



Government of Odisha  
**Odisha Urban Housing Mission (OUHM)**  
**Housing & Urban Development Department**  
(Unnati Bhawan, 4<sup>th</sup> Floor, Satyanagar, Bhubaneswar-751007)  
(email-[ouhmodisha@gmail.com](mailto:ouhmodisha@gmail.com))

No. 85 Date: 18.01.2022  
OUHM(PMAY-75/2019)

From

**Shri Sushanta Kumar Mishra, OAS**  
Additional Secretary to Govt.-cum- Mission Director, OUHM  
H & UD Department

To

**The Director,**  
I & PR Department, Govt. of Odisha, Bhubaneswar

**Sub: Publication of Advertisement for floating of RFP for engagement of Independent Facilitating Agency (IFA) for conducting Social Audit under Pradhan Mantri Awas Yojana (PMAY –Urban)**

Sir,

I am directed to enclose herewith the attachment for floating of RFP and to request you to publish the same on **19.01.2022** in The Samaj, The Sambad and The Times of India for wide publicity.

The bill towards publication of the above advertisement along with the copies of the news paper may be sent to the Mission Director, Odisha Urban Housing Mission (OUHM) for payment.

Encl: As above.

Yours faithfully,

  
Additional Secretary to Govt.-cum-  
Mission Director, OUHM

Memo No. 86 Dt. 18.01.2022

Copy along with soft copy of the above RFP forwarded to the Team Leader, TASU, H & UD Department with a request to upload the same in the Department website on **19.01.2022** positively.

  
Additional Secretary to Govt.-cum-  
Mission Director, OUHM



Government of Odisha  
**Odisha Urban Housing Mission (OUHM)**  
**Housing & Urban Development Department**  
(Unnati Bhawan, 4<sup>th</sup> Floor, Satyanagar, Bhubaneswar-751007)  
(email-[ouhmodisha@gmail.com](mailto:ouhmodisha@gmail.com))

RFP No.-06

Date 18.01.2022

**REQUEST FOR PROPOSAL**

RfP for engagement of Independent Facilitating Agency (IFA) for conducting Social Audit under Pradhan Mantri Awas Yojana (PMAY –Urban)

Sl. No.	Description	Important Information
1.	Date of publication	Date: 19.01.2022
2.	Downloading of tender documents	Date 19.01.2022 from 11:00 AM from What's New link of the <a href="http://www.urbanodisha.gov.in">http://www.urbanodisha.gov.in</a> website
3	Receiving queries from applicants (physical or e-mail) <a href="mailto:ouhmodisha@gmail.com">ouhmodisha@gmail.com</a>	Date 21.01.2022
4	Pre Bid Meeting (Additional Queries may be accepted in writing till the date of Pre Bid Meeting)	Date 24.01.2022 at 11.30 A.M.
5	Reply to Pre Bid Queries	Date 24.01.2022 by 5:00 P.M
6	Last date of physical submission of tender Documents	Date 27.01.2022 up to 5:00 P.M
7.	Date of opening of Technical Bid	Date 28.01.2022 at 11:30 P.M
8.	Date of opening of Financial Bid	Date 31.01.2022 at 11:30 A.M

Applicants/ Authorised representatives may be present at the time of opening of the bid.

Sd/-

Mission Director, Odisha Urban Housing  
Mission, H & UD Department

**REQUEST FOR PROPOSAL (RFP) FOR  
ENGAGEMENT OF INDEPENDENT FACILITATING AGENCY (IFA) FOR  
CONDUCTING SOCIAL AUDIT UNDER  
PRADHAN MANTRI AWAS YOJANA (PMAY –URBAN)**



**Mission Director, OUHM  
4<sup>th</sup> floor, Unnati Bhawan, Satyanagar, Bhubaneswar, Odisha-751007  
Phone: 0674- 2430232, 2436886 (Office)  
Website: [www.urbanodisha.gov.in](http://www.urbanodisha.gov.in)**

**RFP No. 06**

**Date: 18.01.2022**

## Invitation for Bid

1. Odisha Urban Housing Mission (OUHM), Govt. of Odisha invites technical and financial proposals from eligible Consultancy Firms/ NGOs for engagement as Independent Facilitating Agency (IFA) for conducting Social Audit of houses constructed under Pradhan Mantri Awas Yojana – Housing for All (Urban) in Odisha. Tender documents can be downloaded from What's New link of the <http://www.urbanodisha.gov.in> website.
  
2. Participating Agencies must fulfill the following pre-requisite conditions:
  - 2.1. Registered Consultancy Firms/ Consultancy Agencies/ Agencies/ NGO under Indian Partnership Act/ Societies Registration Act/Indian Trust Act/Indian Religious and Charitable Act as a non-profit institution or a company registered under the Companies 'acts or under relevant state acts for at least three years are only eligible to participate in this RFP.
  - 2.2. The consultancy Agency/Firm must have been in operation in India for at least 3 (Three) years. Proof of registration as a legal entity must be submitted.
  - 2.3. Education and research institutions working in this field with at least 3 years' experience may also participate in the bidding process
  - 2.4. The Agency/NGO should have experience of working with Central Govt./State Govt./Urban Local Bodies of minimum 3 Similar Assignments (Social Audit/ Audit of Govt. Schemes) completed in the last 5 (Five years) with fee involving more than Rs 2.00 lakhs.. The Agency should have experience of using social accountability/participatory tools/methodologies in conducting Social Audit earlier.
  - 2.5. The agency should be based in the state Odisha (or should have a local office in the state) and should have worked in that state. Further, the agency should be well conversant with the language and culture of the state.
  - 2.6. The average turnover of the Agency should be at least Rs. 30 Lakhs in the last three financial years with positive net worth in 2020-21.
  - 2.7. No conflict of interest prevails in the engagement.  
Conflict of Interest for an IFA is defined as-
    - I. The team members of IFA should not have been an employee of any City or State level government agency in the State of Odisha in preceding 2 years of this contract. The Agency should not have been involved in any activity related to PMAY (U) in Odisha in preceding 2 years.

- II. The agency black listed or debarred by the Government, would not be eligible for IFA.
- 2.8. The Consultancy/Agency should have valid PAN/ TAN/ GST number and must have filled Income Tax return in the last three financial years.

