

**REQUEST FOR PROPOSAL (RFP) FOR APPOINTMENT OF THIRD PARTY  
QUALITY MONITORING AGENCY (TPQMA) UNDER PRADHAN MANTRI  
AWAS YOJANA - HOUSING FOR ALL (URBAN),  
UTTAR PRADESH**

**RFP No. :5368/09/29/HFA-TPQM/2017-18**

**Date: 27/03/2018**

<b>Particulars</b>	<b>Date</b>	<b>Time</b>
Date of Release of RFP	27/03/2018	11:00 a.m.
Date and Time of Pre - Bid Meeting	09/04/2018	11:00 a.m.
Last date & time for uploading of RFP by bidder	17/04/2018	04:00 p.m.
Last date & time of submission of RFP cost & EMD	17/04/2018	04:00 p.m.
Date & time for opening of Technical Bids	19/04/2018	11:00 a.m.

**Note:**

Draft for Cost of RFP and EMD to be kept in a single envelope to be dropped in the tender box kept at State Urban Development Authority, SUDA office at Lucknow

**State Urban Development Agency (SUDA)**

**Uttar Pradesh**

**Navchetna Kendra, 10 - Ashok Marg, Lucknow -  
226001**

**-Tender Notice-**

**REQUEST FOR PROPOSAL (RFP) FOR APPOINTMENT OF THIRD PARTY QUALITY MONITORING AGENCY (TPQMA) UNDER PRADHAN MANTRI AWAS YOJANA – HOUSING FOR ALL (URBAN)**

**STATE URBAN DEVELOPMENT AGENCY (SUDA)**

Navchetna Kendra, 10-Ashok Marg, Lucknow – 226001

Phone: 0522-2286709 Fax – 0522-2286711

Website: <http://www.sudaup.org>

**RFP No. :5368/09/29/HFA-TPQM/2017-18**

**Date: 27/03/2018**

Director, State Urban Development Agency invites technical and financial proposals from eligible Consultancy Firms for appointment of Third Party Quality Monitoring Agency (**TPQMA**) for all the ULBs of Uttar Pradesh divided into 3 packages, with respect to Reference guide TPQM 2017 of Pradhan Mantri Awas Yojana – Housing for All (Urban).

1. Participating Agencies must fulfill the following pre-requisites:

- a. The consultancy/Agency must have been in operation in India for at least 05 years. Proof of registration as a legal entity must be submitted.
- b. The Agency should have experience of Third Party Quality Monitoring/PMU/PMC in civil works.
- c. The TPQMA should have positive network.
- d. The TPQMA deploys optimum number of experts as per the Reference Guide for TPQM, GOI at Annexure – A.
- e. The Agency should deploy a team of experts i.e. Senior Engineer, Civil as Team Lead and Engineer Electrical/Mechanical having experience of similar kind of projects and expertise in the concerned sectors as given in clause 9 Annexure-E of this document.
- f. No conflict of interest prevails in the engagement.
- g. Average annual turnover of consultants/agencies for the last three financial years should be equal to or greater than Rs. 50 Lacs
- h. The Consultancy/Agency must be registered with Income Tax department and /or the concerned taxation department and should have valid PAN, TAN, GST number.
- i. Registered firms/Consultancies/Agencies under Indian Partnership act/ Societies Registration Act or Registered companies under companies registration act are only eligible to participate in this RFP.

Note: Proposals without these documents will be treated as ineligible.

2. Interested Agencies may download the complete Request for Proposal (RFP) document from the website [www.etender.up.nic.in](http://www.etender.up.nic.in) from 27/03/2018, 11:00 a.m.. The eligible bidders may submit their bids online at e-tendering portal i.e. [www.etender.up.nic.in](http://www.etender.up.nic.in). Only online bids shall be accepted.
3. As the tenders are to be submitted online, tender is required to be encrypted and digitally signed. The bidders are advised to obtain Digital Signature Certificate (DSC) from suitable vendors or any authorized agency.
4. A pre-bid meeting is proposed on 09/04/2018 at 11:00 a.m.
5. Interested Agencies may submit their proposals along with a non-refundable demand draft of Rs. 5,000/- (Rupees Five Thousand only) as cost of RFP and an EMD of Rs. 2,00,500/- (Rupees Two lakhs and Five Hundred only) as prescribed in the RFP document (refundable). No proposals will be accepted without the Bid Security.
6. A Performance Security equal to 5% of the Work Order Value (project-wise), rounded to nearest multiple of hundred is to be furnished within 10 days from the date of issuance of the Work Order and shall remain valid for a period of 30 days beyond the date of completion of all contractual obligations. (Format – LIST – 2).
7. Proposal received without Cost of RFP document & EMD/Security Deposit is ineligible.
8. The last date for submitting the online bids is 17/04/2018 up to 04:00 p.m.
9. The agencies can bid for only one out of the 3 packages (Package-A, Package-B and Package-C) for TPQMA assignment. (List of packages is attached as LIST – 1)
10. The Consultants will be selected under Quality Cost Based Selection Method as per procedures described in the RFP.

**Key dates:**

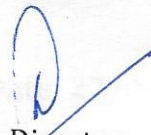
Sr. No.	Description	Important Information
1	Date of online publication	27/03/2018 at 11:00 a.m.
2	Downloading of e-tender documents	27/03/2018, 11:00 a.m. to 15/04/2018, 03:00 p.m.
3	Physical submission of EMD and Cost of tender documents	17/04/2018 till 04:00 p.m.
4	Date of submission of e-tender	27/03/2018, 11:00 a.m. to 17/04/2018, 04:00 p.m.
5	Date of opening of Technical Bid	19/04/2018 at 11:00 a.m.
6	RFP Document Fee	Rs. 5,000/- in form of Demand Draft in favour of Director, State Urban Development Agency, payable at Lucknow

7	Amount of EMD	Rs. 2,00,500/- in form of Demand Draft in favour of Director, State Urban Development Agency, payable at Lucknow
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The tenderers are required to upload & submit their e-tender for the above workonline [www.etender.up.nic.in](http://www.etender.up.nic.in) only. The bidders are advised to obtain Digital Signature Certificate (DSC) from suitable vendors or any authorized agency.

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

Director, SUDA reserves the right to accept any or all proposals, and to annul the selection process and reject all proposals at any time prior to the award of contract, without thereby incurring any liability or any obligation in any form to the affected Consultancy Firms/ Agency/ Company on any grounds.

  
Director  
State Urban Development Agency

## **Contents**

1. Letter of Invitation
2. Annexure A: DataSheet
3. Instructions to Bidders (General Instructions and instructions to participate in e-tendering)
4. Annexure B: Technical Proposal Submission Forms
5. Annexure C: Financial Proposal
6. Annexure D: Description of Approach, Methodology and Work Plan
7. Annexure E: Terms of Reference

## **Letter of Invitation**

1. State Urban Development Agency (hereinafter referred to as 'the Client') invites proposals for appointment of Third Party Quality Monitoring Agency (**TPQMA**)/ **Consulting Firm** with respect to Reference guide TPQM 2017 of Pradhan Mantri Awas Yojana – Housing for All (Urban) for all the ULBs of Uttar Pradesh. Detailed Scope of Work is provided in the Terms of Reference.
2. A firm shall be selected under **Quality Cost Based Selection (QCBS)** method and as per procedure described in this RFP.
3. The RFP includes the following documents:
  - Letter of Invitation
  - Data Sheet
  - Instructions to Bidders
  - Technical Proposal, for Standard Forms
  - Financial Proposal, for Standard Forms
  - Description of Approach and Methodology
  - Terms of Reference (ToR)
4. Please note that while all the information and data regarding this RFP is, to the best of the Client's knowledge, accurate within the considerations of scoping the proposed contract, the Client holds no responsibility for the accuracy of this information and it is the responsibility of the Consultant to check the validity of data included in this document.
5. Bidders are requested to submit scanned copies of following documents along with their proposals: -
  - i. Document Fee (Non-Refundable) of Rs. 5,000/- (Five Thousand only) in the shape of demand draft of scheduled bank.
  - ii. Earnest Money Deposit (EMD)/ Bid Security (Refundable) of Rs. 2,00,500/- (Rupees Two Lakhs and Five Hundred only)
  - iii. Copy of certificate of Incorporation/Registration Certificate.
  - iv. Audited Statement of Annual Turn Over of last 3 years to be enclosed along with ITR.
  - v. Certificate/Work order/MOU from employer regarding experience in third party quality monitoring of civil works.
  - vi. Original draft of EMD in the name of Director, State Urban Development Agency, Uttar Pradesh and Document fee shall also be submitted physically before the scheduled date.

  
Director  
State Urban Development Agency

**Annexure A: Data Sheet**

1.	Name of the Client: Director, State Urban Development Agency
2.	Method of selection: The mode of selection will be QCBS where weightage to Technical and Financial Proposal will be 70:30 respectively. Financial Proposal of only those firms will be opened who will secure a minimum of 70% marks in technical evaluation.
3.	Financial Proposal to be uploaded online together with Technical Proposal: Yes
4.	Title of Consulting Service is: Third Party Quality Monitoring (TPQM) with respect to TPQMA guidelines of PMAY-HFA (Urban), Uttar Pradesh.
5.	A pre-bid Meeting will be held: Yes Date: 09/04/2018 Time: 11:00 a.m. Venue: State Urban Development Agency, Navchetna Kendra, 10 Ashok Marg, Lucknow - 226001
6.	Client Representative: Director or Official nominated by Director, State Urban Development Agency
7.	Proposals shall remain valid for 120 days after the submission date indicated in this Data Sheet.
8.	The Consultant is required to include with its Proposal written confirmation of authorization to sign on behalf of the Consultant: Yes
9.	Bidders Eligibility Criteria: Applicable The Criteria is listed as below: a) The consultancy/Agency must have been operation in India for at least 05 years. Proof of registration as a legal entity must be submitted. b) The Agency should have experience of Third Party Quality Monitoring in civil works. c) The TPQMA should have positive networth. d) The TPQMA deploys optimum number of experts as per the provisions of Reference Guide for TPQM, issued by MHUPA, GoI e) The Agency should deploy a team of experts i.e. Senior Engineer, Civil as Team Lead and Engineer Electrical/Mechanical having experience of similar kind of projects and expertise in the concerned sectors as given in clause 9 Annexure-4 of GoI Reference Guidelines f) No conflict of interest prevails in the engagement. g) Average annual turnover of consultants/agencies for the last three financial years should be equal to or greater than Rs. 50Lacs h) The Consultancy/Agency must be registered with Income Tax department and /or the concerned taxation department and should have valid PAN, TAN, GST number. i) Registered firms/Consultancies/Agencies under Indian Partnership

	<p>act/ Societies Registration Act or Registered companies under companies registration act are only eligible to participate in this RFP.</p> <p>Note: Proposals without these documents will be treated as ineligible.</p>
<b>10.</b>	<p>Technical and Financial Proposals are to be submitted through online mode only, before the last date and time as specified in the tender documents. The cost of tender documents and EMD will be submitted physically by the bidder in the form of Demand Draft till 17/04/2018 4:00 pm.</p>
<b>11.</b>	<p>A non-refundable RFP Cost must be submitted with Technical Proposal: Yes. The amount of the RFP Cost is Rs. 5,000/ (Five thousand) in the form of Demand Draft favoring the Director, State Urban Development Agency and drawn on a Nationalized bank/ Scheduled Bank, Payable at Lucknow.</p>
<b>12.</b>	<p>An Earnest Money Deposit (EMD)/ Bid Security must be submitted with Technical Proposal: Yes The amount of the Earnest Money Deposit (EMD) is Rs. 2,00,500/- (Rupees Two Lakhs Five Hundred only) in the form of Demand Draft favoring the Director, State Urban Development Agency and drawn on a Nationalized bank/ Scheduled Bank, Payable at Lucknow.</p>
<b>13.</b>	<p>The EMD must be valid for a period of 120 days from date of opening of bid. EMD shall be refunded to the successful bidder within 30 days after signing of agreement with Director, State Urban Development Agency. For unsuccessful bidders the EMD shall be refunded within 30 days after signing of agreement with the successful bidder.</p>
<b>14.</b>	<p>A Performance Security equal to 5% of the Work Order Value (project-wise), rounded to nearest multiple of hundred is to be furnished within 10 days from the date of issuance of the Work Order and shall remain valid for a period of 30 days beyond the date of completion of all contractual obligations.. It may be provided as 100% Bank Guarantee (as per prescribed format as enclosed – LIST -2). Performance guarantee will be made in the name of: Director, State Urban Development Agency, drawn on a nationalized or scheduled commercial bank.</p>
<b>15.</b>	<p>Currency for Proposals is: Indian National Rupee (INR)</p>
<b>16.</b>	<p>Expected date for opening of Financial Proposals: After completion of Technical Evaluation. The information will be uploaded on e-tender website</p>
<b>17.</b>	<p>Expected date for commencement of consulting services: Within 10 days of signing the agreement with State Urban Development Agency</p>
<b>18.</b>	<p>The proposals will be evaluated based on the information provided by the applicants and the evaluation will be done as per detailed criteria mentioned in the RFP Document.</p>
<b>19.</b>	<p>The services of the TPQMA are required to for <b>04 years</b>. The TPQMA will undertake field visit for ascertaining quality of construction at various stages of construction (preferably at the beginning i.e. 10-15 % of progress, mid of construction i.e. 50-60 % of progress and completion i.e. 85-100 % of progress)</p>



### **Status of Projects**

The projects are being sanctioned from time to time as per the guidelines and timelines fixed by the GoI as per targets.

This assignment is for 1000 projects (5 Lacs DU's) spread over 653 Urban Local Bodies of the State.

## **Instructions to Bidders (General and to participate in E-tendering)**

### **1. Introduction**

- 1.1 The Consultants are invited to upload a Technical Proposal as specified in the Data Sheet. The Proposal shall be the basis for a signed Contract with the selected Consultant.
- 1.2 The Consultant shall bear all costs associated with the preparation and submission of its Proposal and contractnegotiation.
- 1.3 The Client is not bound to accept any Proposal and reserves the right to annul the selection process at any time prior to award of Contract without thereby incurring any liability to theConsultant.

### **2. EligibilityCriteria**

The bidders should satisfy the following minimum eligibility and those as specified in the Data Sheet. Only those who satisfy these criteria should submit the proposal with necessary supporting documents.

- 2.1 A firm declared ineligible by the Government of India or Government of Uttar Pradesh shall be ineligible to provide consulting services under the project.
- 2.2 No Conflict of interest prevails in theengagement.
- 2.3 Conflict of interest for a TPQMA is definedas:
  - 2.3.1 Any agency involved as a consultant in DPR preparation,supervision or PMC services work in any of the PMAY projects in Uttar Pradesh applying for TPQMA is a conflict of interest in the particular package(as the case maybe).
  - 2.3.2 The team members of TPQMA should not have been an employee of any City or State level government agency in that particular State in preceding 2 years of this contract.
  - 2.3.3 The agency black listed or debarred by the Government would not be eligible forTPQM.
- 2.4 The Terms of Reference (TOR) are as per the prescribed Scope and Deliverables.

### **3. Number of Proposals**

Consultants can only submit one proposal for any 1 Package. If a Consultant submits or participates in more than one proposal or for more than 1 package, such additional proposal(s) shall be disqualified except the one receivedfirst.

### **4. Clarifications of RFPDocuments**

4.1 Consultants may request clarification of any of the RFP documents up to a day prior to pre-bid date. Any request for clarification must be sent in writing, including by standard electronic means, to the Client's Representative whose address is provided in the Data Sheet. Should the Client deem it necessary to amend the RFP because of a clarification, it shall do so following the procedure set out under Clause4.2.

