

CONSULTANCY SERVICES REQUIREMENT

**ROAD SECTOR POLICY & INSTITUTIONAL DEVELOPMENT
STUDIES & ACTION PLANNING**

TERMS OF REFERENCE

Background

1. The state Government of Gujarat (GOG) through the Government of India (GOI) is seeking funding assistance from the World Bank (WB) for implementation of the new Second Gujarat State Roads Project (GSHP-II), to be managed primarily by the GOG Roads & Buildings Department (R&BD). It is intended that a portion of this WB funding will be used to finance consultancy, advisory and technical services required for implementation of various important activities during the Project which are aimed at further developing and strengthening the road sector institutional and policy framework and capacities to meet the growing challenges in the sector through the state's economic development and increasing demand for road transport infrastructure quality, capacity and connectivity.
2. The groundwork for policy reform and institutional strengthening in the state's roads sector was put in place over 1999-2007 under the first GSHP, also implemented with World Bank assistance. The new GSHP-II will enable the GOG to build on that via its Sector Policy & Institutional Development Component, comprising a range of 'second-stage' roads sector institutional and capacity-development initiatives combined in a new GOG-endorsed Institutional Development Action Plan (IDAP) covering the period 2013 - 2019.
3. The 2013 – 2019 IDAP will be an integral part of the overall Project strategy and shares linkages with - and will be implemented in parallel with - a new sector-level multi-year Governance & Accountability Action Plan (GAAP). The IDAP in 'summary matrix' format will be used between the GOG, the R&BD and the World Bank to guide and monitor the IDAP implementation process and its results relative to a range of clear monitorable targets and milestones in three major fields, viz.
 - **Road Sector Policy & Planning** (roads policy/strategy/planning, safety, governance)
 - **R&BD – centered Capacity Development** (rules, standards, business processes, operations equipment & technology, Information Technology & MIS, staff HRD)
 - **Road Sector Knowledge & Capacity Development** (enhancing sector entities, new centers of excellence, collaborative sector knowledge/skills advancement programs)

The IDAP summary matrix is included in these Terms of Reference (TOR) as **Appendix 2**.

4. The GSHP-II funding will support external assistance in the form of consultancy services, technical expertise, acquisition of advanced / specialist equipment including IT hardware and software, and other miscellaneous services, materials and/or consumables needed to undertake the IDAP implementation program. In this particular instance, it has been decided that the R&BD shall engage consulting services for a combination of policy-based studies, preparatory and planning initiatives, and facilitation of any required GOG-level decision-making. The overall assignment, its specific elements and the expected deliverables involved in these particular consultancy services are the subject of these TOR and are presented in detail below.

Objective & Scope of the Services

5. The main objective of the **Road Sector Policy & Institutional Development** consultancy services is to assist the GOG and the R&BD to update and strengthen selected key elements of sector policy and strategy, planning, governance, institutional responsibilities and frameworks for technical and ‘services’ capabilities, with the overall aim of achieving sustainable enhancements in GOG effectiveness in planning, financing, provision and management of major road network infrastructure, in accordance with the R&BD-centered IDAP.
6. The assignment is comprised of a set of seven (7) distinct Tasks combined as one overall ‘package’. While the respective Tasks share the over-arching sectoral aim of enhancing institutional capacity and performance, it is expected that the various Tasks will generally be tackled as separate ‘stand-alone’ activities by the selected consultants (hereafter referred to simply as ‘the Consultant’). Each individual Task is expected to require an initial Study (of varying length, complexity and/or methodology) to identify and ‘scope’ the initiatives / changes required and to provide an effective basis for the requisite GOG and/or R&BD decision-making, plus assistance (where deemed necessary) with preparations for possible implementation action. The overall services ‘package’ shall therefore also include broadly-based ‘decision-making facilitation and support’ services and in selected cases, assistance with preparation of statutory and/or legislative documentation and notices.

Specific Tasks Comprising this Assignment

7. The major specific Tasks to be engaged under these services are as follows.

Task 1. **State Road Sector Policy:** Review the medium-to-longer-term road sector outlook on (*inter alia*) the evolving priorities and modalities in road infrastructure planning, development, financing, construction, management and ‘ownership’, and based on that, identify the updating and refinements that objectively should be made to the existing **GOG State Road Sector Policy** established in 1996, to enable it to be effective as the principal GOG vision and strategy statement for the development of the Gujarat road sector over the next 5-10 years. This shall at least involve:

- (i) Review of the main current state and national policies on roads development, financing and management, and of related legislation, regulation and/or other statutory mechanisms;
- (ii) Review of current and projected road sector demands and challenges (including from roads financing and ‘ownership’ innovations) and declared GOG aims / targets in the sector;
- (iii) Identification of any significant limits and/or critical ‘gaps’ in the authority / powers / policies and resources now available to GOG for the evolving road sector circumstances;
- (iv) Determination of GOG options and opportunities in strengthening the road sector policy and institutional framework for future requirements over the next 5-10 years;
- (v) Drafting of a proposed revised GOG State Road Sector Policy 2014-2023 and facilitating an R&BD-convened GOG senior officials’ Workshop to consider the draft Policy; and
- (vi) After GOG confirmation of the new Policy, assisting the R&BD with the sector-wide communication and planning for implementation of the new Policy.

Task 1. Deliverables: (a) Draft (revised) **State Road Sector Policy 2014-2023** submitted after focal **Workshop** for GOG officials; and (b) after GOG feedback / decisions, consultant’s **Task Completion Report** submitting the finalized State Road Sector Policy 2014-2023.

