

# KERALA

**REQUEST FOR PROPOSAL (RFP) FOR APPOINTMENT  
INDEPENDENT FACILITATING AGENCY FOR SOCIAL AUDIT  
UNDER PRADHAN MANTRI AWAS YOJANA (PMAY)  
HOUSING FOR ALL (URBAN)**



**KUDUMBASHREE**

STATE POVERTY ERADICATION COMMISSION, GOVT. OF KERALA

## **TENDER NOTICE**

REQUEST FOR PROPOSAL (RFP) FOR APPOINTMENT OF INDEPENDANT  
FACILITATING AGENCY (IFA) UNDER PRADHAN MANTRI AWAS YOJANA –  
HOUSING FOR ALL (URBAN)

Kudumbashree, Mission Directorate, PMAY (U)

Thiruvananthapuram, Kerala

Tel: 0471-2554714, 2554715(O),E-mail: uhmkerala@gmail.com

Web site - [www.kudumbashree.org](http://www.kudumbashree.org)

**RFP No 12982/N/17/KSHO**

**Date : 04.01.2018**

Kudumbashree – SLNA (State Level Nodal Agency) PMAY invites technical and financial proposals from eligible Agency for appointment of INDEPENDANT FACILITATING AGENCY (IFA) for all the ULBs of Kerala with respect to Social Audit Guideline 2017 of Pradhan Mantri Awas Yojana – Housing for All (Urban).

### **Participating Agencies must fulfill the following pre-requisites;**

The Agency should be registered under Indian Societies Registration Act/Indian Trust Act/ Indian Religious and Charitable Act as a non–profit institution or a company registered under the Companies Act or under relevant state acts and is in operation for the last three year. Education institution and research institution who are working in this field, at least 3 years experience can also participate in the bidding process.

- Interested Agencies may download the complete Request for Proposal (RFP) document from the website [www.kudumbashree.org](http://www.kudumbashree.org) from **4.01.2018**
- Average annual turnover of consultants/agencies for the last three financial years should be equal to or greater than Rs 10.00lakhs (Ten Lakhs)
- Interested Agencies may submit their proposals along with a non-refundable demand draft of Rs 5000/- (Rupees Five Thousand Only) as cost of RFP and an EMD/Security Deposit of Rs 25,000/- (Rupees Twenty five Thousand only) as prescribed in the RFP document (refundable). No proposals will be accepted without the Bid Security.

- Proposal received without Cost of RFP document & EMD/Security Deposit is ineligible.
- A pre-bid meeting is proposed on proposed on **10.01.2018 at 11.00 AM.**
- The last date for submitting the bids is **25.01.2018 up to 4.00 PM.**
- Proposal received without Cost of RFP document & EMD/Security Deposit is ineligible.

Sl.No	Description	Important Information
1.	Date of publication	04.01.2018 at 3.00 PM
2.	Physical submission of EMD and Cost of tender documents	25.01.2018 up till 4.00 PM
3.	Pre bid Meeting	10.01.2018 at 11.00 AM
3.	Date of opening of Technical Bid	01.02.18 at 3.00 PM
4.	Technical Presentation by the Agency	02.02.18 at 11.00 PM
5.	Date of opening of Financial Bid	02.02.18 at 3.00 PM
6.	RFP Document Fee	Rs. 5,000/- in form of Demand Draft in favour of Executive Director, Kudumbashree.
7.	Amount of EMD	Rs. 25,000/- ( Rupees Twenty Five Thousand only) in form of Demand Draft in favor of Executive Director, Kudumbashree

All amendments, time extension, clarifications etc. will be uploaded on the website only and will not be published in newspapers. The tenderers should regularly visit the website to keep themselves updated.

Executive Director,  
Kudumbashree

# **RFP for Appointment of Independent Facilitating Agency (IFA) under PMAY- HFA (U) in Kerala**

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# Invitation of Proposal

## **1.1 Introduction**

The Pradhan Mantri Awas Yojana (PMAY)-Housing for All (HFA) (Urban) is the flagship programme of Government of India to provide housing to all eligible families in urban areas by way of central assistance through States and UTs. The programme is implemented through four components namely "In situ" Slum Redevelopment, Affordable Housing through Credit Linked Subsidy, Affordable Housing in Partnership, and Subsidy for beneficiary-led individual house construction in a Mission mode. Social Audit is one of the major foci of the Mission.

Interested Agencies/consultant firms having experience in the services envisaged are hereby invited to submit their Request for Proposal (RFP) in the prescribed format. The salient features of the proposed task, technical and financial eligibility criteria, selection process and timetable are given in the RFP document. The RFP document contains information about the Project, bidding process, Bid submission, qualification, and Techno-Financial Proposal and Commercial Offer requirements

- Kudumbashree – SLNA (State Level Nodal Agency) PMAY invites technical and financial proposals from eligible Agency for appointment of **INDEPENDANT FACILITATING AGENCY (IFA)** for all the ULBs of Kerala with respect to Social Audit Guideline 2017 of Pradhan Mantri Awas Yojana – Housing for All (Urban).
- Interested Agencies/consultant firms having experience in the services envisaged are hereby invited to submit their Request for Proposal (RFP) in the prescribed format. The salient features of the proposed task, technical and financial eligibility criteria, selection process and timetable are given in the RFP document. The RFP document contains information about the Project, bidding process, Bid submission, qualification, and Techno-Financial Proposal and Commercial Offer requirements.

- It may be noted that while all the information and data regarding this RFP is, to the best of the Client's knowledge, accurate within the scope of the proposed contract, the Client holds no responsibility for the accuracy of this information and it is the responsibility of the Consultant to check the validity of data included in this document.
- Bidders are requested to submit attested copies of following documents along with their proposals:-
- Document Fee (Non-Refundable) of Rs 5000/-(Rupees Five Thousand Only) in the form of demand draft of scheduled bank.
- Earnest Money Deposit (EMD)/ Bid Security (Refundable) of Rs.25, 000/- (Rupees Twenty Five Thousand Only).
- Copy of Certificate of Incorporation/Registration Certificate.
- Audited Statement of Annual Turn Over of last 3 years to be enclosed along with Income Tax Return (ITR).
- Original draft of EMD in the name Executive Director, Kudumbashree of Document fee shall also be submitted physically before the scheduled date.
- A prospective Bidder requiring any clarification on the RFP document may inform Kudumbashree in writing/email. Last Date for receiving queries is up to 15.01.2018. Bid submissions must be received no later than **25.01.2018 (up till 4.00 PM)** in the manner specified in the RFP in the address given below.

Mission Directorate, PMAY (U)  
Executive Director,  
Kudumbashree,  
2nd Floor, TRIDA Buildings  
Medical College P.O, Trivandrum -11,Tel: 0471-2554714, 2554715(O),  
E-mail: pmaysocialaudit2017@gmail.com, [www.kudumbashree.org](http://www.kudumbashree.org)



## **1.2 Data Sheet**

1.	Name of the Client Executive Director, Kudumbashree
2.	Method of Selection Least Cost Based wherein Financial Proposal of only those firms will be opened who will secure a minimum of 60% marks in technical evaluation.
3.	Financial Proposal together with Technical Proposal shall either by post or by
4.	Title of Consulting Service is: Social Audit with respect to Social Audit guidelines of PMAY-HFA (Urban), Kerala
5.	A pre-bid Meeting will be held Date: 10.01.2018 Time: 11.00 AM Venue: Kudumbashree State Mission Office.
6.	Client Representative: Director of Urban Housing Mission
7.	Proposals shall remain valid for 120 days after the submission date indicated in this Data Sheet.
8.	The Consultant is required to include with its Proposal written confirmation of authorization to sign on behalf of the Consultant :

9.	<p><b><u>Bidders Eligibility Criteria</u></b></p> <p>The Agency should be registered under Indian Societies Registration Act/Indian Trust Act/ Indian Religious and Charitable Act as a non–profit institution or a company registered under the Companies Act or under relevant state acts for at least three year. Education institution and research institution who are working in this field, at least 3 years experience can also participate in the bidding process.</p>
10.	<p><b><u>Areas of Expertise</u></b></p> <p>Methods for community mobilization/participation, Beneficiary participation in development projects, Participatory research methodologies, developing design and tools for social science research studies, Stakeholder Analysis, training methods.</p>
10.	<p>Financial Proposal and Technical Proposal to be submitted physically along with EMD and Cost of tender documents by 25.01.2018 till 04:00 PM.</p>
11.	<p>Separate Technical and Financial bids should be submitted to SLNA in two separate sealed envelopes super scribed in the envelope as "Envelope No.1 (Technical bid for Social Audit for PMAY Projects" and "Envelope No.2 (Financial bid for Social Audit for PMAY project)". A Pre-bid conference would be held by SLNA to provide clarifications as may be necessary. SLNA reserves the right to accept or reject any bid. Only valid technical and financial bids are eligible.</p> <p>Technical Proposal and Technical Proposal should be clearly marked - DO NOT OPEN, EXCEPT IN THE PRESENCE OF THE TENDER COMMITTEE’.</p>
12.	<p>A non-refundable RFP Cost should be provided with Technical Proposal: Yes.</p> <p>If Yes, the amount of the RFP Cost is Rs. 5,000/ (Five thousand)only Demand Draft favouring the Executive Director, Kudumbashree, Trivandrum and drawn on a Nationalized bank/ Scheduled Bank, Payable at Trivandrum.</p>