4.2 At any time before the date(s) for submission of Proposals, the Client may

amend the RFP by issuing an addendum in writing and shall upload the same on the website [www.etender.up.nic.in](http://www.etender.up.nic.in)

## **5. Preparations of Proposals**

5.1 The Proposal and all related correspondence exchanged between the Consultant and the Client shall be written in the English language. Supporting documents and printed literature that are part of the Proposal may be in another language provided they are accompanied by an accurate translation of the relevant passages in English, in which case, for the purposes of interpretation of the Proposal, the translated version i.e. English language shall govern.

5.2 The Consultant shall bear all costs associated with the preparation and submission of its Proposal. The Client shall not be responsible or liable for those costs, regardless of the conduct or outcome of the bidding process.

## **6. Instructions for Submission of Proposal**

6.1 These instructions should be read in conjunction with information specific to the consulting services contained in the Covering Letter, Data Sheet and accompanying documents.

6.2 Proposals must be received before the deadline specified in the Data Sheet to tender. Proposals must be submitted as per date and time specified in the Data Sheet.

6.3 Consultants shall submit the proposal in an online mode on website [www.etender.up.nic.in](http://www.etender.up.nic.in)

## **7. Technical Proposal (To be submitted Online Only) (see Annexure B)**

The Technical Proposal shall contain the following:

- (a) Covering Letter (Format 1);
- (b) Legal Constitution & Number of Years of Existence; (Format 2);
- (c) Financial Standing (Annual Turnover) of agency; (Format 3);
- (d) Project detail sheets outlining Consultant's background and general experience in the field of Quality Assurance of Civil Works in similar types of assignments completed during the past years. List of relevant Completed Projects executed by the Consultant in the preceding 3 years (in prescribed Format 4);
- (e) CVs of personnel to work on this project (in the CV please include name of staff, nationality of staff, profession/designation of staff, proposed position in the team, whether employee of the firm, number of years with the firm, key qualifications, education, experience and languages known), restricted to maximum of two (2) pages per CV (Format 5);
- (f) List of proposed expert team and summary of CV relevant to the project, Subject to maximum of two (2) pages (Format 6);
- (g) Description of Approach, Methodology and Work Plan for Performing the Assignment/Job: Technical approach, methodology and work plan are key components of the Technical Proposal. (use Annexure D);
- (h) Matters not appropriate in any other section. This includes: written confirmation authorizing the signatory of the Proposal to commit the Consultant.
- (i) No mention of your commercial response should be made anywhere in the Technical Proposal, unless specified in the Data Sheet; non-confirmation will

result in automatic disqualification of the Consultant's Proposal.

**8. Financial Proposal (to be submitted online only) (See AnnexureC)**

The Financial Proposal shall be submitted strictly as per Format 7 in Annexure C.

Finance Bids must be submitted as per guidelines of MoHUPA no case financial bids above guidelines shall be accepted. The maximum eligible payments are as follows:

- 1) Rs. 40,000/- per visit is approved for TPQMA inclusive of all taxes
- 2) Payment up to Rs. 1,20,000/- per project. Inclusive of all taxes

**9. Submission Instructions**

**9.1** Consultants are supposed to carefully review the contract provisions attached in the RFP for preparation of their Proposals.

**9.2** The Consultant shall submit Proposals using the appropriate submission sheets provided in Annexure B, C & D. These forms must be completed without any alteration to their format, and no substitutes will be accepted. All fields shall be completed with the information requested.

**10. Proposal Validity**

**10.1** Proposals shall remain valid for the period specified in the Data Sheet commencing with the deadline for submission of Proposal as prescribed by the Client.

**10.2** A proposal valid for a shorter period shall be considered non-responsive and will be rejected by the Client out rightly.

**10.3** In exceptional circumstances, prior to the expiration of the proposal validity period, the Client may request Consultants to extend the period of validity of their Proposals. The request and the responses shall be made in writing. A Consultant may refuse the request. A Consultant granting the request shall not be required or permitted to modify its Proposal.

**10.4** During the Proposal validity period, Consultants shall maintain the availability of experts nominated in the Proposal. The Client will make its best effort to complete negotiations within this period.

**11. Format and signing of Proposals**

Scanned copies of following may be uploaded on the portal.

**11.1** Technical Proposal should be submitted online only.

**11.2** Financial Proposal should be submitted online only.

**11.3** The proposal shall be in the form of .pdf file and shall be signed by a person duly authorized to sign on behalf of the Consultant. This authorization shall consist of a written confirmation and shall be attached to the Technical Proposal. The name and position of each person signing the authorization must be typed or printed below the signature. Any interlineations, erasures, or overwriting shall be valid only if signed or initialed by the person signing the Proposal.

11.4 The Client may, at its discretion, extend the deadline for the submission of Technical Proposal by amending the RFP in accordance with Clause 4.2, in which case all rights and obligations of the Client and Consultants subject to the previous deadline shall thereafter be subject to the deadline as extended.

## **12. Evaluation of Technical Proposals**

12.1 The eligibility criteria will be first evaluated as defined in Notice Inviting Request for Proposals for each bidder. Detailed technical evaluation will be taken up in respect of only those bidders, who meet with the prescribed minimum qualifying eligibility criteria. The bidders securing minimum 70% marks in technical evaluation shall be considered as technically qualified.

12.2 The State Urban Development Agency will constitute a Tender Evaluation Committee for evaluation of Proposals received. The committee will be approved by the Principal Secretary.

12.3 The evaluation committee evaluates the Technical Proposals on the basis of Proposal's responsiveness to the TOR using the evaluation criteria system specified in the RFP. A Proposal shall be rejected if it does not achieve the minimum qualifying eligibility criteria.

12.4 A Technical Proposal may not be considered for evaluation in any of the following cases:

- (i) The Consultant that submitted the Proposal was found not to be legally incorporated or established in India; or
- (ii) The Technical Proposal was submitted in the wrong format; or
- (iii) The Technical Proposal reached the Urban Development after the submission closing time and date specified in the Data Sheet.

12.5 After the technical evaluation is completed, the State Urban Development Agency shall notify the firms whose Proposals did not meet the minimum qualifying technical eligibility criteria/score or firms whose Technical Proposals were considered non-responsive to the RFP requirements, indicating that their Proposals will not be further processed. SUDA shall simultaneously notify, in writing to the consultants whose Proposals secured minimum qualifying criteria/score, indicating the date, time, and location for opening of Technical/ Financial bids. (Consultants' attendance at the opening of bids is optional).

## **13. Criteria for Evaluation of Technical Proposals**

13.1 Technical proposal of all the Applicants will be evaluated based on the following Evaluation Criteria.

13.2 Technical proposals of all the Applicants will be evaluated based on **Quality Cost Based Selection** system. Evaluation of the proposals will be done by the evaluation committee as per the parameters mentioned in clause 13.2.1

### **13.2.1 Evaluation Criteria :**

S. No.	Evaluation Criteria	Score
1	Specific Experience of consultant related to the present assignment Proven track record of similar completed projects. (Max. 10 marks for each project)	50
2	Description of Approach, Methodology and Work Plan for Performing the Assignment/Job	
a	Approach, Methodology and Work Plan	10
b	Team structure (Personnel (CVs))*	
	Team leader (Senior Engineer, Civil) (03 marks per person)	18
	Engineer (Mechanical /Electrical) (02marks per person)	12
	<b>Total</b>	<b>100</b>

Note: 1 Team Leader (Senior Engineer Civil) and 1 Engineer (Mechanical/ Electrical) per Cluster is mandatorily required to be deputed at each Cluster.

\* For evaluation of each of the key professionals the following sub-criteria can be followed:

(a) Educational qualifications(30%)

(b) Adequacy for the assignment / job (70%) (Experience in carrying out similar assignment/job).

The Technical Proposal must include an undertaking by the bidder stating that none of the Consultant proposed in the present proposal have been de-mobilized for poor/unsatisfactory performance from any project during the last three years. The undertaking must be a separate document and forms an indispensable part of the Technical Proposal.

Any bidder which proposes to use a consultant who is already committed on any other project/contract and whose deployment on the new contract would be in conflict with the working of any existing contract shall be scored zero against that position.

The firm shall submit the details of full team while submitting the bids and no changes in key professionals during implementation of the assignment is allowed. However, in case of exigencies like health reasons, the changes in key professionals will be admissible provided they are equivalent or better than the original CVs, in which case, one time penalty of Rs. 5,000 for the first change, Rs. 10,000 for the second change and Rs. 15,000 thereafter shall be levied.

#### 14. Evaluation of Financial Proposals

14.1 Financial proposals shall be downloaded and evaluated;

14.2 The evaluation committee will review the detailed content of each Financial Proposal. During the review of Financial Proposals, the Committee.

Financial Proposals will be reviewed to ensure these are:

- i. Complete, to see if all items of the corresponding Financial Proposal are priced,
- ii. Computational errors if any, will be corrected;

Evaluation Process:

- (i) Under QCBS, the technical proposals will be allotted weightage of 70% while the financial proposals will be allotted weightages of 30%.
- (ii) Proposal with the lowest cost may be given a financial score of 100 and other proposals given financial scores that are inversely proportional to their prices.
- (iii) The evaluated total price (ETP) for each Financial Proposal will be determined by following:

$$Sf = 100 \times Fm / F$$

Where:

Sf is the financial score of the Financial Proposal being evaluated

Fm is the ETP of the lowest priced Financial Proposal

F is the ETP of the Financial Proposal under consideration

- (iv) The total score, both technical and financial, shall be obtained by weighing the quality and cost scores and adding them up. The proposed weightages for quality and cost shall be specified in the RFP.
- (v) Highest points basis: On the basis of the combined weighted score for quality and cost, the consultant shall be ranked in terms of the total score obtained. The proposal obtaining the highest total combined score in evaluation of quality and cost will be ranked as H-1 followed by the proposals securing lesser marks as H-2, H-3 etc. The proposal securing the highest combined marks and ranked H-1 will be invited for negotiations, if required and shall be recommended for award of contract.

## 15. Method of Selection

The bids of only those consultants who qualify technically (**Minimum Qualifying Marks: 70%**) will be opened and then the proposal with the lowest cost quoted may be given a financial score of 100 and other proposals given financial scores that are inversely proportional to their prices. On the basis of the combined weighted score for quality and cost, the consultant shall be ranked in terms of the total score obtained. The proposal obtaining the highest total combined score in evaluation of quality and cost will be ranked as H-1 followed by the proposals securing lesser marks as H-2, H-3 etc. The proposal securing the highest combined marks and ranked H-1 will be invited for negotiations, if required and shall be recommended for award of contract

## 16. Award of Procurement Services

State Urban Development Agency will issue Letter of Intent (LoI) in favour of bidder who will be selected. A Letter of Award (the "LOA") shall be issued, in

duplicate, by State Urban Development Agency to the Selected consultancy agency/ firm and the Selected consultancy agency/ firm shall, within 7 (seven) days of the receipt of the LOA, sign and return the duplicate copy of the LOA with acknowledgement thereof.

**17. Execution of Agreement**

After acknowledgement of the LOA as aforesaid by the Selected Applicant, it shall execute the Contract Agreement on submission of performance bank guarantee within the period of 7 days from the date of issuance of LOA.

**18. Property Data**

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

**19. Penalty**

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

**20. Settlement of Disputes 11.1 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.

**20.1 Dispute Settlement**

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

20.1.2 All disputes and differences between the parties arising shall be referred to state government who will be sole arbitrator. The decision of sole arbitrator shall be final and binding on both.

The place of Arbitration shall be at Lucknow, Uttar Pradesh.



**Note: Following conditions will over-rule the conditions stated in the tender documents, wherever relevant and applicable**

**E-Tendering :**

- For participation in e-tendering, it is mandatory for prospective bidders to get registration on website [www.etender.up.nic.in](http://www.etender.up.nic.in). Therefore, it is advised to all prospective bidders to get registration at the earliest.
- All tender documents can be downloaded from the website [www.etender.up.nic.in](http://www.etender.up.nic.in)
- As per the directions of the Controller of Certifying Authorities, Ministry of Communication and Information Technology, Government of India, a class III digital certificate shall be required to bid for all tenders solicited electronically. If the bidder does not have such a certificate, it may be obtained from any of the registering authorities or certification authorities mentioned on [http://cca.gov.in/cca/?q=licensed\\_ca.html](http://cca.gov.in/cca/?q=licensed_ca.html). Or through UP Electronics Corporation, Lucknow. Kindly note that it may take a few business days for the issue of a digital certificate. Bidders are advised to plan their time accordingly. State Urban Development Agency shall bear no responsibility for accepting bids which are delayed due to non-issuance or delay in issuance of such digital certificate.
- If bidder is bidding first time for e tendering, then it is obligatory on the part of bidder to fulfill all formalities such as registration, obtaining Digital Signature Certificate etc. well in advance.
- Bidders are requested to visit our e-tendering website regularly for any clarifications and/or due date extension or corrigendum.
- Bidder must positively complete online e-tendering procedure at [www.etender.up.nic.in](http://www.etender.up.nic.in)
- State Urban Development Agency shall not be responsible in any way for delay/difficulties/inaccessibility of the downloading facility from the website for any reason whatsoever.
- The bidder who so ever is submitting the tender by his Digital Signature Certificate shall invariably upload the scanned copy of the authority letter as well as submit the copy of the same in physical form with the offer of this tender.

Apart from uploading e-tender on website, bidder must submit separate envelopes of

- RFP Document Fees (Demand Draft) of Rs. 5,000/- (Five Thousand Only) and EMD (Demand Draft) of **Rs. 2,00,500/- (Rs. Two Lakh Five Hundred Only)**, Affidavit, Authority Letter to Sign on behalf of Consultant, Authority Letter for use of Digital Signature, etc in an envelope before last date of submission of online bid. The prospective bidders will upload scanned self-certified copies of requisite documents as required in e-tendering process.

**Technical bid**

Bidders must positively complete online e-tendering procedure at [www.etender.up.nic.in](http://www.etender.up.nic.in) They shall have to submit the documents as prescribed in the RFP online in the website.

**Price bid**

Bidder must submit the Price bid document as per the format given in RFP/available Online and uploaded as per instructions therein. **Physical submission of price bid will not be considered.** The price of technically qualified bidder shall be opened online at the notified date. The bidder can view the price bid opening date by logging into web-site. The financial bid will be opened only after completing technical evaluation and scoring. After obtaining approval of Principal Secretary on final technical score, the financial bid will be opened.

- On the due date of e-tender opening, the technical bid of bidders and EMD and tender fee, will be opened first. SUDA reserves the right for extension of due date of opening of technical bid.
- SUDA reserves the right to accept or reject any or all tenders without assigning any reason what so ever.
- Any change/modifications/alteration in the RFP by the Bidder shall not be allowed and such tender shall be liable for rejection.

For amendment, if any, please visit [www.etender.up.nic.in](http://www.etender.up.nic.in) web site regularly. In case of any bid amendment and clarification, the responsibility lies with the bidders to note the same from web site of SUDA or [www.etender.up.nic.in](http://www.etender.up.nic.in). SUDA shall have no responsibility for any delay/omission on part of the bidder.

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

**Format 1: Covering Letter**

[Location,Date]

To: Director,  
State Urban Development Agency  
Navchetna Kendra, Ashok Marg  
Lucknow - 226001

Dear Sir,

We, the undersigned, offer to provide the Services for [Insert title of assignment] in accordance with your Request for Proposal dated [Insert Date] and our Proposal.

We are hereby submitting our Proposal, which includes the Technical Proposal through an online mode.

We hereby declare that we have read the Instructions to the firms included in the RFP, and abide by the same, and specifically to conditions mentioned in Section 1.5. [In case of any declaration, reference to concerned document attached must be made]. We hereby declare that all the information and statements made in this Proposal are true and accept that any misleading information contained in it may lead to our disqualification. We confirm that all personnel named in the tender will be available to undertake the services.

We undertake, if our Proposal is accepted, to initiate the Services related to the assignment not later than the date indicated in the DataSheet.

We understand you are not bound to accept any Proposal you receive.

