

The Standard Procedures that are followed in World Bank assisted Karnataka Municipal Reforms Project is as follows:

Municipal Investment Support Component

- The project ULBs would implement the Municipal Investment Support component.
- The project ULBs with the help of the consultants prepares the Capital Investment Plan (CIP) and submits the same to KUIDFC for administrative approval.
- A Project Consultant (PC) is appointed by KUIDFC to assist the ULB to prepare Detailed Project Report (DPR), tender documents and progress reports for KUIDFC and also for evaluation of tenders and monitoring of works. The PC will also be responsible for quality and quantity certification.
- The respective Deputy Commissioners of the District and Deputy Project Directors of the concerned divisions will monitor the progress of the Project. The overall progress is monitored by KUIDFC-Head Office and the same is reviewed by Empowered Committee headed by Additional Chief Secretary of GoK.
- In order to ensure smooth and expeditious implementation of works, Project Implementation Units (PIU) at the town level and Project Monitoring Unit (PMUs) at Divisional Office level for North Karnataka towns have been created.
- All staff of the KMRP-PIU will report to the respective Commissioner/ Chief Officer of the ULB. The KMRP-PMU at Divisional offices will report to the respective DPDs.
- The Commissioner/Chief Officer will be the Employer on behalf of ULB for all project works and will refer all technical matters to the AEE/AE/JE PIU for obtaining necessary technical opinion and forward the same to DUDC/DLIC with necessary recommendations for obtaining clearances from competent authorities.

Land Acquisition:

- Land acquisition cost is not funded under KMRP and the concerned ULBs will have to mobilize the same.

PHASE I (PLANNING, DESIGNING AND PROCUREMENT)

Concept Report (including Preliminary Design Reports):

- The PC has to submit the concept report to the ULB, and the Head Office/Divisional Office. The PIU & the KMRP-PMU (for package 4) have to scrutinize the concept plan & submit the same for approval. PC to incorporate all changes & submit the same for approval of ULB. The PC and the KMRP-PIU/PMU needs to be present in the Council meeting to clarify the queries, if any, sought by the Council.

Environmental Assessment Report (EA)

- The PC has to prepare EA along with Environment Management Plan (EMP) duly following the Social and Environment Management Framework (SEMF). The EMP shall be integrated with the bidding documents along with the cost estimates, if any.
- The PIU Engineer & Environment Engineer of ULB has to ensure the compliance to the Environmental Monitoring Plan by the contractor during construction.

Social Assessment

- The PC has to prepare Social Assessment Report along with Resettlement Plan (RP), if any, following the SEMF guidelines of KMRP.
- The Social Assessment Report shall be verified by the PIU. The same, on approval of HO, shall be submitted along with the Draft Detailed Project Report (DDPR)/DPR.
- The DUDC shall ensure the implementation of the RP.

Economic/Financial Analysis Reports

- The PC has to prepare Economic Analysis Reports (EAR) as per the guidelines of KMRP. The same shall be verified by PIU. The same, on approval of HO, shall be submitted along with the Draft Detailed Project Report (DDPR)/DPR.

Detailed Project Reports (DPRs)

- The PC shall, soon after approval of concept plan, submit DDPRs to KMRP-PIU/PMU and ULB containing all the design, drawings, EA, SA, EAR etc.,
- The ULB and the KMRP –PIU/PMU have to review the DDPR. The DDPR along with the observations shall be placed for clearance before the Technical Cell. Comments if any shall be forwarded to PC. The PC shall incorporate necessary changes in the DDPR and submit the DPR.
- The DPR shall be placed before ULB & DLIC for concurrence. The PC and KMRP-PIU/PMU shall be present in the council/ DLIC meeting for clarifications, if any. PC shall incorporate necessary changes in the DPR based on the comments, if any, received from ULB and DLIC.
- For works, costing more than Rs.22.4 cr, prior approval of WB to be obtained through HO.
- After DLIC's concurrence, technical sanction is to be accorded by the competent authority.

Technical sanction

- The Technical Sub-Committee of DLIC shall accord technical sanction to the estimate of works less than Rs. 2 cr. The Technical Committee of HO shall accord technical sanction to the estimate of works more than Rs. 2 cr. on the recommendation of DLIC.