13.	<p>A Bid Security must be submitted: Yes</p> <p>An Earnest Money Deposit (EMD)/ Bid Security should be provided with Technical Proposal: Yes</p> <p>If Yes, the amount of the Earnest Money Deposit (EMD)/ Bid Security is of Rs.25,000/- (Rupees Twenty Five Thousand Only).</p> <p>Demand Draft favoring the Executive Director, Kudumbashree and drawn on a nationalized bank/scheduled Bank, Payable at Trivandrum</p>
14.	<p>The amount of the EMD/Bid Security is Rs.25, 000/- (Rupees Twenty Five Thousand Only).for each Bid and the duration for validity of Bid Security is 120 days. Bid security shall be refunded to the successful bidder upon signing of agreement with Executive Director, Kudumbashree, For unsuccessful bidders the bid security shall be refunded within 30 days after signing of agreement with the successful bidder. The EMD of the unsuccessful bidders would be returned within one month of finalization of the contract</p>
15.	<p>A Performance Bank Guarantee is to be submitted by the successful Bidder before signing of Contract. Amount will be 5% of the contract value; This may be provided as 100% Bank Guarantee. Bank Guarantee will be made in the name of: Executive Director, Kudumbashree Trivandrum and drawn on a nationalized or scheduled commercial bank.</p>
16.	<p>Currency for Proposals is: Indian National Rupee (INR)</p>
17.	<p>Address for communication/ submission of Proposals:</p> <p>Mission Directorate, PMAY (U)  Executive Director,  Kudumbashree,  2nd Floor, TRIDA Buildings  Medical College P.O, Trivandrum -11  Tel: 0471-2554714, 2554715(O),  E-mail: <a href="mailto:pmaysocialaudit2017@gmail.com">pmaysocialaudit2017@gmail.com</a>  <a href="http://www.kudumbashree.org">www.kudumbashree.org</a></p>

18.	Date for public opening of Technical Proposals: 01.02.2018 at 3.00 PM
	Date of Technical presentation by the Agency : 02.02.2018 at 11.00 AM
19.	Date for public opening of Financial Proposals: 02.02.2018 at 3.00 PM
20.	Expected date for commencement of consulting services: (Within 7 days of signing the agreement with Executive Director, Kudumbashree)
21.	The proposals will be evaluated based on the information provided by the applicants and the evaluation will be done as per detailed criteria mentioned in RFP Document
22.	The services of the IFA are required to be rendered for 1 year
23.	Successful Audit Agency should execute an agreement for the fulfillment of the contract in the stamp paper for Rs.200/- in the form prescribed by the Executive Director, Kudumbashree within one week from the date of acceptance of the Independent Facilitating Agency (IFA). The successful bidder shall submit BG or DD for 5% of the total value of the contract. The incidental expenses in the execution of agreement shall be borne by the Independent Facilitating Agency (IFA)..

### **1.3 Instructions to Bidders**

#### **1.3.1 Introduction**

- The Agencies are invited to submit Technical Proposal as specified in the attached format. The Proposal shall be the basis for a signed Contract with the selected.
- The Agency shall bear all costs associated with the preparation and submission of its Proposal and contract negotiation.

- The Client is not bound to accept any Proposal, and reserves the right to annul the selection process at any time prior to award of Contract without thereby incurring any liability to the Consultant.

### **1.3.2 Number of Proposals**

Agency can only submit one proposal. If an Agency submits or participates in more than one proposal, such additional proposal(s) shall be disqualified except the one received first.

### **1.3.3 Clarifications of RFP Documents**

Agency may request clarification of any of the RFP documents up to a specified number of days before the submission date as indicated in the Data Sheet. Any request for clarification must be sent in writing, including by standard electronic means, to the Client's Representative whose address is provided in the Data Sheet. The Client will respond by standard electronic/self means within the period specified in the Data Sheet, and will send written copies of the response (including an explanation of the query, without identifying the source of inquiry) to all Agencies who have formally indicated that they intend to submit a Proposal

### **1.3.4 Preparation of Proposals**

The Proposal and all related correspondence exchanged between the Agency and the Client shall be written in the English language. Supporting documents and printed literature that are part of the Proposal may be in another language provided they are accompanied by an accurate translation of the relevant passages in English, in which case, for the purposes of interpretation of the Proposal, the translated version i.e. English language shall govern. The Agency shall bear all costs associated with the preparation and submission of its Proposal. The Client shall not be responsible or liable for those costs, regardless of the conduct or outcome of the bidding process.

### **1.3.5 Instructions for Submission of Proposal**

Proposals must be received before the deadline specified in the Data Sheet to tender. Proposals must be submitted to the address specified on the Data Sheet and delivered on or before the time

specified in the Data Sheet. Consultants shall submit one sealed envelope, containing the Technical Proposal along with the DD of the cost of tender and EMD.

### **1.3.6 Submission Instructions**

Agencies are supposed to carefully review the contract provisions attached in the RFP for preparation of their Proposals.

The Agency shall submit Proposals using the appropriate submission sheets provided in Appendices (Technical format and Financial Format). These forms must be completed without any alteration to their format, and no substitutes will be accepted. All fields shall be completed with the information requested.

### **1.3.7 Proposal Validity**

- Proposals shall remain valid for the period specified in the RFP commencing with the deadline for submission of Proposal as prescribed by the Client.
- A Proposal valid for a shorter period shall be considered nonresponsive and will be rejected by the Client out rightly.
- During the Proposal validity period, agencies shall maintain the availability of experts nominated in the Proposal. The Client will make its best effort to complete negotiations within this period.

## **1.4 Organization Profile**

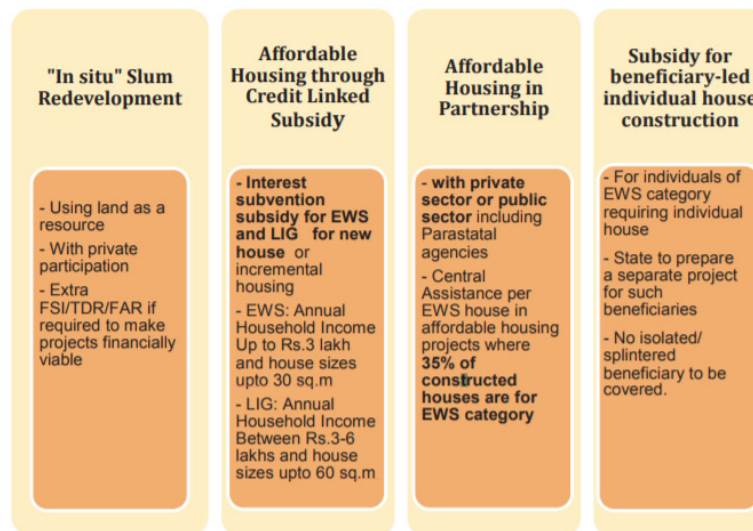
Kudumbashree is the women empowerment and poverty eradication program, framed and enforced by the State Poverty Eradication Mission (SPEM) of the Government of Kerala. The Mission aims to eradicate absolute poverty within a definite time frame of 10 years under the leadership of Local Self Governments formed and empowered by the 73rd and 74th Amendments of the Constitution of India. The Mission launched by the State Government with the active support of Government of India and NABARD has adopted a different methodology in

addressing poverty by organizing the poor in to community-based organizations. The Mission follows a process approach rather than a project approach.

It has a governing body chaired by the State Minister of Local Self Government. There is a State Mission with field officers in each district. This official structure supports and facilitates the activities of the community network across the state. The Head Quarters of the Mission is functioning in the TRIDA Rehabilitation building, 2nd floor, Medical College. P.O, Thiruvananthapuram - 695011.

### **1.5 Project Brief**

The Government of India (GoI) has launched a comprehensive mission viz “Pradhan Mantri AwasYojana- Housing for All (Urban)”. The mission seeks to address the housing requirement of urban poor including slum dwellers through following programme



The Government of Kerala (GoK) has designated Kudumbashree as the State Level Nodal Agency (SLNA), for the implementation of Housing for All (HFA), in the State. Further, the ministry has selected 93 cities, in the state for the implementation of the PMAY.

The mission will support the construction of houses upto 30 square meter carpet area with basic civic infrastructure. The beneficiaries are permitted to construct dwelling units exceeding 30

square meters, provided that the beneficiary shall meet the additional expenditure; if any incurred in this regard.

