/certificate from Statutory Auditor certifying receipt of 80% professional fee for assignment.

2. **Financial Capacity of the Applicant** (to be enclosed by the Sole Applicant or Lead Member (in case of Consortium) of the Applicant<sup>S</sup>)

Year	2018-19	2019-20	2020-21	Average
(Rupees in Lakhs)				
Revenue from Advisory Services <sup>#</sup>				
Net worth <sup>#</sup>				

**Certificate from the Statutory Auditor**

This is to certify that .....(name of the Applicant) has received the payments shown above against the respective years on account of Revenue from Advisory Services/Consultancy fees.

Name of the audit firm:  
Seal of the audit firm

Date:

(Signature, name and designation of the Authorized signatory)

# The Applicant/Lead Member should provide the Financial Capability based on its own financial statements. Financial Capability of the Applicant's parent company or its subsidiary or any associate company will not be considered for computation of the Financial Capability of the Applicant.

**\$ Applicant to enclose Audited Balance Sheet and Profit & Loss account for last 3 years**

(Signature, name and designation of the authorized signatory)

**FORMTECH 1 – TECHNICAL PROPOSAL SUBMISSION FORM**

[On the Letter head of the Applicant (Lead Member in case of Consortium)]

Ref No:

Date:

To:

The Chief Executive Officer  
Tamil Nadu Infrastructure Development Board (TNIDB)  
Finance Department, Secretariat,  
Fort St. George, Chennai 600009.

Subject: Submission of Technical Proposal in response to your RFP for “**Appointment of Independent Verification Agency (IVA) for Assessing Disbursement Linked Indicators (DLIs) to Support Chennai City Partnership Program ~ Sustainable Urban Services Program for Results**” vide RFP No. <

Dear Sir,

1. With reference to your RFP Document dated ....., I/we, having examined all relevant documents and understood their contents, hereby submit our Technical Proposal for Selection for Appointment of Independent Verification Agency (IVA) for Assessing Disbursement Linked Indicators (DLIs) to Support Chennai City Partnership Program ~ Sustainable Urban Services Program for Results. The Proposal is unconditional and unqualified.
2. We are submitting our Proposal as [sole applicant/Consortium] [with] [insert a list with full name and address of other member of consortium].
3. I/We declare that we are not a member of any other Consortium applying for Selection as a Consultant.
4. The Bid Security of Rs. \_\_\_\_\_/- (Rupees \_\_\_\_\_) through \_\_\_\_\_ is submitted and is here by attached, in accordance with the RFP document.
5. A Power of Attorney in favor of the authorized signatory to sign and submit this Proposal and documents is attached herewith in Form TECH 3.
6. I/We agree to keep this offer valid for 120 (One Hundred and Twenty) days from the PDD specified in the RFP

7. All information provided in the Proposal is true and correct and all documents accompanying such Proposal are true copies of their respective originals.
8. This statement is made for the express purpose of appointment as the Consultant for the aforesaid work.
9. I/We shall make available to the Authority any additional information it may deem necessary or require for supplementing or authenticating the Proposal.
10. I/We acknowledge the right of the Authority to reject our application without assigning any reason or otherwise and hereby waive our right to challenge the same on any account whatsoever.
11. I/We certify that in the last 3 (three) years, we have neither failed to perform on any contract, as evidenced by imposition of a penalty by an arbitral or judicial authority or a judicial pronouncement or arbitration award against the Applicant, nor been expelled from any project or contract by any public authority nor have had any contract terminated by any public authority for breach on our part.
12. We further certify that neither we nor any of our consortium members have been barred or blacklisted by the Central Government, any State Government, a Statutory Body, any Public Sector Undertaking or any Multi-lateral funding agency, as the case may be, from participating in any project or bid, and that any such bar, if any, does not subsist as on the proposal due date for this RFP.
13. I/We further certify that no investigation by a regulatory authority is pending either against us or against our Associates or against our CEO or any of our Directors or equivalent / Proposed Key Personnel for this assignment referenced to their official representation with us.
14. I/We declare that:
  - a. I/We have examined and have no reservations to the RFP Documents, including any Addendum issued by the Authority;
  - b. I/We do not have any conflict of interest in accordance with the terms of the RFP Document;
  - c. I/We have not directly or indirectly or through an agent engaged or indulged in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice, as defined in the RFP document, in respect of any tender or request for Proposal issued by or any agreement entered into with the Authority or any other public sector enterprise or any government, Central or State; and
  - d. I/We hereby certify that we have taken steps to ensure that in conformity with the provisions of the RFP, no person acting for us or on our behalf will engage in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice.

15. I/We understand that you may cancel the Selection Process at any time and that you are neither bound to accept any Proposal that you may receive nor to select the Consultant, without incurring any liability to the Applicants in accordance with clauses of the RFP document.
16. I/We certify that in regard to matters other than security and integrity of the country, we or any of our Associates have not been convicted by a Court of Law or indicted or adverse orders passed by a regulatory authority which would cast a doubt on our ability to undertake the Consultancy for the Study or which relates to a grave offence that outrages the moral sense of the community.
17. I/We further certify that in regard to matters relating to security and integrity of the country, we have not been charge-sheeted by any agency of the Government or convicted by a Court of Law for any offence committed by us or by any of our affiliates.
18. I/We hereby irrevocably waive any right or remedy which we may have at any stage at law or howsoever otherwise arising to challenge or question any decision taken by the Authority [and/ or the Government of Tamil Nadu] in connection with the selection of Consultant or in connection with the Selection Process itself in respect of the abovementioned Study.
19. I/We agree and understand that the Proposal is subject to the provisions of the RFP document. In no case, shall I/we have any claim or right if Proposal is not opened or rejected.
20. In the event of our firm being selected as the Consultant, I/we agree to enter into a Contract in accordance with Section-5 of the RFP. We agree not to seek any changes in the aforesaid form and agree to abide by the same.
21. The Financial Proposal is being submitted in a separate cover. This Technical Proposal read with the Financial Proposal shall constitute the Application which shall be binding on us.
22. If negotiations are held during the period of validity of the Proposal, we undertake to negotiate in accordance with the RFP. Our Proposal is binding upon us, subject only to the modifications resulting from negotiations in accordance with the RFP.
23. We understand you are not bound to accept any Proposal you receive

In witness thereof, I/we submit this Proposal under and in accordance with the terms of the RFP Document.

Yours faithfully,

(Signature, name and designation of the authorized signatory)

(Name and seal of the Applicant / Lead Member)

**FORMTECH 2 – Particulars of the Applicant**

*(On the Letterhead of the Applicant)*

1.	State whether applying as Sole Applicant or Lead Member of a consortium:																																						
2.	<p>State the following:</p> <table border="1" data-bbox="298 436 1297 879"> <tr> <td data-bbox="298 436 799 531">Name of Sole Applicant/Lead Member of Consortium</td> <td data-bbox="799 436 1297 531"></td> </tr> <tr> <td data-bbox="298 531 799 590">Legal status</td> <td data-bbox="799 531 1297 590"></td> </tr> <tr> <td data-bbox="298 590 799 648">Country of incorporation</td> <td data-bbox="799 590 1297 648"></td> </tr> <tr> <td data-bbox="298 648 799 707">Registered address</td> <td data-bbox="799 648 1297 707"></td> </tr> <tr> <td data-bbox="298 707 799 766">Year of Incorporation</td> <td data-bbox="799 707 1297 766"></td> </tr> <tr> <td data-bbox="298 766 799 825">Year of commencement of business</td> <td data-bbox="799 766 1297 825"></td> </tr> <tr> <td data-bbox="298 825 799 879">Principal place of business</td> <td data-bbox="799 825 1297 879"></td> </tr> </table> <p data-bbox="298 911 1297 984">Name, designation, address and phone numbers of authorized signatory of Sole Applicant/Lead Member of Consortium</p> <table border="1" data-bbox="298 1016 1297 1423"> <tr> <td data-bbox="298 1016 799 1075">Name</td> <td data-bbox="799 1016 1297 1075"></td> </tr> <tr> <td data-bbox="298 1075 799 1134">Designation</td> <td data-bbox="799 1075 1297 1134"></td> </tr> <tr> <td data-bbox="298 1134 799 1192">Company</td> <td data-bbox="799 1134 1297 1192"></td> </tr> <tr> <td data-bbox="298 1192 799 1251">Address</td> <td data-bbox="799 1192 1297 1251"></td> </tr> <tr> <td data-bbox="298 1251 799 1310">Phone No.</td> <td data-bbox="799 1251 1297 1310"></td> </tr> <tr> <td data-bbox="298 1310 799 1369">Fax No.</td> <td data-bbox="799 1310 1297 1369"></td> </tr> <tr> <td data-bbox="298 1369 799 1423">E-mail address</td> <td data-bbox="799 1369 1297 1423"></td> </tr> </table> <p data-bbox="298 1482 1297 1556">Name, designation, address and phone numbers of Key Contact Person of the Sole Applicant/Lead Member of Consortium</p> <table border="1" data-bbox="298 1577 1297 1864"> <tr> <td data-bbox="298 1577 799 1635">Name</td> <td data-bbox="799 1577 1297 1635"></td> </tr> <tr> <td data-bbox="298 1635 799 1694">Designation</td> <td data-bbox="799 1635 1297 1694"></td> </tr> <tr> <td data-bbox="298 1694 799 1753">Company</td> <td data-bbox="799 1694 1297 1753"></td> </tr> <tr> <td data-bbox="298 1753 799 1812">Address</td> <td data-bbox="799 1753 1297 1812"></td> </tr> <tr> <td data-bbox="298 1812 799 1864">Phone No.</td> <td data-bbox="799 1812 1297 1864"></td> </tr> </table>	Name of Sole Applicant/Lead Member of Consortium		Legal status		Country of incorporation		Registered address		Year of Incorporation		Year of commencement of business		Principal place of business		Name		Designation		Company		Address		Phone No.		Fax No.		E-mail address		Name		Designation		Company		Address		Phone No.	
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	Designation																																						
	Company																																						
	Address																																						
	Phone No.																																						

	Fax No.	
	E-mail address	
3.	<p>If the Applicant is a consortium, state the following for each of the other Member Firms:</p> <ul style="list-style-type: none"> <li>i. Name of Firm</li> <li>ii. Legal Status and country of incorporation</li> <li>iii. Registered address and principal place of business</li> <li>iv. Name of Key Contact Person</li> <li>v. Address</li> <li>vi. Phone No.</li> <li>vii. Fax No.</li> <li>viii. E-mail Address</li> </ul>	
4.	<p>If the Applicant is a consortium, state the Roles and Responsibilities pertaining to the assignment for the Lead Member of the Consortium and other Member Firms of the Consortium:</p> <p>Lead Member:</p> <p>Member Firm 1:</p>	
5.	<p>For the Applicant, (in case of a consortium, for each Member), state the following information:</p> <ul style="list-style-type: none"> <li>i. In case of non-Indian Firm, does the Firm have business presence in India?  <div style="text-align: right;">Yes/No</div></li> <li>ii. If so, provide the office address(es) in India.  <ul style="list-style-type: none"> <li>Has the Applicant or any of the Members in case of a consortium been penalized by any organization for poor quality of work or breach of contract in the last five years?  <div style="text-align: right;">Yes/No</div></li> <li>iii. Has the Applicant/ or any of its Associates ever failed to complete any</li> </ul></li> </ul>	

	<p>work awarded to it by any public authority/ entity in last five years?</p> <p style="text-align: right;">Yes/No</p> <p>iv. Has the Applicant or any member of the consortium been blacklisted by any Government department/Public Sector Undertaking in the last five years and such bar subsists as on the proposal due date for this RFP?</p> <p style="text-align: right;">Yes/No</p> <p>If answer to any of the questions at (ii) to (iv) is yes, the Applicant is not eligible for this consultancy assignment</p>
6.	<p style="text-align: center;">(Signature, name and designation of the authorized signatory)</p> <p style="text-align: right;">For and on behalf of</p>

***Incorporation Certificate/Certificate of Registration of Sole Applicant/all members of Consortium as the case may be, to be enclosed.***



**FORMTECH 3 – Power of Attorney for Signing of Proposal**

Know all men by these presents, we, ..... (name of Firm and address of the registered office) do hereby constitute, nominate, appoint and authorize Mr./ Ms..... son/daughter/wife and presently residing at ....., who is presently employed with us and holding the position of ..... as our true and lawful attorney (hereinafter referred to as the “Authorized Representative”) to do in our name and on our behalf, all such acts, deeds and things as are necessary or required in connection with or incidental to submission of our Proposal for and selection as the Consultant ..... including but not limited to signing and submission of all applications, Proposals and other documents and writings, participating in pre-bid and other conferences and providing information/ responses to the Tamil Nadu Infrastructure Development Board, representing us in all matters before the Tamil Nadu Infrastructure Development Board, signing and execution of all contracts and undertakings consequent to acceptance of our Proposal and generally dealing with the Tamil Nadu Infrastructure Development Board in all matters in connection with or relating to or arising out of our Proposal for the said work and/or upon award thereof to us till the entering into of the Contractwith Tamil Nadu Infrastructure Development Board.

AND, we do hereby agree to ratify and confirm all acts, deeds and things lawfully done or caused to be done by our said Authorised Representative pursuant to and in exercise of the powers conferred by this Power of Attorney and that all acts, deeds and things done by our said Authorised Representative in exercise of the powers hereby conferred shall and shall always be deemed to have been done by us.

IN WITNESS WHEREOF WE, ..... THE ABOVE NAMED PRINCIPAL HAVE EXECUTED THIS POWER OF ATTORNEY ON THIS ..... DAY OF ....., 2020.

For .....

(Signature, name, designation and address)

Witnesses:

- 1.
- 2.

