

GOVERNMENT OF GUJARAT
ROADS & BUILDINGS DEPARTMENT [R&BD]

CONSULTANCY SERVICES REQUIREMENT

R&BD CAPACITY DEVELOPMENT PROGRAM
Technical Assistance

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 Second Gujarat State Roads Project (GSHP-II), to be managed primarily by the GOG Roads & Buildings Department (R&BD). A portion of this WB funding will be used to finance consultancy, advisory and technical services required for implementation during the Project of various strategic measures, aimed at strengthening the road sector institutional framework and capacities to meet the increasing demand for road transport infrastructure quality, capacity and connectivity arising through the state's economic and social development.
2. The groundwork for road sector policy reform and institutional strengthening in the state 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 the Project's ***Sector Policy & Institutional Development Component*** which provides support for various 'second-stage' institutional and capacity-development initiatives outlined in a new GOG-endorsed Institutional Development Action Plan (IDAP) for the period 2013 - 2019.
3. The 2013 – 2019 IDAP is an integral part of the overall Project strategy and is closely linked to a new sector-level multi-year Governance & Accountability Action Plan (GAAP), to be implemented in the same Project period. The IDAP in 'summary matrix' format will be used between the GOG, the R&BD and the World Bank to manage implementation action and results in a range of clear monitorable targets and milestones in three 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. For the IDAP implementation program, the R&BD will require various forms of external assistance and inputs. In this instance, it has been decided that the implementation of an **R&BD Capacity Development Program** will require expert Technical Assistance (TA), to be engaged on the basis of consulting services. The TA assignment and the deliverables involved are the subject of these Terms of Reference (TOR), as outlined below.

Objective of the Services

5. The main objective of the ***R&BD Capacity Development Program*** consulting services is to assist the R&BD to implement a suite of specific actions to enhance the technical and management policies, processes and skills needed for the Department's planning, preparation and execution of road infrastructure works and the attendant Quality, Safety, Environment and Social

responsibilities and actions, for ongoing R&BD effectiveness in road network infrastructure provision and management.

6. The various tasks in this assignment shall be undertaken by the selected TA provider (hereafter referred to as ‘the consultant’) in an integrated manner as one overall ‘package’. The ‘package’ shall also include broadly-based ‘decision-making facilitation and support’ to the Client in the process of submitting findings and recommendations to GOG for decisions where required, and in subsequent decision-implementation action. The consultant shall therefore also provide some expertise in legislative, statutory and/or administrative drafting and documentation at various stages during the overall assignment.
7. The focus and contents of some parts of this assignment will involve functions and processes in the R&BD and linked GOG entities that are also being addressed (albeit with different aims) by other Project-funded TA/consulting services, such as the Quality Control / Quality Management operations and services of the Gujarat Engineering Research Institute (GERI). The areas of potential overlap between this assignment and other initiatives will be jointly determined at mobilization. During the assignment, the consultant will be expected to proactively liaise with and consult other providers of relevant TA/consulting services, to help the R&BD to ensure harmonization and integration of related activities and outputs.

Tasks Comprising this Assignment

8. The suite of specific actions required to be undertaken under these services is as follows.

Task 1: Comprehensive review and updating of R&BD works Code & Manual: Requires:

- i.) Updating of procedures, responsibilities and accountabilities in all works stages from project inception / planning to completion, in conformity / consistency with GOI and GOG accounting and audit requirements;
- ii.) Identification and scoping of content on any important new subjects / matters now needing to be covered, such as Traffic & Road Safety Engineering, Works Zone Safety, PPP policy / guidelines, Environment and Social (safeguards) Management, including by securing specialist inputs on such fields from other expert resources available to R&BD under other GSHP-II activities, such as the Project Management Consultants (PMC) team;
- iii.) Revision of provisions on dispute redressal mechanism(s) to acknowledge relevant current ‘complaints handling’ policy and processes as well as RTI Act provisions;
- iv.) Preparing and including up-to-date sections on e-Procurement requirements/processes and related e-Governance aspects;
- v.) Assistance to R&BD for any required review / updating of standard bidding and/or contractual documents for all GOG procurement of works, goods and services, where such are to be incorporated in or linked with the revised Code & Manual; where appropriate; and
- vi.) Facilitating Workshop(s) and other consultative activities for engagement of R&BD managers and staff and other GOG stakeholders in the Code & Manual review.

