

**Government of Uttarakhand, Finance Department
Center for Training and Research in Financial Administration, (CTRFA)**

**REQUEST FOR EXPRESSIONS OF INTEREST
(CONSULTING SERVICES – FIRMS SELECTION)**

UTTARAKHAND, INDIA

Uttarakhand Public Financial Management Strengthening Project

Assignment Title: Consulting services for Development of an Urban Observatory for Government of Uttarakhand

Reference No: IN-CTRFA-148107-CS-QCBS

Date: 4th December 2019

The GoUK has received a loan from IBRD for the Uttarakhand Public Financial Management Strengthening Project (UkPFMS) and intends to apply a part of the loan proceeds for this assignment toward the Consulting services for Development of an Urban Observatory for Government of Uttarakhand

1. The objective of this consultancy is to develop and operationalize an Urban Observatory at state level for all ULBs. The Observatory will be at two levels one which will have data at state level and another at ULB level. The expected outputs of the assignment are:
 - a. Establish a common measurement framework with indicators;
 - b. Develop a standardize data management protocols;
 - c. Develop a dashboard,
 - d. Pilot Test the indicators and dashboard in selected ULBs
 - e. Populate indicators and prepare data for key data fields based on secondary data available with ULBs
 - f. Roll out indicators and dashboard in all ULBs
 - g. Provide capacity building and handholding to UDD
2. The expected outcomes of the assignment are:
 - a. Real time data availability at the state level
 - b. Enable informed funding and policy decisions based on up-to-date data
 - c. Promote data sharing and knowledge across stakeholders in Urban sector

The Finance Department through the Center for Training and Research in Financial Administration (CTRFA) now invites eligible consulting firms (“Consultants”) to indicate their interest in providing the Services. Interested Consultants should provide information demonstrating that they have the required qualifications and relevant experience to perform the Services. The minimum required qualifications/criteria are available in Annexure 1 and terms of reference of the

assignment can be accessed on the website <http://www.uttarakhandaudit.uk.gov.in> or from CTRFA.

The attention of interested Consultants is drawn to paragraph 3.14 and 3.17 of the World Bank Procurement Regulations, July 2016 revised in November 2017 and August 2018 ("Procurement Regulations"), setting forth the World Bank's policy on conflict of interest.

Consultant may associate with other firms to enhance their qualifications, but should indicate clearly whether association in the form of Joint Venture and/or sub-consultancy. In case of a Joint Venture, all the partners in a joint venture shall be jointly and severally liable for the entire contract, if selected

A Consultant will be selected in accordance with the **Quality Cost Based Selection (QCBS)** method set out in the Procurement Regulations.

Further information can be obtained at the address below during office hours *1000 to 1700 hours IST*.

Expression of Interest in the prescribed format along with relevant annexures must be delivered in a document form (hard copy or electronic pdf) at the address or mail id given below (in person, by post or by email) latest by **20th December 2019 by 17:00 Hrs IST**.

Project Director

Uttarakhand Public Financial Management Strengthening Project

Center for Training and Research in Financial Administration

Sudhowala P.O Premnagar ,

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Annexure 1: Minimum Required Qualifications Criteria

S. No.	Basic Requirement	Specific Requirements	Supporting Documents Required
1)	Entity	Must be a legally constituted entity	Copy of the Certificate of Incorporation and constitutional documents
2)	Turnover	Should have an Average Annual Turnover of at least Rs. three Crores and positive net worth during the last three financial years (2016-17,2017-18, and 2018-19).	Certified copy of the audited financial statements OR certificate from a Chartered Accountant in the format provided.
3)	Overall experience	Should have at least 05 years' experience of working in common measurement framework with indicators, standardize data management protocols ,Develop a dashboard, Populate indicators and prepare data for key data fields based on secondary data, Handholding and training capacity on above for Government Departments /Government entities	Self-certification of details of the experience
4)	Technical Capability	Should have proven track record of having successfully carried out minimum one (1) assignments of working in common measurement framework with indicators, standardize data management protocols ,Develop a dashboard, Populate indicators and prepare data for key data fields based on secondary data, Handholding and training capacity on above in any Government Departments /Government entities.	Work completion certificates from client (OR) In case of ongoing consultancy, the copy of the work order to be submitted.
5)	Staff	Should have at least 20 staff/consultants with relevant qualifications and at least 5 years' experience in any of the above areas.	Self-certification of list of such staff with qualification and experience as per format provided.

Instructions

1. Please provide the minimum details as required in the format. Non-completion of the format may lead to rejection during evaluation.
2. The consultant can add other materials about the Organization and other relevant details as in annexures.
3. Please provide all documents requested as in annexures.

