

**SELECTION OF CAPACITY BUILDING & TRAINING  
AGENCY**

**For**

**Assam State Urban Livelihoods Mission Society  
(DAY-NULM, Assam)**

LIMITED REQUEST FOR PROPOSALS

**Directorate of Municipal Administration,  
Ganeshguri, Dispur, Guwahati- 781006**

**Issued on**

Date: 18/01/2017

Ref. No. ASULMS/CB&T/2016-17/158/438

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## Section1. Letter of Invitation

RFP No. ASULMS/CB&T/2016-17/158/438

Assam

Date: 18/01/2017

Sl. No.	Name of Organisation/ Institute
1.	<b>Assam Administrative Staff College</b> Beltola Bazaar Rd, Jawaharnagar, Resham Nagar, Khanapara, Guwahati, Assam 781022 Phone: 0361-2363325 Fax: 0361-2362361, Email : <a href="mailto:director@aasc.gov.in">director@aasc.gov.in</a>
2.	<b>Indian Institute of Entrepreneurship</b> Near Game Village, Lalmati, Guwahati, Assam 781029 Phone: 0361-2300840 Fax: 0361-2300325/2305394 Email: <a href="mailto:director@iie.gov.in">director@iie.gov.in</a>
3.	<b>Omeo Kumar Das Institute of Social Change and Development</b> VIP Rd, Upper Hengrabari, Guwahati, Assam 781036 Phone: 0361-2335204 Fax: 0361-2335206 Email: <a href="mailto:dkdscd@yahoo.co.in">dkdscd@yahoo.co.in</a>
4.	<b>Tata Institute of Social Sciences</b> 14-A, Bhuvan Road, Uzanbazar, Guwahati Assam 781001 Phone: 0361-2510342/ 2736765/ 2736526 Email: <a href="mailto:tissguwahati@tiss.edu">tissguwahati@tiss.edu</a>
5.	<b>Indian Institute of Technology, Guwahati</b> Guwahati , Assam 781039 Phone: 0361-2583000 Fax: 0361-2690762 Email: <a href="mailto:pro@iitg.ernet.in">pro@iitg.ernet.in</a>
6.	<b>Rajiv Gandhi Indian Institute of Management</b> Mayurbhanj Complex, Nongthymmai, Shillong, East Khasi Hills District, Meghalaya 793014 Phone: 0364-2308000
7.	<b>Assam Institute of Management</b> Bigyan Path, Paschim Boragaon, Near IASST, Guwahati, Assam 781035 Phone: 0361-2131992 Email: <a href="mailto:mail@aimguwahati.edu.in">mail@aimguwahati.edu.in</a>
8.	<b>National Institute of Rural Develoment &amp; Panchayati Raj North Eastern Regional Centre, Guwahati</b> NIRD Lane, Jawahar Nagar Khanapara, Guwahati, Assam, 781022 Phone: 0361-2304790/2304791 Email: <a href="mailto:nirdnerc@rediffmail.com">nirdnerc@rediffmail.com</a>

Dear Mr./Ms.:

1. The Assam State Urban Livelihoods Mission Society (ASULMS) invites proposal for Selection for Capacity Building & Training Agency (hereinafter called “Services”).
2. More details on the Services are provided in the Terms of Reference (Section 5).
3. This Request for Proposal (RFP) has been addressed to the following shortlisted Organisations/ Institutes:

Sl. No.	Name of Organisation/ Institute
1.	Assam Administrative Staff College, Guwahati
2.	Indian Institute of Entrepreneurship, Guwahati
3.	Omeo Kumar Das Institute of Social Change and Development, Guwahati
4.	Tata Institute of Social Sciences, Guwahati
5.	Indian Institute of Technology, Guwahati
6.	Rajiv Gandhi Indian Institute of Management, Shillong
7.	Assam Institute of Management, Guwahati
8.	National Institute of Rural Development & Panchayati Raj North Eastern Regional Centre, Guwahati

4. It is not permissible to transfer this invitation to any other firm/ organisation.
5. An agency will be selected under **Quality & Cost Based Selection (QCBS)** procedures and in a Full Technical Proposal (FTP) format as described in this RFP.
6. The RFP includes the following documents:  
Section 1 - Letter of Invitation  
Section 2 - Instructions to Agencies (ITA)  
Section 3 – Full Technical Proposal (FTP) - Standard Forms  
Section 4 - Financial Proposal - Standard Forms  
Section 5 – Terms of Reference  
Annexure I- Evaluation Criteria of Proposals

Details on the proposal’s submission date, time and address are provided in Clauses 15.7 and 15.9 of the ITA.

Yours Sincerely,  
Sd/-

State Mission Director (ASULMS) and  
Director, Municipal Administration,  
Assam, Guwahati-6

## Section 2. Instructions to Agencies

### A. General Provisions

<b>1. Definitions</b>	(a) “Applicable Guidelines” means the policies of the ASULMS governing the Selection and Contract award process as set forth in this RFP.
	(b) “Applicable Law” means the laws and any other instruments having the force of law in the Client’s State, i.e. Assam or as they may be issued and in force from time to time.
	(c) “Client” means the implementing agency that signs the Contract for the Services with the selected Agency, i.e. <b>State Mission Director, Assam State Urban Livelihoods Mission Society (DAY-NULM, Assam), Directorate of Municipal Administration, Department of Urban Development, Government of Assam, on behalf of Ministry of Housing &amp; Urban Poverty Alleviation, Government of India.</b>
	(d) “Agency” means a legally-established organisation, institute or an entity that may provide or provides the Services to the Client under the Contract.
	(e) “Contract” means a legally binding written agreement signed between the Client and the Agency.
	(f) “Day” means a calendar day.
	(g) “Experts” means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Agency, Sub-agency or Joint Venture member(s).
	(h) “Government” means the government of the Client’s country/state.
	(i) “Joint Venture (JV)” means an association with or without a legal personality distinct from that of its members, of more than one Agency where one member has the authority to conduct all business for and on behalf of any and all the members of the JV, and where the members of the JV are jointly and severally liable to the Client for the performance of the Contract.
	(j) “Key Expert(s)” means an individual professional whose skills, qualifications, knowledge and experience are critical to the performance of the Services under the Contract and whose CV is taken into account in the technical evaluation of the Agency’s proposal.
	(k) “ITA” (this Section 2 of the RFP) means the Instructions to Agencies that provides the shortlisted Agencies with all information needed to

	<p>prepare their Proposals.</p> <p>(l) "LOI" (Section 1 of the RFP) means the Letter of Invitation being sent by the Client to the shortlisted Agencies.</p> <p>(m) "Non-Key Expert(s)" means an individual professional provided by the Agency or its Sub-agency and who is assigned to perform the Services or any part thereof under the Contract and whose CVs are not evaluated individually.</p> <p>(n) "Proposal" means the Technical Proposal and the Financial Proposal of the Agency.</p> <p>(o) "RFP" means the Request for Proposals to be prepared by the Client for the selection of Agencies.</p> <p>(p) "Services" means the work to be performed by the Agency pursuant to the Contract.</p> <p>(q) "Sub-agency" means an entity to which the Agency intends to subcontract any part of the Services while remaining responsible to the Client during the performance of the Contract.</p> <p>(r) "TOR" (Section 5 of the RFP) means the Terms of Reference that explain the objectives, scope of work, activities, and tasks to be performed, respective responsibilities of the Client and the Agency, and expected results and deliverables of the assignment.</p>
<p><b>2. Introduction</b></p>	<p>2.1 The Client intends to select an Agency from those listed in the Letter of Invitation, in accordance with the Quality &amp; Cost Based Selection (QCBS) method.</p> <p>2.2 The shortlisted Agencies are invited to submit a Technical Proposal and a Financial Proposal for services required for the assignment named <b>Capacity Building &amp; Training Agency for Assam State Urban Livelihoods Mission Society (DAY-NULM, Assam)</b>. The Proposal will be the basis for negotiating and ultimately signing the Contract with the selected Agency.</p> <p>2.3 The Agencies should familiarize themselves with the local conditions and take them into account while preparing their Proposals; including attending a pre-proposal conference the details of which are as follows:  <b>Date of pre-proposal conference: 4<sup>th</sup> February, 2017; Time: 11 A.M.</b>  <b>Address: Conference Hall, ASULMS, Directorate of Municipal Administration, Dispur, Guwahati, Assam, 781006</b>  <b>Telephone: 0361-2261436</b>  <b>Facsimile: 0361- 2235165</b>  <b>E-mail: spmhr.asulms@gmail.com</b>  <b>Contact person/conference coordinator: Bidyut Choudhury, State Project Manager, HRA, CB&amp;T, ASULMS</b>  Attending any such pre-proposal conference is</p>



