



UJJAIN SMART CITY LIMITED, UJJAIN



REQUEST FOR PROPOSAL

for

Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for “Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy” under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

NIT No. USCL/392

RFP Publication Date: 20 August 2025

Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for “Ujjain 1 Climate Action - Integrated Solid Waste Management with Circular Economy” under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

Disclaimer

The information contained in this Request for Proposals document ("RFP") or subsequently provided to Applicants, whether verbally or in documentary or any other form by or on behalf of the Authority or any of its employees or advisers, is provided to Applicants on the terms and conditions set out in this RFP and such other terms and conditions subject to which such information is provided.

This RFP is not an agreement or an offer by the Authority to the prospective Applicants or any other person. The purpose of this RFP is to provide interested parties with information that may be useful to them in the formulation of their Proposals pursuant to this RFP. This RFP includes statements, which reflect various assumptions and assessments arrived at by the Authority in relation to the Consultancy. Such assumptions, assessments and statements do not purport to contain all the information that each Applicant may require. This RFP may not be appropriate for all persons, and it is not possible for the Authority, its employees or advisers to consider the objectives, technical expertise and particular needs of each party who reads or uses this RFP. The assumptions, assessments, statements and information contained in this RFP, may not be complete, accurate, adequate or correct. Each Applicant should, therefore, conduct its own investigations and analysis and should check the accuracy, adequacy, correctness, reliability and completeness of the assumptions, assessments and information contained in this RFP and obtain independent advice from appropriate sources.

Information provided in this RFP to the Applicants may be on a wide range of matters, some of which may depend upon interpretation of law. The information given is not intended to be an exhaustive account of statutory requirements and should not be regarded as a complete or authoritative statement of law. The Authority accepts no responsibility for the accuracy or otherwise for any interpretation or opinion on the law expressed herein.

The Authority, its employees and advisers make no representation or warranty and shall have no liability to any person including any Applicant under any law, statute, rules or regulations or tort, principles of restitution or unjust enrichment or otherwise for any loss, damages, cost or expense which may arise from or be incurred or suffered on account of anything contained in this RFP or otherwise, including the accuracy, adequacy, correctness, reliability or completeness of the RFP and any assessment, assumption, statement or information contained therein or deemed to form part of this RFP or arising in anyway in this Selection Process.

The Authority also accepts no liability of any nature whether resulting from negligence or otherwise, howsoever caused, arising from reliance of any Applicant upon the statements contained in this RFP.

The Authority may in its absolute discretion, but without being under any obligation to do so, update, amend or supplement the information, assessment or assumption contained in this RFP.

The issue of this RFP does not imply that the Authority is bound to select an Applicant or to appoint the Selected Applicant, as the case may be, for the Consultancy and the Authority reserves the right to reject all or any of the Proposals without assigning any reasons whatsoever.

The Applicant shall bear all its costs associated with or relating to the preparation and submission of its Proposal including but not limited to preparation, copying, postage, delivery fees, expenses associated with any demonstrations or presentations which may be required by the Authority or any other costs incurred in connection with or relating to its Proposal. All such costs and expenses will remain with the Applicant and the Authority shall not be liable in any manner whatsoever for the same or for any other costs or other expenses incurred by an Applicant in preparation or submission of the Proposal, regardless of the conduct or outcome of the Selection Process.

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1. INTRODUCTION

1.1 Background

- 1.1.1 **Ujjain** is an ancient city in the Indian state of Madhya Pradesh, known for its cultural, historical, and religious significance. Ujjain is famous for Shri Mahakaleshwar Jyotirlinga, a Hindu temple dedicated to Shiva and is one of the twelve Jyotirlingas, shrines which are said to be the most sacred abodes of Shiva. It is located in the ancient city of Ujjain in the state of Madhya Pradesh, India. Ujjain is one of the seven sacred cities in Hinduism and is situated on the banks of the Kshipra River where the city hosts the Kumbh Mela (Simhastha) every twelfth year when the Jupiter enters the Leo in the month of Baisakh or April-May. The Kumbh is known to be one of the largest religious congregations on the earth during which pilgrims bathe or take a holy dip in the sacred Shipra River. The city witnessed a footfall of 7.5 crores pilgrims during a month in the last Simhastha-2016 and expects footfall of 12-15 crores during upcoming Simhastha 2028.
- 1.1.2 Ujjain was selected as one of the 100 smart cities in India under the flagship Smart City Mission (SCM) of Ministry of Housing and Urban Affairs (MoHUA). For implementation of SCM projects the “Ujjain Smart City Limited (USCL)” for constituted as a special purpose vehicle (SPV) in the year 2016 under The Indian Company’s Act 2013. The USCL has executed several projects with a grant of Rs 1,000 Cr since its incorporation including the landmark project of “Shri Mahakal Lok”.
- 1.1.3 Through a challenge process the Ujjain was also selected as one of the twelve cities for implementation of CITIIS 1.0 (City Investments to Innovate, Integrate and Sustain) under the theme of public open spaces. The USCL has successfully executed all the components under CITIIS 1.0 with a grant of Rs 80 Cr.
- 1.1.4 The CITIIS 2.0, the second phase of the CITIIS (City Investment to Integrate, Innovate and Sustain) Program, was launched by MoHUA, in collaboration with AFD, KfW, EU, and NIUA to supplement climate initiatives of Govt. of India through its unique model of Circular Economy. Ujjain is one of the 18 cities that are selected under CITIIS 2.0 program. The project aims to promote a circular economy through an integrated solid waste management system for Ujjain, Madhya Pradesh. The system shall address the increasing challenges posed by waste accumulation and its adverse environmental impacts.
- 1.1.5 As per mandate for CITIIS 2.0, the USCL (the Authority) is required to engage an independent agency for carrying out various studies, documentations, and monitoring of various parameters related to environmental and social safeguards and related issues.

Objective of the Assignment

- 1.1.6 In pursuance of the above, the Authority has decided to carry out the process for selection of consultant (consulting firm) for Preparation of Various Environment & Social Safeguard Documents for “Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy” under CITIIS 2.0. The Consultant shall perform the activities in accordance with the Terms of Reference specified in Schedule-1 (the “TOR”).

1.2 Request for Proposal

The Authority invites proposals (the “Proposals”) for selection of consultancy firm for “*Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for “Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy” under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh*” in conformity with the TOR (collectively the “Consultancy”) and the CITIIS2.0 Operational Guidelines and CITIIS 2.0 guidelines for environmental and social safeguards.

The Authority intends to select the Consultant through an open competitive bidding process in accordance with the procedure set out herein.

1.3 Due diligence by Applicants

Applicants are encouraged to inform themselves fully about the assignment and the local conditions before submitting the Proposal by paying a visit to the Authority and the Project site, sending written queries to the Authority, and attending a Pre-Proposal Conference on the date and time specified in Clause 1.10.

1.4 Sale of RFP Document

RFP document can be downloaded from the website of <https://mptenders.gov.in/>. However, the bids of only those Applicant shall be considered for evaluation who have made online payment of Rs 10,000/- (Rs Ten thousand only) for the RFP document plus service & gateway charges, without the copy of acknowledgement of payment bids will not be accepted. The RFP Fee of Rs 10,000/- (Rs. Ten thousand only) is to be paid by the bidder by making online payment only against this RFP.

1.5 Validity of the Proposal

The Proposal shall be valid for a period of not less than **120 days** from the Proposal Due Date (the “PDD”).

1.6 Brief description of the Selection Process

The Authority has adopted a two-stage selection process (collectively the “**Selection Process**”) for evaluating the Proposals comprising of technical bids and financial bids to be submitted by the Applicant. For avoidance of doubt, the

technical proposal shall be submitted in hard copy to the Authority Address and in soft copy online through e-procurement portal and the financial proposal shall be submitted only online through e-procurement. The selection will be done through Quality cum Cost Based Selection (QCBS) method. In the first stage, a technical evaluation will be carried out as specified in Clause 3.1. Based on this technical evaluation, a list of short-listed applicants shall be prepared as specified in Clause 3.2. Following the technical evaluation, the Financial Proposals of the technically qualified bidders (securing St = 70 marks and above) will be opened by the evaluation committee. In the second stage, a financial evaluation will be carried out as specified in Clause 3.3 and financial scores will be given as per emulation criteria. As per QCBS, for evaluation purpose the total score is calculated by weighting assigned for the technical and financial scores and adding them as per the formula/process given therein. Proposals will finally be ranked as specified in Clause 3.4. The combined highest evaluated (H1) Applicant (the “Selected Applicant”) shall be called for negotiation, if necessary, while the H2 ranked Applicant will be kept in reserve.

1.7 Currency conversion rate and payment

- 1.7.1 For the purposes of technical evaluation of Applicants, INR 85.00 (Indian Rupees Eighty Five) per US\$ 1.00 shall be considered as the applicable currency conversion rate, if required. In case of any other currency, the same shall first be converted to US\$ 28 (twenty eight) days prior to the Proposal Due Date, and the amount so derived in US\$ shall be converted into INR at the aforesaid rate. The conversion rate of such currencies shall be the daily representative exchange rates published by the Reserve Bank of India (Source: <https://rbi.org.in/scripts/ReferenceRateArchive.aspx>) in first place or otherwise International Monetary Fund in second place for the relevant date.
- 1.7.2 All payments to the Consultant shall be made in INR in accordance with the provisions of this RFP. The Consultant may convert INR into any foreign currency as per Applicable Laws and the exchange risk, if any, shall be borne by the Consultant.

1.8 Schedule of Selection Process

The Authority would endeavour to adhere to the following schedule:

	Event Description	Date & Time
1.	Publication of Request for Proposal	20/08/2025
2.	Last date for receiving queries/clarifications	29/08/2025
3.	Last date for purchase of RFP document	10/09/2025 upto 17:00 hrs

4.	Proposal Due Date or PDD (online submission of Technical Proposal and Financial Proposal on e-procurement portal)	10/09/2025 upto 17:00 hrs
5.	Submission of hard copy of Technical Proposal	Not applicable
6.	Opening of Technical Proposals	11/09/2025 after 17:00 hrs
7.	Opening of Financial Proposals	To be decided
8.	Letter of Award (LOA)	Within 10 days of Opening of Financial Proposals and Contract Negotiations
9.	Signing of Agreement	Within 14 days of LOA
10.	Validity of Applications	As mentioned in clause 1.5

1.9 Pre-Proposal visit to the Site and inspection of data

Prospective Applicants may visit the Project office/Sites and review the available data at any time prior to PDD. For this purpose, they will provide at least two days' notice to the nodal officer specified in Clause 1.11.1

1.10 Pre-Proposal Conference

The date, time and venue of Pre-Proposal Conference shall be:

Date and Time: As mentioned in Clause 1.8

Venue: As mentioned in Clause 1.11.1

1.11.1 All communications including the submission of Proposal should be addressed to:

Chief Executive Officer,
Ujjain Smart City Limited
2nd Floor, Mela Office, Kothi Road, Ujjain,
Pin 456010, Madhya Pradesh, India
Email: ujjainsmartcity@mpurban.gov.in

1.11.2 The **Official Website** of the Authority is:

<https://ujjainsmartcity.com>

1.11.3 All communications, including the envelopes, should contain the following information, to be marked at the top in bold letters:

RFP NOTICE NO. (as per brief NIT) for “Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for “Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy” under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh”- 2nd Call.

2. INSTRUCTIONS TO APPLICANTS

A. GENERAL

2.1 Scope of Proposal

- 2.1.1 Detailed description of the objectives, scope of services, deliverables and other requirements relating to this Consultancy are specified in this RFP. In case an applicant firm possesses the requisite experience and capabilities required for undertaking the Consultancy, it may participate in the Selection Process either individually (the “**Sole Firm**”) or as lead member of a consortium of firms (the “**Lead Member**”) in response to this invitation. The term applicant (the “**Applicant**”) means the Sole Firm or the Lead Member, as the case may be. A maximum of two members including Lead Member shall be allowed in a consortium. The manner in which the Proposal is required to be submitted, evaluated and accepted is explained in this RFP.
- 2.1.2 Applicants are advised that the selection of Consultant shall be on the basis of an evaluation by the Authority through the Selection Process specified in this RFP. Applicants shall be deemed to have understood and agreed that no explanation or justification for any aspect of the Selection Process will be given and that the Authority’s decisions are without any right of appeal whatsoever.
- 2.1.3 The Applicant shall submit its Proposal in the form and manner specified in this Part-2 of the RFP. The Technical proposal shall be submitted in the form at Appendix-I and the Financial Proposal shall be submitted in the form at Appendix-II. Upon selection, the Applicant shall be required to enter into an agreement with the Authority in the form specified at Schedule-2.

2.1.4 Key Personnel

The Consultancy Team shall consist of the following key personnel (the “**Key Personnel**”) as specified below:

SNo	Key Personnel
1	Team Leader cum Safeguard Expert – 1 No
2	Environmental Safeguard Expert – 1 No
3	Social Safeguard Expert – 1 No
4	Gender Expert – 1 No
5	Research Associates – 2 Nos

2.2 Conditions of Eligibility of Applicants

- 2.2.1 Applicants must read carefully the minimum conditions of eligibility (the “**Conditions of Eligibility**”) provided herein. Proposals of only those Applicants who satisfy the Conditions of Eligibility will be considered for technical evaluation.

2.2.2 To be eligible for evaluation of its Proposal, the Applicant shall fulfil the following:

(A) Basic Eligibility criteria

- a) The Applicant shall be registered company incorporated under Companies Act, 1956/2013 or LLP incorporated under the Limited Liability Partnership Act, 2008 or The Indian Society Act under equivalent international law in any other country. The Applicant shall be required to submit a true copy of its Incorporation Certificate along with Technical Proposal.
- b) The Applicant must have a valid GST and Income-tax registration in India. (proof of registration must be enclosed)
- c) The Applicant must have at least an office in India which is operational for a period of last three years or more, from the date mentioned as PDD

Note: In case of JV/consortium, all members shall meet condition 2.2.2 (a) and Lead Member shall also meet condition 2.2.2 (b) and 2.2.2 (c).

- d) The Consultant organization should be accredited by Quality Council of India (QCI) or National Accreditation Board for Education & Training (NABET) for carrying out EIA studies as indicated in EIA notification, 2006 and its subsequent amendments.
- e) The EIA consultant organization should be accredited by Quality Council of India (QCI) or National Accreditation Board for Education & Training (NABET) under 7(i), Category “B”.

Note: In case of JV/consortium, at least the Lead member shall meet condition 2.2.2 (d) and 2.2.2 (e)

(B) Technical Capacity: The Applicant shall have in the last **five financial years** preceding the Proposal Due Date completed or currently executing, as the case may be, **at least two** consultancy assignment as given below:

The Consultants shall have similar project experience of preparation of Environmental & Social Safeguards Documents for Solid Waste Management, Environmental Impact Assessment for SWM/ Landfill for any Urban Local Body in India.

Provided that:

- In case of consortium, Lead Member shall have undertaken at least one consultancy assignment in Environmental Safeguards and Associate Member shall have undertaken at least one consultancy assignment in Social Safeguards.
- Value of consultancy assignment under any category shall not be less than Rs. 20 lakhs each (certified/ attested copy of contract award / work order / client certificate / completion certificate to be enclosed).

(C) Financial Capacity: The Applicant should have received minimum average of **Rs. 2.00 Crore per annum** (or equivalent in other currencies) as professional fees during the last 3 (three) financial years ending on **31 March 2024/ 31 March 2025**

(if audited) . For the avoidance of doubt, professional fees hereunder refer to fees received by the Applicant for providing advisory or consultancy services to its clients.

In case of consortium, Lead Member and Other Member, individually, shall have received a minimum average of Rs. 1.00 Crore per annum and Rs. 0.50 crore per annum respectively (or equivalent in other currencies) as professional fees during the last 3 (three) financial years ending on **1 March 2024/ 31 March 2025 (if audited)** but collectively should have received minimum average of Rs. 2.00 Crore per annum.

(D) Availability of Key Personnel: The Applicant shall offer and make available all Key Personnel meeting the requirements specified in Sub-clause (E) below.

(E) Conditions of Eligibility for Key Personnel:

SNo	Key Personnel	Minimum Qualification	Minimum Experience in years
1	Team Leader cum Safeguard Expert	Postgraduate in Environmental Engineering/Science	At least 10 years of relevant experience.
2	Environmental Safeguard Expert	Postgraduate in Environmental Planning/ Engineering/Science	At least 7 years of relevant experience.
3	Social Safeguard Expert	Postgraduate in Social Science/ Works	At least 7 years of relevant experience.
4	Gender Expert	Postgraduate in Social Science/ Works	At least 7 years of relevant experience.
5	Research Associates	Postgraduate in Engineering/ Social Science	At least 3 years of relevant experience.

2.2.3 The Applicant shall enclose with its Proposal, certificate(s) from its Statutory Auditors[§] stating its total revenues from professional fees during each of the 3 (three) financial years ending on 31 March 2024 and the fee received in respect of each of the Assignments specified in the Proposal. In the event that the Applicant does not have a statutory auditor, it shall provide the requisite certificate(s) from the firm of Chartered Accountants that ordinarily audits the annual accounts of the Applicant.

2.2.4 The Applicant should submit a Power of Attorney of authorized representative as per the format at Form-4 of Appendix-I. Power of attorney in case of consortium for authorising the lead member to act on behalf of other member may also be given.

2.2.5 Any entity which has been barred by the Central Government, any State Government, a statutory authority or a public sector undertaking, as the case may

[§] No separate annual financial statements should be submitted.

be, from participating in any project, and the bar subsists as on the date of Proposal, would not be eligible to submit a Proposal either by itself or through its Associate.

- 2.2.6 An Applicant or its Associate should have, during the last three financial years, neither failed to perform on any agreement, as evidenced by imposition of a penalty by an arbitral or judicial authority or a judicial pronouncement or arbitration award against the Applicant or its Associate, nor been expelled from any project or agreement nor have had any agreement terminated for breach by such Applicant or its Associate.
- 2.2.7 While submitting a Proposal, the Applicant should attach clearly marked and referenced continuation sheets in the event that the space provided in the specified forms in the Appendices is insufficient. Alternatively, Applicants may format, without changing the content of the forms, making due provision for incorporation of the requested information.