## **2. Assignment objective - Need for Social Audit**

Social Audit provides the beneficiaries and other stakeholders an opportunity to scrutinize the procedures and benefits of the Mission. It effects better implementation, ensures accountability, transparency and participation. Social audit has origin in the democratic values and principles of transparency and accountability. It helps to measure, understand, report and improve the Mission's social and ethical performance. Social Audit is a participatory monitoring exercise used to systematically assess the progress of the PMAY mission. It is not just an information gathering exercise, but a tool for social mobilization and sensitisation of the Mission objectives to a wide range of stakeholders. Social Audit should be conducted in a non-threatening environment by making everyone involved in the process fully aware of the Mission objective. It values the voice of all stakeholders, especially the marginalized and poor beneficiaries.

### **2.1 Scope and Objectives of Social Audit**

The social audit will focus on obtaining feedback of the beneficiaries and stakeholders. The scope primarily covers but is not restricted to: selection of beneficiaries; quality of the construction; effectiveness of pro-poor basic services provided; dealing with officials; satisfaction of the targeted beneficiaries. The key objectives of Social Audit of PMAY Mission are:

- Increase efficacy of the Mission by understanding any issues and gaps, as perceived by the project stakeholders and take timely remedial action.
- Contribute to facilitating participation of the beneficiaries and other stakeholders at every stage of the project implementation
- Improve the social performance of the HFA mission by making it inclusive, participatory, and transparent and give voice to the vulnerable people, including women.
- Assessment of impact of beneficiary sensitisation on project about the benefits and enhance the visibility of the project among the general public.



- Broaden the understanding of the social impact of the HFA Mission, particularly its reach and relevance to the beneficiaries by supplementing the information received from other monitoring and evaluation mechanisms

Support states/UTs to conduct social audit of Mission Projects by:

- Developing city wise plans and calendars for Social Audit in consultation with Urban Local Bodies (ULB) and conduct Social Audit with support from State Level Nodal Agencies (SLNA), and State/City Level Technical Cells as explained in Mission's Social Audit Guidelines.
- Providing dedicated Social Audit expert/s to conduct Social Audit. The expert will lead the social Audit process by selecting projects for Social Audit, design tools, forms and train Social Audit Committee members, facilitate all social audit related meetings, and ensure systematic data collection during the field work by efficiently guiding the Social Audit process, as per the process outlined in Mission's Social Audit Guidelines.
- Prepare Social Audit report and share it with required stakeholders.

## **2.2 Social Audit Plan at a glance**

- State Level Nodal Agency submits Social Audit plan along with other required documents.
- The State Level Nodal Agency hires a 'credible' institution as an Independent Facilitating Agency
- State Level Nodal Agency forms a Social Audit Facilitating Team, consisting of a designated expert from the Independent Facilitating Agency and the Social Development Specialist (or any other appropriate specialist) based in the State Level Technical Cell.
- Social Audit Facilitating Team finalizes list of projects and dwelling units to be audited.
- The IFA meets the 'senior management team' of selected Urban Local Bodies along with City Level Technical Cell members and brief them about the Social Audit plan.
- Independent Facilitating Agency forms a Social Audit Committee

- The Independent Facilitating Agency designs tools for Social Audit
- The Social Audit Committee conducts social audit

### **2.3 Steps involved in a Social Audit Process**

The social audit process involves the following steps.

- Building relationships with urban local bodies (ULBs), other stakeholders, including CSOs, community-based organizations (CBOs) and beneficiaries (primary stakeholders)
- Information sharing on the purpose of undertaking Social Audit to create conducive conditions for the Social Audit to take off
- Creating committees/forums (Social Audit) which have the representation of women and marginalized groups from the communities
- Building the capacities of all stakeholders involved in the process, methodology etc.
- Creating grievance redressal mechanisms to resolve conflicts which may arise during conduct of Social audit
- Collecting the information for audit
- Verifying the information collected and cross-checking it through field visits
- Collating and consolidating information into simple and understandable formats for public understanding
- Identifying gaps and discrepancies in the implementation of the process
- Convening a Public Meeting
- Follow-up action and resolutions

### **2.4 Project Area**

This proposal invitation is for the all the urban local bodies included of 6 corporations and 87 municipalities of Kerala. Each local body will be treated as a separate entity for the purpose of allotting of the work. Separate, and possibly different, rates must be submitted to each local bodies where the proposer intends to undertake work. For all subsequent references to the local bodies, it implies work for each unit unless explicitly mentioned.

**Table 1****District wise List of ULBs in Kerala**

<b>Sl. No</b>	<b>District</b>	<b>Corporation</b>	<b>Municipalities</b>	<b>No of ULB's</b>
1	Trivandrum	Trivandrum	Nedumangad, Neyyatinkara,Attingal,Varkala	5
2	Kollam	Kollam	Paravur (South), Karunagappally, Punalur, Kottarakkara	5
3	Pathanamthitta		Adoor, Pathanamthitta, Tiruvalla, Pandalam	4
4	Alappuzha		Alappuzha, Chenganur,Cherthala, Kayamkulam, Mavelikkara,Harippad	6
5	Idukki		Thodupuzha, Kattappana	2
6	Kottayam		Kottayam,Pala,Vaikom,Changanacherry, Ettumanoor,Erattupetta	6
7	Ernakulam	Kochi	Aluva, Angamaly,Kalamassery, Kothamangalam,Muvattupuzha NorthParavoor,Maradu, Perumbavoor,Thrikkakara, Thripunithura, Eloor,Piravam, Koothattukulam	14
8	Thrissur	Thrissur	Chalakkudy, Chavakkad Guruvayoor, Irinjalakuda Kodungallur, Kunnamkulam Vadakkancherry	8

9	Palakkad		Ottappalam, Palakkad, Shornur, Chittur – Thattamangalm, Pattambi, Cherppulassery, Mannarkkadu	7
10	Malappuram		Malappuram, Manjeri, Kottakkal, Nilambur, Perinthalmanna, Ponnani, Tirur, Parappanangadi, Valancherry, Thiroorangadi, Thanoor, Kondotty	12
11	Kozhikode	Kozhikode	Koyilandy, Vadakara, Payyoli, Mukkam, Koduvally, Ramanattukarae, Feroke	3
12	Wayanad		Kalpetta, Mananthavady, Sulthan Bathery	10
13	Kannur	Kannur	Koothuparambu, Mattannur, Payyannur, Thalassery, Thaliparamba, Antho or, Panoor, Iritty, Sreekantapuram	10
14	Kasaragod		Kasaragod, Kanhangad, Nileswaram	3
		<b>Total</b>		<b>93</b>

### **2.5 Responsibilities of State Level Nodal Agencies**

The State Level Nodal Agency (SLNA) is the overall coordinating unit of the Social Audit in all the project cities in a state. The SLNA will be responsible for overall coordination, planning, and execution of the Social Audit. Though the Social Development Specialist in the State Level Technical Cell (SLTC) along with the IFA designated expert will lead the social audit process, all other specialists based in SLTC and City Level Technical Cells (CLTC) will provide

technical inputs and advice to the social audit process and will also join the exercise as and when required. Key roles of SLNA include:

- Develop and submit the ‘audit plan’ and budget for the approval by the Ministry
- Support, Co-ordinate, and monitor the implementation of Social Audit
- Hire an Independent Facilitating Agency (IFA) through an open bidding process for undertaking Social Audit
- Help IFA to identify projects and dwelling units for Social Audit, and form Social Audit Committee through SLTCs/CLTCs
- Ensure compilation of Social Audit report by IFA and submit the report to the Ministry
- Analyse and follow up Social Audit findings

## **2.6 Role of SLTCs and CLTCs**

- SLTCs and CLTCs should depute their Social Development Specialist or any other appropriate specialist to work closely with the Social Audit Expert from the IFA, not only in an advisory capacity but also as support to the entire Social Audit process.
- Specialists from SLTC/CLTC should assist the social audit in identification of projects and dwelling units for audit, liaison with the ULB senior management team, accessing relevant documents, form Social Audit Committees, and organising public meetings and group discussions in the field.

## **2.7 Urban Local Bodies and their Responsibilities**

Key responsibilities of ULBs include:

- Support formation of Social Audit Committees by the IFA
- Create enabling environment for social audit
- Share all relevant and available Mission related information/documents required for social audit
- Provide feedback, suggestions, on the resource materials, tools, checklists, formats, and approve the report prepared by the IFA

- Participate in all relevant public meetings on Social Audit and share Social Audit findings to important stakeholders
- Analyse social audit findings and address the issues and gaps identified by the Social Audit Committee

## **2.8 Role of Independent Facility Agency (IFA)**

- Provide dedicated Social Audit expert/s to conduct Social Audit
- Complete Desk Research/Documents Audit using all relevant HFA Project related reports
- Select projects and dwelling units for Social Audit, as per the process outlined in the Guidelines
- Develop city wise plans and calendar for Social Audit, in consultation with Urban Local Bodies (ULB)
- Design tools for Social audit, form and train Social Audit Committee members, facilitate all social audit related meetings, and ensure systematic data collection during the field work by efficiently guiding the process
- Facilitate the formation of Social Audit Committee (SAC) in consultation with the ULB to conduct social audit in the identified cities
- Complete Social Audit process by being sensitive to local socio-cultural context and by ensuring the democratic spirit and underlying principles of social audit.
- Prepare Social Audit report and share it with the ULB, SLNA, and to any other stakeholders, as advised by SLNA.