Notarized Accepted

(Signature, name, designation and address of the Attorney)

***Notes to Power of Attorney:***

- I. *To be executed by the Lead Member in case of a Consortium.*
- II. *The mode of execution of the Power of Attorney should be in accordance with the procedure, if any, laid down by the applicable law and the charter documents of the executants(s) and when it is so required the same should be under common seal affixed in accordance with the required procedure.*
- III. *The Power of Attorney should be executed on a non-judicial stamp paper of Rs. 100 (one hundred) and duly notarized by a notary public.*
- IV. *Wherever required, the Applicant should submit for verification the extract of the charter documents and other documents such as a resolution/power of attorney in favour of the person executing this Power of Attorney for the delegation of power hereunder on behalf of the Applicant.*
- V. *For a Power of Attorney executed and issued overseas, the document will also have to be legalized by the Indian Embassy and notarized in the jurisdiction where the Power of Attorney is being issued. However, Applicants from countries that have signed the Hague Legislation Convention, 1961 need not get their Power of Attorney legalized by the Indian Embassy if it carries a conforming Apostile certificate.*
- VI. *In case the Application is signed by an Authorised Director of the Applicant, a certified copy of the appropriate resolution/ document conveying such authority may be enclosed in lieu of the Power of Attorney.*



### FORMTECH 4 – Summary of Applicant’s Experience

S.No	Project Name	Client Name	Location	Project Fees(Rs. In Lakhs)	Total Project Cost (Rs. In Lakhs)	Date of Commencement	Date of Completion	Proof Attached

- List down experience in relevant assignments as per the Technical Proposal Scoring matrix given in Data Sheet.
- Enclose description of Applicant’s experience mentioned above as per format given in FORM TECH-5 along with relevant proof
- Form for each member of consortium to be provided

(Signature, name and designation of the authorized signatory)

### FORMTECH 5 –Applicant’s Experience

Project Name	Country
Project location within the country	Professional staff provided by the Applicant:
Name of the client	Number of Staff provided by the Applicant:
Address and contact person (Client) Phone No: Fax No. Email id:	Professional staff months provided by the Applicant:
Start Date: End Date:	Value of consultancy assignment  Approx. value of services provided by Applicant
Name of Associated Consultant	No. of months of Professional Staff provided by Associated Consultants:
Name of the Key Personnel of your firm involved in the assignment	
Detailed narrative description of project:	
Description of actual services provided by your staff within the assignment	

**Attachments:**

- For completed assignments : LOI/LOA/ Work Order/Agreement copy,**and** Completion certificate from client/Certificate from Statutory auditor of applicant certifying receipt of 100% professional fee for assignment
- For ongoing assignments : LOI/LOA/ Work Order/Agreement copy,**and** Work in Process (WIP) certificate or minutes of meeting issued by client as proof for completion of 80% of the work assigned to the applicant/certificate from Statutory Auditor certifying receipt of 80% professional fee for assignment

**\* In case of Consortium form for each member of consortium to be provided.**

## FORM TECH- 6: Work Plan and Approach & Methodology Proposed

Kindly provide approach and methodology outlining various steps for performing the assignment / project

- a. ***Proposed Technical Approach & Methodology:*** Please explain your understanding of the objectives of the assignment as outlined in the Terms of Reference (TORs), the approach, and the methodology you would adopt for implementing the tasks to deliver the expected output(s), and the degree of detail of such output. **Please do not repeat/copy the TORs in here.**
- b. ***Work plan:*** Please outline the plan for the implementation of the main activities/tasks of the assignment, their content and duration, phasing and interrelations, milestones, and tentative delivery dates of the reports. The proposed work plan should be consistent with the approach and methodology, showing your understanding of the TOR and ability to translate them into a feasible working plan. A list of the final documents (including reports) to be delivered as final output(s) should be included here. The work plan should be consistent with the Work Schedule at FORM TECH -7.
- c. ***Organization and Staffing:*** Please describe the structure and composition of your team, including the list of the Key Experts, Non-Key Experts and relevant technical and administrative support staff.

**FORM TECH- 7: Work Schedule Form**

S.No	Key Activity/Deliverable	Week/Months				
		1	2	3	4	n
1						
2						
3						
4						
n						

- Indicate all main activities of the assignment, including delivery of reports (e.g.: inception, interim, and final reports), and other benchmarks such as Client approvals. For phased assignments indicate activities, delivery of reports, and benchmarks separately for each phase.
- Duration of activities shall be indicated in the form of a bar chart.
- Include a legend, if necessary, to help read the chart.

**FORMTECH 8– TEAM COMPOSITION AND TASK ASSIGNED**

S. No	Name of the Key Personnel	Position	Name of the firm associated with	Educational Qualification	Relevant Experience in Number of Years	Task Assigned

1. CV of above Key PersonnelStaff shall be submitted for evaluation.
2. Applicant may also give description of Non-Key Experts

(Signature, name and designation of the authorized signatory)



### FORM TECH9– Curriculum Vitae of Key Personnel

1.	<b>Proposed Position</b>	:					
2.	<b>Name of Firm</b>	:					
3.	<b>Name of Expert</b>	:					
4.	<b>Date of Birth</b>	:	MM/DD/YYYY				
5.	<b>Nationality</b>	:					
6.	<b>Area of Specialisation</b>	:					
7.	<b>Educational Qualifications</b>	:	<b>Board /University/ Institution</b>	<b>Examination Passed</b>	<b>Month &amp; Year</b>		<b>% Marks obtained/ CGPA</b>
					<b>From</b>	<b>To</b>	
<i>(Mention in the order of recency)</i>							
8.	<b>Membership of Professional Associations</b>	:	-				
9.	<b>Other Training</b>	:	-				
10.	<b>Countries of Work Experience</b>	:	India				
11.	<b>Languages</b>	:	<b>Language</b>	<b>Speaking</b>	<b>Reading</b>	<b>Writing</b>	
12.	<b>Employment Record</b>	:	<b>Dates of employment</b>	<b>Name of employing organization</b>	<b>Positions held</b>		
<i>(Starting with present position, list in reverse order every employment held.)</i>							
13.	<b>Task Assigned for this Project</b>	:					
14.	<b>Work Undertaken that Shows the Minimum Years of Relevant Experience of the Expert and Best Illustrates the experts Capability to Handle the Tasks Assigned:</b>						
	<b>Project Name:</b>						
	<b>Year:</b>						
	<b>Location:</b>						
	<b>Client(s):</b>						
	<b>Main Project Features</b>	•					
	<b>Activities Performed:</b>	•					
	<b>Project Name:</b>						
	<b>Year:</b>						
	<b>Location:</b>						
	<b>Client(s):</b>						
	<b>Main Features</b>						
	<b>Activities Performed:</b>	•					

*(Add more rows to mention relevant projects for the key personnel)*

**Certification:**

- i. I am willing to work on the assignment and I will be available for entire duration of the project as required.
- ii. I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications and my experience.

Place.....  
Personnel)

(Signature and name of the Key

(Signature and name of the authorized signatory of the  
Applicant)

**Notes:**

- 1. Use separate form for each Key Personnel
- 2. The CV shall be signed in by both the Personnel concerned and by the Authorized Representative of the Applicant firm along with the seal of the firm.

**FORM FIN - 1 :FINANCIAL PROPOSAL SUBMISSION FORM**

**[To be provided in separate envelope)**

**[On the Applicant's Letterhead]**

Ref:

Date:

To,

The Chief Executive Officer  
Tamil Nadu Infrastructure Development Board (TNIDB)  
Finance Department, Secretariat,  
Fort St. George, Chennai 600009.

**Subject:** Financial Proposal for “Appointment of Independent Verification Agency(IVA) for Assessing Disbursement Linked Indicators (DLIs) to Support Chennai City Partnership Program ~ Sustainable Urban Services Program for Results”Vide RFP No.<>

Sir:

We, the undersigned, offer to provide the “**Appointment of Independent Verification Agency (IVA) for Assessing Disbursement Linked Indicators (DLIs) to Support Chennai City Partnership Program ~ Sustainable Urban Services Program for Results**” in accordance with your Terms of Reference and Request for Proposal (RFP)& its addendum and our Technical Proposal.

Our Financial Proposal for the said consulting services is Rs. ....[Insert amount in figures and words], exclusive of GST. We also understand that, in the case of discrepancybetween figures and words, the lower of the two shall be considered.

Our Financial Proposal shall be binding upon us.

We understand that the Authority is not bound to accept any Proposal that the Authority receives.

Thanking You

Sincerely

Authorized Signatory

Name and Title:

Name

of

Applicant:

**FORM FIN - 2: Summary of Costs**

Item	Cost (INR)	
	Amount in words	Amount in figures
<b>Cost of the Financial Proposal</b>		
Including:		
(1) Remuneration		
(2) Other expenses		
<b><u>Total Cost of the Financial Proposal:</u></b> {Should match the amount in Form FIN-1}		
<b>Indirect Local Tax Estimates – to be discussed and finalized at the negotiations if the Contract is awarded</b>		
GST		
<b>Total cost of Financial Proposal (including GST)</b>		

**FORM FIN - 3: Breakdown of Remuneration**

Information to be provided in this Form shall only be used to demonstrate the basis for the calculation of the Contract’s ceiling amount; to calculate applicable taxes at contract negotiations; and, if needed, to establish payments to the Consultant for possible additional services requested by the Client. This Form shall not be used as a basis for payments under Lump-Sum contracts

No.	Name of Expert	Position	Person-month Remuneration Rate	Time Input in Person/Month	Amount (INR)	
					Amount in words	Amount in figures
			[Home]			
			[Field]			
			[Home]			
			[Field]			
			[Home]			
			[Field]			
			[Home]			
			[Field]			
				Total Costs		

**FORM FIN - 4: Breakdown of Other Expenses**

When used for Lump-Sum contract assignment, information to be provided in this Form shall only be used to demonstrate the basis for calculation of the Contract ceiling amount, to calculate applicable taxes at contract negotiations and, if needed, to establish payments to the Consultant for possible additional services requested by the Client. This form shall not be used as a basis for payments under Lump-Sum contracts

N°	Type of Expense	Unit	Unit Cost	Quantity	Amount (INR)
	{e.g., Per diem allowances**}	{Day}			
	{e.g., Domestic/ International flights}	{Ticket}			
	{e.g., In/out airport transportation}	{Trip}			
	{e.g., Communication costs between Insert place and Insert place}				
	{ e.g., reproduction of reports}				
	.....				
<b>Total Costs</b>					

## ANNEXURE 1: Format of Bank Guarantee for Bid Security

BG No.

Date:

1. In consideration of you, <INSERT NAME OF AUTHORITY>, a company incorporated under the Companies Act, 1956, having its registered office at **[registered address of authority]**(hereinafter referred to as the “Authority” which expression shall, unless repugnant to the context or meaning thereof, include its administrators, successors and assigns) having agreed to receive the proposal of **[Name of company]**, a company registered under the Companies Act, 1956 and having its registered office at [registered address of company], [and acting on behalf of a Consortium comprising of [name of company], and [name of company] (hereinafter referred to as the “Bidder” which expression shall unless it be repugnant to the subject or context thereof include its successors and assigns), for appointment as Consultant for [name of assignment] (hereinafter referred to as the “Consultancy”) pursuant to the RFP Document No. \_\_\_\_\_ dated [date] issued in respect of the Consultancy and other related documents including without limitation the draft contract for consultancy services (hereinafter collectively referred to as “RFP Documents”), we [Name of the Bank] having our registered office at [registered address] and one of its branches at [branch address] (hereinafter referred to as the “Bank”), at the request of the Bidder, do hereby in terms of relevant clause of the RFP Document, irrevocably, unconditionally and without reservation guarantee the due and faithful fulfilment and compliance of the terms and conditions of the RFP Document by the said Bidder and unconditionally and irrevocably undertake to pay forthwith to the Authority an amount of Rs. [in figures] ([in words]) (hereinafter referred to as the “Guarantee”) as our primary obligation without any demur, reservation, recourse, contest or protest and without reference to the Bidder if the Bidder shall fail to fulfil or comply with all or any of the terms and conditions contained in the said RFP Document.
2. Any such written demand made by the Authority stating that the Bidder is in default of the due and faithful fulfilment and compliance with the terms and conditions contained in the RFP Document shall be final, conclusive and binding on the Bank. We, the Bank, further agree that the Authority shall be the sole judge to decide as to whether the Bidder is in default of due and faithful fulfilment and compliance with the terms and conditions contained in the RFP Document including, Document including without limitation, failure of the said Bidder to keep its Proposal valid during the validity period of the Proposal as set forth in the said RFP Document, and the decision of the Authority that the Bidder is in default as aforesaid shall be final and binding on us, notwithstanding any differences between the Authority and the Bidder or any dispute pending before any court, tribunal, arbitrator or any other authority.
3. We, the Bank, do hereby unconditionally undertake to pay the amounts due and payable under this Guarantee without any demur, reservation, recourse, contest or protest and without any reference to the Bidder or any other person and irrespective of whether the claim of the Authority is disputed by the Bidder or not, merely on the first demand from the Authority stating that the amount claimed is due to the Authority by reason of failure of the Bidder to fulfil and comply with the terms and conditions contained in the RFP Document including without limitation, failure of the said Bidder to keep its Proposal valid during the validity



period of the Proposal as set forth in the said RFP Document for any reason whatsoever. Any such demand made on the Bank shall be conclusive as regards amount due and payable by the Bank under this Guarantee. However, our liability under this Guarantee shall be restricted to an amount not exceeding Rs. [in figures] ([in words]).

4. This Guarantee shall be irrevocable and remain in full force for a period of 120 (one hundred and twenty) days from the Proposal Due Date and a further claim period of thirty (30) days or for such extended period as may be mutually agreed between the Authority and the Bidder, and agreed to by the Bank, and shall continue to be enforceable until all amounts under this Guarantee have been paid.
5. The Guarantee shall not be affected by any change in the constitution or winding up of the Bidder or the Bank or any absorption, merger or amalgamation of the Bidder or the Bank with any other person.
6. In order to give full effect to this Guarantee, the Authority shall be entitled to treat the Bank as the principal debtor. The Authority shall have the fullest liberty without affecting in any way the liability of the Bank under this Guarantee from time to time to vary any of the terms and conditions contained in the said RFP Document or to extend time for submission of the Proposals or the Proposal validity period or the period for conveying of Letter of Acceptance to the Bidder or the period for fulfilment and compliance with all or any of the terms and conditions contained in the said RFP Document by the said Bidder or to postpone for any time and from time to time any of the powers exercisable by it against the said Bidder and either to enforce or forbear from enforcing any of the terms and conditions contained in the said RFP Document or the securities available to the Authority, and the Bank shall not be released from its liability under these presents by any exercise by the Authority of the liberty with reference to the matters aforesaid or by reason of time being given to the said Bidder or any other forbearance, act or omission on the part of the Authority or any indulgence by the Authority to the said Bidder or by any change in the constitution of the Authority or its absorption, merger or amalgamation with any other person or any other matter or thing whatsoever which under the law relating to sureties would but for this provision have the effect of releasing the Bank from its such liability.
7. Any notice by way of request, demand or otherwise hereunder shall be sufficiently given or made if addressed to the Bank and sent by speed post/ courier or by registered post to the Bank at the address set forth herein.
8. We undertake to make the payment on receipt of your notice of claim on us addressed to [Name of bank along with branch address] and delivered at our above branch which shall be deemed to have been duly authorised to receive the said notice of claim.
9. It shall not be necessary for the Authority to proceed against the said Bidder before proceeding against the Bank and the guarantee herein contained shall be enforceable against the Bank, notwithstanding any other security which the Authority may have obtained from the said Bidder or any other person and which shall, at the time when proceedings are taken against the Bank hereunder, be outstanding or unrealised.
10. We, the Bank, further undertake not to revoke this Guarantee during its currency except with the previous express consent of the Authority in writing.
11. The Bank declares that it has power to issue this Guarantee and discharge the obligations contemplated herein, the undersigned is duly authorised and has full power to execute this Guarantee for and on behalf of the Bank.

12. For the avoidance of doubt, the Bank's liability under this Guarantee shall be restricted to Rs. [in figures] ([in words]). The Bank shall be liable to pay the said amount or anypart thereof only if the Authority serves a written claim on the Bank in accordance with paragraph 8 hereof, on or before [date].

