

# Project Readiness Financing Project Administration Manual

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Project Number: 55207-001  
Loan Number: {PRFXXXX}  
March 2022

## India: Infrastructure Development of Industrial Estates in Tripura

## CONTENTS

I.	IMPLEMENTATION PLAN	1
A.	Overall Implementation Plan	1
II.	PROJECT MANAGEMENT ARRANGEMENTS	2
A.	Project Implementation Organizations: Roles and Responsibilities	2
B.	Key Persons Involved in Implementation	3
C.	Project Organization Structure	5
III.	COSTS AND FINANCING	5
A.	Key Assumptions	6
B.	Allocation and Withdrawal of Loan Proceeds	6
C.	Detailed Cost Estimates by Expenditure Category and Financier	7
D.	Detailed Cost Estimates by Year	8
E.	Contract and Disbursement S-Curve	9
IV.	FINANCIAL MANAGEMENT	9
A.	Financial Management Assessment	9
B.	Disbursement	16
C.	Accounting and Auditing	17
D.	Public Disclosure	19
V.	PROCUREMENT AND CONSULTING SERVICES	19
A.	Advance Contracting and Retroactive Financing	20
B.	Procurement of Consulting Services	20
C.	Procurement of Goods and Civil Works	20
D.	Procurement Plan	20
E.	Consultant's Terms of Reference	20
VI.	SAFEGUARDS	21
VII.	PERFORMANCE MONITORING	21
A.	Monitoring	21
B.	Reporting	22
VIII.	ANTICORRUPTION POLICY	22
IX.	ACCOUNTABILITY MECHANISM	23
X.	RECORD OF CHANGES TO THE PROJECT ADMINISTRATION MANUAL	23

## APPENDIXES

1. Procurement plan
2. Terms of Reference of Consulting Services
3. Terms of Reference for Independent Auditor
4. Quarterly Progress Report (QPR) Format

## **Project Administration Manual for Project Readiness Financing Facility: Purpose and Process**

The project administration manual (PAM) for the project readiness financing (PRF) facility is an abridged version of the regular PAM of the Asian Development Bank (ADB) and describes the essential administrative and management requirements to implement the PRF facility following the policies and procedures of the government and ADB. The PAM should include references to all available templates and instructions either by linking to relevant URLs or directly incorporating them in the PAM.

The executing agency—the Government of Tripura (GOT) acting through the Department of Industries & Commerce (DOIC) and the implementing agency Tripura Industrial Development Corporation Limited (TIDCL) are wholly responsible for the implementation of ADB-financed PRF activities, as agreed between the borrower and ADB, and following the policies and procedures of the government and ADB. ADB staff is responsible for supporting implementation, including compliance by the DOIC and TIDCL of their obligations and responsibilities for PRF project implementation following ADB's policies and procedures.

In the event of any discrepancy or contradiction between the PAM and the PRF loan agreement, the provisions of the PRF loan agreement will prevail.

After ADB's approval of the PRF proposal, changes in implementation arrangements are subject to agreement and approval pursuant to relevant government and ADB administrative procedures (including the Project Administration Instructions) and upon such approval, they will be subsequently incorporated in this PAM.

## **ABBREVIATIONS**

ADB	– Asian Development Bank
APFS	– audited project financial statement
DEA	– Department of Economic Affairs
DPR	– detailed project report
DOIC	– Department of Industries & Commerce
FMA	– financial management assessment
GOI	– Government of India
GOT	– Government of Tripura
PAM	– project administration manual
PFS	– project financial statement
PMU	– project management unit
PDMC	– project planning, design and management consultants
PRF	– project readiness financing
SOE	– statement of expenditure
TIDCL	– Tripura Industrial Development Corporation Limited
TOR	– terms of reference

## I. IMPLEMENTATION PLAN

### A. Overall Implementation Plan

- Table 1 presents the overall implementation plan for the project readiness financing (PRF) project and records key implementation, including project management activities (on quarterly basis), which will be updated annually and submitted to ADB with updated contract and disbursement projections for the following year.

**Table 1: Implementation Plan over PRF Project Tenure**

Activities	Advance Action			PRF				PRF	
	2021			2022				2023	
	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
<b>PRF Approval</b>									
<b>A. Implementation</b>									
Consultant Selection (Individual)									
Advertisement									
Selection									
Contract Award									
Consultant mobilization (Individual)									
Consultant Selection (Firm)									
Advertisement									
Selection									
Contract Award									
<b>Outputs</b>									
Strategy and Investment Plan									
Feasibility studies and detailed engineering designs									
Feasibility studies									
Detailed engineering designs									
Institutional review and capacity building									
Preparation for Documents for Ensuing Loan									
<b>B. Management Activities</b>									
PRF negotiations									
ADB Board Approval									
PRF Signing									
PRF effectiveness									
Submission of QPRs									
Submission of APFS/AEFS									
Projected date of ensuing loan									

ADB = Asian Development Bank, AEFS = audited entity financial statement, APFS = audited project financial statement, PRF = project readiness financing, Q = quarter, QPR = quarterly progress report.  
Source: Asian Development Bank.

## II. PROJECT MANAGEMENT ARRANGEMENTS

### A. Project Implementation Organizations: Roles and Responsibilities

**Table 2: Roles and Responsibilities of Key Stakeholders**

PRF Project Implementation/ Organizations	Management Roles and Responsibilities
<b>A. Project Steering Committee</b>	A multi-department project steering committee chaired by the Chief Secretary, Government of Tripura (GOT) is established as oversight body with senior officers from the Departments of Finance, Urban Development, Public Works, Power, Science, Technology and Environment, Law and Industries and Commerce. The committee will facilitate interdepartmental coordination and cooperation within government; and provide overall strategic guidance.
<b>B. Executing agency: Government of Tripura (GOT) acting through Department of Industries &amp; Commerce (DOIC)</b>	<ul style="list-style-type: none"> <li>• Ensure coordination with Department of Economic Affairs (DEA), Ministry of Finance, Government of India (GOI) for project related activities and to ensure adequate allocation of annual budget to the project, as per recommendation of TIDCL.</li> <li>• Be the focal point at execution level for communication with all stakeholders, including ADB, facilitation coordination for all stakeholder consultations, and be the signatory to all key documents including withdrawal applications and audit reports for submission to the GOT and the GOI on PRF activities;</li> <li>• Liaise with ADB to address any issues during detailed engineering design/procurement/institutional development works of consulting firm under PRF activities.</li> <li>• Conduct review, obtain necessary government approvals for investment plan and strategy report /sub-projects and approve detailed engineering designs/any other design works and resource/effort/cost estimates, including detailed project reports (DPRs).</li> </ul>
<b>B. Implementing Agency Tripura Industrial Development Corporation Limited (TIDCL)</b>	<ul style="list-style-type: none"> <li>• Appoint a Project Director dedicated for the PRF and establish a project management unit at the TIDCL, which is adequately staffed and acceptable to ADB.</li> <li>• Facilitate improved project readiness by preparing (through a consulting firm and individual consultants), detailed engineering designs, DPRs for subprojects, procurement, safeguards and other documentations required to access financing from ADB;</li> <li>• Prepare through consulting firm and recommend to the DOIC for approval of detailed engineering designs/any other design works, DPRs, procurement and safeguards documentation, and institutional strengthening and capacity building requirements and programs on training/workshops/ seminars/ conferences etc., including necessary coordination with all stakeholders;</li> <li>• Process bills for services contract. Conduct periodic review of the work progress under PRF project and submit agreed progress/ project reports to the steering committee, GOT, GOI, and ADB.</li> <li>• Maintain separate project records, prepare project financial statements in accordance with financial reporting framework which shall be audited by an independent auditor using relevant</li> </ul>

PRF Project Implementation/ Organizations	Management Roles and Responsibilities
	<p>audit standard framework as application and submitted the audited project financial statements to ADB within six months of close of relevant fiscal year.</p> <ul style="list-style-type: none"> <li>• Submit annual audited entity financial statements to ADB within 1 month of approval by the relevant authority at TIDCL not later than 12 months from close of relevant fiscal year.</li> <li>• Take appropriate steps to maintain financial management rating “on-track” at all times during execution of the PRF.</li> <li>• Disclosure of information related to the project to the public through government website(s). Facilitate in ensuring compliance with conditions of loan agreement under PRF, GOI, GOT, and ADB guidelines, procedures, and policies.</li> <li>• Ensure compliance with ADB Safeguard Policy Statement 2009, the environmental and social due diligence frameworks and reports indigenous people’s frameworks, etc. as required, for each of the proposed subprojects.</li> </ul>
<b>D. Asian Development Bank</b>	<ul style="list-style-type: none"> <li>• Facilitate the TIDCL on procurement processing for consultants’ selection under PRF.</li> <li>• Provide guidance to the DOIC and TIDCL on PRF implementation.</li> <li>• Conduct periodic review of the PRF and disclose related information as per ADB’s Access to Information Policy.</li> </ul>

ADB = Asian Development Bank; DEA=Department of Economic Affairs, DOIC = Department of Industries and Commerce, DPR = detailed project report, GOI = Government of India, GOT = Government of Tripura, PRF = project readiness financing, TIDCL = Tripura Industrial Development Corporation Limited.

Source: Asian Development Bank.

## B. Key Persons Involved in Implementation

2. The key persons involved in the implementation of PRF are as follows:

### Executing Agency

Government of Tripura acting through Department of Industries & Commerce

Officer’s Name: Dr. Parshant Kumar Goyal  
 Position: Secretary, Department of Industries & Commerce  
 Telephone No.: +91-9485190606  
 E-mail address: industrytripura@gmail.com  
 Office Address: Room No. 1308, New Secretariat Building, Capital Complex,  
 P.O. Kunjaban, Agartala, Tripura (West)  
 Pin:- 799006

### Implementing Agency

Tripura Industrial Development Corporation Limited

Officer’s Name: Ms. Swapna Debnath  
 Position: Managing Director  
 Telephone No.: +91-6009012704  
 E-mail address: swapnadebnath@rediffmail.com  
 Office Address: Shilpa Nigam Bhawan, Khejur Bagan,  
 P.O. Kunjaban, Agartala, Tripura (West)

**Asian Development Bank**  
Indian Resident Mission

Staff Name: Takeo Konishi  
Position: Country Director  
Telephone No.: +91-11-2410-7200  
E-mail address: [tkonishi@adb.org](mailto:tkonishi@adb.org)

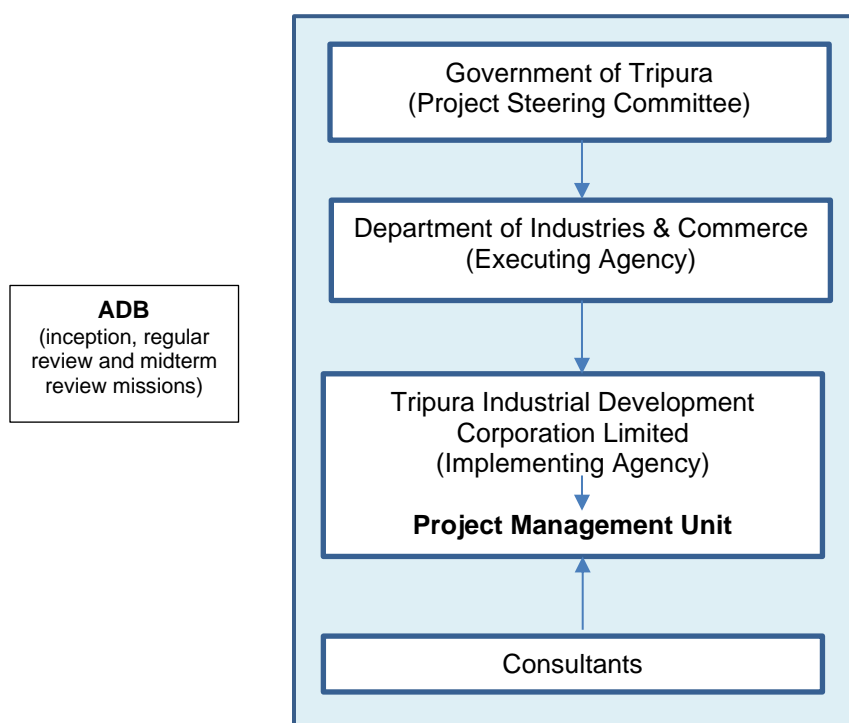
Mission Leader

Staff Name: Soumya Chattopadhyay  
Position: Senior Programs Officer  
Telephone No: 91-11-2410-7200  
E-mail address: [schattopadhyay@adb.org](mailto:schattopadhyay@adb.org)



## C. Project Organization Structure

**Figure 1: Project Organization Structure**



ADB = Asian Development Bank.  
Source: Asian Development Bank.

