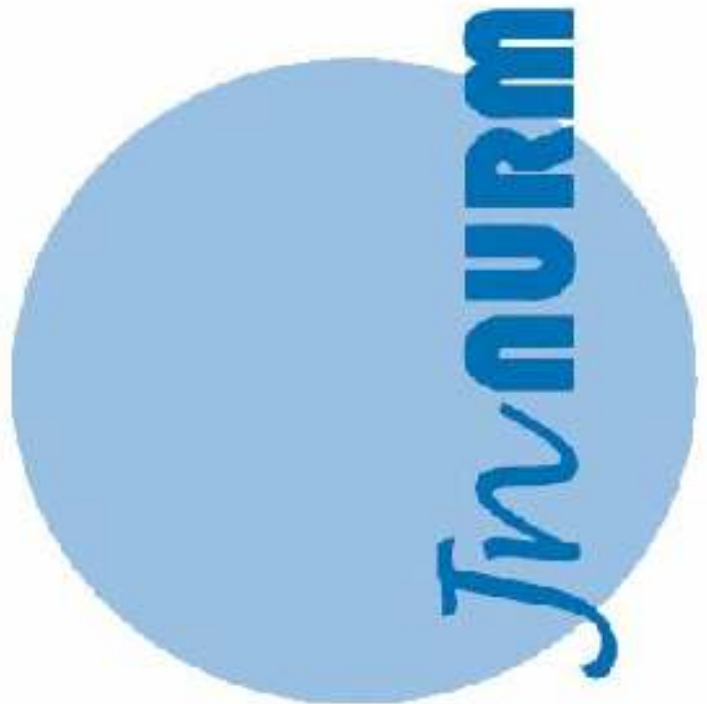


August 2007

Jawaharlal Nehru National Urban Renewal Mission

Toolkit for Project Implementation Unit

Sub-Mission for Urban Infrastructure and Governance



GOVERNMENT OF INDIA
Ministry Of Urban Development

Toolkit for Project Implementation Units (PIUs) – Improving implementation capacity of ULBs

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1 The Toolkit

The purpose of this toolkit is to guide the ULBs in establishing Project Implementation Units (PIUs) to enhance their capability to effectively implement projects and reforms under JNNURM. The Central Sanctioning and Monitoring Committee (CSMC) has accorded in-principle approval for financial support to ULBs for establishing PIUs. ULBs desirous of seeking financial support for PIUs may use this toolkit as reference for preparing proposals for financial support.

2 Improving implementation capacity of ULBs

2.1 Introduction

There is an imperative need for enhancing the capacity of ULBs in Mission cities to implement projects and reforms envisaged under JNNURM. Due to limited professional capacity most cities are constrained to meet these challenges. It is therefore proposed to assist the ULBs in establishing PIUs to enhance their overall capacity for implementation of the Mission.

2.2 Eligibility

- All JNNURM cities that have signed the MoAs, will be eligible to access resources for establishing PIUs.
- Where the urban agglomeration consists of multiple ULBs, the support for PIUs shall be limited to Municipal Corporations.
- The list of eligible ULBs is given in [Annexure 1](#).
- The MoUD reserves the right to withdraw support if it is established that a particular PIU is not functioning effectively.

2.3 Roles and Responsibilities of PIU

The PIU is meant to be an operations unit supplementing and enhancing the existing skill mix of the ULB, rather than a supervisory body. It is expected to work in tandem with the existing staff with focus on strengthening implementation of JNNURM. The focus of PIU is to enhance the pace and quality of implementation of the Mission activities.

The PIU shall assist the ULB in carrying out the following activities:

- Project management, co-ordination and technical support for implementation of JNNURM Reforms and Projects
- Ensuring optimal technical quality in project implementation and service delivery
- Monitoring project progress in co-ordination with other departments including parastatals
- Monitoring project progress and co-ordination with departments (eg. Revenue, Accounts, Engineering, Health etc.) for projects being implemented by the ULB
- Preparation of reports (including QPRs and Utilisation Certificates) for SLNA and MoUD on progress of implementation of JNNURM projects and reforms
- Engaging and managing service providers and external experts for implementation of projects and reforms
- Staying abreast with latest developments in the area of expertise and facilitate transfer of relevant information and best practices to staff for use in ULB functioning

The PIU experts shall report to designated senior officers and discuss day-to-day issues proactively. PIU team shall liaison with Mission Directorate, MoUD, state government and SLNA regularly through emails.

2.4 Composition of PIU

In general a Project Implementation Unit shall consist of following professionals:

- A. Information Technology Officer
- B. Municipal Finance Officer
- C. Public Health Engineer
- D. Social and Community Development Officer
- E. Urban Planning Officer
- F. Procurement Officer¹
- G. Environment Officer
- H. Human Resource Development Officer

The above mentioned skill sets are only suggestive; the ULBs shall assess their requirement for composition of PIU based on their existing staffing pattern and the workload. Terms of Reference for the eight positions are attached in [Annexure 2](#). The professionals shall be hired from the open market on contractual basis.

The PIU shall be headed by a senior officer of the rank of Commissioner/Deputy Commissioner and work as a close team, in co-ordination with the ULB staff, sharing work programs, implementation issues, outcomes, areas of attention etc.

2.5 Recruitment Process

Selection and recruitment for PIU shall be undertaken by the ULBs as per their respective procurement practices. However consistency with Terms of Reference ([Annexure 2](#)) and Model Contract ([Annexure 3](#)) shall be ensured.