Yours faithfully,

Authorized Signature [In full and initials]: Name

and Title of Signatory:

Name of Firm:

Address:

**Attachments:**

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

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

<b>Organization Name:</b>		
1	Status/ Constitution of the firm/ agency	
2	Name of the Registering Authority	
3	Registration No	
4	Date of registration	
5	Place of Registration	
6	No. of years of existence	

For and on behalf of: (Company Seal)

Signature:

Name:

Designation:

(Authorized Representative and Signatory)

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

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

Certificate from the Statutory Auditor regarding the Average annual turnover of the organization is Rs. \_\_\_\_\_for the last 3 financial year ending on 31<sup>st</sup>march 2017. Based on its books of accounts and other published information authenticated by it, this is to certify that..... (Name of the Bidder) had, over the last three Financial Years, a Total turnover of the organization is Rs. \_\_\_\_\_ as per year-wise details notedbelow:

<b>Financial Year</b>	<b>Turnover (Rs. In Lakhs)</b>
FY 2014-2015	
FY 2015-2016	
FY 2016-2017	
Total Turnover	
Average Annual Turnover	

Name of the audit firm/ Chartered Accountant:

Seal of the audit firm:

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

Date:

Note: Please provide certified copies of Audited Financial Statements of the organization/agency for over the last three Financial Years.

**Format 4: Project Detail Sheet**

(Please fill separate assignment wise)

Assignment name:	Approx. value of the contract (in current Rs):
State & City name:	
Name of Client:	
Address of Client:	
Start date (month/year):	
Completion date (month/year):	
Name of Senior Staff (Project Director/Coordinator, Team Leader) involved from your firm and functions performed indicated whether regular full-time employees of your firm or part-time/independent:	
Narrative description of Project in brief:	
Description of actual services provided by your firm in the assignment:	

Authorized Signatory [In full initials and Seal]: \_\_\_\_\_

Name of the Organization: \_\_\_\_\_

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

Proposed Position..... (Please fill separate format 5 for proposed all proposed experts)

NAME:

DATE OF BIRTH:

NATIONALITY:

EDUCATION: [year] [name of institution and degree]

MEMBERSHIP OF PROFESSIONAL ASSOCIATIONS:

COUNTRIES OF WORK

EXPERIENCE

LANGUAGES

PROFESSIONAL BACKGROUND

[Description] EMPLOYMENT

RECORD

[Year starting with present position][employer]

PROFESSIONAL EXPERIENCE

[Month and year start to finish]

[Name of project and client]

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

.....

Certification:

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

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

[Signature of expert or authorized representative]

\_\_\_\_\_ [Name of Expert/Authorized signatory].

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

<b>Name</b>	<b>Position Assigned</b>	<b>Task Assigned</b>	<b>Employment Status with Firm (full-time)</b>	<b>Education/ Degree (Year / Institution)</b>	<b>No. of years of Relevantproject experience</b>

Authorized Signatory [In full initialsandSeal]: \_\_\_\_\_

Name of theOrganization: \_\_\_\_\_



**Annexure C: Financial Proposal**

**Format 7: Financial Proposal**

To

Director,  
State Urban Development Agency,  
Navchetna Kendra, 10 Ashok Marg  
Lucknow - 226001.

Dear Sir,

Subject: Appointment of Third Party Quality Monitoring Agency under PMAY-HFA (U) in Uttar Pradesh.

I/We Consultant herewith quote Rs \_\_\_\_\_ (In words \_\_\_\_\_) per visit including taxes as applicable. The amount quoted above is inclusive of all out of pocket expenses, travelling and no further amount shall be claimed to us over and above rate quoted for per visit.

Yours faithfully,

Signature:

Full Name:

Designation:

Address: Tel.:

Nos. (O) (R)

(M)

E-mail:

Fax No:

## **Annexure D**

### **Description of Approach, Methodology and Work Plan for Performing the Assignment/Job**

[Technical approach, methodology and work plan are key components of the Technical Proposal. You are suggested to present your Technical Proposal divided into the following three chapters:

a) Technical Approach and Methodology,

b) Work Plan, and

c) Team Structure,

a) **Technical Approach and Methodology:** In this chapter you should explain your understanding of the objectives of the Assignment/job, approach to the Assignment/job, methodology for carrying out the activities and obtaining the expected output. You should highlight the problems being addressed and their importance, and explain the technical approach you would adopt to address them. You should also explain the methodologies you propose to adopt and highlight the compatibility of those methodologies with the proposed approach.

b) **Work Plan:** The consultant should propose and justify the main activities of the Assignment/job, their content and duration, phasing and interrelations, milestones (including interim approvals by the TPQMA Employer), and delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology, showing understanding of the TOR and ability to translate them into a feasible working plan. A list of the final documents, including reports, drawings, and tables to be delivered as final output, should be included here.

c) **Team Structure:** Please explain your understanding of the Objectives of the assignment as outlined in the Terms of Reference (TORs), the team structure and adopt for implementing the tasks to deliver the expected output(s), and the degree of detail of such output. Please do not repeat/copy the TORs in here.]

## Annexure E: Terms of Reference (ToR)

### 1 Project Background

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

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

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

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

The Pradhan Mantri Awas Yojana (PMAY) will be implemented as a Centrally Sponsored Scheme except for the component of Credit Linked Subsidy which will be implemented as a Central Sector Scheme. The scheme also prescribes certain mandatory reforms for easing up the urban land market for housing, to make adequate urban land available for affordable housing. The scheme will cover the entire urban region and will be implemented in phased manner.

### Need for Third Party Quality Monitoring (TPQM):

Effective monitoring of ongoing project(s) is a key to successful completion of any project with monitoring of quality being most significant aspect. A State level mechanism for **Third Party Quality Monitoring** of projects sanctioned under PMAY has been evolved with the following objective:

1. Review and monitoring of quality of all PMAY projects implemented by ULBs/Implementing Agencies.
2. Provide a structured report on the quality of projects under PMAY.

The visits by third party agencies to the project site and to monitor and advise State and Urban Local Bodies/ Implementing Agencies on quality related issues.

On the basis of quality assurance report by such agencies, States and ULBs/IAs should take both preventive and curative measures to ensure that standard quality houses and infrastructure are constructed under the mission.

The independent reports from TPQMA will help to identify the constraints and issues in the

project implementation and enable a corrective action if necessary.

**TPQMA** would enable the following:

- Review of land requirement/ availability, Site preparation & other statutory clearances.
- Review of Project Implementation Plan and procurement process.
- Review of approved quality monitoring plan.
- Review of Safety and Health aspects.
- Examine Convergence with the Central/ State scheme.
- Beneficiary participation/ satisfaction in the project.
- Report on Quality Assurance. (Indicative formats are at **Annexure-2,2A&3**)
- Remedial measures to improve quality of the project.

PMAY projects are approved by Central Sanctioning & Monitoring Committee at the Centre after Detailed Project Reports (DPRs) prepared by ULBs are approved by State Level Appraisal Committee (SLAC) and State Level Sanctioning and Monitoring Committee (SLSMC). At each stage, there may be suggestions and recommendations and TPQMA would ensure that these points are incorporated in the implementation of the projects. TPQMA would ensure periodic feedback to all key stakeholders. It is, therefore, imperative that each project is covered by TPQM and periodic feedback is given to all stakeholders at ULB/Town/City, State & Central level.

## **2 Scope of Work**

1 This Terms of Reference is to support State Urban Development Agency, Uttar Pradesh in the implementation of Pradhan Mantri Awas Yojana (PMAY) as per the TPQMA guidelines issued by Ministry of Housing Urban Poverty Alleviation, Government of India and to achieve the ultimate objective of providing **Housing For All by 2022**. The terms of reference shall be liable to adapt to subsequent amendments in the guidelines by MoHUPA. For Mission Strategy, Mission Components, TPQMA guidelines and further details available at [http://mhupa.gov.in/User\\_Panel/UserView.aspx?TypeID=1434](http://mhupa.gov.in/User_Panel/UserView.aspx?TypeID=1434) may be referred.

2 The overall scope of work of the Consultant shall cover the following:

The TPQMA will undertake field visit for ascertaining quality of construction at various stages of construction. Site visits will be organized at different stages as indicated by the implementing agencies as 'milestones' in their work plan, which may consist of intermediate stages of development of work or contracting packages. These visits shall be preferably at the beginning i.e. 10-15 % of progress, mid of construction i.e. 50-60 % of progress and completion i.e. 85-100 % of progress with the objectives as under:

- i. Schedule the field visits in the cities across the State/UT after proper coordination at State/ ULB level.
- ii. Examine project documentation with respect to sanctioned covenants.
- iii. Review of land requirement/ availability, Site preparation & other statutory clearances.
- iv. Review of project implementation plan and procurement process.
- v. Review of approved quality monitoring plan.
- vi. Review of Safety and Health aspects.
- vii. Examine Convergence with the Central/ State scheme.
- viii. Beneficiary participation/ satisfaction in the project.

- ix. Report on Quality Assurance. (Formats are at Annexure-2,2A&3)
- x. Remedial measures to improve quality of the project.
- xi. File report in a timely manner.
- xii. Follow-up action of the report, which would be ascertained in the next report.

TPQM will be done for all projects which are being constructed under ISSR and AHP components of PMAY (U). In case of BLC projects, a systematically selected sample of houses may be monitored. The sampling should be done through a transparent and well-defined process to cover all the BLC Projects in the city in a holistic way, leading to selection of a representative sample.

The recommended sample size for monitoring BLC houses is 10% of DUs or 50 DUs, whichever is more. In cities where there are multiple 'BLC projects' with less than or equal to 500 DUs, the SLNA/TPQMA may consider forming of clusters of around 500 or more DUs which could then be considered as a single unit/project to draw bigger samples of more than 50 DUs which can be covered under one TPQM. In towns where there are less than 50 DUs, all shall be covered in TPQM.

**3 Conflict of Interest:**

Conflict of interest for a TPQMA is defined as:

- Any agency involved as a consultant in project preparation, supervision or implementation work in any of the PMAY projects applying for TPQMA is a conflict of interest in the particular project/City/State (as the case maybe)
- The team members of TPQMA should not have been an employee of any City or State level government agency in that particular State in preceding 2 years of this contract.
- The agency black listed or debarred by the Government would not be eligible for TPQM.

**4 Time Frame:**

The services of the TPQMA are required to for **4 years**. The TPQMA will undertake field visit for ascertaining quality of construction at various stages of construction preferably at the beginning i.e. 10-15 % of progress, mid of construction i.e. 50-60 % of progress and completion i.e. 85-100 % of progress. The report to be submitted within a week time after the visit to project site.

S. No.	Nature of Review	Frequency of Reports	Format
1	<b>At the beginning of Construction</b> <i>i.e. 10-15 % of progress,</i>	Once	Annexure 2 & Annexure 2A & Annexure 3
2	<b>Mid of construction</b> <i>i.e. 50-60 % of progress</i>	Once	
3	<b>Final stage Construction</b> <i>85-100 % of progress</i>	Once	

**Time Duration and Submission of Report:**

The consultant will have to undertake the visit at each stage as mentioned above upon receipt of intimation from Director, SUDA or any authorized representative in this regard, and submit the reports in the prescribed formats annexed in this RFP both in Hard copy and soft copy along with relevant documents, within a period of 15 days from the date of issue of the Letter of visit

intimation.

## **5 Outcome and Deliverables:**

TPQM agencies will undertake field visits for ascertaining quality of construction at various stages of construction as per PMAY (U) TPQM Reference Guide. 'Visits' include examining/reviewing project documents and implementation and conducting any required tests/assessments and report writing.

TPQM Agency/ Consulting Firm will undertake following activities for submitting Third Party Quality Monitoring Report of ISSR/AHP/BLC projects under PMAY.

**Third Party Quality Monitoring Report of ISSR/AHP projects under PMAY** (as also listed in Annexure 2 & 2A)

- i.** Examine project documentation with respect to sanctioned covenants as in description of Work viz. Carpet/ Built up area of EWS house, No. of EWS houses in one block, No. of blocks, Total no. of houses, Type of Structure (G, G+1, G+2, G+3 etc.) etc including date of Award of work, date of commencement and date of completion of project.
- ii.** Review of land requirement/ availability, site preparation & other statutory clearances.
- iii.** Review of project implementation plan and procurement process.
- iv.** Review of approved quality monitoring plan.
- v.** Review of Safety and Health aspects by making site visits to check the availability of drinking water facility on site, adequacy of toilets provided & maintained for site staff/workers, use of adequate safety gear by the site staff like safety helmets, safety shoes, safety goggles, safety jackets, proper securing excavation trenches /upper floors/ducts/lift well by safety railings & safety tapes around them and other safety measures as listed in **Annexure 2**.
- vi.** Examine convergence with the central/ state scheme.
- vii.** Beneficiary participation/ satisfaction in the project.
- viii. Report on Quality Assurance :** To check and report the availability of authenticated copy of DPR, contract document, structural drawings and copies of specifications at site ; To check if the inspection registers, site order book and quality control test registers are maintained at the site properly and endorsed by the Engineer-in-charge; Availability of list of ISI marked/approved materials to be used at site; to check provision in Contract/Tender to provide "Test facilities on site"; To check and report the availability of testing facilities to check quality of material at site; To verify the approving authority for structural design; To check and report if the work is being executed as per the approved drawings fit for execution. To check whether all mandatory tests of construction material, road work, sanitary work, plumbing work, electrical work and concrete in foundations, beams, columns and slabs etc are carried out at stipulated frequency; Whether regular tests of materials and construction products are being got done from accredited labs also.
- ix. Report on beneficiary participation**
- x. Report on progress of Housing Components:** To report the progress of houses constructed vis-à-vis number of houses sanctioned in the project; Overall physical progress of Housing.

- xi. Report on progress of civic infrastructure components:** Report on the status of award of contracts for infrastructure components (i.e. Water supply, Sewerage, Drainage, Roads, SWM etc); Quality of construction of Infrastructure works, etc.
- xii. Report on progress of social infrastructure components:** Report on the status of award of contracts for infrastructure components (Community center, Livelihood center etc.); State the progress of work in%.
- xiii. Report on physical progress of the project/packages:** Check and report whether schedule of work has been made and the availability thereof on site. Details of milestones as per contract vis-à-vis their achievement.
- xiv. Report on Financial progress and Fund utilization of the project:** Record and report the sanctioned fund for entire project, Amount of funds received up to date, Amount of funds Utilized (out of received) Amount of Expenditure by ULB (ULB Contribution + Beneficiaries contribution) Balance funds Expected/due from various stakeholders, Package wise Expenditure.
- xv. Report on variations with respect to sanctioned covenants:** Record any major variations due to cost variation and time overruns.
- xvi. Suggest appropriate remedial measures to improve the progress and quality:** Report the feedback of beneficiaries regarding provision of physical and social infrastructure; Record and report the overall observation on the project (with adequate photographs covering project to a large extent including quality issues as applicable) including the actions suggested to the SLNA and IA.
- xvii. Submit Detailed report on Proposed works:** The TPQMA shall submit detailed report on progress and inspection status of proposed works viz. Building work, civil infrastructure works, Social Infrastructure works (Annexure 2A).
- xviii. File report in a timely manner:** TPQMA shall report the progress with respect to implementation as per the appropriate stage of the project under development;
- xix. Submit follow-up action of the report,** which would be ascertained in the next report. Submit the action taken report on the previous report clearly mentioning the observations of TPQMA, actions suggested thereon and actions taken by the IA. Submit the **TPQMA's overview of the project.**
- 2.1. Third Party Quality Monitoring Report of BLC projects under PMAY** (as also listed in Annexure 3)
- i. Examine particulars of the project** viz. date of approval by SLSMC, commencement and date of completion, status of data upload in MIS etc.
- ii. Report on Quality Assurance:** To check and report the status of capacity building activities to sensitize the beneficiary about quality, construction methods; adherence to disaster resistant technologies etc ; Whether the statutory certificate for disaster resistance design and compliance of code provision is endorsed by the structural designer on the structural drawings fit for execution ; the work is being executed as per the approved drawings fit for execution; Whether cement is free from lumps and is stacked properly to prevent contact with moisture ; Quality of water being used for construction ; Report whether foundation, plinth height has been laid as per drawing is as per drawing/ adequate , Horizontal bands (as applicable) have been provided; report on the Quality of work and workmanship, Report with comments on RCC work , Masonry, Shuttering ,

Bar bending and stirrups bending , placement and cover to reinforcement bars,plastering, doors and windows, seepage, cracks, honeycombing etc. Whether dampness/leakages noticed, whether remedial measures are undertaken by IA/ ULB to Report on Overall assessment of quality Minimum 500 words (To be enclosed separately).

