

## **Screening Framework**

## Abbreviations

AoA	Articles of Association
CEO	Chief Executive Officer
E&S	Environment and Social
Govt.	Government
GoI	Government of India
MoA	Memorandum of Association
MoUD	Ministry of Urban Development
MoHUA	Ministry of Housing and Urban Affairs
O&M	Operation and Maintenance
PMC	Project Management Consultant
PMU	Project Management Unit
SCM	Smart City Mission
SCP	Smart City Plan
SPV	Special Purpose Vehicle
Rs Cr.	Indian Rupees in Crore
ULB	Urban Local Body
UT	Union Territory

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## Measuring the Key Principles in Smart Cities Guidelines through a Set of Indicators

### Key Principles and Indicators

Overall Goal of SCM Mission	Key Thrust Areas	Underlying Principles in Smart City Guideline	Indicators to Measure the Underlying Principles
Sustainable and inclusive development of compact areas and creating a replicable model which will act as a light house to other aspiring cities	Replicable institutional model	The implementation of the Mission at the City level will be done by a Special Purpose Vehicle (SPV) created for the purpose. The Board of Directors of the SPV will have representatives of Central Government, State Government, ULB and Independent Directors, in addition to the CEO and Functional Directors. Additional Directors (such as representative of parastatal) may be taken on the Board, as considered necessary. Independent Directors will be selected from the data bank(s) maintained by the Ministry of Corporate Affairs	<ul style="list-style-type: none"> <li>a) Composition of Independent Directors</li> <li>b) Key staff for the SPV</li> </ul>
		State/UT and the ULB will be the promoters having 50:50 equity shareholding and will determine the paid up capital requirements of the SPV	<ul style="list-style-type: none"> <li>a) SPV share capital</li> </ul>
		Structure and functions of the SPV	<ul style="list-style-type: none"> <li>a) Delegation of powers to SPV</li> <li>b) Constitution of mandatory committees</li> <li>c) Financial management systems</li> <li>d) Environmental and social risk management systems</li> <li>e) Monitoring &amp; reporting systems</li> <li>f) Grievance redressal mechanism</li> </ul>
	Operational and Financial Sustainability	SPV will plan, appraise, approve, release funds, implement, manage, operate, monitor and evaluate the Smart City development projects	<ul style="list-style-type: none"> <li>a) Proportion of smart city projects executed by the SPV</li> <li>b) Convergence and co-ordination</li> <li>c) O &amp; M Sustainability</li> <li>d) Project Progress</li> </ul>

Overall Goal of SCM Mission	Key Thrust Areas	Underlying Principles in Smart City Guideline	Indicators to Measure the Underlying Principles
		States/ULBs shall ensure that a dedicated and substantial revenue stream is made available to the SPV	a) Capital investment financing (other than GoI/ state government grants) made available to the SPV

## PART A – Mandatory Conditions for SPV

### Mandatory Conditions and Compliance for SPV

S. No	Mandatory Conditions
1.	Smart City Special Purpose Vehicle (SPV) incorporated under the Companies Act 2013
2.	Complete Government of India (GoI) share (first instalment) deposited in the SPV's bank account
3.	Complete state government's/ULBs matching share (first instalment) deposited in the SPV's bank account
4.	Audit committee required under the Companies' Act been set-up
5.	City Level Advisory Forum (CLAF) set-up

## FORMAT 1: Mandatory Conditions

(To be filled and responded to by each SPV through their State Government/Union Territory Administration)