2.6 Terms of Engagement

The engagement of the professionals will be for a period not exceeding three years, to be reviewed annually based on performance, outputs and desired impacts. The financial support from GOI for contractual hiring of the individual professionals will be in the range of Rs. 15,000 to Rs 25,000 per month. The cities may supplement the above amount with their own resources if necessary, for highly qualified candidates. The employment will be governed by standard Contractual Agreement.

The actual expenditure incurred by the ULBs, consistent with the guidelines for establishing PIUs, shall be eligible for reimbursement.

¹ While TORs for Procurement Advisor/Officer are common, it is suggested that the smaller ULBs may wish to employ part time professionals, while the larger ULBs would require a full time Officer.

3 Sanction of Proposal for PIU

3.1 Structure of Proposal

The ULBs are invited to send proposals for funding of PIU, based on the template provided in Annexure 4. The Proposal must clearly justify the composition of PIU and support it with details of the existing organisation profile of the ULBs. The proposals must be approved by the respective State Level Steering Committee (SLSC) before submission to Mission Directorate.

3.2 Admissible components

The support for PIU would be limited to financial support for contractual hiring of experts comprising the PIU.

The following items are ineligible for support from the Mission:

- Capital expenditure on equipment like photo copier, lap tops etc.
- Construction / renovation of office space / office furniture
- Purchase of vehicles
- Regular salary
- Development / maintenance of websites.

The above items and other administrative costs will have to be borne by the ULBs.

3.3 Appraisal and Sanction

The proposal for establishing PIU shall be endorsed by the ULB and submitted to the SLNA for review. On approval from the SLSC, the PIU proposal shall be submitted to the Mission Directorate, MoUD. The PIU proposals shall be examined by the Mission Directorate and placed before the CSMC for approval and sanction. The ULBs shall establish PIU after receiving approval from the Mission Directorate. As a part of the proposal, the ULBs should send a copy of the contracts for PIU professionals along with a request for advance for costs of PIU for 6 months, to the Mission Directorate. On receipt of request for reimbursement of professional fee of the PIU experts, the Mission Directorate shall examine the claims and sanction it. The flow of funds and utilization for PIU shall be as per JNNURM guidelines.

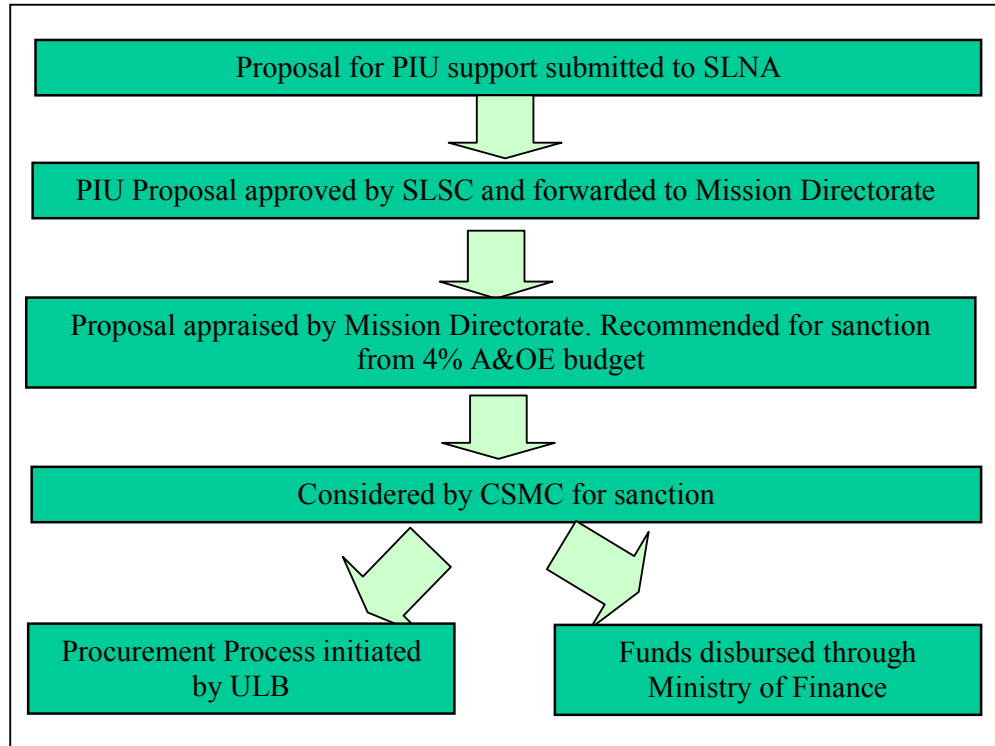


Figure 1: Process flow for PIU sanction

3.4 Financing of PIUs

The assistance for establishing PIUs shall be met out of JNNURM allocation of 4% for administration and other expenses (A & OE) under the Sub-Mission 1: Urban Infrastructure and Governance. The financial support for PIU shall be provided biannually, subject to submission of utilisation certificates. ULBs shall submit utilisation certificates after six months. The functioning of the PIU shall be closely monitored by the concerned ULB, State government and MoUD. The continuation of support shall depend on satisfactory performance of PIU. This financial support for PIU shall be gradually reduced to 75% in second year and 50% in third year.

