

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



Punjab State Urban Livelihood Mission Municipal Bhawan, Plot No.-3, Room No. 405,
4th Floor, Sector 35A, Chandigarh

RFP for Appointment of Independent Facilitating Agency (IFA) under PMAY-HFA (U) in Punjab. 2018

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TENDER NOTICE

REQUEST FOR PROPOSAL (RFP) FOR APPOINTMENT OF INDEPENDANT FACILITATING AGENCY (IFA) FOR SOCIAL AUDIT

UNDER PRADHAN MANTRI AWAS YOJANA – HOUSING FOR ALL (URBAN) FOR ALL THE ULBS OF PUNJAB, PMAY (U)

RFP No _____

Date: _____

PUNJAB STATE URBAN LIVELYHOOD MISSION (PSULM) invites technical and financial proposals from eligible Agency for appointment of INDEPENDANT FACILITATING AGENCY (IFA) for all the ULBs of Punjab with respect to Social Audit Guideline 2017 of Pradhan Mantri Awas Yojana – Housing for All (Urban).

2. Participating Agencies must fulfil the following pre-requisites;

- a. 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 atleast three years.
 - b. Education institution and research institution who are working in this field, with at least 3 years experience can also participate in the bidding process.
 - c. The agency should have experience of working with a variety of stakeholders including state governments and City Level Administrative Bodies and experience of using social accountability/participatory tools/methodologies including experience of conducting Social Audit of housing projects in the urban sector.
 - d. Experience of engaging CBOs and NGOs
 - e. The agency should deploy suitable human resources to undertake the required number of social audit and accordingly share their educational qualification, age and experience.
3. Interested Agencies may download the complete Request for Proposal (RFP) document from Punjab e-tender website [https:// eproc.punjab.gov.in](https://eproc.punjab.gov.in).
4. Average annual turnover of consultants/agencies & Receipts in for the last three financial years should be equal to or greater than Rs 10 lakhs.
5. Proposal received without Cost of RFP document & EMD/Security Deposit is ineligible.
6. The bid processing fee of Rs 5000/-(non-refundable) and an EMD/Security Deposit of 50,000/- as prescribed in the RFP document (refundable) is to be paid through e-payment mode (Net Banking Only) available on Punjab e-tender website should reach on or before 2 pm. No proposals will be accepted without the Bid Security

The Payment for RFP Document fees to be submitted online before the due date. This should be as specified and it should be drawn before last date of the uploading of the tender. Bidders shall have to submit the following documents:

- (a) The technical & financial bids are to be submitted online along with physical submission on or before due date along with supporting documents and relevant annexures and proof of Fee payment etc.

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(b) Documents have to be submitted online only in the accepted format as per the e-tender portal

7. The EMD will be forfeited on account of one or more of the following reasons:
- a) Bidder withdraws its Bid during the validity period specified in the tender.
 - b) Bidder does not respond to requests for clarification of its Bid.
 - c) Bidder fails to provide required information during the evaluation process or is found to be non-responsive.
 - d) If successful bidder fails to sign the contract in time or fails to furnish PBG in time.
 - e) If bid is rejected/ disqualified for any reason.

8. The last date for submitting the bids is 23-11-2018.

key dates:

| Sr. No. | Description | Important Information |
|---------|---|--|
| 1. | Availability of option for start of Bidding Online at https://eproc.punjab.gov.in | 9-11-2018 (Friday) at 10:00 AM |
| 2. | Date of Pre-bid | 16 -11-2018 (Friday) at 11 .00 AM |
| 3. | last date for submitting the online bids along with submission of EMD and Cost of tender documents | 23.11.2018(Friday) up to 2:00 PM. to be paid through e-payment mode (net banking only) available on punjab e-tender website (https://eproc.punjab.gov.in). |
| 4. | Date of opening of Technical Bid | 26-11-2018 (Monday) at 03:00PM |
| 5. | Date of opening of Financial Bid | 30-11-2018(Friday) at 03:00 PM |
| 6. | RFP Document Fee | Rs. 5,000/- (Non- refundable) through e-payment mode (net banking only) available on punjab e-tender website https://eproc.punjab.gov.in . |
| 7. | Amount of EMD | Rs. 50,000/- (Rupees fifty thousand) through e-payment mode (Net Banking Only) available on Punjab se-tender website. The EMD will be forfeited on account of one or more of the following reasons: (i) Bidder withdraws its Bid during the validity period specified in the tender. (ii) Bidder does not respond to requests for clarification of its Bid. (iii) Bidder fails to provide required information during the evaluation process or is found to be non-responsive. (iv) If successful bidder fails to sign the contract in time or fails to furnish Performance Bank Guarantee in time. (v) If bid is rejected/ disqualified for any reason. |