Name of the SPV: \_\_\_\_\_ Name of State/Union Territory: \_\_\_\_\_

S. No	Condition (A)	Response (B)	Demonstration By (C)
1.	Smart City Special Purpose Vehicle (SPV) incorporated under the Companies Act 2013	YES / NO	<ul style="list-style-type: none"> <li>• Copy of Certificate of Incorporation</li> </ul>
2.	Complete Government of India (GoI) share (first instalment) deposited in the SPV's bank account	YES / NO	<ul style="list-style-type: none"> <li>• Copy of Bank statement evidencing receipt of funds – as stated in the financial statements of SPV</li> </ul>
3.	Complete state government's/ULBs matching share (first instalment) deposited in the SPV's bank account	YES / NO	<ul style="list-style-type: none"> <li>• Copy of Bank statement evidencing receipt of funds – as stated in the financial statements of SPV</li> </ul>
4.	Audit committee required under the Companies' Act been set-up	YES / NO	<ul style="list-style-type: none"> <li>• Audit Committee – copy of the Board resolution</li> <li>• Compliance report on corporate governance (if prepared)</li> </ul>
5.	City Level Advisory Forum (CLAF) set-up	YES / NO	<ul style="list-style-type: none"> <li>• Government Order establishing CLAF in SPVs</li> <li>• Minutes of meeting of the CLAF (if applicable)</li> </ul>

Note:

1. SPVs have to submit all documents indicated under Column C

**FORMAT 2: Consolidated Information - Mandatory Conditions**

(To be filled and responded to by the State Government/Union Territory Administration)

Name of State/Union Territory: \_\_\_\_\_

S. No	Name of Smart City (A)	Have all five (5) conditions been met (B)
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		
12.		

Note:

- 1. Please add/delete rows as required
- 2. Responses for Column B should only be in YES / NO



## PART B - Screening Criteria for States

### Key Indicators for States

S. No.	Indicators
1	Rank of the selected Smart City Plans in the State
2	Functioning of SPV
2a	<i>Independent Directors</i>
2b	<i>Women Directors</i>
2c	<i>Powers of the SPV to approve and sanction the projects including their technical appraisal</i>
2d	<i>Proportion of smart city projects executed by the SPV</i>
3	SPV staffing (core dedicated full-time staff already in place)
4	Additional capital investment financing (except GoI/ state government grants) is made available to the SPV
5	SPV Share Capital
6	Project Progress in Smart City

## Key Indicators, Definition & Scoring Methodology, Weightage to Indicators

S. No.	Indicator	Definition	Weightage	Scoring Methodology
1	Rank of the selected Smart City Plans in the State	Average of the rank of the selected smart city plans of the State as evaluated by MoUD  Rank of the first ranked city in each round will be the rank of the last city in the previous round +1 and will continue in sequence thereafter	10%	SPV Score = $(61 - \text{Rank}) / 60 * 100$  State Score = Average of Scores of SPVs * 10%
2	Functioning of SPV		20%	Average (a, b, c, d below for each SPV) * 20%
2a	<i>Independent Directors</i>	<i>Definition - number of independent directors who have been appointed to the Board of Directors of the SPV</i>		SPV Score 'a' = No. of Independent Directors / 3 * 100
2b	<i>Women Directors</i>	<i>Definition - number of women directors who have been appointed to the Board of Directors of the SPV</i>		SPV Score 'b' = No. of Women Directors / 9 * 100
2c	<i>Powers of the SPV to approve and sanction the projects including their technical appraisal</i>	<i>Definition - Limit on Project size that can be appraised and approved by the Board of the SPV, thereby not requiring separate state level approval</i>  <i>If no limit on the powers of the SPV = 5,</i> <i>If equal to or above Rs 500 crores with a maximum ceiling = 4,</i> <i>If equal to or above Rs 200 and less than Rs 500 crores = 3,</i> <i>If equal to or above Rs 100 and less than Rs 200 Crores = 2,</i> <i>If less than Rs 100 crores = 1.</i>		SPV Score 'b' = Corresponding Marks / 5 * 100
2d	<i>Proportion of smart city projects executed by the SPV</i>	Definition – proportion of project cost for projects where the SPV is the executing agency divided by the total Smart City Plan cost		SPV Score 'c' = Project cost implemented by SPV / Total SCP cost * 100
3	SPV staffing (core dedicated full-time staff already in place)	Definition – proportion of project cost for projects where the SPV is the executing agency divided by the total Smart City Plan cost  Definition – Availability of full time staff in SPV (the	25%	SPV Score = No. of full time positions in the SPV / 9 * 100  State Score = Average of