**Note:** Proposals submitted without enclosure of these documents will be treated as ineligible.

**3. Downloading and Submission of Request for Proposal (RFP):**

- 3.1 Interested Agencies may download the complete Request for Proposal (RFP) document from the website [www.urbanodisha.gov.in](http://www.urbanodisha.gov.in). The eligible bidder may submit their bids physically/by hand or through post/courier to the office of the Odisha Urban Housing Mission (OUHM).
- 3.2 Interested Agencies/NGOs may submit their proposals along with a non-refundable demand draft of Rs. 1,000/- (Rupees One Thousand only) as cost of RFP and an Earnest Money Deposit (EMD) of Rs. 25,000/- (Rupees twenty-five thousand only) as prescribed in the RFP document (refundable). If the bidder/local startup is claiming waiver as per office memorandum No.13681/F., date 19.04.2018 FIN-CODES-RULE-0005-2015 for exemption of EMD and concessional payment of Performance Security, the bidder has to claim by submitting Startup/MSEs certificate. Any of the Proposals received without Cost of RFP document & EMD/Security Deposit or documents for claiming waiver from submitting RFP Cost/EMD will be considered ineligible for submission of Proposal. However, firms registered with MSME and NSIC are exempted from payment of EMD. Such firms should submit a copy of EMD Exemption certificate/Notice issued by the Government for claiming exemption from EMD submission. Similarly, startups registered under the Startup India initiative shall also be exempted from payment of EMD.
- 3.3 The last date for submitting the bids is **27.01.2022 up to 5:00 P.M**

**Key dates:**

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3	Receiving queries from applicants (physical or e-mail) <a href="mailto:ouhmodisha@gmail.com">ouhmodisha@gmail.com</a>	Date 21.01.2022
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8.	Date of opening of Financial Bid	Date 31.01.2022 at 11:30 A.M

All amendments, time extension, clarifications etc. will be uploaded on the website only. The bidders should regularly visit the website to keep themselves updated.

  
**Mission Director, OUHM**  
Contact No. 0674- 2430232,  
2436886 (Office)

## **Contents:**

1. Letter of Invitation
2. Annexure A: Data Sheet
3. Instructions to Bidders
4. Annexure B: Technical Proposal Submission Forms
5. Annexure C: Financial Proposal
6. Annexure D: Terms of Reference

## **1. Letter of Invitation**

- 1.1 Mission Director, Odisha Urban Housing Mission (OUHM) invites technical and financial proposals from eligible applicants for Conducting Social Audit as per the requirement of the project, with respect to guidelines of Social Audit under PMAY (U)-HFA–Mission by Ministry of Housing & Urban Affairs, Govt. of India. Detailed Scope of Work is provided in the Terms of Reference.
- 1.2 Social Audit has to be conducted in different Cities/ULBs of Odisha, as per approved Social Audit Plans approved by competent authority & guidelines of Social Audit under PMAY (U)-HFA–Mission by Ministry of Housing & Urban Affairs, Govt. of India
- 1.3 The selected IFA will have to cover minimum 3 DPRs per ULB, out of all approved DPRs for social audit, using random sampling technique. All DPRs selected for audit should have at least 100 dwelling units grounded for construction with beneficiaries identified. If selected DPR does not meet this requirement of minimum 100 dwelling units; then the DPRs may be clubbed together for required number of dwelling units.
- 1.4 A firm shall be selected under Quality and Cost Based Selection (QCBS) method and procedure described in this RFP.
- 1.5 Please note that while all the information and data regarding this RFP is, to the best of the Client's knowledge, accurate within the considerations of scoping the proposed contract, the Client holds no responsibility for the accuracy of this information and it is the responsibility of the agency to check the validity of data included in these documents.

## **2. Annexure A: Data Sheet**

- 2.1. Name of the Client: Mission Director, Odisha Urban Housing Mission, Odisha
- 2.2. Method of selection: Quality and Cost Based Selection (QCBS) method. The selection process will be based on Quality and Cost based selection (QCBS) – (Lump sum) wherein 70% weightage will be given to the technical proposal and 30% to the financial proposal.
- 2.3. Financial Proposal and Technical Proposal has to be submitted in a separate envelope: Yes,
- 2.4. Title of Consulting Service is: Conducting Social Audit for Urban Local Bodies of Odisha under PMAY (U)
- 2.5. Client Representative: Mission Director or Any other officer nominated by Mission Director of OUHM.



- 2.6. Proposals must remain valid for 180 days after the submission date indicated in this RFP.
- 2.7. The Agency is required to include with its Proposal written confirmation of authorization to sign on behalf of the agency i.e Power of Attorney (PoA): Yes
- 2.8. **Bidders Eligibility Criteria:** The Technical Bids of the applicants will only be evaluated if found responsive based on conditions specified in clause 2 above of **Invitation for Bid**. Any Government (Central & State) agency may also apply if found responsive.
- 2.9. Financial & Technical Proposal to be kept in different envelopes which is to be submitted by hand or by post/courier along with EMD and Cost of tender documents on due date up to **5:00 PM**.
- 2.10. Technical Proposals should be clearly marked '**(TECHNICAL) PROPOSAL FOR "Hiring of IFA to Conduct Social Audit Under PMAY (U)" – DO NOT OPEN EXCEPT IN THE PRESENCE OF THE EVALUATION COMMITTEE**'.
- 2.11. A non-refundable RFP Cost should be provided with Technical Proposal: Yes.
- 2.12. If yes, the amount of the RFP Cost for the assignment is **Rs. 1,000/-** (One thousand) only Demand Draft favoring the Mission Director, Odisha Urban Housing Mission, Bhubaneswar and drawn on a nationalized bank/ scheduled Bank, Payable at Bhubaneswar
- 2.13. A separate Bid Security must be submitted: Yes. An Ernest Money Deposit (EMD)/ Bid Security should be provided with Technical Proposal: Yes
- 2.14. If Yes, the amount of the Ernest Money Deposit (EMD)/ Bid Security for the assignment is **Rs. 25,000/-** (Rupees Twenty-Five thousand only) Demand Draft favoring the Mission Director, Odisha Urban Housing Mission, Bhubaneswar and drawn on a nationalized bank/ scheduled Bank, Payable at Bhubaneswar.
- 2.15. The amount of the EMD/Bid Security is **Rs. 25,000/-** (Rupees Twenty-Five Thousand only) and the duration for validity of the Bid Security is 180 days. Each Bid security shall be refunded of the successful bidders upon signing of agreements with Mission Director, Odisha Urban Housing Mission. For unsuccessful bidders the bid security shall be returned within 90 days after signing of agreements with the successful bidder.
- 2.16. Original EMD or Bid document fee shall be paid through DD drawn in the name of Mission Director, Odisha Urban Housing Mission, Bhubaneswar and payable at Bhubaneswar. The document fee shall be submitted along with Bid as per the schedule due date.
- 2.17. A Performance Bank Guarantee is to be submitted by the successful Bidder before signing of Contract. Amount will be 3% of the contract value. Bank Guarantee will be made in the name of: Mission Director, Odisha Urban Housing Mission, Bhubaneswar and drawn on a nationalized or scheduled commercial bank.
- 2.18. Currency for Proposals is: Indian Rupee