## III. COSTS AND FINANCING

3. The project is estimated to cost \$2.50 million. The government has requested a regular loan of \$2.0 million from ADB's ordinary capital resources to help finance project preparation and design activities. The State of Tripura will finance the equivalent of \$0.50 million for taxes and duties, PMU operating costs and interest during implementation. Taxes and duties are estimated to be \$0.34 million and will be financed from GOT by cash contribution. ADB will finance the expenditures in relation to consulting services, capacity building, and consultant operating costs. Project costs may be revised during midterm review missions.

4. The loan will have a 15-year term, including a grace period of 3 years; an interest rate determined in accordance with ADB's Flexible Loan Product and other terms and conditions set forth in the draft Loan Agreement and Project Agreement. The method of repayment will be a straight-line amortization.

5. The PRF loan will be used for preparing ensuing project in industrial sector. The project readiness loan will be refinanced under the ensuing loan. The refinancing date is the expected date of effectiveness of the ensuing Loan Agreement and Project Agreement and will generally be adjusted to coincide with the actual effectiveness date of the ensuing Loan Agreement and Project Agreement.

## A. Key Assumptions

6. The following key assumptions underpin the cost estimates and financing plan:

- (i) Exchange rate: INR 74.61 = \$1.00 (as of 23 February 2022).
- (ii) Price contingencies are based on expected cumulative inflation over the implementation period are as follows:

**Table 3: Escalation Rates for Price Contingency Calculation**

Item	2021	2022	2023	Annual Average
Foreign rate of price inflation	1.6%	3.3%	5.0%	1.7%
Domestic rate of price inflation	5.2%	10.0%	14.5%	4.8%

Source: Asian Development Bank estimates.

- (iii) In-kind contributions cannot be easily measured and have not been quantified.

## B. Allocation and Withdrawal of Loan Proceeds

7. The PRF will finance consulting services only, including allocations for workshops and training, studies, field surveys, contingencies and other reimbursable expenses. Local indirect taxes and duties will be financed from the government resources.

**Table 4: Allocation and Withdrawal of PRF Loan Proceeds**

Number	Category	Total Amount Allocated for ADB Financing (\$)	Basis for Withdrawal from the Loan Account
1.	Consulting services	2,000,000	100% of total expenditure <sup>1</sup>
	<b>Total</b>	<b>2,000,000</b>	

ADB = Asian Development Bank, PRF = project readiness financing.

Note:

1. Excluding taxes and duties imposed within the territory of Borrower.

Source: Asian Development Bank.

### C. Detailed Cost Estimates by Expenditure Category and Financier

**Table 5: Detailed Cost Estimates by Expenditure Category and Financier**  
(\$ million)<sup>1</sup>

Item	ADB OCR		GOT		Total Cost <sup>2</sup>	
	Amount	% of Category	Amount	% of Category	Amount	Taxes and Duties
<b>A. Consulting Services</b>						
1 Strategy and investment plan prepared	0.12	80.74%	0.03	19.26%	0.14	0.02
2 Feasibility studies and detailed engineering designs completed	1.53	80.74%	0.37	19.26%	1.90	0.29
3 Institutional capacity of executing agency strengthened	0.15	80.74%	0.04	19.26%	0.19	0.03
<b>Subtotal (A)</b>	<b>1.80</b>	<b>80.74%</b>	<b>0.43</b>	<b>19.26%</b>	<b>2.23</b>	<b>0.34</b>
<b>B. Contingencies<sup>3</sup></b>	0.20	80.74%	0.05	19.26%	0.24	-
<b>C. Financing Charges<sup>4</sup></b>	-	0.0%	0.02	100.0%	0.02	-
<b>Total Project Cost (A+B+C)</b>	<b>2.00</b>	<b>80.00%</b>	<b>0.50</b>	<b>20.00%</b>	<b>2.50</b>	<b>0.34</b>
<b>% Total Project Cost</b>	<b>80%</b>		<b>20%</b>		<b>100%</b>	

ADB = Asian Development Bank, GOT = Government of Tripura, OCR = ordinary capital resources.

Notes:

- Numbers may not sum precisely because of rounding.
- Includes taxes and duties of \$0.34 million to be financed from government resources by cash contribution.
- Physical contingencies computed at 6.0% for consulting services. Price contingencies computed in the range of 1.6%–1.8% on foreign exchange costs and in the range of 4.0%–5.2% on local currency costs; and includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate.
- Includes Interest during implementation for the ordinary capital resources (OCR) loan, computed at the 3-year United States dollar fixed swap rate plus an effective contractual spread of 0.5%. Commitment charges are not applicable on the loan.

Source: Asian Development Bank.

**D. Detailed Cost Estimates by Year**

**Table 6: Detailed Cost Estimates by Year**  
(\$ million)<sup>1</sup>

	<b>Item</b>	<b>Total</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>
<b>A.</b>	<b>Consulting Services<sup>2</sup></b>				
1	Strategy and investment plan prepared	0.14	-	0.14	-
2	Feasibility studies and detailed engineering designs completed	1.90	-	0.95	0.95
3	Institutional capacity of executing agency strengthened	0.19	-	0.09	0.09
	<b>Total Base Cost</b>	<b>2.23</b>	<b>-</b>	<b>1.19</b>	<b>1.04</b>
<b>B.</b>	<b>Contingencies<sup>3</sup></b>	0.24	-	0.12	0.12
<b>C.</b>	<b>Financing Charges<sup>4</sup></b>	0.02	-	0.01	0.02
	<b>Total Project Cost (A+B+C)</b>	<b>2.50</b>	<b>-</b>	<b>1.32</b>	<b>1.18</b>
	<b>% Total Project Cost</b>	<b>100.0%</b>	<b>0.0%</b>	<b>52.7%</b>	<b>47.3%</b>

## Notes:

1. Numbers may not sum precisely because of rounding.

2. Includes taxes and duties of \$0.34 million to be financed from government resources by cash contribution.

3. Physical contingencies computed at 6.0% for consulting services. Price contingencies computed in the range of 1.6%–1.8% on foreign exchange costs and in the range of 4.0%–5.2% on local currency costs; and includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate.

4. Includes Interest during implementation for the ordinary capital resources (OCR) loan, computed at the 3-year United States dollar fixed swap rate plus an effective contractual spread of 0.5%. Commitment charges are not applicable on the loan.

Source: Asian Development Bank.

## E. Contract and Disbursement S-Curve

**Table 7: Contract Awards and Disbursement<sup>1</sup>**

Year	Contract Awards (in \$million)					Disbursements (in \$million)				
	Q1	Q2	Q3	Q4	Total	Q1	Q2	Q3	Q4	Total
2021	-	-	0.12	-	0.12	-	-	-	-	-
2022	1.88	-	-	-	1.88	-	0.28	0.41	0.37	1.06
2023	-	-	-	-	-	0.47	0.47	-	-	0.94
2024	-	-	-	-	-	-	-	-	-	-
	<b>Total Contract Awards</b>				<b>2.00</b>	<b>Total Disbursements</b>				<b>2.00</b>

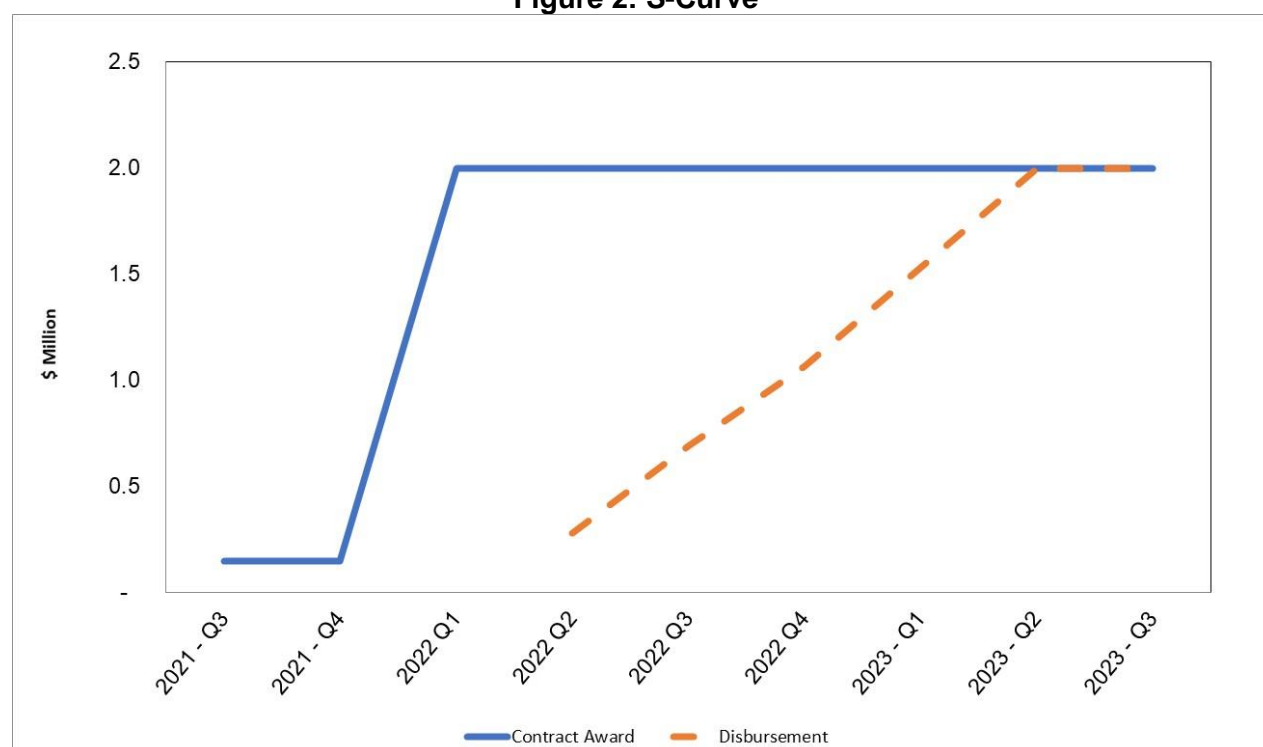
Q = quarter.

Notes:

1. Numbers may not sum precisely because of rounding.

Source: Asian Development Bank.

**Figure 2: S-Curve**



Q = quarter.

## IV. FINANCIAL MANAGEMENT

### A. Financial Management Assessment

8. The Financial Management Assessment (FMA) was conducted in August 2021 in accordance with ADB's Guidelines for Financial Management Assessment, and related technical guidance notes.<sup>1</sup> The FMA considered the financial management (FM) capacity of executing agency (EA)–Department of Industry & Commerce (DOIC), GOT and of the implementing agency (IA)–Tripura Industrial Development Corporation Limited (TIDCL). The FMA reviewed the funds-flow arrangements, governance, staffing, budgeting, internal control procedures, accounting

<sup>1</sup> ADB. 2015. *Financial Management Assessment: Financial Management Technical Guidance Note*. Manila.

infrastructure, financial information and reporting systems, and internal and external auditing arrangements. The purpose of FMA is to ensure adequate FM arrangements are in place for the proposed project.