**iii. Report on progress of Housing Components:** To report the progress of houses constructed vis-à-vis number of houses sanctioned in the project; Overall physical progress of Housing ; Stages of progress, numbers of houses not started , Reason for non-start of house construction, if any , numbers of houses occupied by the beneficiaries , reasons for non- occupation of houses (If any)-specific reasons to be given, Whether the progress of houses has been ensured through geo-tagged photographs at various construction level, Whether DBT of fund to individual beneficiary is ensured in the project ; Whether the building plan(s) conform to NBC norms? Whether authenticated building plans and revisions if any, are available? Deviation, if any.

**iv. Report on progress of civic infrastructure components :**Report on the status of provision of civic infrastructure components(i.e. water supply, Sewerage, Drainage, Roads, SWMetc.);status of civic infrastructure (whether independent or integrated with civic infrastructure)

**v. Report on progress of social infrastructure components:** Report on the status of provision of social infrastructure components (school, anganwadi, health center livelihood center etc.);

**vi. Report on Financial progress and Fund utilization of the project:** Record and report the Sanctioned fund for entire project; Amount of funds received up to date, Amount of funds Utilized (out of received) Amount of Expenditure by ULB ; Amount of Expenditure by Beneficiaries Balance funds Expected/due from various stakeholders,

**vii. Report on variations with respect to sanctioned covenants:** Record any major cost variation and reason thereof; Record any major time overrun and reason thereof.

**viii. Suggest appropriate remedial measures to improve the progress and quality:** Report on remedial measures to improve the progress and quality undertaken by implementation agency to improve the physical and financial progress and quality management of the project.

**ix.** Report whether **any innovative/ cost effective/ green technology** has been used.

**x.** Record feedback of beneficiaries regarding provision of physical & social infrastructure; Reasons for delay in completion of housing and Infrastructure; Overall observation on the project (with adequate photographs covering project to a large extent including quality issues as applicable); Critical observations including the actions suggested to the **SLNA** and **IA**.

**xi.** File report in a timely manner: TPQMA shall report the progress with respect to implementation as per the appropriate stage of the project under development;

**xii.** Submit Follow-up action of the report, which would be ascertained in the next report; Submit the action taken report on the previous report clearly mentioning the observations of TPQMA, actions suggested thereon and actions taken by the IA. Submit the TPQMA's overview of the project.

## **6 Mechanism:**

SLNA shall communicate clear directions and guidance to ULBs and Implementing Agencies for extension of cooperation, sharing of information and all necessary assistance to **TPQM Agencies..**



**7 Proposals - Content and Evaluation:**

The technical proposal will comprise profile, credentials and experience of the firm, the proposed team and their detailed CVs, methodology and tasks assigned. **Financial proposal should mention fees for per site visit in the prescribed Financial Bid format.** All applicable taxes should be indicated separately. Evaluation of proposals shall be carried in two stages. Technical bid will be evaluated first and financial bid will be opened only for Agencies qualifying the technical TPQMA benchmark. The **maximum charges** as stipulated in 'Reference Guide for Third Party Quality Monitoring 2017' will be applicable. In case lower rates are obtained through RFPs, the same will apply as terms of payment.

**8 Experts and Their Duration in the Project**

Sr.No.	Position	Job Description	Qualification & Experience
1.	<b>Team Leader (Senior Engineer, Civil)</b>	<p>To lead the team of professionals engaged to carry out the job of monitoring of housing and infrastructure projects.</p> <p>Responsible for ensuring the overall outcome and activity based support envisaged for the TPQMA.</p> <p>Co-ordinate with team member and report to the SLNA on progress of outcomes.</p> <p>Be responsible for the overall management of the Agency and budget, and for the timely and efficient delivery of outputs.</p> <p>Closely monitor the performance in collaboration with the SLNA to ensure that requirements related to PMAY are fully addressed.</p> <p>Liaise with external stakeholders as per the requirements of the scheme</p>	<p>Post Graduate in Civil Engineering <b>with</b> at least 15 years of experience.</p> <p>Experience in the urban sector, of which at-least 3 years should have been on leading monitoring agencies.</p> <p>Shall have a thorough knowledge of :</p> <p>Latest specifications pertaining to Building &amp; infrastructure works</p> <p>Related publications according to which the works are required to be carried out and the tests to be conducted to ensure a good quality work.</p>

2.	<b>Engineer (E/M)</b>	<p>Shall be required at site as directed by the SLNA and shall inspect and monitor implementation of the project, find deficiencies and suggest suitable remedial measures.</p> <p>Support Team Leader / Senior Engineer to document and communicate reports to States and Cities and necessary follow-up actions</p>	<p>Post Graduate in Electrical / Mechanical Engineering with at least 7 years of experience <i>or</i> Diploma in Electrical / Mechanical Engineering with at least 10 years of experience.</p> <p>At least 3 years of experience <b>in</b> the urban housing and infrastructure sector.</p> <p>Shall have exposure to quality assurance in new construction and subsequent Maintenance aspects.</p> <p>Must be familiar with:</p> <p>Modern methods of construction of building.</p> <p>Design standards and technical specification of Electrical and Mechanical works in the building and infrastructure.</p>
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Note: The Bidder has to submit the CVs of Serial No. **1 to 2 of Para 9 only**. The persons whose CVs are proposed in the bid shall not be allowed to change ordinarily. In case of **any urgency, Director, State Urban Development Agency** may consider request of the bidder. The **decision of Director shall be final and binding**.

#### 10. Payment Schedule

The payment will be made subject to work executed/ invoice submitted by the consultant as per TOR.

Note:

- ✓ The consultant will submit the invoice only after completion of the visit, submission of TPQM report to SUDA and approval of the same by GoI.
- ✓ Contract Value is inclusive of GST.
- ✓ Performance guarantee will be released only after the allotted work is successfully completed for all 3 visits and its reports are duly submitted and approved by SUDA and GoI.

**Annexure-1**  
**Format for Annual Quality Monitoring Plan for the year.....**

<b>A.PARTICULARS:</b>					
Name of State/UT					
No of towns under PMAY					
No. of projects proposed under PMAY*	<b>ISSR</b>	<b>AHP</b>	<b>BLC(N)</b>	<b>BLC(E)</b>	<b>Total</b>
(* As per HFAPoA/AIP)					
No. of projects approved under PMAY					
<b>B. Desk review/ Field visits proposed</b>					
<b>Category of project</b>	<b>No. of visits for each project</b>		<b>No. of visits proposed during the year</b>		
"In situ" Slum Redevelopment(ISSR)					
Affordable Housing in Partnership(AHP)					
Beneficiary Led Construction (BLC)(New)					
Beneficiary Led Construction (BLC)(Enhancement)					
<b>C. Others</b>					
Fees proposed/ approved for each visit of TPQMA under each category of projects. (Rs. Lakhs)					
Total Fees proposed/ approved in the year..... (Rs. Lakhs)					
Whether same or different agencies have been proposed/selected for TPQM					
Whether transparent competitive bidding process has been adopted/ envisaged for the selection of TPQM Agency					

**Signature**  
**(State Level Nodal Officer)**

**Signature**  
**(Secretary/ Principal Secretary,**  
**Concerned Department)**

**Annexure-2: Third Party Quality Monitoring Report of ISSR/AHP projects under PMAY**

1	Name of TPQM Agency/consulting firm											
2	Date of Visit											
3	Current Visit No.											
4	Previous visit with date											
<b>A. PARTICULARS OF PROJECT</b>												
1	Name of the State/UT:											
2	Name of the City:											
3	Name of Project:											
4	Project Code:											
5	Implementing Agency (ULB/ DA/ HB/ UIT/Slum Rehabilitation Agency)											
6	Location of the Project (Slum name, Ward etc. As applicable)	(Annex details in case of multiple sites)										
7	Type of Project :(i) In-situ Slum redevelopment (ISSR) (ii) Affordable Housing in Partnership (AHP)											
8	Total Houses (EWS/LIG/MIG/HIG) in the project.											
9	No. of EWS Houses in the project											
10	Description of Work. i. Carpet/ Built up area of EWS house ii. No. of EWS houses in one block iii. No. of blocks iv. Total no. of houses v. Type of Structure (G, G+1, G+2 etc.) No. of storeys/floor.											
11	Date of Approval of project by SLSMC											
12	Approved Project Cost (Rs .Lakhs):	<table border="1"> <thead> <tr> <th>Centre share</th> <th>State share</th> <th>ULB share</th> <th>Beneficiary share</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Centre share	State share	ULB share	Beneficiary share	Total					
Centre share	State share	ULB share	Beneficiary share	Total								
13	Date of sanction of 1 <sup>st</sup> installment of central assistance by CSMC											
14	Duration of Project											
15	Date of Award of work	(Annex details in case of multiple contracts)										
16	Date of commencement	<table border="1"> <thead> <tr> <th>Scheduled</th> <th>Actual</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> </tr> </tbody> </table>	Scheduled	Actual								
Scheduled	Actual											

17	Date of completion	Scheduled	Expected
18	Inspection undertaken by (Name) (with contact detail):	1	
		2	
19	Name of State representative present during visit		
20	Name of ULB representative present during visit		
21	Name of Contractor's representative present during visit		
22	Name of Community representative present during visit		
23	Whether list of Beneficiaries finalized/partially finalized/ not finalized		
24	If finalized, whether uploaded in <b>PMAY MIS</b>		
25	State any deviation from sanctioned DPR in terms of number of houses or size or location or Layout		
26	Compliance of Tender conditions matching to statutory requirements of DPR w.r.t. a. Compliance to time limit. b. Compliance to price escalation. c. Compliance to legal clauses. d. Compliance to liquidated damages.		
27	Compliance to penalties.		
28	Any other comment		
<b>B. HEALTH &amp; SAFETY ASPECTS (ONSITE)</b>			
1	Whether the drinking water facility is provided onsite?		
2	Whether there are adequate no. of toilets provided & maintained for site staff/Workers?		
3	Whether there is a board indicating the safety norms to be observed?		
4	Whether the use of following is being done by site staff Safety Helmets Safety Shoes Safety Goggles Safety Jackets		
5	Whether safety railings & safety tape have been provided around excavation trenches/ upper floors/ducts/lift well?		
6	Whether approved quality & type shoring-strutting- scaffolding are provided for excavation trenches/Pits/Building work?		
7	Whether 'FIRST AID' kit is available at site?		

8	Whether Fire Extinguishers are available at site?	
9	Whether ' <b>Blasting</b> ' is being done on site? If yes, whether necessary permissions have been obtained and required precautions have been taken for control blasting?	
10	Whether any Safety-Officer is employed?	
11	Any other comment	
<b>C. QUALITY ASSURANCE IN THE PROJECT</b>		
1	Whether authenticated copy of DPR, contract document, structural drawings and copies of specifications are available at site?	
2	Whether the Inspection Registers, Site order book and Quality control Test registers are maintained at the site properly and endorsed by the Engineer-in-charge?	
3	Whether list of ISI marked/approved materials to be used is available at site?	
4	Is there a provision in Contract/Tender to provide "Test facilities onsite"?	
5	Whether testing facilities to check quality of material is available at site? if yes attach list of Equipments	
6	Whether the structural Designs are approved/ Proof checked by competent Authority? Name of the approving authority for structural design. Whether the statutory certificate for disaster resistance design and compliance of codal provision is endorsed by the structural designer on the structural drawings fit for execution, especially in case of multi-storied construction. The work is being executed as per the approved drawings fit for execution.	
7	Whether authenticated copy of DPR, contract document, structural drawings and copies of specifications are available at site?	
8	Whether manufacturer test certificate for cement, steel, pipes etc. have been obtained with supply and records are being maintained?	
9	Whether all mandatory tests of construction material, road work, sanitary work, plumbing work, electrical work and concrete in foundations, beams, columns and slabs etc are carried out at stipulated frequency?	
10	Whether regular tests of materials and construction products are being got done from accredited labs also? If yes, details of such labs	

11	Whether soil investigations of the site proper have been done before the structural design and soil parameters have been accounted for in the structural design/ drawings? If yes, attach copy of soil investigation report.	
12	Whether centering /shuttering is checked for staging & propping, line & level, dimensions, cleaning etc. and its quality approved before each stage and record maintained.	
13	Specific control on RCC work like: mixing by full bag capacity hopper fed mixer, control of slump, placing/ compaction with vibrator.(proportioning with boxes not permitted)	
14	Whether cement register is maintained and checked at site. Comment on method of stacking.	
15	Whether concrete mix is nominal or design mix? (Nominal mix not permitted for quality concrete).	
16	What is the Mode of Concrete mixing (batch mix/manual)? In case of manual mixing, whether mixing is by weight or by volume of ingredients? (Volumetric mixing not permitted).	
17	Whether Mixer/Vibrator as specified is available at site with adequate means to run them during concreting?	
18	Whether RMC is being used in work? If yes, detail of control and checks done at plant site. Comment on Quality of aggregates ,Slump test, Cube test etc.	
19	Suitability of water for construction What is the source of water has water been tested and approved by Engineer-in-charge before construction? Has water been tested subsequently as per requirement?	
20	Quality of work and workmanship, Comments on	
	i. RCC work (concrete, Reinforcement detailing, cover to reinforcement). Whether Columns are in plumb (check for verticality).	
	ii. Masonry (Joint details, verticality).Check adequate RCC bands are provided.	
	iii. Shuttering (Type of material-pucca/ katcha, support spacing )	

	iv. Bar bending and stirrups bending ,placement and cover to reinforcement bars.	
	v. Plastering	
	vi. Doors and windows	
	vii. Seepage, if any	
	viii. Cracks, if any	
	ix. Honey combing, if any	
	x. Any other	
21	Whether floor slope (especially) in bath, WC, kitchen, terrace and balcony etc. are proper?	
22	Whether dampness/leakages noticed? If yes, state location and probable reasons.	
23	Whether remedial measures are undertaken by IA/ ULB to stop Dampness & Leakages? if any.	
24	Whether Service lines (Electrical, Plumbing, Others) if any, provided before commencement of concrete?	
25	Whether disaster resistant features have been incorporated?	
26	Whether precautions taken for de watering and protecting site from flooding as applicable?	
27	Whether sample units/items are completed and approved by competent ULB official /CLTC member before start of mass finishing work?	
28	Whether Adequate plinth height (above the general ground level) is provided to the ground floor of the building to avoid possibility of rainwater and reptiles in the building.	
29	Comments on tests already done but not found satisfactory (specify action to be taken)	
30	Frequency of visit by SLNA/ULB officials and SLTC/CLTC member	
31	Any other comments	



32	Overall assessment of quality (in view of structural stability, non-structural work and workmanship) <i>* Video/photographs of the ongoing works maintained by ULB/Implementation Agency may be referred as the case maybe.</i>	
<b>D. BENEFICIARY PARTICIPATION IN THE PROJECT</b>		
1	Whether list of Beneficiaries is prepared	
2	Whether houses are identified and allotted	
3	Whether the Beneficiaries are involved in the project preparation and construction work.	
4	Whether the Beneficiaries are visiting the site or not	
5	Any suggestion of the beneficiaries in the construction	
<b>E. PROGRESS - HOUSING COMPONENTS</b>		
1	Numbers of houses sanctioned in the project	
2	Numbers of houses Completed	
3	Numbers of houses in progress	
4	Stages of Progress (Multi storied buildings): i. Foundation/ Plinth level (Nos.) ii. Superstructure (Framework) Level (Nos.) iii. Brickwork completed (Nos.) iv. . Finishing level (Nos.) v. Total units completed (Nos.) <i>*(Provide detailed report in Annexure-2A)</i>	
5	Numbers of houses not started	
6	Reason for non-starter of houses, if any	
7	Numbers of houses occupied by the Beneficiaries	
8	Reasons for Non- occupation of houses (If any)- specific reasons to be given	
9	Size of Unit (Carpet Area)	