- 2.19. Address for communication/ submission of Proposals:  
**Mission Director, OUHM**  
Unnati Bhawan, Satya Nagar, Bhubaneswar, Odisha 751007  
4<sup>th</sup> floor, Contact No. 0674- 2430232, 2436886 (Office),  
e-mail:[ouhmodisha@gmail.com](mailto:ouhmodisha@gmail.com)
- 2.20. Expected date for public opening of Financial Proposals: Will be intimated to the technically qualified bidders separately
- 2.21. Expected date for commencement of consulting services: Within 7 days of signing the agreement with Mission Director, Odisha Urban Housing Mission (OUHM)
- 2.22. 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 this RFP Document.
- 2.23. The Time line to complete the full assignment by **15.03.2022**.
- 2.24. The bidders should satisfy the following minimum eligibility and those as specified in the Data Sheet. Only those who satisfy these criteria should submit the proposal with necessary supporting documents.
- 2.25. Firm declared ineligible by the Government of India or Government of Odisha shall be ineligible to provide consulting services under the project

3		<b>Instructions to Bidders:</b>
	3.1	<p><b>Introduction</b></p> <p>a) The bidders are invited to submit a Technical Proposal as specified in the Data Sheet. The Proposal shall be the basis for a signed Contract with the selected Consultant.</p> <p>b) The Client is not bound to accept any Proposal, and reserves the right to annul/cancel the selection process at any time without assigning any reason, prior to award of Contract without thereby incurring any liability to the Consultant.</p>
	3.2	<p><b>Number of Proposals</b></p> <p>Bidders to only submit one proposal. If a Bidder submits or participates in more than one proposal, all such proposals submitted shall be disqualified.</p>
	3.3	<p><b>Consortium is not allowed:</b></p> <p>Each participant has to submit bid separately and consortium is not allowed for this tender.</p>
4		<b>Clarifications of RFP Documents:</b>
	4.1	<p>Consultants may request clarification through <a href="mailto:email-ouhmodisha@gmail.com">email-ouhmodisha@gmail.com</a> by 21.01.2022. Any request for clarification must be sent in writing, including by standard electronic means, to the Client's address i.e. Mission Director, 4<sup>th</sup> floor, Unnati Bhawan, Satya Nagar, Bhubaneswar-751007 .</p>
	4.2	<p>At any time before the submission of Proposals, the Client may amend the RFP by issuing an addendum in writing and shall upload the same by standard electronic means.</p>

5		<b>Instructions for Submission of Proposal:</b>
	5.1	Bidders shall submit one sealed envelope, containing the Technical Proposal along with the DD of the cost of tender and EMD.
6		<b>Physical Submission of Technical Proposal (see Annexure B)</b>
	6.1	The Technical Proposal shall contain the following: <ul style="list-style-type: none"> <li>a. Covering Letter (Format 1);</li> <li>b. Legal Constitution &amp; Number of Years of Existence; (use Format 2);</li> <li>c. Financial Standing (Annual Turnover) of agency; (use Format 3);</li> <li>d. Project detail sheets outlining previous experience of the firm in similar types of assignments completed during the past years (in prescribed format), (use Format 4);</li> <li>e. Separate CVs of each personnel to work on this project restricted to maximum of two (2) pages per CV (use Format 5);</li> <li>f. List of proposed expert team and summary of CV particulars relevant to the project subject to maximum of two (2) pages (use Format 6);</li> <li>g. Description of approach and methodology, Innovativeness of comments on ToR, Personnel schedule/team structure, Proposal presentation &amp; Methodology and Work Plan (use format 7):</li> </ul>
7		<b>Submission of Financial Proposal (See Annexure C)</b>
	7.1	The Financial Proposal shall be submitted strictly as per Format 7 given in Annexure C.
	7.2	One financial bid is required for the whole assignment and required to be opened in presence of bidders qualified technically.
8		<b>Instructions for submitting Proposals:</b>
	8.1	Agency/NGO is expected to carefully review the contract provisions attached in the RFP for preparation of their Proposals.
	8.2	The Consultant shall submit Proposals using the appropriate submission sheets provided in Annexure B & C. 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.
9		<b>Proposal Validity</b>

	9.1	Proposals shall remain valid for the period specified in the Data Sheet commencing with the deadline for submission of Proposal as prescribed by the Client.
	9.2	A Proposal valid for a shorter period shall be considered nonresponsive and will be rejected by the Client.
	9.3	In exceptional circumstances, prior to the expiration of the proposal validity period, the Client may request Consultants to extend the period of validity of their Proposals. The request and the responses shall be made in writing. A bidder may refuse the request. A bidder granting the request shall not be required or permitted to modify its Proposal.
	9.4	During the Proposal validity period, bidder shall maintain the availability of experts nominated in the Proposal. The Client will make its best effort to complete negotiations within this period.
10		<b>Format and signing of Proposals:</b> Signed copies of following may be submitted to the Client on the scheduled due date:
	10.1	Technical Proposal (One Original only) shall be placed in an envelope clearly marked <b>“(TECHNICAL) PROPOSAL FOR engagement of IFA to Conduct Social Audit Under PMAY (U)”</b> .
	10.2	Financial Proposal should be kept in separate envelope clearly marked <b>“(FINANCIAL) PROPOSAL FOR engagement of IFA to Conduct Social Audit Under PMAY (U)”</b> .
	10.3	Both the Technical & Financial Proposal will be sealed in an outer envelope which will bear the address of the Client, RFP Notice number, name of assignment i.e. “RFP for Appointment of Independent Facilitating Agency (IFA) under PMAY-HFA (U)” and the name, address and contact number of the Bidder. It shall bear on top, the following: "DO NOT OPEN, EXCEPT IN PRESENCE OF THE AUTHORIZED PERSON OF THE CLIENT" If the envelope is not sealed and marked as instructed above, The Client assumes no responsibility for the misplacement or premature opening of the contents of the Proposal submitted and consequent losses, if any, suffered by the Bidder.
	10.4	The Proposal shall be typed or written in indelible ink and shall be signed by a person duly authorized to sign on behalf of the Consultant. This authorization shall consist of a written confirmation and shall be attached to the Technical Proposal. The name and position of each person signing the authorization must be typed or printed below the signature. Any interlineations, erasures, or overwriting shall be valid only if signed or initialed by the person signing the Proposal.

	10.5	The Client may, at its discretion, extend the deadline for the submission of Technical Proposal by amending the RFP in accordance with Clause 4.2, in which case all rights and obligations of the Client and Consultants subject to the previous deadline shall thereafter be subject to the deadline as extended.
<b>11</b>		<b>Evaluation of Technical Proposals:</b>
	11.1	Criteria for Evaluation of Technical Proposals: Technical proposal of all the Applicants will be evaluated based on the following Evaluation Criteria:

11.2

Technical proposals of all the Applicants will be evaluated based on QCBS system. Evaluation of the proposals will be done by the evaluation committee as per the parameters mentioned below:

S. No.	Evaluation Criteria of Technical Proposals	Marks/ (QCBS)
1.	<p>Approach and Methodology</p> <ul style="list-style-type: none"> <li>• Organizational Structure</li> <li>• Methodology</li> <li>• Work Plan</li> </ul>	<p>15</p> <p>5</p> <p>5</p> <p>5</p>
2.	<p>Social Audit Projects Experience to be considered as follows:</p> <p>For each Social Audit Project – 2 marks            For each Social Audit Project in Housing Sector – 4 marks            For each Social Audit Project for Housing Sector under PMAY (U) – 6 marks</p> <p>Note: Projects having fees of Rs. 2 Lakh and above only shall be considered for evaluation.</p>	30
3.	<ul style="list-style-type: none"> <li>• Office established or existing in Odisha (Proof of office address)</li> </ul>	5
4.	<p>Experts/manpower required:</p> <p><b>1. Social Development Expert (2 Nos)</b>  <b>For Qualification – 3 Marks</b></p> <ul style="list-style-type: none"> <li>• If Post Graduate – 2 marks</li> <li>• If obtained MPhil/PhD – 3 marks</li> </ul> <p><b>For Years of Experience – 3 Marks</b></p> <ul style="list-style-type: none"> <li>• No of Experience – 5 years – 1 marks</li> </ul> <p>Every additional year of experience 0.2 marks subject to maximum 3 marks</p> <p><b>For No. of similar projects – 4 Marks</b>            per project 1 mark subject to maximum -4 marks</p>	20 (10 for each Expert)

			<p align="center"><b>2. Social Mobilization Expert (6 Nos)</b></p> <p><b>For Qualification – 1 Marks</b></p> <ul style="list-style-type: none"> <li>• If having bachelor degree – 0.5 Mark</li> <li>• If having master degree – 1 Mark</li> </ul> <p><b>For Years of Experience – 2 Marks</b></p> <p>No of Experience for 2 years – 1 Mark and for every additional year 0.5 marks subject to maximum 2 marks.</p> <p><b>For No. of similar projects – 2 Marks</b></p> <ul style="list-style-type: none"> <li>• At least 1 No of similar projects – 1 Mark</li> <li>• 2 or more no of similar projects – 2 Mark</li> </ul>	30 (5 for each surveyor)
			<b>Total</b>	<b>100</b>



11.3	<p>The Technical Proposal must include an undertaking by the bidder stating that none of the Consultant proposed in the present proposal have been demobilized for poor/unsatisfactory performance from any project during the last three years. The undertaking must be a separate document and forms an indispensable part of the Technical Proposal.</p>																						
11.4	<p>Any bidder which proposes to use a consultant who is already committed on any other project/contract and whose deployment on the new contract would be in conflict with the working of any existing contract shall be scored zero against that position.</p>																						
11.5	<p><b>Experts and Their Duration in the Project</b></p> <table border="1" data-bbox="347 752 1501 1330"> <thead> <tr> <th data-bbox="347 752 411 880">Sr. No.</th> <th data-bbox="411 752 611 880">Expert Title</th> <th data-bbox="611 752 746 880">No. of Expert</th> <th data-bbox="746 752 1066 880">Qualification and Skills</th> <th data-bbox="1066 752 1249 880">Minimum Experience</th> <th data-bbox="1249 752 1501 880">Time Duration/Man Days</th> </tr> </thead> <tbody> <tr> <td data-bbox="347 880 411 1059">1.</td> <td data-bbox="411 880 611 1059">Social Development Expert</td> <td data-bbox="611 880 746 1059">2</td> <td data-bbox="746 880 1066 1059">Masters in Social Works/Social Sciences anthropology/statistics/economics/</td> <td data-bbox="1066 880 1249 1059">5</td> <td data-bbox="1249 880 1501 1059" rowspan="3">As per deliverables accepted by the Authority.</td> </tr> <tr> <td data-bbox="347 1059 411 1193">2.</td> <td data-bbox="411 1059 611 1193">Social Mobilization Officer 1</td> <td data-bbox="611 1059 746 1193">3</td> <td data-bbox="746 1059 1066 1193">Bachelors in Social Works/Social Sciences</td> <td data-bbox="1066 1059 1249 1193">2</td> </tr> <tr> <td data-bbox="347 1193 411 1328">3.</td> <td data-bbox="411 1193 611 1328">Social Mobilization Officer 2</td> <td data-bbox="611 1193 746 1328">3</td> <td data-bbox="746 1193 1066 1328">anthropology/statistics/economics/</td> <td data-bbox="1066 1193 1249 1328">2</td> </tr> </tbody> </table> <p><b>Note:</b> The Bidder has to submit the CVs of Serial No. 1 to 3.</p>	Sr. No.	Expert Title	No. of Expert	Qualification and Skills	Minimum Experience	Time Duration/Man Days	1.	Social Development Expert	2	Masters in Social Works/Social Sciences anthropology/statistics/economics/	5	As per deliverables accepted by the Authority.	2.	Social Mobilization Officer 1	3	Bachelors in Social Works/Social Sciences	2	3.	Social Mobilization Officer 2	3	anthropology/statistics/economics/	2
Sr. No.	Expert Title	No. of Expert	Qualification and Skills	Minimum Experience	Time Duration/Man Days																		
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3.	Social Mobilization Officer 2	3	anthropology/statistics/economics/	2																			
11.6	<p>The Consultant shall submit the details of full team while submitting the bids and no changes in key professionals during implementation of the assignment is allowed. However, in case of exigencies like health reasons, the changes in key professionals will be admissible provided they are equivalent or better than the original CVs, in which case, one time penalty of Rs. 1,000 for the first change, Rs. 2,000 for the second change and Rs. 3,000 thereafter.</p>																						
12	<p><b>Evaluation Process:</b></p>																						

12.1	<p>The eligibility criteria will be first evaluated as defined in Notice Inviting Request for Proposals for each bidder. Detailed technical evaluation will be taken up in respect of only those bidders, who meet with the prescribed minimum qualifying eligibility criteria. The bidders securing minimum 70% marks in technical evaluation shall be considered for opening of financial proposals . The selection process will be based on Quality and Cost based selection (QCBS) – wherein 70% weightage will be given to the technical proposal and 30% to the financial proposal.</p>
12.2	<p>The Odisha Urban Housing Mission (OUHM) will constitute an Evaluation Committee for evaluation of all Proposals received.</p>
12.3	<p>The evaluation committee evaluates the Technical Proposals on the basis of Proposal’s responsiveness to the TOR using the evaluation criteria system specified in the RFP. A Proposal shall be rejected if it does not achieve the minimum qualifying eligibility criteria.</p>
12.4	<p>A Technical Proposal may not be considered for evaluation in any of the following cases:</p> <ul style="list-style-type: none"> <li>(i) the Consultant that submitted the Proposal failed to make a proper statement effect in the cover letter; or</li> <li>(ii) the Consultant that submitted the Proposal was found not to be legally incorporated or established in India; or</li> <li>(iii) the Technical Proposal was submitted in the wrong format or not sealed envelopes separately.</li> <li>(iv) The Technical Proposals reached to the Client after the submission closing time and date specified in the RFP.</li> </ul>
12.5	<p>After the technical evaluation is completed, the Odisha Urban Housing Mission (OUHM) shall notify Consultants whose Proposals did not meet the minimum qualifying technical eligibility criteria/Marks or Consultants whose Technical Proposals were considered non-responsive to the RFP requirements, indicating that their Financial Proposals will not be opened. The Odisha Urban Housing Mission (OUHM) shall simultaneously notify, in writing to the consultants whose Technical Proposals qualified with minimum qualifying technical eligibility Marks, indicating the date, time, and location for opening of Financial Proposals. (Consultants’ attendance at the opening of Financial Proposals is optional).</p>
13	<p><b>Public Opening and Evaluation of Financial Proposals</b></p>