9. As a corporate entity TIDCL has accounts staff to cater the financial reporting needs by following its own regulatory, Ministry of Corporate Affairs guidelines. TIDCL entity audit reports are issued within 12 months of each fiscal year without any audit qualifications. The pre-mitigation FM risk is assessed **as moderate**. The identified FM risks broadly include the following: (i) both EA and IA do not have prior experience of executing externally aided projects; (ii) accounts staff lack knowledge on ADB FM reporting, audit requirements and disbursement procedures; (iii) timely budget appropriation for PRF may not be available to make payments; and (iv) TIDCL statutory auditor not be able to conduct ADB project audit in timely manner. To mitigate these risks, the project monitoring unit (PMU) established under TIDCL will ensure: (i) engaging a financial management expert to support the project; (ii) ensure requisite fund flow arrangements through annual budget appropriations are in place for timely release of payments and overall funds for the project; (iii) training on ADB FM reporting and audit requirements as per ADB stipulations; (iv) including comprehensive financial information in quarterly progress reports; (v) the PMU will draw experienced resources from other departments having prior knowledge in handling EAP functioning to guide TIDCL staff on ADB matters; and (vi) the project financial statements (PFS) will be audited annually by an independent auditor using standards acceptable to ADB. Detailed summary of financial management and internal control risks and proposed mitigating measures is presented in table 8 below:

**Table 8: Financial Management, Internal Control and Risk Assessment and Mitigation Plan**

Risk Type	Risk Without Mitigation	Risk Description	Mitigation Measure or Action Plan	Time Frame and Responsibility
<b>Inherent Risks</b>				
1. Country-specific risks	M	The financial reporting standard framework and capacity in GOI owned corporate sector functioning have adequate governance mechanism in place. India has a strong accounting profession although most levels of the government still use a cash basis of accounting.	TIDCL prepares accrual-based entity financial statements for corporate reporting. To ensure simplicity and from ease in preparation perspective, ADB's project financial statements (PFS), will be cash based under the project.	TIDCL first APFS within 6 months from close of relevant fiscal year.
2. Entity-specific risks (TIDCL)	M	There are strong institutional mechanism and legislative framework for budgeting, accounting and	Not applicable	Not applicable.

Risk Type	Risk Without Mitigation	Risk Description	Mitigation Measure or Action Plan	Time Frame and Responsibility
		auditing in a time-bound manner		
3. Implementing Agency	M	TIDCL is a corporate entity to implement the ADB project. It has no prior experience in managing externally financed projects with ADB to deal with disbursements and ADB's financial reporting requirements.	TIDCL has experience in financial reporting compliance from Ministry of Corporate Affairs reporting perspective. Knowledge gap on ADB's requirements can be strengthened as outlined in sections below.	Annual basis by TIDCL/ADB.
<b>Overall Inherent Risk</b>	<b>M</b>			
<b>Control Risks – TIDCL (Implementing Agency)</b>				
4. Funds flow and Budgeting	M	TIDCL maintains adequate treasury balances to ensure its operations are smooth. The PRF will have very limited number of contracts to execute for which provision of separate budget and payments therefrom will not be an issue as the project will follow reimbursement mode of disbursement.	<ul style="list-style-type: none"> <li>The PMU established will ensure annual budgets for the PRF loan comprising both ADB and counterpart shares are allocated in a timely manner.</li> <li>During implementation PMU capacity will be assessed to ensure robust budgeting process for making payments to contractors, consultants are adequate from ensuing loan perspective.</li> <li>For smooth flow of funds into the PRF, a separate bank account for the project before loan negotiations. DOIC will transfer funds to TIDCL for the project on a quarterly basis based on the actual fund requirements.</li> </ul>	<p>Annual basis by PMU and TIDCL.</p> <p>Immediately after loan effectiveness.</p>
5. Staffing and Capacity	M	Absence of dedicated FM staff at the new PMU may cause some concern on day-to-day financial monitoring.	<ul style="list-style-type: none"> <li>TIDCL has committed to deploy its own trained staff to oversee project FM and reporting requirements administratively through the PMU. For shortfall in day-to-day accounting matters at the PMU, a consultant will also be supplemented with ADB</li> </ul>	DOIC/ TIDCL/ ADB by loan effectiveness.





Risk Type	Risk Without Mitigation	Risk Description	Mitigation Measure or Action Plan	Time Frame and Responsibility
7. Internal controls and internal audit function.	M	The statutory audit report on internal financial controls are unqualified. There are no untoward comments on IA function in statutory audit report. Few observations highlighted in audit report on safeguard of assets does not pose a serious challenge to PRF functioning.	<ul style="list-style-type: none"> <li>• An external firm of chartered accountants to carry out IA function is already in place. Its scope will be widened to recommend strengthening internal control environment at TIDCL for gaps identified if any and report on steps taken by TIDCL to safeguard its assets.</li> <li>• A comprehensive financial management (FM) manual developed will include adequate steps taken by TIDCL on record keeping and safeguard of its assets.</li> <li>• The financial management expert of PDMC will work through to suggest ways to improve the existing recording keeping system of fixed assets.</li> <li>• Status of asset situation along with actions taken on IA findings will be reported in quarterly report submissions to ADB.</li> </ul>	<p>TIDCL/PMU to prepare FM manual within 12 months from ADB loan effectiveness.</p> <p>ADB to provide training on FM and disbursement matters immediately after loan effectiveness.</p> <p>PMU to update IA on coverage through QPRs.</p>
8. External audit (Entity level)	M	External audit of TIDCL is performed by an empaneled firm of chartered accountants, who is duly appointed by office of CAG of India in accordance with statutory requirements. Submission of audited entity financial statements for FY 2018–19 and FY 2019–20 were beyond stipulated 6 months as per statutory norms but	<ul style="list-style-type: none"> <li>• PMU to update audited entity financial statements (AEFS) submission status to ADB within 3 months of close of fiscal year. Delays anticipated if any, will allow ADB to discuss with CAG (for appointment delays) and TIDCL to expedite progress of audit or explore other suitable measures and alternatives.</li> <li>• The AEFS will be submitted to ADB within 1 month after the approval of the audited entity financial statements by</li> </ul>	PMU and TIDCL on annual basis by end of FY 2023–24.

Risk Type	Risk Without Mitigation	Risk Description	Mitigation Measure or Action Plan	Time Frame and Responsibility
		within 1 year from end of relevant fiscal year.	<p>the approving authority. Statutory auditors will be sensitized on (a) ADB's financial reporting requirements and (b) its linkage with ADB FM rating mechanism where full marks will be possible when AEFS submission is within 12 months from end of relevant fiscal year.</p> <ul style="list-style-type: none"> <li>• Ensure all entity level income and expenditure related transactions are recorded by following accrual norms of accounting and adequate steps are taken to resolve audit observations over safeguard of assets.</li> <li>• For consistent ADB's FM rating, TIDCL to ensure an unqualified audit report in English language status is maintained and AEFS is submitted immediately after its approval not later than 1 month. Overall submission of AEFS not to exceed beyond 12 months of relevant fiscal year.</li> </ul>	
9. External audit (project level)	S	Entity audits are generally completed beyond 6 month of close of fiscal year. There is a risk that the audit of the PFS may not be finalized within six months after end of the fiscal year as required by ADB in case same auditors are chosen for the audit. Moreover, both TIDCL and its statutory auditors do not have the experience to conduct project audits in accordance with ADB's requirements.	<ul style="list-style-type: none"> <li>• PMU with support from engaged consultants will prepare the annual PFS and present it to its statutory auditors for audit within 3 months after the end of the fiscal year to ensure that APFS is submitted to ADB within 6 months after the end of each fiscal year.</li> <li>• Engage the same statutory auditor of TIDCL for audit of PRF accounts who will issue both audit report and a management letter separately to report on internal control deficiencies observed</li> </ul>	TIDCL and PMU on engagement of PRF auditor within 90 days of loan effectiveness.

Risk Type	Risk Without Mitigation	Risk Description	Mitigation Measure or Action Plan	Time Frame and Responsibility
			<p>during the course of audit if any.</p> <ul style="list-style-type: none"> <li>In case delays are sensed for audit by existing statutory auditors, TIDCL will seek alternate arrangements by June 22 to engage independent auditors to audit the PFS for the duration of this PRF (terms of reference at Appendix 3), in accordance with agreed scope and terms of reference (TOR) finalized between ADB , DEA and CAG of India.</li> </ul>	
10. Monitoring, reporting and Information systems	M	<p>The present accounting software used by TIDCL (in tally) are not accustomed to generate ADB's PFS. The present accounting software used by TIDCL (through tally) will require customization to generate PRF project specific reports.</p>	<ul style="list-style-type: none"> <li>PRF will require to report only on consulting services. Reporting through quarterly progress reports will be established to report status of disbursements as per category of financing agreed between ADB and GOI with details on the status of loan utilization, counterpart funds, contract award, and disbursements, using the template of quarterly project progress report (Appendix 4).</li> <li>Identify system requirement needs to support and adjust record accounting information related to PFS within the existing tally system to customize an efficient preparation of PFS which will mainly comprise expenditure on consulting services.</li> <li>The PMU to make use of ADB financial management systems comprising client portal for disbursements (CPD), and loan financial information system (LFIS)</li> </ul>	PMU within 30 days after the end of each quarter.

Risk Type	Risk Without Mitigation	Risk Description	Mitigation Measure or Action Plan	Time Frame and Responsibility
			for reconciling ADB disbursement records with PRF project records.	
<b>Overall Control Risk</b>	<b>M</b>			
<b>Overall Risk</b>	<b>M</b>			

ADB = Asian Development Bank, AEFS = audited entity financial statements, APFS = audited project financial statements, CAG = Comptroller and Auditor General, DOIC = Department of Industries and Commerce, EA = executing agency, FY = fiscal year, M = moderate, PAM = project administration manual, PMU = project management unit, PFS = project financial statements, S = substantial, TIDCL = Tripura Industrial Development Corporation Limited, TOR = terms of reference.

Source: Asian Development Bank.

## B. Disbursement

10. The TIDCL will disburse the project readiness financing loan proceeds following the ADB *Loan Disbursement Handbook* (2017, as amended from time to time), and detailed arrangements agreed between the government and ADB. Online training for project staff on disbursement policies and procedures is available.<sup>2</sup> Project staff is encouraged to avail of this training to help ensure efficient disbursement and fiduciary control.

11. **Disbursement Procedures.** The PRF will follow reimbursement method of disbursements using full documentation method. The project may also use statement of expenditure (SOE) procedures, requiring no submission of supporting documents to claim disbursements from ADB.<sup>3</sup> In case SOE procedure for reimbursement of eligible expenditures are used, SOE ceiling of US\$100,000 shall be used on individual payments without taking into account ADB's share of expenditure. The amount paid should not be split to enable the claims to circumvent the SOE ceiling. Supporting documents and records for the expenditures claimed under the SOE procedures (if used) should be maintained and made readily available for review by ADB's disbursement and review missions or upon ADB's request for submission of supporting documents on a sampling basis and for carrying out independent audits by independent project auditors.

12. ADB's advance fund procedure or direct payment procedures are not envisaged unless financial resources are found inadequate to meet project expenditure needs. Direct payment procedures are subject to approval by the borrower.

13. The PMU established at the TIDCL will be led by a Project Director who will be the authorized signatory for withdrawal applications. The PMU will include qualified accountants who will be responsible for (i) collecting supporting documents; (ii) preparing the withdrawal applications for signature by the Project Director; and (iii) uploading the draft withdrawal

<sup>2</sup> Disbursement eLearning. [http://wpqr4.adb.org/disbursement\\_elearning](http://wpqr4.adb.org/disbursement_elearning).