S. No.	Indicator	Definition	Weightage	Scoring Methodology
		<p>nomenclature for positions number 4-9 are indicative to assess availability of suitable skills in the SPV – if the SPV has a designation which corresponds to the skills of these positions, then the same may be included in the response. For example, SPV may have a Project Director [Water] which would correspond to Position Number 4 below).</p> <ol style="list-style-type: none"> <li>1) Chief Executive Officer,</li> <li>2) Chief Financial Officer,</li> <li>3) Company Secretary,</li> <li>4) Engineer (Water supply &amp; sanitation),</li> <li>5) Engineer (Civil),</li> <li>6) Urban Planner,</li> <li>7) Information Technology Expert,</li> <li>8) Environment Expert/Engineer and</li> <li>9) Communication/ Social Development Officer</li> </ol> <p>a) If atleast one full time staff is available in each of these ten positions, the score will be 1 for that position. Else 0.</p> <p>b) The score of each city is the sum of scores for the positions.</p> <p>c) Score of the State is the average of the scores for all selected smart cities.</p>		Scores of SPVs * 25%
4	Additional capital investment financing (except Gol/ state government grants) is made available to the SPV	<p>Definition – Additional capital investment funds refer to capital investment funds already provided to the SPV which do not originate from Gol/state grant funds under SCM.</p> <p>Note:</p> <ol style="list-style-type: none"> <li>1. The financing that would be considered additional will be from sources other than Gol and State Government.</li> </ol>	15%	<p>SPV Score = Capital Funds transferred to SPV/ 1000 * 100</p> <p>If funds are committed (through a Government Order or similar notification), but not yet fully provided, a multiplication factor of 0.20</p>

S. No.	Indicator	Definition	Weightage	Scoring Methodology
		<p>2. Funds from convergence projects originating from Gol/State Government/ULB will not be considered as additional source of funds.</p> <p>3. If the ULB and/or the State Government provide untied funds in addition to their counterpart share under SCM and/or convergence funds, such financing will be considered additional.</p>		<p>would be used on the amount which has not yet been provided</p> <p>State Score = Average of Scores of SPVs * 15%</p>
5	SPV Share Capital	Percentage of paid up share capital of the State Government in the SPV	10%	<p>SPV Score = % of paid up share capital of the state to SPV *100</p> <p>State Score = Average of Scores of SPVs * 10%</p>
6	Project Progress in Smart City	Definition - Percentage of projects (by value) in the Smart City Proposal for which tenders have been issued (including those under implementation and already completed)	20%	<p>SPV Score = Total Project cost Tendered/ Total Smart City Project Cost *100</p> <p>State Score = Average of Scores of SPVs * 20%</p>

**Information to be Provided by State for Evaluation of Indicator**

<b>S. No.</b>	<b>Indicator</b>	<b>Information to be provided by State</b>
1	Rank of the selected Smart City Plans in the State	
2	Functioning of SPV	
2a	<i>Independent Directors</i>	A) Notification of composition of Board of Directors. B) Notification of induction of independent directors into the Board Please provide information as per FORMAT 3
2b	<i>Women Directors</i>	A) Notification of composition of Board of Directors. B) Notification of induction of independent directors into the Board Please provide information as per FORMAT 3
2c	<i>Powers of the SPV to approve and sanction the projects including their technical appraisal</i>	Notification of delegation of powers to the SPV from the State/ ULB Please provide information as per FORMAT 4
2d	<i>Proportion of smart city projects executed by the SPV</i>	Please provide information as per FORMAT 5 and 6
3	SPV staffing (core dedicated full-time staff already in place)	Please provide information as per FORMAT 7 and 8
4	Capital investment financing (except GoI/ state government grants) is made available to the SPV	Please provide information as per FORMAT 9 and 10
5	SPV Share Capital a) Average share capital of all the SPVs in the State b) Percentage of paid up share capital of the State Government	Please provide information as per FORMAT 11 and also provide supporting documents
6	Project Progress in Smart City	As per project tracking of MoHUA