2.3 Conflict of Interest

- 2.3.1 An Applicant shall not have a conflict of interest that may affect the Selection Process or the Consultancy (the “**Conflict of Interest**”). Any Applicant found to have a Conflict of Interest shall be disqualified. In the event of disqualification, the Authority shall forfeit and appropriate the Bid Security as mutually agreed genuine pre-estimated compensation and damages payable to the Authority for, *inter alia*, the time, cost and effort of the Authority including consideration of such Applicant’s Proposal, without prejudice to any other right or remedy that may be available to the Authority hereunder or otherwise.
- 2.3.2 The Authority requires that the Consultant provides professional, objective, and impartial advice and at all times hold the Authority’s interests paramount, avoid conflicts with other assignments or its own interests, and act without any consideration for future work. The Consultant shall not accept or engage in any assignment that would be in conflict with its prior or current obligations to other clients, or that may place it in a position of not being able to carry out the assignment in the best interests of the Authority.
- 2.3.3 Some guiding principles for identifying and addressing Conflicts of Interest have been illustrated in the Guidance Note at Schedule-3. Without limiting the generality of the above, an Applicant shall be deemed to have a Conflict of Interest affecting the Selection Process, if:
 - (a) the Applicant, its consortium member (the “**Member**”) or Associate (or any constituent thereof) and any other Applicant, its consortium member or Associate (or any constituent thereof) have common controlling shareholders or other ownership interest; provided that this disqualification shall not apply in cases where the direct or indirect shareholding or ownership interest of an Applicant, its Member or Associate (or any shareholder thereof having a shareholding of more than 5% (five per cent) of the paid up and subscribed share capital of such

Applicant, Member or Associate, as the case may be) in the other Applicant, its consortium member or Associate is less than 5 per cent of the subscribed and paid up equity share capital thereof; provided further that this disqualification shall not apply to any ownership by a bank, insurance company, pension fund or a public financial institution referred to in sub-section (72) of section 2 of the Companies Act, 2013. For the purposes of this Clause 2.3.3(a), indirect shareholding held through one or more intermediate persons shall be computed as follows: (aa) where any intermediary is controlled by a person through management control or otherwise, the entire shareholding held by such controlled intermediary in any other person (the “**Subject Person**”) shall be taken into account for computing the shareholding of such controlling person in the Subject Person; and (bb) subject always to sub-clause (aa) above, where a person does not exercise control over an intermediary, which has shareholding in the Subject Person, the computation of indirect shareholding of such person in the Subject Person shall be undertaken on a proportionate basis; provided, however, that no such shareholding shall be reckoned under this sub-clause (bb) if the shareholding of such person in the intermediary is less than 26% (twenty six per cent) of the subscribed and paid up equity shareholding of such intermediary; or

- (b) a constituent of such Applicant is also a constituent of another Applicant; or
- (c) such Applicant or its Associate receives or has received any direct or indirect subsidy or grant from any other Applicant or its Associate; or
- (d) such Applicant has the same legal representative for purposes of this Application as any other Applicant; or
- (e) such Applicant has a relationship with another Applicant, directly or through common third parties, that puts them in a position to have access to each other’s information about, or to influence the Application of either or each of the other Applicant; or
- (f) there is a conflict among this and other consulting assignments of the Applicant (including its personnel and Sub-consultant) and any subsidiaries or entities controlled by such Applicant or having common controlling shareholders. The duties of the Consultant will depend on the circumstances of each case. While providing consultancy services to the Authority for this particular assignment, the Consultant shall not take up any assignment that by its nature will result in conflict with the present assignment; or
- (g) a firm which has been engaged by the Authority to provide goods or works or services for a project, and its Associates, will be disqualified from providing consulting services for the same project save and except as provided in Clause 2.3.4; conversely, a firm hired to provide consulting services for the preparation or implementation of a project, and its Members or Associates, will be disqualified from subsequently providing goods or works or services related to the same project; or

- (h) the Applicant, its Member or Associate (or any constituent thereof), and the bidder or Concessionaire, if any, for the Project, its contractor(s) or sub-contractor(s) (or any constituent thereof) have common controlling shareholders or other ownership interest; provided that this disqualification shall not apply in cases where the direct or indirect shareholding or ownership interest of an Applicant, its Member or Associate (or any shareholder thereof having a shareholding of more than 5% (five per cent) of the paid up and subscribed share capital of such Applicant, Member or Associate, as the case may be,) in the bidder or Concessionaire, if any, or its contractor(s) or sub-contractor(s) is less than 5% (five per cent) of the paid up and subscribed share capital of such Concessionaire or its contractor(s) or sub-contractor(s); provided further that this disqualification shall not apply to ownership by a bank, insurance company, pension fund or a Public Financial Institution referred to in sub-section (72) of section 2 of the Companies Act, 2013. For the purposes of this sub-clause (h), indirect shareholding shall be computed in accordance with the provisions of sub-clause (a) above.

For purposes of this RFP, Associate means, in relation to the Applicant, a person who controls, is controlled by, or is under the common control with such Applicant (the “**Associate**”). As used in this definition, the expression “control” means, with respect to a person which is a company or corporation, the ownership, directly or indirectly, of more than 50% (fifty per cent) of the voting shares of such person, and with respect to a person which is not a company or corporation, the power to direct the management and policies of such person by operation of law or by contract.

- 2.3.4 An Applicant eventually appointed to provide Consultancy for this Project, and its Associates, shall be disqualified from subsequently providing goods or works or services related to the construction and operation of the same Project and any breach of this obligation shall be construed as Conflict of Interest; provided that the restriction herein shall not apply after a period of 2 (two) years from the completion of this assignment or to consulting assignments granted by banks/ lenders at any time; provided further that this restriction shall not apply to consultancy/ advisory services performed for the Authority in continuation of this Consultancy or to any subsequent consultancy/ advisory services performed for the Authority in accordance with the rules of the Authority. For the avoidance of doubt, an entity affiliated with the Consultant shall include a partner in the Consultant’s firm or a person who holds more than 5% (five per cent) of the subscribed and paid-up share capital of the Consultant, as the case may be, and any Associate thereof.

2.4 Number of Proposals

No Applicant or its Associate shall submit more than one Application for the Consultancy. An Applicant applying individually or as an Associate shall not be entitled to submit another application either individually or as a member of any other consortium, as the case may be.

2.5 Cost of Proposal

The Applicants shall be responsible for all of the costs associated with the preparation of their Proposals and their participation in the Selection Process including subsequent negotiation, visits to the Authority, Project site etc. The Authority will not be responsible or in any way liable for such costs, regardless of the conduct or outcome of the Selection Process.

2.6 Site visit and verification of information

Applicants are encouraged to submit their respective Proposals after visiting the Project office and proposed sites and ascertaining for themselves the site conditions, traffic, location, surroundings, climate, access to the site, availability of drawings and other data with the Authority, Applicable Laws and regulations or any other matter considered relevant by them.

2.7 Acknowledgement by Applicant

2.7.1 It shall be deemed that by submitting the Proposal, the Applicant has:

- (a) made a complete and careful examination of the RFP;
- (b) received all relevant information requested from the Authority;
- (c) acknowledged and accepted the risk of inadequacy, error or mistake in the information provided in the RFP or furnished by or on behalf of the Authority or relating to any of the matters referred to in Clause 2.6 above;
- (d) satisfied itself about all matters, things and information, including matters referred to in Clause 2.6 herein above, necessary and required for submitting an informed Application and performance of all of its obligations there under;
- (e) acknowledged that it does not have a Conflict of Interest; and
- (f) agreed to be bound by the undertaking provided by it under and in terms hereof.

2.7.2 The Authority shall not be liable for any omission, mistake or error on the part of the Applicant in respect of any of the above or on account of any matter or thing arising out of or concerning or relating to RFP or the Selection Process, including any error or mistake therein or in any information or data given by the Authority.

2.8 Right to reject any or all Proposals

2.8.1 Notwithstanding anything contained in this RFP, the Authority reserves the right to accept or reject any Proposal and to annul the Selection Process and reject all Proposals, at any time (before entering into an agreement) without any liability or any obligation for such acceptance, rejection or annulment, and without assigning any reasons thereof.

2.8.2 Without prejudice to the generality of Clause 2.8.1, the Authority reserves the right to reject any Proposal if:

- (a) at any time, a material misrepresentation is made or discovered, or
- (b) the Applicant does not provide, within the time specified by the Authority, the supplemental information sought by the Authority for evaluation of the Proposal.

Misrepresentation/ improper response by the Applicant may lead to the disqualification of the Applicant. If the Applicant is the Lead Member of a consortium, then the entire consortium may be disqualified / rejected. If such disqualification / rejection occurs after the Proposals have been opened and the highest ranking Applicant gets disqualified / rejected, then the Authority reserves the right to consider the next best Applicant, or take any other measure as may be deemed fit in the sole discretion of the Authority, including annulment of the Selection Process.

B. DOCUMENTS

2.9 Contents of the RFP

This RFP comprises the Disclaimer set forth hereinabove, the contents as listed below and will additionally include any Addendum / Amendment issued in accordance with Clause 2.11:

Request for Proposal

- 1 Introduction
- 2 Instructions to Applicants
- 3 Criteria for Evaluation
- 4 Fraud and corrupt practices
- 5 Pre-Proposal Conference
- 6 Miscellaneous

Schedules

- 1 Terms of Reference**
- 2 Form of Agreement**

Annex-1: Terms of Reference

Annex-2: Deployment of Personnel

Annex-3: Deleted

Annex-4: Approved Sub-Consultant(s)

Annex-5: Cost of Services

Annex-6: Payment Schedule

Annex-7: Bank Guarantee for Performance Security

3 Guidance Note on Conflict of Interest

4 Appendices

Appendix-I: Technical Proposal

Form 1: Letter of Proposal

Form 2: Particulars of the Applicant

Form 3: Statement of Legal Capacity

Form 4: Power of Attorney

Form 5: Financial Capacity of the Applicant

Form 6: Description of Approach, Methodology, and Work plan

Form 7: Team Composition, Assignment and Key Expert's Inputs

Form 8: Particulars of Key Personnel

Form 9: Abstract of Assignments of the Applicant

Form 10: Assignments of Applicant

Form 11: CVs of Professional Personnel

Form 12: Proposal for Sub-consultant(s)

Appendix – II: Financial Proposal

Form 1: Covering Letter

Form 2: Financial Proposal

2.10 Clarifications

- 2.10.1 Applicants requiring any clarification on the RFP may send their queries to the Authority in writing by speed post/ courier/ special messenger or by e-mail so as to reach before the date mentioned in the Schedule of Selection Process at Clause 1.8. The envelopes shall clearly bear the following identification:

"Queries concerning RFP for Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for "Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy" under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh" – 2nd Call

The Authority shall endeavour to respond to the queries within the period specified therein but not later than 7 (seven) days prior to the Proposal Due Date. The Authority will post the reply to all such queries on the Official Website without identifying the source of queries.

- 2.10.2 The Authority reserves the right not to respond to any questions or provide any clarifications, in its sole discretion, and nothing in this Clause 2.10 shall be construed as obliging the Authority to respond to any question or to provide any clarification and under such conditions the provision under RFP shall prevail.

2.11 Amendment of RFP

- 2.11.1 At any time prior to the deadline for submission of Proposal, the Authority may, for any reason, whether at its own initiative or in response to clarifications requested by an Applicant, modify the RFP document by the issuance of Addendum/ Corrigendum / Amendment and posting it on the Official Website.
- 2.11.2 All such amendments/corrigendum/addendums will be posted on the Official Website and will be binding on all Applicants.
- 2.11.3 In order to afford the Applicants a reasonable time for taking an amendment into account, or for any other reason, the Authority may, in its sole discretion, extend the Proposal Due Date.

C. PREPARATION AND SUBMISSION OF PROPOSAL

2.12 Language

The Proposal with all accompanying documents (the “**Documents**”) and all communications in relation to or concerning the Selection Process shall be in English language and strictly on the forms provided in this RFP. No supporting document or printed literature shall be submitted with the Proposal unless specifically asked for and in case any of these Documents is in another language, it must be accompanied by an accurate translation of the relevant passages in English, in which case, for all purposes of interpretation of the Proposal, the translation in English shall prevail.

2.13 Format and signing of Proposal

- 2.13.1 The Applicant shall provide all the information sought under this RFP. The Authority would evaluate only those Proposals that are received in the specified forms and complete in all respects. The technical proposals shall be submitted online as well as physically and the financial proposal will only be submitted online.
- 2.13.2 The Applicant shall prepare one original set of the Proposal (together with originals/ copies of Documents required to be submitted along therewith pursuant to this RFP). In the event of any discrepancy between the online submission and physically submitted version, the online submission shall prevail.
- 2.13.3 The Proposal shall be typed or written in indelible ink and signed by the authorised signatory of the Applicant who shall initial each page. In case of printed and published Documents also each pages shall be initialled. All the alterations, omissions, additions, or any other amendments made to the Proposal shall be initialled by the person(s) signing the Proposal. The Proposals must be

properly signed by the authorised representative (the “Authorised Representative”) as detailed below:

- (a) by a partner, in case of a partnership firm and/or a limited liability partnership; or
- (b) by a duly authorised person holding the Power of Attorney, in case of a Limited Company or a corporation; or
- (c) by the authorised representative of the Lead Member, in case of consortium.

A copy of the Power of Attorney certified by a notary public in the form specified in Appendix-I (Form-4) shall accompany the Proposal.

2.13.4 Applicants should note the PDD, as specified in Clause 1.8, for submission of Proposals. Except as specifically provided in this RFP, no supplementary material will be entertained by the Authority, and that evaluation will be carried out only on the basis of Documents submitted online by the closing time of PDD as specified in Clause 2.17.1. Applicants will ordinarily not be asked to provide additional material information or documents subsequent to the date of submission, and unsolicited material if submitted will be summarily rejected.

2.14 Technical Proposal

2.14.1 Applicants shall submit the digitally signed technical proposal online at <https://mptenders.gov.in> in the formats at Appendix-I (the “Technical Proposal”) and shall also submit the proposal in physical form at the address mentioned in clause 1.11.1 in original on or before the date and time mentioned in clause 1.8.

2.14.2 While submitting the Technical Proposal, the Applicant shall, in particular, ensure that:

- (a) The Bid Security is submitted as per the provisions laid down at clause 2.20;
- (b) all forms are submitted in the prescribed formats and signed by the prescribed signatories;
- (c) power of attorney, if applicable, is executed as per Applicable Laws;
- (d) CVs of all Key Personnel have been included;
- (e) Key Personnel have been proposed only if they meet the Conditions of Eligibility laid down at Clause 2.2.2 (E) of the RFP;
- (f) no alternative proposal for any Key Personnel is being made and only one CV for each position has been furnished;
- (g) The CVs have been signed by the respective Key personnel and countersigned by the Applicant;
- (h) Key Personnel proposed have good working knowledge of English and Hindi language;
- (i) Key Personnel would be available for the period indicated in the TOR;

- (j) no Key Personnel should have attained the age of 70 years at the time of submitting the proposal; and
 - (k) the proposal is responsive in terms of Clause 2.21.3.
- 2.14.3 Failure to comply with the requirements spelt out in this Clause 2.14 shall make the Proposal liable to be rejected.
- 2.14.4 If an individual Key Personnel makes a false averment regarding his qualification, experience or other particulars, he shall be liable to be debarred for any future assignment of the Authority for a period of 3 (three) years. The award of this Consultancy to the Applicant may also be liable to cancellation in such an event.
- 2.14.5 The Technical Proposal shall not include any financial information relating to the Financial Proposal.
- 2.14.6 The CV of Key Personnel shall be submitted in the format at Form-11 of Appendix-I.
- 2.14.7 An Applicant may, from time to time, if it considers necessary, propose suitable Sub-Consultants in specific areas of expertise (where applicable). Credentials of such Sub-Consultants should be submitted by the Applicant in Form-12 of Appendix-I. A Sub-Consultant, however, shall not be a substitute for any Key Personnel.
- 2.14.8 The Authority reserves the right to verify all statements, information and documents, submitted by the Applicant in response to the RFP. Any such verification or the lack of such verification by the Authority shall not relieve the Applicant of its obligations or liabilities hereunder nor will it affect any rights of the Authority hereunder.
- 2.14.9 In case it is found during the evaluation or at any time before signing of the Agreement or after its execution and during the period of subsistence thereof, that one or more of the eligibility conditions have not been met by the Applicant or the Applicant has made material misrepresentation or has given any materially incorrect or false information, the Applicant shall be disqualified forthwith if not yet appointed as the Consultant either by issue of the LOA or entering into of the Agreement, and if the Selected Applicant has already been issued the LOA or has entered into the Agreement, as the case may be, the same shall, notwithstanding anything to the contrary contained therein or in this RFP, be liable to be terminated, by a communication in writing by the Authority without the Authority being liable in any manner whatsoever to the Selected Applicant or Consultant, as the case may be.

In such an event, the Authority shall forfeit and appropriate the Performance Security, if available, as mutually agreed pre-estimated compensation and damages payable to the Authority for, inter alia, time, cost and effort of the Authority, without prejudice to any other right or remedy that may be available to the Authority.

2.15 Financial Proposal

2.15.1 The Financial Proposal shall be submitted online only and digitally signed in the formats at Appendix-II (the “Financial Proposal”) clearly indicating the Consultancy Fee in terms of percentage of projects approved (Form-2 of Appendix II) in both figures and words, in Indian Rupees, and signed by the Applicant’s Authorised Representative. In the event of any difference between figures and words, the amount indicated in words shall prevail. In the event of a difference between the arithmetic total and the total shown in the Financial Proposal, the lower of the two shall prevail.

2.15.2 While submitting the Financial Proposal, the Applicant shall ensure the following:

- (i) All the costs associated with the assignment shall be included in the Financial Proposal. These shall normally cover remuneration for all the Personnel (Expatriate and Resident, in the field, office etc), insurance (life and health), accommodation, air-fare, equipment, printing of documents, etc. The total amount indicated in the Financial Proposal shall be without any condition attached or subject to any assumption, and shall be final and binding. In case any assumption or condition is indicated in the Financial Proposal, it shall be considered non-responsive and liable to be rejected.
- (ii) The Financial Proposal shall take into account all expenses and tax liabilities except Goods & Services Tax (GST). For the avoidance of doubt, it is clarified that all taxes except GST shall be deemed to be included in the costs shown under different items of the Financial Proposal. Service as per the applicable rate shall be paid over and above the Total Consultancy Fees.
- (iii) Costs (including break down of costs) shall be expressed in INR – Not applicable.

2.16 Submission of Proposal

2.16.1 The Applicants shall submit the Technical Proposal online as well as in physical form as per date and time mentioned in Clause 1.8. However, the Financial Proposal shall be submitted online only as mentioned in clause 2.15.1. The applicants shall submit the Technical Proposal in prescribed forms with all pages numbered serially and by giving an index of submissions. Each page of the submission shall be initialled by the Authorised Representative of the Applicant as per the terms of this RFP.

2.16.2 ~~The Proposal will be sealed in an outer envelope which will bear the address of the Authority, RFP Notice number, Consultancy name as indicated at Clause 1.11.1 and 1.11.3 and the name and address of the Applicant. It shall bear on top, the following:~~

~~**“Do not open, except in presence of the Authorised Person of the Authority”**~~

~~If the envelope is not sealed and marked as instructed above, the Authority assumes no responsibility for the misplacement or premature opening of the contents of the Proposal submitted and consequent losses, if any, suffered by the Applicant.~~

~~2.16.3 **Hard Copy Submission:** The original copy of the 'Technical Proposal' shall be placed in a sealed envelope clearly marked 'Technical Proposal'. The envelope marked 'Technical Proposal' shall contain the Application in the prescribed format (Form 1 of Appendix-I) along with Forms 2 to 12 of Appendix-I and supporting documents along with Bid Security as mentioned in Clause 2.20.1.~~

Online Submission: Digitally Signed scanned copy of "Technical Proposal" shall be uploaded in the prescribed format (Form 1 of Appendix-I) along with Forms 2 to 12 of Appendix-I and supporting documents along with Bid Security as mentioned in Clause 2.20.1. Similarly, the original 'Financial Proposal' shall be placed in a digitally sealed envelope clearly marked 'Financial Proposal' and shall contain the financial proposal in the prescribed format (Forms 1 & 2) of Appendix-II).

2.16.4 The Technical Proposal and Financial Proposal shall be typed or written in indelible ink and signed by the Authorised Representative of the Applicant. All pages of the original Technical Proposal and Financial Proposal must be numbered and initialled by the person or persons or Authorised Signatory signing the Proposal.

2.16.5 The completed Proposal must be submitted online on or before the specified time on PDD. Proposals submitted by fax, telex, telegram or e-mail shall not be entertained. Technical Proposal in PDF shall be uploaded on the <https://mptenders.gov.in> duly digitally signed. The financial Proposal shall be submitted online only and shall be signed digitally.

2.16.6 The Proposal shall be made in the Forms specified in this RFP. Any attachment to such Forms must be provided on separate sheets of paper and only information that is directly relevant should be provided. This may include photocopies of the relevant pages of printed documents. No separate documents like printed annual statements, firm profiles, copy of contracts etc. will be entertained.

2.16.7 The rates quoted shall be firm throughout the period of performance of the assignment up to and including discharge of all obligations of the Consultant under the Agreement.

2.17 Proposal Due Date

2.17.1 Proposal should be submitted on or before the Proposal Due Date specified in Clause 1.8 at the address provided in Clause 1.11.1 in the manner and form as detailed in this RFP. A receipt thereof should be obtained from the person specified therein.

2.17.2 The Authority may, in its sole discretion, extend the PDD by issuing an Addendum in accordance with Clause 2.11 uniformly for all Applicants.

2.18 Late Proposals

Proposals received by the Authority after the specified time on Proposal Due Date shall not be eligible for consideration and shall be summarily rejected.