<sup>3</sup> ADB may approve the SOE procedure based on an assessment of adequate administrative and accounting capacity of TIDCL taking into account quality submission of withdrawal applications and appropriate auditing arrangements as stipulated in ADB project agreement. Technical inputs will be sought from INRM Disbursement and FM units on the disbursement and financial management areas, respectively.

applications on ADB's Client Portal for Disbursements<sup>4</sup> system to Controller of Aid Accounts and Audit<sup>5</sup> for finalization and approval.

14. Before submitting the first withdrawal application, the government should submit to ADB sufficient evidence of the authority of the person who will sign the withdrawal applications on behalf of the government, together with the authenticated specimen signatures of each authorized person. The minimum value per withdrawal application is stipulated in ADB's *Loan Disbursement Handbook*. Individual payments below such amount should be paid by the TIDCL; and subsequently claimed from ADB through reimbursement, unless otherwise accepted by ADB. The borrower should ensure sufficient category and contract balances before requesting disbursements. Use of ADB's Client Portal for Disbursements system is for submission of withdrawal applications to ADB and will be considered mandatory.

15. No further disbursements will be made from the PRF account upon refinancing under an ensuing loan. The PRF loan amount and accrued financing charges are paid out under the PRF cost category of the ensuing loan that will refinance the PRF loan. Provided the following costs are eligible expenditures, the ensuing loan will finance (i) costs incurred under PRF that have not yet been paid from the PRF account by the refinancing date; (ii) costs for activities initiated under PRF and continuing beyond the refinancing date; and (iii) costs incurred during PRF implementation but ineligible under PRF.

### **C. Accounting and Auditing**

16. The PMU will maintain, or cause to be maintained, separate books and records by funding source for all expenditures incurred on consulting services for the PRF. Separate bank accounts can be established to distinguish project related expenses and facilitate reconciliation with TIDCL's various others activities. ADB expects audited financial statements for its project prepared in accordance with International Public Sector Accounting Standard (IPSAS) or accounting standards prescribed by nationally constituted professional accounting organization.<sup>6</sup> For simplicity the PRF will follow cash based accounting system to prepare ADB's project financial statements (PFS) using all relevant templates meant for entities following cash-based accounting system provided in the terms of reference (TOR) of ADB assisted projects agreed with borrower, DEA and supreme audit institution, CAG of India.

17. The project audit will strictly be in accordance with audit TOR scope covering both ADB and counterpart share of expenditure incurred on the project. The auditor will use the audit report suggested template Annexure 13 of the TOR. Accordingly, the expected disclosures in the APFS will cover and include the following:

- (i) Statement of cash receipts (by financing source) and payments (by expenditure category) for the current reporting period, past reporting period, and cumulative to date.
- (ii) SOE by category and financier for the current year and total cost for the prior year.
- (iii) Statement of disbursements, ADB fund claimed during the year (by disbursement method), total expenditure claimed for the current reporting period, past reporting

<sup>4</sup> ADB's Client Portal for Disbursements system facilitates online submission of withdrawal applications to ADB, resulting in faster disbursement. The forms to be completed by the borrower are available at ADB. [Guide to the Client Portal for Disbursements](#).

<sup>5</sup> Aid Accounts and Audit Division, Department of Economic Affairs, Government of India.

<sup>6</sup> India's professional accounting body is Institute of Chartered Accountants of India (ICAI) which provides overall guidance on preparation of financial statements under both cash based and accrual-based accounting system for urban local bodies and all other entities.

- period, and cumulative to date. The statement should be duly supported with withdrawal application (WA) wise details that duly reconciles with ADB disbursement records.
- (iv) The notes to the financial statements including significant accounting policies as appropriate. These should include key financial and non-financial information relevant to project along with necessary explanatory notes as appropriate, details of funds received during the year from GOT and ADB, reconciliation of imprest account and bank statement in case ADB advance procedures have been availed.
  - (v) Statement of disbursements claimed under SOE procedures during reporting period by giving reference to withdrawal application numbers, when such procedures have been used.
  - (vi) A statement of appropriation vs. actual expenditures. Any significant variances must be duly explained.
  - (vii) SOE by output components for the current reporting period, past reporting period and cumulative to date.
  - (viii) Management assertion letter from project management issued to the auditor.
  - (ix) Management letter issued by the auditor on deficiencies of internal controls found in the project audit, if any. Alternately where no such deficiencies have been found, a statement in auditors letter head that no internal control deficiencies have been found.

18. Auditor for the PFS shall be an independent auditor, which can be either the existing statutory auditor of TIDCL appointed in accordance with companies act requirement by the CAG India or any private independent chartered accountant firm/individual having certificate of practice and registered with Institute of Chartered Accountant of India (ICAI).<sup>7</sup> Scope of audit shall be strictly in accordance with the approved TOR document. Audit report issued shall be as per audit-report template provided in Annexure 13 of TOR as guidance. Additionally, an auditor is required to issue a management letter (ML) on internal control deficiencies that have been identified during the audit process, if any. In case no internal control deficiencies have been found, a statement in auditor's letter head that "no deficiencies have been found" during the audit period will need to be issued. To facilitate timely-audit, the PMU shall ensure draft PFS be ready within 90 days of close of the fiscal year during project-implementation period every year. In case delays are anticipated to commence audit by the TIDCL statutory auditor, the PMU will proceed to engage reputable private independent chartered accountant firms for audit of project accounts. The auditor's opinion in report shall be in English with APFS shall be submitted to ADB within 6 months of close of fiscal year. Audit report must include an overall opinion and additional specific opinions on ADB loan proceeds, verification of adequate supporting documents where SOE has been used, use of ADB advance procedures and a management letter.<sup>8</sup> Prior to engagement of an auditor other than TIDCL statutory auditor, ADB will assess the independence of the auditor.

19. In addition to annual project financial statements, TIDCL shall provide annual entity financial statements (AEFS) prepared in accordance with national reporting standards prevalent in the country and audited in accordance with procedures followed as per regulatory norms applicable to TIDCL.

20. GOT shall enable ADB, upon ADB's request, to discuss the PFS with their auditors appointed by the PMU, and shall authorize and require any representative of such auditors to

<sup>7</sup> In case a private auditor is to be engaged to overcome audit delays, a prior approval in form of NOC from ADB will be necessary.

<sup>8</sup> Opinion on verification of supporting documents in case SOE procedures and use of ADB advance procedures have been used or availed will be necessary when these procedures have been used during the year. Audit report templates are included in the TOR.

participate in any such discussions requested by ADB. This is provided that such discussions shall be conducted on in presence of an authorized officer of the state having sufficient understanding on audit and accounting related matters, unless the state shall otherwise agree.

21. ADB has made the GOT, DOIC, and TIDCL aware on ADB's approach to delayed submission of APFS and the requirements for satisfactory and acceptable quality of the APFS.<sup>9</sup> ADB reserves the right to require a change in the auditor (in a manner consistent with the constitution of the borrower) or for additional support to be provided to the auditor, if the audits required are not conducted in a manner satisfactory to ADB or if the audits are substantially delayed. ADB reserves the right to verify the financial accounts to confirm that its policies and procedures were followed when the share of ADB's financing was used.

#### **D. Public Disclosure**

22. Public disclosure of the audited project financial statements, including the auditor's opinion on the project financial statements, will be guided by ADB's Access to Information Policy 2018.<sup>10</sup> After the review, ADB will disclose the project financial statements and the opinion of the auditors on the project financial statements no later than 14 days of ADB's confirmation of their acceptability by posting them on ADB's website. The management letter, additional auditor's opinions, and audited entity financial statements will not be disclosed

### **V. PROCUREMENT AND CONSULTING SERVICES**

23. The procurement risk is classified as category B as there is no pilot testing activity being financed under this PRF loan. However, as part of the procurement arrangement assessment exercise, the agency's preliminary procurement assessment was conducted in August 2021. Based on the assessment findings, it has been observed that TIDCL does not have any prior experience of working with ADB or any other multilateral development banks, but TIDCL is carrying out procurement for consultants and other services for projects funded by state/ central government. TIDCL has established procurement systems like procurement unit, procurement committees for evaluation and approval of proposals and follow manual for Procurement of Consultancy & Other Services, which focuses on efficient and realistic planning of the entire procurement process to ensure timely completion of the procurement cycle.<sup>11</sup> The average value of procurement of consulting services carried out by TIDCL in last one year (September 2020 to August 2021) is about \$20,000.

24. TIDCL has already initiated the recruitment of consultants in accordance with ADB guidelines. Upon approval of advance contracting under the proposed PRF by ADB, the TIDCL

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<sup>9</sup> ADB's approach and procedures regarding delayed submission of audited project financial statements:

- (i) When ADB does not receive the audited project financial statements by the due date, ADB will write to the executing agency to inform it that (a) the audit documents are overdue; and (b) if they are not received within the next 6 months, requests for new contract awards and disbursement such as new replenishment of advance accounts, processing of new reimbursement, and issuance of new commitment letters will not be processed.
- (ii) When ADB does not receive the audited project financial statements within 6 months after the due date, ADB will withhold processing of requests for new contract awards and disbursement such as new replenishment of advance accounts, processing of new reimbursement, and issuance of new commitment letters. ADB will inform the executing agency (a) of ADB's actions and (b) that the loan may be suspended if the audit documents are not received within the next 6 months.
- (iii) When ADB does not receive the audited project financial statements within 12 months after the due date, ADB may suspend the loan.

<sup>10</sup> ADB AIP: 2018 paragraph 15(v).

<sup>11</sup> Government of Tripura, Finance Department. 2018. [Manual for Procurement of Consultancy & Other Services](#).

is efficiently conducting recruitment of consulting firm following ADB's Procurement Policy, 2017 and Procurement Regulations, 2017 (as amended from time to time), which demonstrate adequate capacity of the implementing agency to recruit consulting services. The consultants recruited under PRF will further support TIDCL and enhance their procurement capacity to meet ADB's procurement requirements.<sup>12</sup> If required, ADB will consider providing immediate and mandatory training for procurement capacity building to TIDCL staff.

#### **A. Advance Contracting and Retroactive Financing**

25. All advance contracting will follow ADB Procurement Policy, 2017 and Procurement Regulations, 2017 (as amended from time to time) and its associated staff instructions. The issuance of consulting services recruitment notice under advance contracting will be subject to ADB approval. ADB has advised the borrower and the DOIC, GOT that approval of advance contracting does not commit ADB to finance the PRF.

26. **Advance contracting.** Advance contracting is requested for procurement of consulting services. The various steps would include preparation of tender documents, tendering process and bid evaluation for recruitment of the consulting firm for the project design and management consultants (PDMC) and five (5) individual consultants.

27. **Retroactive financing.** Withdrawals from the loan account may be made to finance eligible expenditures incurred under the PRF before the effective date, but not earlier than 12 months before the date of the loan agreement for this PRF, in connection with items to be retroactively financed, subject to a maximum amount equivalent to 20% of the loan amount.

#### **B. Procurement of Consulting Services**

28. One consulting firm and five (5) individual consultants are envisaged under the PRF. TIDCL is in process of completing the selection process of four (4) individual consultants and is in the process of selecting consulting firm for the PDMC following the ADB Procurement Policy, 2017 and Procurement Regulations, 2017 (as amended from time to time) and its associated staff instructions. The PDMC consulting firm will be procured on quality- and cost-based selection method with quality-cost ratio of 80:20, to ensure high quality of technical outputs under PRF.