**FORMAT 3: Consolidated Information - Independent Director's in SPV**  
(To be filled and responded to by the State Government/Union Territory Administration)

Name of State/Union Territory: \_\_\_\_\_

S. No.	Name of the Smart City SPV in the State	Total Number of Independent Directors in the SPV Board	Total Number of Women Directors in the SPV Board
1			
2			
3			
4			
5			
.....			

*Please add/delete rows as required*

**FORMAT 4: Consolidated Information - Approve and Sanctioning Power of SPV**  
(To be filled and responded to by the State Government/Union Territory Administration)

Name of State/Union Territory: \_\_\_\_\_

S. No.	Name of the Smart City SPV in the State	Maximum project size that can be appraised and approved by the Board of the SPV (Rs in Cr.)
1		
2		
3		
4		
5		
.....		

*Please add/delete rows as required*

## FORMAT 5: Project Information

(To be filled and responded to by the State Government/Union Territory Administration for each of the Smart City SPV)

Name of the SPV: \_\_\_\_\_ Name of State/Union Territory: \_\_\_\_\_

S. No	Project Name	Cost (Rs Cr)	Executing Agency	O & M Sustainability			Source of funds (Rs Cr) (please provide approximate breakup of funding for the project)				
				Construction contract inclusive of O&M (Yes/ No)	No. of years of O&M	O&M cost borne by contractor (Yes/ No)	SCM grants	Convergence funds	ULBs own funds	Own funds of other Govt. agencies	Private sector/ concessionaire/ licensee/ user
1	2	3	4	5	6	7	12	13	14	15	16

**Instructions:**

4 = Please specify the agency implementing the project - Smart City SPV, ULB, Parastatal, Govt. department etc.

5 = Please specify, whether contract for implementation also includes O & M

6 = If Yes for Column 5, please specify number of years of O&M after completion of project



*7 = Is O & M cost borne by contractor/ operator/ licensee or concessionaire. Please specify 'Yes' if it is borne & is not to be paid by the Government agency and 'No' if it is borne by the Government agency)*

**FORMAT 6: Consolidated Information - Proportion of Smart City Projects Executed by SPV**  
(To be filled and responded to by the State Government/Union Territory Administration)

Name of State/Union Territory: \_\_\_\_\_

S. No.	Name of the Smart City SPV in the State	Total SCP Cost (Rs in Cr.)	Total SCP Project Cost Executed by SPV (Rs in Cr.)
1			
2			
3			
4			
5			
.....			

*Please add/delete rows as required*

*Note: Project executed by SPV are those which are contracted by the SPV. Procurement (Works, Goods or Services) done by other institutions such as Development Authorities, Parastatals, Urban Local Body, etc. should not be included in this costing.*

## FORMAT 7: Staffing Details

(To be filled and responded to by the State Government/Union Territory Administration for each of the Smart City SPV)

Name of the SPV: \_\_\_\_\_ Name of State/Union Territory: \_\_\_\_\_

### A) Staffing Details – SPV Wise

S. No	Staff Position	Date of Joining SPV	Reporting to (designation of the person)	Deployment with other agencies (Yes/ No)	Employer	Other Duties	Deployment (Full Time/ Part Time)	On Contract/ Permanent in SPV
1	2	3	4	5	6	7	8	9

**Instructions:**

5 = Is the staff on deputation or secondment from other Government agencies/ ULB etc.? Please specify Yes/ No

6 = If Yes to column 5, who is the employer (SPV, ULB or other Government agency)

7 = Other charges held in other ULB, Government agencies

9 = If the staff is not employed in other ULB or Govt. agency, then please specify if the staff is on contract or on the permanent rolls of the SPV?