10	Overall physical progress of Housing (in %)	
11	Whether the building plan(s) conform to NBC norms?	
12	Whether authenticated building plans and revisions if any, are available?	
13	Deviation, if any	
14	Any innovative/ cost effective/ green technology has been used?	
15	Any other comment	
<b>F. PROGRESS- CIVIC INFRASTRUCTURE COMPONENTS</b>		
1	Whether Contract for infrastructure components (i.e. water supply, Sewerage, Drainage, Roads, SWM etc.) have been awarded?	
	i) If no, Time line for award of contract for infrastructure works.	
	ii) If Yes, State the progress of work in% a. Water Supply b. Sewerage c. Drainage d. Roads e. Solid Waste Management f. Electrification Any other component (as per sanctioned	
	iii) Deviation if any as per sanctioned DPR	
2	Comments on quality of construction of Infrastructure works	
3	Whether the proposed infrastructure components are independent and/or integrated with city level infrastructure?	
4	Whether Transit Accommodation has been provided. If not what measures have been taken for the displaced families?	
5	Overall physical progress of civic infrastructure (in %)	
6	Cost reduction in infrastructure components (To be reported in case of deviation from sanctioned quantity)	

<b>G. SOCIAL INFRASTRUCTURE COMPONENTS</b>		
1	Whether Contract for Social Amenities (i.e .Communitycentre, Livelihood centre etc.) have been awarded?	
	i) If no, Time line for award of contract for Social Amenities.	
	ii) If Yes, State the progress of work in% a. Communitycentre b. Livelihoodcentre c. Informal SectorMarket d. Any other component (as per sanctioned components) <b>*(Provide detailed report inAnnexure-2A)</b>	
	iii) Deviation if any as per sanctioned DPR	
2	Comments on quality of construction of Social Amenities	
3	Whether livelihood linkages have be ensured?	
4	Overall physical progress of Social Infrastructure (in %)	
5	Overall physical progress of the project (in %)	
<b>H. PHYSICAL PROGRESS OF THE PROJECT/PACKAGES</b>		
1	Is there an approved program / schedule of work& whether the same is available at site office	
2	Overall Percentage progress at the time of inspection vis-à-vis expected as per contract.	
3	Package wise % of progress	(Attach package-wise Annexure)
4	Details of milestones as per contract vis-à-vis their achievement	
5	Reasons for delay	
<b>I. FINANCIAL PROGRESS &amp; FUND UTILIZATION (Rs. in Lakhs)</b>		
1	Sanctioned fund for entire project.	
2	Amount of funds received up to date	

3	Up-to date Expenditure	
4	Amount of funds Utilized (out of received)	
5	Amount of Expenditure by ULB (ULB Contribution+ Beneficiaries contribution)	
6	Balance funds Expected/due from various stakeholders	
7	Package wise Expenditure	
8	Over All Financial Progress %= Total Expenditure / Total of Tendered Amountx100	
9	Whether the work is delayed for nonpayment of any pending bills after construction (to be specified)?	
<b>J. VARIATIONS w.r.t. SANCTIONED COVENANTS</b>		
1	Are there any major variation because of: i. Specifications ii. Quality iii. Quantity iv. Designs (Architectural /Structural) Period ofConstruction(Increase/Decrease)	
<b>K. COST VARIATION and TIME-OVERRUNS</b>		
<b>Cost variation:</b>		
1	Whether there is cost variation?	
2	If yes what are the reasons: i. Change inQuantities ii. New/Additional Items ofwork iii. PriceEscalation Any other ( to be specified)	
<b>Time Overruns:</b>		
1	Whether there is time overrun?	
2	If yes what are the reasons: i. Delay in issue of workorder ii. Delay in signingagreement iii. Delay in Handing Over site of work to the Contractor iv. Delay in actual start of work by theContractor v. Delay in procurement of material ( give reasons) Delay due to lack of inter departmental coordination Any other ( to bespecified)	

<b>L. REMEDIAL MEASURES TO IMPROVE PROGRESS AND QUALITY</b>		
<b>Undertaken by Implementation agency to improve the:</b>		
1	Physical Progress	
2	Financial Progress	
3	Quality management	
4	Comments and suggestions of TPQMA on above	
<b>M. COURT CASES AND LITIGATIONS</b>		
1	( To be specified)	
2		
<b>N.OTHERS</b>		
1	Feedback of beneficiaries regarding provision of Physical& Social infrastructure.	
2	Any specific observation by the beneficiary	
3	Overall observation on the project (with adequate photographs covering project to a large extent including quality issues as applicable) 1. Critical observations Action suggested by TPQMA to SLNA and IA	
4	Action taken report on previous report: i. Observations of TPQMA ii Action suggested by TPQMA iii Action taken by IA (Implementation Agency) Whether TPQMA is satisfied with the action taken by IA	
5	TPQMA's Overview of the Project (in 400-500 words) in a separate sheet	

**(Signature)**  
**Name and Designation**

**(Signature)**  
**Name and Designation**

## Annexure-2A

<b>DETAILED REPORT ON PROPOSED WORKS</b>				
<b>S. No.</b>	<b>Component</b>	<b>Whether in Progress (Yes/ No)</b>	<b>Whether Inspected (Yes/ No)</b>	<b>Comments</b>
<b>A. BUILDING WORKS</b>				
1	Earthwork			
2	Concrete work (sub-structure/ up to plinth)			
3	RCC work (above plinth/ super structure)			
4	Brick/ Block work			
5	Stonework			
6	Marble work			
7	Wood work			
8	Steel work			
9	Flooring			
10	Roofing			
11	Finishing			
12	Internal Services			
13	External Services			
<b>B. CIVIC INFRASTRUCTURE WORKS</b>				
<b>a. Water Supply</b>				
1	GSR/ UGSR			
2	ELSR/ OHT			
3	Intake-Jack-well			
4	WTP			
5	Pipelines			
6	Pump sets			
7	Rain Water harvesting pits			
8	Sump			
9	Tubewells			
<b>b. Sewerage</b>				
1	Sewer Trap connect chamber			
2	Collection network pipes			
3	Inspection chambers			
4	Sewerage pump Stn (SPS)			
5	SPS to STP Pipeline			
6	STP			
7	Septic Tank			
8	Soak-Pit			
<b>c. Storm Water Drains</b>				

1	Drains			
2	Open channel			
3	Closed RCC Pipes			
4	In-situ RCC Box-pipes			
5	Type of granting/ Jali			
6	Inspection Chambers			
7	Point of disposal (Nallah, Canal, River, Creek)			
<b>d. Roads and Culverts</b>				
1	Roads			
2	Pavements			
3	Jogging Parks			
4	Plantation			
5	Restoration			
6	Culverts (Masonry/ RCC)			
<b>e. Electrification</b>				
1	H. T. Supply Lines			
2	L. T. Supply Lines			
3	Transformer			
4	Street Lighting			
<b>f. Solid Waste Management</b>				
1	S. W. Collection System			
2	Dust bins/ Containers			
3	S. W. Transport System			
4	Temp store yards			
5	S. W. Disposal area			
<b>g. Compound wall</b>				
1	Compound/ Boundary wall			
2	Entrance Wall			
<b>h. Miscellaneous</b>				
1	Retaining wall			
2	Any other (to be specified)			
<b>C. REPORT ON SOCIAL INFRASTRUCTURE WORKS</b>				
<b>a. Community Facilities</b>				
1	Community Centre			
2	Livelihood Centre			
3	Any other			
<b>b. Health/ Education Facilities</b>				
1	Public Health Centre			
2	Anganwadi			
3	Primary School			
4	Secondary School			
5	Higher Secondary School			

<b>c. Informal Sector Market</b>				
1	Vegetable Market			
2	Meat-Fish Market			
3	Medical Store			
4	Any other			
<b>d. Any other (to be specified)</b>				



**Annexure 3**

**Third Party Quality Monitoring Report of BLC projects under PMAY**

<b>Name of TPQM Agency</b>						
<b>Date of Visit</b>						
<b>Current Visit No.</b>						
<b>Date of Previous visit</b>						
<b>A. PARTICULARS OF PROJECT</b>						
1	Name of the State /UT:					
2	Name of the City:					
3	Name of Project:					
4	Project Code:					
5	Implementing Agency/ ULB					
6	Location of the Project (Slum name, Ward etc. as applicable)					
7	Type of Project : (i) BLC (New Construction)(ii) BLC (Enhancement)					
8	No. of EWS Houses in the project					
9	Date of Approval by SLSMC					
10	Approved Project Cost (Rs. Lakhs):	<b>Central Share</b>	<b>State Share</b>	<b>ULB/ IA Share</b>	<b>Beneficiary Share</b>	<b>Total</b>
11	Date of sanction of 1 <sup>st</sup> installment Of Central Assistance by CSMC					
12	Duration of the project					
13	Date of commencement	Scheduled			Actual	
14	Date of completion	Scheduled			Expected	
15	Inspection undertaken by (Name) (with contact details)	1.				
		2.				
16	Name of State representative present during visit					
17	Name of ULB representative present during visit					

18	Name of Community representative present	
19	Whether list of Beneficiaries finalized?	
20	If finalized, whether uploaded in PMAY MIS?	
21	State any deviation from sanctioned DPR in terms of houses or size or location or layout	
22	Any other comment	
<b>B. QUALITY ASSURANCE IN THE PROJECT</b>		
1	Whether ULB/ State have organized workshop/ training programmes to educate the beneficiaries about quality, construction methods, adherence to disaster resistant technologies etc.	
2	Whether testing facilities to check quality of material is available?	
3	Whether regular tests of material and construction products tests of materials are being done from accredited labs also?	
4	(i) Whether the structural Designs are approved / Proof checked by competent Authority  (ii) Name of the approving authority for structural design.  (iii) Whether the statutory certificate for disaster resistance design and compliance of codal provision is endorsed by the structural designer on the structural drawings fit for execution, Especially in case of multi-storeyed construction.  (iv) The work is being executed as per the approved drawings fit for execution.	
5	Whether the Inspection Registers, site order book and Quality control test registers are maintained and endorsed by the Engineer-in-charge?	
6	Whether cement, steel, aggregates, etc being used in the work, got tested before use?	

7	Whether manufacturer test certificate for cement, steel, pipes etc have been obtained with supply and records are being maintained?	
8	Whether Cement is free from lumps and is stacked properly to prevent contact with moisture?	
9	Whether soil investigations of the site proper have been done before the structural design and soil parameters have been accounted for in the design/ drawings? If yes, attach copy of soil investigation report	
10	Whether centering /shuttering is checked for staging & propping, line & level, dimensions, cleaning etc. and its quality approved before each stage and record maintained.	
11	Specific control on RCC work line: mixing by full bag capacity hopper fed mixer, control of slump, placing/ compaction with vibrator. (proportioning with boxes not permitted)	
12	Whether cement register is maintained and checked at site. Comment on method of stacking.	
13	Whether concrete mix is nominal or design mix? (Nominal mix not permitted for quality concrete)	
14	What is the Mode of Concrete mixing (batch mix/ manual)? In case of manual mixing, whether mixing is by weight or by volume of ingredients?(Volumetric mixing notpermitted).	
15	Whether mixer/ vibrator as specified is available at site with adequate means to run them during concreting?	
16	Whether Surface of reinforcement is clean and free from rust?	
17	Whether potable water is used for construction?	
18	Whether proper water / cement ratio has been ensured?	
19	Whether the concrete being cured adequately as per requirements?	

20	Whether bricks are well burnt, of rectangular shape, with sharp edges, free from cracks and of correct size?	
21	Whether i) Execution of Depth & width of Foundation is as per drawing/ adequate & bottom leveled. ii) Plinth height is as per drawing/adequate. iii) Horizontal bands (as applicable) have been provided.	
22	Whether quality has been checked by TPQMA/ State agency? If yes, details thereof?	
23	Quality of work and workmanship, Comments on	
	i. RCC work (concrete, Reinforcement detailing, cover to reinforcement). Whether Columns are in plumb (check for verticality).	
	ii. Masonry (Joint details, verticality). Check adequate RCC bands are provided.	
	iii. Shuttering (Type of material-pucca/ katcha, support spacing)	
	iv. Bar bending and stirrups bending, placement and cover to reinforcement bars.	
	v. Plastering	
	vi. Doors and windows	
	vii. Seepage, if any	
	viii. Cracks, if any	
	ix. Honey combing, if any	
	x. Any other	
24	Whether provision has been made for Service lines (Electrical, Water Supply, Sanitation etc.)	
25	Whether floor slope (especially) in bath, WC, kitchen, terrace and balcony etc. are proper?	
26	Whether adequate plinth height (above the general ground level) is provided to the ground floor of the building to avoid possibility of rainwater and reptiles in the building.	
27	Whether dampness/leakages noticed? If yes, state location and probable reasons.	
28	Whether remedial measures are undertaken by IA/ ULB to stop Dampness & Leakages if	

	any?	
29	Whether disaster resistant features have been incorporated?	
30	Any other comments	
31	Report on Overall assessment of quality	Minimum 500 words (To be enclosed separately)
<b>C. PROGRESS - HOUSING COMPONENTS</b>		
1	Numbers of houses sanctioned in the project	
2	Numbers of houses Completed	
3	Numbers of houses in progress	
4	Stages of Progress: i) Foundation/ Plinth level(Nos.) ii) Lintel level(Nos.) iii) Roof level(Nos.) iv) Finishing level(Nos.) v) Total units completed (Nos.)	(Specify no. of Units)
5	Numbers of houses not started	
6	Reason for non-starter of houses, if any	
7	Numbers of houses occupied by the Beneficiaries	
8	Reasons for Non-occupation of houses (If any)- specific reasons to be given	
9	Size of Unit (Carpet Area)	Sanctioned As per Implementation
10	Overall physical progress of Housing (in %)	
11	Whether the progress of houses has been ensured through geo-tagged photographs at various construction levels?	
12	Whether DBT of fund to individual beneficiary is ensured in the project?	
13	Whether the building plan(s) conform to NBC norms?	
14	Whether authenticated building plans and revisions if any, are available?	
15	Deviation, if any	
16	Any other comment	
<b>D. CIVIC INFRASTRUCTURE</b>		

1	Whether provision of Civic infrastructure components (i.e. water supply, Sewerage, Drainage, Roads, SWM etc.) has been ensured?	
2	Whether the Existing/proposed infrastructure components are independent and/or integrated with city level infrastructure?	
3	Any other comments	
<b>E. SOCIAL INFRASTRUCTURE</b>		
1	Whether provision of Social Amenities (i.e. School, Anganwadi, Health centre, Community centre, Livelihood centre etc.) has been ensured?	
2	Any other comments	
<b>F. FINANCIAL PROGRESS &amp; FUND UTILIZATION</b>		<b>(Rs. in Lakhs)</b>
1	Sanctioned fund for entire project.	
2	Amount of funds received up to date	
3	Up-to date Expenditure	
4	Amount of funds Utilized (out of received)	
5	Amount of Expenditure by ULB	
6	Amount of Expenditure by Beneficiaries	
7	Balance funds Expected/due from stakeholders	
<b>G. COST VARIATION and TIME-OVERRUNS</b>		
<b>Cost variation:</b>		
1	Whether there is cost variation? If yes, what are the reasons?	
<b>Time Overruns:</b>		
1	Whether there is time overrun? If yes, what are the reasons?	
<b>H. REMEDIAL MEASURES TO IMPROVE PROGRESS AND QUALITY</b>		
<b>Undertaken by Implementation agency to improve the:</b>		
1	Physical Progress	
2	Financial Progress	
3	Quality management	
4	Comments and suggestions of TPQMA on above	
<b>I. COURT CASES AND LITIGATIONS</b>		
1	(To be specified)	
<b>J. OTHERS</b>		
1	Any innovative/ cost effective/ green technology has been used	