Annexure 1. - List of Eligible cities

| | JNNURM City | | M. Corp |
|----|--------------------|---|---|
| 1 | Hyderabad | 1 | Hyderabad |
| 2 | Vijaywada | 1 | Vijaywada |
| 3 | Visakhapatnam | 1 | Visakhapatnam |
| 4 | Guwahati | 1 | Guwahati |
| 5 | Patna | 1 | Patna |
| 6 | Chandigarh | 1 | Chandigarh |
| 7 | Raipur | 1 | Raipur |
| 8 | Delhi | 2 | MCD N.D.M.C. |
| 9 | Ahmadabad | 1 | Ahmedabad |
| 10 | Surat | 1 | Surat |
| 11 | Vadodara | 1 | Vadodara |
| 12 | Rajkot | 1 | Rajkot |
| 13 | Faridabad | 1 | Faridabad |
| 14 | Shimla | 1 | Shimla |
| 15 | Ranchi | 1 | Ranchi |
| 16 | Banglore | 1 | Banglore |
| 17 | Mysore | 1 | Mysore |
| 18 | Kochi | 1 | Kochi |
| 19 | Thiruvananthapuram | 1 | Thiruvananthapuram |
| 20 | Indore | 1 | Indore |
| 21 | Bhopal | 1 | Bhopal |
| 22 | Jabalpur | 1 | Jabalpur |
| 23 | Ujjain | 1 | Ujjain |
| 24 | Greater Mumbai | 6 | Greater Mumbai Thane Navi Mumbai Kalyan-Dombivli Ulhasnagar Mira-Bhayandar |
| 25 | Pune | 2 | Pune Pimpri Chinchwad |
| 26 | Nashik | 1 | Nashik |
| 27 | Nagpur | 1 | Nagpur |
| 28 | Nanded Waghala | 1 | Nanded Waghala |
| 29 | Bhubaneswar | 1 | Bhubaneswar |
| 30 | Ludhiana | 1 | Ludhiana |
| 31 | Amritsar | 1 | Amritsar |
| 32 | Jaipur | 1 | Jaipur |
| 33 | Chennai | 1 | Chennai |
| 34 | Coimbatore | 1 | Coimbatore |
| 35 | Madurai | 1 | Madurai |
| 36 | Kanpur | 1 | Kanpur |
| 37 | Lucknow | 1 | Lucknow |
| 38 | Allahabad | 1 | Allahabad |
| 39 | Varanasi | 1 | Varanasi |

| | | | |
|----|----------|---|--------------|
| 40 | Meerut | 1 | Meerut |
| 41 | Agra | 1 | Agra |
| 42 | Dehradun | 1 | Dehradun |
| 43 | Kolkata | 3 | Kolkata |
| | | | Chandannagar |
| | | | Howrah |
| 44 | Asansol | 2 | Asansol |
| | | | Durgapur |

| | |
|--------------|-----------|
| Total | 54 |
|--------------|-----------|

| | | | |
|----|-------------|----|-------------|
| 1 | Agartala | 1 | Agartala |
| 2 | Aizawl | 2 | Aizawl |
| 3 | Ajmer | 3 | Ajmer |
| | | 4 | Pushkar |
| 4 | Bodh Gaya | 5 | Bodh Gaya |
| 5 | Dhanbad | 6 | Dhanbad |
| 6 | Gangtok | 7 | Gangtok |
| 7 | Haridwar | 8 | Haridwar |
| 8 | Imphal | 9 | Imphal |
| 9 | Itanagar | 10 | Itanagar |
| 10 | Jammu | 11 | Jammu |
| 11 | Jamshedpur | 12 | Jamshedpur |
| 12 | Kohima | 13 | Kohima |
| 13 | Mathura | 14 | Mathura |
| 14 | Nainital | 15 | Nainital |
| 15 | Panaji | 16 | Panaji |
| 16 | Pondicherry | 17 | Pondicherry |
| 17 | Puri | 18 | Puri |
| 18 | Shillong | 19 | Shillong |
| 19 | Srinagar | 20 | Srinagar |

| | |
|----------------------------|-----------|
| Total JNNURM cities | 63 |
|----------------------------|-----------|

| | |
|------------------------|----|
| Municipal Corporations | 54 |
| Municipalities | 20 |

| | |
|-------------------|-----------|
| Total ULBs | 74 |
|-------------------|-----------|

Note: For ULBs other than Municipal Corporations, PIU may be considered on need basis by CSMC.

Annexure 2. - Terms of Reference of Professionals

- A. Information Technology Officer**
- B. Municipal Finance Officer**
- C. Public Health Engineer**
- D. Social Development Officer**
- E. Urban Planning Officer**
- F. Procurement Officer**
- G. Environment Officer**
- H. Human Resource Development Officer**

A. Information Technology Officer

1. Need for IT Officer

(Information about the ULB and its need for IT officer may be delineated with focus on e-governance reforms under JNNURM)

2. Scope of Work

The prime role of the IT officer is to assist ULB to implement following e-governance reforms as per the milestones committed in the MoA, in order to achieve transparent administration, quick service delivery, effective MIS, and general improvement in the service delivery link:

- Property tax
- Accounting
- Water Supply and Other Utilities
- Birth & Death Registration
- Citizens' Grievance Monitoring
- Personnel Management System
- Procurement and Monitoring of Projects
 - E-procurement
 - Project/ward works
- Building Plan Approval
- Public Health Management
- Licenses
- Solid Waste Management
- Setting up of citizen interface centres like kiosks etc.