Task 1 Deliverable: Finalized draft of the revised/updated R&BD works Code & Manual

Task 2: Enhance R&BD capacity in Road Safety in roads development, operation and maintenance: Requires:

- i.) Review of the current provisions for road safety measures required in R&BD road works, operation and maintenance;
- ii.) Review the efficacy of the ‘safety audit’ procedures in R&BD and of the processes for taking-up audit results in preparing works design, estimates and measures for work zone safety and road user safety to be taken during execution of work;
- iii.) Identification of relevant international best practice in implementing and sustaining road safety measures in roads development and road-asset management which can be progressively adopted by R&BD, keeping in view the Gujarat road network characteristics,

- traffic culture, level of enforcement, safety inspection results and available resources;
- iv.) Advising R&BD on integration of the adopted road safety standards and measures in new R&BD road maintenance contracts, which are to be implemented during the Project on selected Core Road Network (CRN) sections; and
 - v.) Delivery of training to R&BD staff (approximately 300) for their responsibilities in application and management of the new road safety standards and measures in road works engineering, construction, operations and maintenance, to be delivered in collaboration with the R&BD-linked Engineering Staff College.
 - ❖ The required R&BD staff training in Road Safety (RS) infrastructure engineering, operations and maintenance aspects shall be developed and delivered jointly with the Project Management Consultant (PMC) services initiated for the GSHP-II
 - ❖ The RS training focus and content shall at least cover contemporary approaches and techniques (as appropriate to the India context) in road safety design and engineering, road safety auditing and analysis; traffic and works zone safety; ‘black-spot’ identification, assessment and mitigation; road safety furniture / fittings; and integrating action on road safety attributes in road maintenance.
 - ❖ The training measures shall include specific provision for ‘train-the-trainer’ courses for the major technical competencies and knowledge being imparted, to train at least 35 R&BD staff to an advanced ‘trainer’ capability in this field and thereby establish sustainable internal R&BD capacity to maintain these skills and knowledge in future

Task 2 Deliverable: Report on identified ‘gaps’ in, and responding measures to enhance the R&BD capacity for road safety measures, road safety audit, work zone safety and integration of road safety in road asset management.

Task 3: Strengthen R&BD capacity in Environment and Social safeguards: Requires:

- i.) Review the existing R&BD provision and capacity for dealing with Environment and Social factors and safeguards requirements in road construction and maintenance works;
- ii.) Review the R&BD capacity for achieving timely compliance with statutorily required environmental and forestry clearances in works preparation and execution;
- iii.) Review the R&BD procedures for administering due compensation of ‘land-loser’ (land-acquisition affected) persons, consistent with applicable entitlement frameworks;
- iv.) Identify relevant international best practice which may be progressively adopted by R&BD, keeping in view state and regional environmental sensitivity and social characteristics, terrain and land use pattern, level of enforcement of related acts, and available resources.

Task 3 Deliverable: Report on identified ‘gaps’ and responding measures in the R&BD capacity for effective management of Environment & Social factors and safeguards in road works.

Task 4: Enhancement of R&BD ‘project preparation & implementation’ capacity: Requires:

- i.) Completion of a ‘capacity and needs’ assessment of the current functions, processes, systems and skills in the ‘mainstream’ Project Management activities in the R&BD, covering (at least) project planning, cost-estimation, feasibility and design (inclusive of Road Safety Engineering, Works Zone Safety, Environment and Social factors), works contracting, pre-construction (site readiness) requirements, works management and quality
 - ❖ In close interaction with the activities specified under Task 2 and Task 3, above
- ii.) Determining with the R&BD a prioritized and phased Action Plan, based on that assessment, for strengthening of R&BD capacity and effectiveness in Project Management (Preparation, Implementation, Monitoring, Completion), also incorporating any essential IT-ICT-MIS enhancements;
- iii.) Subsequently helping the R&BD to implement that Action Plan, including provision of required training (knowledge & skills development) courses in all Project Management facets for approximately 300 R&BD staff over the period of these services, to be delivered in collaboration with the R&BD-linked Engineering Staff College.

- ❖ The training measures here also shall include specific provision for ‘train-the-trainer’ courses for the major technical competencies and knowledge being imparted, to train at least 35 R&BD staff to an advanced ‘trainer’ capability in this field and thereby establish sustainable internal R&BD capacity to maintain these skills and knowledge in future
- iv.) Facilitating specific R&BD measures to improve its performance in managing pre-construction actions and requirements;
- v.) Facilitating an R&BD ‘pilot’ Value Management -based works projects; and
- vi.) Advising on - and facilitating implementation of - measures to strengthen R&BD monitoring of project progress and performance, in terms of both the processes / systems / tools required and the necessary staff competencies.

Task 4 Deliverables: (a) Comprehensive ‘capacity & needs’ Assessment; (b) finalized Action Plan endorsed by R&BD for implementation; (c) delivery of Action Plan based staff training to approximately R&BD personnel; and (d) ‘end-of-task’ Completion Report on R&BD project management capacity enhancements.