	optional and is at the Agencies' expense.
	2.4 The Client will timely provide, at no cost to the Agencies, relevant inputs, project data, reports, etc. for the preparation of the Agency's Proposal such as <b>Mission Document of DAY-NULM/ Operational Guidelines for Capacity Building &amp; Training by MoHUPA/ Training Need for Employees of ASULMS</b> , etc.
<b>3. Conflict of Interest</b>	<p>3.1 The Agency is required to provide professional, objective, and impartial advice, at all times holding the Client's interests paramount, strictly avoiding conflicts with other assignments or its own organisational interests, and acting without any consideration for future work.</p> <p>3.2 The Agency has an obligation to disclose to the Client any situation of actual or potential conflict that impacts its capacity to serve the best interest of its Client. Failure to disclose such situations may lead to the disqualification of the Agency or the termination of its Contract by the Client.</p>
<b>4. Eligibility</b>	<p>4.1 The Client permits agencies (including Joint Ventures and their individual members) from all over India to offer consulting services for the Capacity Building &amp; Training Programme.</p> <p>4.2 Furthermore, it is the Agency's responsibility to ensure that its Experts, Joint Venture members, Sub-agencies, sub-contractors, service providers, suppliers and/or their employees meet the eligibility requirements as established by the Client in the Applicable Guidelines.</p> <p>4.3 As an exception to the foregoing Clauses 4.1 and 4.2 above:</p>
<b>(a) Restrictions for public employees</b>	4.3.1 Government officials and civil servants are not eligible to be included as Experts in the Agency's Proposal unless such engagement does not conflict with any employment or other laws, regulations, or policies of the Govt.

## B. Preparation of Proposals

<b>5. General Considerations</b>	5.1 In preparing the Proposal, the Agency is expected to examine the RFP in detail. Material deficiencies in providing the information requested in the RFP may result in rejection of the Proposal.
<b>6. Cost of Preparation of Proposal</b>	6.1 The Agency shall bear all costs associated with the preparation and submission of its Proposal, and the Client shall not be responsible or liable for those costs, regardless of the conduct or outcome of the selection process. The Client is not bound to accept any proposal, and reserves the right to annul the

	selection process at any time prior to Contract award, without thereby incurring any liability to the Agency.
<b>7. Language</b>	7.1 The Proposal, as well as all correspondence and documents relating to the Proposal exchanged between the Agency and the Client shall be written in <b>English</b> language.
<b>8. Documents Comprising the Proposal</b>	<p>8.1 The Proposal shall comprise the following documents and forms:</p> <p><b>For FULL TECHNICAL PROPOSAL (FTP): 1st Inner Envelope with the Technical Proposal:</b></p> <p>(1) Power of Attorney to sign the Proposal (2) TECH-1 (3) TECH-2 (4) TECH-3 (5) TECH-4A, 4B, 4C (7) TECH-5</p> <p>AND</p> <p><b>2nd Inner Envelope with the Financial Proposal:</b></p> <p>(1) FIN-1 (2) FIN-2 (3) FIN-3 (4) FIN-4 (5) Statement of Undertaking</p> <p>8.2 The Agency shall include a statement of an undertaking of the Agency to observe, in competing for and executing a contract, the Govt. laws against fraud and corruption (including bribery).</p> <p>8.3 The Agency shall furnish information on commissions, gratuities, and fees, if any, paid or to be paid to agents or any other party relating to this Proposal and, if awarded, Contract execution, as requested in the Financial Proposal submission form (Section 4).</p>
<b>9. Only One Proposal</b>	9.1 The Agency (including the individual members of any Joint Venture) shall submit only one Proposal, either in its own name or as part of a Joint Venture in another Proposal. If an Agency, including any Joint Venture member, submits or participates in more than one proposal, all such proposals shall be disqualified and rejected. This does not, however, preclude a Sub-agency, or the Agency's staff from participating as Key Experts and Non-Key Experts in more than one Proposal when circumstances justify.
<b>10. Proposal Validity</b>	10.1 The Agency's Proposal must remain valid <b>90 days</b> after the RFP submission date, i.e. until: <b>18<sup>th</sup> April, 2017.</b>

	10.2 During this period, the Agency shall maintain its original Proposal without any change, including the availability of the Key Experts, the proposed rates and the total price.
	10.3 If it is established that any Key Expert nominated in the Agency's Proposal was not available at the time of Proposal submission or was included in the Proposal without his/her confirmation, such Proposal shall be disqualified and rejected for further evaluation.
<b>(a) Extension of Validity Period</b>	10.4 The Client will make its best effort to complete the Negotiations within the proposal's validity period. However, should the need arise, the Client may request, by notifying all Agencies who submitted Proposals prior to the submission deadline to extend the Proposals' validity. <i>The Agencies shall be notified about validity extensions by email/other means. The Agency responses and/or confirmations shall be through email indicated at LOI.</i>
	10.5 If the Agency agrees to extend the validity of its Proposal, it shall be done without any change in the original Proposal and with the confirmation of the availability of the Key Experts.
	10.6 The Agency has the right to refuse to extend the validity of its Proposal in which case such Proposal will not be further evaluated.
<b>(b) Substitution of Key Experts at Validity Extension</b>	10.7 If any of the Key Experts become unavailable for the extended validity period, the Agency shall provide a written adequate justification and evidence satisfactory to the Client together with the substitution request. In such case, a replacement Key Expert shall have equal or better qualifications and experience than those of the originally proposed Key Expert. The technical evaluation score, however, will remain to be based on the evaluation of the CV of the original Key Expert.
	10.8 If the Agency fails to provide a replacement Key Expert with equal or better qualifications, or if the provided reasons for the replacement or justification are unacceptable to the Client, such Proposal will be rejected.
<b>(c) Sub-Contracting</b>	10.9 The Agency shall not sub-contract the whole of the Services.
<b>11. Clarification and Amendment of RFP</b>	11.1. The Agency may request a clarification of any part of the RFP before the Proposals' submission deadline. <b>Clarifications may be requested no later than 10 days prior to the submission deadline.</b> The contact information for requesting clarifications is: State Mission Director, State Mission Management

	<p>Unit, Assam State Urban Livelihoods Mission Society (DAY-NULM, Assam), Directorate of Municipal Administration, Dispur, Guwahati, Assam, 781006  Facsimile: 0361-2235165  Email: spmhr.asulms@gmail.com  The Client will respond for information of all shortlisted Agencies.  Should the Client deem it necessary to amend the RFP as a result of a clarification, it shall do so following the procedure described below:  11.1.1 At any time before the proposal submission deadline, the Client may amend the RFP by issuing an amendment online. The amendment shall be binding on all shortlisted Agencies.  11.1.2 If the amendment is substantial, the Client may extend the proposal submission deadline to give the shortlisted Agencies reasonable time to take an amendment into account in their Proposals.</p> <p>11.2 The Agency may submit a modified Proposal or a modification to any part of it at any time prior to the proposal submission deadline, in accordance with the procedure described in 11.1. No modifications to the Technical or Financial Proposal shall be accepted after the deadline.</p>
<b>12. Preparation of Proposals – Specific Considerations</b>	<p>12.1 While preparing the Proposal, the Agency must give particular attention to the following:  12.1.1 If a shortlisted Agency considers that it may enhance its expertise for the assignment by associating with other agencies in the form of a Joint Venture or as Sub-agencies, it may do so with a <b>non-shortlisted Agency(s)</b> only and <b>not with a shortlisted Agency(s)</b>. In such a case, a shortlisted Agency must obtain the written approval of the Client prior to the submission of the Proposal. When associating with non-shortlisted firms in the form of a joint venture or a sub-consultancy, the shortlisted Agency shall be a lead member.  12.1.2 Estimated input of Key Experts’ time-input: minimum 7.2 Person Months for Key Professionals. [This is considering one Team Leader and 5 (Five) Thematic Experts for a period of 12 months.]</p>
<b>13. Technical Proposal-Format and Content</b>	<p>13.1. The Technical Proposal shall not include any financial information. A Technical Proposal containing material financial information shall be declared non-responsive.  13.1.1 Agency shall not propose alternative Key Experts. Only one CV shall be submitted for each Key Expert position. Failure to comply with this requirement will make the Proposal non-responsive.</p>

	13.2. Depending on the nature of the assignment, the Agency is required to submit a Full Technical Proposal (FTP) and using the Standard Forms provided in Section 3 of the RFP. Submission of the Technical Proposal in a wrong format may lead to the Proposal being deemed non-responsive to the RFP requirements.
<b>14. Financial Proposal</b>	14.1 The Financial Proposal shall be prepared using the Standard Forms provided in Section 4 of the RFP. It shall list all costs associated with the assignment, including remuneration for Key Experts and Non-Key Experts.
<b>a. Taxes</b>	14.2 The Agency and its Sub-agencies and Experts are responsible for meeting all tax liabilities arising out of the Contract.