Signed and Delivered by [name of bank]

By the hand of Mr. /Ms. [name], it's [designation] and authorised official.

(Signature of the Authorised Signatory) (Official Seal)

Notes:

- The Bank Guarantee should contain the name, designation and code number of the officer(s) signing the Guarantee.
- The address, telephone number and other details of the Head Office of the Bank as well as of issuing Branch should be mentioned on the covering letter of issuing Branch.
- The stamp papers of appropriate value shall be purchased in the name of the Bank, who issues the Bank Guarantee.
- The Bank Guarantee shall be issued by any of the Scheduled Commercial Banks in India.

## ANNEXURE2: DLI MATRIX, INDICATORS AND TARGETS<sup>2</sup>

Indicator Name	DLI	Baseline	Intermediate Targets				End Target
			1	2	3	4	
<b>Strengthening Governance and Institutions for Service Delivery</b>							
Reduction in vacancy rates of Group A & B cadre of GCC	DLI 1	Vacancy level for Group A and B cadre at 23 percent.	GCC prepares and adopts an action plan for reduction in vacancy rates of Group A & B cadres.	N/A	Vacancies in Group A & B as per revised staffing pattern lowered by 10 percentage points	N/A	Vacancies in Group A & B as per revised staffing pattern lowered to < 5 percent
Operationalization of CUMTA with enhanced capacity and control over sector budget allocation to oversee urban mobility in the metropolitan areas	DLI 2	No staff, no budget	(i) CUMTA Stage 1 staffing in place	(i) CUMTA approves CMP; (ii) CUMTA Stage 2 staffing in place	N/A	(ii) Stage 3 staffing; (iii) Approve overall sector funding annually	(i) CUMTA established and has approved sector vision (CMP); (ii) staffing in place; (iii) control over sector funding

<sup>2</sup>The DLI composition and the verification protocols described in here is subject to change until the approval of the PforR by the World Bank based on the mutual agreement between the World Bank and GoTN.

Indicator Name	DLI	Baseline	Intermediate Targets				End Target
			1	2	3	4	
Enhancing Water Security	DLI 3	No platform or enabling environment for increasing water security and reducing vulnerability for floods and droughts	New Water Act including establishment of a water regulatory authority and ground water regulation submitted to the Cabinet	Water Regulatory Authority established and operationalized for reduced vulnerability to floods and droughts  Water Security Options Study completed and adopted	Cascade Reservoir management, optimization and enhanced monitoring system operational	TBD	[SAME AS Y3] Cascade Reservoir management, optimization and enhanced monitoring system operational
Enhance efficiency and transparency of public procurement in GCC and CMWSSB (Percentage)	DLI 4	GCC : Use of e-tendering, with offline evaluation and further processing of Contracts	(i) prepare and adopt e-procurement policy including preparation/adoption of standard bidding documents for works and goods and Standrad RFP for consultancy services and (ii) training of completed for all	i) Use of additional modules of e-procurement system in at least 10 percent of the cases.(ii) Use of online evaluation for all	(i)Use of additional modules of e-procurement system in at least 20% of the cases and at least one more modules of e-procurement system in 50%	i)Use of additional modules of e-procurement system in at least 30 percent of the cases.(ii)Use of e-procurement system in 75% of eligible cases out of which at least 65% of the Contracts awarded and contract	i)Use of additional modules of e-procurement system in at least 50% of the cases.(ii) Use of e-procurement system in 100 percent of eligible cases, out of which at least 75% of the Contracts awarded and contract award disclosed within service standards

Indicator Name	DLI	Baseline	Intermediate Targets				End Target
			1	2	3	4	
			procurement staff	tenders above INR 50 lakhs and atleast 50 percent overall .	of the cases (ii) completing feasibility for backward and forward integration of e-procurement system.	award disclosed within service standards published in Citizen's Charter.	published in Citizen's Charter.
		CMWSSB :Partial Use of e-tendering, with offline evaluation and further processing of Contracts	(i) prepare and adopt e-procurement policy including preparation/adoption of standard bidding documents for works and goods and Standrad RFP for consultancy services (ii) training completed for all procurement staff	(i)achieve minimum 40 percent of their e-procurement targets as set out in the e-procurement policy. (ii) Use of additional modules of e-procurement system in at least 10% of the cases.	(i)achieve 60 percent of their e-procurement targets as set out in the e-procurement policy including 100% bids above INR 50 lakhs invited thru eprocurement and at least 50% of which use online evaluation.(ii) Use of additional modules of e-procurement system in at	(i)achieve 80 percent of their e-procurement targets as set out in the e-procurement policy including 100% bids above INR 50 lakhs invited thru eprocurement and at least 75% of which use online evaluation (ii) 65% disclosed within service standards published in Citizen's Charter(iiii) Use of additional modules of e-procurement system in at least 30% of the cases.	i)achieve 100 percent of their e-procurement targets as set out in the e-procurement policy and including 100% bids above INR 50 lakhs invited thru eprocurement and at least 75% of which use online evaluation. (ii)75% disclosed within service standards published in Citizen's Charter (iii) Use of additional modules of e-procurement system in at least 50% of the cases

Indicator Name	DLI	Baseline	Intermediate Targets				End Target
			1	2	3	4	
					least 20% of the cases.		
Strengthening GCC's health system through improved access to and quality of care	DLI 5	No Quality of Care Strategy and Operational Plan	i) Development and adoption of GCC Quality of Care Strategy and Operational Plan	(i) At least 5 UPHCs providing at least 7 out of 12 services in the CPHC package*(ii) At least 20% of public sector and private sector health facilities annually reporting P forms at least 80% of weeks*(iii) At least 5 UPHC or UCHC facilities with NQAS certification	(i) At least 20 UPHCs providing at least 7 out of 12 services in the CPHC package*(ii) At least 35% of public sector and private sector health facilities annually reporting P forms at least 80% of weeks*(iii) At least 20 UPHC or UCHC facilities with NQAS certification	i) At least 40 UPHCs providing at least 7 out of 12 services in the CPHC package*(ii) At least 50% of public sector and private sector health facilities annually reporting P forms at least 80% of weeks*(iii) At least 40 UPHC or UCHC facilities with NQAS certification	(i) At least 70 UPHCs providing at least 7 out of 12 services in the CPHC package*  (ii) At least 75% of public sector and private sector health facilities annually reporting P forms at least 80% of weeks*  (ii) at least 70 UPHC or UCHC facilities with NQAS certification
Performance-	DLI	No performance	GoTN awards	i) MTC has			MTC has 1000 buses

Indicator Name	DLI	Baseline	Intermediate Targets				End Target
			1	2	3	4	
based contracts for bus service delivery	6	contracts for bus services	performance-based contracts with MTC for efficient service delivery in bus transit	awarded performance based Gross Cost contracts with bus providers for 500 buses (ii) Allocation of budget support to MTC based on performance-based contracts			operating under gross contract
Improved operational efficiency in WSS	DLI 7	No policy for metering or bulk metering adopted by CMWSSB	Policy for metering adopted Bulk water metering implemented	Metering of 90% high-rise and commercial connections  CMWSSB awards performance-based	Metering of 30% domestic connections (G+2 and below)  NRW / unaccounted for water reduced by 5%	Metering of 50% domestic connections (G+2 and below)  NRW reduced by an additional 5% over previous year	Metering of 80% of domestic connections (G+2 and below)  NRW reduced by additional 5% on last year

Indicator Name	DLI	Baseline	Intermediate Targets				End Target
			1	2	3	4	
				contract for water supply distribution in zones 10 and 13	Incentive for every 1 % reduced		
Improved access to WSS services	DLI 8	No baseline established	CMWSSB enters into a Tripartite Service Delivery Performance Agreement with GCC and MAWS Establish service level benchmark through survey of baseline HH connections and hours of supply	(a) At least 5% increase in HH connections; (b) At least 5% additional HH connections get 1 hour of water supply.	(a) At least 5% increase in HH connections on previous year; (b) At least 5% additional HH connections get 1 hour of water supply on previous year	(a) At least 5% increase in HH connections on previous year; (b) At least 5% additional HH connections get 1 hour of water supply on previous year	a) At least 5% increase in HH connections on previous year; (b) At least 5% additional HH connections get 1 hour of water supply.
Percentage increase in GCC annual OSR	DLI 9	1240 INR crores	Preparation and adoption of OSR improvement action plan by GCC	15 percent increase in OSR over baseline	30 percent OSR increase over baseline	45 percent increase in OSR over baseline	> 45 percent increase in OSR over baseline
Improved financial performance for WSS services	DLI 10	TBD	User charges revenue > 50% of Revenue expenditure	User charges revenue > 60% of Revenue expenditure	User charges revenue > 70% of Revenue expenditure	User charges revenue > 80% of Revenue expenditure	User charges revenue at least 100% of Revenue expenditure



**ANNEXURE3: DLI RESULTS DESCRIPTIONS AND AMOUNTS**

<b>DLI 1</b>		<b>Reduction in vacancy rates of Group A&amp;B cadre of GCC</b>			
<b>Type of DLI</b>	<b>Scalability</b>	<b>Unit of Measure</b>	<b>Total Allocated Amount (USD)</b>	<b>As % of Total Financing Amount</b>	
Output	Yes	Text		15.00	0.00
<b>Period</b>	<b>Value</b>		<b>Allocated Amount (USD)</b>	<b>Formula</b>	
Baseline	Vacancy level for group A and B cadre is 23 percent				
Prior Results				0.00	
Year 1	GoTN issues a Govt. Order that provides for: (i) An updated recruitment policy for GCC that includes modality of recruitment through TNPSC for Group A & B; (ii) Revised staffing positions at GCC for Group A & B.			5.00	split two ways
Year 2				0.00	
Year 3	Vacancies in Group A & B as per revised staffing pattern lowered by 10 percentage points			5.00	
Year 4				0.00	
Year 5	Vacancies in Group A & B as per revised staffing pattern lowered to < 5 percent			5.00	

<b>DLI 2</b>		Operationalization of CUMTA with enhanced capacity and control over sector budget allocation to oversee urban mobility in the metropolitan areas			
<b>Type of DLI</b>	<b>Scalability</b>	<b>Unit of Measure</b>	<b>Total Allocated Amount (USD)</b>	<b>As % of Total Financing Amount</b>	
Output	Yes	Text	8.00	0.00	
<b>Period</b>	<b>Value</b>		<b>Allocated Amount (USD)</b>	<b>Formula</b>	
Baseline	No staff, no budget				
Prior Results	Initial staffing for CUMTA in place		0.00		
Year 1	Phase 1 staffing in place		0.50		
Year 2	(i) CMP approved and (ii) Phase 2 staffing in place [20 staff]		3.50	2 million for (i) and 1.5m for (ii)	
Year 3			0.00		
Year 4	iii) stage 3 staffing (40 staff) and iv) approve overall sector funding annually		4.00	2 million for (iii); 2 million for (iv)	
Year 5	(i) CUMTA established and has approved sector vision (CMP); (ii) staffing in place; (iii) control over sector funding		0.00		

DLI 3		Enhancing Water Security			
Type of DLI	Scalability	Unit of Measure	Total Allocated Amount (USD)	As % of Total Financing Amount	
Output	No	Text	30.00	0.00	
Period	Value		Allocated Amount (USD)	Formula	
Baseline	No platform or enabling environment for increasing water security and reducing vulnerability for floods and droughts				
Prior Results			0.00		
Year 1	GoTN adopts mechanism for operational coordination of water resources management and development, and long-term water security planning.		10.00		
Year 2	Water Security Plan completed and adopted		15.00		
Year 3			0.00		
Year 4	Cascade reservoir management, optimization and enhanced monitoring system operational		5.00		
Year 5			0.00		

<b>DLI 4</b>		<b>Enhance efficiency and transparency of public procurement in GCC and CMWSSB</b>			
<b>Type of DLI</b>	<b>Scalability</b>	<b>Unit of Measure</b>	<b>Total Allocated Amount (USD)</b>	<b>As % of Total Financing Amount</b>	
Outcome	Yes	Text	15.00	0.00	
<b>Period</b>	<b>Value</b>	<b>Allocated Amount (USD)</b>		<b>Formula</b>	
Baseline	No e-procurement system in GCC and CMWSSB				
Prior Results			0.00		
Year 1	(i) GCC and CMWSSB adopt e-procurement policy (ii) GCC and CMWSSB each achieve 25% of e-procurement targets set out in e-procurement policy		3.00		
Year 2	GCC and CMWSSB achieve 50 percent of their e-procurement targets as set out in the e-procurement policy		3.00		
Year 3	GCC and CMWSSB achieve 80 percent of their e-procurement targets as set out in the e-procurement policy		3.00		
Year 4	GCC and CMWSSB achieve 100 percent of their e-procurement targets as set out in the e-procurement policy		3.00		
Year 5	GCC and CMWSSB achieve 100 percent of their e-procurement targets as set out in the e-procurement policy		3.00		

DLI 5		Strengthening GCC's health system through improved access to and quality of care			
Type of DLI	Scalability	Unit of Measure	Total Allocated Amount (USD)	As % of Total Financing Amount	
Outcome	Yes	Text	40.00	0.00	
Period	Value		Allocated Amount (USD)	Formula	
Baseline	No GCC quality of care strategy and operational plan				
Prior Results			0.00		
Year 1	(i) Development and adoption of GCC Quality of Care Strategy and Operational Plan		4.00		
Year 2	(i) At least 5 UPHCs providing at least 7 out of 12 services in the CPHC package*(ii) At least 20% of public sector and private sector health facilities annually reporting P forms at least 80% of weeks(iii) At least 5 UPHC or UCHC facilities with NQAS certification		8.00	i) 250k per net addtl UPHC providing CPHC; 2.08m per year, iii)150k per UPHC/UCHC achieving NQAS certification	
Year 3	(i) At least 20 UPHCs providing at least 7 out of 12 services in the CPHC package*(ii) At least 35% of public sector and private sector health facilities annually reporting P forms at least 80% of weeks(iii) At least 20 UPHC or UCHC facilities with NQAS certification		8.00	i) 250k per net addtl UPHC providing CPHC; 2.08m per year, iii)150k per UPHC/UCHC achieving NQAS certification	
Year 4	(i) At least 40 UPHCs providing at least 7 out of 12 services in the CPHC package*(ii) At least 50% of public sector and private sector health facilities annually reporting P forms at least 80%		10.00	i) 250k per net addtl UPHC providing CPHC; 2.08m per year, iii)150k per UPHC/UCHC achieving NQAS certification	

	of weeks(iii) At least 40 UPHC or UCHC facilities with NQAS certification		
Year 5	(i) At least 70 UPHCs providing at least 7 out of 12 services in the CPHC package*(ii) At least 75% of public sector and private sector health facilities annually reporting P forms at least 80% of weeks(iii) At least 70 UPHC or UCHC facilities with NQAS certification	10.00	i) 250k per net addtl UPHC providing CPHC; 2.08m per year, iii)150k per UPHC/UCHC achieving NQAS certification