Please provide in one A4 page (one side) the following information for each of the staff position in the table above: a) Name of the Staff; b) Qualification; c) Years of experience; d) Employment record; e) A brief summary of professional experience

**FORMAT 8: Consolidated Information - Dedicated Full Time Deployment in SPV**  
(To be filled and responded to by the State Government/Union Territory Administration)

Name of State/Union Territory: \_\_\_\_\_

S. No.	Name of the Smart City SPV in the State	No. of Full Time Staff Deployed in the SPV of the 9 Specified Positions
1		
2		
3		
4		
.....		

*Please add/delete rows as required*

## FORMAT 9: Financing to SPV

(To be filled and responded to by each SPV through their State Government/Union Territory Administration for each of the Smart City SPV)

Name of the SPV: \_\_\_\_\_ Name of State/Union Territory: \_\_\_\_\_

S. No	Description of Additional Capital Funding	Collected by SPV or another agency	Amount received till 25 October 2017 (Rs in Cr.)	Amount committed during SCM duration (till 2019-20) (Rs in Cr.)
1	2	3	4	5

### Instructions

2 = Please provide a description of what is the nature of capital grant. Please provide supporting documents

**FORMAT 10: Consolidated Information - Financing to SPV**  
(To be filled and responded to by the State Government/Union Territory Administration)

Name of State/Union Territory: \_\_\_\_\_

S. No.	Name of the Smart City SPV in the State	Amount received till 22 October 2017 (Rs in Cr.)	Amount committed during SCM duration (till 2019-20) (Rs in Cr.)
1			
2			
3			
4			
5			
.....			

*Please add/delete rows as required*

**FORMAT 11: Consolidated Information – SPV Share Capital**  
(To be filled and responded to by the State Government/Union Territory Administration)

Name of State/Union Territory: \_\_\_\_\_

S. No.	Name of the Smart City SPV in the State	Total Paid-Up Share Capital of SPV (Rs in Cr.)	State's Total Paid-Up Share Capital in SPV (Rs in Cr.)	State's Shareholding Commitment Fulfilled of the total committed (Rs in Cr.)
1				
2				
3				
4				
5				
.....				

*Please add/delete rows as required*

## PART C - Criteria for Selection of Smart City SPV's within a State

### Key Indicators for Smart City SPV's

S. No.	Indicators
1	Project Progress in Smart City
2	Functioning SPV – Board of Directors/Functioning of Powers
2a	<i>Independent Directors</i>
2b	<i>Women Directors</i>
2c	<i>SPV Share Capital</i>
3	SPV staffing (core dedicated full-time staff already in place)
4	Capital investment financing (except GoI/ state government grants) is made available to the SPV
5	Financial management systems
6	Environmental and social risk management systems
7	Convergence and co-ordination
8	Proportion of smart city projects executed by the SPV
9	O & M Sustainability
10	Monitoring and reporting systems
11	Grievance redressal mechanism



### Key Indicators, Definition & Scoring Methodology

S. No.	Indicator	Definition and Scoring Methodology	Weightage	Score
1	Project Progress in Smart City	Definition - Percentage of projects (by value) in the Smart City Proposal for which tenders have been issued (including those under implementation and already completed)	10%	SPV Score = (Total Project cost Tendered/ Total Smart City Project Cost) * 10%
2	Functioning SPV – Board of Directors/Functioning of Powers	Average of the sub-items below		SPV Score = Average (2a : 2b)
2a	<i>Independent Directors</i>	Definition - Number of Independent Directors appointed to the Board of Directors of the SPV for the selected smart cities	5%	2a - SPV Score = (No. of Independent Directors/3*100) * 5%
2b	<i>Women Directors</i>	Definition - Number of Women Directors appointed to the Board of Directors of the SPV for the selected smart cities	5%	2b - SPV Score = (No. of Women Directors/9*100) * 5%
2b	<i>SPV Share Capital</i>	Percentage of paid up share capital of the State Government in the SPV	5%	SPV Score =( Paid up share capital in SPV (Rs in Cr)/ 200 * 2) * 5%
3	SPV staffing (core dedicated full-time staff already in place)	<p>Definition – Availability of full time staff in SPV - Chief Executive Officer, Chief Financial Officer, Company Secretary, Engineer (Water supply &amp; sanitation), Engineer (Civil), Urban Planner, Information Technology Expert, Environment Expert/Engineer, and Communication/ Social Development Officer</p> <p>a) If atleast one full time staff is available in each of these eight positions, the score will be 1 for that position. Else 0. b) The score of each city is the sum of scores for the positions.</p>	10%	SPV Score = (No. of full time positions in the SPV/ 9*100) * 10%