### C. Submission, Opening and Evaluation

<b>15. Submission of Proposals</b>	15.1 The Agency shall submit a signed and complete Proposal comprising the documents and forms in accordance with Clause 8 (Documents Comprising Proposal). The submission can be done by post, courier or by hand.
	15.2 An authorized representative of the Agency shall sign the original submission letters in the required format for both the Technical Proposal and the Financial Proposal and shall initial all pages of both. The authorization of the representative shall be in the form of a written power of attorney attached to the Technical Proposal. 15.2.1 A Proposal submitted by a Joint Venture shall be signed by all members so as to be legally binding on all members, or by an authorized representative who has a written power of attorney signed by each member's authorized representative.
	15.3 Any modifications, revisions, erasures, or overwriting shall be valid only if they are signed or initialled by the person signing the Proposal.
	15.4 The signed Proposal shall be marked "ORIGINAL", and its copies marked "COPY" as appropriate. <b>The Agency must submit:</b> (a) <b>Technical Proposal:</b> one (1) original and one copy + Electronic Copy in a CD / DVD. (b) <b>Financial Proposal:</b> one (1) original. All copies shall be made from the signed original. If there are discrepancies between the original and the copies, the original shall prevail.
	15.5 The original and all the copies of the Technical Proposal shall be placed inside of a sealed envelope clearly marked " <b>TECHNICAL PROPOSAL</b> ", "[Name of the Assignment]", reference number, name and address of the Agency, and with a warning " <b>DO NOT OPEN UNTIL [INSERT THE DATE AND THE TIME</b>

	<p><b>OF THE TECHNICAL PROPOSAL SUBMISSION DEADLINE].”</b></p> <p>15.6 Similarly, the original Financial Proposal shall be placed inside of a sealed envelope clearly marked <b>“FINANCIAL PROPOSAL”</b> followed by the name of the assignment, reference number, name and address of the Agency, and with a warning <b>“DO NOT OPEN WITH THE TECHNICAL PROPOSAL.”</b></p> <p>15.7 The sealed envelopes containing the Technical and Financial Proposals shall be placed into one outer envelope and sealed. This outer envelope shall bear the submission address, <b>RFP reference number</b>, the name of the assignment, Agency’s name and the address, and shall be clearly marked <b>“DO NOT OPEN BEFORE</b> [insert the time and date of the submission deadline].</p> <p><b>The Proposals must be submitted no later than:-</b>  <b>Date: 18<sup>th</sup> February, 2017</b>  <b>Time: 16:00 Hours</b>  <b>The Proposal submission address is:</b>          State Mission Director, State Mission Management Unit, Assam State Urban Livelihoods Mission Society (DAY-NULM, Assam), Directorate of Municipal Administration, Dispur, Guwahati, Assam, 781006</p> <p>15.8 If the envelopes and packages with the Proposal are not sealed and marked as required, the Client will assume no responsibility for the misplacement, loss, or premature opening of the Proposal.</p> <p>15.9 The Proposal or its modifications must be sent to the address indicated in 15.7 and received by the Client no later than the deadline indicated in 15.7, or any extension to this deadline. Any Proposal or its modification received by the Client after the deadline shall be declared late and rejected, and promptly returned unopened.</p>
<p><b>16. Confidentiality</b></p>	<p>16.1 From the time the Proposals are opened to the time the Contract is awarded, the Agency should not contact the Client on any matter related to its Technical and/or Financial Proposal. Information relating to the evaluation of Proposals and award recommendations shall not be disclosed to the Agencies who submitted the Proposals or to any other party not officially concerned with the process, until the publication of the Contract award information.</p> <p>16.2 Notwithstanding the above provisions, from the time of the Proposals’ opening to the time of Contract award publication, if an Agency wishes to contact the Client on any matter related to the selection process, it should do so only in writing.</p>

<p><b>17. Opening of Technical Proposals</b></p>	<p>17.1 The Client's evaluation committee shall conduct the opening of the Technical Proposals in the presence of the shortlisted Agency's authorized representatives who choose to attend in person. <b>The opening shall take place at:</b> O/o The Directorate of Municipal Administration, Dispur, Guwahati, Assam, 781006 <b>Date:</b> same as the submission deadline indicated in 15.7 <b>Time:</b> 16:30 Hours. The envelopes with the Financial Proposal shall remain sealed and shall be securely stored until they are opened in accordance with Clause 21 of the ITA.</p> <p>17.2 At the opening of the Technical Proposals the following shall be read out: (i) the name of the Agency or, in case of a Joint Venture, the name of the Joint Venture, the name of the lead member; (ii) the presence or absence of a duly sealed envelope with the Financial Proposal; and (iii) any modifications to the Proposal submitted prior to proposal submission deadline.</p>
<p><b>18. Proposals Evaluation</b></p>	<p>18.1 Subject to provision of Clause 13.1 of the ITA, the evaluators of the Technical Proposals shall have no access to the Financial Proposals until the technical evaluation is concluded.</p> <p>18.2 The Agency is not permitted to alter or modify its Proposal in any way after the proposal submission deadline except as permitted under Clause 10.7 of this ITA. While evaluating the Proposals, the Client will conduct the evaluation solely on the basis of the submitted Technical and Financial Proposals.</p>
<p><b>19. Evaluation of Technical Proposals</b></p>	<p>19.1 The Client's evaluation committee shall evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference and the RFP, applying the evaluation criteria, sub-criteria, and point system specified in <b>Annexure I</b>. Each responsive Proposal will be given a technical score. A Proposal shall be rejected at this stage if it does not respond to important aspects of the RFP.</p>
<p><b>20. Financial Proposals for Quality &amp; Cost Based Selection (QCBS)</b></p>	<p>20.1 Following the ranking of the Technical Proposals, when the selection is based on QCBS, the Agencies which have secured at least <b>60 points</b> score in the evaluation of Technical Proposal are considered for the Financial Proposal. The Financial Proposals of all other Agencies are returned unopened after the Contract negotiations are successfully concluded and the Contract is signed.</p>

<b>21. Public Opening of Financial Proposal</b>	<p>21.1 After the technical evaluation is completed, the Client shall send notifications to the Agencies as following:</p> <p>(a) Agencies whose Proposals are considered non responsive to the RFP and TOR and/or have not secured at least 60 points score in the evaluation of Technical Proposal shall be notified through their e-mail.</p> <p>(b) Agencies whose Proposals are considered responsive to the RFP and TOR and are invited to the opening of the Financial Proposal shall be notified through e-mail about the date and time of the opening of the Financial Proposals.</p> <p>The Agency will also have option to participate in the opening in person at:  <b>O/o The Directorate of Municipal Administration, Dispur, Guwahati, Assam, 781006</b></p> <p>The Agency's attendance at the opening of the Financial Proposals (in person) is optional and is at the Agency's choice.</p> <p>21.2 The Financial Proposals shall be opened by the Client's evaluation committee in the presence of the representatives of those Agencies whose proposals have passed Technical Proposal evaluation process. At the opening, the names of the Agencies, and the overall technical scores, including the break-down by criterion, shall be read aloud. The Financial Proposals will then be inspected to confirm that they have remained sealed and unopened. These Financial Proposals shall be then opened, and the total prices read aloud and recorded.</p>
<b>22. Correction of Errors</b>	<p>22.1 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, and no corrections are made to the Financial Proposal.</p>
<b>23. Taxes</b>	<p>23.1 The Client's evaluation of the Agency's Financial Proposal shall exclude applicable taxes and cesses.</p>
<b>24. Quality &amp; Cost Based Selection (QCBS)</b>	<p>24.1 In the case of QCBS, the total score is calculated by weighting the technical and financial scores and adding them as per the formula and instructions in the Annexure II. The Agency achieving the highest combined technical and financial score will be invited for negotiations.</p>

#### D. Negotiations and Award

<b>25. Negotiations</b>	<p>25.1 The <b>Expected date and address for contract negotiations are as follows:</b>  <b>Date: 1<sup>st</sup> March, 2017</b>  <b>Address: O/o The Directorate of Municipal</b></p>
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	Administration, Dispur, Guwahati, Assam, 781006 The Agency's representative(s) who must have a written power of attorney to negotiate and sign a Contract on behalf of the Agency should be present on the day of contract negotiations.
	25.2 The Client shall prepare minutes of negotiations that are signed by the Client and the Agency's authorized representative.
<b>a. Availability of Key Experts</b>	25.3 The invited Agencies shall confirm the availability of all Key Experts included in the Proposal as a pre-requisite to the negotiations, or, if applicable, a replacement in accordance with Clause 10 of the ITA. Failure to confirm the Key Experts' availability may result in the rejection of the Agency's Proposal and the Client proceeding to negotiate the Contract with the next-ranked Agency.
	25.4 Notwithstanding the above, the substitution of Key Experts at the negotiations may be considered if due solely to circumstances outside the reasonable control of and not foreseeable by the Agency, including but not limited to death or medical incapacity. In such case, the Agency shall offer a substitute Key Expert within the period of time specified in the RFP to negotiate the Contract, who shall have equivalent or better qualifications and experience than the original candidate.
<b>b. Technical negotiations</b>	25.5 The negotiations include discussions of the Terms of Reference (TOR), the proposed methodology, the Client's inputs, the special conditions of the Contract, and finalizing the Description of Services/ Deliverables part of the Contract. These discussions shall not substantially alter the original scope of services under the TOR or the terms of the contract, lest the quality of the final product, its price, or the relevance of the initial evaluation be affected.
<b>c. Financial negotiations</b>	25.6 The negotiations include the clarification of the Agency's tax liability and how it should be reflected in the Contract.
	25.7 In case of a Lump-Sum Contract, the total price stated in the Financial Proposal for a Lump-Sum contract shall not be negotiated.
	25.8 In the case of a Time-Based contract, unit rates negotiations shall not take place, except when the offered Key Experts' and Non-Key Experts' remuneration rates are much higher than the typically charged rates by consultants in similar contracts. In such case, the Client may ask for clarifications and, if the fees are very high, ask to change the rates.
<b>26. Conclusion of Negotiations</b>	26.1 The negotiations are concluded with a review of the finalized draft Contract, which then shall be initiated by the Client and the Agency's authorized