<b>DLI 6</b>		<b>Performance-based contracts for bus service delivery</b>			
<b>Type of DLI</b>	<b>Scalability</b>	<b>Unit of Measure</b>	<b>Total Allocated Amount (USD)</b>	<b>As % of Total Financing Amount</b>	
Outcome	Yes	Text	82.00	0.00	
<b>Period</b>	<b>Value</b>	<b>Allocated Amount (USD)</b>		<b>Formula</b>	
Baseline	0.00				
Prior Results		0.00			
Year 1		0.00			
Year 2	(i) Long term contract between DOT and MTC and viability gap funding in place; and (ii) 500 bus contracted	32.00		8.5m for i), 23.5m for ii)	
Year 3		0.00			
Year 4	500 additional buses contracted	50.00			
Year 5		0.00			

DLI 7		Improved operational efficiency in WSS			
Type of DLI	Scalability	Unit of Measure	Total Allocated Amount (USD)	As % of Total Financing Amount	
Outcome	Yes	Text	30.00	0.00	
Period	Value		Allocated Amount (USD)	Formula	
Baseline	No metering policy				
Prior Results			0.00		
Year 1	i) Policy for metering adopted ii) Bulk water metering implemente		2.00		
Year 2	i) Metering of 90% high-rise and commercial connections ii) CMWSSB awards performance-based contract for water supply distribution in zones 10 and 13		13.00		
Year 3	i) Metering of 30% domestic connections (G+2 and below) ii) NRW / unaccounted for water reduced by 5% iii) Incentive for every 1 % reduced		5.00		
Year 4	i) Metering of 50% domestic connections (G+2 and below) ii) NRW reduced by an additional 5%		5.00		
Year 5	i) Metering of 80% domestic connections (G+2 and below) ii) NRW reduced by an additional 5%		5.00		



DLI 8		Improved access to WSS services			
Type of DLI	Scalability	Unit of Measure	Total Allocated Amount (USD)	As % of Total Financing Amount	
Outcome	Yes	Text	20.00	0.00	
Period	Value		Allocated Amount (USD)	Formula	
Baseline	Baseline to be established				
Prior Results			0.00		
Year 1	Establish SLB baseline through survey including baseline HH connections; hrs of supply		4.00		
Year 2	(i) At least 5% increase in HH connections; (ii) At least 5% additional HH connections get 1 hour of water supply.		4.00		
Year 3	(i) At least 5% increase in HH connections; (ii) At least 5% additional HH connections get 1 hour of water supply.		4.00		
Year 4	(i) At least 5% increase in HH connections; (ii) At least 5% additional HH connections get 1 hour of water supply.		4.00		
Year 5	(i) At least 5% increase in HH connections; (ii) At least 5% additional HH connections get 1 hour of water supply.		4.00		

<b>DLI 9</b>		Percentage increase in GCC annual OSR			
Type of DLI	Scalability	Unit of Measure	Total Allocated Amount (USD)	As % of Total Financing Amount	
Outcome	Yes	Text	30.00	0.00	
Period	Value		Allocated Amount (USD)	Formula	
Baseline	No revenue improvement plan, Rs 1240 crores (INR) OSR from 2017/18, no revenue improvement plan				
Prior Results			0.00		
Year 1	Preparation and adoption of OSR improvement action plan by GCC		5.00		
Year 2	15 percent OSR increase on baseline		5.00		
Year 3	30 percent increase on OSR baseline		5.00		
Year 4	45 percent increase on OSR baseline		5.00		
Year 5	>45 percent increase on OSR baseline		10.00		

<b>DLI 10</b>		Improved financial sustainability and operational efficiency for WSS services			
Type of DLI	Scalability	Unit of Measure	Total Allocated Amount (USD)	As % of Total Financing Amount	
Outcome	Yes	Percentage	30.00	0.00	
Period	Value		Allocated Amount (USD)	Formula	

Baseline	0.00		
Prior Results		0.00	
Year 1	50.00	5.00	
Year 2	60.00	5.00	
Year 3	70.00	5.00	
Year 4	80.00	5.00	
Year 5	100.00	10.00	

## ANNEXURE4: DLI DISBURSEMENT ARRANGEMENTS AND VERIFICATION PROTOCOLS

*(Verification Protocols from the previous TOR to be placed here or from Draft POM)*

<b>DLI 1</b>	Reduction in vacancy rates of Group A&B cadre of GCC
<b>Description</b>	The objective of this DLI is provide incentives to GCC to strengthen institutional capacity of GCC by reducing vacancies from the current level of about 23% in Group A and B cadres that comprise the key professionals related to engineering, medical, finance, etc.
<b>Data source/ Agency</b>	GCC
<b>Verification Entity</b>	IVA
<b>Procedure</b>	This I will be verified by the IVA based on:  (I) review of the GO published by GoTN; and  (ii) At the end of the year, GCC will produce a report highlighting the existing staffing in Group A and B cadre and reduction achieved during the year through recruitments, in-house promotions, etc. This report will be reviewed by IVA and further confirmed by examination of other HR records of GCC as required.
<b>DLI 2</b>	Operationalization of CUMTA with enhanced capacity and control over sector budget allocation to oversee urban mobility in the metropolitan areas
<b>Description</b>	CUMTA approves the CMP after due consultation; puts in place its staffing In phases (phase 2 by year 2 and phase 3 by year 4) and is given authority to approve overall sector funding by year 4.
<b>Data source/ Agency</b>	CUMTA annual report
<b>Verification Entity</b>	IVA
<b>Procedure</b>	CUMTA will provide the list of parties consulted as part of the finalization of the CMP, the comments and responses made as part of the consultation , the list of adjustments made to the CMP and the Decision by CUMTA to approve the CMP.

	<p>The Verification Entity will review the consultation process and confirm its alignment with the terms of reference for the CMP update.</p> <p>Staffing for CUMTA will be increased in phases, in line with the CUMTA Operational Manual, <i>to be</i>[1] approved by CUMTA. CUMTA will provide the list of filled positions with their responsibility for review.</p> <p>The Verification Entity will review the list of filled positions compared to the Operational Manual minimum requirements [20 in year 2 and 40 in year 4] and ensure that at least the minimum number of positions is filled. Adjustments may be made in the specific positions based on the evolution of CUMTA’s responsibilities, subject to justification.</p> <p>Approval of overall sector funding pertains to all large projects (above US\$10 million) , all multimodal projects (above US\$1 million), and contracted services for which CUMTA will provide oversight. CUMTA will approve the allocation for urban mobility based on an annual proposal by its Secretariat, compiled from requests from the different agencies engaged in mobility and reviewed against the CMP vision and objectives. The list of approved activities will be passed on to the Finance and Budget department for processing. The Verification Entity will confirm that such process is followed.</p>
<b>DLI 3</b>	Enhancing Water Security
<b>Description</b>	<ul style="list-style-type: none"> <li>(i) In consultation with stakeholders, the GoTN prepares legislation regarding the management of surface and groundwater resources and that establishes a Water Regulatory Authority</li> <li>(ii) Upon the establishment of the Water Regulatory Authority, it will prepare a long-term integrated water security plan,</li> <li>(iii) WRD will prepare and submit to the GoTN a cascade reservoir decision support system</li> </ul>
<b>Data source/ Agency</b>	TN WRD
<b>Verification Entity</b>	IVA
<b>Procedure</b>	<b>Water Legislation:</b> The Government of Tamil Nadu prepares legislation regarding the management of surface and groundwater resources and that establishes a Water Regulatory Authority, headed by a Chair and composed of full-

	<p>time members in relevant disciplines and with adequate staffing, located in the office of the Institute for Water Studies (IWS) and provided with adequate resources, with a mandate to provide strategic and regulatory leadership on integrated water resources management. The Authority will establish an annual work plan and a results framework.</p> <p><b>Cascade Decision Support System (DSS):</b> A Control and Command Center for reservoirs in the Chennai basin will be established at the Dam Safety Directorate / Chief Engineer (O &amp; M) Office. The Cascade DSS will be prepared by integrating the Dynamic model developed for Water Accounting / Auditing along with the Real Time Data Acquisition (RTDAS), Real Time Decision Support System (RTDSS), and Supervisory Control and Data Acquisition (SCADA). A Technical Committee for the Cascade DSS will be established. The operation / monitoring nodes for Reservoirs Operation, Monitoring and control will be established at Chief Engineer level, involving the different stakeholder agencies.</p> <p><b>Water Security Plan:</b> The TOR for the preparation of the Water Security Plan will be prepared and agreed by the Coordination Mechanism. Consultants for the preparation of the Plan will be recruited by the WRD. The study will be overseen by the and will be submitted to the Chief Secretary for approval.</p> <p>The IVA will review whether the deliverables (Coordination Mechanism, water security Plan and cascade DSS) have been prepared in accordance with the agreed approach</p>
<b>DLI 4</b>	Enhance efficiency and transparency of public procurement in GCC and CMWSSB
<b>Description</b>	The indicator refers to the percentage of e-procurements undertaken by GCC and CMWSSB in line with targets identified in their respective e-procurement policies. Each entity will adopt an e-procurement policy in year 1
<b>Data source/ Agency</b>	GCC/CMWSSB
<b>Verification Entity</b>	IVA
<b>Procedure</b>	<p>The CMWSSB shall prepare an e-procurement policy and adopt the same in Year 0. The policy shall be considered as adopted if the GoTN approves the same and publishes the same through a notification issued by MAWS department. The targets for e-procurement and its phasing shall be confirmed and validated by CMWSSB and GoTN.</p> <ol style="list-style-type: none"> <li>1. Year 1 – CMWSSB shall complete a system study and awards contract to develop and implement e-</li> </ol>

	<p>Procurement platform. The platform shall go live from Year 1 of the program period.</p> <p>2. Year 1 to 5- CMWSSB shall be responsible for preparing the list of all the procurements initiated during the year. Based on the e-procurement policy, the CMWSSB shall categorize each of the projects as eligible for e-procurement/ not eligible. Against the list of target projects, the number of projects that were procured through the e-procurement route shall be provided.</p> <p>The IVA shall verify whether the data on the targets for e-procurement (provided by CMWSSB) is aligned with the objectives laid out under the e-procurement policy. The IVA shall also confirm and validate the level of conformance to the e-procurement targets.</p>
<b>DLI 5</b>	Strengthening GCC's health system through improved access to and quality of care
<b>Description</b>	<p>The DLI will track measures of primary health care service delivery and quality of care. This will include:</p> <ul style="list-style-type: none"> <li>(i) Expanded provision of a comprehensive package of primary health care services (CPHC) at UPHCs;</li> <li>(ii) Improved quality of care through the development, adoption and implementation of a comprehensive quality of care strategy for GCC;</li> <li>(iii) Improved quality of care through certification of GCC's UPHCs and UCHCs by National Quality Assurance Standards (NQAS);</li> </ul> <p>Improved disease surveillance through increased reporting of p-forms in public and private sector health facilities to track case incidence.</p>
<b>Data source/ Agency</b>	GCC Health Department, TN Department of Health and Family Welfare
<b>Verification Entity</b>	IVA
<b>Procedure</b>	<p>Verification protocols for DLRs:</p> <ul style="list-style-type: none"> <li>(i) Expanded provision of CPHC: HMIS and facility register reviews to ensure that at least 7 out of 12 services in the CPHC package are provided for at least 6 months of each year in each UPHC;</li> <li>(ii) GCC Quality of Care Strategy: Government Order for GCC QoC Strategy adoption; GCC QoC Strategy content review, including complementarity with GoTN QoC Strategy and detailed quality improvement initiatives by GCC; and GCC QoC Strategy Operational Plan content;</li> <li>(iii) NQAS certification of health facilities: Copies of NQAS certificates for UPHCs and UCHCs submitted to the IVA;</li> </ul>

	(iv) P-form reporting: review of administrative data to verify that facilities are providing weekly reports for at least 80% of weeks in a given year.
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<b>DLI 6</b>	Performance-based contracts for bus service delivery
<b>Description</b>	This measures the Contracted performance-based Contracts for bus services between DoT and MTC
<b>Data source/ Agency</b>	MTC, DoT
<b>Verification Entity</b>	IVA
<b>Procedure</b>	<p>DOT will establish a Public Transport Service contract for existing MTC Services starting from 2022, based on the MTC Business Plan. This contract will include key performance indicators, incentives and penalties to reflect the quality of delivery, as well as committed viability gap funding from DOT to address the shortfall between efficient service delivery and revenue collected. In 2022 10% of MTC bus services will fall under this approach. It will be followed by 30%, 70% and 100% in subsequent years.</p> <p>MTC will award competitively Gross Cost Contracts for new bus services starting from 2022. Those contracts will include key performance indicators, incentives and penalties to reflect the quality of delivery by private bus service providers, operating under the aegis and name of MTC.</p> <p>The Verification Entity will confirm the award of the Public Transport Service Contract, the reporting mechanism between MTC and DOT to confirm effective implementation of the Public Transport Service Contract, the preparedness of MTC to monitor and oversee the delivery of such contract for at least 10 percent of the MTC fleet, and budget allocation to support the current viability gap funding. Confirmation that such long term contract between DOT and MTC and viability gap funding are in place in place will constitute the first trigger (i).</p> <p>The Verification Entity will confirm the award of Gross Cost Contracts, the reporting mechanism between MTC and DOT to confirm effective implementation of those, the preparedness of MTC to monitor and oversee the implementation of Gross Cost Contracts. The unit of counting will be number of buses provided under such Gross Cost Contracts.</p>



<b>DLI 7</b>	Improved operational efficiency in WSS
<b>Description</b>	The objective of the DLI is to measure the extent of improvement in the operational parameters by CMWSSB over the program period.
<b>Data source/ Agency</b>	CMWSSB
<b>Verification Entity</b>	IVA
<b>Procedure</b>	<ol style="list-style-type: none"> <li>1. <b>Establishing the baseline for NRW:</b> The CMWSSB shall undertake a detailed study to establish a baseline for NRW / Unaccounted for Water and a roadmap for improvement. The study shall also establish the approach to estimation NRW in future years. CMWSSB shall also prepare a detailed master file of consumers covering both metered and unmetered consumers. It shall also report the NRW/ Unaccounted for water at the end of the year.</li> <li>2. <b>Metering:</b> The IVA shall validate the level of metering based on the data shared by CMWSSB. The IVA will also supplement the data review with verification of select consumer bills to check the meter reading and application of volumetric tariffs.</li> <li>3. <b>NRW:</b> On the NRW verification, the IVA shall note the NRW reported by CMWSSB and check whether the NRW estimation process is aligned with the methodology/ approach recommended under the baseline study. The IVA shall confirm the extent of NRW improvement and the proportional amount of grants to be allocated for the year.</li> </ol> <p><b>Performance Contract:</b> CMWSSB shall also conduct a competitive procurement to induct a private operator to take over operations in zones X and XIII through a performance-based contract including service delivery parameters, metering, NRW reduction, tariffs, etc. The IVA shall verify whether the contractual provisions reflect the objective to achieve improvements in delivery of water services, reduction of non-revenue water and transitioning to a fully metered continuous 24x7 water supply.</p>