S. No.	Indicator	Definition and Scoring Methodology	Weightage	Score
4	Capital investment financing (except Gol/ state government grants) is made available to the SPV	<p>a) Capital investment funds already provided to the SPV. If funds are committed, but not yet provided, a multiplication factor of 0.25 would be used.</p> <p><i>Note: The financing that would be considered additional will be from sources other than Gol and State Government. Convergence projects from Gol/ State Government/ULB will not be considered as additional source of funds. If the ULB and/or the State Government provide untied funds in addition to their counterpart share under SCM and/or convergence funds, such financing will also be considered additional.</i></p>	10%	SPV Score = (Capital Funds transferred to SPV Rs in Cr. / 1000 * 100) * 10%
5	Financial management systems	<p>Definition -Number of following measures in place –</p> <ol style="list-style-type: none"> <li>1) External auditor in place;</li> <li>2) Accounting and book keeping systems (including asset register) in place;</li> <li>3) Own bank account; and</li> <li>4) Audited first financial statement.</li> </ol> <p><i>Note: Each measure carries 1 mark. The score of each city is the sum of scores for the measures.</i></p>	10%	SPV Score = (No. of measures achieved/4*100) * 10%
6	Environmental and social risk management systems	<p>Definition – Number of following measures in place –</p> <ol style="list-style-type: none"> <li>1) SPV-level policy or similar statement on environment and social (E&amp;S) risk management (referencing overall approach and applicable laws and standards for projects);</li> <li>2) Written procedures for E&amp;S risk screening, assessment, and management;</li> <li>3) E&amp;S monitoring framework;</li> <li>4) E&amp;S reporting framework at each project and SPV level.</li> </ol> <p><i>Note: Each measure carries 1 mark. The score of each city is the sum of scores for the measures.</i></p>	5%	SPV Score = (No. of measures achieved/4*100) * 5%

S. No.	Indicator	Definition and Scoring Methodology	Weightage	Score
7	Convergence and coordination	Definition - Value of co-funded projects that have been tendered (including those under implementation and already completed) divided by the total Value of co-funded projects	10%	SPV Score = (Total co-funded Project cost Tendered/ Total co-funded Project Cost *100) * 10%
8	Proportion of smart city projects executed by the SPV	Definition -Sum of project cost for those projects where the SPV is the implementing agency divided by the total smart city project cost	10%	SPV Score = (Total Project cost implemented by SPV / Total SCP cost *100) * 10%
9	O & M Sustainability	<p>Definition - Percentage of projects which are implemented with O &amp; M requirements included in the procurement</p> <p>For each smart city project, score</p> <p>=1 if another Government agency has a written agreement for undertaking O &amp; M, like a water board or ULB or parastatal,</p> <p>= 2 if the construction contract also includes a minimum of three years (after construction is completed) of O &amp; M,</p> <p>= 3 if the project is being/ will be procured with both O &amp; M responsibility and O &amp; M cost being borne by private operator/ concessionaire/ licensee.</p> <p>a) Average score (averaged across projects weighted by project value),</p> <p>b) = 0 if no plan or only construction is included in contract.</p>	10%	SPV Score =[Average score (averaged across projects weighted by project value) *100] * 10%
10	Monitoring and reporting systems	<p>Definition - Presence of a reporting system within the State or City</p> <p>=1 If Project Tracker information has been provided by the city to MoHUA for atleast one third of SCP projects by value,</p>	5%	SPV Score = Marks Achieved *100 * 5%