	13.1	At the public opening of Financial Proposals, Consultant representatives who choose to attend will sign an Attendance Sheet.
	13.2	The client's representative will first announce the technical scores of qualified bidders and open the financial proposals of only qualified technical Proposals. Such representative will read out aloud the name of the Consultant and the total price shown in the Consultant's Financial Proposal. This information will be recorded in writing by the Client's representative.
14		<b>Evaluation of Financial Proposals:</b>
	14.1	Financial proposals shall be opened publicly and read out clearly in seriatim
	14.2	Consultants' attendance at the opening of Financial Proposals is optional.
	14.3	<p>The evaluation committee will review the detailed content of Financial Proposal. During the review of Financial Proposals, the Committee and representatives of Odisha Urban Housing Mission (OUHM) designated by the Mission Director, OUHM, involved in the evaluation process, will not be permitted to seek clarification or additional information from any Consultant, who has submitted a Financial Proposal.</p> <p><b>Financial Proposals will be reviewed to ensure these are:</b></p> <ol style="list-style-type: none"> <li>I. Complete, to see if all items of the corresponding Financial Proposal are priced, and</li> <li>II. Computational errors if there are will be corrected</li> </ol>

15		<b>Method of Selection:</b>
	15.1	<p><b>The technical quality of the proposal will be given weight of 70%</b>, the method of evaluation of technical qualification will follow the procedure given in Para 11.2 above. The price bids of only those consultants who qualify technically <b>(Minimum Qualifying Marks: 70%)</b> will be opened. The proposal with the lowest cost may be given a financial Marks of 100 and the other proposal given financial Marks that are inversely proportionate to their prices. <b>The financial proposal shall be allocated weight of 30%</b>. For working out the combined Marks, the employer will use the following formula:</p> <p>Total points = T (w) x T (s) + F (w) x [LEC / EC] x 100, where  T (w) stands for weight of the technical Marks.  T (s) stands for technical Marks  F (w) stands for weight of the financial proposal  EC stands for Evaluated Cost of the financial proposal  LEC stands for Lowest Evaluated Cost of the financial proposal.</p> <p>The proposals will be ranked in terms of total points Marked. The proposal with the highest total points (H-1) will be considered for award of contract and may be called for negotiations, if required.</p>
16		<b>Award of Procurement Services</b>
	16.1	<p>Odisha Urban Housing Mission (OUHM) will issue Letter of Intent (LoI) in favor the H1 Bidder selected by QCBS method. A Letter of Award (the "LOA") shall be issued, in duplicate, by Odisha Urban Housing Mission (OUHM) to the selected agencies on which the Selected Agency shall, within 7 (seven) days of the receipt of the LOA, sign and return the duplicate copy of the LOA in acknowledgement thereof.</p>
17		<b>Execution of Agreement</b>
	17.1	<p>After acknowledgement of the LOA as aforesaid by the Selected Bidders, the agency shall execute the Contract Agreements within the period of 7 days from the date of issuance of LOA.</p>
18		<b>Property Data:</b>

	18.1	All documents and other information provided by the Client or submitted by an Applicant to the Client /Concerned ULB shall remain or become the property of the Client i.e. OUHM/Concerned ULB. All information collected, analyzed, processed or in whatever manner provided by the agency to the Client, in relation to the Consultancy shall be the property of Directorate of Housing & Urban Department, Odisha/Concerned ULB.
19		<b>Action against consultants/bidder (s) indulging in corrupt/fraudulent/coercive practice:</b>
	19.1	If it is observed during bidding process/bids evaluation stage that a bidder has indulged in corrupt/fraudulent/collusive/coercive practice, the bid of such Bidder (s) shall be rejected and its Earnest Money Deposit (EMD) shall be forfeited. Further such agency shall be debarred/banned for future business with OUHM for a period of 3 (Three) Years from the date of issuance of banning order.
20		<b>Settlement of Disputes</b>
	20.1	Amicable Settlement: 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.
21		<b>Dispute Settlement</b>
	21.1	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. For all purposes, the Civil Court, Bhubaneswar, shall have jurisdiction only in exclusion to any other jurisdiction specified under any other Act.
	21.2	The place of Arbitration shall be at Bhubaneswar only.

**Annexure B: Technical Proposal Submission Forms**  
**(To be submitted physically)**

**Format1: Covering Letter**

[Location, Date]

To:

**The Mission Director,**

Odisha Urban Housing Mission, OUHM, H&UD Department  
State Nodal Officer, PMAY, Unnati Bhawan, H.B Colony, Satyanagar,  
Bhubaneswar, Odisha 751007  
Contact No. 0674- 2430232, 2436886 (Office)

Dear Sir,

We, the undersigned, offer to provide the Consulting Services for **Hiring of Independent Facilitating Agency (IFA) Conducting Social Audit Under Pradhan Mantri Awas Yojana (PMAY) –Housing for All (HFA), (Urban)** in accordance with your Request for Proposal dated [Insert Date] and our Proposal.

We are hereby submitting our Proposal, which includes the Technical Proposal in sealed envelope. We hereby declare that we have read the Instructions to Consultants included in the RFP, and abide by the same, and specifically to conditions mentioned.

We hereby declare that all the information and statements made in this proposal are true and accept that any misleading information contained in it may lead to our disqualification. We confirm that all personnel named in the tender will be available to undertake the services.

We undertake, if our Proposal is accepted, to initiate the Consulting Services related to the assignment not later than the date indicated in the Data Sheet. We understand you are not bound to accept any Proposal you receive.

Yours faithfully,

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

**Attachments:**

1. Power of Attorney in the name of authorized representative to be closed.
2. Undertaking

**Format 2: Legal Constitution & Number of Years of Existence**

<b>Organization Name:</b>	
1. Status / Constitution of the Organization: 2. Name of Registering Authority: 3. Registration No.: 4. Date of Registration: 5. Place of Registration:	

For and on behalf of: (Company Seal) Signature:

Name:

Designation:

(Authorized Representative and Signatory)

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

### Format 3: Financial Standing (Annual Turnover)

Certificate from the Statutory Auditor regarding the Average annual turnover of the organization for the last 3 financial years ending of month 31<sup>st</sup>march2021.

Based on a test books of accounts and other published information authenticated by it, this is to certify that.....(Name of the Bidder), over the last three Financial Years, had an Average Annual Turnover of Rs \_\_\_ Lakhs as per year-wise details noted below:

Financial Year ending 31 <sup>st</sup> March	Total Turnover (Rs. In Lakhs)	Net Worth (Rs. In Lakhs)
2017-18		
2018-19:		
2019-20:		
2020-21		
Total		
Average Annual Turnover/Net Worth		

Name of the audit firm/Chartered Accountant:

Seal of the audit firm:

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

Date:

#### Note:

1. Please provide certified copies of Audited Financial Statements of the organization/agency for over the last three Financial Years.
2. Net Worth of the Agency as on 31<sup>st</sup> March of previous Financial Year should be positive.