<b>DLI 8</b>	Improved access to WSS services
<b>Description</b>	The objective of the DLI is to strengthen the quality and accountability of the service delivery improvements. The key

	<p>activities envisaged under this DLI are listed below:</p> <ul style="list-style-type: none"> <li>• <b>Tripartite agreement on service delivery performance between GoTN, CMWSSB and GCC</b> – To ensure greater coordination between the agencies as well as greater accountability in service delivery, the GoTN shall enter into a tripartite agreement with CMWSSB and GCC. The agreement shall establish working arrangements between GCC and CMWSSB, roadmap for service delivery improvement, greater transparency in CMWSSB operations including incorporation of independent directors on CMWSSB Board, and roll out of customer report cards</li> <li>• <b>Phased increase in the number of water supply connections</b> – The objective of the activity is to show a phased increase in the number of Households connected to the piped water supply network. Towards this, CMWSSB has to ensure at least 5% additional households gain access to water supply every year.</li> </ul>
<b>Data source/ Agency</b>	CMWSSB
<b>Verification Entity</b>	IVA
<b>Procedure</b>	<p>The responsibility for data collection and reporting of the DLI falls with CMWSSB.</p> <p>In year1, the GoTN shall implement the tripartite agreement with GCC and CMWSSB covering the areas discussed above. The agreement shall stipulate that the GoTN’s grant support to CMWSSB will be subject to the adherence of the terms laid out under the said agreement. The IVA shall verify the terms of the agreement and ensure that it covers the areas stipulated in the DLI description and is in line with the objectives of strengthening the quality and accountability of the service delivery improvements.</p> <p>The responsibility for data collection and reporting on the phased improvement in water supply connections is with CMWSSB.</p> <ul style="list-style-type: none"> <li>• In case of new water connections, the CMWSSB shall keep a log of all the new water connections provided during the year, including the connection deposits, if any, collected towards the same. The IVA shall verify the number of water connections and may also conduct a sample Household verification to ensure authenticity of the data submitted.</li> <li>• In case of hours of water supply, the CMWSSB shall prepare a daily log of hours of service and pressure using data loggers installed at the pre-determined points in the distribution network. It shall also monitor the quality of water supplied at these points based on a daily sample testing process. The data shall be consolidated and submitted as a report to the IVA on an annual basis (with all the relevant backup information/ links).</li> <li>• The IVA shall check the logs for the improvement in hours of water supply in the pre-determined points vis-à-vis the previous year. Based on the extent of increase in hours of water supply reported, the IVA shall confirm the amount of</li> </ul>

grants to be allocated as per the agreement.  
The IVA shall also review the quality testing reports and ensure that it is aligned with safety norms prescribed by GoI.

<b>DLI 9</b>	Percentage increase in GCC annual OSR
<b>Description</b>	The objective of this DLI is to improve GCC's financial capacity. Hence this DLI will provide incentives to GCC improve OSR from various sources including property taxes, user charges, municipal properties, etc. Over the baseline year of FY 2017-18
<b>Data source/ Agency</b>	GCC
<b>Verification Entity</b>	IVA
<b>Procedure</b>	This will be verified by the IVA based on: (ii) review of action plan produced by GCC; and (iii) review of audited financial statements of GCC every year.
<b>DLI 10</b>	Improved financial sustainability and operational efficiency for WSS services
<b>Description</b>	This DLI shall measure the extent of cost recovery through user charges for water supply and sewerage services. The objective is to achieve 100% cost recovery through user charges and leverage the water and sewerage tax and other revenues towards capex financing. The cost recovery will be calculated based on the following method: Cost recovery = User charge on WSS / Operating costs In estimating the operating costs. The spending towards desalination plant operations will not be considered since it is expected to be met out of the Government grants. The user charge shall be as reported in the annual financial statement of CMWSSB
<b>Data source/ Agency</b>	CMWSSB
<b>Verification Entity</b>	IVA

<b>Procedure</b>	<p>The responsibility for data collection and reporting of the DLI lies with CMWSSB.</p> <ol style="list-style-type: none"><li>1. The finance section of CMWSSB shall prepare the annual financial statements reflecting the user charge revenue from WSS and the operating costs.</li><li>2. Since the detailed audit of accounts takes more than a year, the CMWSSB shall submit an undertaking confirming the figures, and these would be reconfirmed when DLIs are verified for the following year. The submissions on user charge and operating costs shall also be audited and confirmed by an external auditor).</li><li>3. The CMWSSB shall provide disaggregated information on the operating costs towards desalination plants. Only the non-desal operating costs shall be considered for estimating the cost recovery.</li></ol> <p>The IVA shall review and validate the submissions of CMWSSB on the cost recovery from WSS. The IVA shall also check whether the allocation of costs towards desalination and others is clear and transparent.</p>
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## SECTION 5. DRAFT CONTRACT

### I. Form of Contract

Contract to undertake [name of assignment]

This CONTRACT (hereinafter called the “Contract”) is made on the [Date in words] day of the month of [month] [year in ‘yyyy’ format], by and between \_\_\_\_\_, having its Registered Office at \_\_\_\_\_, hereinafter referred to as the “Client” which expression unless repugnant to context or meaning thereof shall include its successors, affiliates and assigns) of the First Part.

AND,

[Name of Consultants and registered address]

(hereinafter called the “Consultant”)

WHEREAS

- a) The Client has requested the Consultants to provide certain consulting services as defined in the General Conditions attached to this Contract (hereinafter called the “Services”);
- b) The Consultants, having represented to the Client that they have the required professional skills, personnel and technical resources, have agreed to provide the services on the terms and conditions set forth in this Contract.

NOW THEREFORE the parties hereto hereby agree as follows:

1. The following documents attached hereto shall be deemed to form an integral part of this Contract:
  - a) The General Conditions of Contract (hereinafter called “GC”);
  - b) The Special Conditions of contract (hereinafter called “SC”);
  - c) The following Appendices:

Appendix A: Terms of reference containing, inter-alia, the Description of the Services, qualification requirements of Key Personnel, reporting requirements and schedule for submission of various deliverables

Appendix B: Work Plan and Approach & Methodology, Work Schedule

Appendix C: Team Composition & Task Assigned

Appendix D: Duties of the Client

Appendix E: Summary of Costs, Breakdown of Remuneration and Breakdown of other Expenses

Appendix F: “Conformed Document” which incorporates all the changes, modifications and results of the contract negotiations

Appendix G: Negotiation submitted by Consultant

Appendix H: Copy of letter of Award/ acceptance by Consultant

Appendix I: Copy of Bank Guarantee for Performance Security

Appendix J: RFP Document with addendum & Corrigendum, clarifications

2. The mutual rights and obligations of the Client and the Consultants shall be as set forth in the Contract; in particular:
  - a) The Consultants shall carry out the Services in accordance with the provisions of the Contract; and
  - b) Client will make payments to the Consultants in accordance with the provisions of the Contract.
3. Priority of documents: The Parties expressly agree that in the event of any conflict, inconsistency or contradiction between any clauses forming part of the documents constituting the Contract, and more particularly mentioned in Clause 1 (of this contract) hereinabove, the documents shall be interpreted in the following order of precedence:
  - a) The provisions of this Contract shall override all provisions of other documents comprising the Contract.
  - b) Copy of Letter of Award/ acceptance by the Consultant
  - c) Negotiation submitted by the Consultant
  - d) Addendum/Corrigendum
  - e) the provisions of the SC shall be subject to the Contract, but shall override all provisions of other documents comprising the Contract;
  - f) the provisions of the GC shall be subject to the Contract SC, but shall take precedence over all other documents comprising the Contract; and
  - g) the Appendices shall subject to each of the Contract, SC and the GC.
  - h) Any decision of the Client in relation to the priority of documents shall be final and binding upon the Consultant.

IN WITNESS WHEREOF, the Parties hereto have caused this Contract to be signed in their respective names as of the day and year first above written.

FOR AND ON BEHALF OF \_\_\_\_\_

[Signature]

[Name]

[Designation]

FOR AND ON BEHALF OF CONSULTANTS

[Signature]

[Name]

[Designation]

Witness:

1. [Signature, name and address]

2. [Signature, name and address]

## II. General Conditions of Contract

### 1. General provisions

#### 1.1. Definitions

Unless the context otherwise requires, the following terms whenever used in this Contract have the following meanings:

- a. “Applicable Law” means the all laws, bye-laws, rules, regulations, orders, ordinances, protocols, codes, guidelines, policies, notices, directions, judgments, decrees and any other instruments having the force of law in India as they may be issued and in force from time to time;
- b. “Affiliate” means, with respect to any Party, any other entity that, directly or indirectly:
  - i. (a) Controls such Party; (b) is Controlled by such Party; (c) is Controlled by the same person who, directly or indirectly, Controls such Party; and “Control” with respect to any person, shall mean: (a) the possession, directly or indirectly, of the power to direct or cause the direction of the management and policies of such person whether through the ownership of voting share capital, by agreement or otherwise or the power to elect more than one-half of the directors, partners or other individuals exercising similar authority with respect to such person; (b) the possession, directly or indirectly, of a voting interest of more than 50%; and the terms “Controlling” and “Controlled by” shall be construed accordingly;
- c. “Client/Authority” means the Party named in the Contract, who employs the Consultant;
- d. “Consultant” or “Consultants” means the party named in the Contract, who is employed as an independent professional firm by the Client to perform the Services;
- e. “Contract” means the Contract signed by the Parties, to which these General Conditions of Contract (GC) constitute a part, together with all other documents listed in this signed Contract;
- f. “Contract Price” means the price to be paid for the performance of the Services;
- g. “GC” means the General Conditions of Contract;
- h. “Government” means the Government of India (GOI) and the Government of Tamil Nadu (GoTN);
- i. “Local Currency” means Indian Rupees (INR);
- j. “Member”, in case the Consultants consist of a joint venture of more than one entity, means any of these entities, and “Members” means all of these entities; “Lead Member” or “Member in Charge” means the entity specified in the SC to act on behalf of Each Member in exercising all the Consultants’ rights and obligations towards the Client under this Contract;
- k. “Material Adverse Effect” means material adverse effect on (a) the ability of the Consultant to observe and perform any of its rights and obligations under and in accordance with the provisions of this Agreement and/or (b) the legality, validity, binding nature or enforceability of this Agreement;
- l. Master Services Agreement (MSA) shall mean the same as “contract”;
- m. “Party” means the Client or the Consultants, as the case may be, and Parties means both of them;
- n. “Performance Security” shall mean the irrevocable and unconditional bank guarantee provided by the Consultant from a scheduled Indian bank as guarantee for the performance of its obligations in respect of the Contract;



- o. "Personnel" means persons hired by the Consultants or by any Sub-consultant as employees and assigned to the performance of the Services or any part thereof;
- p. "Project" means "[name of assignment]";
- q. "SC" means the Special Conditions of Contract by which these General Conditions of the Contract may be amended or supplemented;
- r. "Services" means the work to be performed by the Consultants pursuant to this Contract as described in ToR;
- s. "Sub-consultant" means any entity to which the Consultants subcontract any part of the Services in accordance with the provisions of this contract; and,
- t. "ToR" means Terms of Reference
- u. "Work Order" means a specific directive or order to perform a defined scope for a defined duration and fee.
- v. "Corrupt Practice" means the offering, giving, receiving or soliciting of anything of value to influence the action of a public official in the selection process or in contract execution.
- w. "Fraudulent Practice" means a misrepresentation of facts in order to influence a selection process or the execution of a contract to the detriment of the Client, and includes collusive practice among consultants (prior to or after submission of proposals) designed to establish prices at artificial non-competitive levels and to deprive the Client of the benefits of free and open competition.
- x. "Coercive Practice" means impairing or harming, or threatening to impair or harm, directly or indirectly, any person or property to influence any person's participation or action in the Selection Process or the exercise of its rights or performance of its obligations by the Client under this Agreement;
- y. "Undesirable Practice" means (i) establishing contact with any person connected with or employed or engaged by the Client with the objective of canvassing, lobbying or in any manner influencing or attempting to influence the Selection Process; or (ii) having a Conflict of Interest; and
- z. "Restrictive Practice" means forming a cartel or arriving at any understanding or arrangement among Bidders with the objective of restricting or manipulating a full and fair competition in the Selection Process.

1.2. Relationship between the Parties: Nothing contained herein shall be construed as establishing a relationship of master and servant or of principal and agent as between the Client and the Consultant. The Consultant, subject to this Contract, has complete charge of the Experts and Sub-consultants, if any, performing the Services and shall be fully responsible for the Services performed by them or on their behalf hereunder.

1.3. Law Governing Contract: This Contract, its meaning and interpretation, and the relation between the Parties shall be governed by the Applicable Laws of India and shall be subject to the jurisdiction of the Courts at Chennai.

1.4. Language: This Contract has been executed in English, as specified in the SC, which shall be binding and controlling language for all matters relating to the meaning or interpretation of this Contract.

- 1.5. Notices: Any notice, request or consent made pursuant to the Contract shall be in writing and shall be deemed to have been made when delivered in person to an authorized representative of the Party to whom the communication is addressed, or when sent by registered mail, telex, telegram or facsimile to such Party at the address specified in the SC.
- 1.6. Location: The Services shall be performed at the site of the Project in accordance with the provisions of RFP and at such locations as are incidental thereto, including the offices of the Consultant.
- 1.7. Authorized Representatives: Any action required or permitted to be taken, and any document required or permitted to be executed, under this Contract by the Client or the Consultants may be taken or executed by the officials in the SC.
- 1.8. Taxes and Duties: Unless otherwise specified in the SC, the Consultants, Sub-consultants and their Personnel shall pay such taxes, duties, fees and other impositions as may be levied under the Applicable Law, the amount of which is deemed to have been included in the Contract Price.
- 1.9. Interpretation: In the Contract, unless the context otherwise requires:
  - 1.9.1. The singular includes the plural and vice versa and any word or expression defined in the singular shall have a corresponding meaning if used in the plural and vice versa. A reference to any gender includes the other gender.
  - 1.9.2. A reference to any document, agreement, deed or other instrument (including, without limitation, references to the Contract), includes a reference to any document, agreement, deed or other instrument as may be varied, amended, supplemented, restated, novated or replaced, from time to time.
  - 1.9.3. A reference to any document, agreement, deed or other instrument (including, without limitation, references to the Contract), means a reference to such document, agreement, deed or other instrument and to all appendices, annexes, schedules and parts attached or relatable thereto, all of which shall form an integral part of such document, agreement, deed or other instrument, as the case may be.
  - 1.9.4. A reference to any Applicable Law includes any amendment, modification, re-enactment or change in interpretation or applicability of such Law and a reference to any statutory body or authority includes a reference to any successor as to such of its functions as are relevant in the context in which the statutory body or authority was referred to.
  - 1.9.5. Where a word or phrase has a defined meaning, any other part of speech or grammatical form in respect of the word or phrase has a corresponding meaning.
  - 1.9.6. The words 'include' and 'including' are to be construed without limitation. The terms 'herein', 'hereof', 'hereto', 'hereunder' and words of similar purport refer to the Contract as a whole. Where a wider construction is possible, the words 'other' and 'otherwise' shall not be construed ejusdem generis with any foregoing words.
  - 1.9.7. In the Contract, headings are for the convenience of reference only and are not intended as complete or accurate descriptions of the content thereof and shall not be used to interpret the provisions of the Contract.