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|-----|----------------------|--|
| 8. | Bid validity period | <p>Bid validity period is 120 days. Bid security shall be refunded to the successful bidder upon signing of agreement with PSULM.</p> <p>For unsuccessful bidders the bid security shall be refunded within 30 days after signing of agreement with the successful bidder. The EMD of the successful bidders would be returned within 60 days of finalization of the contract.</p> |
| 9. | Submission of Bid | <p>The Bidder shall submit the technical and financial bid along with RFP fee and EMD on Punjab Govt. E-tender website https://eproc.punjab.gov.in along with physical submission.</p> |
| 10. | Signing of Agreement | <p>Successful Bidder should execute an agreement for the fulfilment of the contract in the stamp paper for Rs.200 /- in the form prescribed by the Additional Project Director within one week from the date of acceptance of the Successful bidder. The incidental expenses in the execution of agreement shall be borne by the Successful Bidder.</p> |

10. The tenderers are required to upload & submit their e-tender for the above works online and the EOI must also be delivered in sealed cover superscribed envelope as "Envelope No.1 (TECHNICAL BID FOR APPOINTMENT OF INDEPENDENT FACILITATING AGENCY (IFA) FOR SOCIAL AUDIT UNDER PRADHAN MANTRI AWAS YOJANA – HOUSING FOR ALL (URBAN) FOR 164 ULBS, PMAY (U))" and "Envelope No.2 (FINANCIAL BID FOR APPOINTMENT OF INDEPENDENT FACILITATING AGENCY (IFA) FOR SOCIAL AUDIT UNDER PRADHAN MANTRI AWAS YOJANA – HOUSING FOR ALL (URBAN) FOR 164 ULBS, PMAY (U))" addressed to Punjab State Urban Livelihoods Mission, Room No. 405, Municipal Bhawan, Sector-35A, Chandigarh on or before 26-11-2018 upto 11:00 PM through registered post / speed post / Courier service.

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

Yours Sincerely

Additional Project Director

1. 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.

Punjab State Urban Livelihood Mission Municipal Bhawan, Plot No.-3, Room No. 405, 4th Floor, Sector 35A, Chandigarh, PMAY invites technical and financial proposals from eligible Agency for appointment of INDEPENDANT FACILITATING AGENCY (IFA) for all the ULBs of Punjab with respect to Social Audit Guideline 2017 of Pradhan Mantri Awas Yojana – Housing for All (Urban).

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:-

- i. Copy of Certificate of Incorporation/Registration Certificate.

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- ii. Audited Statement of Annual Turn Over of last 3 years to be enclosed along with Income Tax Return (ITR).
- iii. proof of online submission of fees

A prospective Bidder requiring any clarification on the RFP document may inform PSULM in writing/email at punjabsum@gmail.com. Last Date for receiving queries is up to 16-11-2018. Bid submissions must be received no later than 23-11-2018 (Online) and 26-11-2018 (physical) in the manner specified in the RFP in the address given below:-

Additional Project Director,

Punjab State Urban Livelihood Mission

Municipal Bhawan, Plot No.-3, Room No. 405, 4th Floor, Sector 35A,

Chandigarh Ph. no - 0172- 2670263, 2970264, 2619213 Email:

apdsuda@gmail.com

<https://pmidc.punjab.gov.in>

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1.2 Data Sheet

| Sr. No | Particulars |
|--------|---|
| 1. | Name of the Client: Punjab State Urban Livelihood Mission |
| 2. | Method of Selection Least Cost Based wherein Financial Proposal of only those firms will be opened who will secure a minimum of 70% 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 2017 of PMAY-HFA (Urban), Punjab |
| 5. | Client Representative: Additional Project Director, PSULM. |
| 6. | Proposals shall remain valid for 120 days after the submission date indicated in this Data Sheet. |
| 7. | The Consultant is required to include with its Proposal written confirmation of authorization to sign on behalf of the Consultant : |
| 8. | Bidders Eligibility Criteria : 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, with at least 3 years experience can also participate in the bidding process. |
| 9. | Areas of Expertise 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. |
| 10. | Financial Proposal and Technical Proposal to be submitted online through Punjab e-tender website and physically along with proof of submission of EMD and Cost of tender documents. |
| 11. | 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. Technical Proposal and Technical Proposal should be clearly marked - DO NOT OPEN, EXCEPT IN THE PRESENCE OF THE TENDER COMMITTEE'. |
| 12. | A non-refundable RFP Cost should be provided with Technical Proposal: Yes. If Yes, The bid processing fee of Rs 5000/- (non-refundable) to be paid through e-payment mode (Net Banking Only) available on Punjab e-tender website https:// eproc.punjab.gov.in , it should reach on or before 23-11-2018 before 2 pm. |
| 13. | A Bid Security must be submitted: Yes An Earnest Money Deposit (EMD)/ Bid Security should be provided with Technical Proposal: Yes If Yes, the amount of the Earnest Money Deposit (EMD)/ Bid Security is of 50,000/- to be paid through e-payment mode (Net Banking Only) available on Punjab e-tender website. |
| 14. | The amount of the EMD/Bid Security is 50,000/- 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 PSULM. The EMD will be forfeited on account of one or more of the following reasons: i. Bidder withdraws its Bid during the validity period specified in the tender. ii. Bidder does not respond to requests for clarification of its Bid. iii. Bidder fails to provide required information during the evaluation process or is found to be non-responsive. iv. If successful bidder fails to sign the contract in time or fails to furnish PBG in time. v. If bid is rejected/ disqualified for any reason. |

| | |
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| | For unsuccessful bidders the bid security shall be refunded within 30 days after signing of agreement with the successful bidder. The EMD of the successful bidders would be returned within 60 days of finalization of the contract |
| 15. | 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: Punjab State Urban Livelihood Mission Municipal Bhawan, Chandigarh and drawn on a nationalized or scheduled commercial bank. |
| 16. | Currency for Proposals is: Indian National Rupee (INR) |
| 17. | Address for communication/ submission of Proposals: Punjab State Urban Livelihood Mission Municipal Bhawan, Plot No.-3, Room No. 405, 4th Floor, Sector 35A, Chandigarh |
| 18. | Expected date for commencement of consulting services: (Within 7 days of signing the agreement with Additional Project Director , PSULM) |
| 19. | 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 |
| 20. | The services of the IFA are required to be rendered for 1 year subject to extensions granted time to time. |
| 21. | 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 Additional Project Director 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

- a) 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.
- b) The Agency shall bear all costs associated with the preparation and submission of its Proposal and contract negotiation.
- c) 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