### Format4: Project Detail Sheet

Sl No.	Name of the projects	Nature of project	Contract Authority	Contract date	Value of the Contract

**Note:**

\*Ongoing assignments shall be considered only if 30% of the contract value has been released and the proof of the same need to be attached.

\*Details can be given in a separate sheet.

Authorized signatory [In full initials and Seal]:

Name of the Organization:

**Format 5: Curriculum Vitae (CV) for Proposed Experts**

Proposed Position Social Development  
Expert.....[only one candidate shall be  
nominated for each position]

(Please fill separate format 5 for proposed all proposed experts)

NAME:

DATE OF BIRTH:

NATIONALITY:

EDUCATION: [year] [name of institution and degree] MEMBERSHIP OF  
PROFESSIONAL ASSOCIATIONS: COUNTRIES OF WORK

EXPERIENCE

LANGUAGES

PROFESSIONAL BACKGROUND

[Description]EMPLOYMENT RECORD

[Years starting with present position] [employer]PROFESSIONALEXPERIENCE

[Month and year start to finish] [Name of project and client]

[Descriptive paragraph of 4-5 sentences one each assignment, position held,  
responsibilities undertaken and achievements attained.]

.....

Certification:

I, the under signed, certify to the best of my knowledge and belief that:

- (i) This CV correctly describes my qualifications and experience;
- (ii) In the absence of medical incapacity, I will undertake this assignment for the duration and in terms of the inputs specified for me in the Technical Bid provided team mobilization takes place within the validity of this Bid or any agreed extension thereof. I understand that any willful misstatement herein may lead to my disqualification or dismissal, if, engaged.

[Signature of expert or authorized representative]

[Name of Expert/Authorized signatory].

(iii) Self attested photocopies of educational & experience certificates should be enclosed .

**Format 6: Expert Team and Summary of CV Information**

Name	Qualification	Years of experience	Details of similar projects completed

Authorized Signatory [In full initials and seal]:

Name of the Organization:

## **Format 7: Description of Approach and Methodology**

A description of the approach and methodology for performing the assignment, including a detailed description of the proposed methodology.

1. Innovativeness of comments on ToR
2. Personnel schedule/team structure
3. Proposal presentation
4. Methodology and Work Plan

**Innovativeness of comments on TOR, Team Structure and Proposal Presentation:** {Please explain your understanding of the Objectives of the assignment as outlined in the Terms of Reference (TORs), the team structure, and the Proposal Presentation you would adopt for implementing the tasks to deliver the expected output(s), and the degree of detail of such output. Please do not repeat/copy the TORs in here.}

**Methodology and Work Plan.** {Please outline the plan for the implementation of all the activities/tasks of the assignment, their content and duration, phasing and inter relations, milestones (including interim approvals by the Client), and tentative delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology, showing understanding of the TOR and ability to translate them into a feasible working plan. A list of the final documents (including reports) to be delivered as final output(s) should be included here. The work plan should be consistent with the Work Schedule Form.}

## Annexure C: Financial Proposal

### Format 8: Financial Proposal (Mode of submission: Physically only)

To

**The Mission Director,**

Odisha Urban Housing Mission (OUHM), H&UD Department  
State Nodal Officer, PMAY, 4<sup>th</sup> floor, Unnati Bhawan, Satyanagar,  
Bhubaneswar, Odisha 751007  
Contact No. 0674- 2430232, 2436886 (Office)

Dear Sir,

Subject: Consultancy Services for conducting Social Audit in Odisha under PMAY (U). I/We \_\_\_\_\_ Consultant have submitted the Financial Proposal for selection of my/our firm as consultant for Conducting Social Audit for the assignment.

The fee mentioned here is inclusive of service tax and all taxes.

Our financial proposal shall be binding upon us subject to the modifications resulting from contract negotiations, up to expiration of the validity period of the Proposal, i.e. 180 days from the last date notified for submission of the proposal.

Sl. No.	Item	Total Fee (INR, Inclusive of all taxes)
1.	Consultancy Services for conducting Social Audit in 9 Cities with 3 (Three) DPRs in each ULBs i.e. 27 DPRs as per scope of work given in the RFP with providing 2 Social Experts and 6 nos. Social Mobilization experts. Note: (1) Price quoted above Rs. 5,50,000/- will be considered disqualified for award.	Rs. _____/-  (Quoted Price must not exceed Rs. 5,50,000/-)

Yours faithfully,

Signature:

Full Name:

Designation:

Address:

Tel.: Nos.

E-mail:

Fax No:

**Note:** Separate envelop has to be submitted for financial bid.

## **Annexure D: Terms of Reference (ToR)**

### **A. Project Background**

The Ministry of Housing Urban Poverty Alleviation, Government of India has launched Pradhan Mantri Awas Yojana (PMAY) "Housing for All by 2022" a comprehensive urban housing scheme to achieve the objective that *"By the time the Nation completes 75 years of its Independence, every family will have a pucca house"*

The scheme seeks to address the housing requirement of urban poor including slum dwellers and will be implemented through four verticals, giving option to beneficiaries & ULBs. A beneficiary family in this mission will comprise husband, wife, unmarried sons and/or unmarried daughters. The beneficiary family should not own a pucca house either in his/her name or in the name of any member of his/her family in any part of India.

The four verticals of the PMAY-HFA(Urban) as per guidelines are:

- Slum rehabilitation of Slum Dwellers with participation of private developers using land as a resource
- Promotion of Affordable Housing for weaker section through credit linked subsidy
- Affordable Housing in Partnership with Public & Private sectors
- Subsidy for beneficiary-led individual house construction.

The Pradhan Mantri Awas Yojana (PMAY) is implemented as a Centrally Sponsored Scheme except for the component of Credit Linked Subsidy which is implemented as a Central Sector Scheme. The scheme covers the entire urban area and implemented in following districts of Odisha and are included under the mission.

The Housing for All Plan of Action (HFAPoA) is an important instrument and the foundation for cities to attain the objective of PMAY. It is a citywide plan of action, which provides the demand of housing by eligible beneficiaries in the ULB along with the interventions selected to four verticals of the PMAY.

## **B. Social Audit process at a glance: -**

1. State Level Nodal Agency submits social audit plans along with required documents.
2. The State Level Nodal Agency hires a 'credible' institution as an independent facilitating agency.
3. State level 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.
4. Social Audit Facilitating team finalizes list of projects and dwelling units to be audited.
5. 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.
6. Independent Facilitating Agency forms a Social Audit Committee.
7. The Independent Facilitating Agency designs tools for Social Audit.
8. The Social Audit Committee conducts social audit as per the Social Audit Guidelines.