- 1.9.8. Any obligation not to do something shall be deemed to include an obligation not to suffer, permit or cause that thing to be done. An obligation to do something shall be deemed to include an obligation to cause that thing to be done.
- 1.9.9. The rule of interpretation which requires that a Contract be interpreted against the person or Party drafting it shall have no application in the case of this Contract.
- 1.9.10. References to a person (or to a word importing a person) shall be construed so as to include:
- i. Individual, firm, partnership, trust, joint venture, company, corporation, body corporate, unincorporated body, association, organization, any government, or state or any agency of a government or state, or any local or municipal authority or other Governmental Authority (whether or not in each case having separate legal personality);
  - ii. That person's successors in title and assigns or transferees permitted in accordance with the terms of the Contract; and
  - iii. References to a person's representatives shall be to its officers, Personnel, legal or other professional advisors, subcontractors, agents, attorneys and other duly authorized representatives.

## **2. Joint and Several Liability: Collective action by Members**

- 2.1. In the event the Consultant is a joint venture /consortium, the Members shall be deemed to be jointly and severally liable to the Client for the performance of this Contract. Without prejudice to the foregoing, the Client shall be entitled to terminate this Contract in the event of any change in the structure or composition of the joint venture/ consortium, including the Member in Charge ceasing to act as such. In the event the Consultant is a joint venture/ consortium, the Performance Security may be provided by any member; provided that such Performance Security shall mention the details of this Contract and shall indicate the JV/Consortium name.
- 2.2. In the event the Consultant is a joint venture /consortium, without prejudice to the joint and several liability of all the Members, each Member agrees that it shall exercise all rights and remedies under this Contract through the Member in Charge and the Client shall be entitled to deal with such Member in Charge as the representative of all Members. Each Member agrees and acknowledges that, notwithstanding anything to the contrary in the memorandum of understanding or any other such agreement or arrangement between the Members:
- 2.2.1. any decision (including without limitation, any waiver or consent), action, omission, communication or notice of the Member in Charge on any matters related to this Contract shall be deemed to have been on its behalf and shall be binding on it. The Client shall be entitled to rely upon any such action, decision or communication from the Member in Charge;
  - 2.2.2. consolidated invoices for the Services performed by all the Members shall be prepared and submitted by the Member in Charge and the Client shall have the right to release payments solely to the Member in Charge and the Client shall not in any manner be responsible or liable for the inter se allocation of payments, works etc. among the Members;
  - 2.2.3. any notice, communication, information or documents to be provided to the Consultant shall be delivered to the authorized representative of the Consultant (as designated pursuant to Clause 1.5 of the GCC) and any such notice, communication, information or documents shall be deemed to have been delivered to all the Members.

### **3. Commencement, completion, modification and termination of contract**

- 3.1. Effectiveness of Contract: This Contract shall come into effect on the date the Contract is signed by both the Parties, or such other date as may be stated in the SC. The date the Contract comes into effect is defined as the Effective Date.
- 3.2. Commencement of Services: The Consultants shall commence the Services not later than the Effective Date specified in the SC.
- 3.3. Expiration of Contract: Unless terminated earlier pursuant to relevant clauses in this contract hereof, this Contract shall expire when Services have been completed and all payments have been made at the end of such time period after the Effective Date as shall be specified in the SC.
- 3.4. Modification: Modification of the terms and conditions of this Contract, including any modification of the scope of the Services or of the Contract Price, may only be made by written agreement between the Parties. Such modifications will be finalised based on mutual agreement between the selected consultant and authority and as per procedure laid out under the Tamil Nadu Transparency in Tenders Act, 1998 and RULES 2000 and as amended there on
- 3.5. Force Majeure

3.5.1. Definition: For the purposes of this Contract, “Force Majeure” means an event which is beyond the reasonable control of a Party, and which makes a Party’s performance of its obligations under the Contract impossible or so impractical to be considered impossible under the circumstances, and includes, but not limited to war, riots, civil disorder, earthquake, fire, explosion, storm, flood or other adverse weather conditions, strikes, lockouts or other industrial action (except where such strikes, lockouts or other industrial action are within the power of the Party invoking Force Majeure to prevent), confiscation or any other action by government agencies. Force Majeure shall not include (i) any event which is caused by the negligence or intentional action of a Party or such Party’s agents or employees, nor (ii) any event which a diligent Party could reasonably have been expected to both (A) take into account at the time of the conclusion of this Contract, and (B) avoid or overcome in the carrying out of its obligations hereunder. Force Majeure shall not include insufficiency of funds or failure to make any payment required hereunder.

3.5.2. No Breach of Contract: The failure of a party to fulfil any of its obligations under the Contract shall not be considered to be a breach of, or default under this Contract insofar as such inability arises from an event of Force Majeure, provided that the Party affected by such an event:

- i. has taken all precautions, due care and reasonable alternative measures in order to carry out the terms and conditions of this Contract, and
- ii. has informed the other party as soon as possible about the occurrence of such an event.
- iii. has informed the dates of commencement and estimated cessation of such event of Force Majeure; and

- iv. Informed the manner in which the Force Majeure event(s) affects the Party's obligation(s) under the Contract.

3.5.3. The Parties agree that neither Party shall be able to suspend or excuse the non-performance of its obligations hereunder unless such Party has given the notice specified above.

3.5.4. Measures to be taken:

- a) A Party affected by an event of Force Majeure shall take all reasonable measures to remove such Party's inability to fulfil its obligations hereunder with a minimum of delay.
- b) The Parties shall take all reasonable measures to minimize the consequences of any event of Force Majeure.
- c) A Party affected by an event of Force Majeure shall notify the other party of such event as soon as possible, and in any case not later than fourteen (14) calendar days following the occurrence of such event, providing evidence of the nature and cause of such event, and shall similarly give written notice of the restoration of normal conditions as soon as possible.

3.5.5. Extension of Time: Any period within which a Party shall, pursuant to this Contract, complete any action or task, shall be extended for a period equal to the time during which such Party was unable to perform such action as a result of Force Majeure or any other reasons, which the client agrees.

3.5.6. Payments: During the period of their inability to perform the Services as a result of an event of Force Majeure, the Consultant, upon instructions by the Client, shall either:

- a) demobilize, in which case the Consultant shall be reimbursed for additional costs they reasonably and necessarily incurred, and, if required by the Client, in reactivating the Services; or
- b) continue with the Services to the extent reasonably possible, in which case the Consultant shall continue to be paid under the terms of this Contract and be reimbursed for additional costs reasonably and necessarily incurred.

3.5.7. In the case of disagreement between the Parties as to the existence or extent of Force Majeure, the matter shall be settled according to Clauses GCC 9.

3.6. Suspension of Agreement

The Client may, by written notice of suspension to the consultant, suspend all payments to the Consultant hereunder if the Consultant shall be in breach of this Contract or shall fail to perform any of its obligations under this contract, including the carrying out of the Services; provided that such notice of suspension (i) shall specify the nature of the breach or failure, and (ii) shall provide an opportunity to the Consultant to remedy such breach or failure within a period not exceeding 30 (thirty) days after receipt by the Consultant of such notice of suspension.

#### **4. Termination**

- 4.1. By the client: The Client may terminate this Contract in case of the occurrence of any of the events specified in paragraphs (a) through (f) of this Clause. In such an occurrence the Client shall give at least thirty (30) calendar days' written notice of termination to the Consultant in case of the events referred to in (a) through (f); at least sixty (60) calendar days' written notice in case of the event referred to in (g):
- a) if the Consultant fail to remedy a failure in the performance of its obligations hereunder, as specified in a notice of suspension pursuant to Clause 3.6;
  - b) If the Consultant becomes (or, if the Consultant consists of more than one entity, if any of its members becomes) insolvent or bankrupt or enter into any agreements with their creditors for relief of debt or take advantage of any law for the benefit of debtors or go into liquidation or receivership whether compulsory or voluntary
  - c) if, as the result of Force Majeure, the Consultants are unable to perform a material portion of the Services for a period of not less than sixty (60) days;
  - d) if the Consultant fails to comply with any final decision reached as a result of arbitration proceedings pursuant to relevant clauses hereof;
  - e) if the Consultant submits to the Client a false statement which has a material effect on the rights, obligations or interests of the Client. If the Consultant places itself in position of conflict of interest or fails to disclose promptly any conflict of interest to the Client;
  - f) if the Consultant, in the judgment of the Client has engaged in Corrupt or Fraudulent Practices in competing for or in executing the Contract;
  - g) if the Client, in its sole discretion and for any reason whatsoever, decides to terminate this Contract.
- 4.2. By the Consultants: The Consultants may terminate this Contract, by not less than thirty (30) day's' written notice to the Client, such notice to be given after the occurrence of the events specified in this clause:
- i. if the Client fails to pay any money due to the Consultants pursuant to this Contract and not subject to dispute pursuant to relevant clauses hereof within forty-five (45) days after receiving written notice from the Consultants that such payment is overdue; or
  - ii. if, as the result of Force Majeure, the Consultants are unable to perform a material portion of the Services for a period of not less than sixty (60) days.
  - iii. within thirty (30) days, if the Client fails to comply with any final decision reached as a result of arbitration proceedings pursuant to relevant clauses hereof;
- 4.3. Cessation of Rights and Obligations: Upon termination of this Contract pursuant to actual Termination, or upon expiration of this Contract pursuant to relevant clause hereof, all rights and obligations of the Parties hereunder shall cease, except (i) such rights and obligations as may have accrued on the date of termination or expiration, (ii) the obligation of confidentiality set forth in relevant clause hereof, (iii) the Consultant's obligation to permit inspection, copying and auditing of their accounts and records, (iv) the rights of indemnity of the Client specified in the relevant clauses hereof and (v) any right which a Party may have under the Applicable Law.
- 4.4. Cessation of Services: Upon termination of this Contract by notice of either Party to the other pursuant to relevant clauses hereof, the Consultant shall, immediately upon dispatch or receipt of such notice, take all necessary steps to bring the Services to a close in a prompt and orderly manner and shall make every reasonable effort to keep expenditures for this purpose to a minimum. With respect to documents prepared by the Consultant and equipment and materials furnished by the

Client, the Consultant shall handover all project documents under procedure described in this contract.

4.5. Payment upon termination: Upon termination of this Contract, the Client will make the following payments to the Consultants:

- i. Payments pursuant to relevant clauses for Services satisfactorily performed prior to the effective date of termination;
- ii. If the Contract is terminated pursuant to Clause 4.1 a), b), d), e) or f), the Consultant shall not be entitled to receive any agreed payments upon termination of the Contract. However, the Client may consider to make payment for the part satisfactorily performed on the basis of the quantum merit as assessed by it, in its sole discretion, if such part is of economic utility to the Client. Under such circumstances, upon termination, the Client may also impose penalty as per the provisions of relevant clauses of this Contract. The consultant will be required to pay any such penalty to Client within 30 days of termination date.

4.6. Disputes about Events of Termination: If either Party disputes Termination of the contract under relevant clauses hereof, such Party may, within forty-five (45) days after receipt of notice of termination from the other Party, refer the matter to arbitration under relevant clauses hereof, and this Contract shall not be terminated on account of such event except in accordance with the terms of any resulting arbitral award.

## **5. Obligations of the Consultants**

5.1. General: The Consultants shall perform the Services and carry out their obligations hereunder with all due diligence, efficiency and economy, in accordance with generally accepted professional techniques and practices, and shall observe sound management practices, and employ appropriate advanced technology and safe methods. The Consultants shall always act, in respect of any matter relating to this Contract or to the Services, as faithful advisers to the Client, and shall at all times support and safeguard the Client's legitimate interests in any dealings with Sub-consultants or third parties. Since the Tamil Nadu Infrastructure Development Board is the nodal agency for development of Infrastructure in the State of Tamil Nadu, and is undertaking the assignment on behalf of the government department/agency responsible for undertaking the infrastructure development, such department/agency is to be continuously consulted, besides the Client, as a major stakeholder in the Project.

5.2. Conflict of interest

5.2.1. The Consultant shall hold the Client's interest paramount, without any consideration for future work, and strictly avoid conflict with other assignments or their own corporate interests. Any breach of an obligation under Clause 5 shall constitute a conflict of interest ("Conflict of Interest"). The Consultant shall comply and shall ensure the Sub-consultants and Affiliates of the foregoing comply with the provisions of Clause 5 and any breach of such an obligation shall constitute an event of default by the Consultant for the purposes of this Contract. The Consultant shall promptly disclose any Conflict of Interest to the Client. For the avoidance of doubt, the Consultant agrees that a disclosure of any Conflict of Interest shall not in any manner whatsoever be deemed to cure such Conflict of Interest.

5.2.2. Consultants Not to Benefit from Commissions, Discounts, etc.: The payment to the Consultants pursuant to relevant clauses hereof shall constitute the Consultant's sole payment

in connection with this Contract or the Services, and the Consultants shall not accept for their own benefit any trade commission, discount or similar payment in connection with activities pursuant to this Contract or to the Services or in the discharge of their obligations under the Contract, and the Consultants shall use their best efforts to ensure that the Personnel, any Sub-consultants and agents of either of them, similarly shall not receive any such additional payment.