## **2.9 Area of Social Audit**

Any Urban Local Body in Kerala, selected by the IFA and SLNA (Kudumbashree)

### **3 Scope of Work, Time frame and Deliverables of Social Audit agencies**

#### **3.1 Preparation for Social Audit**

##### **Preparatory activities of Social Audit are:**

- Creating an enabling environment for Social Audit
- Systematic selection of projects and dwelling units
- Stakeholder Mapping
- Formation of Social Audit Committee
- Formation of 'task based' sub-committees, and assigning a Documents Auditor
- Identification of issues for audit
- Development of Social Audit tools

#### **3.2 Creating Enabling Environment for Social Audit**

- ULBs must create beneficiary awareness on the services, cost, standards, procedures, time frames, available mechanisms for grievance redressal by conducting meetings and through use of locally available media.
- ULBs should encourage stakeholders in the project area to take part in consultations about the project implementation.
- Capacity building and orientation of various stakeholders and agencies involved in the audit process is necessary. An initial orientation on Social Audit to the officials to be made by the IFA in the first meeting with the ULB. This will be followed up by further orientation training during the social audit meeting, as explained in section IX
- Beneficiary members from the marginalized communities should be treated as equal partners throughout the social audit process.

#### **3.3 Systematic Selection of Projects and Dwelling units**

- To begin with 5-10% of the approved projects are selected for social audit, using random sampling technique. All projects selected for audit should have at least 100 dwelling units grounded for construction with beneficiaries identified. If any selected project does not

meet this requirement of ‘minimum 100 dwelling units’, it should be replaced with another project with required number of dwelling units, through random sampling.( List of ULBs – grounded DUs – more than 100 Nos. is attached herewith)

- The sampling process should also ensure ‘purposive’ inclusion of a cross section of projects belonging various ‘verticals’, ‘durations’, ‘levels of completion’, and ‘population groups’ for audit.
- Projects with maximum number of beneficiaries from SC, ST, minority, transgender and differently abled person backgrounds should be preferred for including in Social Audit

**Table 2**

**ULBS Grounded more than hundred 100 DUs (as on 14.12.2017)**

Sl.No	ULB	No of beneficiaries	Agreement executed	DUs grounded ( in Numbers)
1	Alappuzha	3083	1053	1050
2	Anthoor	335	146	146
3	Chavakkad	888	305	305
4	Chittur-Thathamangalam	568	168	168
5	Erattupetta	564	136	132
6	Feroke	407	148	140
7	Guruvayoor	502	180	159
8	Irinjalakuda	403	117	124
9	Kalamassery	616	145	145
10	Kalpetta	465	143	117
11	Kanhangad	939	126	113
12	Kannur	529	270	264
13	Karunagappally	526	141	141
14	Kattapana	1378	144	112
15	Kayamkulam	544	175	167
16	Kochi	3599	818	773



17	Kodungallur	924	137	136
18	Kollam	3130	866	795
19	Kondotty	842	288	286
20	Koothuparamba	410	150	135
21	Kottarakkara	323	134	134
22	Kottayam	678	132	132
23	Kozhikode	2392	265	237
24	Kunnamkulam	590	132	132
25	Malappuram	1286	548	475
26	Manjeri	1020	420	414
27	Mannarkkad	554	221	121
28	Mukkom	376	285	285
29	Nedumangadu	1392	759	759
30	Neyyattinkara	2168	438	438
31	Nileswaram	604	128	128
32	Ottappalam	753	286	263
33	Palakkad	1588	278	218
34	Pathanamthitta	649	114	119
35	Pattambi	504	138	138
36	Payyannur	551	180	173
37	Ponnani	1048	380	235
38	Punalur	1155	178	176
39	Quilandy	946	248	248
40	South Paravoor	596	248	248
41	Sreekandapuram	267	133	133
42	Thalassery	273	122	122
43	Thalipparamba	291	147	174
44	Thiruvalla	410	111	104

45	Thiruvananthapuram	5138	2325	797
46	Thodupuzha	816	211	209
47	Thripunithura	761	201	196
48	Thrissur	965	262	236
49	Vadakara	530	153	152
50	Varkala	422	202	187
51	Wadakkanchery	1239	383	383
		<b>67953</b>	<b>17836</b>	<b>14922</b>

As per Social Audit plan of Kerala, we would like to select 9 ULBs from the above list (ULBs grounded more 100 dwelling units) on random basis,

### **3.4 Budget for Social Audit as per the Social Audit Plan**

**Table 3**

SL. NO	PARTICULARS (As on 14.12.2017)	
1	Total number of DUs approved under the HFA Mission in the state	67953
2	Total Number of ULBs grounded more than 100 DUs	51
3	Total number of ULBs to be selected for Social Audit	9 (To be selected from the above table 2 - <b>ULBS Grounded more than hundred 100 DUs-should select at least 2 Corporations</b> )
3	Total number of DUs selected for Social Audit	To be finalized ( minimum 900)
3	Number of Dwelling units covered in	10 %

	the Social Audit	( Minimum of 100 Unit whichever is higher from the selected ULBs)
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### **3.5 Stakeholder Mapping**

IFA in consultation with the CLTC will do ‘stakeholder mapping’ of the project at the city level. An indicative list of stakeholders of the HFA Mission should include:

- Direct beneficiary groups of all the available ‘verticals’ of the HFA
- Elected Representatives/ MLAs/MPs/other Local Self Government bodies
- Staff of ULB, CLTC and other state level agencies responsible for project implementation in the project area
- Private Agencies/Contractors/Lending Institutions associated with the project
- Citizen Organizations, Community Groups, and RWAs Voluntary organizations/ institutions/CSOs/CBOs and other similar groups
- Students of architectural/design institutes, universities, social science research and training institutions in the district where the projects and dwelling units are located
- Any other relevant stakeholder groups from the project area

### **3.6 Formation of Social Audit Committee**

From the list of stakeholders, IFA in consultation with CLTC will form a Social Audit Committee (SAC) by including people of integrity, good reputation and interested in joining the social audit process.

- The strength of SAC should not be more than 30 members or less than 20 members.
- The Social Audit Committee should ensure representation from the beneficiary community and from institutions/CBOs having prior experience in conducting social audit related exercises.
- There should be adequate representation of women, minority and backward castes, transgender and differently abled person in the Committee.
-

### **3.7 Key responsibilities of the Social Audit Committee are:**

1. Create awareness among stakeholders and encourage participation of beneficiaries
2. Collect, examine and verify relevant information related to the implementation of the HFA projects and dwelling units.
3. Record information collected through consultations and discussions
4. Prepare reports based on the information gathered through the audit process by incorporating various issues, facts, and complaints that came up during the audit process
5. Support IFA in Organizing public/community meetings and in informing the beneficiaries and other stakeholders on the audit outcomes
6. Support IFA to prepare Social Audit Reports
7. Support ULB to follow up the audit report

### **3.8 Formation of ‘Task Based’ Sub-committees and Assigning a ‘Documents Auditor’ within SAC**

1. The Social Audit Committee should be further divided into sub groups to undertake tasks such as collection of information through interviews, conducting group discussions and public hearing, and compilation of report etc.
2. One expert member of SAC should act as ‘Documents Auditor’ for verifying financial statements and other records.
3. IFA should equip the ‘Documents Auditor’ with ‘check list’ to be used for documents audit and through ULB should provide access to all the relevant records required to complete his task.
4. ‘Documents Auditor’ should complete review of all relevant documents prior to the ‘social audit meeting’

### **3.9 Identification Issues for Social Audit**

The broad issues/parameters of Social Audit are around awareness, inclusion, participation, efficiency, effectiveness transparency, quality, and accountability of the project being implemented and these should be examined. Based on the socio-cultural context of the city,

the implementation stage of the project, and the feedback from stakeholders, the IFA may further extrapolate key issues/ parameters to be included in the social audit.

### **3.10 Developing Tools for Social Audit**

Besides an information gathering exercise, Social Audit is a tool for social mobilization and sensitization of Mission objectives to a wide range of stakeholders.