Invitation of bids

- PC has to submit draft bid documents, as per the WB guidelines, along with DDPR
- The PC, PIU and PMU will be responsible to review the bid documents. PC shall submit final bid documents along with DPR.
- The HO will be responsible to approve the bid documents
- For works, costing more than Rs.22.4 cr, prior approval of WB for the bid document to be obtained through HO.
- ULB to prepare the draft bid notification with the assistance of PC. The draft bid notification shall be approved by the respective technical cell and HO. ULB to publish the bid notification as per guidelines of HO, and keep the bid documents ready for issue
- Pre-bid meeting to be conducted by Municipal Commissioner/Chief Officer in the premises of ULB and the same to be attended by technical team of HO, PC, PMU, and PIU. Minutes to be recorded in the prescribed format. The same shall be submitted to HO along with draft compliance through PIU/PMU.

Bid Opening and Evaluation

- Bids shall be opened on the stipulated date and time by the Commissioner/Chief Officer in the presence of bidders. PC, PMU, and PIU to be present during the bid opening.
- Minutes of the bid opening to be recorded in the prescribed format to be submitted to HO through PIU/PMU.
- Bid evaluation to be carried out by the ULB and PC shall assist the ULB. PIU/PMU and DLIC to verify the same.
- ULB to approve the evaluation in the form of a resolution and forward the same to DLIC.

Bid Approval: Delegation of powers for bid approval:

- ULB shall approve bids with a premium up to 8% over the amount put to bid
- DLIC shall approve bids with a premium above 8% and up to 12%.
- Bids with a premium more than 12% shall be forwarded to HO with the recommendations of ULB and DLIC.
- EC will approve the bids with a premium above 12%.
- Work costing more than Rs.22.4 cr, prior approval of WB to be obtained through HO.
- After obtaining necessary approvals from the competent authorities, the Commissioner/Chief Officer shall be responsible for issuing of LOA, signing of agreement etc., as stipulated in the bid document.

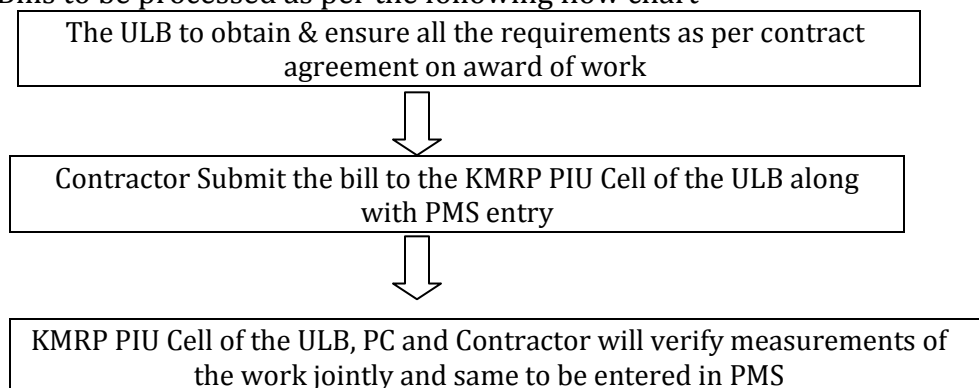
PHASE II (Implementation)