Task 2. Performance Management in R&BD: Review the existing processes and tools available in the R&BD in headquarters and field units for activity and progress monitoring and reporting, in relation to both works and non-works forms of substantive activity that reflect the performance of the Department and the results of such performance; and building on those processes and/or tools where relevant, develop and ‘roll-out’ R&BD-wide a linked combination of a comprehensive *Monitoring & Evaluation* (M&E) process framework and a *Performance Management* capability for the Department. This shall at least involve:

- (i) Assessing the status, capacity and ‘gaps’ in existing monitoring processes and software tools for activity and progress monitoring in the R&BD;
- (ii) Facilitating R&BD determination of the range of functions, activities and outputs that shall fall within the ambit of the planned M&E and Performance Management processes, and the ‘master suite’ of measures, milestones and/or indicators to be applied throughout the R&BD in the respective processes;
- (iii) Undertaking consultations with central GOG areas (facilitated by the R&BD) that would become users of higher-level outputs from these tools, to establish their requirements;
- (iv) Assisting the R&BD in development or acquisition of an appropriate Performance Management tool;
- (v) Ensuring the satisfactory integration of the M&E tools / processes and the Performance Management software with ongoing R&BD management functions and with other relevant IT-based management tools and MIS in operation in the R&BD;
- (vi) Preparing appropriate user-access facilities and reporting (etc.) formats for the M&E and Performance Management processes customized to R&BD (and where appropriate, GOG-level) needs and preferences;
- (vii) Facilitating the R&BD-wide roll-out and operation of the M&E and Performance Management processes with comprehensive support documentation and staff training;
- (viii) Helping the R&BD to establish a sustainable ‘core capacity’ within the HQ organization to lead and manage the operation of these processes and tools; and
- (ix) Assisting the R&BD in making necessary changes to departmental documentation on positions / functions / accountabilities, to incorporate the new M&E and Performance Management responsibilities in all relevant R&BD units and positions.

Task 2 Deliverables: (a) Initial **Technical Report** presenting the ‘status/capacity/’gaps’ assessment, the planned scoping and nature of M&E and Performance Management tools for R&BD implementation and the planned suite of measures/milestones/indicators; and
(b) a **Task Completion Report** ‘package’ comprehensively detailing the implemented M&E and Performance Management framework(s), processes, the staff capacity-building activities completed, specific ‘sustainability’ requirements, user manuals and technical documentation.

Task 3. PPP (Roads Sector) Policy - ‘Nodal’ Capacity: Review of the available skills, knowledge and resources in the R&BD and other key agencies of the GOG on the development and implementation of PPP-based provision of major road infrastructure, and based thereon, prepare and (subject to affirmative R&BD decisions) facilitate the initial stages of implementation of an Action Plan for strengthening the ‘PPP Policy’ role and capacity in the R&BD towards becoming an effective ‘nodal point’ within GOG for policy and technical advice / guidance / mentoring on roads sector application of PPP mechanisms. This shall at least involve:

- (i) Making an assessment (from consultations within the R&BD and in relevant GOG areas) of the extent, depth and dispersal of roads-related PPP policy knowledge and implementation experience presently available in the state;

(ii) Reviewing the organizational framework of both the R&BD and the GSRDC to determine where and how a lead ('nodal') capacity on roads sector PPP policy and implementation advice / support may be rapidly established and made sustainable;

(iii) Preparing a realistic Action Plan for the R&BD to achieve the proposed lead ('nodal') PPP Policy capacity and support resources in one unit as soon as possible, and (if the Action Plan is endorsed) providing 'start-up' training and capacity-building services to unit staff; and

(iv) Developing an effective communications strategy (including at least one Workshop) to help the R&BD to inform industry, other GOG areas and other sector entities about the availability of this PPP advising / reviewing / collaborative capacity.

Task 3 Deliverables: (a) Initial **Technical Report** detailing the PPP 'capacity assessment' and proposed Action Plan, and (b) comprehensive **Task Completion Report** on Action Plan finalization and implementation aspects, with details of the Workshop(s), the organizational actions, the staff training and capacity-building measures, external communications and sustainability measures.

Task 4. Road Network Master Planning: Develop the GOG / R&BD capacity for medium-to-long-term roads Master Planning, building on the R&BD 'major road network' information and asset management capability already in place via the Gujarat Roads Management System (GRMS), on recent road network investment prioritization studies and on other state-level planning for infrastructure and socio-economic development. This shall involve:

(i) Gathering and integrating all available data from R&BD and other GOG agencies on (a) the current road network, current works and plans for its development; (b) the current capacity and performance status of other transport modes and any significant planning underway to enhance the transport capacity in other modes; (c) the existing and evolving industrial developments in the state; (d) the status and directions of residential developments and urban growth in the state's major centers; (e) any assessments made by / on behalf of GOG of the likely transport demands and impacts in these areas, separately or cumulatively; (f) the medium-term GOG roads funding outlook and the impact of PPP-style roads development in that context; and (g) the likely priorities in the anticipated 'revised State Roads Sector Policy';

(ii) Determining the range of data required for effective roads master planning, assessing the adequacy and quality of the available data in that context to identify any 'gaps' and (after consultation with the R&BD) undertaking additional data gathering and compilation to resolve such data 'gaps' in an efficient manner;

(iii) Establishing a specific IT database and software applications for R&BD use in managing this data, and implementing modelling tools and planning methodology that will be sustainable in the R&BD context in future;

(iv) Reviewing and assisting the R&BD to update the state's 'road classification & responsibility' framework for GOG endorsement and then facilitating its implementation;

(v) Preparing various forms of medium-term 'road network development' planning scenarios based on the data for review in an R&BD-convened Workshop of internal and external stakeholders to determine (inter alia) the preferred planning parameters and output features;

(vi) Developing a draft 'inaugural Roads Master Plan' building on the Workshop results / feedback, for circulation among key GOG and industry stakeholders; and

(vii) Facilitating 'R&BD-driven' capacity-building measures to establish a sustainable capability and focal point for continuation of roads Master Planning activity in the R&BD.

Task 4 Deliverables: (a) Initial **Technical Report** on data compilation, tools deployed and proposed methodology and reporting on the Workshop results; (b) Submission (post-Workshop) of draft **Inaugural Road Network Master Plan**; and (c) comprehensive **Task Completion Report** detailing the main completed activities, the status of 'roads master planning' capacity in R&BD, and further 'capacity' and 'sustainability' measures required.