**Table 4**

#### **Issues/Parameters and indicators to be used for Social Audit**

<b>Parameter</b>	<b>Indicator</b>
Awareness	Awareness of beneficiaries about their entitlements from the HFA Mission
Inclusion	Proportion of marginalized communities: SC/ST/OBC/minorities/ differently abled person/transgender manual scavengers/women (with overriding preference to widows) etc. among beneficiaries
Participation	Involvement of beneficiaries, CBOs/CSOs/ co-implementing agencies (e.g. banks/builders) in project related consultations and nature and frequency of consultations with these groups
Effectiveness and Efficiency	Identification of right beneficiaries. Whether the construction activities are being completed as per the planned duration, specifications and standards. Satisfaction about Project related services in meeting beneficiary's requirements
Transparency	Proactive disclosures of project details including financial details by ULBs in the public domain
Quality Monitoring	Existence of any technical group/committee with members different from those involved in project implementation. Periodic reviews of project activities and actions taken on gaps found. Visits by ULB/CLTC staff to project sites.
Accountability	Measures taken to avoid malpractices and corruption Mechanisms

	on grievance redressal and awareness of mechanisms for grievance redressal. Instances of grievances/complaints escalated to ULB authorities and duration of resolving those grievances/complaints
Issues/ complaints	Any unresolved issues and complaints

**Table 5**

**Tools to be used for Social Audit**

<b>Review of Documents</b>	All relevant project documents should be reviewed, based on a Checklist. IFA expert with the help of a Documents Auditor (deputed by the Social Audit Committee) should gather all required information prior to the Social Audit Meeting. Besides Project's relevant financial statements, the Documents Review should include Housing for All Plan of Action (HFAPoA), Detailed Project Report (DPR), Annual Implementation Plan (AIP), Quarterly Progress Report(QPR), and any other relevant documents including media reports about the Project/ Mission.
<b>Public Hearing</b>	Public Hearings should be conducted at a public place, accessible to everybody in the city, where the audit happens. Beneficiaries of the selected projects as well as those belonging to all verticals of PMAY in the city /ULB where Social Audit takes place should be invited and encouraged to participate in Public Hearings. Prior to scheduling Public Hearings, the beneficiaries and stakeholders should be suitably informed through leaflets/ pamphlets and/or newspaper advertisements. Ideally Public Hearings should be scheduled on a public holiday or any other convenient day as per the area involved in the Audit. The parameters on which

	auditors may gather feedback from the beneficiaries through Public Hearings must include in the report.
<b>Key Informant Interviews with Service Providers</b>	Semi-structured questionnaires should be used to collect relevant information from the concerned ULB officials on the projects and dwelling units to be audited.
<b>Group Discussions</b>	Group discussions with invited members of the beneficiary communities should be done to understand community perspective/perception about the project, especially gaps in the project implementation process.
<b>In-depth Interviews</b>	Interviews should be conducted with beneficiaries to gain first-hand information on the working of the project, the issues and challenges faced at a personal level.

- Out of the five tools listed above, the first three, namely, Documents Review, Public Hearing and Key Informant Interviews are essential and should be used in all Social Audits.
- Group discussions and in-depth interviews with beneficiaries are also very important tools to understand nuances of issues and these should also be used, though these two tools maybe excluded in rare cases, depending on the issues included in the Social Audit.
- IFA expert should develop checklists for Documents Review, and Public Hearing, and group discussions
- IFA Expert should develop interview guides (for in-depth interviews and for Key-informant interviews) and should also identify respondents, using systematic sampling techniques, generally used in qualitative research.

### **3.11 Social Audit Meeting**

After completing all the preparatory works as discussed above, IFA should invite the SAC for an intensive **2-day meeting** cum field work, preferably on a weekend/holiday at a

centrally located place (like a town hall) where participants could easily come in. SAC should be given at least a week's notice for the event.

**Day 1:**

1. On the first half of the first day of the Meeting, participants should be thoroughly oriented on the project, its objectives, sensitive aspects of the audit process and how to handle these sensitive aspects with care, the process to be followed, and the tools to be used. The Documents Reviewer will also make a very brief presentation on his findings.
2. The second half of first day will be used for explaining the process of social audit and the methods to be used for the field work.
3. Towards the end of the first day, participants will be grouped into 'task based subcommittees' - ideally into five sub committees IFA will ensure that the sub-committees will have experienced experts who will ensure systematic information gathering, during the audit process.

**Day 2:**

1. During the first half of day-two of the Social Audit meeting, sub-committees will go directly to their assigned Project related sites and collect the required information, using the checklists/guides given to them. All information gathering exercises including Public Meeting should be concluded before lunch time and all the Social Audit team members will re-assemble to complete the Audit process.
2. The first half of the afternoon should be used for compilation and presentation of reports by the subcommittees. A consolidated brief report will then be presented in a plenary and should get the approval of SAC members as well as of the ULB representative present at the Meeting.
3. The senior representative of the ULB present in the plenary has the right to embargo/withheld the brief consolidated Audit report from public dissemination, if the report has any sensitive information hostile to the Mission's success. However, S/he will have no right to influence the content of the report which was discussed and approved by the SAC



in the plenary meeting. All such reports should be sent to Ministry of Housing and Urban Affairs through SLNA for immediate review and follow up.

4. At the end of the plenary, a brief consolidated report with key findings of each of the sub groups, should be ready for public dissemination.
5. A larger public meeting and/or a press release (optional) may be organized towards the end of the second day to let everyone know the preliminary findings of the social audit. In addition to sharing the Social Audit findings in the public meeting and optional press release on the second day of the social audit workshop, Social Audit reports should be further disseminated to stakeholders for feedback. This dissemination can be within additional meetings, through newspaper reports, hoardings, local cable TV/local radio, in ULB's website etc. Based on the issues raised in the Social Audit Report, the ULB shall frame its future course of action. ULBs are responsible for the follow up of various actions to be taken.

### **3.12 Social Audit Reports**

A detailed city level report as per the format given in Annexure 1 should be submitted to the Municipal Secretary/appropriate authority of the ULB within a week after the Social Audit. This report must also be circulated among all the stakeholders of the project, especially among the SAC members. Upon receiving the report, the Municipal Secretary of the ULB may take actions as deemed fit for correction or improvement of the Project's social performance indicators. A consolidated state level report, duly signed by the state Mission Director/competent authority should be sent to the Ministry of Housing and Urban Affairs. Though a similar format of city level report given in **Annexure** can be used for preparing the state level report, it should be written as a consolidated state level report. Ministry may ask city level reports later, in case there is need. Any Body formed by the Government of India, such as District Level Advisory and Monitoring Committee (DLAMC) has the right to review social audit reports. Upon receiving and reviewing the state level report, the CSMC reserves the right to take any appropriate action regarding release of installments for funding of the project or any other measure as deemed necessary.

## **4 Selection process for Social Audit – Independent Facilitating Agency**

### **4.1 Who can Apply**

The Agency should be registered under Indian Societies Registration Act/Indian Trust Act/ Indian Religious and Charitable Act as a non-profit institution or a company registered under the Companies Act or under relevant state acts for at least three year. Education institution and research institution who are working in this field, at least 3 years experience can also participate in the bidding process.

- Interested Agencies may download the complete Request for Proposal (RFP) document from the website [www.kudumbashree.org](http://www.kudumbashree.org) from **4.01.2018**
- Interested Agencies may submit their proposals along with a non-refundable demand draft of Rs 5000/- (Rupees Five Thousand Only) as cost of RFP and an EMD/Security Deposit of Rs 25,000/- (Rupees Twenty Five thousand Only) as prescribed in the RFP document (refundable). No proposals will be accepted without the Bid Security.
- Proposal received without Cost of RFP document & EMD/Security Deposit is ineligible.
- The last date for submitting the bids is **25.01.2018 up to 4.00 PM.**

### **4.2 Experience of the Applicant Organization (Provide responses in not more than 100 words)**

- Experience of using social accountability/participatory tools/methodologies including experience of conducting Social Audit of housing projects in the urban sector.
- Experience of working with a variety of stakeholders including state governments and city level administrative bodies.
- Experience of engaging CBOs and NGOs.

- Suitable human resources to undertake the required number of social audits

### **4.3 Mechanism**

SLNA shall communicate clear directions and guidance to ULBs and Implementing Agencies for extension of cooperation, sharing of information and all necessary assistance to IFA. Mission Directorate will have close coordination with SLNA on this aspect.

## **5 Bid- Submission and evaluation**

Separate Technical and Financial bids should be submitted to SLNA in two separate sealed envelopes super scribed in the envelope as "Envelope No.1 (Technical bid for Social Audit for PMAY Projects)" and "Envelope No.2 (Financial bid for Social Audit for PMAY project)". A Pre-bid conference would be held by SLNA to provide clarifications as may be necessary. SLNA reserves the right to accept or reject any bid. Only valid technical and financial bids are eligible.

### **5.1 Mode of submission**

EOI shall be submitted in two sealed cover

- I. Technical Bid
- II. Financial Bid

The qualification, experience, profile etc of the agency shall form part of the Technical Bid.

The rate quoted for the work, covered in the EOI shall form part of the Financial Bid.

The Technical Bid will open in the first instance. Financial Bid will be opened only to those who are qualified in the technical bid.

### **5.2 Mode of Dispatch**

The EoI documents should be in complete shape in all respects and it should be addressed to:  
Mission Directorate, PMAY (U)  
Executive Director,  
Kudumbashree,  
2nd Floor, TRIDA Buildings

Medical College P.O, Trivandrum -11,Tel: 0471-2554714, 2554715(O),  
E-mail: pmaysocialaudit2017@gmail.com, [www.kudumbashree.org](http://www.kudumbashree.org)

Advanced copy can be send to pmaysocialaudit2017@gmail.com of UHM.