The audit process explained here is for 'one audit cycle', which might take 3-6 months for completion. The process should be repeated in the next audit cycle, by selecting a different set of projects, other than the ones audited in previous audit cycles. A state may opt to have one or two audit cycles in a year as indicated in the approved Annual Social Audit Plan.

## **C. Scope and objective of the 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 construction; effectiveness of pro-poor basic services provided; dealing with officials; satisfaction of the targeted beneficiaries. The



key objective of Social Audit of PMAY Missions as under: -

- I. Increase efficiency of the Mission by understanding any issue and gaps, as perceived by the project stakeholders and take timely remedial action.
- II. Contribute to facilitating participation of the beneficiaries and other stake holders at every stage of the project implementation.
- III. Improve the social performance of the HFA mission by making it inclusive, satisfactory and transparent and give voice to the vulnerable people, including women.
- IV. Assessment of impact of beneficiary sensitization on project about the benefits and enhance the visibility of the project among the general public.
- V. Broaden the understanding of the social impact of the HFA Mission, particularly its reach and relevance to the beneficiaries by implementing the information received from other monitoring and evaluation mechanisms.

### **C.1. Scope of Work**

This Terms of Reference is to support Directorate of Housing & Urban Department i.e. OUHM, Unnati Bhawan, Bhubaneswar in the implementation of Pradhan Mantri Awas Yojana (PMAY) as per the guidelines issued by Ministry of Housing Urban Poverty Alleviation, Government of India and to achieve the ultimate objective of the scheme by conducting Social Audit. The overall scope of work of the Consultant shall cover the following:

#### **C 1.1 : Responsibilities of Independent Facilitating Agency**

1. Provide dedicated Social Audit expert/to conduct Social Audit.
2. Complete Desk research/documents using all relevant HFA related Projects reports.
3. Select projects (DPRs) and dwelling units in consultation with the OUHM for social audit, as per the process outlined in the PMAY-HFA (U) Social audit Guidelines.

4. Develop city wise plans and calendar for social audit, in consultation with urban local bodies (ULBs).
5. Design tools for social audit, formation of social audit committee members, facilitate all social audit related meetings and ensure systematic data collection during the field work by efficiently guiding the process.
6. Facilitate the formation of social audit committee (SAC) in consultation with the ULBs to conduct social audit in the identified cities.
7. Complete social audit process by being sensitive to local socio-cultural context and by ensuring the democratic spirit and underlying principles of social audit.
8. Prepare social audit report and share it with the ULBs, SLNA/Directorate and to any other stakeholder, as advised by SLNA/Directorate of Housing and Urban Department
9. Capacity Building and orientation of various stake holders 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.
10. The IFA will designate consultant/staff with required expertise to work closely with the Social Development Specialist or a staff who is in charge of the social mobilization in SLTC. The team of these two professionals will spearhead the process of Social Audit.

#### **C.1.2 Responsibilities of State Level Nodal Agency**

The OUHM/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 and other 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 at State Level and City Level Technical Cells (CLTC) at ULBs will provide technical inputs and advise 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. Help IFA to identify projects and dwelling units for Social Audit, and form Social Audit Committee through SLTCs/CLTCs.
4. Ensure compilation of Social Audit Report by HFA and submit the report to the Ministry.
5. Analyze and follow up social audit findings.

### **C.1.3. Responsibilities of Urban Local Bodies (ULB)**

1. Support formation of social audit committees by the IFA
2. Create enabling environment for social audit
3. Share all relevant and available Mission related information/documents required for social audit.
4. Provide feedback, suggestions, on their source materials, tools, checklist, for mats and approve the reports prepared by IFA.
5. Participate in all relevant public meetings on social audit and share social audit findings to important stake holders.
6. Analyze social audit findings and address the issues and gaps identified by social audit committee.
7. ULBs should encourage stakeholders in the project area to take part in consultations about the project implementation.
8. Beneficiary members from the marginalized communities should be treated as equal partners throughout the social audit process.

### **D. Systematic selection of projects and dwelling units**

These selection of projects and dwelling units for audit should be done systematically.

1. 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.

2. Random sampling process should also ensure 'purposive' inclusion of a cross section of projects belonging various verticals, durations, level of completion and population groups for audit.
3. Projects with maximum number of beneficiaries from SC,ST, Minority transgender and differently abled person background should be preferred for including in social audit.

#### **E. Stakeholders Mapping**

IFA in consultation with the City Level Technical Cell (CLTC) will do stake holders mapping of the project at the city level. An indicative list of stake holders of the HFA Mission should include: -

1. Direct beneficiary groups of all available 'verticals' of the HFA
2. Elected Representatives/MLAs/MPs/other local Self Government bodies
3. Staff of ULB, CLTC and other state level agencies responsible for project implementation in the project area.
4. Private agencies/contractors/lending Institutions associated with the project
5. Citizen organizations, Community Groups and RWAs Voluntary organizations/institutions/CSOs/CBOs and other similar groups
6. Students of architectural/design institutes, universities, social science research and training institutions in the district where the projects and dwelling units are located
7. Any other relevant stake holders' groups from the project area.

#### **F. Formation of Social Audit Committee**

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

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

committee.

4. Members of Social Audit Committee (SAC) should only receive the TA and DA, as budgeted and will not receive any honorarium for their participation in the social audit.

**F.1. 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 stake holders on the audit outcomes.
6. Support IFA to prepare Social Audit Reports
7. Support ULB to follow up the audit reports.

**F.2 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 Jan-Sunwa is, and compilation of reports 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 checklist' to be used for documents audit and through ULB should provide access to all the relevant records to complete the required task.
4. 'Documents Auditor' should complete review of all relevant documents prior to the social audit meeting' as explained in section IX.

**G. Identification issues for Social Audit: -**

The broad issues/parameters for social Audit area round awareness, inclusion, participation, effectiveness, transparency, quality and accountability of the project being implemented and these should be examined based on the indicators listed below in the table. However, based on the socio-cultural context of the city, the implementation stage of the project and feedback from stake holders, the IFA may further extrapolate key

### G.1. Issues/parameters to be included in the social audit

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

Parameters	Indicators
<b>Awareness</b>	Awareness of beneficiaries about their entitlements from the HFA Mission
<b>Inclusion</b>	Proportion of marginalized communities:SC/ST/OBC/minorities/differently-abled person/Transgender/women (with overriding preference to widows) etc. among beneficiaries
<b>Participation</b>	Involvement of beneficiaries, OBCs/CSOs/co-implementing agencies (e.g. banks/builders) in project related consultations and nature and frequency of consultations with these groups.
<b>Effectiveness and efficiency</b>	Identification of Right beneficiary, whether the construction activities are being completed as per the planned durations, specifications and standards. Satisfaction about project related work in meeting beneficiary requirement.
<b>Transparency</b>	Proactive is closure of project details including financial details by the ULBs in public domain.
<b>Quality monitoring</b>	Existence of ant 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.