#### **C. Procurement of Goods and Civil Works**

29. Procurement of Goods, Works and Non-consulting Services/ pilot-testing is not envisaged under the proposed PRF.

#### **D. Procurement Plan**

30. The procurement plan is at Appendix 1.

#### **E. Consultant's Terms of Reference**

31. The TOR for expected outputs of the consulting services package (PDMC consulting firm)

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<sup>12</sup> ADB Procurement Policy–Goods, Works, Nonconsulting and Consulting Services (2017, as amended from time to time); Procurement Regulations for ADB Borrowers–Goods, Works, Nonconsulting and Consulting Services (2017, as amended from time to time); accompanying Guidance Note(s) on Procurement (June 2018, as amended from time to time); latest applicable standard bidding document(s)–SBD(s); etc.



recruited by the TIDCL has been agreed with ADB. PDMC will assist TIDCL in preparation of feasibility studies and detailed project reports of identified subprojects; undertaking project procurement risk assessment and preparation of Strategic Procurement Plan, Contract Management Plans, safeguards and gender documents, bidding documents, and procurement processing support; and technical capacity building (on-the-job training); etc. The duration of assignment for the PDMC consulting firm would be 12 months with 130 person-months inputs of key experts and 230 person-months inputs of non-key experts. PDMC is expected to be mobilized from March 2022 (will be further confirmed during contract negotiation process). Individual experts would be mobilized and will be providing support in preparation of: (i) strategy to promote Tripura as an aggregation hub for evacuation through Chattogram Port (Bangladesh) as well as regional distribution; (ii) industrial strategy, action plan, and investment plan to develop industrial infrastructure; (iii) project packaging, i.e., prioritization of subprojects through a prioritization framework/ subproject selection criteria and pre-feasibility studies; (iv) institutional development plan with initiation of capacity development; and (v) skill adequacy requirements with respect to emerging industries and technology, and action plan to meet the skills gap. The terms of reference for all consulting services are at Appendix 2.

## VI. SAFEGUARDS

32. The 15 industrial estates are operational and are in the vicinity of urban and peri-urban areas. The project will avoid subprojects in, or close to, national parks, wildlife sanctuaries, or any other environmentally sensitive areas. The environmental impacts under the selected subprojects may not be major and are expected to be minimized to an acceptable level through mitigation measures. The safeguard category of ensuing project is expected to be B for environment, which will be firmed-up during PRF implementation.

33. The safeguard category of ensuing project is expected to be B for involuntary resettlement, (to be firmed-up during PRF implementation), as the sub-projects are less likely to require requiring significant resettlement and land acquisition. Resettlement plans or due diligence reports will be prepared by the consulting firm and will be in line with engineering designs prepared under the PRF project. The Indigenous Peoples' category is expected to be C as sub-projects are likely in urban/peri-urban area so no impact on Indigenous Peoples is envisaged (to be firmed-up during PRF implementation). A grievance redressal mechanism would be established at the PMU for complaints arising due to PRF activities if any.

34. **Gender Equality and Social Inclusion (GESI).** GESI issues and corresponding actions will be identified during PRF implementation and will be included in the ensuing project, Gender categorization of the ensuing project will be finalized by the gender specialists during project due diligence and project preparation, when information on the exact nature and extent of sub projects/works and proposed actions/measures is available.

35. **Prohibited investment activities.** Pursuant to ADB's Safeguard Policy Statement (2009), ADB funds may not be applied to the activities described on the ADB Prohibited Investment Activities List set forth in Appendix 5 of the Safeguard Policy Statement.

## VII. PERFORMANCE MONITORING

### A. Monitoring

36. **Project readiness financing project performance monitoring.** The DOIC will monitor PRF project performance semiannually and provide consolidated reports to ADB. These reports

will include: (i) each activity's progress measured against the implementation schedule; (ii) key implementation issues and solutions; and (iii) an updated implementation plan. To ensure PRF project continues to be both viable and sustainable, the DOIC should adequately review PRF project financial statements and the associated auditor's report. In the event that an ensuring loan is not approved, the DOIC will submit a project completion report to represent the performance of completed PRF, to ADB within 6 months of physical completion of PRF project.<sup>13</sup>

37. **Compliance monitoring.** The DOIC will monitor compliance of loan covenants, including that relating to policy, legal, financial, economic, environmental, and others and ensure compliance with loan covenants and assurances. All issues, if any, will be updated in quarterly progress reports together with remedial actions. ADB review missions will also monitor the status of compliance with loan covenants and raise the noncompliance issues with the DOIC and agree on remedial action.

## B. Reporting

38. The DOIC will provide ADB with:
- (i) quarterly progress reports on the PRF project in a format consistent with ADB's project performance reporting system (Appendix 4);
  - (ii) reports prepared by the consultants under the PRF project;
  - (iii) consolidated annual reports, including (a) progress achieved by output measured against the performance targets, (b) key implementation issues and solutions, and (c) an updated implementation plan for the next 12 months;<sup>14</sup> and
  - (iv) PRF project accounts, and auditors' report thereon.

## VIII. ANTICORRUPTION POLICY

39. The Government of India, the GOT, the DOIC, and the TIDCL are advised of ADB's Anticorruption Policy (1998, as amended to date). Consistent with its commitment to good governance, accountability, and transparency, implementation of the project shall adhere to ADB's Anticorruption Policy. ADB reserves the right to investigate, directly or through its agents, any violations of the Anticorruption Policy relating to the PRF project following ADB's Integrity Principles and Guidelines.<sup>15</sup> In this regard, investigation of government officials, if any, would be requested by ADB to be undertaken by the government. All contracts financed by ADB will include provisions specifying ADB's right to audit and examine the records and accounts of the executing agency and all PRF project contractors, suppliers, consultants, and other service providers. This includes the examination of project outputs, assets, and all other information that may be considered relevant for audit or inspection by ADB regardless of project completion, termination, or cancellation. Firms or individuals on ADB's anticorruption debarment list are ineligible to participate in activities that are financed, supported, or administered by ADB; and may not be awarded any contracts under the PRF project.<sup>16</sup> To support these efforts, relevant provisions of ADB's Anticorruption Policy are included in the project readiness loan agreement and any bidding documents under the PRF project.

<sup>13</sup> ADB. 2018. Project Completion Report for Sovereign Operations. *Project Administration Instructions*. PAI 6.07A. Manila.

<sup>14</sup> The regional departments will present the performance of the completed PRF in the project completion report of the ensuing loan.

<sup>15</sup> ADB. 2015. *Integrity Principles and Guidelines* (2015). Manila.

<sup>16</sup> ADB. [Anticorruption and Integrity](#).

## **IX. ACCOUNTABILITY MECHANISM**

40. People who are, or may in the future be, adversely affected by the PRF project may submit complaints to ADB's Accountability Mechanism. The Accountability Mechanism provides an independent forum and process whereby people adversely affected by ADB-assisted PRF projects can voice and seek a resolution for their problems, as well as report alleged violations of ADB's operational policies and procedures. Before submitting a complaint to the Accountability Mechanism, affected people should make an effort in good faith to solve their problems by working with the concerned ADB operations department. Only after doing that, and if they are still dissatisfied, should they approach the Accountability Mechanism.<sup>17</sup>

## **X. RECORD OF CHANGES TO THE PROJECT ADMINISTRATION MANUAL**

41. All revisions and/or updates during implementation of project readiness loan should be retained in this section to provide a chronological history of changes to implemented arrangements recorded in the project administration manual, including a revision to contract awards and disbursement S-curves.

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<sup>17</sup> ADB. [Accountability Mechanism](#).

## Appendix 1

## Procurement Plan

## Basic Data

<b>Project Name:</b> Project Readiness Financing Loan for Infrastructure Development of Industrial Estates in Tripura		
<b>Project Number:</b> 55207-001	<b>Approval Number:</b>	
<b>Country:</b> India	<b>Executing Agency:</b> Government of Tripura acting through its Department of Industries and Commerce	
<b>Project Procurement Classification:</b>	<b>Implementing Agency:</b> Tripura Industrial Development Corporation Limited	
<b>Project Procurement Risk:</b> B		
<b>Project Financing Amount:</b> US\$ 2,500,000 <b>ADB Financing:</b> US\$ 2,000,000 <b>Financing (ADB Administered):</b> <b>Non-ADB Financing:</b> US\$ 500,000	<b>Project Closing Date:</b> 30 September 2023	
<b>Date of First Procurement Plan:</b> 12 Jul 2021	<b>Date of this Procurement Plan:</b> 12 Jul 2021	
<b>Procurement Plan Duration (in months):</b> 18	<b>Advance Contracting:</b> Yes	<b>e-GP:</b> No

## A. Methods, Review and Procurement Plan

Except as the Asian Development Bank (ADB) may otherwise agree, the following methods shall apply to procurement of goods, works, and consulting services.

Consulting Services	
Method	Comments
Quality- and Cost-Based Selection for Consulting Firm	Prior review (FTP 80:20)
Competitive for Individual Consultant Selection	Prior Review

## B. Lists of Active Procurement Packages (Contracts)

The following table lists goods, works, and consulting services contracts for which the procurement activity is either ongoing or expected to commence within the procurement plan duration.

Goods and Works							
Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments

Consulting Services							
Package Number	General Description	Estimated Value (in US\$)	Selection Method	Review	Type of Proposal	Advertisement Date (quarter/year)	Comments
PRF-TRI/TIDCL/PDMC-01	PDMC consulting firm	1,742,000	QCBS	Prior	FTP	Q3 / 2021	Type: Firm  Assignment: National  Quality-Cost Ratio: 80:20  Advance Contracting: Yes
PRF-TRI/TIDCL/IC- 01	Industrial Strategy and Planning Expert (Project	54,100	Individual Consultant Selection	Prior		Q2 / 2021	Type: Individual  Assignment: National

	Manager)						Expertise: Industrial Strategy and Planning  Advance Contracting: Yes
PRF-TRI/TIDCL/ IC-02	Infrastructure Expert	30,900	Individual Consultant Selection	Prior		Q2 / 2021	Type: Individual  Assignment: National  Expertise: Industrial Infrastructure  Advance Contracting: Yes
PRF-TRI/TIDCL/ IC-03	Investment Planning and Promotion Expert	30,900	Individual Consultant Selection	Prior		Q2 / 2021	Type: Individual  Assignment: National  Expertise: Investment Planning and Promotion  Advance Contracting: Yes
PRF-TRI/TIDCL/ IC-04	Policy and Institutional Development Expert	35,100	Individual Consultant Selection	Prior		Q2 / 2021	Type: Individual  Assignment: National  Expertise: Policy and Institutional development  Advance Contracting: Yes
PRF-TRI/TIDCL/ IC-05	Skills & Capacity Development Expert	26,500	Individual Consultant Selection	Prior		Q4 / 2021	Type: Individual  Assignment: National  Expertise: Skills & Capacity Development  Advance Contracting: Yes

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### C. List of Indicative Packages (Contracts) Required Under the Project

The following table lists goods, works, and consulting services contracts for which procurement activity is expected to commence beyond the procurement plan duration and over the life of the project (i.e., those expected beyond the current procurement plan duration).

#### Goods and Works

Package Number	General Description	Estimated Value (in US\$)	Procurement Method	Review	Bidding Procedure	Comments

#### Consulting Services

Package Number	General Description	Estimated Value (in US\$)	Selection Method	Review	Type of Proposal	Comments

**Outline Terms of Reference (TOR) for inviting the Expression of Interest (EOI) for the Recruitment of Consulting Firm (National) as Project Design and Management Consultant (PDMC) for India: Project Readiness Financing Loan for Infrastructure Development of Industrial Estates in Tripura (ADB Project Number 55207-001)**

**I. PURPOSE AND OBJECTIVES**

1. The Government of Tripura (GOT), has applied for financial assistance through the Department of Economic Affairs, Ministry of Finance, Government of India under the project readiness financing (PRF) facility from the Asian Development Bank (ADB) in the form of a “loan” for improving readiness of integrated industrial infrastructure development projects in and around 15 industrial estates in six (6) districts of Tripura.