2	Feedback of beneficiaries regarding provision of Physical & Social infrastructure:	
3	Reasons for delay in completion of housing and Infrastructure, if any:	
4	Any specific observation by the beneficiary	
5	Overall observation on the project (with adequate photographs covering project to a large extent including quality issues as applicable) 1. Critical observations 2. Action suggested by TPQMA to SLNA and IA	
6	Action taken report on previous report: i. Observations of TPQMA ii Action suggested by TPQMA iii Action taken by Beneficiaries/IA (Implementation Agency) iv Whether TPQMA is satisfied with the action taken	
7	TPQMA's Overview of the Project (in 400-500 words) in a separate sheet	

**(Signature)**  
**Name and Designation**

**(Signature)**  
**Name and Designation**

LIST - 1

Details of Packages for the assignment

Package - A		Package - B		Package - C	
Cluster	No. of ULB's	Cluster	No. of ULB's	Cluster	No. of ULB's
Moradabad	52	Kanpur	41	Faizabad	31
Meerut	60	Jhansi	27	Basti	15
Aligarh	40	Chitrakoot	23	Gorakhpur	34
Agra	44	Allahabad	33	Azamgarh	33
Saharanpur	31	Bareilly	59	Varanasi	24
		Lucknow	70	Mirzapur	19
		Kanpur	41	Devipatan	17
<b>Total</b>	<b>227</b>	<b>Total</b>	<b>253</b>	<b>Total</b>	<b>173</b>



LIST - 2

**Performance Security Form (Bank Guarantee)**

In consideration of the Governor of Uttar Pradesh (hereinafter called "The Government") having agreed to exempt \_\_\_\_\_ (hereinafter called "The said Consultant") from the demand, under the terms and conditions of an Agreement dated \_\_\_\_\_ made between \_\_\_\_\_ and \_\_\_\_\_ for \_\_\_\_\_ (hereinafter called the "The said Agreement") of security deposit for the due fulfilments by the said Consultant(s) of the terms and conditions contained in the said Agreement, on production of a Bank Guarantee for Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_ only), we, \_\_\_\_\_ (hereinafter referred to as "The Bank") at the request of (indicate the name of the bank) (Consultant(s) do hereby undertake to pay to the Government an amount not exceeding Rs. \_\_\_\_\_ against any loss or damage caused to or suffered or would be caused to or suffered by the Government by reason of any breach by the said Consultant (s) of any of the terms and conditions contained in the said Agreement

We \_\_\_\_\_ do hereby undertake to pay the (indicate the name of the Bank) amounts demur payable under this Guarantee without any demur merely on a demand from the Government stating that the amount claimed is due by way of loss or damages caused to or would be caused to or suffered by the Government by reason of any breach by the said Consultant(s) 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. \_\_\_\_\_

3. We undertake to pay to the Government any money so demanded not withstanding any dispute or disputes raised by the Consultant(s) 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 valid discharge of our liability for payment there under the Consultant(s) shall have no claim against us for making such payment.

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

5. We \_\_\_\_\_ further agree with the Government (indicate the name of Bank) the Government that the Government 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 extent time of performance by the said Consultant(s) from time-to-time any of the powers exercisable by the Government against the said Consultant(s) and to forbear or enforce any of 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(s) or for any forbearance, act or omission on the part of the Government or any indulgence by the Government to the said Consultant(s) or by any such matter or thing whatsoever which under the law relating to sureties would but for this provision have 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 \_\_\_\_\_, lastly undertake not to revoke (indicate the name of Bank) this Guarantee during its currency except with the previous consent of the Government in writing. Dated the \_\_\_\_\_ day of 2017 For \_\_\_\_\_  
(indicate the name of Bank)

**Note 1:-** The stamp papers of appropriate value shall be purchased in the name of bank that issues the”: Bank Guarantee”  
—

**Note 2:-** The Bank Guarantee will be accepted which is issued by State Bank of India or its subsidiaries or any Indian Nationalised Bank or any Indian Nationalised Bank.



**Government of India**

**Ministry of Housing and Urban Poverty Alleviation**



**PRADHANMANTRI AWAS YOJANA  
(Urban)– Housing for All**

**REFERENCE GUIDE FOR  
THIRD PARTY QUALITY MONITORING**

## **Preface**

Government of India has launched a comprehensive mission Pradhan Mantri Awas Yojana(Urban)- Housing for All . The mission seeks to address the housing requirement of urban poor including slum dwellers through following programme verticals:

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

Further details of the programme are available at the website [www.mhupa.gov.in](http://www.mhupa.gov.in).

PMAY scheme guidelines envisage that the States/UTs would engage Third Party Quality Monitoring Agencies (TPQMA) to ensure quality of construction under the above verticals of the Mission except Credit Linked Subsidy (CLS).

## Contents

Third Party Quality Monitoring.....	5
1. Roles and Responsibilities .....	5
A. State Level.....	5
B. ULB/IA Level.....	6
C. TPQMA Level:.....	6
2. Selection of TPQMA .....	7
3. Selection of Dwelling Units.....	8
4. Central Assistance .....	8
5. TPQM Report.....	9
Annexure-1.....	10
Format for Annual Quality Monitoring Plan for the year.....	10
Annexure 2.....	11
Third Party Quality Monitoring Report of ISSR/AHP projects under PMAY.....	11
Annexure 3.....	21
Third Party Quality Monitoring Report of BLC projects under PMAY.....	21
Annexure 4.....	27
Suggested structure and positions.....	27
Annexure 5.....	29
Undertaking.....	29
Annexure 6.....	30
Action Taken Report based on Third Party Quality Monitoring (TPQM).....	30

## Abbreviations

<b>AHP</b>	Affordable Housing in Partnership
<b>AQMP</b>	Annual Quality Monitoring Plan
<b>BLC</b>	Beneficiary Led Construction
<b>CLSS</b>	Credit linked subsidy scheme
<b>CLTC</b>	City Level Technical Cell
<b>DA</b>	Development Authority
<b>DBT</b>	Direct Benefit Transfer
<b>DPR</b>	Detailed Project Report
<b>EWS</b>	Economically Weaker Section
<b>GoI</b>	Government of India
<b>HFA</b>	Housing for All
<b>HFAPoA</b>	Housing for All Plan of Action
<b>HB</b>	Housing Board
<b>IA</b>	Implementing Agency
<b>IS</b>	Indian Standards
<b>ISSR</b>	In- Situ Slum Redevelopment
<b>LIG</b>	Low Income Group
<b>MoHUPA</b>	Ministry of Housing and Urban Poverty Alleviation
<b>PMAY</b>	Pradhan Mantri Awas Yojana
<b>SLNA</b>	State level Nodal Agencies
<b>SLSMC</b>	State Level Sanctioning and Monitoring Committee
<b>SLTC</b>	State Level Technical Cell
<b>TPQMA</b>	Third Party Quality Monitoring Agency
<b>UC</b>	Utilisation Certificate
<b>UIT</b>	Urban Improvement Trust
<b>ULB</b>	Urban Local Body
<b>UT</b>	Union Territory

## **Third Party Quality Monitoring**

Effective monitoring of ongoing project(s) is a key to successful completion of any project with monitoring of quality being most significant aspect. A State level mechanism for Third Party Quality Monitoring of projects sanctioned under PMAY shall be evolved with the following objective:

1. Review and monitoring of quality of all PMAY projects implemented by ULBs/Implementing Agencies.
2. Provide a structured report on the quality of projects under PMAY.

States/UTs should draw up their quality monitoring and assurance plans involving third party agencies. Such plan will include the visits by third party agencies to the project site and to advise State and Urban Local Bodies/ Implementing Agencies on quality related issues.

The specifications and testing requirements of materials/structural components/system for Quality Control/Quality Assurance may be accessed through a weblink <http://www.iitk.ac.in/ce/test/mihupa.html> developed by IIT-Kanpur. For information on alternate materials and construction methodologies including disaster resistant construction, [www.housingtechnologynetwork.in](http://www.housingtechnologynetwork.in) may be referred.

On the basis of quality assurance report by such agencies, States and ULBs/IAs should take both preventive and curative measures to ensure that standard quality houses and infrastructure are constructed under the mission. Annual Quality Monitoring Plans should be submitted to Mission Directorate for the approval of CSMC after taking approval of State Level Sanctioning and Monitoring Committee. Format for the AQMP is at Annexure-1.

### **1. Roles and Responsibilities**

#### **A. State Level**

It is envisaged that a State Level Technical Cell (SLTC) established in each State Level Nodal Agency (SLNA) will provide strategic coordination and support for all PMAY related activities in the State/UTs. The SLTC within the SLNA will play the key role of coordination and overseeing of the TPQMA on behalf of the SLNA in following areas:

- Appoint a suitable agency with the required experience and expertise as the TPQMA ensuring no major deviation in the scope of services and no conflict of interest in execution of services.
- Communicate through SLNA to all Urban Local Bodies/ Implementation Agencies for organizing field visits of TPQMA.
- Ensure the performance of TPQMA is as envisaged in the contract, and that the reports are submitted for record and necessary action.
- Review and scrutinize the reports submitted by TPQMA, examine the issues highlighted by the TPQMA and initiate corrective actions where necessary with concerned ULB/Implementing Agency.
- Make periodic payments to the TPQMA.

#### **B. ULB/IA Level**

It is envisaged that a City Level Technical Cell (CLTC) established in the ULBs/IA of the Mission Cities, shall be responsible for proper implementation of all PMAY projects including quality control. The CLTC will play the key role of coordination and overseeing of the TPQMA on behalf of the ULB/IA in following areas:

- Schedule the visits of the TPQMA across different projects in the city.
- Ensure that TPQMAs have access to the required documents, project sites, key officials for meetings and discussions and other support required.
- Ensure that TPQMAs file their reports in a timely manner i.e. within a week time after the visit.
- Examine the reports of the TPQMA and the issues highlighted therein.
- On the basis of TPQMA's reports, take corrective measures for improving quality.

#### **C. TPQMA Level**

The TPQMA will undertake field visit for ascertaining quality of construction at various stages of construction (*preferably at the beginning i.e. 10-15 % of progress, mid of*



*construction i.e. 50-60 % of progress and completion i.e. 85-100 % of progress*) with the objectives as under:

- Schedule the field visits in the Cities across the State/UT after proper coordination at State/ ULB level.
- Examine project documentation with respect to sanctioned covenants.
- Review of land requirement/ availability, Site preparation& other statutory clearances.
- Review of Project Implementation Plan and procurement process.
- Review of approved quality monitoring plan.
- Review of Safety and Health aspects.
- Examine Convergence with the Central/ State scheme.
- Beneficiary participation/ satisfaction in the project.
- Report on Quality Assurance.(indicative formats are atAnnexure-2 &3)
- Remedial measures to improve quality of the project.
- File report in a timely manner.
- Follow-up action of the report, which would be ascertained in the next report.

## **2. Selection of TPQMA**

Third Party Quality Monitoring Agencies (TPQMA) should be selected by the SLNA of the States/UTs through open and transparent bidding process.

SLNA shall ensure that:

1. TPQMA should have experience of similar kind of works.
2. TPQMA should not have incurred any loss for the last 3 years.
3. TPQMA deploys optimum number of experts as per the need of the projects.
4. Deployed experts have experience of similar kind of projects and expertise in the concerned sectors. A suggestive structure is at Annexure-4
5. No Conflict of interest prevails in the engagement.
6. The Terms of Reference (TOR) are as per the prescribed Scope & Deliverables.

Conflict of interest for a TPQMA is defined as:

- Any agency involved as a consultant in project preparation, supervision or implementation work in any of the PMAY projects applying for TPQMA is a conflict of interest in the particular project/City/State (as the case may be)
- The team members of TPQMA should not have been an employee of any City or State level government agency in that particular State in preceding 2 years of this contract.
- The agency black listed or debarred by the Government would not be eligible for TPQM.

### **3. Selection of Dwelling Units (DUs)**

TPQM will be done for all projects which are being constructed under ISSR and AHP components of PMAY (U). In case of BLC projects, a systematically selected sample of houses may be monitored. The sampling should be done through a transparent and well-defined process to cover all the BLC Projects in the city in a holistic way, leading to selection of a representative sample.

The recommended sample size for monitoring BLC houses is 5-10% of DUs or 50 DUs, whichever is more. In cities where there are multiple 'BLC projects' with less than 500 DUs, the SLNA/TPQMA may consider forming of clusters of around 500 or more DUs which could then be considered as a single unit/project to draw bigger samples of more than 50 DUs which can be covered under one TPQM visit. If there are cities where less than 50 DUs are being constructed under the BLC vertical, all the DUs should be selected for TPQM.

### **4. Central Assistance**

Central Assistance for PMAY projects would be sanctioned by Central Sanctioning and Monitoring Committee (CSMC) after Detailed Project Reports (DPRs) are appraised by State Level Appraisal Committee (SLAC) of the State/UTs and approved by State Level Sanctioning and Monitoring Committee (SLSMC).

TPQM agencies will undertake field visits for ascertaining quality of construction at various stages of construction as per PMAY(U) TPQM Reference Guide. 'Visits' include examining/reviewing project documents and implementation and conducting any required tests/assessments and report writing. Each state/UT will report the progress of TPQM on a quarterly basis.

Central assistance for this purpose will be limited to 3 'visits' to each project. The State/UTs/ULBs are free to include more field visits by TPQMA, as necessary. For central assistance, the States/UTs should adopt an open and transparent procedure for procurement of these services.

TPQMA rates are shared between central Govt. and States/UTs in the ratio of 75:25 and in case of North Eastern and special category States in the ratio of 90:10. Rs. 40,000 per visit is approved for TPQMA. Up to 3 visits and payment up to Rs. 1,20,000 per project will be considered for Ministry funding during a project implementation life cycle. These rates serve as limits of central assistance and States should claim actual expenses only.

In order to receive funding from GoI, Annual Quality Monitoring Plans approved by SLSMC should be submitted to Ministry for the approval of CSMC. 1st instalment of 50% shall be released as advance payment after approval of CSMC. Final instalment shall be released on receipt of the undertaking in the prescribed format as per Annexure-5 of this Reference Guide along with the Utilization Certificate (UC) and report on action taken based on TPQM report by the State duly signed.

## **5. TPQM Report**

SLNA should submit the detailed TPQM report of quality assurance to the SLSMC, as per relevant formats given in Annexure 2 and Annexure 3. This detailed report would be scrutinized at the level of SLNA. The SLNA should implement all the remedial measures suggested by the TPQMA. Thereafter, the SLNA should place the report before the SLSMC along with the Action Taken Report (ATR). Only the ATR as per the format given in Annexure 6, after approval of SLSMC should be submitted to the MoHUPA. The MoHUPA/CSMC may ask for any specific TPQM report for further scrutiny, if required. The TPQM report should also be placed in the website of the SLNA.