2.19 Modification/ substitution/ withdrawal of Proposals

2.19.1 The Applicant may modify/substitute/withdraw its Proposal after it has been submitted through online mode only as per procedures prescribed for e-procurement available at <https://mptenders.gov.in>

2.19.2 ~~Proposals that are withdrawn in accordance with Clause 2.19.1 shall be returned unopened to the Consultant.~~

2.19.3 No Proposal shall be withdrawn in the interval between the deadline for submission of Proposals and the expiration of the period of Proposal validity specified in the Data Sheet or any extension thereof, except in the case of a request by the Authority to extend the Proposal validity.

2.20 Bid Security

2.20.1 The Applicant shall furnish as part of its Proposal, a bid security of **Rs. 1,00,000 (Rupees One lakh only)** payable online only through respective e-procurement payment gateway, returnable not later than 180 (one hundred eighty) days from PDD except in case of the two highest ranked Applicants as required in Clause 2.25.1. The Bid Security of requisite amount stated be made by making online payment (NEFT/RTGS) on the Authority's website. The copy of the proof of submission of bid security online to be submitted in technical proposal.

2.20.2 In the event that the highest evaluated responsive (H1) Applicant commences the assignment as required in Clause 2.30, the H2 ranked Applicant, who has been kept in reserve, shall be returned its Bid Security forthwith, but in no case not later than 120 (one hundred and twenty) days from PDD. The Selected Applicant's Bid Security shall be returned, upon the Applicant signing the Agreement of the Consultancy in accordance with the provisions thereof.

2.20.3 Any Bid not accompanied by the Bid Security shall be rejected by the Authority as non-responsive.

2.20.4 The Authority shall not be liable to pay any interest on the Bid Security and the same shall be interest free.

2.20.5 The Applicant, by submitting its Application pursuant to this RFP, shall be deemed to have acknowledged that without prejudice to the Authority's any other right or remedy hereunder or in law or otherwise, the Bid Security shall be forfeited and appropriated by the Authority as the mutually agreed pre-estimated compensation and damage payable to the Authority for, inter alia, the time, cost and effort of the Authority in regard to the RFP including the consideration and evaluation of the Proposal under the following conditions:

- (a) If an Applicant engages in any of the Prohibited Practices specified in Section 4 of this RFP;
- (b) If an Applicant withdraws its Proposal during the period of its validity as specified in this RFP and as extended by the Applicant from time to time;
- (c) In the case of the Selected Applicant, if the Applicant fails to reconfirm its commitments during negotiations as required vide Clause 2.25.1;
- (d) In the case of a Selected Applicant, if the Applicant fails to sign the Agreement or commence the assignment as specified in Clauses 2.29 and 2.30 respectively; or
- (e) If the Applicant is found to have a Conflict of Interest as specified in Clause 2.3.

2.21 Performance Security

2.21.1 The Applicant, by submitting its Application pursuant to this RFP, shall be deemed to have acknowledged that without prejudice to the Authority's any other right or remedy hereunder or in law or otherwise, its Performance Security shall be forfeited and appropriated by the Authority as the mutually agreed pre-estimated compensation and damages payable to the Authority for, *inter alia*, the time, cost and effort of the Authority in regard to the RFP, including the consideration and evaluation of the Proposal, under the following conditions:

- (a) If an Applicant engages in any of the Prohibited Practices specified in Clause 4.1 of this RFP;
- (b) if the Applicant is found to have a Conflict of Interest as specified in Clause 2.3; and
- (c) if the Selected Applicant commits a breach of the Agreement.

2.21.2 An amount equal to **3% (three per cent)** of the Agreement Value shall be deemed to be the Performance Security for the purposes of this Clause 2.21, which may be forfeited and appropriated in accordance with the provisions hereof. The performance security should remain valid for the entire duration of contract.

D. EVALUATION PROCESS

2.22 Evaluation of Proposals

2.22.1 The Authority shall open the Proposals on the PDD as specified in Clause 1.8, at the place specified in Clause 1.11.1 and in the presence of the Applicants who choose to attend. The envelopes marked "Technical Proposal" shall be opened first.

2.22.2 Proposals for which a notice of withdrawal has been submitted in accordance with Clause 2.19 shall not be opened.

2.22.3 Prior to evaluation of Proposals, the Authority will determine whether each Proposal is responsive to the requirements of the RFP. A Proposal shall be considered responsive only if:

- (a) the Technical Proposal is received in the form specified at Appendix-I;
- (b) it is received by the PDD including any extension thereof pursuant to Clause 2.17;
- (c) it is signed, sealed, bound together in hard cover or spiral bound and marked as stipulated in Clauses 2.13 and 2.16;
- (d) it is accompanied by the Power of Attorney as specified in Clause 2.2.4;
- (e) it contains all the information (complete in all respects) as requested in the RFP;
- (f) it does not contain any condition or qualification; and
- (g) it is not non-responsive in terms hereof.

2.22.4 The Authority reserves the right to reject any Proposal, which is non-responsive, and no request for alteration, modification, substitution or withdrawal shall be entertained by the Authority in respect of such Proposals.

2.22.5 The Authority shall subsequently examine and evaluate Proposals in accordance with the Selection Process specified at Clause 1.6 and the criteria set out in Section 3 of this RFP.

2.22.6 After the technical evaluation, the Authority shall prepare a list of eligible and technically responsive Applicants in terms of Clause 3.2 for opening of their Financial Proposals. A date, time and venue will be notified to all Applicants for announcing the result of evaluation and opening of Financial Proposals. Before opening of the Financial Proposals, the list of qualified Applicants along with their Technical Scores shall be uploaded on the e-procurement portal. The opening of Financial Proposals shall be done online. The Authority will not entertain any query or clarification from Applicants who fail to qualify at any stage of the Selection Process. The financial evaluation and final QCBS ranking of the Proposals shall be carried out in terms of Clauses 3.3 and 3.4.

2.22.7 Applicants are advised that Selection shall be entirely at the discretion of the Authority. Applicants shall be deemed to have understood and agreed that the Authority shall not be required to provide any explanation or justification in respect of any aspect of the Selection Process or Selection.

2.22.8 Any information contained in the Proposal shall not in any way be construed as binding on the Authority, its agents, successors or assigns, but shall be binding against the Applicant if the Consultancy is subsequently awarded to it.

2.23 Confidentiality

Information relating to the examination, clarification, evaluation, and recommendation for the selection of Applicants shall not be disclosed to any person who is not officially concerned with the process or is not a retained professional adviser advising the Authority in relation to matters arising out of, or concerning the Selection Process. The Authority shall treat all information, submitted as part of the Proposal, in confidence and shall require all those who have access to such material to treat the same in confidence. The Authority may not divulge any such information unless it is directed to do so by any statutory entity that has the power under law to require its disclosure or is to enforce or assert any right or privilege of the statutory entity and/or the Authority or as may be required by law or in connection with any legal process.

2.24 Clarifications

- 2.24.1 To facilitate evaluation of Proposals, the Authority may, at its sole discretion, seek clarifications from any Applicant regarding its Proposal. Such clarification(s) shall be provided within the time specified by the Authority for this purpose. Any request for clarification(s) and all clarification(s) in response thereto shall be in writing.
- 2.24.2 If an Applicant does not provide clarifications sought under Clause 2.24.1 above within the specified time, its Proposal shall be liable to be rejected. In case the Proposal is not rejected, the Authority may proceed to evaluate the Proposal by construing the particulars requiring clarification to the best of its understanding, and the Applicant shall be barred from subsequently questioning such interpretation of the Authority.

E. APPOINTMENT OF CONSULTANT

2.25 Negotiations

- 2.25.1 The Selected Applicant may, if necessary, be invited for negotiations. The negotiations shall generally not be for reducing the price of the Proposal, but will be for re-confirming the obligations of the Consultant under this RFP. Issues such as deployment of Key Personnel, understanding of the RFP, methodology and quality of the work plan shall be discussed during negotiations. A Key Personnel who did not score 70% (Seventy per cent) marks as required under Clause 3.1.2 or not found suitable shall be replaced by the Applicant with a better candidate to the satisfaction of the Authority. The negotiations shall conclude with a review of amended draft contract and preparation of minutes of negotiation both of which shall be signed by the authority's and the applicant's authorised representative. In case the Selected Applicant fails to reconfirm its commitment, the Authority reserves the right to designate the next ranked Applicant as the Selected Applicant and invite it for negotiations.
- 2.25.2 The Authority will examine the CVs of all Key Personnel and those not found suitable shall be replaced by the Applicant to the satisfaction of the Authority.

- 2.25.3 The Authority will examine the credentials of all Sub-Consultants proposed for this Consultancy and those not found suitable shall be replaced by the Applicant to the satisfaction of the Authority.

2.26 Substitution of Key Personnel

- 2.26.1 The Authority will not normally consider any request of the Selected Applicant for substitution of Key Personnel as the ranking of the Applicant is based on the evaluation of Key Personnel and any change therein may upset the ranking. Substitution will, however, be permitted if the Key Personnel is not available for reasons of any incapacity or due to health or employee leaving the organisation, subject to equally or better qualified and experienced personnel being provided to the satisfaction of the Authority.
- 2.26.2 The Authority will not normally consider substitution of any Key Personnel during entire duration of the contract except and exceptional cases. Any substitution shall be equivalent or better than the original one.

2.27 Indemnity

The Consultant shall, subject to the provisions of the Agreement, indemnify the Authority, for an amount not exceeding the value of the Agreement (to be arrived on the basis of total project cost indicated in the proposal), for any direct loss or damage that is caused due to any deficiency in services by consultant or sub consultants/sub-contractors appointed by him.

2.28 Award of Consultancy

After selection, a Letter of Award (the “LOA”) shall be issued, in duplicate, by the Authority to the Selected Applicant and the Selected Applicant shall, within 7 (seven) days of the receipt of the LOA, sign and return the duplicate copy of the LOA in acknowledgement thereof. In the event the duplicate copy of the LOA duly signed by the Selected Applicant is not received by the stipulated date, the Authority may, unless it consents to extension of time for submission thereof, appropriate the Bid Security of such Applicant as mutually agreed genuine pre-estimated loss and damage suffered by the Authority on account of failure of the Selected Applicant to acknowledge the LOA, and the next highest ranking Applicant may be considered.

2.29 Execution of Agreement

After acknowledgement of the LOA as aforesaid by the Selected Applicant, it shall execute the Agreement within the period prescribed in Clause 1.8. The Selected Applicant shall not be entitled to seek any deviation in the Agreement.

2.30 Commencement of assignment

The Consultant shall commence the Services at the Project site within 14 (fourteen) days from the date of execution of Agreement or such other date as may be mutually agreed. If the Consultant fails to either sign the Agreement as

specified in Clause 2.29 or commence the assignment as specified herein, the Authority may invite the L2 ranked Applicant for negotiations. In such an event, the Bid Security of the first ranked Applicant shall be forfeited and appropriated in accordance with the provisions of Clause 2.20.5.

2.31 Proprietary data

Subject to the provisions of Clause 2.23, all documents and other information provided by the Authority or submitted by an Applicant to the Authority shall remain or become the property of the Authority. Applicants and the Consultant, as the case may be, are to treat all information as strictly confidential. The Authority will not return any Proposal or any information related thereto. All information collected, analysed, processed or in whatever manner provided by the Consultant to the Authority in relation to the Consultancy shall be the property of the Authority.

3. CRITERIA FOR EVALUATION

3.1 Evaluation of Technical Proposals

3.1.1 In the first stage, the Technical Proposal will be evaluated on the basis of Basic Eligibility, Applicant's experience, its understanding of TOR, proposed methodology and Work Plan, and the experience of Key Personnel. Only those Applicants whose Technical Proposals get a score of 70 (seventy) marks or more out of 100 (one hundred) shall qualify for further consideration of opening of financial proposals.

3.1.2 Each Key Personnel must score a minimum of 70% (seventy per cent) marks except as provided herein. In case the Selected Applicant has Key Personnel, who scores less than 70% (seventy per cent) marks, it would have to be replaced during negotiations, with a better candidate who, in the opinion of the Authority, would score 70% (seventy per cent) or above.

3.1.3 The scoring criteria to be used for evaluation shall be as follows.

Item Code	Criteria	Marks	Criteria	
1.	Relevant Experience of the Applicant	40	The Applicant shall have similar project experience of preparation of Environmental & Social Safeguards Documents for Solid Waste Management, Environmental Impact Assessment for SWM/ Landfill for any Urban Local Body in India. Two eligible assignments: 20 marks. Each additional assignment will get 5 marks subject to maximum of 4 additional assignments. <i>Note: Applicant Consultant should submit copies of completion certificates along with copies of work orders from respective client as documentary evidence for experience of undertaking similar assignments.</i>	
2.	Proposed Approach, Methodology and Work Plan	20	Evaluation will be based on the quality of submissions, understanding of project requirements and expected project delivery and relevance to terms of reference.	
			i) Project understanding and Comments on TOR.	5
			ii) Work program, Personnel Schedule, Team Structure.	5
			iii) Approach and Methodology and Innovativeness.	10
4.	Relevant Experience of the Key Personnel	30	Educational Qualification	15%
			i) Meets minimum qualification	10%
			ii) Additional relevant	5%

Item Code	Criteria	Marks	Criteria
			qualification or certification or membership
			Number of years of experience
			i) Meets minimum number of years of experience
			ii) Any additional number of years of experience maximum upto 5 years (1% marks for each year)
			Relevant experience
			i) 10% for each relevant assignment, Minimum 2 relevant assignments to be showcased
			ii) Each additional assignment will get 5% (subject to maximum of 4 additional assignment)
4.1	Team Leader cum Safeguard Expert	10	Postgraduate in Environmental Engineering/Science. At least 10 years of relevant experience. Worked as an Environment/EIA Expert on at least two (2) Municipal Solid Waste Management projects anywhere in India.
4.2	Environmental Safeguard Expert	5	Postgraduate in Environmental Planning/Engineering/Science. At least 7 years of relevant experience. Worked as an Environmental Safeguard Expert for at least two (2) Municipal Solid Waste Management projects.
4.3	Social Safeguard Expert	5	Postgraduate in Social Science/Works. At least 7 years of relevant experience. Worked as a Social Safeguard Expert for at least two (2) Municipal Solid Waste Management projects.
4.4	Gender Expert	5	Postgraduate in Social Science/Works. At least 7 years of relevant experience. Worked as a Gender Expert for at least two (2) Municipal Solid Waste Management projects.
4.5	Research Associates (2Nos)	5	Postgraduate in Engineering/ Social Science. At least 3 years of relevant experience in at least two (2) projects.
5.	Presentation	10	Applicant's Understanding of Project Objectives, Approach & Methodology, Organogram showing resource deployment for the Project, Proposed Team Arrangement, Back-office support, In-house facility/technical tie-ups with NABET Accredited Agency/Research Organizations, Work Program and Timelines, Monitoring Plans during Project

Item Code	Criteria	Marks	Criteria
			implementation, Innovative measures, etc

Note: In case of JV or consortium, combined technical experience would be considered.

- 3.1.4 Technical Evaluation: Highest Technical scoring proposal (Tm) shall be given a technical score (St) of 100 Marks. The technical score of the other proposals (To) shall be computed as follows.

$$St = 100 \times \frac{To \text{ (Other Technical proposal)}}{Tm \text{ (Highest Technical proposal)}}$$

- 3.2 To qualify for the opening of financial proposal, the Bidder must get a minimum overall technical score of 70.

3.3 Evaluation of Financial Proposal and QCBS Ranking

- 3.3.1 Following the technical evaluation, the Financial Proposals of the technically qualified bidders (securing St = 70 score and above) will be opened by the evaluation committee. In the second stage, the financial evaluation will be carried out as per this Clause 3.3.

- 3.3.2 For financial evaluation, the total consultancy fee (in terms of percentage of projects cost approved) in the Financial Proposal in Form 2, Appendix II will be considered.

- 3.3.3 The Authority will determine whether the Financial Proposals are complete, unqualified and unconditional. The cost indicated in the Financial Proposal shall be deemed as final and reflecting the total cost of services. Omissions, if any, in costing any item shall not entitle the firm to be compensated and the liability to fulfil its obligations as per the TOR within the total quoted price shall be that of the Consultant.

- 3.3.3.1 As per QCBS, for evaluation purpose the total score is calculated by weighting (80:20) the technical and financial scores and adding them as per the formula/process given below:

(i) The lowest Financial Proposal (Fm) is given the maximum financial score (Sf) of 100.

(ii) The formula for determining the financial scores (Sf) of all other Proposals is calculated as follows:

(iii) $Sf = 100 \times Fm / F$, in which “Sf” is the financial score, “Fm” is the lowest Total Price; and “F” is the Total Price of the proposal under consideration.

(iv) The weights given to the Technical (T) and Financial (P) Proposals are: T = 80%, and P = 20%.

(v) Proposals are ranked according to their combined technical (St) and financial (Sf) scores.

- 3.3.4 The Selected Applicant shall be the highest ranked (H1) Applicant (having the highest evaluated combined score). The next ranked (H2) Applicant shall be kept in reserve and may be invited for negotiations in case the H1 ranked Applicant withdraws, or fails to comply with the requirements specified in Clauses 2.25, 2.29 and 2.30, as the case may be.

4. FRAUD AND CORRUPT PRACTICES

- 4.1 The Applicants and their respective officers, employees, agents and advisers shall observe the highest standard of ethics during the Selection Process. Notwithstanding anything to the contrary contained in this RFP, the Authority shall reject a Proposal without being liable in any manner whatsoever to the Applicant, if it determines that the Applicant has, directly or indirectly or through an agent, engaged in corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice (collectively the “**Prohibited Practices**”) in the Selection Process. In such an event, the Authority shall, without prejudice to its any other rights or remedies, forfeit and appropriate the Bid Security or Performance Security, as the case may be, as mutually agreed genuine pre-estimated compensation and damages payable to the Authority for, *inter alia*, time, cost and effort of the Authority, in regard to the RFP, including consideration and evaluation of such Applicant’s Proposal.
- 4.2 Without prejudice to the rights of the Authority under Clause 4.1 hereinabove and the rights and remedies which the Authority may have under the LOA or the Agreement, if an Applicant or Consultant, as the case may be, is found by the Authority to have directly or indirectly or through an agent, engaged or indulged in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice during the Selection Process, or after the issue of the LOA or the execution of the Agreement, such Applicant or Consultant shall not be eligible to participate in any tender or RFP issued by the Authority during a period of 2 (two) years from the date such Applicant or Consultant, as the case may be, is found by the Authority to have directly or through an agent, engaged or indulged in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice, as the case may be.
- 4.3 For the purposes of this Section, the following terms shall have the meaning hereinafter respectively assigned to them:
- (a) “**corrupt practice**” means (i) the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence the action of any person connected with the Selection Process (for avoidance of doubt, offering of employment to or employing or engaging in any manner whatsoever, directly or indirectly, any official of the Authority who is or has been associated in any manner, directly or indirectly with the Selection Process or the LOA or has dealt with matters concerning the Agreement or arising there from, before or after the execution thereof, at any time prior to the expiry of one year from the date such official resigns or retires from or otherwise ceases to be in the service of the Authority, shall be deemed to constitute influencing the actions of a person connected with the Selection Process); or (ii) save as provided herein, engaging in any manner whatsoever, whether during the Selection Process or after the issue of the LOA or after the execution of the Agreement, as the case may be, any person in respect of any matter relating to the Project or the LOA or the

Agreement, who at any time has been or is a legal, financial or technical consultant/ adviser of the Authority in relation to any matter concerning the Project;

- (b) **“fraudulent practice”** means a misrepresentation or omission of facts or disclosure of incomplete facts, in order to influence the Selection Process;
- (c) **“coercive practice”** means impairing or harming or threatening to impair or harm, directly or indirectly, any persons or property to influence any person’s participation or action in the Selection Process;
- (d) **“undesirable practice”** means (i) establishing contact with any person connected with or employed or engaged by the Authority with the objective of canvassing, lobbying or in any manner influencing or attempting to influence the Selection Process; or (ii) having a Conflict of Interest; and
- (e) **“restrictive practice”** means forming a cartel or arriving at any understanding or arrangement among Applicants with the objective of restricting or manipulating a full and fair competition in the Selection Process.