Task 5: Strengthening R&BD works Quality functions and capacity: Requires at least:

- i.) Review of the current R&BD framework of functions, processes, manuals and other documentation on works Quality Control and Quality Assurance for construction of roads, bridges and buildings against contemporary India and international references and standards in this area, taking also into account the involvement of GERI (current and/or planned) in the works QC activities of R&BD;
- ii.) Making agreed modifications / updating / enhancements (as appropriate) to the relevant R&BD policies, manual(s) and documentation, including by obtaining specialist inputs to that from other expert TA providers engaged by R&BD under other GSHP-II assignments;
- iii.) Facilitating the R&BD-wide ‘roll-out’ of the enhanced QC processes and materials;
- iv.) Assisting the R&BD in deployment of any new / upgraded equipment / technology required to support the enhanced QC framework;
- v.) Advising on and facilitate new QC and/or QA training for R&BD staff, including ‘train-the-trainer’ level courses for a QC / QA ‘core group’; and
- vi.) Facilitating R&BD planning and action for a limited **pilot program** for ISO 9001:2008 Certification in Quality responsibilities for the Quality Wing and selected field units.

Task 5 Deliverables: (a) Report on review of QC / QA / QM functions in R&BD; (b) finalization of enhanced R&BD policy documents, guidelines and manuals for QC / QA / QM; and (c) Report on Action Plan for ISO ‘QM’ Certification of R&BD Quality functions, including Completion Report on first Action Plan stage.

Task 6: Development and initiation of enhanced R&BD medium-term HR strategy:

Aimed at putting in place a sustainable and comprehensive R&BD medium-term strategy for the recruitment, development, retention and management of personnel in key staffing categories, this will at least require:

- i.) Study of the current and evolving R&BD ‘business’ insofar as that determines the Department’s HR needs, priorities and challenges; of the current R&BD organizational structure, staffing profile, numbers and deployment; of emerging shortages or gaps in key staffing categories and the scale thereof (the ‘demand picture’); of the forms and significance of likely impacts on R&BD capacity and performance; of the processes and mechanisms that (a) are available to the R&BD and/or (b) will need to be available to the R&BD, to source / recruit and develop essential staff (the ‘supply picture’); and of an integrated, more strategic approach that acknowledges the constraining influence of the GOG administrative framework on the HR functions of R&BD, yet presents viable new or enhanced options for ongoing HR initiatives that may be likely to achieve better, sustained HR results matching the future business / functional demands of the Department;
- ii.) Preparation of an R&BD submission(s) to relevant GOG entities / levels on the Study

- findings and recommendations (including about required resources) to establish GOG support for proposed actions, in collaboration with other GOG agencies where desirable, and to prompt action on any necessary GOG-level enabling measures; and
- iii.) Assistance to the R&BD for action on (i) recommendations lying within existing R&BD powers/responsibilities, and (ii) on major GOG-endorsed Study recommendations, through to initial R&BD operationalisation of the enhanced ‘HR strategy and process framework’.

Task 6 Deliverables: (a) Report on Study of HR Issues, Policy and Strategy in R&BD; and (b) ‘end-of-task’ Completion Report on Operationalization in R&BD of new HR strategy and capacity.

Task 7: *Updating of R&BD Training policy, planning and delivery capacity*

Linked closely with actions and outputs due in Tasks 1 to 5 (above), this will require at least:

- i.) Through open R&BD-wide consultations with management and staff, production of a Report identifying (in narrative, matrix and/or schematic forms) the more acute short-to-medium-term R&BD priorities in skills, knowledge and capabilities needing early substantive Training and HRD attention in order to build and sustain effective R&BD capacity for its evolving ‘core’ business responsibilities, services and operations, to be submitted for R&BD and/or (where necessary) GOG-level decisions / endorsement;
- ii.) Guided by the then-endorsed set of R&BD core skills, knowledge and capabilities, execution of a new Training Needs Assessment (TNA) – based where relevant on the TNA model inaugurated in the first GSHP - involving a substantial sampling of R&BD staff and officers from all levels, functions and locations, to clarify (a) the scope, demographics and prioritization of ‘core business’ training needs across the Department and (b) the alignment or otherwise of existing Training programs and services available to R&BD with these TNA-determined training needs and priorities;
- iii.) Preparing plans either (a) for upgrading of existing Training / HRD processes and facilities available to the R&BD to deliver staff training and development services in the TNA-determined ‘core business skills / knowledge / capabilities’ fields, and/or (b) for initiation of new measures and resources for the “rolling 3-5 years” program-style delivery of such enhanced / intensified staff training and development services activities, involving (where effective) the ESC and other GOG ‘training provider’ entities as well as external institutes, faculties and/or industry bodies with proven Training / HRD expertise in prioritized fields;
- iv.) Following R&BD decisions on these plans, determining the budget requirements over the ‘rolling 3-5 years’ program’ and the most effective and sustainable sourcing / channeling of funding to meet that budget;
- v.) Facilitating the necessary changes to the present R&BD (ESC-centered) Training policy, processes and delivery framework to enable ‘roll-out’ of the new TNA-determined ‘core skills / knowledge / capabilities’ staff training and development services as an integrated element of R&BD Staff Training & Development functions and operations; and
- vi.) Building the R&BD’s capacity for ongoing internal management of the enhanced Staff Training & Development responsibilities and resources, including in collaboration with other linked GOG entities, supporting HR / HRD networks and external ‘provider’ bodies.