## Annexure-1

### Format for Annual Quality Monitoring Plan for the year.....

<b>A. PARTICULARS:</b>					
Name of State/UT					
No of towns under PMAY					
No. of projects proposed under PMAY* (* As per HFAPoA/AIP)	ISSR	AHP	BLC(N)	BLC(E)	Total
No. of projects approved under PMAY					
<b>B. Desk review/ Field visits proposed</b>					
Category of project	No. of visits for each project	No. of visits proposed during the year			
"In situ" Slum Redevelopment (ISSR)					
Affordable Housing in Partnership(AHP)					
Beneficiary Led Construction (BLC) (New)					
Beneficiary Led Construction (BLC) (Enhancement)					
<b>C. Others</b>					
Fees proposed/ approved for each visit of TPQMA under each category of projects.(Rs. Lakhs)					
Total Fees proposed/ approved in the year..... (Rs. Lakhs)					
Whether same or different agencies have been proposed/selected for TPQM					
Whether transparent competitive bidding process has been adopted/ envisaged for the selection of TPQM Agency					

**Signature**  
**( State Level Nodal Officer)**

**Signature**  
**( Secretary/Principal Secretary,**  
**Concerned Department)**

## Annexure 2

### Third Party Quality Monitoring Report of ISSR/AHP projects under PMAY

<b>Name of TPQM Agency</b>	
<b>Date of Visit</b>	
<b>Current Visit No.</b>	
<b>Previous visit with date</b>	

<b>A. PARTICULARS OF PROJECT</b>						
1.	Name of the State /UT:					
2.	Name of the City:					
3.	Name of Project:					
4.	Project Code:					
5.	Implementing Agency (ULB/ DA/ HB/ UIT/ Slum Rehabilitation Agency)					
6.	Location of the Project ( Slum name, Ward etc. as applicable)	(Annexe details in case of multiple sites)				
7.	Type of Project :(i) In-situ Slum redevelopment (ISSR) (ii) Affordable Housing in Partnership (AHP)					
8.	Total Houses (EWS/LIG/MIG/HIG) in the project.					
9.	No. of EWS Houses in the project					
10.	Description of Work. i. Carpet/ Built up area of EWS house ii. No. of EWS houses in one block iii. No. of blocks iv. Totalno. of houses v. Type of Structure(G,G+1,G+2 etc.) vi. No. of storeys/ floor.					
11.	Date of Approval of project by SLSCM					
12.	Approved Project Cost (Rs. Lakhs):	Central share	State share	ULB/ Implementing agency share	Beneficiary share	Total
13.	Date of sanction of 1 <sup>st</sup> instalment of central assistance by CSMC					
14.	Duration of Project					
15.	Date of Award of work	(Annexe details in case of multiple contracts)				
16.	Date of commencement	Scheduled		Actual		
17.	Date of completion	Scheduled		Expected		
18.	Inspection undertaken by ( Name)	1.				

	(with contact detail) :	2.
19.	Name of State representative present during visit	
20.	Name of ULB representative present during visit	
21.	Name of Contractor's representative present during visit	
22.	Name of Community representative present during visit	
23.	Whether list of Beneficiaries finalised/ partially finalised/ not finalised	
24.	If finalised, whether uploaded in PMAY MIS	
25.	State any deviation from sanctioned DPR in terms of number of houses or size or location or Layout	
26.	Compliance of Tender conditions matching to statutory requirements of DPR w.r.t. a. Compliance to time limit. b. Compliance to price escalation. c. Compliance to legal clauses. d. Compliance to liquidated damages. e. Compliance to penalties.	
27.	Any other comment	
<b>B. HEALTH &amp; SAFETY ASPECTS (ON SITE)</b>		
1.	Whether the drinking water facility is provided on site?	
2.	Whether there are adequate no. of toilets provided & maintained for site staff / Workers?	
3.	Whether there is a board indicating the safety norms to be observed?	
4.	Whether the use of following is being done by site staff i. Safety Helmets ii. Safety Shoes iii. Safety Goggles iv. Safety Jackets	
5.	Whether safety railings & safety tapes have been provided around excavation trenches / upper floors/ducts/liftwell?	
6.	Whether approved quality & type shoring-strutting-scaffolding are provided for excavation trenches/Pits/Building work?	
7.	Whether 'FIRST AID' kit is available at site?	
8.	Whether Fire Extinguishers are available at site?	
9.	Whether ' <b>Blasting</b> ' is being done on site? If yes, whether necessary permissions have been obtained and required precautions have been taken for control blasting?	
10.	Whether any Safety-Officer is employed?	

11.	Any other comment	
<b>C. QUALITY ASSURANCE IN THE PROJECT</b>		
1.	Whether authenticated copy of DPR, contract document, structural drawings and copies of specifications are available at site ?	
2.	Whether the Inspection Registers, Site order book and Quality control Test registers are maintained at the site properly and endorsed by the Engineer-in-charge?	
3.	Whether list of ISI marked/approved materials to be used is available at site?	
4.	Is there a provision in Contract/Tender to provide "Test facilities on site"?	
5.	Whether testing facilities to check quality of material is available at site ? if yes attach list of Equipments	
6.	(i) Whether the structural Designs are approved / Proof checked by competent Authority (ii) Name of the approving authority for structural design. (iii) Whether the statutory certificate for disaster resistance design and compliance of codal provision is endorsed by the structural designer on the structural drawings fit for execution, specially in case of multi-storeyed construction. (iv) The work is being executed as per the approved drawings fit for execution.	
7.	Whether manufacturer test certificate for cement, steel, pipes etc. have been obtained with supply and records are being maintained?	
8.	Whether all mandatory tests of construction material, road work, sanitary work, plumbing work, electrical work and concrete in foundations, beams, columns and slabs etc are carried out at stipulated frequency?	
9.	Whether regular tests of materials and construction products are being got done from accredited labs also ? If yes, details of such labs	
10.	Whether soil investigations of the site proper have been done before the structural design and soil parameters have been accounted for in the structural design/ drawings? If yes, attach copy of soil investigation report.	
11.	Whether centring /shuttering is checked for staging & propping, line & level, dimensions, cleaning etc. and its quality approved before each stage and record maintained.	

12.	Specific control on RCC work like: mixing by full bag capacity hopper fed mixer, control of slump, placing/ compaction with vibrator. (proportioning with boxes not permitted)	
13.	Whether cement register is maintained and checked at site. Comment on method of stacking.	
14.	Whether concrete mix is nominal or design mix?(Nominal mix not permitted for quality concrete).	
15.	What is the Mode of Concrete mixing (batch mix/manual)? In case of manual mixing, whether mixing is by weight or by volume of ingredients? (Volumetric mixing not permitted).	
16.	Whether Mixer/Vibrator as specified is available at site with adequate means to run them during concreting?	
17.	Whether RMC is being used in work? If yes, detail of control and checks done at plant site. Comment on Quality of aggregates ,Slump test, Cube test etc.	
18.	Suitability of water for construction i. What is the source of water ii. Has water been tested and approved by Engineer-in-charge before construction iii. Has water been tested subsequently as per Requirement	
19.	Quality of work and workmanship, Comments on	
	i. RCC work (concrete, Reinforcement detailing, cover to reinforcement). Whether Columns are in plumb (check for verticality).	
	ii. Masonry (Joint details, verticality). Check adequate RCC bands are provided.	
	iii. Shuttering (Type of material-pucca/katcha, support spacing )	
	iv. Bar bending and stirrups bending , placement and cover to reinforcement bars.	
	v. Plastering	
	vi. Doors and windows	
	vii. Seepage, if any	
	viii. Cracks, if any	
	ix. Honey combing, if any	
	x. Any other	
20.	Whether floor slope (especially) in bath, WC, kitchen, terrace and balcony etc. are proper?	
21.	Whether dampness/leakages noticed? If yes, state location and probable reasons.	



22.	Whether remedial measures are undertaken by IA/ULB to stop Dampness & Leakages ?if any.	
23.	Whether Service lines(Electrical, Plumbing, Others) if any, provided before commencement of concrete?	
24.	Whether disaster resistant features have been incorporated?	
25.	Whether precautions taken for dewatering and protecting site from flooding as applicable?	
26.	Whether sample units/items are completed and approved by competent ULB official / CLTC member before start of mass finishing work?	
27.	Whether Adequate plinth height (above the general ground level) is provided to the ground floor of the building to avoid possibility of rainwater and reptiles in the building.	
28.	Comments on tests already done but not found satisfactory (specify action to be taken)	
29.	Frequency of visit by SLNA/ULB officials and SLTC/CLTC member	
30.	Any other comments	
31.	Overall assessment of quality (in view of structural stability, non-structural work and workmanship) * <i>video/photographs of the ongoing works maintained by ULB/Implementation Agency may be referred as the case may be.</i>	
<b>D. BENEFICIARY PARTICIPATION IN THE PROJECT</b>		
1.	Whether list of Beneficiaries is prepared	
2.	Whether houses are identified and allotted	
3.	Whether the Beneficiaries are involved in the project preparation and construction work.	
4.	Whether the Beneficiaries are visiting the site or not	
5.	Any suggestion of the beneficiaries in the construction	
<b>E. PROGRESS - HOUSING COMPONENTS</b>		
1.	Numbers of houses sanctioned in the project	
2.	Numbers of houses Completed	
3.	Numbers of houses in progress	
4.	Stages of Progress (Multi storied buildings) : i) Foundation/ Plinth level (Nos.) ii) Superstructure (Frame work) Level(Nos.) iii) Brickwork completed (Nos.) iv) Finishing level (Nos.) v) Total units completed (Nos.) <i>*(Provide detailed report in Annexure-2A)</i>	( Specify No. of Units)

5.	Numbers of houses not started		
6.	Reason for non-starter of houses, if any		
7.	Numbers of houses occupied by the Beneficiaries		
8.	Reasons for Non-occupation of houses (If any)- specific reasons to be given		
9.	Size of Unit (Carpet Area)	Sanctioned	As per Implementation
10.	Overall physical progress of Housing (in %)		
11.	Whether the building plan(s) conform to NBC norms?		
12.	Whether authenticated building plans and revisions if any, are available?		
13.	Deviation, if any		
14.	Any innovative/ cost effective/ green technology has been used?		
15.	Any other comment		

#### **F. PROGRESS- CIVIC INFRASTRUCTURE COMPONENTS**

1.	Whether Contract for infrastructure components (i.e. water supply, Sewerage, Drainage, Roads, SWM etc.) have been awarded?	
	i) If no, Time line for award of contract for infrastructure works.	
	ii) If Yes, State the progress of work in % a. Water Supply b. Sewerage c. Drainage d. Roads e. Solid Waste Management f. Electrification g. Any other component (as per sanctioned components) <i>*(Provide detailed report in Annexure-2A)</i>	
2.	iii) Deviation if any as per sanctioned DPR	
3.	Comments on quality of construction of Infrastructure works	
4.	Whether the proposed infrastructure components are independent and/or integrated with city level infrastructure?	
5.	Whether Transit Accommodation has been provided. If not what measures have been taken for the displaced families?	
6.	Overall physical progress of civic infrastructure (in %)	
7.	Cost reduction in infrastructure components (To be reported in case of deviation from sanctioned quantity)	

#### **G. SOCIAL INFRASTRUCTURE COMPONENTS**

1.	Whether Contract for Social Amenities (i.e. Community	
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	centre, Livelihood centre etc.) have been awarded?	
	i) If no, Time line for award of contract for Social Amenities.	
	ii) If Yes, State the progress of work in % a. Community centre b. Livelihood centre c. Informal Sector Market d. Any other component (as per sanctioned components) <i>*(Provide detailed report in Annexure-2A)</i>	
2.	iii) Deviation if any as per sanctioned DPR	
3.	Comments on quality of construction of Social Amenities	
4.	Whether livelihood linkages have been ensured?	
5.	Overall physical progress of Social Infrastructure (in %)	
6.	Overall physical progress of the project (in %)	

#### **H. PHYSICAL PROGRESS OF THE PROJECT/PACKAGES**

1.	Is there an approved program / schedule of work & whether the same is available at site office	
2.	Overall Percentage progress at the time of inspection vis-à-vis expected as per contract.	
3.	Package wise % of progress	(Attach package-wise Annexure)
4.	Details of milestones as per contract vis-à-vis their achievement	
5.	Reasons for delay	

#### **I. FINANCIAL PROGRESS & FUND UTILIZATION (Rs. in Lakhs)**

1.	Sanctioned fund for entire project.	
2.	Amount of funds received up to date	
3.	Up-to date Expenditure	
4.	Amount of funds Utilized (out of received)	
5.	Amount of Expenditure by ULB (ULB Contribution + Beneficiaries contribution)	
6.	Balance funds Expected/due from various stackholders	
7.	Package wise Expenditure	
8.	Over All Financial Progress %= Total Expenditure / Total of Tendered Amount x100	
9.	Whether the work is delayed for non payment of any pending bills after construction (to be specified)?	

#### **J. VARIATIONS w.r.t. SANCTIONED COVENANTS**

1.	Are there any major variation because of: i. Specifications ii. Quality iii. Quantity iv. Designs (Architectural / Structural) v. Period of Construction (Increase/Decrease)	
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#### **K. COST VARIATION and TIME-OVERRUNS**

**Cost variation:**

1.	Whether there is cost variation?	
2.	If yes what are the reasons: i. Change in Quantities ii. New/Additional Items of work iii. Price Escalation Any other ( to be specified)	
<b>Time Overruns:</b>		
1.	Whether there is time overrun?	
2.	If yes what are the reasons: i. Delay in issue of work order ii. Delay in signing agreement iii. Delay in Handing Over site of work to the Contractor iv. Delay in actual start of work by the Contractor v. Delay in procurement of material ( give reasons) vi. Delay due to lack of interdepartmental coordination Any other ( to be specified)	
<b>L. REMEDIAL MEASURES TO IMPROVE PROGRESS AND QUALITY</b>		
<b>Undertaken by Implementation agency to improve the:</b>		
1.	Physical Progress	
2.	Financial Progress	
3.	Quality management	
4.	Comments and suggestions of TPQMA on above	
<b>M. COURT CASES AND LITIGATIONS</b>		
1.	( To be specified)	
2.		
<b>N. OTHERS</b>		
1.	Feedback of beneficiaries regarding provision of Physical & Social infrastructure.	
2.	Any specific observation by the beneficiary	
3.	Overall observation on the project (with adequate photographs covering project to a large extent including quality issues as applicable) 1. Critical observations 2. Action suggested by TPQMA to SLNA and IA	
4.	Action taken report on previous report: i. Observations of TPQMA ii Action suggested by TPQMA iii Action taken by IA (Implementation Agency) iv Whether TPQMA is satisfied with the action taken by IA	
5.	TPQMA's Overview of the Project (in 400-500 words) in a separate sheet	

*\*The format is indicative; the information will vary for different type of projects. The information may be added/deleted as appropriate.*

**(Signature)**  
**Name and Designation**

**(Signature)**  
**Name and Designation**

**Annexure- 2A**

<b>DETAILED REPORT ON PROPOSED WORKS</b>				
<b>S.No.</b>	<b>Component</b>	<b>Whether in progress (Yes / No)</b>	<b>Whether Inspected (Yes / No)</b>	<b>Comments</b>
<b>A. BUILDING WORK:</b>				
1.	Earthwork			
2.	Concrete work (Sub-structure /up to plinth)			
3.	RCC work (Above plinth / Super Structure)			
4.	Brick / Block work			
5.	Stonework			
6.	Marble work			
7.	Wood work			
8.	Steel work			
9.	Flooring			
10.	Roofing			
11.	Finishing			
12.	Internal services			
13.	External Services			
<b>B. CIVIC INFRASTRUCTURE WORKS:</b>				
<b>a. WATER SUPPLY:</b>				
1.	GSR/UGSR			
2.	ELSR/OHT			
3.	Intake-Jack-well			
4.	WTP			
5.	Pipelines			
6.	Pump sets.			
7.	Rain Water Harvesting pits			
8.	Sump			
9.	Tube wells			
<b>b. SEWERAGE:</b>				
1.	Sewer Trap Connect. Chamber			
2.	Collection network pipes			
3.	Inspection chambers			
4.	Sewerage pump Stn (SPS)			
5.	SPS to STP Pipeline			
6.	STP			
7.	Septic tank			
8.	Soak-pit			
<b>c. STORM WATER DRAINS:</b>				
1.	Drains			
2.	Open channel			
3.	Closed RCC Pipes			
4.	In-Situ RCC Box-pipes			
5.	Type of Grating/Jali			
6.	Inspection Chambers			
7.	Point of disposal (Nallah, Canal,			

	River, Creek)			
<b>d. ROADS &amp; CULVERTS:</b>				
1.	Roads			
2.	Pavements			
3.	Jogging track			
4.	Plantation			
5.	Restoration			
6.	Culverts ( Masonry / RCC)			
<b>e. ELECRIFICATION:</b>				
1.	H.T. Supply lines			
2.	L.T. Supply lines			
3.	Transformer			
4.	Street Lighting			
<b>f. SOLID WASTE MANAGEMENT:</b>				
1.	S. W. Collection System			
2.	Dust Bins/Containers			
3.	S. W. Transport System			
4.	Temp. store yards			
5.	S.W. Disposal area			
<b>g. COMPOUND WALL:</b>				
1.	Compound/Boundary wall			
2.	Entrance Gate			
<b>h. MISCELLANEOUS:</b>				
1.	Retaining wall			
2.	Any other (to be specified)			
<b>C. REPORT ON SOCIAL INFRASTRUCTURE WORKS:</b>				
<b>a. COMMUNITY FACILITIES:</b>				
1.	Community Centre			
2.	Livelihood Centre			
3.	Any Other			
<b>b. HEALTH /EDUCATION FACILITIES:</b>				
1.	Public Health Centre			
2.	Anganwadi			
3.	Primary School			
4.	Secondary School			
5.	Higher Secondary School			
<b>c. INFORMAL SECTOR MARKET</b>				
1.	Vegetable Market			
2.	Meat-Fish Market			
3.	Medical Store			
4.	Any Other			
<b>d. ANY OTHER ( To be specified)</b>				
1.				
2.				
3.				