2. The key objectives towards preparation of investment-ready infrastructure projects through PRF are: (i) industrial strategic planning, infrastructure planning, investment planning and promotion support, and prioritization of subprojects; (ii) facilitate improved project readiness, through feasibility studies, detailed project reports (DPRs), and other project preparation activities; and (iii) strengthen industrial development planning and processing framework/ mechanism, including institutional capacity development of relevant GOT agencies, to plan, develop, implement, and manage projects, and sustainability of investments.

**II. BACKGROUND AND RATIONALE**

3. Tripura is primarily an agrarian State, with about 43% of the population depending on agriculture and allied activities. The state has favorable climatic conditions for cultivation of various fruit and horticultural crops. It is rich in natural resources such as natural gas, rubber, tea and medicinal plants. In addition to the natural resources acts as a gateway between North east India and Bangladesh, with an 856-km international border with Bangladesh, offering good potential for international trade. The resource base is indicative of the fact that over 47% of its GDP is accounted by the primary sector. The tertiary sector accounts for approximately 40% increasing at a CAGR of 12% (2011–2012 to 2016–2017). The remaining 13% is accounted for by the manufacturing sector, of which only 25% is manufacturing and remaining 75% is utilities and construction.

4. The need to promote manufacturing has been identified by many fora. Currently rubber and tea-based industries form the prime share of the industrial base in the state, while cement and steel-based industries have recently witnessed some developments. The state has established rubber, food and bamboo parks to support existing and potential investors. It is felt that cluster development has the potential to promote manufacturing growth and accordingly, a number of industrial estates, growth centers and an export promotion industrial park have already been established to provide impetus for manufacturing. Tripura Industrial Development Corporation Limited (TIDCL) has established 15 industrial estates with the objective of industrial promotion, entrepreneurship development, and overall employment generation.<sup>18</sup> The Tripura Industrial Investment Promotion Incentives Scheme, 2017 under state industrial policy, was amended as Tripura Industrial Investment Promotion Incentive (Amendment) Scheme, 2017, to

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<sup>18</sup> List of Industrial Estates in Tripura. <https://tidc.tripura.gov.in/industrial-infrastructure>.

also add thrust sector industries to cover tourism industry activities (which also includes hospitals, considering potential of medical tourism).<sup>19</sup>

5. While, the Bodhjunnagar and R. K. Nagar near Agartala are two of the larger industrial estates/ areas that have been provided with basic infrastructure facilities by TIDCL, based on a gap analysis of all the 15 industrial estates by TIDCL, the infrastructure components to be further covered are expected to be such as, road connectivity, boundary walls, electric connectivity, water supply network, gas lines, industrial sheds, solid waste management plants, effluent treatment plants, telecom network, CCTV cameras and private security; and other administrative facilities like, guest house, fire station, police station, etc. In addition, opportunities for improved industrial development in Tripura through integrated approach for holistic planning and design stages of work under PRF project preparation need to be considered for integration with upcoming proposals such as multi-modal logistic parks, transportation and trade facilitation etc. at various locations in Tripura, and as identified in North East Economic Corridor (NEEC) Study Report. The NEEC Study recommended interventions to boost and transform economic growth in Tripura cover integrated spatial and industrial development activities at growth nodes or centers for urban/ industrial development, major roads (international/ gateway connectivity), priority industrial processing sectors (also included, service sector industries of IT/ hospitality and tourism, including medical tourism), pre-processing/ primary collection center and aggregation point, processing units, integrated pack house/ cold storage, integrated industrial parks, border centers integrated with land transport gateway/ ICP, etc.

### III. SCOPE OF THE PRF PROJECT

6. The PRF facility will support the state government in: (i) integrated/ holistic planning, preparation of industrial strategy, infrastructure planning, investment planning and promotion, developing project packaging with prioritized subprojects, identification of anchor investors, and institutional review and preparation for outlining institutional and/or sector reform actions, including initiation of institutional capacity development activities that would be further detailed and implemented through the ensuing loan; and (ii) preparation of investment-ready projects with reviews/ feasibility studies/ detailed engineering designs with due diligences, and institutional capacity strengthening from the perspective of technical/ on-the-job capacity building etc., to plan, develop, implement, and manage projects, and sustainability of investments, including ensuing loan/ project processing support. The PRF project will have following three outputs:

7. **Output 1: Sector strategy and investment plans prepared.** Output 1 will (i) develop an integrated approach to planning and design for industrial development in Tripura, (ii) prepare an industrial strategy and investment promotion requirements; (ii) prepare investment plans and action plans; and (iv) prioritize key subprojects for the infrastructure components.

8. **Output 2: Feasibility study, detailed engineering designs, and due diligence of priority subprojects completed.** Output 2 will focus on (i) feasibility studies and preparation of detailed engineering designs of selected subprojects;<sup>20</sup> (ii) social and environmental due diligence; (iii) gender equality and social inclusion (GESI) analysis and planning; (iv) economic

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<sup>19</sup> [Tripura Industrial Investment Promotion Incentive \(Amendment\) Scheme, 2017](#) vide Notification No. F.DI/TIS/SUBSIDY/4-2(21)/2017/9381-488 of 14th June 2019, Department of Industries & Commerce, GOT, Agartala; [Tripura Industrial Investment Promotion Incentives Scheme, 2017](#); and [Industrial Policy of Government of Tripura](#).

<sup>20</sup> The detailed project reports will comply with national standards and codes, and incorporate good practices. This will include detailed cost estimates, detailed construction drawings, and necessary supporting documentation in formats acceptable to ADB for each selected subproject.



and financial analyses; (v) climate and disaster resilience assessment;<sup>21</sup> (vi) financial management assessment; and (vii) procurement risk/ capacity assessment, strategic procurement planning, contract modalities, procurement plan, contract management plan(s); and (viii) bid documents, tendering and bid processing.

9. **Output 3: Institutional capacity strengthened.** This will include capacity building of the DOIC and TIDCL on financial, technical, safeguards, gender equality and social inclusion, and procurement aspects and supporting in sector analysis and developing the institutional strengthening and capacity development component of the ensuing project. It will (i) review institutional capacities to outline the scope of the institutional capacity development component of the ensuing project; (ii) review current operation and maintenance practices to outline asset sustainability measures; (iii) recommend an industrial development framework outlining reform actions for improved planning and management; and (iv) assist and build the capacity in designing the ensuing project, and implementing PRF to deliver its expected outputs

#### IV. SCOPE OF PDMC SERVICES

10. The PRF loan for GOT for the infrastructure development in and around 15 industrial estates would be supported and implemented through support to the Client in initial stage of PRF project preparatory works towards achievement of objectives stated earlier by procuring the proposed consulting services package, hereinafter referred as “project design and management consultant (PDMC).” The indicative flow chart of work process for overall PRF assignment is in Attachment 1.

11. The PDMC consulting firm recruited under the PRF would support the executing agency (EA)–Department of Industries and Commerce (DOIC), GOT, and implementing agency (IA)–TIDCL, to implement and manage the PRF loan for integrated industrial infrastructure development projects in and around 15 industrial estates in 6 districts of Tripura. The PDMC firm will work in close coordination with government agencies like, Urban Development Department (UDD)/ Tripura Urban Planning and Development Authority (TUDA), Department of Tourism (DoT)/ Tripura Tourism Development Corporation Limited (TTDCL), Public Works Department (PWD), Public Health Engineering Department (PHED), concerned district authorities/ urban local bodies (ULBs)/ village panchayats (VPs) where applicable, etc., and ADB and other consultants recruited under the PRF. The PDMC, in close coordination with ADB and the above EA/ IA will deliver following three PRF outputs.

12. The scope of services of the PDMC assignment will include the delivery of PRF objectives as outlined in the scope above, including the review of the existing and ongoing work under the PRF project. The broad terms of references of the PDMC assignment comprises of the following, but is not limited to:

- (i) Assist the EA/ IA in undertaking stakeholder consultations (DOIC-GOT, TIDCL, DIPP/ MOMSME/ NEC/ MDONER, industrial units, etc.) and overall management of the PRF work for infrastructure development projects, through a management information system developed/managed at project management unit (PMU) at TIDCL, covering project performance monitoring system and financial management system aspects;

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<sup>21</sup> It includes comprehensive due diligence of detailed project reports prepared under the PRF and/or separately in the state, if any. It will cover assessment of climate risks, preparation of climate and disaster resilience framework, and design of compliances for climate and disaster resilience.

- (ii) identify the infrastructure gaps, review of exclusionary screening/ prioritization of subprojects(*including for any updation in investment plan and action plan, and any phasing of deliverables on iterative basis during PRF implementation*), proof of concept/ site plans, development of key indicators, etc., prior to undertaking detailed engineering design stage of work (confirm availability of land with clear–title, site or right-of-way/ ensure all no-objection and necessary clearances obtained for encumbrances free prioritized subproject sites available);
- (iii) for prioritized subprojects/ work components in and around industrial estates, undertake geo-referencing of cadastral sheets and updation of the existing GIS-based mapping database of industrial estate layouts [existing plotting layout, built-up area layout/ form of existing buildings/ boundary walls/ gateways, and other administrative/ common infrastructure facilities, etc., any natural features (e.g. open greens, primary drains, ponds, wetlands, etc.), along with utility mapping (including alongside roads/ parking, storm water drainage measures, water supply system, wastewater/ effluent management system, solid waste management (including, plastic waste/ hazardous waste/ etc.)gas lines, telecom network, etc.]; including integration of features with any existing GIS-based base maps/ database of urban foot prints abutting prioritized subprojects/ work components in and around industrial estates, and further updation of GIS-based base maps of the prioritized industrial estates based on the PDMC’s proposed design–layouts/ networks;
- (iv) undertake all necessary surveys/ investigations for prioritized subprojects, and create a database/ information repository and conduct stakeholder consultations;
- (v) for relevant prioritized subprojects, conduct/strengthen feasibility studies, and/or prepare conceptual design/ site plan (including, any revisions), etc. (as appropriate), prior to preparation of DPRs;
- (vi) prepare/strengthen comprehensive DPRs (footnote 3 and footnote 4), bidding documents with bid-level drawings (including, transaction advisory support for any PPP projects/ subprojects with bid documentation of functional and performance-based standards under integrated industrial/ urban/ tourism/ transport sector),and good for construction drawings; including due diligences of detailed economic and financial analysis, initial environmental examination/ environmental impact assessment, comprehensive environmental management plan (including health and safety management plan<sup>22</sup>), resettlement plan/due diligence report(s),Indigenous Peoples Plan, gender mainstreaming/ gender equality and social inclusion (GESI) aspects with GESI action plan (GESI AP), climate risk and adaptation assessment/design compliances for climate and disaster resilience with overall climate resilience framework prepared,adopt innovation and technology use in planning and design for industrial development, including potential resource reuse;and/or other such documentation as may be required to access ADB/donor

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<sup>22</sup> Updated site-specific health and safety management plan (SSHSMP), which takes into account COVID-19 related health and safety risks (i.e., with HS COVID-19 Plan) should be developed in accordance with the Borrower’s policy, legislation and regulatory requirements on COVID-19 prevention and control, and should be approved by the Employer prior to mobilization of site work, with information to ADB. In the absence thereof, the HS COVID-19 Plan should be updated in accordance with international good practice guidelines [ADB Sustainable Development and Climate Change Department (SDCC) Good Practice Advisory Note: *Protecting the Safety and Wellbeing of Workers and Communities from COVID-19 Risks in ADB-funded Projects*, 21 July 2020, as amended from time to time].