Task 7 Deliverables: (a) Comprehensive TNA report; (b) Submission on implementation strategy, budget requirements and proposed funding for new 3-5 years Program of TNA-determined ‘core skills / knowledge / capabilities’ staff training and development services; and (c) ‘end-of-task’ Completion Report on Strategy implementation status and sustainability needs.

Task 8: *Initiating R&BD inter-agency ‘twinning’ and ‘staff interchanges’*: This requires at least:

- i.) Identification and assessment of various concepts, strategic options and likely costs for possible ‘inter-agency twinning’ arrangements between R&BD and other more-developed roads management organizations beyond Gujarat, aimed at direct knowledge sharing/transfer, strategic capacity-building linkages and performance monitoring benchmarks;

- ii.) Development and costing of options with other potentially-responsive, more-developed roads management organizations for reciprocal short-term placements of staff in each other's organization ('staff interchanges') for accelerated on-the-job skills development and work experience benefits; and
- iii.) Preparation of a proposed 2-year 'pilot' Program which R&BD may implement to trial a selected range of 'twinning' and 'staff interchange' options, and evaluate the results, for endorsement / decision by R&BD and other concerned GOG entities.

Task 8 Deliverables: (a) Submission on strategy and options for R&BD for Inter-Agency Twinning initiatives; (b) Submission on strategy and options for R&BD 'trailing' of Staff Interchanges; and (c) 'end-of-task' Completion Report presenting the proposed R&BD 2-year 'pilot' Program of 'twinning' and 'staff interchange' initiatives, with appropriate 'monitoring & evaluation' measures.

9. As foreshadowed in paragraph 6 (above), 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 Policy statements, proposed new or amended legislation, Rules, Orders and other statutory documents, where these are needed by the client to achieve GOG-level decisions needed for implementation of proposals arising from these services.

10. The consultant shall formulate a phased approach to the various Tasks and Task elements outlined above, that shall be jointly finalized with the client during the Inception Period (also mentioned below). That phasing shall be aimed at balancing the Task (activity and input) requirements over the assignment period with (i) the need for timely technical consultations, collaboration and harmonization with other separately-engaged TA experts and consultants assisting the R&BD with other major Project-supported institutional strengthening and development initiatives (see paragraph 3, above), and (ii) the ongoing workload priorities, operational circumstances and absorptive capacity of the R&BD areas that would be most directly affected by these services.

Approach to Delivery of the Services

11. 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 outlining a mutually-agreed phasing of the respective Tasks and their elements, conducive to efficient interactions both with the R&BD and with other relevant TA activities during the assignment. The Inception Report may also detail any major unanticipated 'content', 'approach' or methodology issues that may become risks to the satisfactory execution of the services, for resolution by the client.

12. 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 may take the form of: (a) facilitation of R&BD and/or GOG information to external stakeholders and industry 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 finalized Reports in these services also shall (except where R&BD decides otherwise) be lodged on the R&BD and Project websites.

13. To improve the progressive R&BD 'ownership' and take-up of the results of these services, the various Tasks and task elements shall – to the greatest practicable extent – be undertaken on-site and in close interaction with the relevant 'line' R&BD units and unit managers, rather than being "PIU-centered" in their activities and outputs. In performing these services the consultant's team shall also **actively facilitate a process of 'skills / knowledge transfer'** to concerned R&BD (and sometimes IRD) counterpart staff in Task elements 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/TA 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 various

assignments that may have ‘cross-cutting’ effects between different IDAP targets and hence may need proactive Client-led harmonization measures.

Duration & Location of the Services

14. The services shall be completed over *approximately twenty four (24) months*, with phasing of mobilization of personnel and other inputs over that period as per the agreed Work Program, which is expected to commence in 3rd Quarter of 2013 and to be completed by end-2015.

15. 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 20-25 such ‘intra-state’ travel instances being required during the services.

Key Personnel Requirements

16. 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 **145 person-months of ‘key personnel’ inputs over the 24 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.