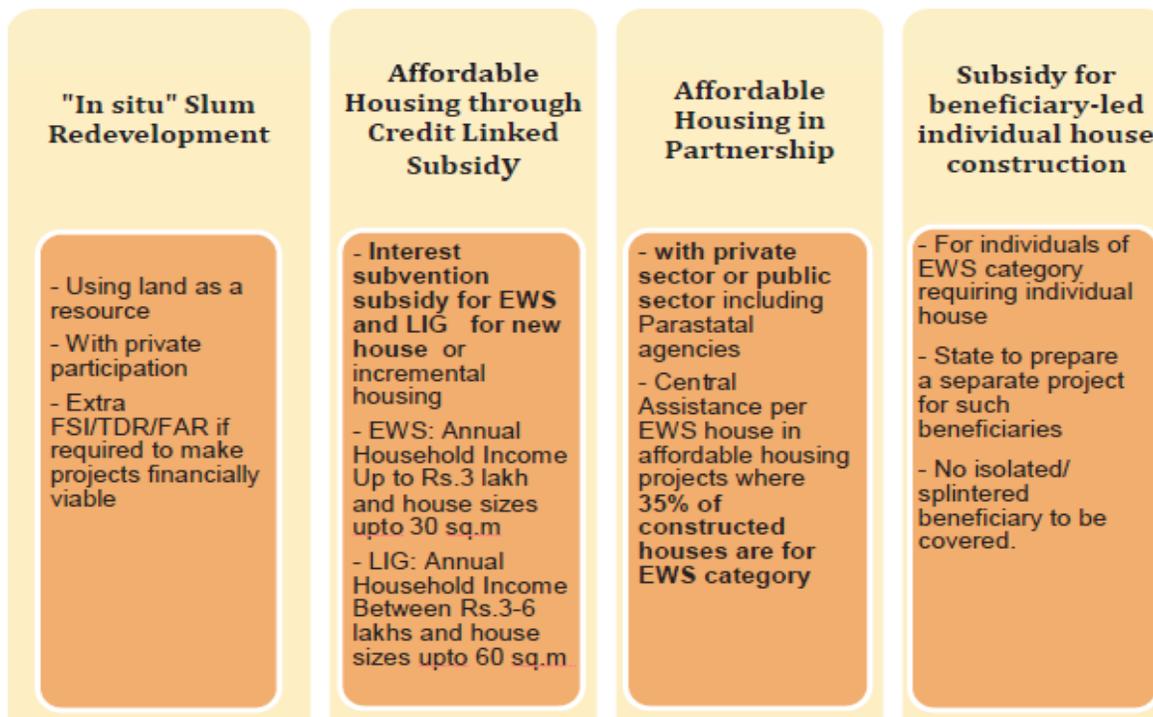
Agencies are supposed to carefully review the contract provisions attached in the RFP for preparation of their Proposals. The Agency shall submit Proposals using the appropriate submission sheets provided in Appendices (Technical format and Financial Format). These forms must be completed without any alteration to their format, and no substitutes will be accepted. All fields shall be completed with the information requested.

1.3.7 Proposal Validity

- a. Proposals shall remain valid for the period specified in the RFP commencing with the deadline for submission of Proposal as prescribed by the Client.
- b. A Proposal valid for a shorter period shall be considered nonresponsive and will be rejected by the Client out rightly.
- c. 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.

PMAY-Mission:-

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 Punjab (GoP) has designated Punjab Urban Development Authority 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 scheme originally is meant to cover people in the EWS (annual income not exceeding 3lakh) and LIG (annual income not exceeding 6lakh) sections, and the middle-income group (MIG). PMAY has two aims, first it aims to transform slum areas by building homes for slum dwellers in collaboration with private developers and second is to give a credit-linked subsidy to

weaker and mid income sections, on loans taken for new construction or renovation of existing homes. The Department of Local Government is through The scheme originally is meant to cover people in the EWS (annual income not exceeding 3lakh) and LIG (annual income not exceeding 6lakh) sections, and the middle-income group (MIG). PMAY has two aims, first it aims to transform slum areas by building homes for slum dwellers in collaboration with private developers and second is to give a credit-linked subsidy to weaker and mid income sections, on loans taken for new construction or renovation of existing homes. The Department of Local Government is through Punjab State Urban Livelihood Mission Municipal Bhawan, Plot No.-3, Room No. 405, 4th Floor, Sector 35A, Chandigarh is the Co-ordinating Agency for the Pradhan Mantri Awas Yojana. 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. 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:

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

2.2 Social Audit Process at a glance

- a) State Level Nodal Agency submits Social Audit plan along with other required documents.
- b) The State Level Nodal Agency hires a 'credible' institution as an Independent Facilitating Agency
- c) 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.
- d) Social Audit Facilitating Team finalizes list of projects and dwelling units to be audited.
- e) 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.

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- f) Independent Facilitating Agency forms a Social Audit Committee as per the process laid down.
- g) The Social Audit Committee conducts social audit.

2.3 Project Area

This proposal invitation is for the all of the 164 urban local bodies which includes include all Municipal corporations and Nagar Panchayats . 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 body where the proposer intends to undertake work. For all subsequent references to the local bodies, it implies work for each unit unless explicitly mentioned.

In Phase-I there are 545 (Five hundred forty five) ongoing BLC projects under PMAY (U) in 164 (one hundred sixty four) ULBs of Punjab (will be added according to its progress). The likely start of Social Audit monitoring work will be 1(one) month after the award of work.