Task 5. Development Strategy for R&BD Wings: Undertake a Study of the current main functions, organizational structure, resources and circumstances of the respective Wings / major units of the R&BD to identify the scope for fruitful short-to-medium term actions on reforms, rationalization and/or strengthening in each Wing / major unit's capacity and management; and subject to the R&BD senior management's decisions on the Study findings and recommendations, assist the Department in launching short-to-medium-term Action Plans for each R&BD Wing / major unit, including via Workshops and consultations, emphasizing localized 'ownership' and responsibility in Action Plan implementation and progress/results monitoring. This shall inter alia involve:

- (i) Providing an outline-level 'mapping' of the established range of functions, accountabilities, powers / authority, organization, staffing and other resources of each Wing / major unit, and identifying any significant current and/or expected impacts on their functions and capacity, either 'across the board' (e.g. via GOG-level issues) or in each Wing / major unit separately;
- (ii) Providing an outline-level summary of any significant capacity constraints and/or performance weaknesses arising from organizational and/or resource factors and/or from the current structural, functional or accountability arrangements and in the statutory empowerment of the individual Wings / major units, relative to overall understood R&BD responsibilities;
- (iii) Identifying the activities, outputs and services currently expected of each Wing / major unit and any emerging changes, challenges or constraints affecting the efficient performance of these, both qualitatively and quantitatively, including the adequacy of the available IT resources or other technology;
- (iv) Making a high-level assessment of the main current 'business processes' in place in each Wing / major unit against relevant 'best practice' benchmarks in comparable public entities in India or overseas, preferably in infrastructure-related sectors, and preparing a summary of objective priorities for action, including (if needed) more holistic 'business model' changes;
- (v) Developing with management and staff of each Wing / major unit (through localized consultations and Workshops), a tailored (proposed) Development Plan comprising the most viable and realistic short-to-medium options for substantive improvements in each Wing / unit's focus, structuring, empowerment, resources and capacity, taking also into account any proposed 'business process' changes, and then submitting the proposed Plans to R&BD senior management for review / endorsement;
- (vi) Facilitating and guiding the initial stages of implementation of the respective Development Plans (once endorsed) by each individual Wing / major unit, including on action to secure any required external inputs for Plan elements, to establish Wing / unit level progress and results monitoring processes and to embed local 'ownership' of Plan implementation;
- (vii) Preparing and (after R&BD senior management review) finalizing an overall R&BD Wings' Development Program that brings together and integrates the elements and activities involved in the individual Plans as a combined Program, giving the overall timeframe, key individual milestones therein, planned local and external inputs, expected outputs, assignment of Plan responsibilities, any 'mission critical' conditions / issues, and indicators for progressive performance and impact assessment of the Plans under implementation.

Task 5 Deliverables: (a) A substantive Study Report covering the features and results of Task activities (i) to (iv) above; (b) submission to R&BD on **individual Wings / Units' proposed Development Plans**; and (c) a **Task Completion Report** comprehensively documenting the **overall R&BD Wings' Development Program**, its constituent Plans and the main features of the agreed implementation, monitoring and management arrangements.

Task 6. Development Study for Gujarat Engineering Research Institute (GERI): Complete a comprehensive Study of the "as is" organization, resources and operations of the GERI to (a) determine its effectiveness and ongoing viability for current GOG and industry needs and expectations in the field of works (materials) Quality Research & Testing, at the present level of

funding and with existing equipment and resources; (b) prepare a draft Development Strategy that over a 0-4 years timeframe, would enable the GERI to shift to a more sustainable and higher-performance 'business model', identifying the changes required in the GERI funding / revenue / expenditure framework and the scope of new investment (one-off or recurrent) required in facilities, equipment and IT-ICT capacity to endow the GERI with modernized, cost-effective technology and service capabilities. This will at least involve:

- (i) Studying and 'mapping' the functions and responsibilities of the GERI as per the present GOG business rules, the processes typically being followed in the GERI's operations and the forms and sources of funding currently supporting the GERI, to submit an "as is" depiction of the present GERI 'business model';
- (ii) Assessing the objective capacity and performance currently of the GERI in providing works Quality Research & Testing services to public and private sector clients in the state, identifying any significant weaknesses and the factors underlying those weaknesses, and assessing the extent to which those weaknesses may each be overcome within the present GERI 'business model' and within the normal mechanisms and resources of the GOG;
- (iii) Preparing a high-level Discussion Paper for presentation to a (consultant-facilitated) Workshop for GOG senior officials and key external stakeholders on two forward scenarios for GERI, being (a) 'strengthening the "as is" GERI model incrementally and modestly within existing GOG administrative and funding parameters, but outlining that scenario's pros and cons; or (b) offering a more strategic medium-term Development Strategy for GERI, centered on a new 'business model' aiming for better financial viability, improved responsiveness to industry needs, more commercially-oriented in its services and charges, more administrative autonomy and more capability for state-level leadership in the Materials and Quality testing / investigation fields, but outlining any major new funding required (in broad terms) and the areas of possible risk in reaching planned results and outcomes;
- (iv) Taking account of Workshop feedback and results, preparing and submitting a proposed 'medium-term GERI Development Strategy' (fully detailed and costed) for GOG decision;
- (v) Providing advice to the Irrigation and R&B Departments (as the key stakeholders) and the GERI on the key actions likely to be required in the event of affirmative GOG decision(s); and
- (vi) Preparing a viable phased, time-bound and comprehensive action program for implementation of the GERI Development Strategy (in anticipation of affirmative GOG decisions), that includes provision for a Steering body, an effective Progress Monitoring framework, a GERI-centered 'change-management' staff training and development program, and measures for ongoing sustainability of the Development Strategy results and benefits.

Task 6 Deliverables: (a) Report on **"As Is" Assessment of GERI**; (b) Discussion Paper for stakeholder Workshop on **optional GERI development scenarios**; and (c) **Task Completion Report** 'package' detailing (at least) the finalized GERI Development Strategy, the implementation action and management arrangements, and the sustainability actions.

Task 7. Development Study for Engineering Staff College (ESC): Complete a Study of the ESC to determine its current functions, capacity, strengths, weaknesses and potential readiness for a widened sector-oriented Training & HRD role, and to outline a viable medium-term ESC Development Strategy for GOG consideration/decision/action. This will at least involve:

- (i) Studying the functions, capacity, operations and outputs of the ESC, its current organizational environment, its funding and its role as per the GOG rules of business, and identify the strengths, weaknesses and constraints of the present ESC 'business model';
- (ii) Reviewing any previous 'intra-R&BD' proposals for enhancing the College's technical, financial and operational capacity, and reviewing the nature of and experiences with varying 'autonomy' initiatives taken in other relevant GOG institutions such as **SPIPA** to determine their potential applicability to - and value for - the ESC situation;

(iii) Undertaking sample consultations with industry representatives and associations to gather external feedback on existing ESC training ‘products’ and capabilities, and to gauge the potential uptake by industry in Gujarat of future ESC programs (once enhanced / updated);

(iv) Undertaking sample consultations and/or surveys of middle-to-senior staff within the R&BD and the Irrigation Department (IRD), being the key GOG stakeholder entities in the ESC, and a sample of ESC staff, to gather feedback on ESC training experiences, impacts and priorities for enhancement;

(v) Preparing for R&BD / IRD review / endorsement (including via a consultant-facilitated Workshop), a (draft) new strategic ‘Mission’ for the ESC as a more sector-oriented, industry-accessible and collaborative entity, dedicated to both the ongoing delivery of high-quality in-service technical courses / programs **and** the provision (on-site or elsewhere, in collaboration with other institutes/partners/experts) of advanced technical and management training (contents and techniques) for GOG engineering staff and industry participants, to meet emerging challenges in infrastructure planning and financing; project design, preparation and construction- readiness; environment & social ‘safeguards’ planning and compliance; road safety engineering; procurement and contract-management; construction supervision and quality control; road maintenance and asset management strategies; budget and financial management; performance monitoring / management, governance and public information.