<b>Accountability</b>	Measures taken to avoid malpractices and corruption mechanism on grievance redressal and awareness of mechanism for grievance redressal. Instances of grievances/complaints escalated to ULB authorities and duration of resolving those grievances/complaints.
<b>Issues/complaints</b>	Any unresolved issues/complaints

## H. 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 wider angel of stake holders. Though the focus is not entirely on the rigor of methods and validity of the data to be collected, SLNA, ULBs and IFA should ensure that the audit is done using systematic methods and tools as detailed below:

### I. Tools to be used for Social Audit

#### I.1. Review of documents

All relevant project documents should be reviewed, based on check list. IFA expert with the help of document auditor (deputed by the social audit committee) should gather all required information prior to social audit meeting. Be sides projects relevant financial statements, the document review should include Housing for All Plan of Action, Detailed Project Repot (DPR), Annual Implementation Plan (AIP), Quarterly Progress Report (QPR)and any other relevant Documents including media reports about the Projects/Mission.

#### Methods to be used for Social Audit

##### I.1.(i) Jan-Sunwai /Public Hearing: -

Jan-Sunwai (also called public hearing) should be conducted at public place, accessible to everybody in the city, where audit happens. Beneficiaries of the projects as well as those belonging to all vertical s of PMAY in the city/ULBs where social audit takes place should be invited and encouraged to participate in Jan-Sunwai. Prior to scheduling Jan-

Sunwai, the beneficiaries and stake holders should be suitably informed through leaflets, pamphlets and or newspaper advertisements. Ideally Jan-Sunwai should be scheduled on public holiday or any other convenient day as per the area involved in the Audit. The parameters on which auditors may gather feedback from the beneficiaries through Jan-Sunwai must include all the relevant issues in section VI.6.

**I.1.(ii) Key informant interview with the stake holders.**

Semi structured format should be used to collect relevant information from the ULBs officials on the project and dwelling units to be audited.

**I.1.(iii) Group Discussion: -**

Group discussion with invited members of the beneficiary community should be done to understand community perspective/perception about the project, especially gaps in the implementation process.

**I.1.(iv) In Depth-interviews**

Interviews should be conducted with beneficiaries to gain first-hand information on the working of the project, the issues, challenges faced at a personal level.

**I.1.(v) Focus Group Discussion**

In each slum, the social audit shall also include a separate exercise of inspection and focus group discussion to ascertain availability, levels and quality of basic service provision. The focus group discussions need to be conducted for every 20-25 households. Such focus group discussions should cover entire slum/non-slum consolidating the information received at the end of each such discussion. The FGD report should cover all the following points along with details of the suggested by the DUD/ULB officials:

- Discussion on four verticals of PMAY-HFA guidelines
- Size of dwelling units
- Beneficiaries to be covered under project
- Documents to be submitted by beneficiaries to concerned ULBs



- Percentage of households not covered with toilets, and
- Any suggestions/feedback from potential beneficiaries

**I.2. Quality Assurance/Quality Control:** The assessment of the quality indicators on an ongoing basis during the course of the entire survey is essential. It is important to document critical issues in a systematic manner in terms of both qualitative reports and quantitative indicators (namely, response rates, missing data proportions, test reliability through random checks etc.) which would give essential information about the quality of a survey.

**I.3. Data Entry, Data Compilation, Verification and Validation:** Social Audit has to be done as per PMAY-HFA (Urban) Social Audit Guidelines. In this way, standard routine checks can be easily conducted. Social Audit process should be presented before the community.

In summary, the reports and specified outputs of the same shall be submitted to OUHM within 45 days and concerned ULBs with timelines as follows. Outputs are expected to be delivered in stages:

Sr. No.	Report	Time Period	Deliverable
1.	Submission of secondary report	7 Days	<ul style="list-style-type: none"> <li>✓ Brief of existing situation based on secondary information.</li> <li>✓ Collection of maps available, if any, with MC and DUDA and other concerned departments.</li> <li>✓ Identification of different stakeholders conducting social audit.</li> <li>✓ Organize and document 1<sup>st</sup> ULB Level stakeholder workshop.</li> <li>✓ Institutional mechanism formed for stakeholder's participation in implementation of HFA-PMAY.</li> <li>✓ Preparation of City Profile as required for Social Audit.</li> <li>✓ Any changes proposed in the questionnaire</li> </ul>

			and conducting social audit method.
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2.	Conducting social audit at ULB level	30 Days	<ul style="list-style-type: none"> <li>✓ At this stage 100% social audit for all slum dwellers as well as non-slum (other urban poor EWS and LIG) beneficiaries will be completed at ULB level.</li> <li>✓ Social Audit Committee will be organized</li> <li>✓ Stake holders' Consultation and Presentation of Draft report of social audit at ULB Level to be done</li> <li>✓ Validation of random household constructed under PMAY-HFA(U) as per Guidelines</li> <li>✓ Issues to be identified for social audit and prepare city wise feedback of the audit.</li> </ul>
3.	Final Social Audit Report (Incorporating Suggestions of all Stakeholders and ULBs as per PMAY	8 Days	<ul style="list-style-type: none"> <li>✓ Submit report to OUHM in consultation with SLTC team with observation and outcome of the Social Audit conducted in the ULBs.</li> <li>✓ Presentation of Final Social Audit findings before SLNA and then before Department of HUD.</li> <li>✓ Post that, Presentation before the State Level Appraisal Committee (SLAC) and State level Sanctioning &amp; Monitoring Committee (SLSMC) as scheduled by the</li> </ul>

	Guidelines)		<p>State.</p> <ul style="list-style-type: none"> <li>✓ Incorporate feedback and comments of SLAC and SLSMC in the social audit process.</li> <li>✓ Final approval of Social Audit by the CSMC and submission of any other compliance if pointed out by the CSMC.</li> </ul>
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### 23. Payment Schedule

Sl. No.	Deliverables	Percentage of payment
1.	Submission of Secondary Report	20% of the total fees
2.	Conducting social Audit at ULB Level	20% of the total fees
3.	Submission of final Social Audit report to SLNA/OUHM	30% of the total fees
4.	Approval of Social Audit by SLSMC	20% of the total fees
5.	Final Approval of social audit by CSMC	10% of the total fees

#### Note:

- ✓ The consultant in voice will be supported by the Deliverable Schedule according to the timelines at each stage of payment, duly approved by the Commissioner/Executive Officer.
- ✓ The Payments under assignment shall be made on Lump sum fees quoted by the Winning Consultant and shall be based on the Fees quoted by winning Consultant on % of Project Cost.
- ✓ Contract Value is inclusive of service tax.
- ✓ If any excess payment is made, the excess amount shall be recovered from the performance guarantee given by the Consultant/from its other contracts.
- ✓ The payment shall be released within 30 days from receipt of invoice from the Consultant subject to terms and conditions mentioned earlier in this contract.
- ✓ Guidelines of Social Audit under PMAY (U)-HFA-Mission by Ministry of Housing & Urban Affairs, Govt. of India may be referred for any clarification.