The remaining ULBs will be undertaken in phase II after the completion of ongoing demand survey and approval of projects by the Central Sanctioning and Monitoring Committee (CSMC).In phase II likely 328 projects under BLC are anticipated.

Social Audit of AHP and ISSR Projects will also be done after the projects are sanctioned by CSMC on the quoted pro-rata base of the agency.

Note: PSULM reserves the right to change or shift any PMAY (U) verticals as mentioned in above phases according to its requirement/ priority to start work in any specific vertical in this respect a one week prior written notice shall be given by PSULM to Social Audit Agency/consultant for procuring arrangements accordingly. Further, PSULM may structure/restructure the clusters under BLC. Payment shall be made consider the no. of visits.

As per Social Audit plan of Govt. of Punjab, we would like to select 9 ULBs from the list of 164 ULBs (ULBs grounded more 100 dwelling units) on random basis for the first term.

2.4 Responsibilities of State Level Nodal Agency

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:

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

2.5 Role of Independent Facility Agency (IFA)

The IFA will undertake the following activities:

- a) Provide dedicated Social Audit expert/s to conduct Social Audit

- b) Complete Desk Research/Documents Audit using all relevant HFA Project related reports
- c) Select projects and dwelling units for Social Audit, as per the process outlined in the Guidelines
- d) Develop city wise plans and calendar for Social Audit, in consultation with Urban Local Bodies (ULB)
- e) 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
- f) Facilitate the formation of Social Audit Committee (SAC) in consultation with the ULB to conduct social audit in the identified cities
- g) Complete Social Audit process by being sensitive to local socio-cultural context and by ensuring the democratic spirit and underlying principles of social audit.
- h) Prepare Social Audit report and share it with the ULB, SLNA, and to any other stakeholders, as advised by SLNA.

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

3.1 Preparation for Social Audit Preparatory activities of Social Audit are:

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

3.2 Creating Enabling Environment for Social Audit

- a) 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.
- b) ULBs should encourage stakeholders in the project area to take part in consultations about the project implementation.
- c) 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
- d) 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

- a) 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.

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- b) 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.
- c) Projects with maximum number of beneficiaries from SC, ST, minority, transgender and differently abled person backgrounds should be preferred for including in Social Audit.

3.4 Budget for Social Audit as per the Social Audit Plan

As per Social Audit plan of Govt. of Punjab, we would first like to select 9 ULBs from the list the list of the ULBs (ULBs grounded more than 100 dwelling units) on random basis for the first phase and thereafter other ULBs would be selected for social audit and intimated to the selected bidder.

| | | | |
|----|---|---|-------------|
| 1. | Total number of projects approved under HFA Mission 555 in the State under BLC (Over all) | 555 | |
| 2. | Total number of projects selected for Social Audit in first term | 9 (To be selected from the list of 164 ULBS Grounded more than hundred 100 DUs-should select at least 2 Corporations) | |
| 3. | Number of dwelling units covered in the social audit in first term | 10790 | |
| 4. | Tentative schedule of audit meetings | City proposed in the first phase of social audit. | Date |
| | | 1. Amritsar | |
| | | 2. Jalandhar | |
| | | 3. Taran Taran | |
| | | 4. Moga | |
| | | 5. Lalru | |
| | | 6. Mansa | |
| | | 7. Ludhiana | |
| | | 8. Malout | |
| | | 9. Bathinda | |
| 5. | Total Budget for all ULBs | 5,50,000/- | |

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:

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

3.6 Formation of Social Audit Committee From the list of stakeholders

- a) 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.
- b) The strength of SAC should not be more than 30 members or less than 20 members.
- c) The Social Audit Committee should ensure representation from the beneficiary community and from institutions/CBOs having prior experience in conducting social audit related exercises.
- d) 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

| Parameter | Indicator |
|------------------------------|--|
| 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 | 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