- funding<sup>23</sup>, duly incorporating national standards/ benchmarks, and/or international standards and best practices in planning and design, as feasible<sup>24</sup>;
- (vii) ensure outcomes for the project and key performance indicators get included in the DPR to ensure effective and efficient service delivery;
  - (viii) undertake project procurement risk/ capacity assessment, strategic procurement planning (SPP) study (including identifying contract management support required, during SPP workshop), and assist EA/IA in preparation of contract management plan(s), preparation/ updation of procurement plan, and support in bid process management, bid evaluation and procurement processing for selection of Contractors for subproject contract packages:
  - (ix) prepare QAQC manual, and O&M manual;
  - (x) facilitate EA/IA in the ensuing loan/project processing stage of work, including developing a design and monitoring framework (DMF) and undertaking baseline measurement;
  - (xi) towards institutional strengthening support:
    - identify/ review measures for technical capacity building, and strengthening organizational effectiveness for concerned stakeholder agencies to—plan, develop, implement, and manage infrastructure projects, including project related capacities for stronger monitoring (with monitoring reports) and evaluation; with the intent to deliver infrastructure services at desirable levels of national standards/ service level benchmarks, any other service level agreements, and towards meeting relevant sustainable development goals, while ensuring sustainability of assets through adoption of desired operations and maintenance practices, means of revenue generation/ cost recovery mechanisms, etc., to sustainably manage industrial parks or complexes/ areas/ estates;
    - initiate/ continue the technical capacity building process under institutional strengthening in coordination with EA/ IA through on-the-job training sessions (the draft implementation of the institutional strengthening/capacity building programs outlined separately under the PRF would be undertaken);
    - explore possible synergy with integrated command and control centre—ICCC under Smart Cities Mission/ incident command system—ICS at district- or state-level with existing or proposed disaster management plan(s) supported by information technology—IT-enabled/ information and communication technology—ICT-based solutions—for effective communication and access to emergency rescue and relief services (including, medical facilities/ health-care services, testing centers or laboratories, containment-/ quarantine-/ isolation-facilities, etc.)/ industrial infrastructure monitoring-utilization-management during any disaster or pandemic (such as, COVID-19) etc.;

<sup>23</sup> All reports shall be prepared in ADB accepted formats and shall comply with the ADB approval requirements.

<sup>24</sup> The intent is to arrive at innovative interventions/ solutions through a comprehensive DPR that adopts (i) smart growth principles complemented by diversity-equity-inclusion and gender mainstreaming in planning, while considering gender equality and social inclusion aspects/ gender-responsive design features; and (ii) are—environment-friendly (adopts in design—low impact development/ green infrastructure/ resource conservation principles etc.), accessible (adopts in design—universal access/ barrier free-friendly built-environment concepts/ planning and implementation of vision zero strategy, etc.), climate resilient (including climate proofing of existing infrastructure), economically viable/ financially sound and ensures operational sustainability of assets as envisaged considering subproject lifecycle period, etc.

- preparation of a project Financial Management Manual for the ensuing project and assess capacity of the EA/ IA's IT systems for accounting and reporting of project activities; and
- (xii) any other handholding consulting services required by the EA/IA under this PRF.

## V. REQUIRED EXPERTISE AND TIMING OF SERVICES

13. For the PDMC, a total of 360 person-months including 130 person-months of national key experts; and 230 person-months of national support staff would be required to be mobilized by the consulting firm during the assignment under PRF loan for integrated industrial infrastructure development projects in and around 15 industrial estates in 6 districts of Tripura. The team composition of PDMC covering key experts and support staff is in table1.

**Table 1: Team Composition for PDMC Consulting Firm**

S. No.	Expertise	Positions	Input (Person Months)	Input Requirements
<b>A.</b>	<b>National Key Experts</b>			
1	Industrial Development Expert (Team Leader)	1	12	Full-Time
2	Industrial Architect/ Facilities Planner (Deputy Team Leader)	1	10	Intermittent
3	Water Supply Expert	1	8	Intermittent
4	Effluent and Wastewater Management Expert	1	8	Intermittent
5	Road & Stormwater Drainage Expert	1	8	Intermittent
6	Industrial Power Systems Expert	1	8	Intermittent
7	Industrial and Solid Waste Management Expert	1	8	Intermittent
8	Transport & Logistics Expert	1	10	Intermittent
9	Landscape Architect	1	10	Intermittent
10	Climate and Disaster Resilience Expert	1	4	Intermittent
11	Procurement Expert	1	8	Intermittent
12	Environment Safeguards Expert	1	8	Intermittent
13	Social Safeguards Expert	1	8	Intermittent
14	Gender Equality and Social Inclusion (GESI) Expert	1	4	Intermittent
15	Financial Management Expert	1	12	Full-Time
16	Economist	1	4	Intermittent
	<b>Sub-Total</b>	<b>16</b>	<b>130</b>	
<b>B.</b>	<b>National Support Staff<sup>a</sup></b>			
1	Design Engineer(s)-Water Supply	1	12	Full-Time
2	Design Engineer(s)- Effluent/ Wastewater Management	1	12	Full-Time
3	Design Engineer(s)-Storm water Drainage	1	12	Full-Time
4	Design Engineer(s)-Solid Waste Management	1	8	Intermittent
5	Design Engineer(s)-Industrial Building Infrastructure	2	20	Intermittent
6	Design Engineer(s)-Roads/ Pavement	1	10	Intermittent
7	Architect-/ Engineer-Urban Planner	1	10	Intermittent
8	Industrial Safety and Security Designer	1	8	Intermittent
9	Structural Engineer	1	8	Intermittent

S. No.	Expertise	Positions	Input (Person Months)	Input Requirements
10	Electro-Mechanical Engineer (Water/ Wastewater Systems)	1	8	Intermittent
11	Electrical Engineer (Power Systems/ Street Lighting)	1	8	Intermittent
12	Socio-Economic Surveyor (Industry/ MSMEs)	1	4	Intermittent
13	Geographic Information System (GIS) Analyst	1	6	Intermittent
14	Quantity Surveyor(s) (Urban Infrastructure-Water Supply/ Drainage/ Sewerage or Septage/ Electro-Mechanical, Transportation, and Other Related Infrastructure)	2	20	Intermittent
15	Office Manager-cum-Accountant	1	12	Full-Time
16	ACAD Draughtsman(s)	2	24	Full-Time
17	Data Processing and Reprographic Operator(s)	2	24	Full-Time
18	Office Assistant(s)	2	24	Full-Time
	<b>Sub-Total</b>	<b>23</b>	<b>230</b>	
	<b>Grand Total</b>	<b>39</b>	<b>360</b>	

<sup>a</sup>These experts will not be rated. Their deployment, however, will be subject to the Client's prior approval.

14. PDMC would be financed under the PRF loan during the initial eighteen months (1.5 years) of duration for PRF from CY 2021 to CY 2022. The duration of assignment for the PDMC would be 12 months (presently envisaged). The PDMC consulting firm is tentatively expected to be mobilized from December 2021. The firm should note the following:

- (i) Due to the outbreak of COVID-19, the commencement and completion dates and other implementation arrangements for this assignment are to be considered as indicative only. The final dates and implementation arrangements will be agreed with the first-ranked firm at contract negotiations taking into consideration the prevailing situation with COVID-19 at that time.
- (ii) The consultant should follow health and safety measures (equally applicable for non-consulting services):
  - For their own health and safety, the consultant(s) should follow the regulations and guidance on COVID-19 health and safety prevention and controls issued by the Client's government, or international good practices in the absence of national provisions.
  - The Client/ Firm must, where possible, replace field inputs requiring travel and attendance of meetings with video and teleconferencing. Consultants who are required to visit the project site should be briefed on the approved site-specific health and safety management plan (which should be updated to include COVID-19 specific elements) prior to entering the site and comply with the provisions of it.
  - The consultant is responsible for their own health and safety in relation to the consulting services assignment and shall comply with the country specific requirements and regulations in relation to COVID-19.

15. The PDMC shall set-up an office at Agartala for the assignment duration for the consultants to carry-out assignment tasks/activities. The experts from the PDMC's team should have adequate experience and qualifications for performing their respective activities.

## VI. OTHER RELEVANT INFORMATION

16. The interested firms/organizations should submit their EOI on ADB Consultant Management System (CMS) website (<http://cms.adb.org/>). The details of terms of reference (TOR) for EOI can be accessed by the interested firms/organizations online at ADB CMS website under 'Consulting Opportunities' section. EOIs submitted in other than the EOI standard template online will be considered as non-responsive, and will not be evaluated. The project reference sheets are to be filled-in the EOI standard template; and when those are provided as additional EOI attachments with detailed information as referred to in Attachment 2 as part of EOI submission, the prospective consulting firms shall ensure that the same assignments are indicated therein as have been filled-in in the EOI template by the firm. EOI standard template can be obtained/downloaded for reference from ADB website:

<<https://www.adb.org/documents/recruitment-firms-individual-consultants-executing-agencies>>

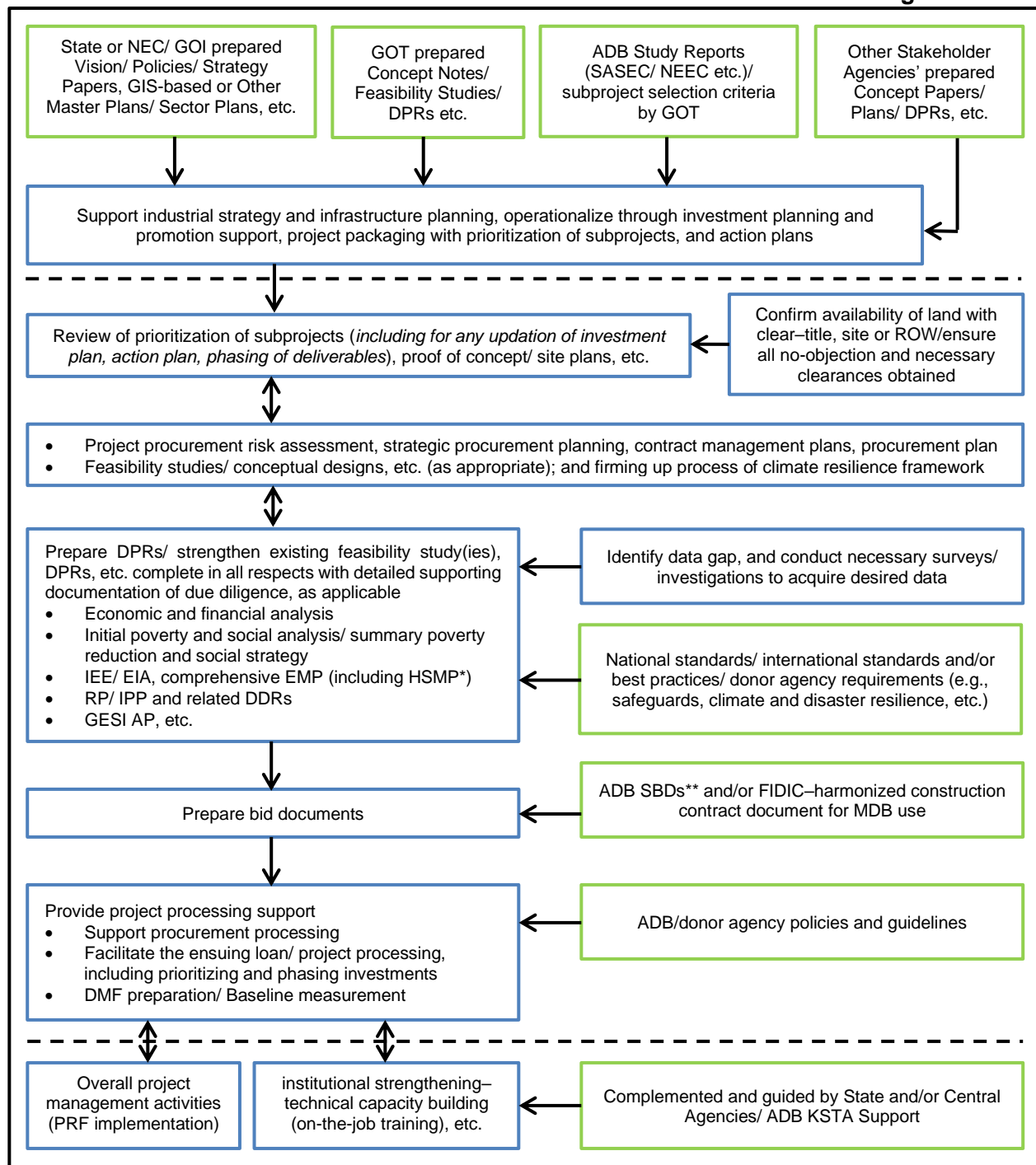
17. For the proposed PDMC, a qualified and experienced national consulting firm is to be procured on quality- and cost-based selection (QCBS) method with quality-cost ratio of 80:20, to ensure high quality of technical outputs by following ADB procurement policies and regulations.<sup>25</sup>The PDMC will work in close coordination with the designated personnel of stakeholders: (i) EA–DOIC, GOT; (ii) PMU under IA–TIDCL; (iii) central agencies like, Department for Promotion of Industry and Internal Trade/Ministry of Micro, Small, and Medium Enterprises/ Ministry North Eastern Council/ Ministry of Development of North Eastern Region/ etc.; (iv) other stakeholders like, district authorities/local bodies (ULBs/ VPs); and (v) ADB.