### Annexure 3

#### Third Party Quality Monitoring Report of BLC projects under PMAY

<b>Name of TPQM Agency</b>	
<b>Date of Visit</b>	
<b>Current Visit No.</b>	
<b>Date of Previous visit</b>	

<b>A. PARTICULARS OF PROJECT</b>						
1.	Name of the State /UT:					
2.	Name of the City:					
3.	Name of Project:					
4.	Project Code:					
5.	Implementing Agency/ ULB					
6.	Location of the Project ( Slum name, Ward etc. as applicable)					
7.	Type of Project :(i) BLC (New Construction)(ii) BLC (Enhancement)					
8.	No. of EWS Houses in the project					
9.	Date of Approval by SLSCM					
10.	Approved Project Cost (Rs. Lakhs):	Central share	State share	ULB/ Implementing agency share	Beneficiary share	Total
11.	Date of sanction of 1 <sup>st</sup> instalment of Central Assistance by CSMC					
12.	Duration of the project					
13.	Date of commencement	Scheduled		Actual		
14.	Date of completion	Scheduled		Expected		
15.	Inspection undertaken by ( Name) (with contact detail) :	1.				
		2.				
16.	Name of State representative present during visit					
17.	Name of ULB representative present during visit					
18.	Name of Community representative present during visit					
19.	Whether list of Beneficiaries finalised?					
20.	If finalised, whether uploaded in PMAY MIS?					
21.	State any deviation from sanctioned DPR in terms of number of houses or size or location or Layout					

22.	Any other comment	
<b>B. QUALITY ASSURANCE IN THE PROJECT</b>		
1.	Whether ULB/ State have organized workshop/ training programmes to educate the beneficiaries about quality, construction methods, adherence to disaster resistant technologies etc.	
2.	Whether testing facilities to check quality of material is available?	
3.	Whether regular tests of materials and construction products tests of materials are being done from accredited labs also?	
4.	(i) Whether the structural Designs are approved / Proof checked by competent Authority (ii) Name of the approving authority for structural design. (iii) Whether the statutory certificate for disaster resistance design and compliance of codal provision is endorsed by the structural designer on the structural drawings fit for execution, Specially in case of multi-storeyed construction. (iv) The work is being executed as per the approved drawings fit for execution.	
5.	Whether the Inspection Registers, Site order book and Quality control Test registers are maintained and endorsed by the Engineer-in-charge?	
6.	Whether cement, steel, aggregates etc. being used in the work, got tested before use?	
7.	Whether manufacturer test certificate for cement, steel, pipes etc. have been obtained with supply and records are being maintained?	
8.	Whether Cement is free from lumps and is stacked properly to prevent contact with moisture?	
9.	Whether soil investigations of the site proper have been done before the structural design and soil parameters have been accounted for in the structural design/ drawings? If yes, attach copy of soil investigation report.	
10.	Whether centring /shuttering is checked for staging & propping, line & level, dimensions, cleaning etc. and its quality approved before each stage and record maintained.	
11.	Specific control on RCC work like: mixing by full bag capacity hopper fed mixer, control of slump, placing/ compaction with vibrator. (proportioning with boxes not permitted)	



12.	Whether cement register is maintained and checked at site. Comment on method of stacking.	
13.	Whether concrete mix is nominal or design mix? (Nominal mix not permitted for quality concrete).	
14.	What is the Mode of Concrete mixing (batch mix/ manual)? In case of manual mixing, whether mixing is by weight or by volume of ingredients? (Volumetric mixing not permitted).	
15.	Whether Mixer/Vibrator as specified is available at site with adequate means to run them during concreting?	
16.	Whether Surface of reinforcement is clean and free from rust?	
17.	Whether potable water is used for construction ?	
18.	Whether proper water / cement ratio has been ensured?	
19.	Whether the concrete being cured adequately as per requirements?	
20.	Whether bricks are well burnt, of rectangular shape, with sharp edges, free from cracks and of correct size?	
21.	Whether i) Execution of Depth & width of Foundation is as per drawing/ adequate & bottom levelled ii) Plinth height is as per drawing/adequate iii) Horizontal bands (as applicable) have been provided	
22.	Whether quality has been checked by TPQMA/ State agency? If yes, details thereof?	
23.	Quality of work and workmanship, Comments on	
	i. RCC work (concrete, Reinforcement detailing, cover to reinforcement). Whether Columns are in plumb (check for verticality).	
	ii. Masonry (Joint details, verticality). Check adequate RCC bands are provided.	
	iii. Shuttering (Type of material-pucca/katcha, support spacing )	
	iv. Bar bending and stirrups bending , placement and cover to reinforcement bars.	
	v. Plastering	
	vi. Doors and windows	
	vii. Seepage, if any	

	viii. Cracks, if any	
	ix. Honey combing, if any	
	x. Any other	
24.	Whether provision has been made for Service lines (Electrical, Water Supply, Sanitation etc.)	
25.	Whether floor slope (especially) in bath, WC, kitchen, terrace and balcony etc. are proper?	
26.	Whether dequate plinth height ( above the general ground level) is provided to the ground floor of the building to avoid possibility of rainwater and reptiles in the building.	
27.	Whether dampness/leakages noticed? If yes, state location and probable reasons.	
28.	Whether remedial measures are undertaken by IA/ ULB to stop Dampness & Leakages if any?	
29.	Whether disaster resistant features have been incorporated?	
30.	Any other comments	
31.	Report on Overall assessment of quality	Minimum 500 words (To be enclosed separately)
<b>C. PROGRESS - HOUSING COMPONENTS</b>		
1.	Numbers of houses sanctioned in the project	
2.	Numbers of houses Completed	
3.	Numbers of houses in progress	
4.	Stages of Progress: i. Foundation/ Plinth level (Nos.) ii) Lintel level (Nos.) iii) Roof level (Nos.) iv) Finishing level (Nos.) v) Total units completed (Nos.)	(Specify no. of Units)
5.	Numbers of houses not started	
6.	Reason for non-starter of houses, if any	
7.	Numbers of houses occupied by the Beneficiaries	
8.	Reasons for Non-occupation of houses (If any)-specific reasons to be given	
9.	Size of Unit (Carpet Area)	Sanctioned      As per Implementation
10.	Overall physical progress of Housing (in %)	
11.	Whether the progress of houses has been ensured through geo-tagged photographs at various construction level?	
12.	Whether DBT of fund to individual beneficiary is	

	ensured in the project?	
13.	Whether the building plan(s) conform to NBC norms?	
14.	Whether authenticated building plans and revisions if any, are available?	
15.	Deviation, if any	
16.	Any other comment	
<b>D. CIVIC INFRASTRUCTURE</b>		
1.	Whether provision of Civic infrastructure components (i.e. water supply, Sewerage, Drainage, Roads, SWM etc.) has been ensured?	
2.	Whether the Existing/proposed infrastructure components are independent and/or integrated with city level infrastructure?	
3.	Any other comments	
<b>E. SOCIAL INFRASTRUCTURE</b>		
1.	Whether provision of Social Amenities (i.e. School, Anganwadi, Health centre, Community centre, Livelihood centre etc.) has been ensured?	
2.	Any other comments	
<b>F. FINANCIAL PROGRESS &amp; FUND UTILIZATION</b>		(Rs. in Lakhs)
1.	Sanctioned fund for entire project.	
2.	Amount of funds received up to date	
3.	Up-to date Expenditure	
4.	Amount of funds Utilized (out of received)	
5.	Amount of Expenditure by ULB	
6.	Amount of Expenditure by Beneficiaries	
7.	Balance funds Expected/due from stakeholders	
<b>G. COST VARIATION and TIME-OVERRUNS</b>		
<b>Cost variation:</b>		
1.	Whether there is cost variation? If yes, what are the reasons?	
<b>Time Overruns:</b>		
1.	Whether there is time overrun? If yes, what are the reasons?	
<b>H. REMEDIAL MEASURES TO IMPROVE PROGRESS AND QUALITY</b>		
<b>Undertaken by Implementation agency to improve the:</b>		
1.	Physical Progress	

2.	Financial Progress	
3.	Quality management	
4.	Comments and suggestions of TPQMA on above	
<b>I. COURT CASES AND LITIGATIONS</b>		
1.	(To be specified)	
<b>J. OTHERS</b>		
1.	Any innovative/ cost effective/ green technology has been used	
2.	Feedback of beneficiaries regarding provision of Physical & Social infrastructure:	
3.	Reasons for delay in completion of housing and Infrastructure, if any:	
4.	Any specific observation by the beneficiary	
5.	Overall observation on the project (with adequate photographs covering project to a large extent including quality issues as applicable) 3. Critical observations 4. Action suggested by TPQMA to SLNA and IA	
6.	Action taken report on previous report: i. Observations of TPQMA ii Action suggested by TPQMA iii Action taken by Beneficiaries/ IA (Implementation Agency) iv Whether TPQMA is satisfied with the action taken	
7.	TPQMA's Overview of the Project (in 400-500 words) in a separate sheet	

*\*The format is indicative; the information will vary for different type of projects. The information may be added/deleted as appropriate.*

**(Signature)**  
**Name**  
**Designation**  
**Date**

**(Signature)**  
**Name**  
**Designation**  
**Date**

## Annexure 4

### Suggested structure and positions

It is envisaged that for quality monitoring of approved projects, there will be a team of one Senior Engineer (Civil) and one Junior Engineer (E/M) for site visits of minimum 6 projects of different cities in a month. The Senior Engineer will act as Team Leader.

For more site visits in a month (depending upon number of approved projects), the Agency is expected to provide additional teams as envisaged above from time to time during the term of the contract.

The job description for each position including qualification & experience is given below. The job description provided is indicative in nature and may undergo changes.

	<b>Position</b>	<b>Job Description</b>	<b>Qualification &amp; Experience</b>
<b>1</b>	<b>Team Leader (Senior Engineer, Civil)</b>	<ul style="list-style-type: none"> <li>• To lead the team of professionals engaged to carry out the job of monitoring of housing and infrastructure projects.</li> <li>• Responsible for ensuring the overall outcome and activity based support envisaged for the TPQMA.</li> <li>• Co-ordinate with team member and report to the SLNA on progress of outcomes.</li> <li>• Be responsible for the overall management of the Agency and budget, and for the timely and efficient delivery of outputs.</li> <li>• Closely monitor the performance in collaboration with the SLNA to ensure that requirements related to PMAY are fully addressed.</li> <li>• Liaise with external stakeholders as per the requirements of the scheme.</li> </ul>	<ul style="list-style-type: none"> <li>• Post Graduate in Civil Engineering with at least 15 years of experience.</li> <li>• Experience in the urban sector, of which at least 3-4 years should have been on leading monitoring agencies.</li> <li>• Shall have a thorough knowledge of :               <ul style="list-style-type: none"> <li>○ Latest specifications pertaining to Building &amp; infrastructure works</li> <li>○ Related publications according to which the works are required to be carried out and the tests to be conducted to ensure a good quality work.</li> </ul> </li> </ul>

2	<b>Engineer (E/M)</b>	<ul style="list-style-type: none"> <li>• Shall be required at site as directed by the SLNA and shall inspect and monitor implementation of the project, find deficiencies and suggest suitable remedial measures.</li> <li>• Support Team Leader / Senior Engineer to document and communicate reports to States and Cities and necessary follow-up actions.</li> </ul>	<ul style="list-style-type: none"> <li>• Graduate in Electrical / Mechanical Engineering with at least 7 years of experience <b>or</b> Diploma in Electrical / Mechanical Engineering with at least 10 years of experience.</li> <li>• At least 2-3 years of experience in the urban housing and infrastructure sector.</li> <li>• Shall have exposure to quality assurance in new construction and subsequent Maintenance aspects.</li> <li>• Must be familiar with: <ul style="list-style-type: none"> <li>○ Modern methods of construction of building.</li> <li>○ Design standards and technical specification of Electrical and Mechanical works in the building and infrastructure.</li> </ul> </li> </ul>
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## **Annexure 5**

### **Undertaking**

It is hereby certified that the following parameters have been followed in respect of the reimbursement of TPQMAzcharges: -

1. The services of the agency have been procured through transparent competitive bidding processes, as per procurement norms of the state.
2. The works have been awarded after the launch of PMAY i.e. 25<sup>th</sup> June, 2015.
3. The work was advertised through EoI publication/Tender Advertisement on \_\_\_\_\_ (date).
4. The bids received through transparent competitive bidding process were evaluated and work was awarded to M/s \_\_\_\_\_, which was the lowest bidder. Details of bid evaluation / comparative statement are available with the ULB / Implementing agency.
5. TPQMA has followed a systematic sampling process to select BLC houses as per the TPQMA Reference Guide.
6. The work has been completed by the appointed agency to the satisfaction of the ULB / Implementing agency.
7. Out of the total requested reimbursement amount towards TPQMA charges, Rs. \_\_\_\_\_ lakhs have been paid to the agency and the balance Rs. \_\_\_\_\_ lakhs will be paid by the ULB / implementing agency on receipt of payment from the Ministry. Copy of payment invoice, proof of payment made to the agency and copy of cash vouchers are available with the ULB / Implementing agency.
8. The quality monitoring of the project(s) is going on as per the sanctioned plan and no revision has been / is being proposed.
9. ULBs have considered and complied with all recommendations of the TPQM agency

**Signature**  
**( State Level Nodal Officer)**

**Signature**  
**( Secretary/Principal Secretary,  
Concerned Department)**

## Annexure 6

### Action Taken Report based on Third Party Quality Monitoring (TPQM)

The following actions have been taken based on the TPQM Report

<b>S. No.</b>	<b>Recommendations by TPQM Agency</b>	<b>Action Taken/Reasons for not acting on TPQM Report</b>
<b>1</b>		
<b>2</b>		
<b>3</b>		
<b>4</b>		
<b>5</b>		
<b>6</b>		

*(Add additional rows, as required)*

1. It is hereby certified that a detailed report of TPQM in respect of the PMAY(U) Project(s) has been received by the SLNA from the TPQMA
2. The TPQMA report has been scrutinized/examined by SLNA and preventive and curative actions have been taken based on the TPQM.
3. An Action Taken Report (ATR) in this regard has been placed before SLSMC in its ---- meeting held on ----.
4. The overall quality of houses constructed under PMAY(U) has been found satisfactory as per latest NBC norms.
5. The TPQM report has already been placed in the SLNA website.

**Signature**  
**( State Level Nodal Officer)**

**Signature**  
**( Secretary/Principal Secretary,**  
**Concerned Department)**