| | |
|--|---|
| Review of Documents | 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. The parameters on which 31 auditors may gather feedback from the beneficiaries through Public Hearings must include in the report. Key Informant Interviews with Service Providers Semi-structured questionnaires should be used to collect relevant information from the concerned ULB officials on the projects and dwelling units to be audited. Group Discussions 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. In-depth 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. |
| Public Hearing | 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 31 auditors may gather feedback from the beneficiaries through Public Hearings must include in the report. |
| Key Informant Interviews with Service Providers | Semi-structured questionnaires should be used to collect relevant information from the concerned ULB officials on the projects and dwelling units to be audited. |
| Group Discussions | 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 |
| In-depth Interviews | 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 subcommittees 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 33 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 instalments 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 of Punjab e-tender from 09-11-2018.
- Interested Agencies may submit their proposals online at e-tender website along with a Rs 5,000/- (non-refundable) as cost of RFP and an EMD/Security Deposit of Rs 50,000/- as prescribed in the RFP document (refundable) by 23-11-2018. 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 23-11-2018 (Online) and 26-11-2018 (physical submission).

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.

6. Bid- Submission , Mode of Submission and evaluation

The Bidder shall submit the technical and financial bid along with RFP fee and EMD on Punjab Govt. E-tender website by 23-11-2018 (<https://eproc.punjab.gov.in>).

Separate Technical and Financial bids should also 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

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Projects" and "Envelope No.2 (Financial bid for Social Audit for PMAY project)" along with acknowledgment receipt of online submission. 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.

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:

Punjab State Urban Livelihood Mission Municipal Bhawan, Plot No.-3, Room No. 405, 4th Floor, Sector 35A, Chandigarh

5.3 Late Bids

Bids received after the due date and time will not be accepted. SLNA 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, SLNA may award the work to the next best value bidder or call for new bids from interested bidders. In such a case, SLNA shall summon the Performance Bank Guarantee of the successful bidder.

5.6 Termination

Under this Agreement, SLNA 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 on 16-11-2018 will be held in the O/o PSULM 4th Floor, Punjab Municipal Bhawan, Chandigarh. Interested bidders are free to participate in the pre-bid meeting for any clarification.

5.8 Opening of Bid

Submission of online bids will be received up to 23-11-2018 and sealed envelope should reach by 26-11-2018 by 11:00 AM . Technical Bid will be opened on 26-11-2018 at 3:00 PM and Financial Bid will be opened on 30-11-2018 by the Additional Project Director or any other Officer authorised by him on his behalf at the office of Additional Project Director, PSULM 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) & Additional Project Director, PSULM 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), 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 PSULM 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 PSULM- PMAY (U).

5.11 Property Data

All documents and other information provided by SLNA, Punjab or submitted by an Applicant to SLNA, Punjab /Concerned ULB shall remain or become the property of SLNA, Punjab /Concerned ULB. All information collected, analyzed, processed, or in whatever manner provided by the agency to Urban Development, in relation to the Consultancy shall be the property of SLNA.

5.12. Penalty

In case of any delay in execution of works beyond the stipulated period, penalty @ 0.5% for every week of delay, subject to a maximum of 10 % of contract value shall be recovered from the successful consultant, before release of final payment.

6 Settlement of Disputes

6.1 Amicable Settlement

6.1.1 The Parties shall use their best efforts to settle amicably all disputes arising out of or in connection with this Agreement or the interpretation thereof.

6.2 Dispute Settlement

6.2.1 Any dispute between the Parties as to matters arising pursuant to this Agreement, which cannot be settled amicably within thirty (30) days after receipt by one Party of the other Party's request for such amicable settlement, may be submitted by either Party for settlement. If the dispute(s) is not resolved amicably then it shall be referred to arbitration and shall be dealt as per the provisions of the Arbitration Conciliation Act 1996.

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6.2.2 All disputes and differences between the parties arising shall be referred to Director, Local Government, Chandigarh who will be sole arbitrator. The decision of sole arbitrator shall be final and binding on both.