General Particulars of Consultant

Name of the Consultant	
Registered Address	
Phone No:	
Email id:	
Name of the Contact Person for this EoI	
Phone no. of the Contact Person for this EoI	
Email id of the Contact person for this EoI	

Particulars of Consultant

Date of Consultant's establishment	
Consultants Years of experience	
Registration No. (Company/Society)	
PAN No.	
GST No.	
Number of full time staff	
Do you have a branch office in the State	Yes/No. If yes, please provide the address

If you have a JV please fill the above table for each JV partner separately.

Financial Particulars of the Consultant

Financial year	Turnover	Net worth
2018-19		
2017-18		
2016-17		

Staff Brief Profile ***

Name of Staff	Age	Years of experience	Qualification	Number of years associated with the Consultant	Name of clients handled with nature of work done

*** Please provide detail CVs separately as per format given below

Relevant assignments – Last five years***

Project Name	Funding agency Name	Client Name	Nature of work	Year of Work	Status (Completed/Ongoing)	Fees
	Central/State/Multilateral/Bilateral funding agency					

*** Please provide detail citation of work separately in the format given below

Detailed Format for Citations

Assignment name:	Approx. value of the contract (in current US\$ or Euro):
Country: Location within country:	Duration of assignment (months):
Name of Client:	Total N° of staff-months of the assignment:
Address:	Approx. value of the services provided by your Consultant under the contract (in current US\$ or Euro):
Start date (month/year): Completion date (month/year):	N° of professional staff-months provided by associated Consultants:
Name of associated Consultants, if any:	Name of senior professional staff of your Consultant involved and functions performed (indicate most significant profiles such as Project Director/Coordinator, Team Leader):
Narrative description of Project:	
Description of actual services provided by your staff within the assignment:	

Draft Terms of Reference

Development of an Urban Observatory for Government of Uttarakhand

Background

1. India is perhaps emerging as the site of the largest urban transition that would unfold over the next two to three decades. This transition will bring not just opportunities through increased economic growth and employment but also challenges as cities will continue to deal with inequality, deprivation and environmental degradation. Among the Himalayan states one such host to the rapid transition would be the state of Uttarakhand. As per details from Census 2011, Uttarakhand has population of 1.01 Crores, an increase from figure of 84.89 Lakh in 2001 census. The total population growth in this decade was 18.81 percent while in previous decade it was 19.20 percent. Out of total population of Uttarakhand, 30.23% people live in urban regions. The total figure of population living in urban areas is 3,049,338 of which 1,618,731 are males and while remaining 1,430,607 are females. The urban population in the last 10 years has increased by 30.23 percent. The pressure on the urban areas and the peri urban areas are increasing due to migration and it expected to increase further.
2. The Urban Local Governments (Urban LGs) are going to be critical in the successful implementation of the Sustainable Development Goals (SDGs 2030) as these global goals have direct linkages to the day-to- day functioning of the LGs. Realizing the need to adopt sustainable and equitable growth, the state of Uttarakhand has been proactively progressing towards implementing the 74th constitutional amendment that talks about devolving powers and functions to the LGs. One of the core element or foundation of any sustainable development is financial sustainability of the development. A development which is not financial sustainable fails to deliver its intended benefits to the beneficiaries either failing apart much early than expected life thus draining out the precious resources meant for other developments. With the devolution efforts in place, the Urban Local Bodies (ULBs) intend to profit directly from diverse economic activities, economies of scale and of scope in provisioning of services and as a result would be financially sustainable.
3. The Government of India has begun to acknowledge the enormity of this urban transition challenge through the launch of programmes such as AMRUT, the Smart Cities Mission, PMAY, HRIDAY, and Swachh Bharat all aimed at transforming urban management with the power of digital technologies. More than capital, the real and urgent obstacle to transforming urban India lies in the inability of system to produce robust data systems which can enable the integration, management and coordination of these disparate processes occurring in today's urbanizing settlements. Improved data systems and institutions will enable the city managers move towards outcome-based planning in governance. This considers not just the inputs that are reaching the citizens, but also the outcomes the investments have over a period. This in turn realistically assess the gaps between the outcomes and the desired goals.