5. PRE-PROPOSAL CONFERENCE

- 5.1 Pre-Proposal Conference of the Applicants shall be convened at the designated date, time and place. Only those Applicants, who have purchased the RFP document or downloaded the same from the Official Website of the Authority, shall be allowed to participate in the Pre-Proposal Conference. A maximum of two representatives of each Applicant shall be allowed to participate on production of an authority letter from the Applicant.
- 5.2 During the course of Pre-Proposal Conference, the Applicants will be free to seek clarifications and make suggestions for consideration of the Authority. The Authority shall endeavour to provide clarifications and such further information as it may, in its sole discretion, consider appropriate for facilitating a fair, transparent and competitive Selection Process.

6. MISCELLANEOUS

- 6.1 The Selection Process shall be governed by, and construed in accordance with, the laws of India and the Courts in the State in which the Authority has its headquarters shall have exclusive jurisdiction over all disputes arising under, pursuant to and/or in connection with the Selection Process.
- 6.2 The Authority, in its sole discretion and without incurring any obligation or liability, reserves the right, at any time, to:
- (a) suspend and/or cancel the Selection Process and/or amend and/or supplement the Selection Process or modify the dates or other terms and conditions relating thereto;
 - (b) consult with any Applicant in order to receive clarification or further information;
 - (c) retain any information and/or evidence submitted to the Authority by, on behalf of and/or in relation to any Applicant; and/or
 - (d) independently verify, disqualify, reject and/or accept any and all submissions or other information and/or evidence submitted by or on behalf of any Applicant.
- 6.3 It shall be deemed that by submitting the Proposal, the Applicant agrees and releases the Authority, its employees, agents and advisers, irrevocably, unconditionally, fully and finally from any and all liability for claims, losses, damages, costs, expenses or liabilities in any way related to or arising from the exercise of any rights and/or performance of any obligations hereunder, pursuant hereto and/or in connection herewith and waives any and all rights and/or claims it may have in this respect, whether actual or contingent, whether present or future.
- 6.4 All documents and other information supplied by the Authority or submitted by an Applicant shall remain or become, as the case may be, the property of the Authority. The Authority will not return any submissions made hereunder. Applicants are required to treat all such documents and information as strictly confidential.
- 6.5 The Authority reserves the right to make inquiries with any of the clients listed by the Applicants in their previous experience record.

SCHEDULES

SCHEDULE-1
(See Clause 1.1.3)

Consultancy Services for Preparation of Various
Environment & Social Safeguard Documents for “Ujjain
Climate Action - Integrated Solid Waste Management
with Circular Economy” under CITIIS 2.0 (City
Investments to Innovate, Integrate and Sustain) Program,
at Ujjain, Madhya Pradesh - 2nd Call

Terms of Reference (TOR)

Terms of Reference (TOR)

1. Background

Ujjain is an ancient city in the Indian state of Madhya Pradesh, known for its cultural, historical, and religious significance. Ujjain is famous for Shri Mahakaleshwar Jyotirlinga, a Hindu temple dedicated to Shiva and is one of the twelve Jyotirlingas, shrines which are said to be the most sacred abodes of Shiva. It is located in the ancient city of Ujjain in the state of Madhya Pradesh, India. Ujjain is one of the seven sacred cities in Hinduism and is situated on the banks of the Kshipra River where the city hosts the Kumbh Mela (Simhastha) every twelfth year when the Jupiter enters the Leo in the month of Baisakh or April-May. The Kumbh is known to be one of the largest religious congregations on the earth during which pilgrims bathe or take a holy dip in the sacred Shipra River. The city witnessed a footfall of 7.5 crores pilgrims during a month in the last Simhastha-2016 and expects footfall of 12-15 crores during upcoming Simhastha 2028.

Ujjain was selected as one of the 100 smart cities in India under the flagship Smart City Mission (SCM) of Ministry of Housing and Urban Affairs (MoHUA). For implementation of SCM projects the “Ujjain Smart City Limited (USCL)” for constituted as a special purpose vehicle (SPV) in the year 2016 under The Indian Company’s Act 2013. The USCL has executed several projects with a grant of Rs 1,000 Cr since its incorporation including the landmark project of “Shri Mahakal Lok”.

Through a challenge process the Ujjain was also selected as one of the twelve cities for implementation of CITIIS 1.0 (City Investments to Innovate, Integrate and Sustain) under the theme of public open spaces. The USCL has successfully executed all the components under CITIIS 1.0 with a grant of Rs 80 Cr.

The CITIIS 2.0, the second phase of the CITIIS (City Investment to Integrate, Innovate and Sustain) Program, was launched by MoHUA, in collaboration with AFD, KfW, EU, and NIUA to supplement climate initiatives of Govt. of India through its unique model of Circular Economy. Ujjain is one of the 18 cities that are selected under CITIIS 2.0 program. The project aims to promote a circular economy through an integrated solid waste management system for Ujjain, Madhya Pradesh. The system shall address the increasing challenges posed by waste accumulation and its adverse environmental impacts.

As per mandate for CITIIS 2.0, the USCL (the Authority) is required to engage an independent agency for carrying out various studies, documentations, and monitoring of various parameters related to environmental and social safeguards and related issues.

2. Objective of the Assignment

In pursuance of the above, the selected consultant (consulting firm) is being engaged for Preparation of Various Environment & Social Safeguard Documents for “Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy under CITIIS 2.0”.

The Consultant shall perform the activities in accordance with the Terms of Reference (Scope of Services) mentioned in subsequent clause herein and the CITIIS 2.0 Operational Guidelines, Guidelines for Environmental and Social Safeguards and subsequent Advisories released by NIUA/MoHUA in this regard.

3. Scope of Services

The current proposals prepared by Ujjain Smart City Limited (USCL) for “Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy under CITIIS 2.0”, comprises of following components. However, this may subject to change or modified during maturation phase of the CITIIS 2.0 program.

SN	Component	Brief Description
1.	Collection	a. Four-Wheeler CNG Tippers 3.3 cum – 80 Nos b. Three- wheeler CNG Tippers 2.0 Cum – 30 Nos c. Road/Street Sweeping Machines - 1 Big & 1 Small
2.	Transfer Station	a. New Capsules of 20 Cum at Transfer Stations – 12 Nos (6 Nos. at each Transfer Station) b. Upgradation & refurbishment of existing 2 Nos. GTS i.e. Gau Ghat & MR5
3.	Secondary Transfer	a. 6 nos. Truck mounted Hook Loader for 20 cum bin at Transfer Stations (3 nos. at each Transfer Station)
4.	Dry Waste Hub – Material Recovery facility (MRF) & Processing Facility	a. 150 TPD Automated MRF b. 20 TPD Plastic Washing & Processing Plant c. 100 TPD Torrefaction Plant d. Flower, Coconut, Garden & Horticulture Waste Processing Plant e. Allied Infrastructures for Processing Plants
5.	Disposal	a. Sanitary Landfill SLF Size - 136m X 122m
6.	Zero Waste at Mahakal-Lok	a. Development of Zero-waste premise in 500-meter periphery of Mahakal-Lok, Ujjain

Besides above the Ujjain proposal also include IT/ICT Interventions and IEC Activities.

The brief scope of services shall be as under but not limited to:

(i) Generation and Analysis of the Baseline Data:

- (a) Assessment of the present status (baseline data) of Air, Noise, Water, Land Use/Land Cover, Drainage, slope, Topography, DEM (Digital Elevation Model), Hydro Geomorphology and Biological Components of Environment including parameters of Human interest within the project impact area as per

regulatory requirements considering the project site and its surrounding features

- (b) Identification and quantification of significant impacts of the proposed project on various environmental components
 - (c) Further Evaluation of impacts of the project through appropriate EIA methodologies and examination of proposed pollution control and environmental management facilities
 - (d) Preparation of Environmental Management Plan, outlining preventive and control strategies for minimizing the impacts on environment during construction and operation phases in the proposed project site
- (ii) Sampling and Analysis: Generation of Environmental Baseline Data within 10KM radius or more as specified by Competent Authority from the proposed project. The number of stations, total number of samples, list of parameters, sampling period and frequency for each activity for generation of environmental baseline data shall be as per requirement of:

Air Environment

- a) Installation of meteorological station at proposed projects site and collection of meteorological data viz., wind speed & direction, humidity, temperature, cloud cover and rainfall.
- b) Monitoring of existing status of ambient air quality at minimum of 15 locations by using GPS to get accuracy in the project impact area. The sampling frequency and monitoring shall be as ordered by the competent Authority (MOEF/SEIAA).
- c) Identification, quantification and evaluation of other potential emissions if any, within the impact zone.

Noise Environment:

- a) Monitoring of noise levels at Minimum of 15 locations within the study area. The frequency of sampling and monitoring period shall be as directed by the Competent Authority.
- b) Prediction and evaluation of impacts due to rise in noise levels arising out of the proposed project on the surrounding environment.
- c) Recommendations on mitigation measures for noise pollution during construction and operation phases.

Water Environment:

- a) Monitoring of ground and surface water resources within the study area about 15 or more (if ordered by Competent Authority) surface water bodies (depending on the availability) and 15 ground water samples to be collected and analyzed for

various physical, chemical parameters as directed by competent Authority for the proposed Industrial Park.

b) Recommending available advanced technologies for water recycling and reuse for green belt development and other requirements of the project.

c) Assessing the total requirement of power and water for the Project and its sources.

d) Identifying the suitable locations for rainwater harvesting pits/structures.

Biological Environment:

a) Enumeration of aquatic & terrestrial flora and fauna within the project study area for the proposed Industrial Parks. Enumeration of rare and endangered species, sanctuaries, vegetation – species list, economic importance, forest produce, medicinal value etc, water bodies, reserve forests.

b) The impacts on ecology shall be assessed and measures shall be suggested for minimizing impact.

Land Environment:

a) Studies on soil characteristics by collecting soil samples at proposed projects for Analyzing physical-chemical parameters, as per the norms/guidelines of MoEFCC.

b) Estimation of impacts on land use pattern.

Socio –Economic and Health environment

a) Collection of socio-economic data in the project impact area such as infrastructure resource base, economic resource base, health status, cultural and visual attributes etc at the study area

b) Projection of anticipated changes due to the project and delineation of measures to minimize the impacts.

c) Assessment of places of historical/archaeological importance in the project impact area.

d) Assessment of economic benefits to the society and environment

Site Screening, Pre-feasibility Report covering the following issues

- Location
- Site extent
- Topography
- Site suitability and Criteria for selection of proposed site and examination of alternative sites.
- Existing status of site including

- Topography,
- Drainage,
- Geology,
- Hydrogeology and
- Mineral data of the site
- Topographical Surveys (data to be provided by DPR Consultant)
- Geotechnical investigations (data to be provided by DPR Consultant)
- Availability of
 - Water Supply
 - Power supply
 - Wastewater Management system
 - Presence of Allied Social Infrastructure
 - Drainage system
 - Approach roads
- Land use/ Land cover
- Environmental Aspects such as
 - Presence of environment sensitive zones
 - Corrosive impact
 - Presence of higher pollution areas nearby,
 - Other hindrances such as coal belt passing through site, (if applicable) etc.
- Natural hazards and disaster Management plan
- Meteorology, Terrestrial environment, marine (if applicable)
- Socio Economic conditions
- Land use and land cover study within 10 Km radius or as specified by Competent Authority
- Traffic impact assessment
- Estimation of infrastructure requirements–Basic, Environmental and Social infrastructure
- EIA study and EMP for obtaining Environmental Clearance (EC)
- Social Impact Assessment, Resettlement and Rehabilitation (R&R) action plan
- Detailed hydrological and hydro geological surveys

- The cost and benefit analysis (Project Benefits and Social Impact Assessment) of the project area
- (iii) respective project as well as by authority. Following standard requirement of scope:-
- (iv) The Consultant will assess and do the process of Environmental Clearance i.e. for Common Municipal Solid Waste Treatment, Storage and Disposal Facilities [Schedule 7(i)].
- (v) The Consultant shall prepare Screening Reports and other requirement as per Table 3 and its Annexures i.e. Annexure 1, Annexure 2 & Annexure 3 mentioned in CITIIS 2.0 Guidelines for Environmental and Social Safeguards.
- (vi) The Consultant shall conduct Environmental & Social Impact Assessment studies, and prepare Reports on Environment & social Safeguard Assessment, Stakeholder Engagement Plan, Gender Action Plan, Sexual Exploitation and Abuse/ Sexual Harassment Prevention and Response Action Plan, Environment & Social Screening and Monitoring in accordance with The World Bank Standards and National Guideline i.e. (CITIIS 2.0 Guidelines for Environmental and Social Safeguards).
- (vii) The Consultant shall arrange the required analytical and monitoring machines and equipment required for analysis at different stages of the project and no additional cost will be paid by USCL for the activity. All the samples shall be collected as per NABL & CPHEEO norms, and all analysis reports will be prepared accordingly.
- (viii) The Consultant shall All Clearance, Approval, Review and Validation of Documentation of Ujjain under CITIIS 2.0 (CITIIS 2.0 Guidelines for Environmental and Social Safeguards) i.e. Environmental Clearance for Landfill and Treatment Facilities, Consent to Establish and Consent to operate under Water and Air Act from the State Pollution Control Board/Central Pollution Control Board, Other Clearances, NOCs required for Environmental Clearance.

4. Teaming Arrangement

The Consultant shall deploy a project team comprising of Team leader and Ke-Experts, as under:

SNo	Position	Qualification/Experience Requirement
1	Team Leader cum Safeguard Expert	Postgraduate in Environmental Engineering/Science. At least 10 years of relevant experience. Worked as an Environment/EIA Expert on at least two (2) Municipal Solid Waste Management projects anywhere in India.
2	Environmental Safeguard Expert	Postgraduate in Environmental Planning/ Engineering/Science. At least 7 years of relevant experience. Worked as an Environmental Safeguard Expert for at least two (2) Municipal Solid Waste Management projects.

3	Social Safeguard Expert	Postgraduate in Social Science/Works. At least 7 years of relevant experience. Worked as a Social Safeguard Expert for at least two (2) Municipal Solid Waste Management projects.
4	Gender Expert	Postgraduate in Social Science/Works. At least 7 years of relevant experience. Worked as a Gender Expert for at least two (2) Municipal Solid Waste Management projects.
5	Research Associates (2Nos)	Postgraduate in Engineering/ Social Science. At least 3 years of relevant experience in at least two (2) projects.

Note:

1. The consultant will mobilize adequate support staff as per the project requirement, at his own cost
2. Under normal circumstances, all key personnel are to be deployed at project office location to be based at Ujjain as per project requirements.

5. Project Deliverables

The Consultant shall submit following outputs and deliverables and as agreed with the Authority from time-to-time. An indicative list of outputs is as follows:

SNo	Task	Scope of Work/ deliverables	Timeline	Payment terms (% of Contract Amount)
1.	T1: E&S Screening	<ul style="list-style-type: none"> Develop Environment & Social Management Framework (ESMF) Conduct site visits and assessments Screen and categorize sub-projects (WB & national criteria) Identify potential E&S issues under national laws and WB ESS. Submission of E&S screening Report 	1 Month From Contract Commencement Date	10%
2.	T2: Environment & Social Impact Assessment (ESIA)	<ul style="list-style-type: none"> Define purpose, project & proponent Describe nature, size, location (maps, layouts), need for and importance of project Detail study scope, methodology, data sources (surveys, field investigations) Provide condensed project description: technology, processes, schedule, feasibility drawings Establish baseline (physical, biological, socio-economic); map valued components Assess anticipated impacts (construction, operation, decommissioning) Propose mitigation & residual impact analysis; irreversible/irretrievable commitments Analyse alternatives (site/technology) and select preferred option 	2 Month After T1	10%

Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for "Ujjain 47 Climate Action - Integrated Solid Waste Management with Circular Economy" under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

Schedule-1: Terms of Reference

		<ul style="list-style-type: none"> Ensure compliance with WB ESS & EIA-2006 Notification 		
3.	T3: Baseline Study & Report (Environmental, Social and other Parameters)	<ul style="list-style-type: none"> Update and reconfirm baseline data for all environmental, social and institutional parameters Incorporate results from recent field studies, lab analyses and stakeholder inputs Produce comprehensive baseline report with maps, tables and charts Obtaining TOR approval from competent authority MoEFCC/SEIAA/SEAC. 	4 Month Parallel to T2	10%
4.	T4: Environment & Social Management Plan (ESMP)	<ul style="list-style-type: none"> Draft ESMP as per WB ESS & national norms Develop Stakeholder Engagement Plan (SEP), Gender Action Plan (GAP), Grievance Mechanism & Committee (GRC) Prepare SEA/SH Prevention & Response Plan Conduct a pre-gender analysis to identify Sub-projects with gender risks or high gender potential. Valorise gender aspects in the project ranking table for sub-project selection Formulate Waste Pickers Integration Plan (WIP) Emergency Preparedness & EHS Plans If required Design RAP/LRP for affected persons (incl. waste-pickers), ensuring $\geq 30\%$ women participation in consultations 	6 Month Parallel to T2	10%
5.	T5: Prior Environmental Clearance (EC) Requirements	<ul style="list-style-type: none"> Review applicability under EIA-2006 Notification (Category A/B) Prepare EC application and supporting studies Obtain Consent to Establish/Operate under Water & Air Acts Secure other NOCs (forest, heritage, etc.) as per site conditions Liaise with MoEFCC/SEIAA until EC is granted 	4 Month Parallel to T2	10%
6.	T6: Monitoring Plan Design	<ul style="list-style-type: none"> Define technical protocols for monitoring mitigation measures Specify parameters, methods, frequency, locations Develop data analysis, reporting schedule, emergency procedures Prepare detailed budget, procurement plan and institutional responsibilities. Environment Monitoring Air, Water, Noise Soil etc. 	4 Month Parallel to T2	10%
7.	T7: E&S Commitment Plan (ESCP)	<ul style="list-style-type: none"> Consolidated E&S monitoring reports on the implementation and compliance with E&S Commitment Plan (ESCP) will be based on contractors and SPVs monitoring reports, available data, 	After preparation of all asked reports/Plans as per E&S	10%

Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for "Ujjain 48 Climate Action - Integrated Solid Waste Management with Circular Economy" under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

		sample site visits, consultations with different stakeholders, etc based on the content defined in the ESMF	Safeguard guidelines mentioned	
8.	T8: Approval on safeguard documents prepared by the SPV	<ul style="list-style-type: none"> Obtain AFD approval on safeguard documents prepared by the SPV: All screening at selection phase, to ensure respect of exclusion criteria, All RAP/LRP, ESIA/ ESMP and additional plans for sub- projects with main E&S risks and impacts (only Substantial category sub-projects) 	After preparation of all asked reports/Plans as per E&S Safeguard guidelines mentioned	10%
9.	T9: Monitoring During Project Implementation		24 Month During Project Implementation	20 % in equated instalments

Note: All tasks and deliverables under CITIIS 2.0 must strictly follow the CITIIS 2.0 Guidelines for Environmental and Social Safeguards, CITIIS 2.0 Operational Guidelines, relevant Guidance Notes and The World Bank standards.