	<p>representative.</p> <p>26.2 If the negotiations fail, the Client shall inform the Agency in writing of all pending issues and disagreements and provide a final opportunity to the Agency to respond. If disagreement persists, the Client shall terminate the negotiations informing the Agency of the reasons for doing so. The Client will invite the next-ranked Agency to negotiate a Contract. Once the Client commences negotiations with the next-ranked Agency, the Client shall not reopen the earlier negotiations.</p>
<b>27. Award of Contract</b>	<p>27.1 The publication of the contract award information following the completion of the contract negotiations and contract signing will be published in the website <a href="http://www.nulmassam.in">www.nulmassam.in</a>. The publication will be done immediately after the contract signing.</p>
	<p>27.2 The Agency is expected to commence the assignment on the date and at the location specified as under:  <b>Expected date for the commencement of the Services:</b>  <b>20th March, 2017</b>  <b>at:</b> <i>as per the venue and location mentioned in the proposal by the Agency.</i></p>

#### **E. Other Important Instructions**

<b>28. Place(s) of Training</b>	<p>28.1 In case of Classroom Trainings, the place of training will be primarily in the city of Guwahati and/or other cities/towns under DAY-NULM in Assam as per convenience. Exposure visit to different part of India may be conducted with prior approval from the client.</p>
<b>29. Contract Period</b>	<p>29.1 The selection process will result in a contract for 12 months, though the total duration of the Assignment has been envisaged for two to three years. Depending on the annual performance review of the agency and available budget the contract can be extended further on 12 monthly basis by mutual agreement.</p>

### Section 3. Full Technical Proposal – Standard Forms

{Notes to Agency shown in brackets {} throughout Section 3 provide guidance to the Agency to prepare the Technical Proposal; they should not appear on the Proposals to be submitted.} **All pages of the original Technical and Financial Proposal shall be initialled by the same authorized representative of the Agency who signs the Proposal.**

Sl. No.	DESCRIPTION	FORM	Required for Full Technical Proposal (FTP) (√)
1	Technical Proposal Submission Form	TECH-1	√
2	If the Proposal is submitted by a joint venture, attach a letter of intent or a copy of an existing agreement	TECH-1 Attachment	“√” If applicable
3	No pre-set format/form. In the case of a Joint Venture, several are required: a power of attorney for the authorized representative of each JV member, and a power of attorney for the representative of the lead member to represent all JV members	Power of Attorney	“√” If applicable
4	Agency’s Organization and Experience	TECH-2	√
	A. Agency’s Organization	TECH-2A	√
	B. Agency’s Experience	TECH-2B	√
5	Comments and Suggestions on the Terms of Reference	TECH-3	√
6	Description of the Training Approach, Methodology and Plan of Action for Performing the Assignment	TECH-4A	√
7	Capacity Building & Training Schedule/ Training Calendar and Planning For Deliverables	TECH-4B TECH-4C	√
8	Team Composition & Experts’ Inputs, and Curriculum Vitae (CV)	TECH-5	√

## **FORM TECH-1**

### **TECHNICAL PROPOSAL SUBMISSION FORM**

{Location, Date}

To:

**State Mission Director,  
State Mission Management Unit,  
Assam State Urban Livelihoods Mission  
Society (DAY-NULM, Assam),  
Directorate of Municipal Administration,  
Dispur, Guwahati, Assam, 781006**

Dear Sir:

We, the undersigned, offer to provide the services of **Capacity Building & Training Agency for Assam State Urban Livelihoods Mission Society (DAY-NULM, Assam)** in accordance with your Request for Proposals dated \_\_\_\_\_ and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and a Financial Proposal sealed in a separate envelope.

{If the Agency is a joint venture, insert the following: We are submitting our Proposal a joint venture with: {Insert a list with full name and the legal address of each member, and indicate the lead member}. We have attached a copy {insert: "of our letter of intent to form a joint venture" or, if a JV is already formed, "of the JV agreement"} signed by every participating member, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said joint venture.

{OR

If the Agency's Proposal includes Sub-agencies, insert the following: We are submitting our Proposal with the following firms as Sub-agencies: {Insert a list with full name and address of each Sub-agency.}

We hereby declare that:

- (a) All the information and statements made in this Proposal are true and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification by the Client.
- (b) Our Proposal shall be valid and remain binding upon us for the period of time specified in the ITA, Clause 10.1.
- (c) We have no conflict of interest in accordance with ITA 3.
- (d) We meet the eligibility requirements as stated in ITA 4.
- (e) In competing for (and, if the award is made to us, in executing) the Contract, we undertake to observe the laws against fraud and corruption, including bribery, in force in the country of the Client.
- (f) Except as stated in the ITA, Clause 10, we undertake to negotiate a Contract on the basis of the proposed Key Experts. We accept that the substitution of Key Experts for reasons other than those stated in ITA

10 and ITA Clause 25.4 may lead to the termination of Contract negotiations.

(g) Our Proposal is binding upon us and subject to any modifications resulting from the Contract negotiations.

We undertake, if our Proposal is accepted and the Contract is signed, to initiate the Services related to the assignment no later than the date indicated in Clause 27.2 of the ITA.

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

We remain,  
Yours sincerely,

**Authorized Signature {In full and initials}:** \_\_\_\_\_

**Name and Title of Signatory:** \_\_\_\_\_

**Name of Agency (organisation's name or JV's name):** \_\_\_\_\_

**In the capacity of:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**Contact information (phone and e-mail):** \_\_\_\_\_

{For a joint venture, either all members shall sign or only the lead member, in which case the power of attorney to sign on behalf of all members shall be attached}

## **FORM TECH-2**

### **AGENCY'S ORGANIZATION AND EXPERIENCE**

Form TECH-2: a brief description of the Agency's organization and an outline of the recent experience of the Agency (if any) that is most relevant to the assignment. In the case of a joint venture, information on similar assignments shall be provided for each partner. For each assignment, the outline should indicate the names of the Agency's Key Experts and Sub-agencies who participated, the duration of the assignment, the contract amount (total and, if it was done in a form of a joint venture or a sub-agency, the amount paid to the Agency), and the Agency's role/involvement.

#### **A - Agency's Organization**

1. Provide here a brief description of the background and organization of your organisation, and – in case of a joint venture – of each member for this assignment.
2. Include organizational chart, a list of Board of Directors, and beneficial ownership.

#### **Sample Format**

<b>SL. NO.</b>	<b>DETAILS REQUIRED</b>	<b>INFORMATION</b>
<b>1</b>	<b>Name of Organization</b>	
<b>2</b>	<b>Name and Designation of Contact Person</b>	
<b>3</b>	<b>Postal Address of the Organization</b> <b>(with PIN CODE &amp; Email)</b>	
<b>4</b>	<b>Telephone &amp; FAX No. with STD Code</b>	
<b>5</b>	<b>Mobile No. of Contact Person</b>	
<b>6</b>	<b>Registration No. ; Name and Place of Registering Authority &amp; Year of Establishment</b>	

<b>7</b>	<b>Type of Organization</b>	
<b>8</b>	<b>No. of full time employees</b>	
<b>9.</b>	<b>Branch Offices</b>	

### **B – Agency’s Experience**

1. List only previous similar assignments successfully completed in the last 3 (three) years.
2. List only those assignments for which the Agency was legally contracted by the Client as Consultant/ Agency or was one of the joint venture partners. Assignments completed by the Agency’s individual experts working privately or through other consulting firms cannot be claimed as the relevant experience of the Agency, or that of the Agency’s partners or sub-agencies, but can be claimed by the Experts themselves in their CVs. The Agency should be prepared to substantiate the claimed experience by presenting copies of relevant documents and references if so requested by the Client.