S. No.	Indicator	Definition and Scoring Methodology	Weightage	Score
		= 2 if Score Card as per Annexure 7 of SCM guidelines is being maintained by the State/ City as on [15 August 2017]		
11	Grievance redressal mechanism	<p>Definition – Presence of accessible mechanism to record and redress grievances of citizens within specified time frame with respect to Smart Cities Mission.</p> <p>=1 if the SPV is able to receive grievances related to SCM,  = 2 if the SPV is able to respond or if it is mapped as a respondent/ department/ service provider in the ULB's system or has a dedicated system for smart cities.</p>	5%	SPV Score = Marks Achieved * 100* 5%

**Information to be Provided by Smart City SPV for Evaluation of Indicator**

<b>S. No.</b>	<b>Indicator</b>	<b>Information to be provided by Smart City SPV</b>
1	Project Progress in Smart City	As per project tracking of MoHUA
2	Functioning SPV – Board of Directors/Functioning of Powers	
2a	<i>Independent Directors</i>	a) Notification of composition of Board of Directors. b) Notification of induction of independent directors into the Board
2b	<i>SPV Share Capital</i>	Supporting documents
3	SPV staffing (core dedicated full-time staff already in place)	Please provide information as per FORMAT 12
4	Capital investment financing (except GoI/ state government grants) is made available to the SPV	Please provide information as per FORMAT 13
5	Financial management systems	Please provide information as per FORMAT 14
6	Environmental and social risk management systems	Please provide relevant documentation
7	Convergence and co ordination	Please provide information as per FORMAT 15
8	Proportion of smart city projects executed by the SPV	Please provide information as per FORMAT 15
9	O & M Sustainability	Please provide information as per FORMAT 15
10	Monitoring and reporting systems	a) As per project tracking of MoHUA b) Please provide 'Score Card' (as per Annexure 7 of SCM guidelines) submitted to GoI/ State
11	Grievance redressal mechanism	Please provide information as per FORMAT 16

## FORMAT 12: Staffing Details

(To be filled and responded to by each SPV through their State Government/Union Territory Administration)

Name of the SPV: \_\_\_\_\_ Name of State/Union Territory: \_\_\_\_\_

### A) Staffing Details – SPV Wise

S. No	Staff Position	Date of Joining SPV	Reporting to (designation of the person)	Deployment with other agencies (Yes/ No)	Employer	Other Duties	Deployment (Full Time/ Part Time)	On Contract/ Permanent in SPV
1	2	3	4	5	6	7	8	9

**Instructions:**

5 = Is the staff on deputation or secondment from other Government agencies/ ULB etc.? Please specify Yes/ No

6 = If Yes to column 5, who is the employer (SPV, ULB or other Government agency)

7 = Other charges held in other ULB, Government agencies

9 = If the staff is not employed in other ULB or Govt. agency, then please specify if the staff is on contract or on the permanent rolls of the SPV?

Please provide in one page the following information for each of the staff position in the table above: a) Name of the Staff; b) Qualification; c) Years of experience; d) Employment record; e) A brief summary of professional experience

### B) Staffing Details - Project Management Consultant (PMC) – City Wise

S. No	Staff Position	Name of Staff	Designation in PMU	Date of joining	Qualification	Experience in years	Summary of experience

Please provide copy of PMC contract(s)

If necessary, you may remove commercial information such as manday rates, total fee etc. while providing a copy of the contract

### FORMAT 13: Financing to SPV

(To be filled and responded to by each SPV through their State Government/Union Territory Administration)