6. General Instructions to the Consultant:

- (i) All the surveys, sampling, testing and monitoring charges (including the laboratory charges), reports productions, logistical costs and assignment related incidental expenses shall be borne by the Consultant and included in the Consultancy Fee for the assignment.
- (ii) Environmental Clearance Costing: The Consultant shall indicate the cost of obtaining Environmental Clearance (EC) as per project requirements.
- (iii) Expert Engagement: In addition to having NABET-approved consultants, the agency may engage other sectoral experts as needed during project execution.
- (iv) Any further changes made by USCL/NIUA/MoHUA in the project components shall be incorporated during the assignment.
- (v) Applicable charges for application to the CPCB/MPPCB/SEIAA/SEAC/MoEFCC shall be borne by USCL for any clearances like Environmental Clearance, NOC from PCB, wildlife clearance, and forest clearance, if necessary, needs to be obtained. Such application charges/fees shall be first paid by the Consultant and shall be reimbursed by USCL to the Consultant on an actual basis through the provisional sum.
- (vi) Consultant to ensure availability of the resources during the contract period.
- (vii) USCL shall have right to pre-close/premature closure as per the requirements of consultants within the Project duration.
- (viii) The Consultant shall back-up and hand-over data along with each milestone. All the documents shall be submitted in original editable format and portable formats (PDF). All the data and report created under this assignment shall be the property of the Authority and shall be handed over to the Authority on completion of the project. Each stage deliverables will be submitted in hard copies (five sets) and in soft copy to Ujjain Smart City Limited.

7. Payment to Consultant

Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for "Ujjain 49 Climate Action - Integrated Solid Waste Management with Circular Economy" under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

The consultant shall quote his fees as Lumpsum cost under the Competitive Component of Financial Proposal, which shall include all expenses, taxes and duties (except GST which will be paid over and above the fees quoted by the consultant as per the rates prescribed by Government).

Provisional Sum: The Provisional Sum included and so designated in the Financial Proposal (under Non-Competitive Component) shall be expended in whole or in part at the direction and discretion of the Authority/ Engineer- in- Charge in accordance with the Conditions of Contract. It will be used by the Authority/Engineer in Charge for third party payments like application charges/fees for obtaining statutory clearances from CPCB/MPPCB SEIAA/SEAC/MoEFCC or similar authority. It will be first paid by the contractor and shall be reimbursed in actuals by USCL.

8. Project duration

The duration of assignment is **36 months (i.e., 3 years)**. The Authority may provide multiple extensions to the Consultant on the same terms and conditions under original agreement.

9. Project Office

The Consultant would be required to setup project office at Ujjain for the duration of the assignment and shall appoint a full time Project Coordinator for entire duration of the assignment

10. Reporting Structure

The Consultant shall report to Chief Executive Officer, USCL or a person designated by him. The Consultant would be provided discussions space at USCL office for the duration of the assignment.

11. Role and Facilitation to be provided by Ujjain Smart City Ltd:

- a) Designated Nodal Officer/Project-Coordinator from CITIIS of USCL team to co-ordinate with the Consultant for matters related to the Project.
- b) Designated Engineer-in-charge during project implementation phase for different project components.
- c) Review of deliverables by existing Project Development & Management Consultants (PDMC) in coordination with Project DPR Consultants and USCL-CITIIS team
- d) Review of deliverables by experts (domestic/international) mobilised by NIUA for CITIIS 2.0 during project maturation and implementation phase.

SCHEDULE-2
(See Clause 2.1.3)

CONTRACT FOR CONSULTANT'S SERVICES

Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for "Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy" under CITHS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

Contract No. _____

between

Ujjain Smart City Limited

and

[Name of the Consultant]

Dated: _____

Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for "Ujjain 52 Climate Action - Integrated Solid Waste Management with Circular Economy" under CITHS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

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- Annex-7: Bank Guarantee for Performance Security

AGREEMENT

This AGREEMENT (hereinafter called the “**Agreement**”) is made on the day of the month of 2025, between, on the one hand, the [President of India acting through] (hereinafter called the “**Authority**” which expression shall include their respective successors and permitted assigns, unless the context otherwise requires) and, on the other hand, (hereinafter called the “**Consultant**” which expression shall include their respective successors and permitted assigns).

WHEREAS

- (A) The Authority vide its Request for Proposal for Appointment of Consultant for **Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for “Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy” under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call** (hereinafter called the “**Consultancy**”) for the Ujjain Smart City Limited (hereinafter called the “**Project**”);
- (B) the Consultant submitted its proposals for the aforesaid work, whereby the Consultant represented to the Authority that it had the required professional skills, and in the said proposals the Consultant also agreed to provide the Services to the Authority on the terms and conditions as set forth in the RFP and this Agreement; and
- (C) the Authority, on acceptance of the aforesaid proposals of the Consultant, awarded the Consultancy to the Consultant vide its Letter of Award dated (the “**LOA**”); and
- (D) in pursuance of the LOA, the parties have agreed to enter into this Agreement.

NOW, THEREFORE, the parties hereto hereby agree as follows:

1. GENERAL

1.1 Definitions and Interpretation

- 1.1.1 The words and expressions beginning with capital letters and defined in this Agreement shall, unless the context otherwise requires, have the meaning hereinafter respectively assigned to them:
 - (a) “**Additional Costs**” shall have the meaning set forth in Clause 6.1.2;
 - (b) “**Agreement**” means this Agreement, together with all the Annexes;
 - (c) “**Agreement Value**” shall have the meaning set forth in Clause 6.1.2;

Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for “Ujjain 55 Climate Action - Integrated Solid Waste Management with Circular Economy” under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

- (d) **“Applicable Laws”** means the laws and any other instruments having the force of law in India as they may be issued and in force from time to time;
- (e) **“Confidential Information”** shall have the meaning set forth in Clause 3.3;
- (f) **“Conflict of Interest”** shall have the meaning set forth in Clause 3.2 read with the provisions of RFP;
- (g) **“Dispute”** shall have the meaning set forth in Clause 9.2.1;
- (h) **“Effective Date”** means the date on which this Agreement comes into force and effect pursuant to Clause 2.1;
- (i) **“Expatriate Personnel”** means such persons who at the time of being so hired had their domicile outside India;
- (j) **“ED”** means Executive Director, USCL
- (k) **“Government”** means the Government of M.P.
- (l) **“INR, Re. or Rs.”** means Indian Rupees;
- (l) **“Member”**, in case the Consultant consists of a joint venture or consortium of more than one entity, means any of these entities, and **“Members”** means all of these entities;
- (m) **“Party”** means the Authority or the Consultant, as the case may be, and Parties means both of them;
- (n) **“Personnel”** means persons hired by the Consultant or by any Sub-Consultant as employees and assigned to the performance of the Services or any part thereof;
- (o) **“Resident Personnel”** means such persons who at the time of being so hired had their domicile inside India;
- (p) **“RFP”** means the Request for Proposal document in response to which the Consultant’s proposal for providing Services was accepted;
- (q) **“Services”** means the work to be performed by the Consultant pursuant to this Agreement, as described in the Terms of Reference hereto;
- (r) **“Sub-Consultant”** means any entity to which the Consultant subcontracts any part of the Services in accordance with the provisions of Clause 4.7; and
- (s) **“Third Party”** means any person or entity other than the Government, the Authority, the Consultant or a Sub-Consultant.

All terms and words not defined herein shall, unless the context otherwise requires, have the meaning assigned to them in the RFP.

1.1.2 The following documents along with all addenda issued thereto shall be deemed to form and be read and construed as integral parts of this Agreement and in case of any contradiction between or among them the priority in which a document would prevail over another would be as laid down below beginning from the highest priority to the lowest priority:

- (a) Agreement;
- (b) Annexes of Agreement;
- (c) RFP; and
- (d) Letter of Award.

1.2 Relation between the Parties

Nothing contained herein shall be construed as establishing a relation of master and servant or of agent and principal as between the Authority and the Consultant. The Consultant shall, subject to this Agreement, have complete charge of Personnel performing the Services and shall be fully responsible for the Services performed by them or on their behalf hereunder.

1.3 Rights and obligations

The mutual rights and obligations of the Authority and the Consultant shall be as set forth in the Agreement, in particular:

- (a) the Consultant shall carry out the Services in accordance with the provisions of the Agreement; and
- (b) the Authority shall make payments to the Consultant in accordance with the provisions of the Agreement.

1.4 Governing law and jurisdiction

This Agreement shall be construed and interpreted in accordance with and governed by the laws of India, and the courts in the State in which the Authority has its headquarters shall have exclusive jurisdiction over matters arising out of or relating to this Agreement.

1.5 Language

All notices required to be given by one Party to the other Party and all other communications, documentation and proceedings which are in any way relevant to this Agreement shall be in writing and in English language.

1.6 Table of contents and headings

The table of contents, headings or sub-headings in this Agreement are for convenience of reference only and shall not be used in, and shall not affect, the construction or interpretation of this Agreement.

1.7 Notices

Any notice or other communication to be given by any Party to the other Party under or in connection with the matters contemplated by this Agreement shall be in writing and shall:

- (a) in the case of the Consultant, be given by e-mail and by letter delivered by hand to the address given and marked for attention of the Consultant's Representative set out below in Clause 1.10 or to such other person as the Consultant may from time to time designate by notice to the Authority; provided that notices or other communications to be given to an address outside the city specified in Sub-clause (b) below may, if they are subsequently confirmed by sending a copy thereof by registered acknowledgement due, air mail or by courier, be sent by e-mail to the number as the Consultant may from time to time specify by notice to the Authority;
- (b) in the case of the Authority, be given by e-mail and by letter delivered by hand and be addressed to the Authority with a copy delivered to the Authority Representative set out below in Clause 1.10 or to such other person as the Authority may from time to time designate by notice to the Consultant; provided that if the Consultant does not have an office in the same city as the Authority's office, it may send such notice by e-mail and by registered acknowledgement due, air mail or by courier; and
- (c) any notice or communication by a Party to the other Party, given in accordance herewith, shall be deemed to have been delivered when in the normal course of post it ought to have been delivered and in all other cases, it shall be deemed to have been delivered on the actual date and time of delivery; provided that in the case of e-mail, it shall be deemed to have been delivered on the working days following the date of its delivery.

1.8 Location

The Services shall be performed at the site of the Project in accordance with the provisions of RFP and at such locations as are incidental thereto, including the offices of the Consultant.

1.9 Authority of Member-in-charge

In case the Consultant consists of a consortium of more than one entity, the Parties agree that the Lead Member shall act on behalf of the Members in exercising all the Consultant's rights and obligations towards the Authority under this Agreement, including without limitation the receiving of instructions and payments from the Authority.

1.10 Authorised Representatives

1.10.1 Any action required or permitted to be taken, and any document required or permitted to be executed, under this Agreement by the Authority or the Consultant, as the case may be, may be taken or executed by the officials specified in this Clause 1.10.

1.10.2 The Authority may, from time to time, designate one of its officials as the Authority Representative. Unless otherwise notified, the Authority Representative shall be:

.....

.....

Tel:

Mobile:

Email:

1.10.3 The Consultant may designate one of its employees as Consultant's Representative. Unless otherwise notified, the Consultant's Representative shall be:

.....

.....

Tel:

Mobile:

Email:

1.11 Taxes and duties

Unless otherwise specified in the Agreement, the Consultant shall pay all such taxes, duties, fees and other impositions as may be levied under the Applicable Laws and the Authority shall perform such duties in regard to the deduction of such taxes as may be lawfully imposed on it.

2. COMMENCEMENT, COMPLETION AND TERMINATION OF AGREEMENT

2.1 Effectiveness of Agreement

This Agreement shall come into force and effect on the date of this Agreement (the "Effective Date").

2.2 Commencement of Services

The Consultant shall commence the Services within a period of 14 (fourteen) days from the Effective Date, unless otherwise agreed by the Parties.

2.3 Termination of Agreement for failure to commence Services

If the Consultant does not commence the Services within the period specified in Clause 2.2 above, the Authority may, by not less than 2 (two) weeks' notice to the Consultant, declare this Agreement to be null and void, and in the event of such a declaration, the Bid Security of the Consultant shall stand forfeited.

2.4 Expiry of Agreement

Unless terminated earlier pursuant to Clauses 2.3 or 2.9 hereof, this Agreement shall, unless extended by the Parties by mutual consent, expire upon the earlier of (i) expiry of a period of 90 (ninety) days after the delivery of the final deliverable to the Authority; and (ii) the expiry of [1 (one) year] from the Effective Date. Upon Termination, the Authority shall make payments of all amounts due to the Consultant hereunder.

2.5 Entire Agreement

2.5.1 This Agreement and the Annexes together constitute a complete and exclusive statement of the terms of the agreement between the Parties on the subject hereof, and no amendment or modification hereto shall be valid and effective unless such modification or amendment is agreed to in writing by the Parties and duly executed by persons especially empowered in this behalf by the respective Parties. All prior written or oral understandings, offers or other communications of every kind pertaining to this Agreement are abrogated and withdrawn; provided, however, that the obligations of the Consultant arising out of the provisions of the RFP shall continue to subsist and shall be deemed to form part of this Agreement.

2.5.2 Without prejudice to the generality of the provisions of Clause 2.5.1, on matters not covered by this Agreement, the provisions of RFP shall apply.

2.6 Modification of Agreement

Modification of the terms and conditions of this Agreement, including any modification of the scope of the Services, may only be made by written agreement between the Parties. Pursuant to Clauses 4.2.3 and 6.1.3 hereof, however, each Party shall give due consideration to any proposals for modification made by the other Party.

2.7 Force Majeure

2.7.1 Definition

(a) For the purposes of this Agreement, “**Force Majeure**” means an event which is beyond the reasonable control of a Party, and which makes a Party's performance of its obligations hereunder impossible or so impractical as reasonably to be considered impossible in the

circumstances, and includes, but is not limited to, war, riots, civil disorder, earthquake, fire, explosion, storm, flood or other adverse weather conditions, strikes, lockouts or other industrial action (except where such strikes, lockouts or other industrial action are within the power of the Party invoking Force Majeure to prevent), confiscation or any other action by government agencies.

- (b) Force Majeure shall not include (i) any event which is caused by the negligence or intentional action of a Party or such Party's Sub-Consultant or agents or employees, nor (ii) any event which a diligent Party could reasonably have been expected to both (A) take into account at the time of the conclusion of this Agreement, and (B) avoid or overcome in the carrying out of its obligations hereunder.
- (c) Force Majeure shall not include insufficiency of funds or failure to make any payment required hereunder.

2.7.2 No breach of Agreement

The failure of a Party to fulfil any of its obligations hereunder shall not be considered to be a breach of, or default under, this Agreement insofar as such inability arises from an event of Force Majeure, provided that the Party affected by such an event has taken all reasonable precautions, due care and reasonable alternative measures, all with the objective of carrying out the terms and conditions of this Agreement.

2.7.3 Measures to be taken

- (a) A Party affected by an event of Force Majeure shall take all reasonable measures to remove such Party's inability to fulfil its obligations hereunder with a minimum of delay.
- (b) A Party affected by an event of Force Majeure shall notify the other Party of such event as soon as possible, and in any event not later than 14 (fourteen) days following the occurrence of such event, providing evidence of the nature and cause of such event, and shall similarly give notice of the restoration of normal conditions as soon as possible.
- (c) The Parties shall take all reasonable measures to minimise the consequences of any event of Force Majeure.

2.7.4 Extension of time

Any period within which a Party shall, pursuant to this Agreement, complete any action or task, shall be extended for a period equal to the time during which such Party was unable to perform such action as a result of Force Majeure.

2.7.5 Payments

During the period of its inability to perform the Services as a result of an event of Force Majeure, the Consultant shall be entitled to be get extension of time without cost consideration.

2.7.6 Consultation

Not later than 30 (thirty) days after the Consultant has, as the result of an event of Force Majeure, become unable to perform a material portion of the Services, the Parties shall consult with each other with a view to agreeing on appropriate measures to be taken in the circumstances.

2.8 Suspension of Agreement

The Authority may, by written notice of suspension to the Consultant, suspend all payments to the Consultant hereunder if the Consultant shall be in breach of this Agreement or shall fail to perform any of its obligations under this Agreement, including the carrying out of the Services; provided that such notice of suspension (i) shall specify the nature of the breach or failure, and (ii) shall provide an opportunity to the Consultant to remedy such breach or failure within a period not exceeding 30 (thirty) days after receipt by the Consultant of such notice of suspension.

2.9 Termination of Agreement

2.9.1 By the Authority

The Authority may, by not less than 30 (thirty) days' written notice of termination to the Consultant, such notice to be given after the occurrence of any of the events specified in this Clause 2.9.1, terminate this Agreement if:

- (a) the Consultant fails to remedy any breach hereof or any failure in the performance of its obligations hereunder, as specified in a notice of suspension pursuant to Clause 2.8 hereinabove, within 30 (thirty) days of receipt of such notice of suspension or within such further period as the Authority may have subsequently granted in writing;
- (b) the Consultant becomes insolvent or bankrupt or enters into any agreement with its creditors for relief of debt or take advantage of any law for the benefit of debtors or goes into liquidation or receivership whether compulsory or voluntary;
- (c) the Consultant fails to comply with any final decision reached as a result of arbitration proceedings pursuant to Clause 9 hereof;
- (d) the Consultant submits to the Authority a statement which has a material effect on the rights, obligations or interests of the Authority and which the Consultant knows to be false;
- (e) any document, information, data or statement submitted by the Consultant in its Proposals, based on which the Consultant was

considered eligible or successful, is found to be false, incorrect or misleading;

- (f) as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than 60 (sixty) days; or
- (g) the Authority, in its sole discretion and for any reason whatsoever, decides to terminate this Agreement.

2.9.2 By the Consultant

The Consultant may, by not less than 30 (thirty) days' written notice to the Authority, such notice to be given after the occurrence of any of the events specified in this Clause 2.9.2, terminate this Agreement if:

- (a) the Authority fails to pay any money due to the Consultant pursuant to this Agreement and not subject to dispute pursuant to Clause 9 hereof within 45 (forty five) days after receiving written notice from the Consultant that such payment is overdue;
- (b) the Authority is in material breach of its obligations pursuant to this Agreement and has not remedied the same within 45 (forty five) days (or such longer period as the Consultant may have subsequently granted in writing) following the receipt by the Authority of the Consultant's notice specifying such breach;
- (c) as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than 60 (sixty) days; or
- (d) the Authority fails to comply with any final decision reached as a result of arbitration pursuant to Clause 9 hereof.

2.9.3 Cessation of rights and obligations

Upon termination of this Agreement pursuant to Clauses 2.3 or 2.9 hereof, or upon expiration of this Agreement pursuant to Clause 2.4 hereof, all rights and obligations of the Parties hereunder shall cease, except (i) such rights and obligations as may have accrued on the date of termination or expiration, or which expressly survive such Termination; (ii) the obligation of confidentiality set forth in Clause 3.3 hereof; (iii) the Consultant's obligation to permit inspection, copying and auditing of such of its accounts and records set forth in Clause 3.6, as relate to the Consultant's Services provided under this Agreement; and (iv) any right or remedy which a Party may have under this Agreement or the Applicable Law.

2.9.4 Cessation of Services

Upon termination of this Agreement by notice of either Party to the other pursuant to Clauses 2.9.1 or 2.9.2 hereof, the Consultant shall, immediately

upon dispatch or receipt of such notice, take all necessary steps to bring the Services to a close in a prompt and orderly manner and shall make every reasonable effort to keep expenditures for this purpose to a minimum. With respect to documents prepared by the Consultant and equipment and materials furnished by the Authority, the Consultant shall proceed as provided respectively by Clauses 3.9 or 3.10 hereof.

2.9.5 Payment upon Termination

Upon termination of this Agreement pursuant to Clauses 2.9.1 or 2.9.2 hereof, the Authority shall make the following payments to the Consultant (after offsetting against these payments any amount that may be due from the Consultant to the Authority):

- (i) reimbursement of any reasonable cost incidental to the prompt and orderly termination of the Agreement including the cost of the return travel of the Consultant's personnel.

2.9.6 Disputes about Events of Termination

If either Party disputes whether an event specified in Clause 2.9.1 or in Clause 2.9.2 hereof has occurred, such Party may, within 30 (thirty) days after receipt of notice of termination from the other Party, refer the matter to arbitration pursuant to Clause 9 hereof, and this Agreement shall not be terminated on account of such event except in accordance with the terms of any resulting arbitral award.

3. OBLIGATIONS OF THE CONSULTANT

3.1 General

3.1.1 Standards of Performance

The Consultant shall perform the Services and carry out its obligations hereunder with all due diligence, efficiency and economy, in accordance with generally accepted professional techniques and practices, and shall observe sound management practices, and employ appropriate advanced technology and safe and effective equipment, machinery, materials and methods. The Consultant shall always act, in respect of any matter relating to this Agreement or to the Services, as a faithful adviser to the Authority, and shall at all times support and safeguard the Authority's legitimate interests in any dealings with Sub-Consultants or Third Parties.