4. The ULBs are governed by UP Municipal Corporations Act, 1959 and UP Municipalities Act, 1916 (amended for the conformity legislation of 1994 following the 74th Constitutional Amendment. After creation of Uk in 2000, these acts were adopted with only minor changes. Uk has eight Nagar Nigams or Municipal Corporations, 42 Nagar Palika Parishads and 41 Nagar Panchayats¹ - a total of 91 up from 63 in 2001.
5. Reforms in ULBs in Uk have not been done in totality, but in a piecemeal manner with limited success. Availability of reliable and timely financial and other information is severely constrained in the ULBs due to inadequate hardware, software, or trained manpower. Over the years, hardware availability has improved, but level of computerization has been slow due to lack of trained manpower and relevant software and under-utilization of the available hardware.
6. GOUK is embarking on an ambitious program of creating an Urban Observatory at state level which will cover all the ULBs in the state and intends to hire a consultant for this purpose. The Urban Observatory will become the data analysis and management hub of the state and would enable evidence-based policy formulation, capacity building of ecosystem partners on data-driven governance and be the key entry point for fostering innovation.
7. The Government of Uttarakhand (GoUk) has applied for a loan to fund the Uttarakhand Public Financial Management Strengthening Project (UkPFMS) and intends to apply a part of the loan proceeds for this assignment. The long-term vision of the government is to improve the service delivery of the ULBs by matching decision making with data, enhance accountability and transparency, and reform the ULBs to make them sustainable. These reforms will need to be spearheaded and managed centrally at the level of the Urban Development Directorate UDD with support from experts in these areas.

Objective of the assignment

8. The objective of this consultancy is to develop and operationalize an Urban Observatory at state level for all ULBs. The Observatory will be at two levels one which will have data at state level and another at ULB level. The expected outputs of the assignment are:
 - a. Establish a common measurement framework with indicators;
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 - g. Provide capacity building and handholding to UDD

¹ Nagar Nigams are ULBs xxxxxxx

9. The expected outcomes of the assignment are:
 - a. Real time data availability at the state level
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Detailed scope and activities

10. Establish a common measurement framework with indicators:

- a. The consultant shall define what indicators need to be collected (need and importance)- The choice of indicators will be influenced by the overall needs in the long term, and in the short term, be driven by specific felt needs from the Department and City Governments. The consultant will refer to the indicators used by the GOI, as well as indicators used by CMA and other developed countries.
- b. The UO will study the legacy data collection and management system, assess the current indicators being reported/ generated across the Uttarakhand ULBs (including from national programmes), and compare them with indicator references from global good practices and identify a final shortlist of indicators
- c. While such indicators will be across the categories of city characteristics, inputs, outputs and sectoral outcomes, city characteristics and outcomes are to be prioritized in the short term
- d. This shortlist will also involve discussions with private sector entities and City managers. It should be forward looking and include indicators which are likely to become relevant in the future (e.g., sensor generated data).
- e. The consultant will prepare two data sets one at the state level and one at the ULB level. The indicators prepared should be both scalable and comparable for meaningful analysis.
- f. Come up with detailed indicator definitions and a set of use cases for the data sharing on the identified indicators. For the identified indicators, firm up definitions, frequency, format, spatial granularity, reference groups and other syntactic elements for interoperability. Special attention is to be provided to privacy aspects to ensure that what is captured is compliant with data protection and privacy policies and laws. These will be integrated into city reporting, as well as third party reporting (e.g. Smart City projects)
- g. Create and institutionalize a process (a quick cost benefit assessment) through which additional datasets can be added into the shortlist in the future
- h. Develop a set of practical case studies which can be used for generation of these indicators and demonstration to the cities. These use cases should be for different groups of indicators, and some of these use cases should be demonstrable in the short term.
- i. Finalize the list of indicators with the UDD.

11. Develop a standardize data management protocol:

- a. The consultant should assess the gap between current and ideal state on data for the priority indicators (benchmarking platform/ protocol)
- b. Define a protocol for assessing the current data ecosystem for the priority indicators on availability, quality, reliability etc. In addition to these, the protocol can also include aspects of data governance (policies, resources, processes etc.) and planned projects in this regard. This protocol should be rapidly implementable across the reference group of cities

- c. For the identified gaps (quality, reliability, frequency (guides, templates, tools - could be different mechanisms for even one indicator) for priority indicators, come up with most efficient ways to bridge them.
- d. Prepare a standardized data management protocol which will support in collection of data in future period.
- e. Finalize the indicators which will be used to populate the first version of the UO, along with collection protocols, owners, quality control processes and visual elements
- f. Create and implement standard operating procedures for key processes (E.g. data validation, evaluation, access control, API approval etc.)