Table of Estimated ‘Key Personnel’ Inputs

| <i>Key Personnel</i> | <i>Tasks Likely To Require Input</i> | <i>Estimated Inputs (person-months)</i> |
|--|--------------------------------------|---|
| Roads Management Specialist & Team Leader (TL) | All | 22 |
| Project Planning & Management Specialist & Deputy TL | 1,2,3,4 & 6 | 18 |
| Highway Engineering (Works Management) Specialist | 1,2,3,4 | 15 |
| PWD Domain Specialist | 1,2,5,6 & 7 | 8 |
| Procurement Specialist | 1,2,3,4 | 12 |
| Road Safety Engineering & Works Specialist | 1,2,3 & 6 | 12 |
| Environment Management Specialist | 1,3 & 6 | 9 |
| Social (Impact) Management Specialist | 1,3&6 | 6 |
| Quality Control / Assurance (Civil Works) Specialist | 1,3 & 4 | 10 |
| Quality Management Specialist & ISO Certification Adviser | 1,3 & 4 | 10 |
| Senior Training & HRD (Strategy & Programs) Specialist | 3,5,6 & 7 | 9 |
| Training (Program Design & Delivery) Specialist | 2,3,4,5 & 6 | 10 |
| Drafting (Legislative / Statutory / Administrative) Specialist | All | 4 |
| <i>Estimated Total ‘Key Personnel’ Inputs</i> | | 145 |

17. 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.

Periodic 'Reporting' Deliverables

18. 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***, due 4 weeks from mobilization, confirming the Consultant's approach to the specific requirements of the main Tasks, the phasing of key personnel and other important inputs and the detailed Work Program for the overall assignment period, as well as outlining any key issues needing further resolution by the client for efficient execution of the services.
- ***Monthly Reports*** and ***Quarterly Progress Reports*** (MRs and QPRs) in standard format as determined by the PIU, due at the end of each month and each quarter during the services.
- A ***Mid-Term Status Report*** (MTSR), due at the end of 12 months from mobilization, outlining the results and achievements in each major element of these services and detailing (i) any significant unforeseen issues for R&BD / GOG consideration and (ii) any need for further refinement to the inputs and/or the remaining Work Program, for overall 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.

19. The following Table outlines the total of periodic and per-Task deliverables (Para. 8) required.

Table of All Expected Deliverables & Milestones

| <i>Deliverable / Output Per Contract</i> | <i>Tentative 'Due Timing'</i> | <i>Quantity Due</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 22*) | End of each calendar month | 7 | (0.25% each) 5.5% |
| <i>Quarterly Progress Reports</i> (QPRs) in standard format (x 5**) | End of each calendar quarter | 7 | (0.5% each) 2.5% |
| <i>Workshops</i> (including Presentations / Notes / Materials): estimate = six (6) workshops | Timings as per agreed WP | 10 | (0.5% each) 3.0% |
| <i>Report</i> on review of QC / QA / QM functions in R&BD (Task 4(a)) | End of month 4 | 7 | 4% |
| <i>Report</i> on enhancing R&BD capacity for works Environment & Social factors (Task 3) | End of month 5 | 7 | 2% |
| <i>Report</i> on Assessment of Proj. Prepn. & Mgt. 'capacity & needs' in R&BD (Task 3(a)) | End of month 6 | 7 | 4% |
| <i>Finalized R&BD-endorsed Action Plan</i> to | End of month 7 | 7 | 4% |

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|---|-----------------|--------------|-------------|
| enhance Proj. Prepn. & Mgt capacity (Task 3(b)) | | | |
| Report on comprehensive TNA (Task 6 (a)) | End of month 8 | 7 | 4% |
| Report on Study of HR Issues, Policy and Strategy in R&BD (Task 5 (a)) | End of month 10 | 7 | 4% |
| Submission on implementation strategy, design/s and budget / funding aspects for new TNA-based 'core skills / knowledge / capabilities' staff training and development program/s (Task 6(b)) | End of month 10 | 7 | 4% |
| Submission of enhanced QC/QA /QM policy documents/ guidelines/manuals (Task 4(b)) | End of month 11 | 7 | 6% |
| Report on enhancing R&BD capacity on Road Safety in works design, execution, operation and maintenance (Task 2) | End of month 12 | 7 | 2% |
| Mid-Term Status Report (MTR) | End of month 12 | 7 | 4% |
| Report on Action Plan for ISO 'QM' Certification of R&BD Quality functions and 1 st stage implementation (Task 4 (c)) | End of month 13 | 7 | 4% |
| Submission on strategy and options for R&BD for Inter-Agency Twinning initiatives (Task 7 (a)) | End of month 14 | 7 | 4% |
| Submission on strategy and options for R&BD 'trailing' of Staff Interchanges (Task 7 (b)) | End of month 15 | 7 | 4% |
| Submission of final revised R&BD works Code & Manual, for GOG clearance (End of Task 1) | End of month 16 | 7 | 6% |
| Report on delivery of Project Prepn. & Mgt. training to R&BD staff (Task 3(c)) | End of month 18 | 7 | 4% |
| Report on Operationalization in R&BD of new HR strategy and capacity (Task 5 (b)) | End of month 19 | 7 | 4% |
| Report on the proposed R&BD 2-year 'pilot' Program of 'twinning' and 'staff interchange' initiatives and related (Task 7 (c)) | End of month 20 | 7 | 4% |
| Completion Report on R&BD Proj. Prepn. & Mgt. capacity building (End of Task 3) | End of month 21 | 7 | 4% |
| Completion Report on HRD Strategy implementation and sustainability (Task 6(c)) | End of month 22 | 7 | 4% |
| Draft 'Final Report' (DFR) | End of month 23 | 7 | 3% |
| Final Report (after Client response to DFR) | End of month 24 | 10 | 5% |
| | | Total | 100% |