3.1.2 Terms of Reference

The scope of services to be performed by the Consultant is specified in the Terms of Reference (the “**TOR**”) at Annex-1 of this Agreement. The Consultant shall provide the Deliverables specified therein in conformity with the time schedule stated therein.

3.1.3 Applicable Laws

The Consultant shall perform the Services in accordance with the Applicable Laws and shall take all practicable steps to ensure that any Sub-Consultant, as well as the Personnel and agents of the Consultant and any Sub-Consultant, comply with the Applicable Laws.

3.2 Conflict of Interest

3.2.1 The Consultant shall not have a Conflict of Interest and any breach hereof shall constitute a breach of the Agreement.

3.2.2 Consultant and Affiliates not to be otherwise interested in the Project

The Consultant agrees that, during the term of this Agreement and after its termination, the Consultant or any Associate thereof and any entity affiliated with the Consultant, as well as any Sub-Consultant and any entity affiliated with such Sub-Consultant, shall be disqualified from providing goods, works, services, loans or equity for any project resulting from or closely related to the Services and any breach of this obligation shall amount to a Conflict of Interest; provided that the restriction herein shall not apply after a period of five years from the completion of this assignment or to consulting assignments granted by banks/ lenders at any time; provided further that this restriction shall not apply to consultancy/ advisory services provided to the Authority in continuation of this Consultancy or to any subsequent consultancy/ advisory services provided to the Authority in accordance with the rules of the Authority. For the avoidance of doubt, an entity affiliated with the Consultant shall include a partner in the Consultant's firm or a person who holds more than 5% (five per cent) of the subscribed and paid up share capital of the Consultant, as the case may be, and any Associate thereof.

3.2.3 Prohibition of conflicting activities

Neither the Consultant nor its Sub-Consultant nor the Personnel of either of them shall engage, either directly or indirectly, in any of the following activities:

- (a) during the term of this Agreement, any business or professional activities which would conflict with the activities assigned to them under this Agreement;
- (b) after the termination of this Agreement, such other activities as may be specified in the Agreement; or
- (c) at any time, such other activities as have been specified in the RFP as Conflict of Interest.

3.2.4 Consultant not to benefit from commissions, discounts, etc.

The remuneration of the Consultant pursuant to Clause 6 hereof shall constitute the Consultant's sole remuneration in connection with this

Agreement or the Services and the Consultant shall not accept for its own benefit any trade commission, discount or similar payment in connection with activities pursuant to this Agreement or to the Services or in the discharge of its obligations hereunder, and the Consultant shall use its best efforts to ensure that any Sub-Consultant, as well as the Personnel and agents of either of them, similarly shall not receive any such additional remuneration.

- 3.2.5 The Consultant and its Personnel shall observe the highest standards of ethics and shall not have engaged in and shall not hereafter engage in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice (collectively the “**Prohibited Practices**”). Notwithstanding anything to the contrary contained in this Agreement, the Authority shall be entitled to terminate this Agreement forthwith by a communication in writing to the Consultant, without being liable in any manner whatsoever to the Consultant, if it determines that the Consultant has, directly or indirectly or through an agent, engaged in any Prohibited Practices in the Selection Process or before or after entering into of this Agreement. In such an event, the Authority shall forfeit and appropriate the performance security, if any, as mutually agreed genuine pre-estimated compensation and damages payable to the Authority towards, *inter alia*, the time, cost and effort of the Authority, without prejudice to the Authority’s any other rights or remedy hereunder or in law.
- 3.2.6 Without prejudice to the rights of the Authority under Clause 3.2.5 above and the other rights and remedies which the Authority may have under this Agreement, if the Consultant is found by the Authority to have directly or indirectly or through an agent, engaged or indulged in any Prohibited Practices, during the Selection Process or before or after the execution of this Agreement, the Consultant shall not be eligible to participate in any tender or RFP issued during a period of 2 (two) years from the date the Consultant is found by the Authority to have directly or indirectly or through an agent, engaged or indulged in any Prohibited Practices.
- 3.2.7 For the purposes of Clauses 3.2.5 and 3.2.6, the following terms shall have the meaning hereinafter respectively assigned to them:
- (a) “**corrupt practice**” means (i) the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence the actions of any person connected with the Selection Process (for removal of doubt, offering of employment or employing or engaging in any manner whatsoever, directly or indirectly, any official of the Authority who is or has been associated in any manner, directly or indirectly with Selection Process or LOA or dealing with matters concerning the Agreement before or after the execution thereof, at any time prior to the expiry of one year from the date such official resigns or retires from or otherwise ceases to be in the service of the Authority, shall be deemed to constitute influencing the actions of a person connected with the Selection Process); or (ii) engaging in any manner whatsoever, whether during the Selection Process or after the issue of LOA or after the execution of the Agreement, as the case may be, any

person in respect of any matter relating to the Project or the LOA or the Agreement, who at any time has been or is a legal, financial or technical adviser the Authority in relation to any matter concerning the Project;

- (b) **“fraudulent practice”** means a misrepresentation or omission of facts or suppression of facts or disclosure of incomplete facts, in order to influence the Selection Process;
- (c) **“coercive practice”** means impairing or harming, or threatening to impair or harm, directly or indirectly, any person or property to influence any person’s participation or action in the Selection Process or the exercise of its rights or performance of its obligations by the Authority under this Agreement;
- (d) **“undesirable practice”** means (i) establishing contact with any person connected with or employed or engaged by the Authority with the objective of canvassing, lobbying or in any manner influencing or attempting to influence the Selection Process; or (ii) having a Conflict of Interest; and
- (e) **“restrictive practice”** means forming a cartel or arriving at any understanding or arrangement among Applicants with the objective of restricting or manipulating a full and fair competition in the Selection Process.

3.3 Confidentiality

The Consultant, its Sub-Consultants and the Personnel of either of them shall not, either during the term or within two years after the expiration or termination of this Agreement disclose any proprietary information, including information relating to reports, data, drawings, design software or other material, whether written or oral, in electronic or magnetic format, and the contents thereof; and any reports, digests or summaries created or derived from any of the foregoing that is provided by the Authority to the Consultant, its Sub-Consultants and the Personnel; any information provided by or relating to the Authority, its technology, technical processes, business affairs or finances or any information relating to the Authority’s employees, officers or other professionals or suppliers, customers, or contractors of the Authority; and any other information which the Consultant is under an obligation to keep confidential in relation to the Project, the Services or this Agreement (**“Confidential Information”**), without the prior written consent of the Authority.

Notwithstanding the aforesaid, the Consultant, its Sub-Consultants and the Personnel of either of them may disclose Confidential Information to the extent that such Confidential Information:

- (i) was in the public domain prior to its delivery to the Consultant, its Sub-Consultants and the Personnel of either of them or becomes a part of the public knowledge from a source other than the Consultant, its Sub-

Consultants and the Personnel of either of them;

- (ii) was obtained from a third party with no known duty to maintain its confidentiality;
- (iii) is required to be disclosed by Applicable Laws or judicial or administrative or arbitral process or by any governmental instrumentalities, provided that for any such disclosure, the Consultant, its Sub-Consultants and the Personnel of either of them shall give the Authority, prompt written notice, and use reasonable efforts to ensure that such disclosure is accorded confidential treatment; and
- (iv) is provided to the professional advisers, agents, auditors or representatives of the Consultant or its Sub-Consultants or Personnel of either of them, as is reasonable under the circumstances; provided, however, that the Consultant or its Sub-Consultants or Personnel of either of them, as the case may be, shall require their professional advisers, agents, auditors or its representatives, to undertake in writing to keep such Confidential Information, confidential and shall use its best efforts to ensure compliance with such undertaking.

3.4 Liability of the Consultant

- 3.4.1 The Consultant's liability under this Agreement shall be determined by the Applicable Laws and the provisions hereof.
- 3.4.2 The Consultant shall, subject to the limitation specified in Clause 3.4.3, be liable to the Authority for any direct loss or damage accrued or likely to accrue due to deficiency in Services rendered by it.
- 3.4.3 The Parties hereto agree that in case of negligence or wilful misconduct on the part of the Consultant or on the part of any person or firm acting on behalf of the Consultant in carrying out the Services, the Consultant, with respect to damage caused to the Authority's property, shall not be liable to the Authority:
 - (i) for any indirect or consequential loss or damage; and
 - (ii) for any direct loss or damage that exceeds (a) the Agreement Value set forth in Clause 6.1.2 of this Agreement, or (b) the proceeds the Consultant may be entitled to receive from any insurance maintained by the Consultant to cover such a liability in accordance with Clause 3.5.2, whichever of (a) or (b) is higher.
- 3.4.4 This limitation of liability specified in Clause 3.4.3 shall not affect the Consultant's liability, if any, for damage to Third Parties caused by the Consultant or any person or firm acting on behalf of the Consultant in carrying out the Services subject, however, to a limit equal to 3 (three) times the Agreement Value.

3.5 Insurance to be taken out by the Consultant

Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for "Ujjain 68 Climate Action - Integrated Solid Waste Management with Circular Economy" under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

- 3.5.1 (a) The Consultant shall, for the duration of this Agreement, take out and maintain, and shall cause any Sub-Consultant to take out and maintain, at its (or the Sub-Consultant's, as the case may be) own cost, insurance against the risks, and for the coverages, as specified in the Agreement and in accordance with good industry practice.
- (b) Within 15 (fifteen) days of receiving any insurance policy certificate in respect of insurances required to be obtained and maintained under this clause, the Consultant shall furnish to the Authority, copies of such policy certificates, copies of the insurance policies and evidence that the insurance premium have been paid in respect of such insurance. No insurance shall be cancelled, modified or allowed to expire or lapse during the term of this Agreement.
- (c) If the Consultant fails to effect and keep in force the aforesaid insurances for which it is responsible pursuant hereto, the Authority shall, apart from having other recourse available under this Agreement, have the option, without prejudice to the obligations of the Consultant, to take out the aforesaid insurance, to keep in force any such insurances, and pay such premia and recover the costs thereof from the Consultant, and the Consultant shall be liable to pay such amounts on demand by the Authority.
- (d) Except in case of Third Party liabilities, the insurance policies so procured shall mention the Authority as the beneficiary of the Consultant and the Consultant shall procure an undertaking from the insurance company to this effect; provided that in the event the Consultant has a general insurance policy that covers the risks specified in this Agreement and the amount of insurance cover is equivalent to 3 (three) times the cover required hereunder, such insurance policy may not mention the Authority as the sole beneficiary of the Consultant or require an undertaking to that effect.
- 3.5.2 The Parties agree that the risks and coverages shall include but not be limited to the following:
- (a) Third Party liability insurance as required under Applicable Laws, with a minimum coverage equivalent to Agreement Value;
- (b) employer's liability and workers' compensation insurance in respect of the Personnel of the Consultant and of any Sub-Consultant, in accordance with Applicable Laws; and
- (c) professional liability insurance for an amount no less than the Agreement Value.

The indemnity limit in terms of "Any One Accident" (AOA) and "Aggregate limit on the policy period" (AOP) should not be less than the amount stated in Clause 6.1.2 of the Agreement. In case of consortium, the policy should be in the name of Lead Member and not in the name of individual Members of the consortium.

3.6 Accounting, inspection and auditing

The Consultant shall:

- (a) keep accurate and systematic accounts and records in respect of the Services provided under this Agreement, in accordance with internationally accepted accounting principles and in such form and detail as will clearly identify all relevant time charges and cost, and the basis thereof (including the basis of the Consultant's costs and charges); and
- (b) permit the Authority or its designated representative periodically, and up to one year from the expiration or termination of this Agreement, to inspect the same and make copies thereof as well as to have them audited by auditors appointed by the Authority.

3.7 Consultant's actions requiring the Authority's prior approval

The Consultant shall obtain the Authority's prior approval in writing before taking any of the following actions:

- (a) appointing such members of the Professional Personnel as are not listed in Annex-2.
- (b) entering into a subcontract for the performance of any part of the Services, it being understood (i) that the selection of the Sub-Consultant and the terms and conditions of the subcontract shall have been approved in writing by the Authority prior to the execution of the subcontract, and (ii) that the Consultant shall remain fully liable for the performance of the Services by the Sub-Consultant and its Personnel pursuant to this Agreement; or
- (c) any other action that is specified in this Agreement.

3.8 Reporting obligations

The Consultant shall submit to the Authority the reports and documents specified in the Agreement, in the form, in the numbers and within the time periods set forth therein.

3.9 Documents prepared by the Consultant to be property of the Authority

- 3.9.1 All plans, drawings, specifications, designs, reports and other documents (collectively referred to as "**Consultancy Documents**") prepared by the Consultant (or by the Sub-Consultants or any Third Party) in performing the Services shall become and remain the property of the Authority, and all intellectual property rights in such Consultancy Documents shall vest with the Authority. Any Consultancy Document, of which the ownership or the intellectual property rights do not vest with the Authority under law, shall

automatically stand assigned to the Authority as and when such Consultancy Document is created and the Consultant agrees to execute all papers and to perform such other acts as the Authority may deem necessary to secure its rights herein assigned by the Consultant.

- 3.9.2 The Consultant shall, not later than termination or expiration of this Agreement, deliver all Consultancy Documents to the Authority, together with a detailed inventory thereof. The Consultant may retain a copy of such Consultancy Documents. The Consultant, its Sub-Consultants or a Third Party shall not use these Consultancy Documents for purposes unrelated to this Agreement without the prior written approval of the Authority.
- 3.9.3 The Consultant shall hold the Authority harmless and indemnified for any losses, claims, damages, expenses (including all legal expenses), awards, penalties or injuries (collectively referred to as 'Claims') which may arise from or due to any unauthorised use of such Consultancy Documents, or due to any breach or failure on part of the Consultant or its Sub-Consultants or a Third Party to perform any of its duties or obligations in relation to securing the aforementioned rights of the Authority.

3.10 Equipment and materials furnished by the Authority

Equipment and materials made available to the Consultant by the Authority shall be the property of the Authority and shall be marked accordingly. Upon termination or expiration of this Agreement, the Consultant shall furnish forthwith to the Authority, an inventory of such equipment and materials and shall dispose of such equipment and materials in accordance with the instructions of the Authority. While in possession of such equipment and materials, the Consultant shall, unless otherwise instructed by the Authority in writing, insure them in an amount equal to their full replacement value.

3.11 Providing access to Project Office and Personnel

The Consultant shall ensure that the Authority, and officials of the Authority having authority from the Authority, are provided unrestricted access to the Project Office and to all Personnel during office hours. The Authority's official, who has been authorised by the Authority in this behalf, shall have the right to inspect the Services in progress, interact with Personnel of the Consultant and verify the records relating to the Services for his satisfaction.

3.12. Accuracy of Documents

The Consultant shall be responsible for accuracy of the data collected by it directly or procured from other agencies/authorities, the designs, drawings, estimates and all other details prepared by it as part of these services. Subject to the provisions of Clause 3.4, it shall indemnify the Authority against any inaccuracy in its work which might surface during implementation of the Project, if such inaccuracy is the result of any negligence or inadequate due diligence on part of the Consultant or arises out of its failure to conform to good industry practice. The Consultant shall also be responsible for promptly

correcting, at its own cost and risk, the drawings including any re-survey / investigations.

4. CONSULTANT'S PERSONNEL AND SUB-CONSULTANTS

4.1 General

The Consultant shall employ and provide such qualified and experienced Personnel as may be required to carry out the Services.

4.2 Deployment of Personnel

4.2.1 The designations, names and the estimated periods of engagement in carrying out the Services by each of the Consultant's Personnel are described in Annex-2 of this Agreement.

4.2.2 If additional work is required beyond the scope of the Services specified in the Terms of Reference, the engagement of Personnel, may be increased by agreement in writing between the Authority and the Consultant, provided that any such increase shall not, except as otherwise agreed, cause payments under this Agreement shall be as per the terms existing terms and conditions.

4.3 Approval of Personnel

4.3.1 The Professional Personnel listed in Annex-2 of the Agreement are hereby approved by the Authority. If the consultant requires engaging other experts to fulfil the project requirements, may do so on its own without any extra cost.

4.3.2 If the Consultant hereafter proposes to replace (refer subsequent clause) any Key Expert (in exceptional case only) as Professional Personnel, it shall submit to the Authority its proposal along with a CV of such person in the form provided at Appendix-I (Form-12) of the RFP. The Authority may approve or reject such proposal within 5 (five) days of receipt thereof. In case the proposal is rejected, the Consultant may propose an alternative person for the Authority's consideration. In the event the Authority does not reject a proposal within 5 (five) days of the date of receipt thereof under this Clause 4.3, it shall be deemed to have been approved by the Authority.

4.4 Substitution of Key Personnel

The Authority expects all the Key Personnel specified in the Proposal to be available during implementation of the Agreement. The Authority will not consider any substitution of Key Personnel except under compelling circumstances beyond the control of the Consultant and the concerned Key Personnel. Such substitution shall be subject to equally or better qualified and experienced personnel being provided to the satisfaction of the Authority.

4.5 Working hours, overtime, leave, etc.

Normal working hours will apply.

4.6 Team Leader and Project Coordinator

Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for "Ujjain 72 Climate Action - Integrated Solid Waste Management with Circular Economy" under CITIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

The person designated as the Team Leader of the Consultant's Personnel shall be responsible for the coordinated, timely and efficient functioning of the Personnel. In addition, the Consultant shall designate a suitable person as Project Coordinator (the "**Project Coordinator**"), to be stationed at Ujjain for entire duration of the assignment (i.e. all the three Phases), who shall be responsible for day to day performance of the Services.

4.7 Sub-Consultants

Sub-Consultants listed in Annex-4 of this Agreement are hereby approved by the Authority. The Consultant may, with prior written approval of the Authority, engage additional Sub-Consultants or substitute an existing Sub-Consultant. The hiring of Personnel by the Sub-Consultants shall be subject to the same conditions as applicable to Personnel of the Consultant under this Clause 4.

Further, the Consultant is required to NABET accreditation and have tie-up (supported by an MOU) with NABL accredited laboratory/agency for monitoring environmental parameters and required for safeguard compliances. The engagement will be throughout the contract period.

5. OBLIGATIONS OF THE AUTHORITY

5.1 Assistance in clearances etc.

Unless otherwise specified in the Agreement, the Authority shall make best efforts to ensure that the Government shall:

- (a) provide the Consultant, its Sub-Consultants and Personnel with work permits and such other documents as may be necessary to enable the Consultant, its Sub-Consultants or Personnel to perform the Services;
- (b) facilitate prompt clearance through customs of any property required for the Services; and
- (c) issue to officials, agents and representatives of the Government all such instructions as may be necessary or appropriate for the prompt and effective implementation of the Services.

5.2 Access to land and property

The Authority warrants that the Consultant shall have, free of charge, unimpeded access to the site of the project in respect of which access is required for the performance of Services; provided that if such access shall not be made available to the Consultant as and when so required, the Parties shall agree on (i) the time extension, as may be appropriate, for the performance of Services, and (ii) the additional payments, if any, to be made to the Consultant as a result thereof pursuant to Clause 6.1.3.

5.3 Change in Applicable Law

If, after the date of this Agreement, there is any change in the Applicable Laws with respect to taxes and duties which increases or decreases the cost or reimbursable expenses incurred by the Consultant in performing the Services, by an amount exceeding 2% (two per cent) of the Agreement Value specified in Clause 6.1.2, then the remuneration and reimbursable expenses otherwise payable to the Consultant under this Agreement shall be increased or decreased accordingly by agreement between the Parties hereto, and corresponding adjustments shall be made to the aforesaid Agreement Value.

5.4 Payment

In consideration of the Services performed by the Consultant under this Agreement, the Authority shall make to the Consultant such payments and in such manner as is provided in Clause 6 of this Agreement.