12. Develop a dashboard: The consultant is required to develop a comprehensive dashboard which includes the following:

- a. Develop an interface plan for the platform for both the Department, and other users
- b. For the indicators identified, based on the use cases at Department and City Government levels, create a set of visual elements for the representation of data/ analysis. This could include spatial maps, heat maps, charts, correlations etc. which enhance the ability of the users to comprehend data and use it for decision making.
- c. Create an input interface for the data at respective data owner levels. The input interfaces need to be aligned to the current reporting practices to make the reporting as effortless as possible and should include intelligent elements such as live error checking, instructions to uploaders, troubleshooting features and access controls.
- d. Dashboard should be operational both at state level and ULB level. The Dashboard should undergo user acceptance testing at various stages and all modules should be tested.
- e. Dashboard should be easy to navigate and should have drill down facility as well aggregation facility so that details from state level to ULB level and vice versa can be reviewed.
- f. Carry out the benchmarking for the reference group cities and assess the gap between ideal state and the current state. The benchmarking exercise should culminate in a transparent rating of cities on data maturity, along with identification of specific areas of improvement for cities.
- g. Conceptualize and plan for a sharing and learning platform which can host the common indicators and applications (e.g. data collection protocols, apps, tools, visualizations) and enable peer learning.
- h. The platform architecture should emphasize open data principles, and should have metadata definitions, data standards, and a data catalogue (title, description, keywords, grouping, sector, jurisdiction etc.) for each section/ collection/ theme. It should also have mechanisms to trigger alerts for regular updates of data, and preferably also triangulation mechanisms to compare similar/ related data and provide validation of quality/ identification of inconsistencies
- i. The platform should have a separate analytics layer for the collected data. Such layers can be added by the UO, by specific cities/ users or by third parties, through a transparent assessment process. One of these analytics use cases should also include a curation mechanism for capturing evidence of what approaches for data collection, sharing and use worked where, along with incentives for such reporting.

- j. Define which parts of the platform will be internal (State/City governments) and which will be global, along with access and security protocols to implement the same. This should be in cognizance of data privacy and protection norms and laws. Such architecture shall be consistent with global practices and Indian regulations on data sharing and use
 - k. Define standards for third party use of data, contribution of applications and analytics layers and mechanisms to support the same. Citizens, researchers, private sector and think tanks should be at minimum users of this. This should leverage on existing national and global initiatives to develop open data platforms and analytics stacks
 - l. The platform would be hosted at the Urban Development Department (UDD)
 - m. Design an open data platform for sharing and learning
 - n. Develop the platform on a web-portal (with mobile interface capacities) and onboard a first wave of cities/ indicators and show proof of concept of all platform elements
- 13. Pilot test the indicators and dashboard in selected ULBs:** The Consultant should carry out Pilot testing at two Nagar Nigams, and One Nagar palika, and one Nagar panchayat.
- a. Plan a set of demonstrations of use cases for the first wave of indicators which are standardized. This could include hackathons, own development etc. of interfaces, DSTs or implementation support based on collected data
 - b. Run these pilots and showcase results
 - c. For a pilot set of roles/ stakeholders, implement the first wave of capacity building programme. These would ideally be roles with the highest dependencies for ensuring success of the UO, and those where pilots (for data collection/ use case demonstration) are being conducted

14. Populate indicators and prepare data for key data fields based on secondary data available with ULBs

- a. Populate the data from the various owners in a time bound process. Demonstrate the outputs to various users (Department, City Governments) and provide proof of the concept to trigger commitment across user groups in developing the UO further. This first version dashboard should include views on fund use, outcome achievement across service areas across cities, ranking of cities on various indicators, and compliance with directives, data quality and robustness. This first version should also have an exchange section where City managers can share good practices on data management and data use cases.
- b. Enter data based on the available secondary data. The consultant is required to prepare forms in which ULB is required to provide data.
- c. Critically evaluate the barriers to data sharing on the identified indicators, especially where the data is reported by the City Governments. Such evaluation should include in depth assessment of incentive misalignment and approval layers in data collection and disclosure and privacy/data protection concerns of data owners. All data collection and sharing efforts will be fully compliant with the National Data sharing and Access Policy (NDSAP)
- d. Propose an institutional structure to support implementation of the proposed data governance at State and City levels. This should include definition of roles and responsibilities, eligibility and evaluation criteria, organizational structure, institution-institution linkages and job descriptions.

Data centric roles newly created should be distinguished from additional data responsibilities given to existing personnel and tied to capacity building.