6.2.3 Jurisdiction

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

7. 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

| Sr. No. | Milestone | % of fee |
|---------|--|----------|
| 1. | Developing Tools for Social Audit and Day meetings | 10% |
| 2. | Submission of Draft Report for next phase. | 30% |
| 3. | Submission of State level social audit report and the same being duly signed by the state Mission Director/competent authority | 40% |

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ANNEXURE-I

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

| sr No | District Name | City_Name |
|-------|---------------|---------------|
| 1 | Amristar | Ramdas |
| 2 | | Raja Sansi |
| 3 | | Jandiala |
| 4 | | Amritsar |
| 5 | | Ajnala |
| 6 | | Rayya |
| 7 | | Majitha |
| 8 | Barnala | Dhanaula |
| 9 | | Bhadaur |
| 10 | | Barnala |
| 11 | | Handiaya |
| 12 | | Tapa |
| 13 | Bathinda | Lehra Mohabat |
| 14 | | Rampura Phul |
| 15 | | Ballianwali |
| 16 | | Bhucho Mandi |
| 17 | | Mandi Kalan |
| 18 | | Maluka |
| 19 | | Bhairupa |
| 20 | | Sangat |
| 21 | | Maluka |
| 22 | | Nathana |
| 23 | | Raman |
| 24 | | Kot Shamir |
| 25 | | Bathinda |
| 26 | | Talwandi Sabo |
| 27 | | Goniana |
| 28 | | Chauke |
| 29 | | Maur |
| 30 | Kotha Guru | |

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| | | |
|----|-------------------|-------------------------|
| 31 | | Bhagta Bhai Ka |
| 32 | Faridkot | Jaitu |
| 33 | | Kot Kapura |
| 34 | | Faridkot |
| 35 | | Fathegarh Sahib |
| 36 | | Khamanon |
| 37 | | Bassi Pathana |
| 38 | | Sirhind Fatehgarh Sahib |
| 39 | | Amloh |
| 40 | Firozpur | Mudki |
| 41 | | Arniwala Sheikh subhan |
| 42 | | Talwandi Bhai |
| 43 | | Firozpur |
| 44 | | Zira |
| 45 | | Makhu |
| 46 | | Guru Har Sahai |
| 47 | | Jalalabad |
| 48 | | Mallanwala Khass |
| 49 | | Fazilka |
| 50 | | Abohar |
| 51 | | Mehraj |
| 52 | | Mamdot |
| 53 | | Gurdaspur |
| 54 | Dhariwal | |
| 55 | Qadian | |
| 56 | Dera Baba Nanak | |
| 57 | Sujanpur | |
| 58 | Dina Nagar | |
| 59 | Nadala | |
| 60 | Sri Hargobindpur | |
| 61 | Fatehgarh Churian | |
| 62 | Batala | |
| 63 | Pathankot | Pathankot |

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| | | | |
|----|--------------|---------------|-----------|
| | | | |
| 64 | Hoshiarpur | Garhshankar | |
| 65 | | Mukerian | |
| 66 | | Hoshiarpur | |
| 67 | | Urmar Tanda | |
| 68 | | Mahilpur | |
| 69 | | Mehatpur | |
| 70 | | Gardhiwala | |
| 71 | | Sham Chaurasi | |
| 72 | | Hariana | |
| 73 | | Talwara | |
| 74 | | Dasua | |
| 75 | | Jalandhar | Jalandhar |
| 76 | | | Nurmahal |
| 77 | | | Bilga |
| 78 | Adampur | | |
| 79 | Phillaur | | |
| 80 | Bhogpur | | |
| 81 | Kartarpur | | |
| 82 | Alawalpur | | |
| 83 | Shahkot | | |
| 84 | Lohian Khass | | |
| 85 | Nakodar | | |
| 86 | Goraya | | |
| 87 | Kapurthala | Sultanpur | |
| 88 | | Begowal | |
| 89 | | Bhulath | |
| 90 | | Dhilwan | |
| 91 | | Kapurthala | |
| 92 | | Phagwara | |
| 93 | Ludhiana | Ludhiana | |
| 94 | | Doraha | |
| 95 | | Maloud | |

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| | | |
|-----|---------|-----------------|
| 96 | | Machhiwara |
| 97 | | Mullanpur Dakha |
| 98 | | Raikot |
| 99 | | Payal |
| 100 | | Samrala |
| 101 | | Khanna |
| 102 | | Sahnewal |
| 103 | | Jagraon |
| 104 | Mansa | Mansa |
| 105 | | Bareta |
| 106 | | Bhikhi |
| 107 | | Joga |
| 108 | | Budhlada |
| 109 | | Sardulgarh |
| 110 | | Boha |
| 111 | Moga | Badhni Kalan |
| 112 | | Kot Ise Khan |
| 113 | | Nihal Singhwala |
| 114 | | Dharamkot |
| 115 | | Bagha Purana |
| 116 | | Moga |
| 117 | Muktsar | Muktsar |
| 118 | | Bariwala |
| 119 | | Gidderbaha |
| 120 | | Malout |
| 121 | Patiala | Rajpura |
| 122 | | Patiala |
| 123 | | Ghanaur |
| 124 | | Patran |
| 125 | | Sanaur |
| 126 | | Nabha |
| 127 | | Samana |
| 128 | | Bhadson |