6. PAYMENT TO THE CONSULTANT

6.1 Cost estimates and Agreement Value

6.1.1 An abstract of the cost of the Services payable to the Consultant is set forth in Annex-5 of the Agreement.

6.2 Currency of payment

All payments shall be made in Indian Rupees. The Consultant shall be free to convert Rupees into any foreign currency as per Applicable Laws.

6.3 Mode of billing and payment

The consultant shall quote his fees as the percentage of the Project cost, which shall include all expenses, taxes and duties (except GST which will be paid over and above the fees quoted by the consultant as per the rates prescribed by Government).

The Consultant shall render the service in the form of deliverables mentioned the Terms of Reference and the fee payable to Consultant shall be in proportion to the total fee for each Part as under:-

- (a) The Consultant shall be paid for its services as per the above Payment Schedule, subject to the Consultant fulfilling the following conditions:
 - (i) No payment shall be due for the next stage till the Consultant completes, to the satisfaction of the Authority, the work pertaining to the preceding stage.
 - (ii) The Authority shall pay to the Consultant, only the undisputed amount.
 - (iii) No further payment will be made if the sub-project is dropped/ cancelled/ terminated at any stage
- (b) The Authority shall cause the payment due to the Consultant to be made within 30 (thirty) days after the receipt by the Authority of duly completed bills with necessary particulars (the “**Due Date**”). Interest at the rate of 10% (ten per cent) per annum shall become payable as from

the Due Date on any amount due by, but not paid on or before, such Due Date.

- (c) The eligible consultancy fee adjustments shall be made in payments of subsequent phases/stages as per milestones
- (d) The final payment under this Clause shall be made only after the final report/deliverable and a final statement, identified as such, shall have been submitted by the Consultant and approved as satisfactory by the Authority. The Services shall be deemed completed and finally accepted by the Authority and the final deliverable shall be deemed approved by the Authority as satisfactory upon expiry of 90 (ninety) days after receipt of the final deliverable by the Authority unless the Authority, within such 90 (ninety) day period, gives written notice to the Consultant specifying in detail, the deficiencies in the Services. The Consultant shall thereupon promptly make any necessary corrections and/or additions, and upon completion of such corrections or additions, the foregoing process shall be repeated. The Authority shall make the final payment upon acceptance or deemed acceptance of the final deliverable by the Authority.
- (e) All payments under this Agreement shall be made to the account of the Consultant as may be notified to the Authority by the Consultant.

7. LIQUIDATED DAMAGES AND PENALTIES

7.1 Performance Security

7.1.1 The Authority shall retain by way of performance security (the “**Performance Security**”), **7% (seven percent)** of all the amounts due and payable to the Consultant, to be appropriated against breach of this Agreement or for recovery of liquidated damages as specified in Clause 7.2. The balance remaining out of the Performance Security shall be returned to the Consultant at the end of 3 (three) months after the expiry of this Agreement pursuant to Clause 2.4 hereof. For the avoidance of doubt, the parties hereto expressly agree that in addition to appropriation of the amounts withheld hereunder, in the event of any default requiring the appropriation of further amounts comprising the Performance Security, the Authority may make deductions from any subsequent payments due and payable to the Consultant hereunder, as if it is appropriating the Performance Security in accordance with the provisions of this Agreement.

7.1.2 The Consultant may, in lieu of retention of the amounts as referred to in Clause 7.1.1 above, furnish a Bank Guarantee substantially in the form specified at Annex-7 of this Agreement.

7.2 Liquidated Damages

7.2.1 Liquidated Damages for error/variation

In case any error or variation is detected in the reports submitted by the Consultant and such error or variation is the result of negligence or lack of due Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for “Ujjain 75 Climate Action - Integrated Solid Waste Management with Circular Economy” under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

diligence on the part of the Consultant, the consequential damages thereof shall be quantified by the Authority in a reasonable manner and recovered from the Consultant by way of deemed liquidated damages, subject to a maximum of 10% (ten per cent) of the Eligible Value of each mile stone, for each sub-project.

7.2.2 Liquidated Damages for delay

In case of delay in submission of deliverables beyond two weeks from due date of submission of deliverable, liquidated damages not exceeding an amount equal to 0.5% (Zero point five percent) of the milestone payment per day, for each sub-project, subject to a maximum of 10% (ten percent) of the milestone payment will be imposed and shall be recovered by appropriation from the Performance Security or otherwise. However, in case of delay due to reasons beyond the control of the Consultant, suitable extension of time shall be granted.

7.2.3 Encashment and appropriation of Performance Security

The Authority shall have the right to invoke and appropriate the proceeds of the Performance Security, in whole or in part, without notice to the Consultant in the event of breach of this Agreement or for recovery of liquidated damages specified in this Clause 7.2.

7.3 Penalty for deficiency in Services

In addition to the liquidated damages not amounting to penalty, as specified in Clause 7.2, warning may be issued to the Consultant for minor deficiencies on its part. In the case of significant deficiencies in Services causing adverse effect on the Project or on the reputation of the Authority, other penal action including debarring for a specified period may also be initiated as per policy of the Authority.

8. FAIRNESS AND GOOD FAITH

8.1 Good Faith

The Parties undertake to act in good faith with respect to each other's rights under this Agreement and to adopt all reasonable measures to ensure the realisation of the objectives of this Agreement.

8.2 Operation of the Agreement

The Parties recognise that it is impractical in this Agreement to provide for every contingency which may arise during the life of the Agreement, and the Parties hereby agree that it is their intention that this Agreement shall operate fairly as between them, and without detriment to the interest of either of them, and that, if during the term of this Agreement either Party believes that this Agreement is operating unfairly, the Parties will use their best efforts to agree on such action as may be necessary to remove the cause or causes of such unfairness, but failure to agree on any action pursuant to this Clause shall not

give rise to a dispute subject to arbitration in accordance with Clause 9 hereof.

9. SETTLEMENT OF DISPUTES

9.1 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.

9.2 Dispute resolution

9.2.1 Any dispute, difference or controversy of whatever nature howsoever arising under or out of or in relation to this Agreement (including its interpretation) between the Parties, and so notified in writing by either Party to the other Party (the “**Dispute**”) shall, in the first instance, be attempted to be resolved amicably in accordance with the conciliation procedure set forth in Clause 9.3.

9.2.2 The Parties agree to use their best efforts for resolving all Disputes arising under or in respect of this Agreement promptly, equitably and in good faith, and further agree to provide each other with reasonable access during normal business hours to all non-privileged records, information and data pertaining to any Dispute.

9.3 Conciliation

In the event of any Dispute between the Parties, either Party may call upon Chairman, USCL for amicable settlement, and upon such reference, the said persons shall meet no later than 10 (ten) days from the date of reference to discuss and attempt to amicably resolve the Dispute. If such meeting does not take place within the 10 (ten) day period or the Dispute is not amicably settled within 15 (fifteen) days of the meeting or the Dispute is not resolved as evidenced by the signing of written terms of settlement within 30 (thirty) days of the notice in writing referred to in Clause 9.2.1 or such longer period as may be mutually agreed by the Parties, either Party may refer the Dispute to arbitration in accordance with the provisions of Clause 9.4.

9.4 Arbitration

9.4.1 Any Dispute which is not resolved amicably by conciliation, as provided in Clause 9.3, shall be finally decided by reference to arbitration by an Arbitral Tribunal appointed in accordance with Clause 9.4.2. Such arbitration shall be held in accordance with the Rules of Arbitration of the International Centre for Alternative Dispute Resolution, New Delhi (the “**Rules**”), or such other rules as may be mutually agreed by the Parties, and shall be subject to the provisions of the Arbitration and Conciliation Act, 1996. The place of such arbitration shall be Ujjain, Madhya Pradesh where the Authority has its headquarters and the language of arbitration proceedings shall be English.

9.4.2 There shall be [a sole arbitrator whose appointment] / [an Arbitral Tribunal of three arbitrators, of whom each Party shall select one, and the third arbitrator

shall be appointed by the two arbitrators so selected, and in the event of disagreement between the two arbitrators, the appointment] shall be made in accordance with the Rules.

- 9.4.3 The arbitrators shall make a reasoned award (the “**Award**”). Any Award made in any arbitration held pursuant to this Clause 9 shall be final and binding on the Parties as from the date it is made, and the Consultant and the Authority agree and undertake to carry out such Award without delay.
- 9.4.4 The Consultant and the Authority agree that an Award may be enforced against the Consultant and/or the Authority, as the case may be, and their respective assets wherever situated.
- 9.4.5 This Agreement and the rights and obligations of the Parties shall remain in full force and effect, pending the Award in any arbitration proceedings hereunder.

IN WITNESS WHERE OF, the Parties hereto have caused this Agreement to be signed in their respective names as of the day and year first above written.

SIGNED, SEALED AND DELIVERED

For and on behalf of
Consultant:

(Signature)
(Name)
(Designation)
(Address)

SIGNED, SEALED AND DELIVERED

For and on behalf of
Authority

(Signature)
(Name)
(Designation)
(Address)

In the presence of:

1.

2.

Annex -1

Terms of Reference

(Refer Clause 3.1.2)

(Reproduce Schedule-1 of RFP)

Annex-2

Deployment of Key Personnel

(Refer Clause 4)

(Reproduce as per Form-7 of Appendix-I)

Annex-3

DELETED

Annex-4

Approved Sub-Consultant(s)

(Refer Clause 4.7)

(Reproduce as per Form-12 of Appendix-I)

Annex-5
Cost of Services
(Refer Clause 6.1)

(Reproduce as per Form-2 of Appendix-II)

Annex-6

Payment Schedule
(Refer Clause 6)

Annex-7**Bank Guarantee for Performance Security**

(Refer Clause 7.1.3)

To

[The President of India/Governor of]

acting through

.....

.....

.....

In consideration of Ujjain Smart City Limited acting on behalf of the [President of India/Governor of] (hereinafter referred as the “**Authority**”, which expression shall, unless repugnant to the context or meaning thereof, include its successors, administrators and assigns) awarding to, having its office at (hereinafter referred as the “**Consultant**” which expression shall, unless repugnant to the context or meaning thereof, include its successors, administrators, executors and assigns), vide the Authority’s Agreement no. dated valued at Rs. (Rupees), (hereinafter referred to as the “**Agreement**”) the assignment for consultancy services in respect of the “*Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for “Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy” under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh” – 2nd Call* for Ujjain Smart City Limited, and the Consultant having agreed to furnish a Bank Guarantee amounting to Rs. (Rupees) to the Authority for performance of the said Agreement.

We, (hereinafter referred to as the “**Bank**”) at the request of the Consultant do hereby undertake to pay to the Authority an amount not exceeding Rs. (Rupees) against any loss or damage caused to or suffered or would be caused to or suffered by the Authority by reason of any breach by the said Consultant of any of the terms or conditions contained in the said Agreement.

2. We, (indicate the name of the Bank) do hereby undertake to pay the amounts due and payable under this Guarantee without any demur, merely on a demand from the Authority stating that the amount/claimed is due by way of loss or damage caused to or would be caused to or suffered by the Authority by reason of breach by the said Consultant of any of the terms or conditions contained in the said Agreement or by reason of the Consultant’s failure to perform the said Agreement. Any such demand made on the bank shall be conclusive as regards the amount due and payable by the Bank under this Guarantee. However, our liability under this Guarantee shall be restricted to an amount not exceeding Rs. (Rupees).

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3. We, (indicate the name of Bank) undertake to pay to the Authority any money so demanded notwithstanding any dispute or disputes raised by the Consultant in any suit or proceeding pending before any court or tribunal relating thereto, our liability under this present being absolute and unequivocal. The payment so made by us under this bond shall be a valid discharge of our liability for payment thereunder and the Consultant shall have no claim against us for making such payment.

4. We, (indicate the name of Bank) further agree that the Guarantee herein contained shall remain in full force and effect during the period that would be required for the performance of the said Agreement and that it shall continue to be enforceable till all the dues of the Authority under or by virtue of the said Agreement have been fully paid and its claims satisfied or discharged or till the Authority certifies that the terms and conditions of the said Agreement have been fully and properly carried out by the said Consultant and accordingly discharges this Guarantee. Unless a demand or claim under this Guarantee is made on us in writing on or before a period of one year from the date of this Guarantee, we shall be discharged from all liability under this Guarantee thereafter.

5. We, (indicate the name of Bank) further agree with the Authority that the Authority shall have the fullest liberty without our consent and without affecting in any manner our obligations hereunder to vary any of the terms and conditions of the said Agreement or to extend time of performance by the said Consultant from time to time or to postpone for any time or from time to time any of the powers exercisable by the Authority against the said Consultant and to forbear or enforce any of the terms and conditions relating to the said Agreement and we shall not be relieved from our liability by reason of any such variation, or extension being granted to the said Consultant or for any forbearance, act or omission on the part of the Authority or any indulgence by the Authority to the said Consultant or any such matter or thing whatsoever which under the law relating to sureties would, but for this provision, have the effect of so relieving us.

6. This Guarantee will not be discharged due to the change in the constitution of the Bank or the Consultant(s).

7. We, (indicate the name of Bank) lastly undertake not to revoke this Guarantee during its currency except with the previous consent of the Authority in writing.

8. For the avoidance of doubt, the Bank's liability under this Guarantee shall be restricted to Rs. crore (Rupees crore) only. The Bank shall be liable to pay the said amount or any part thereof only if the Authority serves a written claim on the Bank in accordance with paragraph 2 hereof, on or before [..... (indicate the date falling 365days after the Bid Due Date specified in the RFP)].

Dated, the day of 2025

For

(Name of Bank)

Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for "Ujjain 86 Climate Action - Integrated Solid Waste Management with Circular Economy" under CITIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

(Signature, name and designation of the authorised signatory)

Seal of the Bank:

NOTES:

- (i) The Bank Guarantee should contain the name, designation and code number of the officer(s) signing the Guarantee.
- (ii) The address, telephone no. and other details of the Head Office of the Bank as well as of issuing Branch should be mentioned on the covering letter of issuing Branch.

SCHEDULE-3*(See Clause 2.3.3)**Guidance Note on Conflict of Interest*

1. This Note further explains and illustrates the provisions of Clause 2.3 of the RFP and shall be read together therewith in dealing with specific cases.
2. Consultants should be deemed to be in a conflict of interest situation if it can be reasonably concluded that their position in a business or their personal interest could improperly influence their judgment in the exercise of their duties. The process for selection of consultants should avoid both actual and perceived conflict of interest.
3. Conflict of interest may arise between the Authority and a consultant or between consultants and present or future concessionaries/ contractors. Some of the situations that would involve conflict of interest are identified below:
 - (a) Authority and consultants:
 - (i) Potential consultant should not be privy to information from the Authority which is not available to others.
 - (ii) Potential consultant should not have defined the project when earlier working for the Authority.
 - (b) Consultants and concessionaires/contractors:
 - (i) No consultant should have an ownership interest or a continuing business interest or an on-going relationship with a potential concessionaire/ contractor save and except relationships restricted to project-specific and short-term assignments.
 - (ii) No consultant should be involved in owning or operating entities resulting from the project.
 - (iii) No consultant should bid for works arising from the project.

The participation of companies that may be involved as investors or consumers and officials of the Authority who have current or recent connections to the companies involved, therefore, needs to be avoided.

4. The normal way to identify conflicts of interest is through self-declaration by consultants. Where a conflict exists, which has not been declared, competing companies are likely to bring this to the notice of the Authority. All conflicts must be declared as and when the consultants become aware of them.
5. Another approach towards avoiding a conflict of interest is through the use of “Chinese walls” to avoid the flow of commercially sensitive information from one part of the consultant’s company to another. This could help overcome the problem of availability of limited numbers of experts for the project. However, in reality effective operation of “Chinese walls” may be a difficult proposition. As a general rule, larger companies will be more capable of adopting Chinese walls approach than smaller companies. Although, “Chinese walls” have been relatively common

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for many years, they are an increasingly discredited means of avoiding conflicts of interest and should be considered with caution. As a rule, “Chinese walls” should be considered as unacceptable and may be accepted only in exceptional cases upon full disclosure by a consultant coupled with provision of safeguards to the satisfaction of the Authority.

6. Another way to avoid conflicts of interest is through the appropriate grouping of tasks. For example, conflicts may arise if consultants drawing up the terms of reference or the proposed documentation are also eligible for the consequent assignment or project.
7. Another form of conflict of interest called “scope–creep” arises when consultants advocate either an unnecessary broadening of the terms of reference or make recommendations which are not in the best interests of the Authority but which will generate further work for the consultants. Some forms of contractual arrangements are more likely to lead to scope-creep. For example, lump-sum contracts provide fewer incentives for this, while time and material contracts provide built in incentives for consultants to extend the length of their assignment.
8. Every project contains potential conflicts of interest. Consultants should not only avoid any conflict of interest, they should report any present/ potential conflict of interest to the Authority at the earliest. Officials of the Authority involved in development of a project shall be responsible for identifying and resolving any conflicts of interest. It should be ensured that safeguards are in place to preserve fair and open competition and measures should be taken to eliminate any conflict of interest arising at any stage in the process.

SCHEDULE-3.1

(See Clause 2.3.3)

As per requirement of MoHUA, Govt. of India for CITIIS 2.0 program

Annexure 1: Covenant of Integrity to be mandatorily appended to each procurement document/ EOI/RFP/work order/tender document, etc. by the State under CITIIS 2.0

COVENANT OF INTEGRITY

to the Promoter

from a Tenderer, Contractor, Supplier or Consultant to be attached to its Tender
(or to the Contract in the case of a negotiated procedure)

I [Name], in my function as [function/position held] in [name of the company] and duly authorized representative for the signature of the contract to be signed for [title of the call for tender or the contract] hereby declare that we observe the highest standards of ethics during the procurement and, if we are successful in our tender, during the performance of the contract. We have not engaged nor will engage in, or have been convicted or sanctioned by any authority of, any fraud, corruption, collusion, coercion, obstruction, money laundering, financing of terrorism or other malpractice (hereafter referred to as "Prohibited Conduct")¹. Where convictions occurred, details of the conviction and remedial measures are provided. If such events should occur in the future, including if any instance of Prohibited Conduct shall come to our attention, we hereby undertake to so inform [Promoter and AFD/EIB/KfW (whoever is MRI Lead Financier)] immediately.

Moreover, neither our company² nor any entity member of the joint venture or of the consortium or any one acting on our behalf, such as sub-contractors, is the subject of a current exclusion /has been the subject of any debarment, exclusion or other sanctioning decision by any of the Participating MRI Partners (AFD, EIB and/or KfW), EU institutions and/or any major Multi-lateral Development Bank (including World Bank Group, African Development Bank, Asian Development Bank, European Bank for Reconstruction and Development or Inter-American Development Bank) on the grounds of Prohibited Conduct and we further undertake to immediately inform [Promoter and AFD/EIB/KfW (whoever is MRI Lead Financier)] if this situation was to occur at a later stage. Where such a decision of exclusion has occurred, we commit to provide all necessary information and any remedial measures that have already been taken.

I also declare that neither our company nor any entity member of the joint venture or of the consortium is currently included /has been included on the list of financial sanctions (including in particular the fight against financing of terrorism) adopted by the United Nations, the EU financial or any national sanction³ list which is binding for any of the MRI Partners and we further undertake to immediately inform [Promoter and AFD] if this situation were to occur at a later stage.

We acknowledge that in the event our company or any entity member of the joint venture or of the consortium (i) is, after this Covenant of Integrity or the contract have been signed, added to any financial sanctions list enumerated above or (ii) is, before the contract has been signed, subject to any debarment, exclusion or otherwise sanctioning decision enumerated above or (iii) made a false statement in the Covenant of Integrity, the contract may not be eligible for funding by one or more of the Participating MRI Partners (AFD, KfW). We commit not to procure goods and services from countries which are under an embargo which is binding upon AFD and KfW.

We also acknowledge that, in any of the afore-mentioned events, [Promoter] is entitled to exclude our company/ the consortium from the procurement procedure and, if the contract is awarded to our company/the consortium, we undertake to take all necessary remedial actions in a manner satisfactory to [Promoter]. Such events may lead to

termination of the contract, in accordance with the terms of the contract.