[*Not including months 12 and 24. **Not including the final quarter (months 21-24)]

Review of Deliverables

20. 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.

21. 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.

22. 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.

23. The acceptance by the R&BD as the Client of the indicated Task deliverables and outputs will mark completion of those Task elements of the agreed Work Program for these services.

24. 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).

Responsibilities of the Client

25. 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.

26. 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.

27. 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

28. 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.

29. 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.

30. 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.

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

32. 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.

33. 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 technical and management roles in an advanced Road Agency <i>and/or</i> as senior technical Consultant leading major ‘road sector reform / capacity development’ assignments in a developing country. High-level strategic and technical advising skills. Substantial professional experience and skills in highway engineering, in preparation and implementation of road infrastructure works and in achieving effective project outcomes. Proven skills in multi-disciplinary team management and in coordination of multi-agency action in a public sector context. Effective oral and written communication skills and inter-personal skills. |
| Project Planning & Management Specialist & Deputy TL | Graduate qualifications in Civil Engineering with post- graduation specialization and/or professional accreditation(s) in Project Management | 15 | Extensive international-standard experience in infrastructure projects planning and management in senior public sector agency roles and/or in specialist technical consulting roles carrying responsibility for all main facets of planning and management of major infrastructure projects. Sound experience and wide knowledge of modern Project Planning & Management techniques, processes and tools including contemporary IT-ICT systems in this field, gained in both India and internationally. Demonstrated capacity for preparation of (and/or review of others’) complex task/project execution plans and related performance management frameworks. Proven effectiveness in complex multi-task / multi-deadline contexts. Effective oral and written communication skills and inter-personal skills. Completion of at least two major comparable assignments. |
| Highways Engineering (Works Management) Specialist | Graduate qualifications in Civil Engineering with post- graduation specialization in highway engineering works planning and management | 15 | Extensive professional experience and skills in preparation and management of civil works construction and/or maintenance projects, particularly for major road networks and associated infrastructure. Wide experience and skills in preparing and operationalising works plans for major infrastructure projects. Sound experience in negotiating and managing major civil works contracts through all main phases. Proven skills at advising on technical policy/process change and in associated capacity building. Effective communication and inter-personal skills. Completion of at least two comparable assignments. |

Appendix -1 (continued)

| <i>Position</i> | <i>Minimum qualifications</i> | <i>Minimum years of professional experience</i> | <i>Specific Required Expertise</i> |
|---|--|---|--|
| Domain Specialist (Public Works Department (PWD)) | Graduate in any relevant field or discipline of (e.g.) Administration, Management &/or Engineering, with additional higher-level qualifications and/or professional accreditations relevant to PWD functions also desirable. | 15 | Extensive experience serving in senior roles in India's public sector at state and/or national levels, preferably in organizations having a blend of technical, administrative, operational and service responsibilities such as PWDs. Wide direct experience and skills in the typical policy, administrative and budgetary functions and processes in the public sector in India, particularly as these influence the development and implementation of infrastructure projects and works. Proven ability to facilitate improvement in agency processes, capacity, performance and governance. Sound interpersonal skills, proven in complex public sector environments. Effective oral and written communication skills (fluent in both English and local vernaculars preferred). |
| Procurement Specialist | Graduate qualifications in Civil Engineering plus specialist professional qualifications and/or training in (works) Procurement | 12 | Sound comprehensive international-standard skills and experience in the Procurement aspects of project preparation and management for road infrastructure (works and/or maintenance) projects. Sound knowledge and experience of the FIDIC contract framework and of current works procurement procedures and processes applicable in India. Demonstrated skills and capacity in preparing and delivering Procurement training. Completion of at least one major similar assignment in a developing country. |
| Road Safety Engineering Specialist | Graduate qualifications in Civil Engineering, plus specialist qualifications and training in Traffic & Road Safety | 15 | Extensive international-standard experience and skills in roads design, construction and management, with current specialisation in road and traffic safety engineering and operations aspects in works project planning, design and implementation. Experience in execution of Road Infrastructure Safety 'audits' and in preparing (RS) Audit-based engineering mitigation measures and strategies. Sound knowledge of contemporary road safety engineering 'best practice'. Demonstrated skills at staff capacity building and training in this field. Completion of at least one major similar assignment in a developing country. |