(vi) Outlining in broad terms a medium-term ESC Development Strategy based on the proposed ‘Mission’, with particular highlighting of any additional (transitional) funding requirements and/or any significant capital procurements anticipated as being essential for the future ESC ‘business model’ (also for Workshop review/resolution, as per (v) above);

(vii) Preparing (after R&BD / IRD agreement on the proposed new ‘ESC Mission’ and broadly-stated Development Strategy) a comprehensive plan for ESC transition to a substantially-changed ‘business model’ and operational framework, summarized in a detailed, phased, time-bound and broadly-costed implementation program for execution of the proposed ESC Development Strategy, to be submitted to GOG for decision / endorsement;

(viii) Subject to GOG endorsement, facilitating the launch of implementation action on the ESC Development Strategy, including initiation of a Steering body, effective Progress Monitoring arrangements, an ESC ‘change-management’ staff training Workshop, and a set of ESC-managed sustainability measures to strengthen the Development Strategy results.

Task 7 Deliverables: (a) Mid-Task **Report** on ‘as is’ **assessment of the ESC**, on **draft ESC Mission statement**, on **R&BD / IRD officials’ Workshop** reviewing the draft ESC Mission, and on the **proposed ‘medium-term ESC Development Strategy’**; (b) Draft R&BD / IRD submission to GOG on **ESC Development Strategy and comprehensive ESC transition & implementation program** seeking GOG endorsement; and (c) **Comprehensive Task Completion Report** ‘package’ on the new ESC Mission, Development Strategy, plans for transition & implementation Steering, monitoring and management, ‘change-management’ training initiatives and proposed ‘sustainability’ measures.

8. In each of the abovementioned **Tasks** of these services, the consultant may also be required to provide expert drafting assistance to the R&BD and the GOG in developing official submissions and/or drafting outputs such as Policy statements, proposed new/amended legislation, draft Rules or Orders and other statutory documents and notices, where these are needed by the client to achieve and/or enact GOG decisions on proposals arising from these services.

9. The consultant shall also submit monthly and quarterly progress reports to the R&BD Project Implementation Unit (PIU) in a standard PIU-determined format for inclusion in the PIU monitoring of and reporting on IDAP implementation progress.

Approach to Delivery of the Services

10. During the Inception Period (immediately following mobilisation) the consultant shall - in consultation with the client - finalize a viable Work Program covering all the above-mentioned Tasks, and to therein also document any major newly-identified 'content', 'approach' or methodology issues that may become risks to the satisfactory execution of the services, for resolution by the client.

11. Given the GOG's commitment to good governance and observance of the Right to Information (RTI) legislative provisions, the consultant shall - in developing that Work Program - make due allowance wherever appropriate for open access to their outputs. This shall at least take the form of: (a) facilitation of R&BD and/or GOG information to and/or interactions with external stakeholders and civil society entities during individual Tasks; and (b) facilitation of 'internal' communications to staff of R&BD, IRD and any other involved GOG agencies about the Tasks. The consultant's substantive Reports during these services also shall (except where decided otherwise by R&BD) typically be lodged on the R&BD and Project websites.

12. The consultant's personnel shall in performing these services be required to actively facilitate a process of 'skills / knowledge transfer' to nominated R&BD and IRD counterpart staff in those elements of the abovementioned Tasks involving the introduction or enhancement of concepts / processes / methodologies that will become part of the ongoing functions and operations of the R&BD and/or the IRD, via customized local training and other 'on-the-job exposure' methods. The consultant shall also liaise regularly with other IDAP-related consultancy teams – both directly and through the nominated PMC point in the PIU – to ensure an effective two-way flow of information about activities in the respective consultants' assignments that may have 'cross-cutting' effects between various IDAP targets and hence may benefit from active harmonization between the consultants and the Client.

Duration & Location of the Services

13. The services shall be completed over *approximately thirty six (36) months*, with phasing of mobilization of personnel and other inputs over that period as per the agreed Work Program, which is expected to commence before end-January 2013 and be completed before end-January 2016.

14. The principal location for the execution of these services will be the R&BD headquarters' offices in Gandhinagar, Gujarat. However some of the Task activities will necessarily involve the consultants working 'off-site' with R&BD field units and/or with other participating entities, such as the GERI and the ESC, hence the consultant's personnel shall be required to undertake some Task-related travel to / from such R&BD and/or IRD 'field' locations units as part of the services. While this will be resolved in due course between the R&BD and the Consultant on a case-by-case basis, in framing their proposals (and given the range and nature of these Tasks) the consultants should anticipate approximately 15-20 such 'intra-state' travel instances being required during the services.

Key Personnel Requirements

15. The consultant shall mobilize and maintain a team of suitably qualified and experienced 'key personnel' to undertake the assignment on (as far as practical) a 'multi-Tasking' basis, and shall provide an appropriate complement of supporting administrative / office operations staff. The expected 'key personnel' are shown in the Table below with a *non-binding* estimate of the likely person-months' input in each case. It is anticipated that overall, the consultant would be expected to provide **approximately 155 person-months of 'key personnel' inputs over the 36 months' period** of the assignment. However, these estimates of 'key personnel' inputs are only indicative and interested consultants shall make their own estimations in this regard in their proposals.

16. The expected qualifications for the "key personnel" positions only are summarized at *Appendix 1*. While interested consultants may choose to include in their proposals information about possible nominees for proposed supporting staff roles and capacity, any such details are not required

to be part of a consultant’s proposal(s) and therefore any such details will **not** be taken into account in the **evaluation** of proposals / bids for these services.