The ToR shall include, but not restricted to the following:

- IT related support for the above components of e-governance reforms
- Reporting to MoUD and SLNA on progress of e-governance reforms
- Coordination of data entry and file uploads into systems used by the ULB on a regular basis, especially the PMES system for the JNNURM program.
- Coordinate management of electronic data pertaining to the ULB, including soft copies of letters, reports and numerical data. This may involve conversion of data and reports in hard copy to electronic form, as well as their storage in an organized filing system.
- Assist ULB officials in operating IT systems on a daily basis; provide handholding support when required.

3. Qualifications and Experience

(i) A Bachelors /Masters degree in one of the following streams:

- BE/BTech Computer Science/Electronics
- MCA
- MSc Computer Science
- BSc Computer Science with professional certifications and/or 2+ years of relevant IT work experience

- Other graduate/post graduate with professional certifications and/or 3+ years of relevant IT work experience. Candidates with professional certifications in addition to degrees will be preferred
- (ii) Two to three years experience in installation and managing IT systems.
- (iii) Ability to work in a team and train staff on the job to use the systems and assist in day to day issues related to IT.
- (iv) Preferably functional in English and local language.

4. Deliverables and Reporting

The following deliverables are expected from the IT Officer:

- Quarterly Progress Reports related to status of e-governance reforms
- Periodic, online inputs to the PMES

The officer shall discuss progress proactively with her/his designated supervisor.

B. Municipal Finance Officer

1. Need for Municipal Finance Officer

(Information about the need for Municipal Finance Officer may be included in this para)

2. Scope of Work

The Municipal Finance Officer shall play a key role in the accounting reforms initiatives. He / she shall work with the Accounts Officer and the existing accounting team of the ULB to undertake all preparatory work, data migration, training initiatives, piloting, implementation, trial runs, etc. of the reforms. The ToR shall include but not limited to the services indicated below.

- Assistance to the ULB in preparatory work for implementation of the ULB reforms.
- Implementation of reforms related to Double entry based accrual accounting.
- Reporting on the following reforms:
 - Enactment of Public Disclosure law
 - Internal earmarking budgets for basic services to the urban poor
 - Property tax reforms to improve coverage and collection efficiency
 - Levy of User charges
 - Stamp duty rationalisation
 - Rent control
- Feedback to ULB leadership on constraints being faced in implementation in line with agreed work plans
- Facilitate credit rating exercise as and when undertaken

The Municipal Finance Officer shall also work with the current Finance Officer and play an important role in revenue potential assessment, financial analysis of revenue and expenditure, explore potential for raising debt capital for projects, assess financial viability of investment plans, preparation of financial projections and revenue mobilization plans of the ULB. More Specifically:

- Render advice on all financial matters. Coordinate with all Government and funding agencies on all financial matters
- Undertake detailed revenue potential assessments together with Revenue Department staff, contribute to cost reduction analysis in the utility departments of the ULB
- Facilitate Public Private Partnership in new projects and assist in bid process management, negotiations, contract management and other financial aspects of the project
- Manage fund flows from funding agencies, SLNAs and private sector for projects
- Develop innovative approach towards capital financing

- Timely preparation of reports and reporting for project purposes, to funding agencies and state and central government

3. Qualifications and Experience

- (i) The incumbent should be from a finance/ commerce background. She/He should be a Chartered Accountant or Cost Accountant or MBA with specialization in Finance.
- (ii) Thorough knowledge of Accounting Standards, and other pronouncements of the ICAI
- (iii) The person should have 5-10 years experience in handling financial matters of Government Agency/ Development Authority/ Public Sector and should be conversant with accounting on an accrual basis. Experience in working of municipal environment would be an added advantage
- (iv) Exposure to handling loans for project purposes is desirable
- (v) Ability to work in a team and train staff on the job to use the systems and assist in addressing day to day issues.

4. Deliverables and Reporting

The following are some of the expected deliverables:

- (i) Within three months of joining, produce a road map for implementation of reforms in accounting, property tax, recovery of user charges, and related issues.
- (ii) Monthly progress report on activities, issues and recommendations and work plan for following month.

The officer shall report directly to a senior level designated supervisor and discuss progress achieved under the Mission on regular basis to ensure that objectives identified are met in an efficient manner.

C. Public Health Engineer

1. Need for Public Health Engineer

(Information about the need for Public Health Engineer may be included in this para)

2. Scope of Work

The ToR is not limited to the services indicated below; the incumbent shall incorporate more activities in the related field that are relevant to the job as required from time to time.

- Assist the ULBs in formulation and implementation of Water supply, Sewerage, Drainage and Solid Waste Management projects
- Assist in preconstruction, construction and post construction activities of Sewerage, Water supply, Drainage and Solid waste Projects
- Provide technical advice in tendering process of the projects
- Review the Detailed Projects Report (DPR) and give suggestion for the improvement of the Reports
- Support ULB officials in formulating and implementing projects and provide handholding support as required
- Facilitate implementation of reforms related to levy of reasonable user charges and byelaws on reuse of recycled water.

3. Qualifications and Experience

- (i) BE/B.Tech/ME/M Tech Civil Engineering, Mechanical Engineering
- (ii) BE/B.Tech /ME/ (M.Tech) Environmental Engineering
- (iii) Experience of design and implementation of STP/WTP/SWP
- (iv) Experience in usage of computers, will be preferred.
- (v) Ability to work in a team and train staff on the job to use the systems and assist in day to day issues
- (vi) Minimum 5 years of experience would be preferred.