Appendix -1 (continued)

| <i>Position</i> | <i>Minimum qualifications</i> | <i>Minimum years of professional experience</i> | <i>Specific Required Expertise</i> |
|--|--|---|--|
| Environment Management Specialist | Graduate qualification in Environment, Environmental Science &/or Environmental Engineering, with professional specialization in the field of Environment Management | 15 | Extensive experience and skills in assessing and preparing management plans for environment aspects of civil works projects, at both pre-construction and implementation stages. Sound experience in carriage of Environment (impact screening and mitigation) responsibilities for major road development and/or maintenance projects. Proven skills in advising on strategy, developing policy and processes and building staff capacity for Environment Management responsibilities in infrastructure works in India. Effective inter-personal and communication skills, with fluency in both English and local vernaculars preferred. Completion of 2 similar major assignments, preferably in India. |
| Social (impact) Management Specialist | Graduate qualifications from a leading institute / university in Social Sciences (sociology / social work / social planning, etc.) with additional specialist training and/or qualifications relevant to Social Impact Assessment and Management | 10 | Extensive experience and proven skills in planning and conducting Social Impact assessments and mitigation action plans of major infrastructure projects, including in Resettlement & Rehabilitation (R&R) aspects. At least 5 years' experience in advising on departmental / agency development of policy, processes and capacity for Social Management and R&R responsibilities in major civil engineering projects, particularly in the roads sector. Sound knowledge of GOI and World Bank policies, guidelines and 'best practices' in the Social Management and R&R fields. Experience in analysis of land records, in participatory consultation for R&R activities and in monitoring of land acquisition for works projects. Sound communication and inter-personal skills, preferably in both English and local vernaculars. Completion of 2 similar major assignments, preferably in India. |
| Quality Control / Assurance (Civil Works) Specialist | Graduate qualification in Engineering with specialization in Civil Engineering, with added professional qualifications relevant to (civil works) Quality Control / Assurance &/or (civil works) Materials Testing | 12 | Extensive international-standard experience at senior levels in Quality Control and Quality Assurance for civil works (construction and/or maintenance) operations, preferably in the roads sector. Expert knowledge and wide experience in advising on and implementing modern Quality Control and Quality Assurance concepts, standards, methods and technology. Extensive experience in policy development and capacity building for works QC and QA processes in public sector entities at HQ and field levels. Effective communication and inter-personal skills. Completion of at least two major similar assignments. |

Appendix -1 (continued)

| <i>Position</i> | <i>Minimum qualifications</i> | <i>Minimum years of professional experience</i> | <i>Specific Required Expertise</i> |
|---|---|---|--|
| Quality Management Specialist & ISO Certification Adviser | Graduate qualification in Engineering (or equivalent), with added professional qualifications relevant to (works) Quality Management and/or Quality Systems, plus accreditation(s) in ISO 9001:2008 (Q M) | 15 | Substantial experience in senior technical roles in modern Quality Control / Assurance functions involving materials testing and works monitoring for construction and maintenance of physical infrastructure, preferably in the roads sector. Proven expertise in advising on strategy, policy and plans for QM capacity development in major organizations at HQ and field levels. Extensive experience and skills in advising on, designing and facilitating ISO 9001:2008 certification programs in works Quality Management. Sound multi-disciplinary and multi-cultural teamwork and inter-personal skills. Effective communication skills, orally and in writing (fluent in both English and local vernaculars preferred). Completion of at least one similar major assignment. |
| Senior Training & HR D [Strategy & Programs] Specialist | Graduate qualifications in Management, Education, Business, Engineering &/or relevant Social Sciences, with specialization(s) in Training, HR D, Adult Learning or equivalent | 15 | Extensive experience in managerial, advisory and operational roles in modern Human Resources (HR) Management, HR Development and staff Training functions. Proven expertise (i) in developing strategic HR models and strategies for large organizations having specialized technical and service responsibilities influencing their HR priorities and possible HRM / HRD solutions; (ii) in design and execution of Training Needs Assessments (TNAs) to inform HR strategy and Training/HRD planning and (iii) in delivery of TNA-based customized 'staff training and development' programs and activities for both industry and public sector needs. Effective communication and inter-personal skills, with fluency in English and local vernaculars preferred. Completion of at least two similar major assignments. |