Table of Estimated ‘Key Personnel’ Inputs

<i>Key Personnel</i>	<i>Tasks Expected to Require Input</i>	<i>Inputs* (person-months)</i>
Roads Management Specialist & Team Leader (TL)	All	30
Business Process Reform & Management Specialist & Deputy TL	1, 2, 5, 6, 7	24
Domain Specialist (Public Sector, State & National)	All	12
Senior Highways Engineer (Planning & Management)	1, 2, 3, 4	12
Transport Planning (Road Infrastructure) Specialist	1, 3, 4, 5	6
Transport Economics (Road Infrastructure) Specialist	3, 4, 5	4
GIS Applications Specialist	3, 4, 5	4
Quality Assessment & Materials Testing Specialist	5, 6, 7	6
PPP / PSP (Development & Management) Specialist	1, 3, 4	6
Financial Planning & Management Specialist	All	6
Performance Management (incl. M&E) Specialist	2, 5, 6, 7	12
Senior Training & HRD (Planning) Specialist	All	12
Change-Management (Training & Support) Specialist	All	9
Communications (Media / Web / Intranet) Specialist	All	6
Legislative / Statutory Drafting Specialist	All but 2 & 4	6
<i>Estimated Total ‘Key Personnel’ Inputs Over Assignment Period</i>		155
<i>* These estimated person-month inputs are indicative only. Interested consultants will need to make their own determination of the nature and quantum of inputs required to perform these services.</i>		

Periodic Deliverables & Milestones

17. In addition to completion of the Task elements outlined at Paragraph 7 (Tasks 1-7), the following ‘standard’ deliverables are also required from the consultant during these services.

- An ***Inception Report***, presenting the Consultant’s post-mobilization approach to the requirements of the main task elements, finalization of both the phasing of inputs and the overall work program for the services period, and outlining any key issues needing further resolution by the client for efficient execution of the overall assignment.
- ***Monthly Reports*** and ***Quarterly Progress Reports*** (MRs & QPRs) in standard format, due at the end of each month and each quarter during the services.
- A ***Mid-Term Status Report*** (MTSR) outlining the results and achievements in each major element of these services and detailing (i) any significant unforeseen challenges or problems for R&BD / GOG consideration and (ii) any need for further refinement to (e.g.) the inputs and/or the work schedule in these services for overall efficiency and effectiveness.
- Various ***Workshops*** to be facilitated on R&BD’s behalf by the consultant at important stages in each Task, expected to require at least one (1) Workshop per Task.

- A **Draft Final Report** (DFR) to be submitted one month before the completion date of the services as per contract, which shall report comprehensively on the consultant's activities, outputs, results and achievements against the substantive requirements in these TOR.
- A **Final Report** (FR) to be submitted within two weeks of receipt of R&BD / GOG comments on the DFR and/or in any event no later than the contracted date of completion of the services.

Reporting, Review & Overall Deliverables-cum-Payment Schedule

18. The Gujarat Roads & Buildings Department (R&BD) will be the contractual client for the services and will manage these services through its Project Implementation Unit (PIU), which has overall charge of the new Second Gujarat State Highway Project (GSHP-II). The PIU is expected to be assisted in its GSHP-II responsibilities by an externally-sourced Project Management Consultant (PMC) who *inter alia* will assist the R&BD in the general oversight, coordination and integration of all IDAP implementation activities, including those to be performed in Tasks 1-7 of these services.

19. The deliverables under the assigned tasks of the consultant shall upon their initial 'draft' submission be reviewed by a Review Committee established by the R&BD (the R&BD has yet to decide whether this will be a 'standing committee' or convened 'as / when required'). The Review Committee will be responsible for determining any modifications or changes considered necessary from the Client's perspective in the outputs submitted by the consultant and the consultant shall incorporate these modifications or changes in finalizing the outputs. The membership of the Review Committee will typically be at least comprised of an R&BD Chief Engineer (as chairperson), a senior staff member from of the Wing / unit / entity (i.e., of R&BD, GSRDC and/or IRD) most directly concerned with the submitted Task output(s), and two nominees of the Secretary-R&DB, being (i) a Superintending Engineer (SE) from a major field office and (ii) a senior-level R&BD officer of the GOG Administrative cadre.

20. The required standard-format Monthly Reports (MPs) and Quarterly Progress Reports (QPRs) required from the consultant, as mentioned at Paragraphs 9 and 16 (above), also shall be prepared sufficiently in advance to enable their advance tabling at a meeting of the Review Committee, who will review progress over the preceding quarter and (if warranted) provide any related comments or perspectives in the course of onforwarding the Report to the PIU by the due time. The MPs and QPRs will also be shared with the World Bank, as per the agreed GSHP-II monitoring arrangements.

21. The acceptance by the R&BD as the Client of each of the scheduled deliverables and outputs will mark completion of those Task elements of the agreed Work Program for these services. Such completion / acceptance may also be chosen as the basis for contractual payment milestones.

22. All finalized deliverables due in the form of documents, IT-based presentations, materials and associated files being submitted to the Client are to be supplied in at least the quantities indicated in the Table below, together with full electronic 'soft' copies of the material in each case imprinted on CD / DVD (rendered in Microsoft WORD, PowerPoint and/or EXCEL formats, or otherwise via other software if specifically agreed during contract negotiations).

23. Overall, the total of the outputs and deliverables due in these services from the consultant and the tentative 'due timing' for these, are as follows.