4. Deliverables and Reporting

The following are some of the expected deliverables:

- (i) Report on the review of DPRs within two weeks of receipt of the same, with recommendations.
- (ii) Inputs to the monitoring and evaluation reports as necessary in water, sewerage, and sanitation projects.
- (iii) Report of review of tendering and bidding procedures and documents as necessary. Each review should be completed and reported within a week of receiving the relevant document.
- (iv) Report on implementation of projects to Mission Directorate, MoUD on monthly basis.

D. Social and Community Development Officer

1. Need for Social and Community Development Officer

(Information about the need for Social and Community Development Officer may be included. It shall be ensured that scope of work does not duplicate efforts of personnel supported by MoHUPA)

2. Scope of Work

The Terms of Reference of the incumbent shall include, but not be restricted to the following activities:

- Provide necessary inputs for enactment of the Community Participation Law to institutionalize citizen participation and introducing the concept of Area Sabha in urban areas
- Help set up City level Voluntary Corps for enhancing community participation.
- Identify and address concerns related to gender and urban poor.
- Network with civil society and private sector, and other line departments such as health, education and social welfare in order to bring convergence of their schemes/ leverage their schemes with projects under UIG.
- Render advice on all matters pertaining to social development, community participation, urban poverty alleviation, on demand.

3. Qualifications and Experience

- (i) The incumbent should be a qualified sociologist/ social worker from an Institution of repute, preferably with some hands-on training with development communication.
- (ii) The person should have at least 5 years experience in programme delivery in services, particularly to underserved sections of the society, preferably in urban areas, with adequate experience in social audit.
- (iii) Experience of having dealt with Government Agencies and familiarity with government procedures of financing, implementation etc.
- (iv) Ability to work in a team and train staff on the job and assist in day to day issues related to social concerns.
- (v) Experience in usage of computers and internet will be preferred. If not computer literate, the incumbent shall upgrade the skills within three months of joining.

4. Deliverables and Reporting:

The following are some of the expected deliverables.

- (i) Assist the city in setting up City Level Voluntary Corps
- (ii) Within six months of joining, produce a road map for Monitoring & Evaluation, along with formats for assessment of social impacts, to become part of the ULB's monitoring system in the long run
- (iii) Monthly progress report on activities, issues and recommendations and work plan for following month. This may include but no be limited to pre-project consultations when preparing DPRs for the ULB, social audit, impact assessments, networking programme and communication activities.

The officer shall report directly to the Commissioner and discuss the progress issues proactively with her/his designated supervisor.

E. Urban Planning Officer

1. Need for Urban Planning Officer

(Information about the need for Urban Planning Officer may be included in this para)

2. Scope of Work

The role of the Urban Planner is central to effective planning and implementation of infrastructure activities. She/he will play an extremely critical role in coordinating all activities defined in the CDP and ensure timely, quality implementation of projects and reforms. The TOR is not limited to the services indicated below.

- Evaluate, assure quality and check DPRs to ensure adequate linkage of projects with the CDP.
- Ensure formulation, implementation, and revision of CDPs on periodic basis, in an endeavour to make it a living document.
- Provide technical support to the ULB in implementing the following mandatory and obligatory reforms:
 - Implementation of 74th Constitutional Amendment Act
 - Rent control
 - Land tenure
 - Building bye laws
 - Water conservation
 - Simplification of legal and procedural framework for conversion of agricultural land for non-agricultural purpose
 - Streamlining the approval process for construction
 - Provision of basic services to the urban poor
 - Earmarking of 20-25% developed land in housing projects for poor
 - Repeal of ULCRA etc.
- Assist integration of projects at sectoral level.
- Help collation of Social Impact Assessment and Environmental Impact Assessment studies for JNNURM projects, wherever required.
- Be responsible to develop, update and store database on service delivery indicators of ULB.
- Assist ULB in formulation and revision of building bye-laws in line with the JNNURM reforms.
- Assist Procurement Specialist in all procurement activities for preparation of bid documents for various development packages.
- Assist Municipal Finance Officer in implementation of property tax reforms to achieve 90 % coverage and 85% collection efficiency during the Mission period.
- Ensure updation of base maps, including GIS maps for the ULB on periodic basis.

3. Qualifications and Experience

- (i) Master's degree in Planning with specialization in Urban and Regional Planning, or Infrastructure Planning with 3-4 years experience. Or Bachelors' Degree in planning with at least seven years experience.
- (ii) Adequate planning and implementation experience of various infrastructure development projects
- (iii) Experience of working as planning specialist (in key personnel position) in at least 2 / 3 large infrastructure development projects.
- (iv) Adequate exposure of working in similar reform oriented projects in Key position
- (v) Ability to work in a team and train staff on the job to use the systems and assist in day to day issues.

4. Deliverables and Reporting

The following are some of the suggested deliverables:

- a. Work plan for implementation activities of the ULB specially related to JNNURM
- b. Annual reporting on Development Status based on pre determined indicators.
- c. Quarterly reporting on performance of various sectors admissible under JNNURM.
- d. Reporting on linkage between CDP/ Master Plan and revision of CDP.

The officer shall report directly to a senior level designated supervisor and discuss progress achieved under the Mission on regular basis.