Name of the SPV: \_\_\_\_\_ Name of State/Union Territory: \_\_\_\_\_

S. No	Description of Additional Capital Funding	Collected by SPV or another agency	Amount received till 15 August 2017 (Rs in Cr.)	Amount committed during SCM duration (till 2019-20) (Rs in Cr.)
1	2	3	4	5

Instructions

2 = Please provide a description of what is the nature of capital grant. Please provide supporting documents

## FORMAT 14: Financial Management Systems in SPV

(To be filled and responded to by each SPV through their State Government/Union Territory Administration)

Name of the SPV: \_\_\_\_\_ Name of State/Union Territory: \_\_\_\_\_

S. No.	Details	Response
1	Name of External Auditor	
	Appointment Date <i>(Please provide letter of appointment)</i>	
2	Chart of accounts <i>(please indicate if this has been prepared)</i>	Yes/ No
	Accounting policies <i>(please indicate if this is in place)</i>	Yes/ No
	Accounting software in use (if any)	
	Delegation of powers for carrying out all financial transactions of the SPV to a full time employee of the SPV <i>(Chief Finance Officer or head of finance function)</i>	
3	Bank account number	
	Name of bank	
	Branch	
	Authorized signatory(ies) <i>(Please indicate with Name &amp; Designation)</i>	
4	Financial Management Manual (please attach)	
5	Financial Statement (for cities selected in Round 1 and Round 2) <i>please attach latest financial statements</i>	
6	Whether Internal auditor appointed, if yes, please provide the scope and terms of reference of internal auditor	
7	Audit Qualifications or any other issues reported/ commented on by External auditor/Internal auditor in previous year audit reports	
8	Details of staff in Finance department (Employee, Designation, Qualification, Prior experience)	



## FORMAT 15: Project Information

(To be filled and responded to by each SPV through their State Government/Union Territory Administration)

Name of the SPV: \_\_\_\_\_ Name of State/Union Territory: \_\_\_\_\_

S. No	Project Name	Cost (Rs Cr)	Implementing agency	O & M Sustainability			Source of funds (Rs Cr) (please provide approximate breakup of funding for the project)				
				Construction contract inclusive of O&M (Yes/ No)	No. of years of O&M	O&M cost borne by contractor (Yes/ No)	SCM grants	Convergence funds	ULBs own funds	Own funds of other Govt. agencies	Private sector/ concessionaire/ licensee/ user
1	2	3	4	5	6	7	12	13	14	15	16

**Instructions:**

4 = Please specify the agency implementing the project - Smart City SPV, ULB, Parastatal, Govt. department etc.

5 = Please specify, whether contract for implementation also includes O & M

6 = If Yes for Column 5, please specify number of years of O&M after completion of project

7 = Is O & M cost borne by contractor/ operator/ licensee or concessionaire. Please specify 'Yes' if it is borne & is not to be paid by the Government agency and 'No' if it is borne by the Government agency)

## FORMAT 16: Grievance Redressal Mechanisms Systems in SPV

(To be filled and responded to by each SPV through their State Government/Union Territory Administration)

Name of the SPV: \_\_\_\_\_ Name of State/Union Territory: \_\_\_\_\_

	Activity	Response (Yes/ No)	Explanation
<b>1.</b>	<b>System development</b>		
A	Citizens Charter prepared		Provide the list
B	Charter publicly available		Provide types of dissemination used
C	Online system developed		Provide link
D	Offline options available		Toll free helpline Contact information for applications/petitions
D	Usability for non-literate and neo literates ensured		
<b>2.</b>	<b>Receipt</b>		
A	Activities to advertise/inform public on Grievance Redressal Mechanism		Provide types of dissemination used
B	System for allotting Unique Complaint ID		
<b>3.</b>	<b>Redressal</b>		
A	Time designated for response		Timelines
B	System for internal escalation created		
C	System for appeal by complainant		
E	Dashboard for Grievance tracking		
<b>4.</b>	<b>Prevention</b>		
A	Clustering of grievance types		
B	Analysis of grievances		
C	Grievances looped into improving program		Examples of changes made in implementation