Table of All Expected Deliverables & Milestones

<i>Deliverable / Output Per Contract</i>	<i>Tentative 'Due Timing'</i>	<i>Quantity of Copies of Due Doc's</i>	<i>Percentage of Contract Payment</i>
<i>Inception Report</i> (IR) with Work Program (WP)	End of month 1	10	5%
<i>Monthly Reports</i> (MRs) in standard format (x 28*)	End of each calendar month	7	(0.25% each) 7.0%
<i>Quarterly Progress Reports</i> (QPRs) in standard format (x 8**)	End of each calendar quarter	7	(0.5% each) 4.0%
<i>Workshops</i> (including Presentations / Notes / Materials): estimate = eight (8) workshops	Timings as per agreed WP	10	(0.5% each) 4.0%
<i>Technical Report</i> on status/gaps, scoping and indicators/measures for M&E / Performance Mgt.	End of month 4	7	3%
<i>Technical Report</i> on (roads) PPP ' capacity assessment ' and proposed Action Plan	End of month 5	7	3%
<i>Submission</i> post-Workshop of Draft State Road Sector Policy and Workshop report	End of month 7	7	3%
<i>Technical Report</i> on study of R&BD Wings / major units' roles/functions/structure/capacity	End of month 8	7	3%
<i>Technical Report</i> on preparations and Workshop results for Road Network Master Planning	End of month 10	7	3%
<i>Report</i> on GERI ' As Is ' Assessment	End of month 12	7	3%
<i>Submission</i> on individual R&BD Wings / major units' proposed Development Plans	End of month 14	7	3%
<i>Discussion Paper</i> on GERI Development Scenarios	End of month 16	7	3%
<i>Report</i> on ESC ' As-Is ' Assessment and proposed Mission & Development Strategy	End of month 17	7	3%
<i>Mid-Term Status Report</i> (MTSR)	Mid-month 18	10	4%
<i>Draft Submission</i> on ESC Development Strategy (etc.) for R&BD-IRD to submit to GOG	End of month 20	7	3%
<i>Task Completion Report</i> on (roads) PPP ' nodal capacity ' Action Plan implementation	End of month 21	7	4%
<i>Submission</i> of draft Inaugural Road Network Master Plan for Gujarat major road network	End of month 22	7	3%
<i>Task Completion Report</i> on M&E and Performance Management implementation	End of month 24	7	4%
<i>Task Completion Report</i> on final State Road Sector Policy	End of month 26	7	4%
<i>Sub-total</i>			69%

[*Not including months 18 and 36. **Not including the final quarter (months 33-36)]

Table of Total Expected Deliverables & Milestones (continued)

<i>Deliverable / Output Per Contract</i>	<i>Tentative 'Due Timing'</i>	<i>Quantity of Copies of Due Doc's</i>	<i>Percentage of Contract Payment</i>
Task Completion Report on establishment of roads master planning for Gujarat in R&BD	End of month 28	7	4%
Task Completion Report on overall R&BD Wings Development Program	End of month 30	7	4%
Task Completion Report on GERI Development Strategy and planning for implementation	End of month 32	7	4%
Task Completion Report on ESC Development Strategy and implementation planning	End of month 34	7	4%
Post-Task (initial) Implementation Assistance (Tasks 5, 6 & 7 only – subject to affirmative GOG decisions on Study recommendations)	End-of-Task/s timing, above (as applicable)	N/A	(3 x 1% each) 3%
Draft 'Final Report' (DFR)	End of month 35	7	5%
Final Report (after Client response to DFR)	End of month 36	10	7%
		Total	100%

Responsibilities of the Client

24. The Client (represented primarily by the R&BD) will be responsible for providing the consultant's team promptly with necessary documents and materials wherever available, particularly relevant GOG documents related to the structure and functioning of the roads sector in Gujarat, on the main GOG policies, plans and/or strategies in the roads sector, on the IDAP and the GAAP, and concerning the Gujarat State Roads Development Corporation (GSRDC). The R&BD shall also arrange access to other necessary records and data (wherever available) on being so requested with adequate notice by the consultant's Team Leader.

25. The R&BD (usually via the acknowledged Review Committee, in the first instance) shall be responsible for reviewing, providing feedback on and /or advising acceptance of the consultant's outputs and/or reports. This shall be done by the R&BD within the consultant's requested timing wherever possible, but in any event shall be done within no more than three (3) weeks of the date of presentation / submission to the Client of such materials by the consultant requesting review/clearance. Where multi-agency and/or higher-level GOG consideration and responses are required, R&BD management will facilitate that on a case-by-case basis, with some adjustment to the 'turnaround' timing needing to be accepted by both consultant and Client in these circumstances.

26. The Client will nominate suitably-experienced counterpart staff for ongoing direct liaison with the consultant's team for the main Tasks in these services, and will also arrange for the nomination of similar counterpart staff from the IRD (when appropriate) for liaison regarding the GERI study. The Client will also arrange access to relevant R&BD staff in HQ and field units, and shall facilitate introductions where appropriate for the consultant's personnel to relevant GOG officials and staff in other GOG entities. Any other consultant needs for operational support during these services will need to be resolved in case-by-case consultations between the consultant and the Client.

Responsibilities of the Consultant

27. The consultant will be responsible for securing / maintaining suitable office accommodation for their team and its operational requirements, within reasonable proximity to the R&BD headquarters and PIU premises in Gandhinagar, Gujarat. The Client may consider providing space for

a modest-size 'liaison office' at PIU for the consultant's periodic use when working closely with PIU and R&BD management (e.g.) during mobilization and/or on particular Task activities.

28. The consultant shall make their own arrangements for all start-up 'operating' needs, such as power, communications and transport. The consultant shall also be fully responsible for the provision and maintaining of all facilities, resources and/or services required in execution of the assignment, such as office and IT equipment, communications, support services, consumables, all utilities, vehicles and/or transportation / logistics services. The consultant shall also be fully responsible for all other operational costs and 'overheads' incurred by the consultant's team during the services.

29. Travel from the main R&BD headquarters in Gandhinagar for IDAP / Task related activities to various R&BD and/or IRD 'field' establishments (both mainstream units and specialized entities such as the GERI and the ESC) will be required for some parts of these services. The instances, nature, timing and participants in such travel will be resolved on a case-by-case basis and in the Work Program context progressively between the R&BD and the consultant. However, in framing their proposals, consultants shall plan for approximately 15-20 such travel instances as an integral part of their responsibility for all personnel mobility and transport / logistics during the period of the services.

30. The consultant's 'key personnel' team members shall at all times satisfy the technical 'Qualifications & Experience' requirements stipulated in these TOR (at *Appendix 1*).

31. The consultant shall also apply their own internal 'quality assurance' processes to all outputs under these services, before submitting such outputs to the Client for review / acceptance.

32. The consultant shall consult with the R&BD regarding relevant departmental and GOG systems, procedures and statutory requirements, including relevant GOG security processes and protocols affecting access to official premises, to inform the approach of the consultant's personnel during these services and to ensure their compliance with relevant official policies / requirements.