- 5.2.3. Consultants and Affiliates Not to Engage in Certain Activities: The Consultants agree that, during the term of this Contract and after its termination, the Consultants and their affiliates, as well as any Sub-consultant and any of its affiliates, shall be disqualified from providing goods, works or services resulting from or directly related to the Consultant's Services for the preparation or implementation of the project, unless otherwise indicated in the SC.
- 5.2.4. Prohibition of Conflicting Activities: Neither the Consultants nor their Sub-consultants nor the Personnel shall engage, either directly or indirectly, in any of the following activities:
- i. during the term of this Contract, any business or professional activities which would conflict with the activities assigned to them under this Contract; and
  - ii. after the termination of this Contract, such other activities as may be specified in the SC.
- 5.2.5. The Consultant and its Personnel shall observe the highest standards of ethics and shall not have engaged in and shall not hereafter engage in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice (collectively the "Prohibited Practices"). Notwithstanding anything to the contrary contained in this Agreement, the Client shall be entitled to terminate this Agreement forthwith by a communication in writing to the Consultant, without being liable in any manner whatsoever to the Consultant, if it determines that the Consultant has, directly or indirectly or through an agent, engaged in any Prohibited Practices in the Selection Process or before or after entering into of this Agreement. In such an event, the Client shall forfeit and appropriate the performance security, if any, as mutually agreed genuine pre-estimated compensation and damages payable to the Client towards, inter alia, the time, cost and effort of the Client, without prejudice to the Client's any other rights or remedy hereunder or in law.
- 5.2.6. Without prejudice to the rights of the Client under Clause 5.2.5 above and the other rights and remedies which the Client may have under this Agreement, if the Consultant is found by the Client to have directly or indirectly or through an agent, engaged or indulged in any Prohibited Practices, during the Selection Process or before or after the execution of this Agreement, the Consultant shall not be eligible to participate in any tender or RFP issued during a period of 2 (two) years from the date the Consultant is found by the Client to have directly or indirectly or through an agent, engaged or indulged in any Prohibited Practices.
- 5.3. Confidentiality: The Consultants, their Sub-consultants, and the Personnel of either of them shall not, disclose any proprietary or confidential information, including information relating to reports, data, drawings, design software or other material, whether written or oral, in electronic or magnetic format, and the contents thereof; and any reports, digests or summaries created or derived from any of the foregoing that is provided by the Client to the Consultant, its Sub-Contractors and the Personnel; any information provided by or relating to the Client, its technology, technical processes, business affairs or finances or any information relating to the Client's employees, officers or other professionals or suppliers, customers, or contractors of the Client; and any other information which the Consultant is under an obligation to keep confidential relating to the Project, the Services, this



Contract or the Client's business or operations without the prior written consent of the Client. Notwithstanding the aforesaid, the Consultant, its Sub-Consultants and the Personnel of either of them may disclose Confidential Information to the extent that such Confidential Information:

- i. was in the public domain prior to its delivery to the Consultant, its Sub-Consultants and the Personnel of either of them or becomes a part of the public knowledge from a source other than the Consultant, its Sub- Contractors and the Personnel of either of them;
- ii. was obtained from a third party with no known duty to maintain its confidentiality;
- iii. is required to be disclosed by Applicable Laws or judicial or administrative or arbitral process or by any governmental instrumentalities, provided that for any such disclosure, the Consultant, its Sub- Consultants and the Personnel of either of them shall give the Client, prompt written notice, and use reasonable efforts to ensure that such disclosure is accorded confidential treatment; and
- iv. is provided to the professional advisers, agents, auditors or representatives of the Consultant or its Sub- Contractors or Personnel of either of them, as is reasonable under the circumstances; provided, however, that the Consultant or its Sub- Consultants or Personnel of either of them, as the case may be, shall require their professional advisers, agents, auditors or its representatives, to undertake in writing to keep such Confidential Information, confidential and shall use its best efforts to ensure compliance with such undertaking.

5.4. Reporting Obligations: The Consultants shall submit to the Client the reports and documents specified in ToR, in the numbers including soft copy, and within the periods set forth in this contract.

5.5. Documents Prepared by the Consultants to be the Property of the Client: All plans, drawings, specifications, designs, reports, other documents and software submitted by the Consultants pursuant to this contract shall become and remain the property of the Client, and the Consultants shall, not later than upon termination or expiration of this Contract, deliver all such documents and software to the Client, together with a detailed inventory thereof. The Consultants may retain a copy of such documents and software. Restrictions about the future use of these documents and software, if any, shall be specified in the SC. The client has full rights for reproduction of documents.

5.6. Liability of the Consultants: Subject to additional provisions, if any, set forth in the SC, the Consultants' liability under this Contract shall be as provided by the Good Industry Practise/ Applicable Law.

5.7. Insurance to be taken out by the Consultants: The Consultants (i) shall take out and maintain, and shall cause any Sub consultants to take out and maintain, at their (or the Sub consultants', as the case may be) own cost but on terms and conditions approved by the Client, insurance against the risks, and for the coverages, as shall be specified in the Special Conditions (SC), and (ii) within 15 (fifteen) days of receiving any insurance policy certificate in respect of insurances required to be obtained and maintained under this clause, the Consultant shall furnish to the Client, copies of such policy certificates, copies of the insurance certificates and evidence that the insurance premium have been paid in respect of such insurance. No insurance shall be cancelled, modified or allowed to expire or lapse during the term of this Contract. (iii) if the Consultant fails to effect and keep in force the aforesaid insurances for which it is responsible pursuant hereto, the Client will apart from having other recourse available under this Contract have the option without prejudice to the

obligations of the Consultant, to take out the aforesaid insurance, to keep in force any such insurances, and pay such premia and recover the costs thereof from the Consultants, and the Consultants shall be liable to pay such amounts on demand by the Client. (iv) Except in case of Third Party Liabilities, the insurance policies so procured shall mention the Client as the beneficiary of the Consultants and the Consultants shall procure an undertaking from the insurance company in this regard, provided that in the event the Consultant has a general insurance policy that covers the risks specified in this Contract and the amount of insurance cover is equivalent to 3 (three) times the cover required hereunder, such insurance policy may not mention the Client as the sole beneficiary of the Consultant or require an undertaking to that effect.

## **6. Consultants' personnel**

### **6.1. Description of Personnel**

6.1.1. The titles agreed job descriptions, minimum qualifications and estimated periods of engagement in the carrying out of the Services of the Consultants' core team are described in this contract. The Key Personnel listed by title at Appendix B are hereby approved by the Client.

### **6.2. Removal and/or Replacement of Key Personnel**

6.2.1. After award of contract the Client expects all the proposed Key Personnel to be available during implementation of the contract. The Client will not consider any substitution of Key Personnel except under compelling circumstances beyond the reasonable control of the Consultant such as retirement, death, medical incapacity among others, of Key Personnel

#### **(i) Until submission & acceptance of verification report of Year 2:**

- Substitution shall be limited to a maximum of Two (2) Key Personnel other than Team Leader subject to equally or better qualified and experienced personnel being provided to the satisfaction of the Client. Any subsequent substitution of key personnel would call for reduction of remuneration by 10% of the remuneration of the personnel so replaced for the remaining period till submission & acceptance of verification report of Year 2
- Requests by Consultant for replacement of Team Leader may be considered by the Client for situation beyond the reasonable control of the consultant and allowed based on merits of the case so determined by the Client, subject to equally or better qualified and experienced personnel being provided to the satisfaction of the Client. Such substitution of Team Leader shall be allowed only once. The Client may impose, at its discretion, reduction of remuneration of up to 20% of the applicable remuneration of the Team Leader for the remaining period till submission & acceptance of verification report of Year 2. Inability of consultant to deploy Team Leader for the assignment will be grounds for termination by the Client.
- Substitutions undertaken at the time of contract negotiations shall be counted while calculating the number of substitutions under this clause.

#### **(ii) Year 3 onwards till completion of contract:**

- Substitution shall be limited to a maximum of two (2) times for each of the Key Personnel subject to equally or better qualified and experienced personnel being provided to the

satisfaction of the Client. The total number of substitutions allowed overall herein shall be limited to a maximum of fifteen (15) substitutions.

- Any subsequent substitution beyond the applicable limit allowed for key personnel or overall limit, as the case may be, would call for reduction of remuneration by 10% of the remuneration of the personnel so replaced for the remaining period.
- 6.2.2. If the Client finds that any of the Personnel have (i) committed serious misconduct or has been charged with having committed a criminal action, or (ii) have reasonable cause to be dissatisfied with the performance of any of the Personnel, then the Consultants shall, at the Client's written request specifying the grounds therefore, forthwith provide as a replacement a person with qualifications and experience acceptable to the Client.
- 6.2.3. The Consultant shall have no claim for additional costs arising out of or incidental to any removal and/or replacement of Personnel.

## **7. Obligations of the client**

- 7.1. Assistance: Unless otherwise specified in the SC, the Client will use its best efforts to ensure that the Client will provide the Consultants, Sub-consultants and Personnel with authorisation letters as necessary to enable the Consultants, Sub consultants or Personnel to perform the Services:
- 7.1.1. issue to officials, agents and representatives of the Government all such instructions as may be necessary or appropriate for the prompt and effective implementation of the Services;

## **8. Payments to the consultants**

- 8.1. Payment terms: The total payment to Consultant including remuneration and other expenses shall not exceed the Contract Price and shall be a fixed lump sum fee including all staff costs, Sub-consultants' costs, printing, communications, travel, accommodation, and the like, and all other costs incurred by the Consultant in carrying out the Services. In addition to these, any conditions mentioned in the SC shall also be applicable to this contract. The Contract Price may only be increased if the parties have agreed to additional payments in accordance with relevant clauses hereof.
- 8.2. No payment shall become eligible for the next stage until the Consultant completes to the satisfaction of the Client the work pertaining to the preceding stage.
- 8.3. Currency: The price is payable in local currency i.e., Indian Rupees.
- 8.4. Payment for Additional Services: For the purpose of determining the payments due for additional services as may be agreed under relevant clauses for modification in this contract, the payment for the activities will be finalised based on mutual agreement between the selected consultant and authority and as per procedure laid out under the Tamil Nadu Transparency in Tenders Act, 1998 and RULES 2000 and as amended there on. For this purpose, a breakdown of the lump-sum price is provided at Appendix E.

## **9. Settlement of disputes**

- 9.1. Amicable Settlement: The Parties shall use their best efforts to settle amicably all disputes arising out of or in connection with this Contract or its interpretation.

9.2. Disputes Settlement: Any dispute between the Parties as to matters arising out of and relating to this Contract that cannot be settled amicably within thirty (30) days after receipt by one Party of the other Party's request for such amicable settlement may be submitted by either Party for settlement in accordance with the provision specified in the SC.

## **10. Responsibility for accuracy of project documents**

### 10.1. General

10.1.1. The Consultant shall be responsible for accuracy of the Designs, drawings, estimate and all other details prepared by him as part of these services. He shall indemnify the client against any inaccuracy in the work, which might surface during implementation of the project. The Consultant will also be responsible for correcting, at his own cost and risk, the drawings including any re-survey/ investigations and correcting layout etc. if required during the execution of the Services.

10.1.2. The Consultant shall be fully responsible for the accuracy of plans and drawings. The Consultant shall indemnify the Client against any inaccuracy / deficiency in the designs and drawings noticed and the Client will bear no responsibility for the accuracy of the designs and drawings submitted by the Consultants.

## **11. Penalty**

11.1. Penalties for delay & deficiencies: Any delay & deficiencies on part of the Consultant may attract penalty provisions in the form of fines, up to a maximum amount of 10% of the Contract Value, and/or termination by the Client. For period exceeding beyond stipulated time period, due to failure on the part of consultant, the consultant may be liable to pay to the client penalty at the rate of 1% of the Contract Value per week of delay subject to maximum of 10% of the contract value.

11.2. Encashment and appropriation of Performance Security: The Client shall have the right to encash and appropriate the proceeds of the Performance Security, in whole or in part, without notice to the consultant in the event of breach of this contract or for recovery of penalty specified in this Clause. In the event any portion of the Performance Security is appropriated by the client, then immediately following such appropriation, the consultant shall replenish the Performance Security within 1 (one) month of its appropriation, and in the event of default by the consultant, client shall have the right to take such steps as it may deem necessary, including termination of this contract.

## **12. Representation, warranties and disclaimer**

12.1. The Consultant represents and warrants to the Client that:

12.1.1. it is duly organised, validly existing and in good standing under the applicable laws of its Country;

12.1.2. it has full power and authority to execute, deliver and perform its obligations under this Contract and to carry out the transactions contemplated hereby;

12.1.3. it has taken all necessary corporate and other action under Applicable Laws and its constitutional documents to authorize the execution, delivery and performance of this Contract;

12.1.4. it has the financial standing and capacity to undertake the Project;

- 12.1.5. this Contract constitutes its legal, valid and binding obligation enforceable against it in accordance with the terms hereof;
- 12.1.6. it is subject to laws of India with respect to this Contract and it hereby expressly and irrevocably waives any immunity in any jurisdiction in respect thereof;
- 12.1.7. there are no actions, suits, proceedings, or investigations pending or, to the Consultant's knowledge, threatened against it at law or in equity before any court or before any other judicial, quasi-judicial or other authority, the outcome of which may result in the breach of or constitute a default of the Consultant under this Contract or materially affect the discharge by the Consultant of its obligations under the Contract.
- 12.1.8. no representation or warranty by the Consultant contained herein or in any other document furnished by it to the Client contains or will contain any untrue statement of material fact or omits or will omit to state a material fact necessary to make such representation or warranty not misleading; and,
- 12.1.9. no sums, in cash or kind, have been paid or will be paid, by or on behalf of the Consultant, to any person by way of fees, commission or otherwise for securing the Contract or for influencing or attempting to influence any officer or employee of the Client in connection therewith.

### **13. Miscellaneous**

#### **13.1. Assignment and Charges**

13.1.1. The Contract shall not be assigned by the Consultant save and except with prior consent in writing of the Client, which the Client will be entitled to decline without assigning any reason whatsoever.

13.1.2. The Client is entitled to assign any rights, interests and obligations under this Contract to third parties.

13.2. Indemnity: The Consultant agrees to indemnify and hold harmless the Client from and against any and all claims, actions, proceedings, lawsuits, demands, losses, liabilities, damages, fines or expenses (including interest, penalties, attorneys' fees and other costs of defence or investigation (i) related to or arising out of, whether directly or indirectly, (a) the breach by the Consultant of any obligations specified in relevant clauses hereof; (b) the alleged negligent, reckless or otherwise wrongful act or omission of the Consultant including professional negligence or misconduct of any nature whatsoever in relation to Services rendered to the Client; (c) any Services related to or rendered pursuant to the Contract (collectively "Indemnified matter"). As soon as reasonably practicable after the receipt by the Client of a notice of the commencement of any action by a third party, the Client will notify the Consultant of the commencement thereof; provided, however, that the omission so to notify shall not relieve the Consultant from any liability which it may have to the Client or the third party. The obligations to indemnify and hold harmless, or to contribute, with respect to losses, claims, actions, damages and liabilities relating to the Indemnified Matter shall survive until all claims for indemnification and/or contribution asserted shall survive and until their final resolution thereof. The foregoing provisions are in addition to any rights which the Client may have at common law, in equity or otherwise.