F. Procurement Officer

1. Need for Procurement Officer

(Information about the need for Procurement Officer may be included in this para)

2. Scope of Work

A Procurement Officer (PO) is required to take on the procurement functions on behalf of ULB and other authorized service delivery agencies. The main objective of the PO will be to procure, contract, administer and financially account for outsourced contractual services² required for the implementation of JNNURM. The Terms of Reference of the incumbent shall include, but not be restricted to the following activities:

- Procurement, contracting, administration and financial management of outsourced contracts, in accordance with the procurement rules and regulations.
- Assist in building procurement expertise in the ULB and key partner organizations.
- Assist in preparation of standard documentation and detailed operating procedures: detailing specifications, compiling terms of reference, packaging bidding material, defining evaluation criteria, preparing standard forms of contract, designing payment certificates. These procedures must reflect modern procurement practices, suitably adjusted for the JNNURM context and the existing Government practices.
- Support the ULB with the preparation of an Annual Procurement Plan based on the annual work plans and budget availability; undertaking quarterly monitoring of progress with its implementation. As required, the Procurement Officer will advise Municipality on preparation of technical specifications
- Advise Municipality in short listing the potential range of suppliers:
 - a. Advise Municipality on the selection criteria to be used in evaluating suppliers' responses
 - b. Record all responses from interested suppliers both at the expression of interest, pre-qualification and bidding stages
 - c. Complete an initial screening and short-listing of suppliers' submissions with recommendations to concerned head of office.
 - d. Act as Secretary to Short-listing Committee, Evaluation Committee & Procurement Committee and support the committee's functioning.
- Contract administration:

² The services to be contracted may include, engineering services, advice on technical and management issues, other required services such as capacity building, training and organization of workshops etc.

- a. Monitor contract performance to ensure that all non-technical requirements are being met by the supplier
- b. Advise municipality and/or concerned agencies in the event of any contract dispute with the supplier and suggest remedial actions
- c. Ensure that any contract variations are properly negotiated and documented in line with the rules and regulations.
- d. Obtain duly authorized payment certificates from the respective contract supervisors within municipality
- e. Initiate payment procedures through municipality's Finance Officer.
- f. Maintain a record of all payments made to suppliers
- g. Maintain a database of all suppliers contracted.

3. Exclusions

1. Roles and responsibilities of the Procurement Officer will exclude the following :
 - The PO will not be responsible for monitoring the technical or professional quality of the work of the suppliers. Responsibility for monitoring the delivery against specification rests with municipality. Authority for payment will rest with municipality
 - Contracts will be signed by concerned head of office and payments to suppliers will also be made by him / her.
 - The PO will not be permitted to bid for any of the contracts. A signed undertaking to comply with this exclusion will be given by the PO, along with the Contract for recruitment.

4. Qualifications and Experience

In addition to demonstrating the capacity to complete all of the tasks listed above, the successful bidder must be able to meet the following standards:

- i. Professional expertise in establishing and operating systems for procurement, contracting and accounting which will be subject to external audit and CAG audit.
- ii. Minimum 5 years experience in the financial and administrative management, monitoring and reporting of multiple consultancy projects.
- iii. Ability to work in a team and train staff on the job to use the systems and assist in day to day issues.
- iv. Experience in usage of computers and internet will be preferred. If not computer literate, the incumbent shall upgrade the skills within three months of joining.
- v. The PO must be able to demonstrate its independence from potential and actual suppliers of services to the JNNURM programme.

5. Deliverables and Reporting:

The PO shall work under the guidance of, and be responsible to, the Commissioner or any officer nominated by him and submit a monthly progress report detailing:

- Progress on procurement of services for JNNURM
- Analysis of progress at each stage of the procurement process
- Assessment of overall progress against Procurement Plan
- Details of any contract under dispute with action plan and timetable for resolution



G. Human Resource Development Officer

1. Need for Human Resource Development Officer

(Information about the need for Human Resource Development Officer may be included in this para)

2. Scope of Work

The TOR is not limited to the services indicated below; the incumbent shall incorporate more activities in the related field that are relevant to the job as required from time to time.

a. Personnel Management

- Recruit staff, as necessary, from the open market including developing job descriptions, preparing advertisements, checking application forms, short listing, organizing interviews and processing placement of selected candidates.

b. Capacity Building

- Assess ULB/Parastatal institutions' specific training needs & organise training programs as per the HRD Plan. On the basis of the assessment, work with sector heads to develop HR planning strategies, which consider immediate and long-term staff requirements in terms of numbers and skill levels.
- Develop annual training and development programmes that assist in implementation of JNNURM projects and reforms;
- Develop and continually implement as necessary an effective induction programmes, including orientation on the JNNURM.
- Establish HR information system in coordination with the IT Officer and use it for planning and monitoring, updating information continually. Assess manpower requirement periodically, using the database.

3. Qualification and Experience

- Ideally she/he shall possess a post graduate qualification in Personnel Management / HR from a reputed academic institution.
- About 5 years of experience in the above-mentioned areas.
- Ability to work in a team with other professionals to gain insights to training needs on a continuous and sustained basis. Encourage staff to be open and willing to discuss individual problems and needs and assist in addressing day to day human resource management issues.
- Implementation support, facilitation and coordination skills
- Dealing with other Govt. bodies / agencies, communities / local bodies/NGOs.

- Experience in usage of computers and internet will be preferred. If not computer literate, the incumbent shall upgrade the skills within three months of joining.
- Preferably functional in English and local language.