Appendix -1

Qualification and Experience Requirements for Key Personnel

<i>Position</i>	<i>Minimum qualifications</i>	<i>Minimum years of professional experience</i>	<i>Specific Required Expertise</i>
Roads Management Specialist (Team Leader (TL))	Graduate qualifications in Civil Engineering, plus post- graduate qualifications in Management or Business Administration	15	Extensive international-standard experience in senior managerial and technical roles in an advanced Road Agency <i>and/or</i> as Senior Consultant leading major 'road sector reform' and 'capacity development' assignments in a developing country. High-level strategic and technical advising skills. Proven skills in leadership and management of multi-disciplinary teams, and in coordination of multi-agency action in a public sector context. Substantial professional experience and skills in engineering and implementation of modern road transport infrastructure works / projects. Proven high-level oral and written communication skills and inter-personal skills.
Business Process Reform & Management Specialist (Deputy TL)	Graduate qualification in Engineering (any discipline) or Masters level qualification in Management &/or Business Administration, with added professional specialization in Business Process Reform, Management and/or Organizational Development	12	Extensive senior-level experience as Analyst and Adviser on development / enhancement of business structures, functions, processes and resources in public and private sector entities. Extensive knowledge and experience of capability/performance assessment and in execution of capacity-development and re-organization / re-structuring plans in the public sector context in India. Proven capacity for effective innovation and results in 'organizational development' assignments. Demonstrated team leadership skills and capacity.
Domain Specialist (Public Sector, State & National)	Graduate in Administration, Management, Economics &/or Engineering (any relevant field or discipline), with additional higher-level qualifications in related fields also being desirable.	15	Extensive experience serving in senior roles in Government/ quasi-Government entities at state and/or national levels in India. Wide experience and skills in policy development, implementation and administration functions in the public sector in India. Sound direct knowledge of typical frameworks, machinery and processes of public sector agencies, particularly those with technical and services roles such as Public Works Departments. Proven ability to contribute to innovation and improvement in technical and administrative processes, capability and performance in public sector entities. Sound inter-personal and oral and written communication skills, proven in complex multi-disciplinary environments.

<i>Position</i>	<i>Minimum qualifications</i>	<i>Minimum years of professional experience</i>	<i>Specific Required Expertise</i>
Senior Highways Engineer (Planning & Management)	Graduate qualifications in Civil Engineering with post- graduation specialization in highway engineering	15	Extensive professional experience and skills in infrastructure planning and development for major road networks and associated transport infrastructure. Sound experience in establishing medium-to-longer-term master planning in public sector environments for road network development and management. Proven skills at technical and professional capacity building in roads sector contexts. Extensive background in highway engineering responsibilities and operations. Completion of at least two major comparable assignments.
Transport Planning (Road Infrastructure) Specialist	Graduate qualifications in Civil Engineering, plus post-graduate specialization in Planning and/or Transportation	12	Extensive professional skills and international-standard experience in road transport analysis, modeling and facility/infrastructure planning, including inter-modal optimization, corridor and network development, and master planning. Completion of at least one major comparable assignment.
Transport Economics (Road Infrastructure) Specialist	Graduate qualifications in Economics, plus post-graduate qualifications in Transportation and Econometrics	12	Extensive professional skills and international-standard experience in undertaking economic studies for road transport infrastructure assessment, planning and provision, including analyses of demand, choice, performance, cost-benefit and investment-return aspects. Completion of at least one major comparable assignment in a developing country.
GIS Applications Specialist	Graduate qualifications in Computer Science, Information Sciences and/or Information Management, plus specialization in GIS software applications	12	Sound experience in use of modern GIS applications to enhance wide-scale IT-based mapping and planning and associated databases for road assets and road networks. Proven skills in use of GPS-based technology and GIS-linked data-capture via contemporary applications such as ArcView, ArcInfo, Civil 3D and Map 3D. Completion of at least one comparable Transport sector assignment.
Quality Assessment & Materials Testing Specialist	Graduate qualification in Engineering with specialization in Civil Engineering, with added professional qualifications relevant to (works) Quality Management / Assurance / Control, Quality Systems &/or (infrastructure) Materials Testing	12	Extensive experience in senior roles in Quality Management / Assurance / Control, particularly as related to materials testing for physical infrastructure construction and management. Proven expertise and effectiveness in advising on and developing Quality testing / verification functions, policy, processes, operations and management capacity at HQ and field levels. Wide experience in modern Quality testing concepts, standards and technology, and of their operationalization in providing cost-effective Quality Testing / Control services to industry and public sector clients. Completion of at least one comparable major assignment.

<i>Position</i>	<i>Minimum qualifications</i>	<i>Minimum years of professional experience</i>	<i>Specific Required Expertise</i>
Public-Private-Partnerships (PPP) & Public Sector Participation (PSP) [Road Infrastructure] Specialist	Graduate qualifications in Civil Engineering &/or Management, Finance / Accounting, plus extra qualifications related to private sector infrastructure project financing	10	Extensive ‘practitioner’ skills and experience in PPP-based project development, financing and implementation. Sound knowledge of PPP-style activities and innovations in the roads sector in India at national and state levels. Proven skills at advising on and/or undertaking the formulation of contracts and financial agreements for PPP-based infrastructure developments and packages. Demonstrated skills at capacity building of staff in this field. Completion of a major comparable assignment.
Finance (Planning & Management) Specialist	Graduate qualifications in Accounting, Finance, Management, and/or Business Administration (or the equivalent)	15	Extensive experience and skills in the Finance aspects of infrastructure works and maintenance planning and management, particularly in public sector ‘utility & services’ contexts such as PWDs in India. Sound knowledge of typical roads funding at state level in India. Extensive experience in financial modelling and budget development, and experience in applying this to longer-term road sector planning. Proven skill in advising on agency-level FM strategy and ‘process’ issues. Completion of at least two comparable major assignments.
Performance Management and Monitoring & Evaluation Specialist	Graduate qualifications in Management, Economics, Business &/or Engineering, with additional specialist qualifications relevant to Performance Monitoring and Evaluation	10	Extensive experience and skills in developing and applying computerised monitoring and reporting systems to planning, project and program management, preferably in public sector contexts. Extensive experience in project-based monitoring of progress, performance and results, and in appraisal / evaluation of outputs and outcomes. Expertise in development of operational frameworks for IT-supported Monitoring and Evaluation (M&E) processes, with multi-level reporting capacity and integrated with corporate MIS systems, to support technical, operational and administrative ‘end-users’. Completion of at least two comparable major assignments.
Senior Training & Human Resources Development (HRD) Specialist	Graduate qualifications in Management, Education, Business and/or Engineering, with specialization in Human Resource Development (HRD), Training &/or Adult Learning	12	Extensive experience in managerial and advisory roles in modern Human Resources Management, HR Development and Training, particularly in planning, development and delivery of ‘skills & capacity development’ programs for both industry and public sector needs. Expertise in strategic planning, ‘business modelling’ and organizational development for entities delivering HRD and Training services and programs to a multi-sector clientele. Effective communication skills. Completion of at least two major comparable assignments.