### **5.3 Late Bids**

Bids received after the due date and time will not be accepted. Kudumbashree will not be responsible for any delay or non-receipt/ non-delivery of the documents. No further correspondence on the subject will be entertained.

### **5.4 Deviations**

The bidder may not provide any deviation / non-compliance to the contents of this RFP document. Any deviation /non-compliance may lead to rejection.

### **5.5 Failure to Agree with the Terms and Conditions of the RFP**

Failure of the successful Agency to agree with the Terms & Conditions of the RFP shall constitute sufficient grounds for the cancellation of the award. In such event, Kudumbashree may award the work to the next best value bidder or call for new bids from interested bidders. In such a case, Kudumbashree shall summon the Performance Bank Guarantee of the successful bidder.

### **5.6 Termination**

Under this Agreement, Kudumbashree may, by written notice terminate the Agencies in the following ways.

- Termination by Default for failing to perform obligations under the agreement or if the quality is not up to the specification or in the event of non-adherence to time schedule.
- Termination for Convenience in whole or in part thereof, at any time
- Termination for Insolvency if the Agency becomes bankrupt or otherwise insolvent. In all the three cases termination shall be executed by giving written notice to the Agency. No consequential damages shall be payable to the Agencies in the event of such termination.

### **5.7 Pre-bid Meeting**

Prior to opening of the pre-qualification and technical bid, a pre-bid meeting at the discretion of Executive Director, Kudumbashree will be held in the Kudumbashree State Mission Office on **10.01.2018 at 11.00 AM**. Interested bidders are free to participate in the pre-bid meeting for any clarification.

### **5.8 Opening of EoIs**

The sealed EOI document will be received up to **4.00 P.M. on 25.01.2018**. Technical Bid will be opened on **01.01.2018 at 3.00 PM** and Financial Bid will be opened on **02.01.2018 at 3.00 P.M.** by the Executive Director, Kudumbashree or any other Officer authorised by him on his behalf at the office Executive Director, Kudumbashree in the presence of the Head of the Institutions or their representatives who may be present at the time of opening. The representatives of the **Independent Facilitating Agency (IFA)**. Who are attending the opening of the EoI document should bring a letter of authorisation from the Head of the Independent Facilitating Agency (IFA), which they represent to identify their bonafide.

EoI document received herein with incomplete information will be summarily rejected.

### **5.9 Right of Acceptance and Withdrawal**

The final acceptance of Independent Facilitating Agency (IFA) will entirely be vested with the Mission Director (HFA) & Executive Director, Kudumbashree, Chalakkuzhy Lane, Medical College. P.O, Trivandrum 695011, who reserves the right to accept or reject, without assigning any reason whatsoever in part or in full. After acceptance of the Independent Facilitating Agency (IFA) by Executive Director, Kudumbashree, the Independent Facilitating Agency (IFA) shall have no right to withdraw its acceptance.

EoI document received herein with incomplete information will be summarily rejected.

### **5.10 Execution of Agreement**

In the event of accepting the EoI, the successful Audit Agency should execute an agreement for the fulfilment of the contract in the stamp paper for Rs.200/- in the form prescribed by the Executive Director, Kudumbashree within one week from the date of acceptance of the Independent Facilitating Agency (IFA). The successful bidder shall submit BG or DD for 5% of the total value of the contract. The incidental expenses in the execution of agreement shall be borne by the Independent Facilitating Agency (IFA).. The conditions stipulated in the agreement form should be strictly adhered to and violation of any of the conditions will entail termination of the contract without prejudice to the rights of the Executive Director, Kudumbashree

### **5.11 Jurisdiction**

All legal disputes, which may arise, shall be within the jurisdiction of Thiruvananthapuram Court.

### **5.12 Terms of Payments**

All payments against the services rendered under the package shall be released on stage wise completion of the services including submission of the 'Deliverables' and subject to acceptance, approval and certification in accordance with provisions of Terms of Payment as specified below: The terms of payment shall be as follows

<b>S. No.</b>	<b>Milestone</b>	<b>% of fee</b>
<b>1</b>	<b>Signing of Agreement</b>	<b>10%</b>
<b>2</b>	<b>Selection of ULBs and Dwelling Unit for Social Audit</b>	<b>10%</b>
<b>2</b>	<b>Developing Tools for Social Audit and 2 Day meetings</b>	<b>10%</b>
<b>3</b>	<b>Submission of Draft Report</b>	<b>30%</b>
<b>4</b>	<b>Submission of Final Report</b>	<b>40%</b>

**Annexure I**

List of corporation and Municipalities sanctioned by Ministry of Housing and Urban Affairs in the state of Kerala – PMAY (U)

<b>Sl.No</b>	<b>District</b>	<b>Corporation</b>	<b>Municipalities</b>	<b>No of ULB's</b>
1	Trivandrum	Trivandrum	Nedumangad, Neyyatinkara,Attingal,Varkala	5
2	Kollam	Kollam	Paravur (South), Karunagappally, Punalur, Kottarakkara	5
3	Pathanamthitta		Adoor, Pathanamthitta, Tiruvalla, Pandalam	4
4	Alappuzha		Alappuzha, Chenganur,Cherthala, Kayamkulam, Mavelikkara,Harippad	6
5	Idukki		Thodupuzha, Kattappana	2
6	Kottayam		Kottayam,Pala,Vaikom, Changanacherry, Ettumanoor,Erattupetta	6
7	Ernakulam	Kochi	Aluva, Angamaly,Kalamassery, Kothamangalam,Muvattupuzha NorthParavoor,Maradu, Perumbavoor,Thrikkakara, Thripunithura, Eloor,Piravam, Koothattukulam	14
8	Thrissur	Thrissur	Chalakkudy, Chavakkad Guruvayoor, Irinjalakuda Kodungallur, Kunnamkulam Vadakkancherry	8

9	Palakkad		Ottappalam,Palakkad, Shornur, Chittur – Thattamangalm, Pattambi,Cherppulassery, Mannarkkadu	7
10	Malappuram		Malappuram,Manjeri, Kottakkal,Nilambur, Perinthalmanna, Ponnani,Tirur,Parappanangadi,Valan cherry,Thiroorangadi, Thanoor,Kondotty	12
11	Wayanad		Kalpetta,Mananthavady, Sulthan Bathery	3
12	Kozhikode	Kozhikode	Feroke, Koduvally, Mukkom Kozhikode, Payyoli, Koyilandy, Ramanattukara, Vadakara	8
13	Kannur	Kannur	Koothuparambu,Mattannur, Payyannur,Thalassery, Thaliparamba,Anthoor,Panoor,Iritty, Sreekantapuram	10
14	Kasaragod		Kasaragod,Kanhangad, Nileswaram	3
		<b>Total</b>		<b>93</b>



**Annexure II**

List of project sanctioned by Ministry of Housing and Urban Affairs in the state of Kerala as on  
14/12/2017 – PMAY (U)

<b>PMAY project details as on 14/12/2017</b>				
<b>Sl.No</b>	<b>Name of the ULB</b>	<b>District</b>	<b>No of Projects</b>	<b>No. of Beneficiaries / DU's</b>
1	Alappuzha	Alappuzha	2	3083
2	Chengannur		2	135
3	Cherthala		3	521
4	Haripad		2	266
5	Mavelikkara		3	202
6	Aluva	Ernakulum	2	63
7	Angamaly		3	131
8	Eloor		2	92
9	Kalamassery		4	616
10	Kochi		3	3599
11	Koothattukulam		3	263
12	Kothamangalam		2	619
13	Maradu		3	446
14	Muvattupuzha	2	176	

15	N.Paravur	Idukki	2	282
16	Perumbavoor		2	128
17	Piravom		2	186
18	Thrikakara		3	245
19	Thrippunithura		5	761
20	Kattapana		4	1378
21	Thodupuzha		3	816
22	Anthoor	Kannur	2	335
23	Irritty		2	403
24	Kannur		2	529
25	Koothuparamba		2	410
26	Mattannur		2	322
27	Panoor		3	423
28	Payyannur		3	551
29	Sreekandapuram		2	267
30	Thalassery		3	273
31	Thaliparamba		3	291
32	Kanhangad	Kasargod	2	939
33	Kasaragod		3	209

34	Nileswaram		3	604
35	Karunagappally	Kollam	3	526
36	Kayamkulam		2	544
37	Kollam		4	3130
38	Kottarakkara		3	323
39	Punalur		3	1155
40	South Paravoor		3	596
41	Changanassery		Kottayam	2
42	Erattupetta	3		564
43	Ettumanoor	3		365
44	Kottayam	3		678
45	Palai	2		32
46	Vaikom	3		199
47	Feroke	Kozhikode	2	407
48	Koduvally		2	550
49	Kozhikode		3	2392
50	Mukkom		3	376
51	Payyoli		2	322
52	Koyilandy		3	946