Appendix -1 (continued)

| <i>Position</i> | <i>Minimum qualifications</i> | <i>Minimum years of professional experience</i> | <i>Specific Required Expertise</i> |
|---|--|---|---|
| Training (Program Design & Delivery) Specialist | Graduate qualifications in Management, Education, Business, Engineering &/or relevant Social Sciences, with specialization(s) in Training, H R D, Adult Learning or equivalent | 10 | Sound knowledge and expertise in modern staff Training and HRD functions, methods and operations. Direct experience in planning and implementing agency-level Training Needs Assessments (TNAs) and TNA-based staff training and development programs, to meet organizational 'capacity' and 'performance' aims. Sound experience and skills in planning and executing 'post-course' evaluation of staff training results and impacts in organizational capacity and in workplace performance, preferably in India's public sector. Sound communication, presentational and interpersonal skills, with fluency in English and local vernaculars preferred. Completion of at least one major similar assignment. |
| Legal Specialist | Graduate qualifications in Law, with post-graduation specialization(s) in Administrative 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

India: Second Gujarat State Highway Project (GSHP II) (P114827) Institutional Development Action Plan (IDAP)

Management (summary-level) Matrix, based on GoG approvals of 2012

| <i>S. No.</i> | <i>Objective</i> | <i>Key Result(s) Expected</i> |
|--|---|--|
| Policy & Planning | | |
| 1. | Updated long-term state road sector policy framework | State Road Sector Policy (1996) comprehensively updated and published by R&BD |
| | | State 'road classification & responsibility' framework updated |
| 2. | Enhanced state road network planning & development | Comprehensive medium-term GOG roads master planning based on transport and socio-economic developments and goals in Gujarat |
| | | Pre-investment studies, network development plans and related policy / institutional studies, completed |
| 3. | GoG '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 |
| 4. | Dedicated capacity for Road Safety policy, strategy & action | 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 |
| 5. | Effective sector mechanisms and capacity for governance & accountability | Medium-term GOG-endorsed GAAP underway* |
| | | R&BD-wide Monitoring & Evaluation (M&E) process and <i>Performance Management</i> tools in place |
| R&BD's-Operational Capacity Development | | |
| 6. | Strengthened sector functions and capacity for Quality Control & Management | Capacity-building / training for QC Wing functions and accountabilities in R&BD works, completed |
| | | Upgraded / new technology for field QC testing deployed by QC Wing / GERI (with staff training) |
| | | Pilot ISO 'QM' Certification program completed |
| 7. | Enhanced R&BD capacities in project planning, design, road safety, environment & social management (E&SM), pre-construction actions and contract management | <i>E&SM Cell</i> re-staffed and operational in R&BD with updated functions / policies and dedicated resources |
| | | Training-supported and phased 'mainstreaming' of E&SM functions and processes, R&BD-wide |
| | | Integration in 'mainstream' R&BD functions of activity progress / M&E / performance reporting |
| | | 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 |
| | | 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 |
| 8. | 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 |
| 9. | Strengthening of R&BD Wings capacities, services delivery & governance | Study for plans for key capacity and performance improvements in main R&BD Wings, completed. |
| | | Major study-based action plans being implemented |
| 10. | 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 Enhanced R&BD staff Training Program underway |
| 11. | 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 |
| 12. | Ongoing expertise/knowledge transfer on ‘best practice’ in roads management | Study-based initiation with collaborating faculties and institutes of ‘pilot’ sector program of local Seminars / Workshops on advanced roads management topics featuring internationally-experienced experts |
| | | Initiation of ongoing R&BD access to and selective participation in international apex professional associations/bodies , aligned with the R&BD sector role and its strategic HRD aims |
| Knowledge Building | | |
| 13. | Enhanced Engineering Staff College (ESC) scope, responsibility, capacity and sector linkages | Study (with regard to SPIPA model and experiences) on re-development of ESC business plan/strategy, collaborative linkages and funding, to meet evolving sector / industry HRD needs and priorities, completed |
| | | Study-based re-development of ESC underway |
| 14. | Enhanced Gujarat Engineering Research Institute (GERI) sector role / scope / services and capacity | Study on re-development strategy / options for enhanced sector role for Gujarat Engineering Research Institute (GERI) in Works Quality Research & Testing (maybe Center Of Excellence) |
| | | Study-based re-development of GERI, underway |
| 15. | Fostering sector-wide advances in road infrastructure planning, design, management and governance concepts, | Study-based preparation of development plan for Center/s Of Excellence for (e.g.) Road & Bridge Design Innovation and Construction Management |

| | | |
|-----|--|--|
| | knowledge and applied science | |
| 16. | Ongoing expertise/knowledge transfer on 'best practice' in roads management | <p>Study-based initiation with collaborating faculties and institutes of 'pilot' sector program of local Seminars / Workshops on advanced roads management topics featuring internationally-experienced experts</p> <p>Initiation of ongoing R&BD access to and selective participation in international apex professional associations/bodies, aligned with the R&BD sector role and its strategic HRD aims</p> |

*(*While the GAAP has been confirmed with the GOG as a 'stand-alone' document, the main GAAP activities will be implemented in concert with the IDAP)*