<i>Position</i>	<i>Minimum qualifications</i>	<i>Minimum years of professional experience</i>	<i>Specific Required Expertise</i>
Change-Management (Training & Support) Specialist	Graduate qualifications in Management, Education, Business Administration or Engineering (any discipline), with additional qualifications in HR, Social Sciences &/or Psychology	10	Extensive experience in applying modern Management, HR, Social Sciences and/or (applied) Psychology concepts and techniques to 'change-management' plans and activities in organizations to support major business, operational and/or workplace change. Extensive experience also in applying contemporary HRM / HRD and Training techniques and practices to enhance the implementation process and outcomes of structural, business and/or workplace changes aimed at sustained improvements in services, performance and capacity. Effective oral and written communications and presentational skills, essential. Effective interpersonal, process-facilitation and conflict-mitigation skills, very desirable. Sound knowledge of the Indian public sector framework and the typical workplace norms and dynamics therein at state and sub-state levels, highly desirable. Completion of at least one major comparable assignment in India.
Communications (Media / Web / Intranet) Specialist	Graduate qualifications in fields related to Media, Public Relations, Communications and/or Public Information Management	10	Extensive experience in developing and facilitating strategies and plans for information dissemination and communication by public sector bodies in India. Significant experience in developing and executing 'conventional media' and IT-based/Web-enabled information, awareness-raising and strategic communication initiatives aimed at employees, industry, government and/or civil society groups. Sound knowledge of current "public disclosure" and/or "right to information" provisions, and experience in complying with these in mounting specific-purpose information and awareness strategies. Completion of at least one comparable major assignment in India.
Legal Specialist	Graduate qualifications in Law, preferably with post-graduate specializations in Corporate Law and/or Legislative Drafting	15	Extensive experience as legal practitioner in public, administrative and contract law. Sound knowledge and experience of India's legal framework and processes, particularly as this relates to change in public legislation, statutes and Rules affecting functions, responsibilities and powers of public sector entities. Proven skills at legal drafting in relation to preparation of new bills, legislative amendments, regulations, Rules, statutory notices and/or Government Orders and announcements.

Appendix 2

Summary Matrix of Institutional Development Action Plan (IDAP) 2013-2019

<i>No.</i>	<i>Objective</i>	<i>Key Result(s) Expected</i>
Sector Policy & Planning		
	Updated long-term road sector policy framework	State Road Sector Policy (1996) comprehensively updated and published by R&BD State 'road classification & responsibility' framework updated
	Enhanced road network planning & development	Comprehensive medium-term GOG strategy for road network planning and development in alignment with state economic and social targets and needs
	Dedicated capacity for Road Safety policy / strategy	GOG 'Project Steering Committee' established State 'lead agency' functions and capacity in place Determination of medium-term state Road Safety Management policy, strategy and priorities
	Updated framework of works policies, authority & rules	Comprehensively updated R&BD works Code & Manual (with new Safety and E&SM sections) endorsed by GoG and published
	New mechanisms & capacity for governance and accountability in place	Medium-term Governance & Accountability Action Plan (GAAP) initiated R&BD-wide Monitoring & Evaluation (M&E) process and <i>Performance Management</i> tools established Center Of Excellence for <i>Roads Development & Management</i> initiated with local 'faculty partner'
	Nodal capacity for roads PPP policy and management	Lead capacity established in R&BD / GSRDC for state-level roads PPP policy development, monitoring and implementation assistance
R&BD-Centered Capacity Development		
	R&BD-centered HR Planning & Management Strategy in place	Study-based development and implementation of new R&BD strategy for HR 'demand, supply and development' management in key staffing categories 'Pilot' of 'twinning' and 'staff interchange' programs with overseas advanced roads agencies, underway
	Enhanced R&BD capacities in project planning, design, road safety, E&SM, pre-construction actions, contract management	Enhanced capacity of R&BD staff in works project planning and in managing pre-construction activities Training-supported R&BD-wide implementation of standard Project Management system and guidelines Training-supported R&BD-wide strengthening of works Contract Management process and skills Training-supported capacity building in R&BD in road safety engineering concepts / standards / skills Enhanced capacity and resources of R&BD in Design and Design-review functions at HQ level <i>E&SM Cell</i> re-staffed and operational in R&BD with updated functions and policies and dedicated resources Training-supported, phased 'mainstreaming' of Environment & Social Management (E&SM) functions Integration of activity progress / performance reporting and of M&E processes in mainstream R&BD functions

R&BD-Centered Capacity Development (continued)

Strengthened sector functions and capacity for Quality Control & Management	Capacity-building / training for QC Wing functions and accountabilities in R&BD works, completed
	Upgraded technology for field QC testing acquired and deployed by QC Wing (with staff training)
	Pilot ISO 'QM' Certification program completed
	Study on re-development strategy / options for Gujarat Engineering Research Institute (GERI)
	Study-based re-development of GERI for enhanced sector role in <i>Works Quality Research & Testing</i> services and support (maybe Center Of Excellence)
Strengthening / reform of non-roads R&BD Wings' capacities, services delivery and governance	Study of reform / development options to improve capacity and performance of other R&BD Wings, completed and proposals endorsed by GOG / R&BD
	Major study-based GOG-endorsed reform measures and capacity building/strengthening actions, underway
Strengthened IT and ICT facilities and capacity to support RBD planning, asset and works management, MIS and governance	<i>IT-ICT-MIS</i> strategic needs assessment done and prioritized R&BD-specific Plan established
	R&BD-dedicated Data Center(s) established and supporting networked operations, agency-wide
	Lead IT unit established and staffed in R&BD for Data Center(s) management and other IT-ICT functions
	Upgrading key software in GRMS and other tools
	External (transitional) resources for field level IT-ICT user support, data collection (etc.), in place
Enhanced R&BD staff Training & Development program scope and delivery	Updating of RBD 'core skills / capacities' training policy and program planning for new and ongoing priorities in knowledge, skills and 'awareness' fields
	Updated / enhanced Program confirmed and underway