- 13.3. **Governing Law and Jurisdiction:** The Contract shall be construed and interpreted in accordance with and governed by the Applicable Law of India and subject to relevant clauses hereof and the SC, the Courts at Chennai, India shall have jurisdiction over all matters arising out of or relating to the Contract.
- 13.4. **Waiver**
- 13.4.1. **Waiver by either Party of any default by the other Party in the observance and performance of any provision of or obligations or under the Contract:**
- i. shall not operate or be construed as a waiver of any other or subsequent default hereof or of other provisions or obligations under the Contract;
  - ii. shall not be effective unless it is in writing and executed by a duly authorised representative of such Party; and
  - iii. shall not affect the validity or enforceability of the Contract in any manner.
- 13.4.2. **Neither the failure by either Party to insist on any occasion upon the performance of the terms, conditions and provisions of the Contract or any obligation hereunder nor time or other indulgence granted by a Party to the other Party shall be treated or deemed as waiver of such breach or acceptance or any variation or the relinquishment of any such right hereunder.**
- 13.5. **Survival:** Termination of the Contract (a) shall not relieve the Consultant or the Client of any obligations hereunder which expressly or by implication survive Termination hereof, and (b) except as otherwise provided in any provision of the Contract expressly limiting the liability of either Party, shall not relieve either Party of any obligations or liabilities for loss or damage to the other Party arising out of or caused by acts or omissions of such Party prior to the effectiveness of such Termination or arising out of such Termination.
- 13.6. **Notices:** Unless otherwise stated, notices to be given under the Contract including but not limited to a notice of waiver of any term, breach of any term of the Contract and termination of the Contract, shall be in writing and shall be given by hand delivery, recognised courier, mail, e-mail, or facsimile transmission and delivered or transmitted to the Parties at their respective addresses specified in the SC. The notices shall be deemed to have been made or delivered (i) in the case of any communication made by letter, when delivered by hand, by recognised courier or by mail (registered, return receipt requested) at that address and (ii) in the case of any communication made by email, facsimile, when transmitted properly addressed to such telex number or facsimile number.
- 13.7. **Severability:** If for any reason whatever any provision of the Contract is or becomes invalid, illegal or unenforceable or is declared by any court of competent jurisdiction or any other instrumentality to be invalid, illegal or unenforceable, the validity, legality or enforceability of the remaining provisions shall not be affected in any manner, and the Parties will negotiate in good faith with a view to agreeing upon one or more provisions which may be substituted for such invalid, unenforceable or illegal provisions, as nearly as is practicable. Provided failure to agree upon any such provisions shall not be subject to dispute resolution under the Contract or otherwise.
- 13.8. **No Partnership:** Nothing contained in the Contract shall be construed or interpreted as constituting a partnership between the Parties. Neither Party shall have any authority to bind the other in any manner whatsoever.

- 13.9. Language: All notices required to be given under the Contract and all communications, documentation and proceedings which are in any way relevant to the Contract shall be in the language specified in the SC.
- 13.10. Exclusion of Implied Warranties etc.: The Contract expressly excludes any warranty, condition or other undertaking implied at law or by custom or otherwise arising out of any other agreement between the Parties or any representation by any Party not contained in the Contract.
- 13.11. Agreement to Override Other Agreements: The Contract supersedes all previous agreements or arrangements between the Parties, including any memorandum of understanding entered into in respect of the contents hereof and represents the entire understanding between the Parties in relation thereto.
- 13.12. Counterparts: The Contract may be executed in two counterparts, each of which when executed and delivered shall constitute an original of the Contract.

### III. Special Conditions of Contract

The Special Conditions of Contract

The Special Conditions (SC) of contract contains number of amendments and supplements to clauses in the General Conditions of the Contract.

Clause No	Insertion
1.1 (f)	The contract price payable in Indian Rupees is _____ (exclusive of GST).
1.1 (j)	The Member in-charge is [name of consultant].
1.1(n)	<p>Performance security</p> <p>(i) The Consultant will furnish within fifteen (15) days of the issue of Letter of Award (LOA), an unconditional and irrevocable bank guarantee as Performance Security in the format given in “Annexure A” from a Scheduled Commercial Indian Bank for an amount equivalent to 5 (Five) percent of the total cost of Financial Proposal under this Assignment.</p> <p>(ii) The Client shall have the right to claim under the Performance Security and appropriate the proceeds if any of the following occur:</p> <ol style="list-style-type: none"> <li>the Consultant becomes liable to pay penalty.</li> <li>occurrence of any of the events listed in sub-clauses (a) through (f) of Clause 4.1 of the GCC;</li> <li>any material breach of the terms hereof; and/or</li> <li>without prejudice to paragraph above, the Consultant fails to extend the validity of the Performance Security or provide a replacement Performance Security in accordance with the provisions of this Contract.</li> </ol>
1.4	The language is English.
1.5	The client address is [name, designation, telephone, facsimile, address].
1.5	The consultant address is [name, designation, telephone, facsimile, address].
1.7	The Authorized Representative for the client is [name, designation].
1.7	The Authorized Representative for the consultant is [name, designation].
1.8	For domestic consultants/personnel and foreign consultants/personnel who are permanent residents in India The Consultants and the personnel shall pay the taxes, duties, fees, levies/expenses and other impositions levied under the existing, amended

	<p>or enacted laws during life of this contract and the Client will perform such duties in regard to the deduction of such tax as may be lawfully imposed.          &lt;GST shall be paid as per applicable rates.&gt;          All other applicable taxes, levies, duties, etc., if any, shall be borne by Consultant.</p>
3.1	The date on which this Contract will come into effect is [date].
3.3.	< Insert Date of Expiration of Contract >
5.2.3	<p>The Client reserves the right to determine on a case-by-case basis whether the Consultant should be disqualified from providing goods, works or non-consulting services due to a conflict of anature described in Clause GCC 5.2.3</p> <p>Yes</p>
5.2.4	< Insert Activities to be prohibited >
5.5	The Consultant shall not use these Project Data and Documents for purposes unrelated to this Contract without the prior written approval of the Client.
5.6	<p>Limitation of the Consultants' Liability towards the Client</p> <p>a. Except in case of negligence or wilful misconduct on the part of the Consultants or on the part of any person or firm acting on behalf of the Consultants in carrying out the Services, the Consultants, with respect to damage caused by the Consultants to the Client's property, shall not be liable to the Client:</p> <p style="padding-left: 40px;">i. for any indirect or consequential loss or damage; and</p> <p style="padding-left: 40px;">ii. For any direct loss or damage that exceeds (i) the total payments for Professional Fees and Reimbursable Expenditure made or expected to be made to the Consultants hereunder, or (ii) the proceeds the Consultants may be entitled to receive from any insurance maintained by the consultants to cover such a liability, whichever of (i) or (ii) is higher.</p> <p>b. This limitation of liability shall not affect the Consultants' liability, if any, for damage to Third Parties caused by the Consultants or any person or firm acting on behalf of the Consultants in carrying out the Services, subject, however, to a limit equal to the Contract Value.</p> <p>c. this limitation on liability shall not apply to losses or damages caused by the Consultant's fraud or wilful misconduct and liability in this case shall be actual as determined by the Good Industry Practice/Applicable law.</p>
5.7	<p>Risks and coverage</p> <p>(a) Third party motor vehicle liability insurance as required under Motor Vehicles Act, 1988 in respect of motor vehicles operated in India by the Consultants or their Personnel or any Sub consultants or their Personnel for the period of consultancy.</p> <p>(b) Third Party liability insurance with a minimum coverage equivalent to the Contract value for the period of consultancy.</p> <p>(c) Professional Liability Insurance: Consultants will maintain at its expense, Professional Liability Insurance including coverage for errors and omissions caused by Consultant's negligence, breach in the performance of its duties under this Contract from an Insurance Company permitted to offer such policies in India, for a period of one year (s) beyond completion of Consultancy Services commencing from the Effective Date, (i) For an amount not exceeding total payments for Professional Fees and Reimbursable Expenditures made or expected to be made to the Consultants hereunder or (ii)</p>



	<p>the proceeds, the Consultants may be entitled to receive from any insurance maintained by the Consultants to cover such a liability, whichever of (i) or (ii) is higher The indemnity limit in terms of “Any One Accident” (AOA) and “Aggregate limit on the policy period” (AOP) should not be less than the amount of contract value. In case of Consortium, the Lead Members shall ensure that the sum total of insurance of individual partners shall be as per the requirements of the contract.</p> <p>(d) Employer’s liability and workers’ compensation insurance shall be in respect of the Personnel of the Consultants and of any Sub consultant, in accordance with the relevant revisions of the Applicable Law, as well as, with respect to such Personnel, any such life, health, accident, travel or other insurance as may be appropriate; and all insurances and policies should start from the date of commencement of services and remain effective as per relevant requirements of contract agreement.</p> <p>(e) Any other insurance that may be necessary to protect the Client, its employees and its assets (against loss, damage or destruction, at replacement value) including rioting and all Force Majeure Events that are insurable.</p>																							
8.1	<table border="1"> <thead> <tr> <th data-bbox="298 737 459 842">Deliverable</th> <th data-bbox="472 737 740 842">Action Description</th> <th data-bbox="740 737 956 842">Payment (%)</th> <th data-bbox="956 737 1260 842">Timeline</th> </tr> </thead> <tbody> <tr> <td data-bbox="298 842 459 989">1</td> <td data-bbox="472 842 740 989">Submission and acceptance of an inception report</td> <td data-bbox="740 842 956 989">5 percent</td> <td data-bbox="956 842 1260 989">3 weeks from contract signing</td> </tr> <tr> <td data-bbox="298 989 459 1178">2</td> <td data-bbox="472 989 740 1178">Acceptance of proposed verification methodology</td> <td data-bbox="740 989 956 1178">10 percent</td> <td data-bbox="956 989 1260 1178">3 months from contract signing</td> </tr> <tr> <td data-bbox="298 1178 459 1409">3</td> <td data-bbox="472 1178 740 1409">Submission and acceptance of Semi-Annual Verification Reports</td> <td data-bbox="740 1178 956 1409">7.5 percent every 6 months for years 1-5</td> <td data-bbox="956 1178 1260 1409">Semi-Annually</td> </tr> <tr> <td data-bbox="298 1409 459 1598">4</td> <td data-bbox="472 1409 740 1598">Submission and acceptance of final Annual Verification Report</td> <td data-bbox="740 1409 956 1598">10 percent for final year of project</td> <td data-bbox="956 1409 1260 1598">Final year of project</td> </tr> </tbody> </table>	Deliverable	Action Description	Payment (%)	Timeline	1	Submission and acceptance of an inception report	5 percent	3 weeks from contract signing	2	Acceptance of proposed verification methodology	10 percent	3 months from contract signing	3	Submission and acceptance of Semi-Annual Verification Reports	7.5 percent every 6 months for years 1-5	Semi-Annually	4	Submission and acceptance of final Annual Verification Report	10 percent for final year of project	Final year of project			
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9.2	<p>Dispute settlement: If any dispute or difference of any kind whatsoever arises between the parties in connection with or arising out of or relating to or under this Contract, the parties shall promptly and in good faith negotiate with a view to its amicable resolution and settlement. In the event no amicable resolution or settlement is reached within a period of thirty days from the date on which the above-mentioned dispute or difference arose, such dispute or difference shall be finally settled by arbitration. The arbitral tribunal shall consist of a sole arbitrator appointed by mutual agreement of the parties. In case of failure of the parties to mutually agree on the name of a sole arbitrator, the</p>																							

	arbitral tribunal shall consist of three arbitrators. Each party shall appoint one arbitrator and the two arbitrators so appointed shall jointly appoint the third arbitrator. The seat of arbitration shall be Chennai and the arbitration shall be conducted in the English language. The Arbitration and Conciliation Act, 1996 shall govern the arbitral proceedings. The award rendered by the arbitral tribunal shall be final and binding on the parties. The amount payable per arbitrator in arbitration case shall be as per Arbitration council rules and procedures.
13.2	The Consultant shall, subject to the provisions of the Contract, indemnify the Client for an amount not exceeding the value of the Contract for any direct loss or damage that is caused due to any deficiency in services.

**Annexure A**

**FORMAT OF PERFORMANCE SECURITY DEPOSIT BANK GUARANTEE**

*{Guarantor letterhead or SWIFT identifier code}*

(To be stamped in accordance with Stamp Act If any, of the Country of the issuing Bank)

Bank Guarantee No.....

Date.....

To

In consideration of \_\_\_\_\_ (hereinafter referred as the “Client”, which expression shall, unless repugnant to the context or meaning thereof, include its successors, administrators and assigns) having awarded to M/s [name of consultants] a [type of company], established under laws of [country], having its office at ..... (hereinafter referred as the “Consultant” which expression shall, unless repugnant to the context or meaning thereof, include its successors, administrators, executors and assigns), an Assignment for \_\_\_\_\_ [name of assignment] vide the Client’s Letter of Award no. .... Dated ..... and the Contract to be executed for Rs. .... (Rupees .....), (hereinafter referred to as the “Contract of Consultancy services for \_\_\_\_\_) and the Consultant having agreed to furnish a Bank Guarantee amounting to Rs. .... (Rupees .....) to the Client for performance of the said Contract.

We [Name of Bank] incorporated under [law and country] having its Head Office at [address](hereinafter referred to as the Bank), which expression shall, unless repugnant to the context or meaning thereof, include its successors, administrators executors and assigns) do hereby guarantee and undertake to pay the Client immediately on demand an or, all monies payable by the Consultant to the extent of Rs. [amount in figure and words] as aforesaid at any time up to [date] without any demur, reservation, contest, recourse or protest and/ or without any reference to the Consultant. Any such demand made by the Client on the Bank shall be conclusive and binding notwithstanding any difference between the Client and the Consultant or any dispute pending before any Court, Tribunal, Arbitrator or any other authority.

We agree that the Guarantee herein contained shall be irrevocable and shall continue to be enforceable until the Client discharges this guarantee.

The Client shall have the fullest liberty without affecting in any way the liability of the Bank under this Guarantee, from time to time to vary the advance or to extend the time for performance of the Contract by the Consultant nor shall the responsibility of the bank be affected by any variations in the terms and conditions of the contract or other documents. The Client shall have the fullest liberty without affecting this guarantee, to postpone from time to time the exercise of any powers vested in them or of any right which they might have against the Client and to exercise the same at any time in any manner, and either to enforce or to forbear to enforce any covenants, contained or implied, in the Contract between the Client and the Consultant any other course or remedy or security available to the client. The Bank shall not be relieved of its obligations under these presents by any exercise by the Client of its liberty with reference to the matters aforesaid or any of them or by reason of any other act or forbearance or other acts of omission or commission on the part of the Client or any other indulgence shown by the Client or by any other matter or thing whatsoever which under law would but for this provision have the effect of relieving the Bank.

The Bank also agrees that the Client at its option shall be entitled to enforce this Guarantee against the Bank as a principal debtor, in the first instance without proceeding against the Consultant and notwithstanding any security or other guarantee that the client may have in relation to the Consultant's liabilities.

This Guarantee shall be irrevocable and shall remain in full force and effect until discharge by the Bank of all its obligations hereunder.

This Guarantee shall not be affected by any change in the constitution or winding up of the Consultant /the Bank or any absorption, merger or amalgamation of the Consultant /the bank with any other Person.

Notwithstanding anything contained herein above our liability under this guarantee is limited to Rs. [amount in figure and words] and it shall remain in force up to and including [date] and shall extend from time to time for such period(s), as may be desired by M/s [name of consultant] on whose behalf this guarantee has been given. Date this [date in words] day [month] of [year in 'yyyy' format] at [place].

WITNESS

1. [signature, name and address]

2. [signature, name and address]

[Official Address]

Designation

[With Bank Stamp]

Attorney as Per Power of Attorney No.

Dated

Strike out, whichever is not applicable.

The date will be fixed as indicated in SC