53	Ramanattukara		3	242
54	Vadakara		2	530
55	Kondotty	Malappuram	2	842
56	Kottakkal		3	231
57	Malappuram		5	1286
58	Manjeri		2	1020
59	Nilambur		2	262
60	Parappanangadi		3	711
61	Perinthalmanna		3	1186
62	Ponnani		3	1048
63	Thanur		3	1676
64	Tirur		3	370
65	Tirurangadi		2	260
66	Valanchery		2	315
67	Cherplassery	Palakkad	2	474
68	Chittur- Thathamangalam		3	568
69	Mannarkkad		2	554
70	Ottappalam		2	753
71	Palakkad		4	1588

72	Pattambi		4	504
73	Shornur		3	585
74	Adoor	Pathanamthitta	2	106
75	Pandalam		3	583
76	Pathanamthitta		3	649
77	Thiruvalla		2	410
78	Attingal		4	154
79	Nedumangad	Thiruvananthapuram	2	1392
80	Neyyatinkara		2	2168
81	Thiruvananthapuram		3	5138
82	Varkala		3	422
83	Chalakyudy		2	272
84	Chavakkad	Thrissur	3	897
85	Guruvayoor		2	502
86	Irinjalakuda		2	403
87	Kodungallur		2	924
88	Kunnamkulam		2	590
89	Thrissur		3	965
90	Wadakkanchery		2	1239

91	Kalpetta	Wayanad	3	465
92	Mananthavady		2	1888
93	Sulthan Bathery		3	919
	<b>Total</b>		<b>246</b>	<b>67953</b>

**Annexure III****ULBS Grounded more than hundred 100 DUs**

<b>Sl.No</b>	<b>ULB</b>	<b>No of beneficiaries</b>	<b>Agreement executed</b>	<b>DUs grounded ( in Numbers)</b>
1	Alappuzha	3083	1053	1050
2	Anthoor	335	146	146
3	Chavakkad	888	305	305
4	Chittur- Thathamangalam	568	168	168
5	Erattupetta	564	136	132
6	Feroke	407	148	140
7	Guruvayoor	502	180	159
8	Irinjalakuda	403	117	124
9	Kalamassery	616	145	145
10	Kalpetta	465	143	117
11	Kanhangad	939	126	113
12	Kannur	529	270	264
13	Karunagappally	526	141	141
14	Kattapana	1378	144	112
15	Kayamkulam	544	175	167
16	Kochi	3599	818	773
17	Kodungallur	924	137	136
18	Kollam	3130	866	795
19	Kondotty	842	288	286
20	Koothuparamba	410	150	135
21	Kottarakkara	323	134	134
22	Kottayam	678	132	132
23	Kozhikode	2392	265	237

24	Kunnamkulam	590	132	132
25	Malappuram	1286	548	475
26	Manjeri	1020	420	414
27	Mannarkkad	554	221	121
28	Mukkom	376	285	285
29	Nedumangadu	1392	759	759
30	Neyyattinkara	2168	438	438
31	Nileswaram	604	128	128
32	Ottappalam	753	286	263
33	Palakkad	1588	278	218
34	Pathanamthitta	649	114	119
35	Pattambi	504	138	138
36	Payyannur	551	180	173
37	Ponnani	1048	380	235
38	Punalur	1155	178	176
39	Quilandy	946	248	248
40	South Paravoor	596	248	248
41	Sreekandapuram	267	133	133
42	Thalassery	273	122	122
43	Thalipparamba	291	147	174
44	Thiruvalla	410	111	104
45	Thiruvananthapuram	5138	2325	797
46	Thodupuzha	816	211	209
47	Thripunithura	761	201	196
48	Thrissur	965	262	236
49	Vadakara	530	153	152
50	Varkala	422	202	187
51	Wadakkanchery	1239	383	383
		<b>67953</b>	<b>17836</b>	<b>14922</b>



## **Technical Bid for Social Audit**

1. Preparation of Technical Bid
  - I. The bid as well as all related correspondence exchanged by the Agency and the Employer shall be written in English language, unless specified otherwise.
  - II. In preparing their bid, Agencies are expected to examine in detail the documents comprising the RFP. Material deficiencies in providing the information requested may result in rejection of a bid.
  - III. While preparing the Technical bid, Agencies must give particular attention to the following:
    - a. If an Agency considers that it may enhance its expertise for the Assignment/job by associating with other Consultants in sub- consultancy, it may associate, however the details may be provided at the time of bidding.
    - b. The estimated number of Professional staff-months for the Assignment/job is as shown in the RFP. However, the Bid shall be based on the number of Professional staff-months or budget estimated by the Agency. While making the Bid, the Agency must ensure that he proposes the minimum number and type of experts as sought by the Employer, failing which the proposal shall be considered as non- responsive.
    - c. Alternative professional staff shall not be proposed, and only one curriculum vita (CV) may be submitted for each position mentioned. Depending on the nature of the Assignment/job, Agencies are required to submit a Technical Bid using the attached Standard Forms. Submission of the wrong type of Technical Proposal will result in the Proposal being deemed non-responsive. Form Tech - I is a sample letter of which is to be

submitted along with the technical bid. The Technical bid shall not include any financial information. A Technical bid containing financial information may be declared non responsive.

**2. Procedure for Detailed Evaluation of Technical Bid**

- I. Being primarily technical work, final evaluation of the bids will be done on Combined Quality cum Cost based System wherein Technical Bid will be given a weight age of 60 % and financial bid will be given a weightage of 40%.
- II. Bids securing 60% and above marks in technical evaluation will only be considered for opening of Financial Bids. The Bids with the lowest cost may be given a financial score of 100 and the other bids given financial score that are inversely proportionate to their prices.
- III. The total score, both technical and financial, shall be obtained by weighing the Technical and Financial scores and adding them up. On the basis of the combined weighted score for Technical and Financial, the Agency shall be ranked in terms of the total score obtained. The bid obtaining the highest total combined score in evaluation of quality and cost will be ranked as H-1 followed by the bids securing lesser marks as H-2, H-3 etc. The bid securing the highest combined marks and ranked H-1 shall be recommended for award of contract. The bids will be ranked in terms of total points scored.
- IV. Criteria, sub-criteria and point system for evaluation to be followed under this procedure is as under:

No	Particulars	Marks
1	Specific experience of the Agency relevant to the assignment /job	30 marks
2	Adequacy of the proposed methodology and	30 marks

	work plan in response to the terms of reference.	
	<b>Sub-criteria:</b> Technical approach & methodology Organization & staffing – including office in Kerala	20 marks 10 marks
4	Key professional staff: Qualification & competency for the assignment / job.	40 marks
	<b>Sub-criteria</b> a. Team Leader b. Other key professionals c. Professionals, who are associated with any project in Kerala or professionals from Kerala	12 marks 20 marks 8 marks

For evaluation of each of the key professionals the following sub- criteria can be followed

- a. Educational qualifications (20%)
- b. Adequacy for the assignment / job (80%) (Experience in carrying out similar assignment/job).

The formats of the Technical Bid to be submitted are:

Form Tech 1: Letter of Proposal submission

Form Tech 2: Agency Details

Form Tech 3: Approach & methodology

Form Tech 4: Curriculum vitae (cv) for proposed professional staff

Form Tech 5: Financial standing (Annual Turnover)

Form Tech 6: Legal Constitution & Number of Years Of Existence

**FORM TECHNICAL BID- 1**

**LETTER OF PROPOSAL SUBMISSION**

[Location, Date]

To:

[Name and address of Employer]

Dear Sirs:

We, the undersigned, offers to provide the consulting assignment/jobfor [Insert title of Assignment/job] in accordance with your Request for Proposal dated [Insert Date] and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal, and a Financial Proposal sealed under a separate envelope and requisite EMD and bid processing fees vide A/c Payee Cheque/Bank Demand Draft drawn in favour of “-----‘payable at “-----“.

In the event of our Offer being accepted, we agree to execute the contract / agreements with SLNA within the stipulated deadline indicated in the award letter and also offer Performance Security of equivalent to 10% of the project cost in the form of bank guarantee. We hereby declare that all the information and statements made in this Proposal are true and correct that any misinterpretation contained in it may lead to our disqualification.

If negotiations are held during the period of validity of the Proposal, We undertake to negotiate on the basis of the proposed staff. Our Proposal is binding upon us and subject to the modifications resulting from Contract Negotiations.