15. Roll out

- a. Finalize the dashboard and indicators based on pilot
- b. Prepare a roll out plan and agree with UDD on the roll out plan
- c. Roll out the dashboard across all ULBs

16. Capacity building and hand holding

- a. Create a training plan across levels. These will include both technical and managerial aspects, and be relevant for government officials, as well as external data users. Convergence with global resources (e.g. MOOCs) will be preferable. UDD will host the core team which advanced data management and analytics capabilities who will in-turn be involved in building capacities of other stakeholders.
- b. Provide training to identified staff of UDD
- c. Provide handholding to UDD through a PMU cell as part of the roll out phase and till 24 months
- d. Provide handholding to ULBs through helpdesk and support as part of the roll out phase and till 24 months

17. Deliverables: The deliverables expected form the consultant shall include,

Deliverables	Timeline from start of the assignment
1. An inception report	Three weeks
2. Initial indicators report	Two months
3. Final Indicators report	Four months
4. Functional requirement of Dashboard	Four Months
5. Dashboard and software prototype	Six months
6. Pilot testing (including training for pilot sites)	Eight months
7. Final indicators report with data protocol and final dashboard revised after pilot	Nine months
8. Training of staff begins	Nine Months to eighteen months
9. Roll out begins	Nine Months to eighteen months
10. Handholding for UDD and ULB	Nine months to 24 Months

18. Key Experts:

- a. The professional requirements of personnel to be provided by each consultant for the Task are given in the following table detailing type of expertise, required skills and experience. The consultant needs to provide CVs of its proposed team for the Key Positions listed in the Table, in the prescribed format. CVs of Key Positions will be evaluated with reference to the specified experience and qualifications. The team of key professionals shall be adequately supported by junior non-key support functionaries in requisite disciplines including urban reforms and IT. The consultant will

appoint sufficient number of staffs for field activity as necessary for timely completion of the project. The team will work in close liaison with the local ULB office and respective UDD office.

- b. An indication of the expertise required (full time during the project Implementation) for undertaking this task is given in the table below. The CVs of the key experts would be evaluated. Additional staff may be added as required by the consultants.

	Key Experts	Qualification	Experience
1	Team Leader (one)	<ul style="list-style-type: none"> • Master's in urban planning/management with minimum of 10 years' experience in urban sector reforms (or) MBA\CA with experience in urban sector reforms (or) Government officials who have worked at Director level in MOUD. • Fluent in Hindi and good communication skills 	<ul style="list-style-type: none"> • Experience of creating indicator frameworks, and standardization of data definitions for the ULBs or similar organisations • Knowledge of working in ULB / City
2	Process Expert (1)	<ul style="list-style-type: none"> • MBA/CA with at least five years' experience • Fluent in Hindi and good communication skills 	<ul style="list-style-type: none"> • Has BPR and process mapping expertise • Knowledge of working in ULB / City
3	IT Expert One	<ul style="list-style-type: none"> • B.Tech/MCA with at least 5 years' experience of system study and preparing FRS and System requirement. • Certification in RDMS • Sound understanding of ULB systems • Fluent in Hindi & English • Expert who have worked on dashboard 	<ul style="list-style-type: none"> ▪ Knowledge of working in ULB / City ▪ MIS related project completed in government/Urban sector ▪ Experience with RDBMS such as Oracle ▪ Has developed softwares and dashboards ▪ Has experience of preparing FRS

	Key Experts	Qualification	Experience
		development including MIS	
4	Domain Expert (1)	<ul style="list-style-type: none"> ▪ Domain expert with at least 10 years practical working experience with ULBs/UDD at senior level 	<ul style="list-style-type: none"> ▪ Has worked with UDD or ULB at a senior level ▪ Has worked with most parts of the UDD and is well versed with the process and procedures of ULBs ▪ Understands data sets and availability in the ULBs
	Support staff	Qualification	Experience
1	Field staff, asrequired	<ul style="list-style-type: none"> ▪ Preferably IT graduates ▪ Fluent in Hindi 	<ul style="list-style-type: none"> ▪ At least two year's work experience ▪ Should be adapt in software development, debugging and supporting in solving issues in the software

19. Technical Review Committee: A Technical review committee headed by the Secretary Urban Development) and comprising of representatives of the ULBs will carry out the review of all the outputs and provide comments which will be shared with the consultant for incorporation. The TRC will endeavor to review and provide the comments at the earliest, but not later than 4 weeks of submission of the reports and will inform the consultant in case of any delays

20. Services & Support to be provided by Client

- a. The assignment will be administratively coordinated by the Secretary (Urban Development).
- b. Technical coordination will be done by the Secretary (Urban Development).
- c. The Urban Development Directorate will coordinate with departments for the workshops/training and to designate staff for training and facilitate meetings with the stakeholders. For training, GoUK will provide the venue and cost of trainee travel including TA/DA, but all other requirements will be arranged by the Consultant.