#### **Sample Format**

<b>Assignment Name <sup>1</sup> :</b>	
<b>Contract value (in Rs):</b>	
<b>Date of Commencement:</b>	
<b>Date of Completion:</b>	
<b>Duration of assignment (months):</b>	
<b>Country:</b> <b>Location within country:</b>	
<b>Name of Client:</b>	
<b>Total duration of the assignment:</b>	
<b>Key personnel(s) of the assignment:</b>	

**Narrative description of Project:**

**Description of actual services provided in the assignment:**

<sup>1</sup> Clients' Work Order(s) and Work Completion Certificate(s) should be attached as annexure.



**FORM TECH-3**  
**COMMENTS AND SUGGESTIONS ON THE TERMS OF**  
**REFERENCE**

Form TECH-3: comments and suggestions on the Terms of Reference (TOR) that could improve the quality/effectiveness of the assignment.

**On the Terms of Reference**

{Comments to the Terms of Reference}

**FORM TECH-4A**  
**DESCRIPTION OF THE TRAINING APPROACH,**  
**METHODOLOGY AND PLAN OF ACTION FOR PERFORMING**  
**THE ASSIGNMENT**

Form TECH-4A: a description of the description of the Training Approach, Methodology, and Plan of Action for Performing the Assignment, including a detailed description of the proposed methodology and staffing for training.

{Suggested structure of your Technical Proposal (in FTP format):

a) Training Approach and Methodology

b) Plan of Action

a) **Training Approach and Methodology.** {Please explain your understanding of the objectives of the assignment as outlined in the Terms of Reference (TORs), the training 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) **Plan of Action.** {Please outline the plan of action for the implementation of the training activities/tasks of the assignment, their content and duration, phasing and interrelations, milestones (including interim approvals by the Client), and tentative training dates of the subsequent reports. The proposed plan of action should be consistent with the training 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 plan of action should be consistent with the Capacity Building & Training Schedule/ Training Calendar.}

## FORM TECH-4B

### CAPACITY BUILDING & TRAINING SCHEDULE/ TRAINING CALENDAR AND PLANNING FOR DELIVERABLES

#### Training Schedule (Indicative)

Sl. No.	Course Code No.	Course Title	No. of Training Days	Target Group	Duration		Master Trainer	Trainer/ Training Assistant (s)/ Coordinator (s)
					From	To		

## FORM TECH-4C

### CAPACITY BUILDING & TRAINING SCHEDULE/ TRAINING CALENDAR AND PLANNING FOR DELIVERABLES

#### Work Plan (Indicative)

Sl. No.	Deliverables/Output & Activities ^	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Month 11	Month 12
1	Training Need Analysis												
2	Capacity Building & Training Strategy												
3	Development and Submission of Training Module & Training Manual												
4	Overall Capacity Building & Training Plan												
5	Feedback and Evaluation Strategy and Mechanism												
6	Training of SMMU Technical Experts												
7	Training of CMMU Technical Experts												
8	Training of Support Staff												
9	Training of Community Organisers												
10	Training of EOs/CPOs												
11	Training of Elected Representatives of ULBs												
12	Training of Resource Organisations												

^ Deliverables/Output & Activities may be further detailed into sub/sub-sub activities.

## FORM TECH-5

### TEAM COMPOSITION & EXPERTS' INPUTS

Sl. No.	Name	Position	Course to be Covered	Expert's input (in person/month) per each Deliverable (listed in TECH-5)	Total time-input (in Months)
<b>Key Experts</b>					
K-1		{Master Trainer}			
K-2					
n					
			<b>Sub-Total</b>		
<b>Non-Key Experts</b>					
N-1					
N-2					
N-3					
n					
			<b>Sub-Total</b>		
			<b>Total</b>		

**FORM TECH-5**  
**(CONTINUED)**  
**CURRICULUM VITAE (CV)**

<b>Position Title and No.</b>	{e.g. K-1, Master Trainer}
<b>Name of Expert</b>	{Insert Full Name}
<b>Date of Birth</b>	{day/month/year}

Education: {List college/university or other specialized education, giving names of educational institutions, dates attended, degree(s)/diploma(s) obtained}

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

<b>Period</b>	<b>Employing organization and your title/position. Contact information for references</b>	<b>Summary of activities performed relevant to the Assignment</b>
{e.g., May 2005-present}	[e.g., Ministry of ....., Advisor/Consultant to...  For references: Tel...../e-mail.....; Mr. XYZ, Deputy Minister]	

**Membership in Professional Associations and Publications:**

---

**Language Skills (indicate only languages in which you can work):**

---

**Adequacy for the Assignment:**

Detailed Tasks Assigned on Agency's Team of Experts:	Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks
{List all deliverables/courses as in TECH- 5 in which the Expert will be involved}	

**Expert's contact information:** (e-mail....., phone.....)

**Certification:**

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available to undertake the assignment in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by the Client.

{day/month/year}

---

Name of Expert

Signature

Date

{day/month/year}

---

Name of authorized  
Representative of the Agency  
(the same who signs the Proposal)

Signature

Date

## **Section 4. Financial Proposal - Standard Forms**

{Notes to Agency shown in brackets { } provide guidance to the Agency to prepare the Financial Proposals; they should not appear on the Financial Proposals to be submitted.}

Financial Proposal Standard Forms shall be used for the preparation of the Financial Proposal according to the instructions provided in Section 2.

FIN-1 Financial Proposal Submission Form

FIN-2 Summary of Costs

FIN-3 Breakdown of Remuneration

FIN-4 Breakdown of Other Expenses, Provisional Sums and Contingency

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

{Location, Date}

To:

**State Mission Director,  
State Mission Management Unit,  
Assam State Urban Livelihoods Mission  
Society (DAY-NULM, Assam),  
Directorate of Municipal Administration,  
Dispur, Guwahati, Assam, 781006**

Dear Sir:

We, the undersigned, offer to provide the services of **Capacity Building & Training Agency for Assam State Urban Livelihoods Mission Society (DAY-NULM, Assam)** in accordance with your Request for Proposals dated \_\_\_\_\_ and our Proposal. We are hereby submitting our Proposal, which includes this Financial Proposal sealed in a separate envelope.

Our attached Financial Proposal is for the sum of {Amount in Figure and Words}. We hereby confirm that the financial proposal is unconditional and we acknowledge that any condition attached to financial proposal shall result in rejection of our financial proposal. We agree to abide by all the conditions mentioned in RFP number: "RFP Notice Number" dated "Date" issued by "Client", Place.

Our Financial Proposal shall be binding upon us subject to the modifications resulting from Contract negotiations, up to expiration of the validity period of the Proposal.

We understand that you are not bound to accept any Proposal you receive.

We remain,  
Yours sincerely,

**Authorized Signature {In full and initials}: \_\_\_\_\_**

**Name and Title of Signatory: \_\_\_\_\_**

**Name of Agency (organisation's name or JV's name): \_\_\_\_\_**

**In the capacity of: \_\_\_\_\_**

**Address: \_\_\_\_\_**

**Contact information (phone and e-mail): \_\_\_\_\_**

{For a joint venture, either all members shall sign or only the lead member, in which case the power of attorney to sign on behalf of all members shall be attached}



## FORM FIN-2 SUMMARY OF COSTS

Sl. No.	Particulars	Amount in Indian Rupees (in figures)	Amount in Indian Rupees (in Words)
<b>Competitive Components</b>			
1	Remuneration of Key Experts		
<b>Sub Total</b>			
2	Remuneration of Non Key Experts		
<b>Sub Total</b>			
3	Reimbursable Expenses		
<b>Sub Total</b>			
<b>Non-Competitive Components</b>			
4	Provisional Sums		
5	Contingency		
<b>Sub Total</b>			
<b>Total Cost of the Financial Proposal</b>			
<b>Taxes Payable (%)</b>			

**Grand Total (In Figure) =** Total amount in Indian Rupees  
**Amount in Words:**

**Note-**

- The Agency is required to quote the cost for the assignment in the financial proposal for 12 months.
- Total Cost of the Financial Proposal should match the amount in Form FIN-1.
- Taxes Payable will be discussed and finalized at the negotiations if the Contract is awarded.