4. Deliverables and Reporting:

The following are some of the expected deliverables:

- i. Comprehensive database of personnel information, within three months of joining
- ii. Annual/six monthly/ quarterly training calendars
- iii. Monthly report on human resource issues and suggestions for enhancing productivity and effectiveness

The Officer shall report directly to the Commissioner and discuss the progress issues proactively with her/his designated supervisor.

H. Environment Officer

1. Need for Environment Officer

(Information about the need for Environment Officer may be included in this para)

2. Scope of Work

The TOR is not limited to the services indicated below; the incumbent shall incorporate more activities in the related field that are relevant to the job as required from time to time.

- Assist ULB in all activities related to improving environmental quality of the city.
- Assist in preparation and implementation of Environmental Management Plan (EMP) for various infrastructure projects.
- Assist the ULBs in implementing the norms/guidelines of the State Pollution Control Board, Centre Pollution Control Board and Ministry of Environment and Forest and other relevant state level departments.
- Responsible for the preparations of periodical environmental status report and circulation to the ULB and other agencies
- Support preparation and implementation of Solid Waste Management plans
- Monitor the operation and management of STPs to ensure they meet required water quality norms
- Help identification and development of surface and ground water conservation projects, etc
- Provide technical support to the ULB in implementing following reforms:
 - Mandatory rainwater harvesting in all buildings
 - Bye laws on reuse of recycled water
 - 100% cost recovery of solid waste
- Assist in environmental and energy auditing activities of the ULB

3. Qualifications and Experience:

- i. BE/BTech/Me/M Tech Civil Engineering, Chemical engineering with certification courses in Environmental Engineering/Environmental Management
- ii. Bachelors/Masters degree in other fields with post graduation in Environmental Management
- iii. Experience in design and operation of STP/WTP/SWP
- iv. Experience in usage of computers, will be preferred. If not computer literate the incumbent will need to upgrade skills within three months.
- v. Minimum of 5 years experience.
- vi. Ability to work in a team and train staff on the job to use the systems and assist in day to day issues.

4. Deliverables and Reporting

The following are some of the expected deliverables.

- a. Quarterly report on implementation of Solid Waste management Projects
- b. Report on implementation of environmental and energy audit activities of the ULB

The Officer shall report directly to the Commissioner and discuss the progress issues proactively with her/his designated supervisor

Annexure 3. - Draft Model Contract



CONTRACT AGREEMENT FOR FIXED TERM TECHNICAL SERVICES

BETWEEN

Name of the hiring Authority (ULB/SLNA)

AND

Name of Professional Being Contracted

Date

The logo for the Jawaharlal Nehru National Urban Renewal Mission (JnNURM) is located in the bottom right corner. It features the text "JnNURM" in a stylized, blue, sans-serif font, oriented vertically. The text is set against a light blue circular background that has a soft, glowing effect.

TECHNICAL SERVICES FIXED TERM CONTRACT

BETWEEN *HIRING AUTHORITY (ULB)*
AND *NAME OF PROFESSIONAL*
TO BE ASSIGNED TO: *xxxxx. MUNICIPALITY*
AS: Designation For e.g. Information Technology
Officer
DATED: *XX.XX.07*

AGREEMENT between *HIRING AUTHORITY (ULB)*, *Address of ULB* (hereinafter called the Municipality)

AND

NAME OF OFFICER (hereinafter called the *Designation*), *Address of Officer*.

IT IS HEREBY AGREED THAT theMunicipality appoints Mr/Mrs/Msas a (*title of position e.g. IT or Finance Officer*), under Terms and Conditions of this Fixed Term Contract, with the following specifications:

A. DUTIES

1. The Officer shall undertake the work described in the Terms of Reference as set out in attached **SCHEDULE B**.
2. The Officer shall, during the course of this contract or such other period as may be mutually agreed to, work under the direction of the Municipality in carrying out her/his assignment, and under the direction of the *Commissioner*³ on a day to day basis.
3. The work performed by the Officer shall be of a standard consistent with that normally expected from professionals engaged from the open market on a competitive basis.

B. TERMS OF ENGAGEMENT

1. **REMUNERATION:** The Municipality shall pay the Officer for the agreed time spent in carrying out her/his assignment as per norms set out in the attached **SCHEDULE A**. In addition, the Officer will be entitled to travel costs, by the shortest route, as per eligibility of a Class I/Class II Officer, to join duty and to return to her/his point of recruitment, on completion of the assignment

³ The designation may be changed as necessary.

2. **TRAVEL AND PER DIEM:** The Municipality shall reimburse the Officer for all reasonable official travel and other related expenses properly incurred by her/him in accordance with the details in the attached **SCHEDULE A**.
4. **INSURANCE:** The Municipality undertakes no responsibility in respect of life, accident, travel or any other insurance coverage for the Officer.
5. **TERMINATION:**
 - a. The premature termination or the suspension of the Municipality's engagement, in respect of the funds with which the Officer has been engaged, or significant change in the requirements of the job, for which the Municipality cannot be held responsible, will give rise to the right of the Municipality to terminate this contract.
 - b. Further, Municipality reserves the right to terminate this contract for any of the following reasons:
 - Absence of the Officer from duty except as a result of sickness or accident;
 - Unsatisfactory performance by the Officer ;
 - Misconduct by the Officer or breach of the terms of this contract or any act or omission which in the reasonable opinion of the Governing Body of the Municipality, may bring the Municipality into disrepute;
 - Significant incompatibility of the Officer with local personnel/officials or public/consumers.
 - c. Conversely, the incumbent may terminate the contract with one month notice to the ULB.