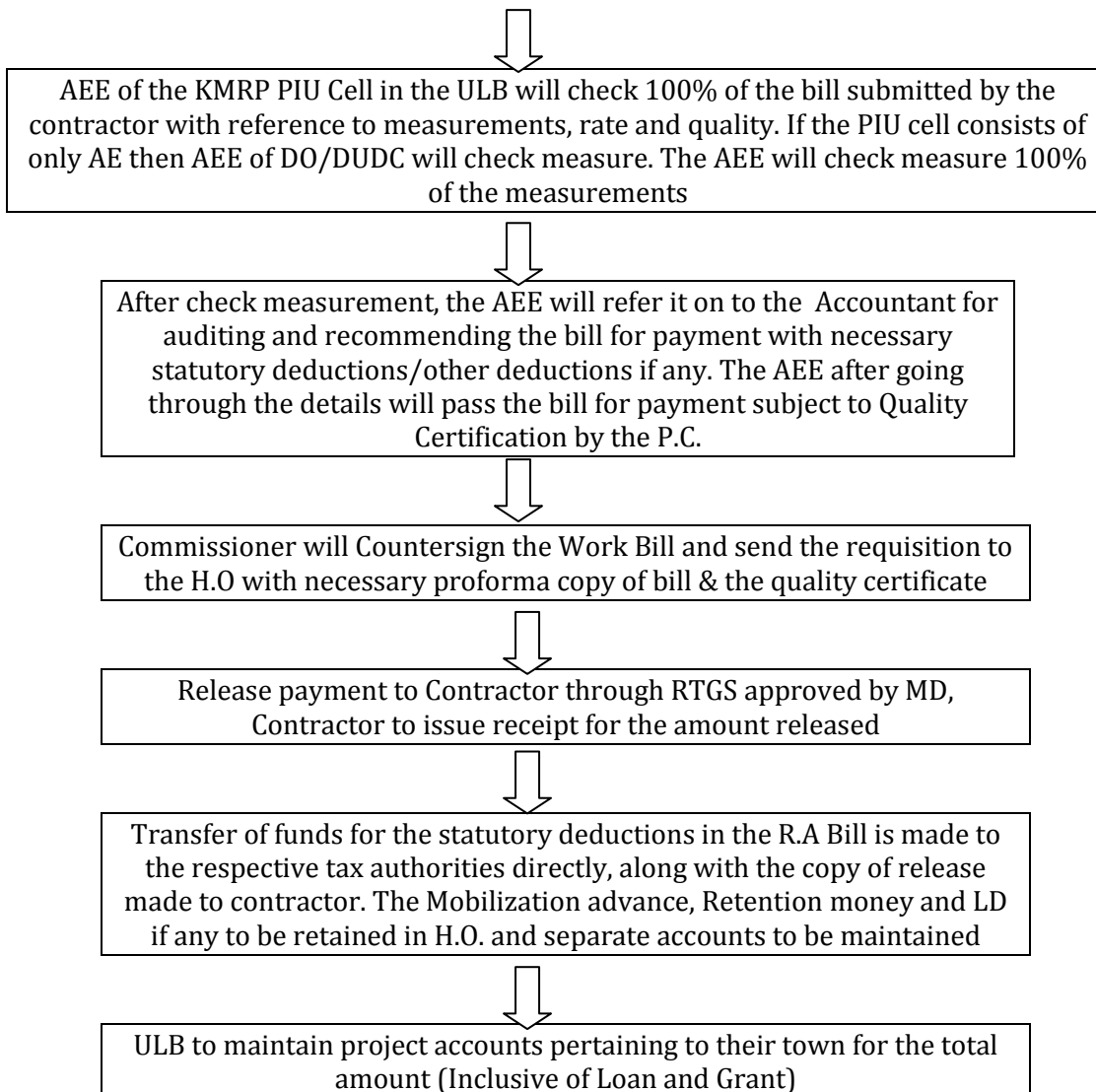
Supervision

- The day-to-day supervision and measurement of the works shall be the responsibility of the PIU Engineers. Periodic monitoring & supervision to be done by the respective PMU/DUDC and technical team of HO. As per the roles and responsibilities, the PIU to ensure compliance to all the conditions of contract. ULB to monitor and ensure proper compliance to EMP.
- PC shall also be responsible for day to day construction supervision, quality and quantity certification.

Measurement of Works:

- The contractor shall submit the soft/hard copies of the measurements to the ULB.
- Measurements shall be jointly verified by the Project Consultant, AEE, AE/JE of PIU and the same are to be imported/entered in the Project Monitoring System (PMS).
- In the event of vacancy or no sanctioned post of AEE in PIU, AEE of PMU/DUDC will be responsible for carrying out the check measurements.
- Work Bills to be processed as per the following flow chart





Extension of time for execution of works:

- Approval for extension of time shall be in accordance with the conditions of contract.
- The AEE concerned shall convey the extensions after obtaining approval of Commissioner/Chief Officer.

Issue of Completion Certificate

- The ULB, on the recommendation of PC, shall issue the completion certificate of the Project.
- The PC shall also provide the Project completion report, O&M plan, etc., to the respective ULB.
- On completion of work the PIU has to prepare all documents as detailed in Exit Policy issued by HO and hand over the same to the respective Commissioners/Chief Officers of ULB.

Maintenance of accounts

- The Project Accounts including salary accounts shall be maintained by PIU. The Commissioner/Chief Officer will forward the statements once in a month.
- Separate bank account in the name of Commissioner/Chief Officer to be opened for the purpose of salary and miscellaneous expenditure only.
- A joint bank account in the name of Commissioner/Chief Officer and the PIU Engineer shall be opened wherever LCS construction is taken up by the ULB.
- The Utilization Certificates are to be submitted.

Memorandum of Agreement (MoA)

The project ULBs have to sign a tripartite agreement (MoA) with KUIDFC and DMA.

Variation Orders

During the execution it becomes necessary to issue variation on account of change in material, specifications, sizes and soil classification, etc., on the recommendation of the Project Consultants. The same shall be approved as follows:

- DLIC to approve the variations upto 10% of the DPR cost.
- HO to approve the variations above 10% of the DPR cost.