### FORM FIN-3 BREAKDOWN OF REMUNERATION

{When used for Lump-Sum contract assignment, 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 Agency for possible additional services requested by the Client. This Form shall not be used as a basis for payments under Lump-Sum contracts.}

Sl. No.	Name	Person-month Remuneration Rate (in Rs.)	Time Input in Person/Month (from TECH-5)	Total Remuneration (in Rs.)		
	Position (as in TECH-5)					
<b>KEY EXPERTS</b>						
1.						
2.						
<b>Sub Total</b>						
<b>NON-KEY EXPERTS</b>						
1.						
2.						
<b>Sub Total</b>						
<b>TOTAL COSTS: KEY AND NON-KEY EXPERTS</b>						

## FORM FIN-4

### BREAKDOWN OF OTHER EXPENSES, PROVISIONAL SUMS AND CONTINGENCY

{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 Agency for possible additional services requested by the Client. This form shall not be used as a basis for payments under Lump-Sum contracts}

Sl. No.	Type of Expenses, Provisional Sums and Contingency	Quantity	Unit	Unit Price (in Rs.)	Total Cost (in Rs.)
<b>Reimbursable Expenses</b>					
1.	<i>Item 1</i>				
2.	<i>Item 2</i>				
<b>Sub Total</b>					
<b>Provisional Sums</b>					
1.	<i>Item 1</i>				
2.	<i>Item 2</i>				
<b>Sub Total</b>					
<b>Contingency</b>					
1.					
<b>Total: Reimbursable Expenses + Provisional Sums + Contingency</b>					

## **Section 5. Terms of Reference**

### **ABOUT NATIONAL URBAN LIVELIHOOD MISSION:**

#### **Mission**

The mission of Deen Dayal Antyodaya Yojana-National Urban Livelihood Mission (DAY-NULM), a flagship programme of the Ministry of Housing and Urban Poverty Alleviation (MoHUPA), is to reduce poverty and vulnerability of the urban poor households by enabling them to access gainful self-employment and skilled wage employment opportunities, resulting in an appreciable improvement in their livelihoods on a sustainable basis, through building strong grassroots level institutions of the poor. The mission would aim at providing shelter equipped with essential services to the urban homeless in a phased manner. In addition, the Mission would also address livelihood concerns of the urban street vendors by facilitating access to suitable spaces, institutional credit, social security and skills to the urban street vendors for accessing emerging market opportunities.

#### **Strategy**

DAY-NULM adopts the following strategy:

- i. Building capacity of the urban poor, their institutions and the machinery involved in the implementation of livelihoods development and poverty alleviation programmes through handholding support;
- ii. Enhancing and expanding existing livelihoods options of the urban poor;
- iii. Building skills to enable access to growing market-based job opportunities offered by emerging urban economies;
- iv. Training for and support to the establishment of micro-enterprises by the urban poor – self and group;
- v. Ensure availability and access for the urban homeless population to permanent 24- hour shelters including the basic infrastructural facilities like water supply, sanitation, safety and security;
- vi. Cater to the needs of especially vulnerable segments of the urban homeless like the dependent children, aged, disabled, mentally ill, and recovering patients etc., by creating special sections within homeless shelters and provisioning special service linkages for them;
- vii. To establish strong rights-based linkages with other programmes which cover the right of the urban homeless to food, healthcare, education, etc. and ensure access for homeless populations to various entitlements,

including to social security pensions, PDS, ICDS, feeding programmes, drinking water, sanitation, identity, financial inclusion, school admission etc., and to affordable housing;

- viii. To address livelihood concerns of the urban street vendors by facilitating access to suitable spaces, institutional credit, social security and skills to the urban street vendors for accessing emerging market opportunities.

### **DAY-NULM Components**

- I. Social Mobilization & Institution Development (SM&ID)
- I. Capacity Building & Training (CB&T)
- II. Employment through Skills Training & Placement (EST&P)
- III. Self-Employment Programme (SEP)
- IV. Support to Urban Street Vendors (SUSV)
- V. Scheme of Shelters for Urban Homeless (SUH)

*For details on these components Agency may refer to the website of Ministry of Housing & Urban Poverty Alleviation ([www.mhupa.gov.in](http://www.mhupa.gov.in))*

### **DAY-NULM: Implementation Structure in Assam**

The National Urban Livelihoods Mission has a three-tier interdependent structure (at national, state and city levels) for implementation of the programme. These tiers of DAY-NULM are closely interlinked and guided by the common objective of promoting sustainable livelihoods of the poor and work with the goal of eradication of urban poverty and empowerment of the urban poor.

At the national level, the National Urban Livelihoods Mission (DAY-NULM) has been established as a society registered under the appropriate law. A Mission Director appointed by the Government of India is looking after all aspects of implementation of DAY-NULM. The National Mission Management Unit (NMMU), a dedicated support team at national level, was also established to support Mission Director in implementation and monitoring of the DAY-NULM.

A State Level Committee (Governing Council and Executive Committee) was notified by the Government of Assam in 2014. The Director, Municipal Administration, is notified as the State Mission Director for DAY-NULM, Assam and the organization is known as **ASSAM STATE URBAN LIVELIHOODS MISSION SOCIETY (ASULMS)**. The Assam State Urban Livelihoods Mission Society (ASULMS) is a registered body and the Rules & Regulations have been formulated. The State Mission Management Unit (SMMU), a dedicated support team at the state level, has been established to support the State Mission Director, ASULMS in the

implementation and monitoring of DAY-NULM at the state level. Similarly City Mission Management Units (CMMUs) have been established for 25 cities so far. There is provision for formation of more CMMUs, if the requirement for the same arises in the future.

#### **DAY-NULM Mission Cities and Coverage in Assam**

The State Government wants to cover the following cities in the state. However, coverage to the number of Municipal Board/Town Committee may be extended in course of time.

<b>Sl. No.</b>	<b>Name of City</b>	<b>Name of ULB (Municipal Board / Town Committee)</b>
1	Guwahati	G.M.C.
2	Nagaon	Nagaon MB
3	Dibrugarh	Dibrugarh MB
4	Silchar	Silchar MB
5	Tinsukia	Tinsukia MB
6	Jorhat	Jorhat MB
7	Bongaigaon	Bongaigaon MB
8	Diphu	Diphu TC
9	Dhubri	Dhubri MB
10	N.Lakhimpur	N.Lakhimpur MB
11	Tezpur	Tezpur MB
12	Karimganj	Karimganj MB
13	Goalpara	Goalpara MB
14	Sibsagar	Sibsagar MB
15	Haflong	Haflong TC
16	Barpeta	Barpeta MB
17	Golaghat	Golaghat MB
18	Kokrajhar	Kokrajhar MB
19	Hailakandi	Hailakandi MB
20	Morigaon	Morigaon MB
21	Nalbari	Nalbari MB
22	Mangaldoi	Mangaldoi MB
23	Dhemaji	Dhemaji TC
24	Udalguri	Udalguri TC
25	Kajalgaon	Kajalgaon TC

## **About the Assignment**

The Assam State Urban Livelihoods Mission Society (ASULMS) is planning to hire the professional services of suitable agencies for providing capacity building inputs to the Mission Management Units (MMUs). Capacity building inputs may include induction and orientation training, exposure visits, learning tours for all stakeholders of MMUs, including Community Organizers and Resource Organizations engaged in DAY-NULM.

The key objectives of the Capacity Building and Training (CB&T) component are:

- a. To transform the role of ASULMS into providers of high quality technical assistance in the field of livelihood promotion and urban poverty alleviation;
- b. To build strong institutional structures at the State and City levels for efficient implementation of the DAY-NULM and;
- c. To build capacity of the urban poor, their institutions and the machinery involved in the implementation of DAY-NULM.

Building teams of high quality Technical Experts at MMUs, through training and other community-to-community learning/exposure visits, is essential to provide timely and quality technical assistance at State and City levels for implementing DAY-NULM.

One of the key responsibilities of the Capacity Building & Training Agency will be to organize state and city level capacity building programmes, workshops, seminars and cross-learning visits, etc. of key government staff as well as technical experts involved in implementation of DAY-NULM at CMMU and SMMU levels.

The key areas of expertise needed for establishing the Capacity Building & Training Unit will include but not limited to:

- I. Urban Poverty Alleviation
- II. Community Mobilization
- III. Social Development and Convergence
- IV. Credit & Marketing (Financial Inclusion, SHG Bank Linkage, etc.)
- V. Skills and Livelihoods
- VI. Social Audit
- VII. Management Information System (MIS)

## **Scope of Work**

The selected Capacity Building & Training Agency team will disseminate information and impart training to all stakeholders in Assam state [ASULMS

officials - SMMU team members, CMMU team members, ULB officials, elected representatives, Community Organizers and Resource Organizations] on a continual basis throughout the tenure of the project keeping in view the following guiding principles of DAY-NULM:

- The core belief of Deen Dayal Antyodaya Yojana-National Urban Livelihood Mission (DAY-NULM) is that the poor are entrepreneurial and have innate desire to come out of poverty. The challenge is to unleash their capabilities to generate meaningful and sustainable livelihoods. The first step in this process is motivating the urban poor to form their own institutions. They and their institutions need to be provided sufficient capacity so that they can manage the external environment, access finance, expand their skills, enterprises and assets. This requires continuous and carefully designed handholding support. An external, dedicated and sensitive support structure, from the national level to the city and community levels, is required to induce social mobilization, institution building and livelihood promotion.
- DAY-NULM believes that any livelihood promotion programme can be scaled up in a time- bound manner only if driven by the poor and their institutions. Such strong institutional platforms support the poor in building up their own human, social, financial, and other assets. This in turn, enables them access to rights, entitlements, opportunities and services from the public and private sectors, while enhancing their solidarity, voice and bargaining power.
- As per the Constitution (74<sup>th</sup> Amendment) Act, 1992, urban poverty alleviation is a legitimate function of the Urban Local Bodies (ULB). Therefore, ULBs would need to undertake a lead role for all issues and programmes concerning the urban poor in cities/towns, including skills and livelihoods.
- DAY-NULM aims at universal coverage of the urban poor for skill development and credit facilities. It will strive for skills training of the urban poor for market-based jobs and self- employment, facilitating easy access to credit.
- Street vendors constitute an important segment of the urban population at the bottom of the pyramid. Street vending provides a source of self-employment, and thus acts as a measure of urban poverty alleviation without major Government intervention. They have a prominent place in the



urban supply chain and are an integral part of the economic growth process within urban areas. DAY-NULM aims at facilitating access to suitable spaces, institutional credit, social security and skills to the urban street vendors for accessing emerging market opportunities.