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| | | | |
|-----|--------------|----------------|----------|
| 129 | | Ghagga | |
| 130 | Rupnagar | Nangal | |
| 131 | | Morinda | |
| 132 | | Chamkaur Sahib | |
| 133 | | Rupnagar | |
| 134 | | Anandpur Sahib | |
| 135 | | SAS Nagar | Kurali |
| 136 | S.A.S. Nagar | | |
| 137 | Naya Gaon | | |
| 138 | Kharar | | |
| 139 | Dera Bassi | | |
| 140 | Lalru | | |
| 141 | Banur | | |
| 142 | Zirakpur | | |
| 143 | Sangrur | | Amargarh |
| 144 | | | Sangrur |
| 145 | | Ahmedgarh | |
| 146 | | Dirba | |
| 147 | | Bhawanigarh | |
| 148 | | Moonak | |
| 149 | | Lehragaga | |
| 150 | | Dhuri | |
| 151 | | Longowal | |
| 152 | | SUS Nagar | |
| 153 | | Khanauri | |
| 154 | | Cheema | |
| 155 | | Malerkotla | |
| 156 | | Sunam | |
| 157 | SBS Nagar | Rahon | |
| 158 | | Balachaur | |
| 159 | | Nawanshahr | |

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| | | |
|-----|------------|------------|
| 160 | | Banga |
| 161 | Tarn Taran | Tarn Taran |
| 162 | | Bhikhiwind |
| 163 | | Patti |
| 164 | | Khem Karan |

ANNEXURE-II

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 Least cost method wherein Technical Bid will be given a weight age of 70 % and financial bid will be given a weightage of 30%.

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 | |

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| | | |
|----|---|----------|
| | and work plan in response to the terms of reference. | 30 marks |
| 3. | Sub-criteria: Technical approach & methodology | 20 marks |
| | Organization & staffing – including office in Punjab/ Chandigarh | 10 marks |
| 4. | Key professional staff: Qualification & competency for the assignment / job. | 40 marks |
| 5. | Sub-criteria – | |
| | a. Team Leader | 12 marks |
| | b. Other key professionals | 20 marks |
| | c. Professionals, who are associated with any project in Punjab or professionals from Punjab / (Tri-city) | 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/Receipts)
- Form Tech 6: Legal Constitution & Number of Years of Existence

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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/job for [Insert title of Assignment/job] in accordance with your Request for Proposal dated [Insert Date] and our Proposal. We are hereby submitting our Proposal online at Punjab e-tender website and submit it physically, which includes this Technical Proposal, and a Financial Proposal sealed under a separate envelope and requisite EMD and bid processing fees online through the e-tender payment mode.

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 5% 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:

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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 in carrying out capacity building activities in Urban Local Bodies of India)

| Manpower | (FY March 2018) | (FY March 2017) | (FY March 2016) |
|---------------------------|-----------------|-----------------|-----------------|
| Number of Permanent Staff | | | |
| Number of Contract | | | |

Annexure III

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:

| | |
|--|---|
| <p>Amount quoted for Social audit for one project (for one Audit Cycle- 3 to 6 Months)</p> | <p>One Project having 100 DUs or clustering of Project or clustering of ULBs to meet DUs 100)</p> |
|--|---|

***In case lower rates are obtained through RFPs, the same will apply as terms of payment**

**** Inclusive of all taxes**

Annexure IV

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 2015-16, 2016-17, and 2017-18(Provisional) and Form 12AA - Certificate issued by Income Tax Department

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

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| | |
|----|--|
| 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 | Issues/complaints any unresolved issues and complaints: |
| 9 | Recommendations: |
| 10 | Name and Contact Details of the Independent Facilitating Agency: |