We understand 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 Firm:

Address:

**FORM TECHNICAL BID – 2**

**Application Form**

**1. Applicant Details**

Name of Institution	
Registered in India(Yes/No)	
Year of establishment	
Details of registration	

**2. Contact Person (for this application) of the Applicant Institution**

Name	
Designation	
Organization	
Address	
Telephone	
Fax	
e-mail	

**3. Registered Address of the Applicant Institution (Please attach self attested registration certificate and Memorandum of Association)**

Address	
Telephone	
E mail	

**4. Experience of the Applicant Organization (Provide responses in not more than 100 words)**

Number of years of relevant work experience	
States and regions where the institution has worked	
Experience of conducting Social Audit	

**5. Experience in carrying out capacity building activities in Urban Local Bodies of India**

Please provide the personnel details for the current and past two financial years

<b>Manpower</b>	<b>(FY March 2016)</b>	<b>(FY March 2015)</b>	<b>(FY March 2014)</b>
Number of Permanent Staff			
Number of Contract Staff			

**6. Relevant Key Personnel Details**

<b>Name</b>	<b>Qualifications (degree, year)</b>	<b>Total Experience (Number of years)</b>	<b>Key Competence</b>	<b>Experience in similar work</b>	<b>Permanent/ Contractual</b>

## 7. Turnover and Net Profit

<b>Manpower</b>	<b>(FY March 2016)</b>	<b>(FY March 2015)</b>	<b>(FY March 2014)</b>
Annual Turn Over			

### Statement / Undertaking

I / We know that the submission of incorrect or incomplete information, and / incorrect format with arithmetical errors in compilation of the data would be at the applicant's sole risk and the decision of Executive Director, Kudumbashree in such cases would be final and binding.

I / We enclosed herein the proof / copy of document as per check list in order in full, serially numbered, signed, affixed with the Institution stamp and submit it together with undertaking on Institution letter head.

I / We know the details filled in and enclosures attached in the EoI submitted by me are true to my / our best of knowledge.

Place

SIGNATURE OF THE APPLICANT

Date

( With Official Seal)

## **FORM TECHNICAL BID – 3**

### **DESCRIPTION OF APPROACH, METHODOLOGY AND WORK PLAN FOR PERFORMING THE ASSIGNMENT/JOB**

[Technical approach, methodology and work plan are key components of the Technical Proposal. You are suggested to present your Technical Proposal divided into the following three chapters:

1. Technical Approach and Methodology,
2. Work Plan, and
3. Organization and Staffing,

#### **Approach and Methodology:**

In this chapter you should explain your understanding of the objectives of the Assignment/job, approach to the Assignment/job, methodology for carrying out the activities and obtaining the expected output, and the degree of detail of such output. You should highlight the problems being addressed and their importance, and explain the technical approach you would adopt to address them. You should also explain the methodologies you propose to adopt and highlight the compatibility of those methodologies with the proposed approach.

#### **Work Plan**

The IFA should propose and justify the main activities of the Assignment/job, their content and duration, phasing and interrelations, milestones (including interim approvals by the Employer), and delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology, showing understanding of the TOR and ability to translate them into a feasible working plan. A list of the final documents, including reports, drawings, and tables to be delivered as final output, should be included here.



**FORM TECHNICAL BID – 4**

**CURRICULUM VITAE (CV) FOR PROPOSED PROFESSIONAL STAFF**

1. Proposed Position:

[For each position of key professional separate form Tech-6 will be prepared]:

2. Name of Firm:

[Insert name of firm proposing the staff]:

3. Name of the staff

[Insert full name]:

4. Date of Birth:

5. Nationality:

6. Education:

[Indicate college/university and other specialized education of staff member, giving names of institutions, degrees obtained, and dates of obtainment]:

7. Membership of Professional Associations:

8. Other Training:

9. Countries of Work Experience:

[List countries where staff has worked in the last ten years]:

10. Languages [For each language indicate proficiency: good, fair, or poor in speaking, reading, and writing]:

11. Employment Record:

[Starting with present position, list in reverse order every employment held by staff member since graduation, giving for each employment (see format here below): dates of employment, name of employing organization, positions held.]:

From [Year]: To [Year]:

Employer:

Positions held:

12. Detailed Tasks Assigned

[List all tasks to be performed under this Assignment/job]

13. Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned [Among the Assignment/jobs in which the staff has been involved, indicate the following information for those Assignment/jobs that best illustrate staff capability to handle the tasks listed under point 12.]

Name of Assignment/job or project:

Year:

Location:

Employer:

Main project features:

Positions held:

Activities performed:

14. Certification:

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience. I understand that any wilful misstatement described herein may lead to my disqualification or dismissal, if engaged.

Date:

Place:

[Signature of staff member or authorized

Representative of the staff]

[Full name of authorized representative]:

**FORM TECHNICAL BID – 5**

**LEGAL CONSTITUTION & NUMBER OF YEARS OF EXISTENCE**

<b>Organisation Name :</b>	
Status / Constitution of the Organization :	
Name of Registering Authority :	
Registration No.:	
Date of Registration:	
Place of Registration:	

For and on behalf of: (Company Seal)

Signature:

Name:

Designation:

(Authorized Representative and Signatory)

Note: Please provide copy of the registration certificate from the appropriate Registering Authority.

**FORM TECHNICAL BID – 6**

**FINANCIAL STANDING (ANNUAL TURN OVER)**

Certificate from the Statutory Auditor regarding the Average annual turnover of the organization is Rs. 25 lakh for the last 3 financial year ending of month 31st march 2017. Based on its books of accounts and other published information authenticated by it, this is to certify that..... (Name of the Bidder) had, over the last three Financial Years, a Total turnover of the organization is Rs.....Lakhs as per year-wise details noted below:

<b>Financial Year ending 31<sup>st</sup> March</b>	<b>Total Turnover (In Rs. Lakhs)</b>
<b>2014 - 15</b>	
<b>2015 - 16</b>	
<b>2016 - 17</b>	
<b>Total</b>	
<b>Average Annual Turnover</b>	

Name of the audit firm/ Chartered Accountant:

Seal of the audit firm:

(Signature, name and designation and registration Number of the Chartered accountant)

Date:

**Financial bid evaluation:**

- The financial evaluation will be done on the following basis.
- Technically qualified and lowest quote bidder in financial bid shall be awarded the contract.
- The bidder has to accept all the terms & conditions of the bid.
- In case two or more than two bidders have put same financial quote, the bidder with maximum technical score will be given the preference.

## FINANCIAL BID FOR SOCIAL AUDIT

### FINANCIAL BID FOR PMAY PROJECT (s)

(PER PROJECT)

**Project: .....**

The following maximum charges are prescribed for being paid to the Third Party empanelled by the State Level Nodal Agency on a 'per project' basis:

Amount quoted for Social audit of one project (for one Audit Cycle- 3 to 6 Months)	One Project having 100 DUs or clustering of Project or clustering of ULBs to meet DUs 100)
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\*In case lower rates are obtained through RFPs, the same will apply as terms of payment

\*\* Inclusive of all taxes

## **Documents to be produced**

The documents should be produced along with the EoI

Self-attested registration certificate and Memorandum of Association of the applicant institution (or certificate of incorporation)

Capability Statement, of not more than 1000 words, which illustrates the institution's relevant skills, and experience of providing services in the areas described under scope of work in section 3, within the geographic areas mentioned in section 4, on thematic areas of expertise described in section 5 of Invitation for Expression of Interest (EoI) for the Empanelment of IFA.

CVs of 5 Key Staff Members engaged in relevant work

List projects in the last three years (max 20 in total) which the applicant institution has delivered under the main/sub area of expertise for which empanelment is requested, as per the requested format below:

Audit status of accounts for 2014-15, 2015-16, 2016-17.

Social Audit Report of BLC projects under PMAY

Name of the State:	Name of the City/Cities selected:	Name of the State Level Nodal Agency:	Name of Urban Local Bodies involved:
Names of verticals included:			
1	Awareness  Awareness of beneficiaries about their entitlements from the Mission:		
2	Inclusion  Proportion of marginalized communities [SC/ST/OBC/minorities/differently abled person / transgender/manual Scavengers/women (with overriding preference to widows) etc.] among beneficiaries:		
3	Participation  a) Involvement of beneficiaries, CBOs/CSOs/ co-implementing agencies (e.g. banks/builders) in project related consultations:  b) Nature and Frequency of consultations with these groups:		
4	Effectiveness and Efficiency  a) Identification of right kind of beneficiaries:  b) Whether the construction activities are being completed as per the planned duration, specifications and standards:  c) Satisfaction about Project related services in meeting beneficiary requirements:		



5	<p>Transparency</p> <p>Proactive disclosures of project details including financial details by ULBs in the public domain:</p>
6	<p>Quality Monitoring</p> <p>a) Existence of any technical group/committee with members different from those involved in project implementation:</p> <p>b) Review of project activities and actions taken on gaps found:</p> <p>c) Visits by ULB/CLTC staff to project sites:</p>
7	<p>Accountability</p> <p>a) Measures taken to avoid malpractices and corruption:</p> <p>b) Mechanisms on grievance redressal and awareness of mechanisms present for grievance redressal:</p> <p>c) Instances of grievances/complaints escalated to ULB authorities and duration of resolving those grievances/complaints:</p>
8	<p>Issues/complaints Any unresolved issues and complaints:</p>
9	<p>Recommendations:</p>
10	<p>Name and Contact Details of the Independent Facilitating Agency:</p>