- Urban homeless persons who live without shelter or social security/protection are the most vulnerable class, even while they contribute towards sustaining cities with their cheap labour. Life on the streets involves surviving continuously at the edge, in a physically brutalized and challenging environment. There is a need for appropriate policy intervention to address the challenges faced by homeless people, with regard to shelter, social housing and social protection. Accordingly, DAY-NULM aims at providing shelter equipped with essential services to the urban homeless in a phased manner.
- DAY-NULM places a very high emphasis on convergence with schemes/programmes of the relevant line Ministries/Departments and programmes of state governments dealing with skills, livelihoods, entrepreneurship development, health, education, social assistance, etc. An alliance strategy needs to be sought with all concerned departments to promote skills training of rural-urban migrants as a bridge between the livelihoods of the rural and urban poor.
- DAY-NULM aims at partnership with the private sector in providing skill training, employment and operation of shelter for homeless. It will strive for active participation of private and civil society sectors in providing shelter to the urban homeless, skill training and placement of the urban poor and also in facilitating technological, marketing and handholding support for the urban poor entrepreneurs who want to be self-employed and set up their own small businesses or manufacturing units.

The team of Capacity Building & Training Agency led by an experienced Team Leader will collectively design the Training Structure, Calendar, Agenda, and Training Curriculum & Modules, Training Material, and Feedback & Evaluation strategy and after getting the same approved will organize the training events. In pursuance of mandate of the Mission, the ASULMS may direct the CB&T Agency to make changes in the training structure; strategy & modules. The training events will be in varying formats like: Focused Group Discussions, Workshops, Seminar, Conference, Class Room Trainings and one-to-one meetings based on the needs, group size, location and other logistics.

### **Inception Stage**

The Agencies will formulate a Training and Capacity Building Strategy and develop an overall plan for the Capacity Building & Training program as well as Annual Plans for implementation.

### **Implementation of Training Programmes**

All 25 cities will be divided into four zones / clusters. It is expected that after the initial inception period, there will be a minimum of one curtain raiser seminar / conference for every cluster for sensitization of all stakeholders regarding programme implementation. Thereafter, there will be a minimum of 4 class room trainings every month on selected topics related to DAY-NULM components. Each training shall be attended by the concerned officials handling the specific component. The selection of trainees shall be done by the Agency in consultation with the Client. If required, the Agency will also plan and arrange for exposure visits.

Whereas the faculty for the training will be generally from the core CB&T Agency's team, external faculty can be invited from outside occasionally to supplement the faculty team / enhance the value for the topic being covered.

An ambitious programme of this magnitude and complexity would need a close monitoring and management for which a robust management information system is a must. Data need to be systematically collected, collated and regularly fed into well designed information system at all levels and it be so designed to retrieve the desired information and reports as per the management needs at different levels at any point of time.

The data analysis and reporting formats needs to be well researched and informative. These will be the guiding principles on which the MIS expert will be imparting capacity building training.

### **Expected outcomes of the engagement with training Agency**

The selected training agencies should provide capacity building inputs to key government officials implementing NULM at different levels viz., National, State and City levels and the teams positioned at NMMU, SMMU and CMMU levels. The capacity building inputs should cover, but is not limited to, the following thematic areas:

- i. Poverty alleviation – framework, scope and possibilities

- ii. Social mobilisation – formation, functioning and management of SHGs and Federations
- iii. Convergence with line departments and government programmes
- iv. Financial inclusion and social security
- v. Employment through Skill training programmes
- vi. Functioning and management of CLCs
- vii. Management and functioning of Shelters for Urban Homeless
- viii. Devolvement of vendor markets for street vendors
- ix. Training module development
- x. Enterprise promotions for urban poor
- xi. Participatory planning and assessment
- xii. Team Building and management
- xiii. Monitoring and evaluation of programmes
- xiv. Exposure visit to the best practices in and around city/ states

The duration of training may vary from 2 day orientation training to 7 days intensive trainings depending on the type of participant and level of knowledge to be imparted. It may consist of class room trainings, exposure visits on thematic areas, learning visits etc.

### **Details of the Probable Technical Experts to be positioned at CB&T Agency**

#### **Unit:**

The key personnel forming part of the CB&T Agency will be experienced professionals from following disciplines with Qualifications and Experience as mentioned in the table below:

<b>Position</b>	<b>Domains to be covered</b>	<b>Requirement of Qualifications and Experience</b>
Team Leader (s) /Master Trainer	<ul style="list-style-type: none"> <li>• Overall Leadership and Guidance</li> <li>• Social, Urban Poverty Alleviation and Livelihoods expert</li> <li>• Teambuilding</li> <li>• Interpersonal Skills</li> </ul>	Masters in Social Science with 15 plus years of Experience. Experience of working in at least 2 similar projects. Experience of working in Assam.

Social Development Expert(s) I	<ul style="list-style-type: none"> <li>• Urban poverty alleviation</li> <li>• Skills and livelihoods</li> <li>• Social development and convergence</li> <li>• Community mobilization</li> <li>• Social Audit</li> </ul>	Masters in Social Science with 10 plus years of Experience. Experience of working in at least 1 similar project. Experience of working in Assam is preferable.
Social Development Expert(s) II	<ul style="list-style-type: none"> <li>• Shelters for Urban Homeless</li> <li>• Support to Urban Street Vendors</li> </ul>	Masters in Social Science with 10 plus years of Experience. Experience of working in at least 1 similar project. Experience of working in Assam is preferable.
Financial Inclusion, Financial Management & Accounting Expert (s)	<ul style="list-style-type: none"> <li>• Overall Financial Management</li> <li>• Micro Financing</li> <li>• Marketing</li> <li>• Accounts, Financial Rules &amp; Procurement</li> <li>• Credit/ Bank Linkage</li> </ul>	Degree or Post graduate degree in Social Science with minimum 10 years experience and specialization in microfinance, credit, rural marketing, etc. Experience of working in social development projects will be preferred.
IT & MIS Expert (s)	<ul style="list-style-type: none"> <li>• General IT</li> <li>• Web Portals</li> <li>• Management Information Systems</li> <li>• Database Management</li> <li>• Software Training</li> </ul>	Masters in Computer Science or Information Technology (ME, M.Sc, MCA) or MBA with IT specialization with minimum of 5 years experience dealing with MIS, Web portals and Database applications.
Office Management & Communications Expert	<ul style="list-style-type: none"> <li>• Office Procedure &amp; Service related Rules</li> <li>• Soft Skills &amp; Effective</li> </ul>	Masters in Mass Communications/ Degree or Post graduate degree in Social

	Communication Skills <ul style="list-style-type: none"><li>• Less Paper Office.</li></ul>	Sciences with minimum of 5 years experience relevant to Communications, Soft Skills, Public Relations, Office Management, Procedures and Govt. Service related rules.
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*Note: The above list is indicative only. Additional Positions and corresponding domains to be covered and required qualification and experience shall be decided through mutual discussion between the Client and the Agencies.*

### **Deliverables under the Assignment**

The deliverables are as follows:

#### **I. Submission of Inception Report**

To be submitted during the inception period of first three months. The report will provide the detailed work plan for the training and Capacity Building & Training programs including a list of events planned. The Inception Report will be accompanied by:

- Training Needs Assessment Report
- Capacity Building & Training Strategy
- Overall Capacity Building & Training Plan
- Annual Capacity Building Plan for the 1<sup>st</sup> year and tentative Plan for the subsequent years.
- Feedback and Evaluation Strategy and Mechanism

#### **II. Report on Workshops, Seminars and Training Programs**

The Agency shall submit the detailed report within 15 days after completion of each program.

#### **III. Submission of Monthly Progress Reports**

To be submitted at the end of each month for the entire duration of the contract. The report shall cover details of the month ended and action plan for next month. The monthly reports will also include the intermediate feedback and evaluation of the Training programs conducted during the previous month.