In respect of termination under both (a) and (b) above the Officer will be paid in accordance with this contract for work performed up to the time of termination of the engagement of the Officer.

C. RESTRICTIONS

Except as the Municipality may specifically agree in writing:

1. The Officer shall work exclusively for the Municipality during the term of this contract and not engage in any other occupational calling whether or not for profit or payment of any kind.
2. The Officer will not become involved in any political or sectarian organizations.

3. The Officer shall not participate in any radio, television or like programme; or contribute to any newspaper journalistic articles or group discussions, unless called to do so.
4. The Officer shall not make any commitments that may be construed as being on behalf of the Municipality.
5. The Officer shall at all times comply with the civil and criminal laws and regulations of the country, state or place to which she/he may be domiciled or through which she/he may travel during the term of this contract.
6. The Officer appreciates and accepts that:
 - (a) the standard of her/his conduct whilst working in the engagement of the Municipality must be and remain high in all respects and that he has a duty not to indulge in any behaviour which gives offence to the public and to other Municipality personnel.
 - (b) that any extensions to the existing contract or directly related follow up opportunities offered to or solicited by the Officer as a direct result of her/his engagement under this contract shall be directed through and administered by the Municipality which may in its absolute discretion reassign or decline such involvement and in the event of the latter the Municipality forfeits its rights in respect of the latter.

D. CONFIDENTIAL INFORMATION

1. Except with the prior written consent of the Municipality the Officer shall not at any time communicate to any person or entity any information acquired during the term of this contract.
2. The Officer shall immediately advise the Municipality of any information received that could affect the business or well being of the Municipality.
3. That any information acquired by the Officer in the course of her/his engagement regarding the projects, policies, processes, trade secrets, finances or other affairs of the Municipality or the persons doing business with the Municipality shall be treated by the Officer as secret and confidential and shall not be disclosed by the Officer to any other person, firm, organisation, or Municipality either during her/his engagement with the Municipality or thereafter.
4. The Officer will not at any time either during her/his engagement under this contract or thereafter, utilise any information or any trading advantage coming to her/his knowledge in the course of her/his duties as Officer or otherwise disclosed or communicated to him by a client of the Municipality or other person or persons having dealings with the Municipality except in the proper course of her/his duties as an Officer.

Any such trading advantage or information shall be the exclusive property of the Municipality.

E. JURISDICTION

This Contract shall be entirely governed by the (*Name of state*) .State and no action, claim or legal proceeding shall be brought in respect of this Contract or rights arising under this contract except within the appropriate jurisdiction.

SIGNED BY THE OFFICER

IN THE PRESENCE OF

FOR AND ON BEHALF
OF HIRING AUTHORITY (ULB)



SCHEDULE A

These TORs are pertaining to the attached Contract dated xx.xx.07 relating to the engagement of (*Name of Officer*) by (**HIRING AUTHORITY (ULB/SLNA)**)

1. **JOB TITLE:** E.g. Information Technology (IT) Officer
2. **DURATION OF CONTRACT:** Duration of the Contract shall be for a period of **xxx year/years, commencing from(Date)**. Any extension to the Contract shall be mutually agreed between the Municipality and the Officer, at least one month prior to the termination date.
3. **LEAVE:** The Officer will be entitled to the Gazetted holidays at the Municipality and 12 days of annual leave. Any other leave will be treated as unpaid.
4. **REMUNERATION:** Payment shall be a lump sum of **Rs....**per month for the period of engagement under this contract, commencing on xx.xx.07 and terminating on completion of one/two years/three years of this assignment. All extensions and revisions of remuneration will be based on annual performance reviews by the Municipality.
 - Payment will be made monthly in arrears.
 - The final payment due under this contract will not be made until the Municipality is satisfied that all reports required to be submitted by the Officer have been lodged as required in the Terms of Reference.
5. **TRAVEL:**

For this assignment, travel or other incidental travel costs will be paid to the Officer by the Municipality at admissible rates for a Class I/II Officers.
6. **REPORTING:** The Officer shall report to the Commissioner or such Officer assigned by her/him.
7. **TOOLS OF TRADE:** The Officer will be provided office space, furniture, computer etc. as necessary for fulfilling the Terms of Reference in Schedule B.

SCHEDULE B

Relevant Terms of Reference by Functional Domain/Expertise



SCHEDULE C

Pertaining to the attached Contract dated relating to the engagement of
(Name of Officer) byULB.

Emergency contact details.

| | (a) | (b) |
|--------------|-------|-------|
| Name | | |
| Address | | |
| Telephone | | |
| Email | | |
| Relationship | | |

Signed: _____

Date: _____



Annexure 4. - Template for Proposal for PIU

1. Introduction

- 1.1 City profile
- 1.2 Institutional set up at city level
- 1.3 Profile of ULB
 - Organisation Structure of the ULB
 - Class-wise staffing pattern

2. Status of JNNURM

- 2.1 Capital Investment Plan of the city as recorded in the CDP
- 2.2 Programme Status – JNNURM Projects and Reforms
- 2.3 Projects planned to be implemented by the ULB

3. Project Implementation Unit

- 3.1 Need for establishing PIU
- 3.2 Role of PIU
- 3.3 Composition of PIU
- 3.4 Procurement Process
- 3.5 Estimated cost of establishing PIU
- 3.6 Details of Office infrastructure for PIU to be provided by the ULB