We declare that we have paid, or will pay, the following commissions, gratuities, or fees with respect to the Tendering process or execution of the Contract:⁴

Name of Recipient	Address	Reason	Amount

We grant the Participating MRI Partners and auditors appointed by either of them, as well as any authority or European Union institution or body having competence under European Union law, the right to inspect and copy our books and records and those of all our sub-contractors, under the contract, as well as joint venture/consortium partners. We accept to preserve these books and records generally in accordance with applicable law but in any case, for at least six years from the date of tender submission and, in the event, we are awarded the contract, at least six years from the date of substantial performance of the contract.

I declare that our company / consortium undertakes to comply with labour laws and national and international standards of environmental protection, health and safety applicable in the jurisdiction / country of implementation of the Project, including those contained in any relevant International Labour Organization (ILO) conventions and international agreements on environmental protection, as well as with mitigation measures of the Environmental and Social Management Plan if applicable.

.....
(Place)

.....
(Date)

.....
(Signature)

APPENDICES

APPENDIX-I

(See Clause 2.1.3)

TECHNICAL PROPOSAL

Form-1

Letter of Proposal

(On Applicant's letter head)

(Date and Reference)

To,

.....

.....

.....

Sub: Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for "Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy" under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

Dear Sir,

With reference to your RFP Document dated, I/We, having examined all relevant documents and understood their contents, hereby submit our Proposal for selection as Consultant for *Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for "Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy" under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh*. The proposal is unconditional and unqualified.

2. I/We acknowledge that the Authority will be relying on the information provided in the Proposal and the documents accompanying the Proposal for selection of the Consultant, and we certify that all information provided in the Proposal and in the Appendices is true and correct, nothing has been omitted which renders such information misleading; and all documents accompanying such Proposal are true copies of their respective originals.
3. This statement is made for the express purpose of appointment as the Consultant for the aforesaid Project.

4. I/We shall make available to the Authority any additional information it may deem necessary or require for supplementing or authenticating the Proposal.
5. I/We acknowledge the right of the Authority to reject our application without assigning any reason or otherwise and hereby waive our right to challenge the same on any account whatsoever.
6. I/We certify that in the last three years, we or any of our Associates have neither failed to perform on any contract, as evidenced by imposition of a penalty by an arbitral or judicial authority or a judicial pronouncement or arbitration award against the Applicant, nor been expelled from any project or contract by any public authority nor have had any contract terminated by any public authority for breach on our part.
7. I/We declare that:
 - (a) I/We have examined and have no reservations to the RFP Documents, including any Addendum issued by the Authority;
 - (b) I/We do not have any conflict of interest in accordance with Clause 2.3 of the RFP Document;
 - (c) I/We have not directly or indirectly or through an agent engaged or indulged in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice, as defined in Clause 4.3 of the RFP document, in respect of any tender or request for proposal issued by or any agreement entered into with the Authority or any other public sector enterprise or any government, Central or State; and
 - (d) I/We hereby certify that we have taken steps to ensure that in conformity with the provisions of Section 4 of the RFP, no person acting for us or on our behalf will engage in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice.
8. I/We understand that you may cancel the Selection Process at any time and that you are neither bound to accept any Proposal that you may receive nor to select the Consultant, without incurring any liability to the Applicants in accordance with Clause 2.8 of the RFP document.
9. I/We declare that we are not a member of any other Consortium applying for Selection as a Consultant.
10. I/We certify that in regard to matters other than security and integrity of the country, we or any of our Associates have not been convicted by a Court of Law or indicted or adverse orders passed by a regulatory authority which would cast a doubt on our ability to undertake the Consultancy for the Project or which relates to a grave offence that outrages the moral sense of the community.

11. I/We further certify that in regard to matters relating to security and integrity of the country, we have not been charge-sheeted by any agency of the Government or convicted by a Court of Law for any offence committed by us or by any of our Associates.
12. I/We further certify that no investigation by a regulatory authority is pending either against us or against to be engaged team members.
13. I/We hereby irrevocably waive any right or remedy which we may have at any stage at law or howsoever otherwise arising to challenge or question any decision taken by the Authority [and/ or the Government of India] in connection with the selection of Consultant or in connection with the Selection Process itself in respect of the above mentioned Project.
14. I/We agree and understand that the proposal is subject to the provisions of the RFP document. In no case, shall I/we have any claim or right of whatsoever nature if the Consultancy for the Project is not awarded to me/us or our proposal is not opened or rejected.
15. I/We agree to keep this offer valid for 120 (One Hundred Twenty Days) days from the PDD specified in the RFP.
16. A Power of Attorney in favour of the authorised signatory to sign and submit this Proposal and documents is attached herewith in Form 4.
17. In the event of my/our firm being selected as the Consultant, I/we agree to enter into an Agreement in accordance with the form at Schedule-2 of the RFP. We agree not to seek any changes in the aforesaid form and agree to abide by the same.
18. In the event of my/our firm being selected as the Consultant, I/we agree to enter into an Agreement in accordance with the form at Schedule -2 of the RFP. We agree not to seek changes in the aforesaid form and agree to abide by the same.
19. I/We have studied RFP and all other documents carefully. We understand that except to the extent as expressly set forth in the Agreement, we shall have no claim, right or title arising out of any documents or information provided to us by the Authority or in respect of any matter arising out of or concerning or relating to the Selection Process including the award of Consultancy.
20. The Financial Proposal is being submitted in a separate cover. This Technical Proposal read with the Financial Proposal shall constitute the Application which shall be binding on us.
21. I/We agree and undertake to abide by all the terms and conditions of the RFP Document.

In witness thereof, I/we submit this Proposal under and in accordance with the terms of the RFP Document.

Yours faithfully,

(Signature, name and designation of the authorised signatory)

(Name and seal of the Applicant/ Lead Member)

APPENDIX-I

Form-2**Particulars of the Applicant**

1.1	Title of Consultancy:
1.2	Title of Project:Project
1.3	State whether applying as Sole Firm or Lead Member of a consortium: Sole Firm or Lead Member of a consortium
1.4	<p>State the following:</p> <p>Name of Firm:</p> <p>Legal status (e.g. sole proprietorship or partnership):</p> <p>Country of incorporation:</p> <p>Registered address:</p> <p>Year of Incorporation:</p> <p>Year of commencement of business:</p> <p>Principal place of business:</p> <p>Name, designation, address and phone numbers of authorised signatory of the Applicant:</p> <p>Name:</p> <p>Designation:</p> <p>Company:</p> <p>Address:</p> <p>Phone No.:</p> <p>E-mail address:</p>
1.5	If the Applicant is Lead Member of a consortium, state the following for each of the other Member Firms:

	<p>(i) Name of Firm:</p> <p>(ii) Legal Status and country of incorporation</p> <p>(iii) Registered address and principal place of business.</p>
1.6	<p>For the Applicant, (in case of a consortium, for each Member), state the following information:</p> <p>(i) In case of non-Indian Firm, does the Firm have business presence in India?</p> <p style="text-align: right;">Yes/No</p> <p>If so, provide the office address (es) in India.</p> <p>(ii) Has the Applicant or any of the Members in case of a consortium been penalised by any organization for poor quality of work or breach of contract in the last five years?</p> <p style="text-align: right;">Yes/No</p> <p>(iii) Has the Applicant/ or any of its Associates ever failed to complete any work awarded to it by any public authority/ entity in last five years?</p> <p style="text-align: right;">Yes/No</p> <p>(iv) Has the Applicant or any member of the consortium been blacklisted by any Government department/Public Sector Undertaking in the last five years?</p> <p style="text-align: right;">Yes/No</p> <p>(v) Has the Applicant or any of its Associates, in case of a consortium, suffered bankruptcy/insolvency in the last five years?</p> <p style="text-align: right;">Yes/No</p> <p>Note: If answer to any of the questions at (ii) to (v) is yes, the Applicant is not eligible for this consultancy assignment.</p>
1.7	<p>(Signature, name and designation of the authorised signatory)</p> <p>For and on behalf of</p>

APPENDIX-I

Form-3

Statement of Legal Capacity

(To be forwarded on the letter head of the Applicant)

Ref. Date:

To,

.....

.....

.....

Dear Sir,

Sub: Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for “Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy” under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

I/We hereby confirm that we, the Applicant (along with other members in case of consortium, the constitution of which has been described in the Proposal), satisfy the terms and conditions laid down in the RFP document.

I/We have agreed that (insert Applicant’s name) will act as the Lead Member of our consortium.

I/We have agreed that (insert individual’s name) will act as our Authorised Representative/ will act as the Authorised Representative of the consortium on our behalf and has been duly authorized to submit our Proposal. Further, the authorised signatory is vested with requisite powers to furnish such proposal and all other documents, information or communication and authenticate the same.

Yours faithfully,

(Signature, name and designation of the authorised signatory

For and on behalf of

APPENDIX-I

Form-4**Power of Attorney**

Know all men by these presents, We, (name of Firm and address of the registered office) do hereby constitute, nominate, appoint and authorise Mr / Ms..... son/daughter/wife and presently residing at....., who is presently employed with/ retained by us and holding the position of as our true and lawful attorney (hereinafter referred to as the “Authorised Representative”) to do in our name and on our behalf, all such acts, deeds and things as are necessary or required in connection with or incidental to submission of our Proposal for and selection for *Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for “Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy” under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call*; for Ujjain Smart City Limited (the “Authority”) including but not limited to signing and submission of all applications, proposals and other documents and writings, participating in pre-bid and other conferences and providing information/ responses to the Authority, representing us in all matters before the Authority, signing and execution of all contracts and undertakings consequent to acceptance of our proposal and generally dealing with the Authority in all matters in connection with or relating to or arising out of our Proposal for the said Project and/or upon award thereof to us till the entering into of the Agreement with the Authority.

AND, we do hereby agree to ratify and confirm all acts, deeds and things lawfully done or caused to be done by our said Authorised Representative pursuant to and in exercise of the powers conferred by this Power of Attorney and that all acts, deeds and things done by our said Authorised Representative in exercise of the powers hereby conferred shall and shall always be deemed to have been done by us.

IN WITNESS WHEREOF WE,THE ABOVE NAMED PRINCIPAL HAVE EXECUTED THIS POWER OF ATTORNEY ON THIS DAY OF, 2025..

For

(Signature, name, designation and address)

Witnesses:

- 1.
- 2.

Notarised

Accepted

.....

(Signature, name, designation and address of the Attorney)

Notes:

- *The mode of execution of the Power of Attorney should be in accordance with the procedure, if any, laid down by the applicable law and the charter documents of the executant(s) and when it is so required the same should be under common seal affixed in accordance with the required procedure.*
- *Wherever required, the Applicant should submit for verification the extract of the charter documents and other documents such as a resolution/power of attorney in favour of the person executing this Power of Attorney for the delegation of power hereunder on behalf of the Applicant.*
- *For a Power of Attorney executed and issued overseas, the document will also have to be legalised by the Indian Embassy and notarised in the jurisdiction where the Power of Attorney is being issued. However, the Power of Attorney provided by Applicants from countries that have signed the Hague Legislation Convention, 1961 are not required to be legalised by the Indian Embassy if it carries a conforming Apostille certificate.*

APPENDIX-I

Form-5**Financial Capacity of the Applicant***(Refer Clause 2.2.2 (B))*

S. No.	Financial Year	Annual Professional Fee from Advisory and Consultancy Services (Rs)
1.		
2.		
3.		
Average		

Certificate from the Statutory Auditor^{ss}

This is to certify that(name of the Applicant) has received the payments shown above against the respective years on account of professional fees from advisory and consulting services.

(Signature, name and designation of the authorised signatory)

Date:

Name and seal of the audit firm:

^{ss}In case the Applicant does not have a statutory auditor, it shall provide the certificate from its chartered accountant that ordinarily audits the annual accounts of the Applicant.

Note:

1. Please do not attach any printed Annual Financial Statement.
2. In case of consortium, Form-5 shall be submitted by all members of the consortium.

APPENDIX-I

Form-6

**DESCRIPTION OF APPROACH, METHODOLOGY, AND WORK PLAN IN
RESPONDING TO THE TERMS OF REFERENCE**

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

Suggested structure:

- a) **Technical Approach and Methodology**: Explain understanding of the objectives of the assignment as outlined in the Terms of Reference (TORs), the technical approach, and the methodology 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.
- b) **Work Plan**: Outline the plan for the implementation of the main activities/tasks of the assignment, their content and duration, phasing and interrelations and tentative delivery dates of the monthly progress 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.
- c) **Organization and Staffing**: Describe the structure and composition of your team, including the list of the Personnel.

Prescribed format:

Strictly follow the page limit of 30 pages, font type: arial, minimum font size: 11, minimum line spacing of 1.0 and normal margins. Non-conforming submissions may be disqualified.

APPENDIX-I

Form-7

TEAM COMPOSITION, ASSIGNMENT, AND KEY EXPERTS' INPUTS

N°	Name	Expert's input (in person days per month)											Total time-input (in days)		
		Position		Month 1	Month 2	Month 3	Month. ..					Home	Field	Total
KEY PERSONNEL															
1	{e.g., Mr. aaaa}	[Team Leader]	[Home]	[2 days]		[10]		[14]							
			[Field]	[20]		[12]		[8]							
2															
3															

[illegible]

Note:

- 1 For Key Experts, the input should be indicated individually for the same positions as required under the clause 2.1.4.
2 Months are counted from the start of the assignment/mobilization. One working day shall be not less than 8 (eight) working-hours.
3 “Home” means work in the office of the expert’s place of residence or Applicant’s office. “Field” work means work carried out in the Authority’s office or any place assigned by the Authority to carry out the services.

APPENDIX-I

Form-8**Particulars of Key Personnel**

S. No.	Designation of Key Personnel	Name	Educational Qualification	Length of Professional Experience
(1)	(2)	(3)	(4)	(5)
1.				
2.				
3.				
4.				

APPENDIX-I

Form-9(a)

Abstract of Assignments of the Applicant^s

(Refer Clause 2.2.2, B)

S.No.	Name of Project	Name of Client	Professional fee ^{\$\$} received/ to be received by the Applicant (in Rs crore) [£]
(1)	(2)	(3)	(4)
1			
2			
3			
4			
5			

^sThe Applicant should provide details of only those assignments that have been undertaken by it under its own name. In case the Applicant has not received the professional fees for the ongoing assignment, the applicant must furnish certificate from client clearly mentioning the scope of work and consultancy fees for the assignment.

^{\$\$} Exchange rate for conversion of US \$ shall be as per Clause 1.7.1.

[£] In the event that the Applicant does not wish to disclose the actual fee received for any particular assignment, it may state that it has received more than the amount specified for eligibility under this RFP.

Certificate from the Statutory Auditor^s of [Name of Company]

This is to certify that the information contained in Column 4 above is correct as per the accounts of the Applicant and/ or the clients.

(Signature, name and designation of the authorised signatory)

Date:

Name and seal of the audit firm:

^s In case the Applicant does not have a statutory auditor, it shall provide the certificate from its chartered accountant that ordinarily audits the annual accounts of the Applicant.

Note: In case of consortium, Form-9 for each consortium member shall be submitted.

APPENDIX-I

Form-10

Assignments of Applicant

(Refer Clause 2.2.2, B)

1.	Project Category and Sub-Category
2.	Name of company:
3.	Assignment name:
4.	Description of Assignment:
5.	Approx. project cost (in Rupees):
6.	Approx. value of the consultancy contract (in Rupees):
7.	Approx. value of the services provided by your company under the consultancy contract (in Rupees):
8.	Country:
9.	Location within country:
10.	Duration of Assignment/job (months):
11.	Name of Client:
12.	Client address and contact information:
13.	In case of consortium, whether your company was Lead member or other consortium member:
14.	Total No of staff-months of the Assignment:
15.	Total No of staff-months provided by your company:
16.	Start date (month/year):
17.	Completion date (month/year):
18.	Name of associated Consultants, if any:
19.	Name of senior professional staff of your firm involved and functions performed.
20.	Description of actual Assignment/ provided by your staff within the Assignment:

Note:

1. Use separate sheet for each Assignment as mentioned in clause 2.2.2 (B).
2. Each Eligible Assignment shall not exceed 2 pages, and following format shall be used: font: arial, font size: 11, normal margin.
3. Exchange rate for conversion of US \$ shall be as per Clause 1.7.1.

APPENDIX-I

Form-11

Curriculum Vitae (CV) of Professional Personnel

1. Proposed Position: [For each position of key professional separate form will be prepared]:

2. Name of Firm: [Insert name of firm proposing the staff]:

3. Name of Staff: [Insert full name]:

4. Brief Profile of Proposed Staff: [Provide summary of proposed staff experience, qualifications and achievements in no more than 250 words]

5. Date of Birth:

6. Nationality:

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

8. Membership of Professional Associations:

9. Other Training:

10. Countries of Work Experience: [List countries where staff has worked in the last ten years]:

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

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

From [Year]:

To [Year]:

Employer:

Positions held:

13. Detailed Tasks Assigned: [List all tasks to be performed under this Assignment]

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

Name of Assignment or project:

Employer:

Year:

Location:

Main project features:

Positions held:

Activities performed:

(Signature and name of the authorised signatory of the Applicant)

Note:

1. Use separate form for each Key Personnel
2. Each page of the CV shall be signed and dated by both the personnel and Applicant firm along with the seal of the firm. Photocopies will not be considered for evaluation.

APPENDIX-I

Form-12

Proposal for Sub-Consultant(s)

1. Details of the Firm				
Firm's Name, Address and Telephone				
Name and Telephone No. of the Contact Person				
Fields of Expertise				
No. of Years in business in the above Fields				
2. Services that are proposed to be subcontracted:				
3. Person who will lead the Sub- Consultant				
Name:				
Designation:				
Telephone No:				
Email:				
4. Details of Firm's previous experience				
Name of Work	Name, address and telephone no. of Client	Total Value of Services Performed	Duration of Services	Date of Completion of Services
1.				
2.				
3.				

(Signature and name of the authorised signatory)

Note:

1. The Proposal for Sub-Consultant(s) shall be accompanied by the details specified in Forms 12 and 13 of Appendix –I.
2. Use separate form for each Sub-Consultant

APPENDIX-II

FINANCIAL PROPOSAL

Form-1

Covering Letter

(On Applicant's letter head)

(Date and Reference)

To,

.....
.....
.....

Dear Sir,

Subject: Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for "Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy" under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

I/We, (Applicant's name) herewith enclose the Financial Proposal for selection of my/our firm as Consultant for *Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for "Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy" under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call*, as indicated above.

I/We agree that this offer shall remain valid for a period of 120 (one hundred and twenty) days from the Proposal Due Date or such further period as may be mutually agreed upon.

Yours faithfully,

(Signature, name and designation of the authorised signatory)

APPENDIX-II
(See Clause 2.1.3)

Form-2

Project Title: Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for “Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy” under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh – 2nd Call

S.N	Consultancy Services	Financial Quote (Consultancy Fee)*	
		In Figures	In Words
1	Competitive Component: <i>Professional Fee for “Consultancy Services for Preparation of Various Environment & Social Safeguard Documents for “Ujjain Climate Action - Integrated Solid Waste Management with Circular Economy” under CITIIS 2.0 (City Investments to Innovate, Integrate and Sustain) Program, at Ujjain, Madhya Pradesh”- 2nd Call</i>		
2	Non-competitive Component: Provisional Sum	Rs 10,00,000/-	Rupees Ten Lakhs only.

Authorized Signature *[In full and initials]:*

Name and Title of Signatory:

Name of Firm:

Address:

Contact No:

E mail id:

Note:

**Please indicate Amount in Figures and Words– excluding Goods & Service Tax*

*** Goods & Service Tax shall not be included in the Quote, which will be paid additionally over and above the quoted fees at the applicable prevailing rates*

Dated this [day / month / year]

Authorized Signatory (in full and initials):

Name and title of signatory:

Duly authorized to sign this Proposal for and on behalf of [Name of Applicant]

Name of Firm:

Address:

***** End of Document*****