### **Funding to training Agencies and Schedule of Payments**

An average amount of Rs. 7,500/- per trainee can be used. The instalments to be provided to the training agencies may be as follows:

1. First instalment – 20% - after signing MoU with agency

2. Second instalment – 30% - after receiving the training calendar and quarterly progress report
3. Third instalment and further instalments – after receiving the progress report

### **Monitoring & Evaluation of Training agencies**

There may be various mechanisms for monitoring the progress and quality of the training programmes organised by the training agencies. These may include:

1. After-training reports submitted by the training agencies;
2. Supervision and periodic visits by the key officials of ASULMS in the trainings organised by the training Agency;
3. Feedback from the training participants; and
4. Third party evaluation of the trainings organised and the impact of the trainings.

### **Deliverables**

The list of deliverables/output and activities of the Agency would be as under:

<b>Sl. No.</b>	<b>Deliverables/Output &amp; Activities</b>
1	Training Need Analysis
2	Capacity Building & Training Strategy
3	Development and Submission of Training Module & Training Manual
4	Overall Capacity Building & Training Plan
5	Feedback and Evaluation Strategy and Mechanism
6	Training of SMMU Technical Experts
7	Training of CMMU Technical Experts
8	Training of Support Staff
9	Training of Community Organisers
10	Training of EOs/CPOs
11	Training of Elected Representatives of ULBs
12	Training of Resource Organisations

### **Management Unit and ULB wise list of prospective trainees**

<b>Sl. No.</b>	<b>Description</b>	<b>No. of Positions</b>
<b>State Mission Management Unit (SMMU)</b>		
1	State Project Manager- HR, Administration, Capacity Building & Training	1
2	State Project Manager- Shelters & Social Infrastructure	1
3	State Project Manager- Social Mobilization & Institution Development	1
4	State Project Manager- Skills & Livelihoods	1

5	State Project Manager- Financial Inclusion & Micro Enterprises	1
6	State Project Manager- MIS & ME	1
7	Accounts Manager	1
8	MIS Executive	1
9	Multi-tasking Official	1
10	P.S. to the State Mission Director	1
11	Grade IV Staff	7
<b>Sub-Total</b>		<b>17 nos.</b>
<b>City Mission Management Unit (CMMU)</b>		
12	City Project Officer (Executive Officer)	25
13	City Project Manager- Social Development & Infrastructure	25
14	City Project Manager- Skills & Micro Enterprises	24
15	City Project Manager- MIS & ME	1
16	City Project Manager- Skills and Livelihoods	1
4	City Project Manager- Financial Inclusion & Micro Enterprises	1
18	Accounts Manager	1
19	MIS Executive	1
20	Accountant	24
21	Computer Operator	24
22	Community Organiser (CO)	42
23	Grade IV Staff	2
<b>Sub-Total</b>		<b>171 nos.</b>
<b>Urban Local Bodies (ULBs)</b>		
24	Chairperson of ULBs	25
25	Vice-Chairperson of ULBs	25
26	Ward Commissioners/Councillors	400
<b>Sub-Total</b>		<b>450 nos.</b>
<b>Others</b>		
27	Resource Organisation	1
<b>Total</b>		<b>639 nos.</b>

## **Annexure I**

### **EVALUATION CRITERIA OF PROPOSALS**

#### **I. EVALUATION OF TECHNICAL PROPOSALS**

Point Distribution of Evaluation Criteria and Sub-criteria for Technical Proposals (TPs) is as follows:

<b>Sl. No.</b>	<b>Criteria</b>	<b>Maximum Points</b>
<b>1</b>	<b>Agency's General Experience in Similar Assignments</b>	<b>40</b>
A	Experience of completed / ongoing projects on preparing institutional capacity building plans or implementation of training programmes (minimum 5 projects will fetch full marks)	<b>20</b>
B	Completed / ongoing assignments related to social development and livelihood sector (minimum 3 projects will fetch full marks)	<b>15</b>
C	Experience of working in the state (minimum 2 projects will fetch full marks)	<b>5</b>
<b>2</b>	<b>Approach &amp; Methodology for proposed assignment</b>	<b>30</b>
A	Understanding of Objectives	<b>3</b>
B	Quality of Methodology	<b>7</b>
C	Innovativeness/Comments on Terms of Reference	<b>3</b>
D	Work Program	<b>5</b>
E	Personnel Schedule	<b>5</b>
F	Key Experts Team Composition, Task Assignments and Summary of CV Information	<b>3</b>
G	Non-Key Experts (Counterpart Personnel) and Facilities	<b>2</b>
H	Proposal Presentation	<b>2</b>
<b>3</b>	<b>Qualification and Experience of Technical Experts</b>	<b>30</b>
A	Team Leader/ Master Trainer	<b>7</b>
B	Social Development Expert I	<b>6</b>
C	Social Development Expert II	<b>5</b>
D	Financial Inclusion, Financial Management & Accounting Expert	<b>5</b>
E	IT & MIS Expert	<b>4</b>
F	Office Management & Communications Expert	<b>3</b>
<b>Maximum Score</b>		<b>100</b>

The grades and percentage rating for the Agency's in the field are shown in Table below.

<b>Sl. No.</b>	<b>Grade (Level of Responsiveness)</b>	<b>% Rating</b>
1.	Poor	0
2.	Below Average	40
3.	Average	70
4.	Good	90
5.	Excellent	100



### **Minimum Technical Score**

For any agency to qualify for the Financial Bid Opening, a minimum of 60 points score in the Technical Proposal Evaluation must be scored by an agency. Financial proposals will be compared only among the proposals achieving the minimum qualifying technical score in order to maintain the acceptable level of quality.

### **Completion of Evaluation of Technical Proposals**

The evaluation results of technical proposals will be detailed in an evaluation report. After the technical quality is evaluated, Agencies whose technical proposals did not meet the minimum qualifying score, or were considered non-responsive to the invitation requirements, will be advised and their financial proposals will be returned unopened.

## **II. EVALUATION OF FINANCIAL PROPOSALS**

With regard to the issues of taxes/cesses, for the purpose of evaluation of Financial Proposal, “cost” shall exclude applicable taxes or cesses.

The Financial Proposal submitted by the Agencies is referred to as the “Gross Financial Proposal” (GFP). During the verification process, GFPs are first checked for compliance with the ITA. Each GFP must include provisional sums and contingencies and must be exclusive of local taxes, and the validity period of the proposals must accord with the validity period set down in the ITA.

A review is then made to ensure that the figures provided in each GFP are consistent with the details of the corresponding technical proposal. The following are taken into account to ensure a fair competition among financial proposals:

- If the inputs shown in the GFP for any expert do not match those shown on the personnel schedule in the technical proposal, the personnel schedule inputs shall prevail and adjustments will be made to the financial proposal accordingly.
- If an expert included in the technical proposal is omitted from the GFP, then the cost of that expert is included in the agency’s financial proposal at the highest rate for that position among all the financial proposals.
- If the total inputs of key experts shown on the technical proposal are below those indicated in the ITA, an adjustment will be made for the missing man-months using the highest remuneration rate per month.

Finally, a review is made for computational errors, and the final amount is considered as the “gross evaluated financial proposal” (GEFP).

GEFPs will be converted into “net evaluated financial proposals” (NEFPs). NEFPs include only variable cost items such as remuneration and reimbursable expenses. Fixed cost items such as provisional sums and contingencies are not included. NEFPs are calculated by subtracting the provisional sums and contingencies (non-competitive components) from the GEFPs.

### **Determining Financial Score**

The lowest NEFP is then given a maximum financial score of 100 points. This is then used as a basis to calculate the score of the other financial proposals. The financial score for each proposal is inversely proportional to its NEFP, that is, the higher the NEFP, the lower the financial score.

The financial score is computed as follows:

**Financial Score of the lowest priced proposal** = 100 points

**Financial Score of other proposals**=  $100 \text{ points} \times (\text{NEFP of the proposal under consideration} / \text{NEFP of the lowest priced proposal})$

Using this methodology, all proposals are given a financial score.

### **Ranking of Proposals**

The total score shall be obtained by weighting and adding the technical and financial scores; this will determine the overall ranking of the Agencies' proposals. 80% weightage will be given to the scores obtained after evaluation of technical proposal and 20% weightage will be given to financial proposal. If financial proposals contain unreasonably low price, the Client will ask the Agency concerned for clarification of such an offer and should receive answers from the Agency to ensure appropriate execution during the contract stage, before concluding the evaluation.

The total score is computed as follows:

**Technical score x Weight (80%) + Financial score x Weight (20%)**

Once the final scores for each proposal have been calculated, they can be ranked from highest to lowest. In the event two or more proposals have the same scores in the final ranking of proposals, the proposal with the highest technical score will be ranked higher and the next highest technical score will be ranked lower. After the final ranking, the highest-ranked Agency will be invited for contract negotiations. The final evaluation results are summarized in an evaluation sheet.

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