18. PMU-TIDCL shall provide appropriate unfurnished office space in Agartala for establishing the PDMC firm's office at Agartala. While, the office space would be provided without any rentals; the water charges and electricity bills are to be borne by PDMC.

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<sup>25</sup>ADB Procurement Policy: Goods, Works, Non-consulting and Consulting Services (2017, as amended from time to time) and Procurement Regulations for ADB Borrowers: Goods, Works, Nonconsulting and Consulting Services (2017, as amended from time to time); and the accompanying ADB Guidance Notes on Procurement (June 2018, as amended from time to time). Provisions in any guidance notes issued by ADB from time to time on COVID-19 pandemic impacts on procurement processes/management would need to be adopted, as per applicable context. In addition, the PDMC shall refer latest applicable/ relevant ADB guideline(s) or handbook(s) or toolkit(s) or other technical guidance note(s), e.g., for financial management assessment, due diligences of economic analysis/ financial analysis and evaluation, poverty and social analysis, climate resilience/ climate proofing, design and monitoring framework, etc.; along with relevant and latest appropriate SBD(s)with required addendum wording for HS COVID-19 Plan) and related user guide(s), and RFQ/ SRFP issued by ADB.

## Attachment 1: Indicative Flow Chart of Work Process for Overall PRF Assignments



Data/information support to be referred to PDMC tasks/activities

\* Updated with site-specific health and safety COVID-19 plan (HS COVID-19 Plan).\*\* Addendum wording for HS COVID-19 Plan.

ADB = Asian Development Bank, DDR = due diligence report, DMF = design and monitoring framework, DPR = detailed project report, EIA = environmental impact assessment, EMP = environmental management plan, FIDIC = International Federation of Consulting Engineers, GESI AP = gender equality and social inclusion action plan, GIS = geographic information system, GOI = Government of India, GOT = Government of Tripura, HSMP = health and safety management plan, IEE = initial environmental examination, IPP = indigenous peoples plan, KSTA = knowledge support technical assistance, MDB = multilateral development bank, NEC = North Eastern Council, NEEC = North East Economic Corridor, PDMC = project design and management consultant, PRF = project readiness financing, ROW = right of way, RP = resettlement plan, SASEC = South Asia Sub regional Economic Cooperation, SBD = standard bidding document.

## Attachment 2: Project Reference Sheets

*[Using the format below, provide information on each assignment for which your firm, and each joint venture partner or sub-consultant for this assignment, was legally contracted either individually as an entity or as one of the major companies within a joint venture or sub-consultancy, for carrying out consulting services similar to the ones requested under this assignment. Use a maximum of 10 pages indicating 10 reference projects from last 10 years.]*

Project or Assignment Name/Title :			
Country Location:		Location within Country:	
Approx. Value of the Contract (in \$/ €/ INR):		Duration of Assignment (in months):	
Name of the Client:			
Address and Contact Details of the Client:			
Participation applicable): (✓)	<input type="checkbox"/> As Lead Firm	<input type="checkbox"/> As Associate Firm	<input type="checkbox"/> As an Individual <sup>1</sup>
Total No. of Person-Months of the Assignment:		Approx. Value of the Services Provided by your Firm under the Contract (in \$/€/INR):	
Start Date of Assignment:		End Date of Assignment:	
Name of Joint Venture Partner or Associates, if any:		No of Professional Person-Months provided by JV Partner/Associates:	
Name of senior regular full-time employees of your firm involved and functions performed (indicate most significant profiles such as Project Director/Coordinator, Team Leader):			
Narrative Description of Project/ Assignment:			
Description of Actual Services Provided in the Assignment:			
Name of the Firm/Entity:			
Signature of the Authorized Representative of the Firm:		Name of Representative:	
		Designation:	

<sup>1</sup> Eligible project credentials under individual participation are those projects for which services were disbursed by the individual only in capacity of director/partner/owner of the applicant organisation(s).



## **TERMS OF REFERENCE (TOR) CONSULTING SERVICES (INDIVIDUAL EXPERTS)**

### **1. Industrial Strategy and Planning Expert (Project Manager)**

**Classification:** National

**Position:** Industrial Strategy and Planning Expert (Project Manager)

**Expertise:** Industrial Planning, Industrial Strategy, Industrial Development, Industrial Economics, Urban Economics

### **OBJECTIVE AND PURPOSE OF ASSIGNMENT**

Government of Tripura (GOT) has applied for financing under Project Readiness Financing (PRF) facility from Asian Development Bank (ADB). The PRF loan is sought for project readiness activities for preparing a sector development program, and project preparatory and design activities for investment ready ensuing project(s) for “Infrastructure Development of Industrial Estates in Tripura” in/ around 15 industrial estates of 6 districts in the State of Tripura. Tripura Urban and Tourism Development Project” in the state of Tripura. The Department of Industries & Commerce (DOIC), GOT is the executing agency (EA) with Secretary, DOIC as the Project Director (PD). The PD will be assisted by a project management unit (PMU) established under implementing agency (IA)–Tripura Industrial Development Corporation Limited (TIDCL) with suitable resources.

The expected outputs of the PRF loan are (a) Output 1: sector strategy and investment plans prepared; (b) Output 2: feasibility studies, due diligence and detailed engineering designs for priority subprojects completed; and (c) Output 3: institutional capacity development strengthened.

As a part of PRF loan five individual consultants are proposed to be recruited to support the EA/ IA and PMU-TIDCL in project readiness activities for preparing a sector development program and for initial stage of PRF project preparatory works of Outputs 1 and 3. The individual consultants would broadly support PMU-TIDCL in: (i) mapping/ planning/ strategy to develop regional value chains synergistic to the North East (NE) region, in conjunction with North East Economic Corridor (NEEC) Study Report separately undertaken by ADB; (ii) strategy to promote Tripura as an aggregation hub for evacuation through Chattogram Port (Bangladesh) as well as regional distribution; (iii) industrial strategy, action plan, and investment plan (*updated iteratively during PRF Implementation*) to develop industrial infrastructure (industrial strategy document needs to comprise gender inclusivity guidelines to promote participation of women in workforce); (iv) project packaging, i.e., prioritization of subprojects through a prioritization framework/ subproject selection criteria (theme-based, infrastructure support requirement-based, etc.) and pre-feasibility studies, including identification of public–private partnership (PPP) projects/ subprojects and anchor investor(s); (v) institutional development plan with initiation of capacity development; and (vi) determine skill adequacy with respect to emerging industries and technology, and prepare an action plan to meet the skills gap.

### **SCOPE OF WORK**

The **Industrial Strategy and Planning Expert (Project Manager)** will support the PMU-TIDCL through technical/ analytical/ advisory inputs to arrive at industrial strategy and planning deliverables as initial stage of PRF project preparatory works of Outputs 1 and 3—(i) indicating project readiness activities for preparing a sector development program; and (ii) setting direction for subsequent work to achieve Outputs 2 and 3 through a project design and management consultant (PDMC). The expert will also facilitate the PMU-TIDCL in overall management, coordination, and will work closely with and provide upstream reporting on

inputs received and deliverables prepared by other national individual consultants recruited under the PRF loan. The consultant will handover upstream work/ outputs to the PMU-TIDCL, and will facilitate further smooth handover through any meetings/ clarifications/ other inputs required once the PDMC firm is recruited and mobilized for subsequent work of preparing the ensuing project.

## **DETAILED TASKS AND EXPECTED OUTPUTS**

Under the supervision of the Project Director and in consultation with the Technical Team under PMU-TIDCL, the expert will provide technical/ analytical/ advisory inputs and will facilitate the PMU-TIDCL in following:

- overall management, coordination and upstream reporting of inputs received and deliverables prepared by other national individual consultants recruited under the PRF loan;
- ensure synergy with urban and tourism planning, and land use–transport sectoral relationship, with due consideration to integration with any of the prioritized subproject towns/ subproject components in urban areas and prioritized destinations/ subprojects in tourism areas under an existing PRF project of Tripura Urban and Tourism Development Project (TUTDP);
- consider in planning and design interventions–factors of disaster and climate change resilience; and gender equality and social inclusiveness approaches for industrial development, duly addressed in industrial strategy document to promote participation of women in entrepreneurship;
- undertake stakeholder consultations (with DOIC-GOT, TIDCL, DPIIT/ MOMSME/ NEC/ MDONER, Industrial Units, etc.; and also, with UDD/ TUDA/ DOTCP, DoT/ TTDCL, TSPCB, Line Departments, local authorities (district administration/ ULBs/ VPs), consultants under TUTDP PRF, statutory body(ies), voluntary organizations, trade organisations, and other stakeholders like, LPAI for cross-border trade facilitation, project affected persons, etc.; and ADB;
- undertake detailed mapping with strategy to develop regional value chains, in continuation to ADB's NEEC Study Report;
- prepare strategy to promote Tripura as an aggregation hub and cross-border connectivity, including link to Chattogram Port (Bangladesh);
- provide technical advice on standardization, market surveillance, industrial competitiveness, etc.
- undertake demand assessment, identify gaps, and holistically plan for industrial development:
  - (i) outline the economic profile of various districts/ areas in the immediate vicinity of each industrial node/ large industrial area or cluster/ border growth centre or urban growth centre;
  - (ii) prepare an overview of the industrial scenario of the districts of the industrial nodes/ areas, which shall include: (1) taking inventory of the types of industries available in the districts, (2) mapping of competition at the state and district levels, and (3) mapping of existing industrial clusters/ hubs along with available transport network and ancillary facilities;
  - (iii) prepare suitable product/ activity mix for the delineated zones within the industrial nodes/ areas or growth centers;
  - (iv) determine the product mix for the processing and non-processing areas of the industrial node/ area taking into account the land requirement, while ensuring compatibility with land-use planning proposals delineated in master plan or surrounding existing land-uses, any provisions in the NER regional plan/ city development plan, etc., and whether any adaptation and/or mitigation

- measures are to be incorporated in project planning and design/ implementation;
- (v) assess and plan for export-oriented industries which can be located in the industrial node/ area or growth centers; and
- (vi) align industrial planning with quality infrastructure to foster industrial development, including development of SMEs, meeting national standards/ benchmarks/ rules and regulations, and/or international standards and best practices;
- provide inputs in preparation of investment plan and action plan, and development of 'key performance indicators';
- provide inputs on capacity and knowledge development of DOIC and TIDCL in the industrial strategy and planning subject matter;
- facilitate DOIC and PMU-TIDCL in processing of sector development program for reforming and strengthening institutional capacities in industrial sector;
- coordinate with PDMC in document preparation on project readiness for ensuing project;
- facilitate DOIC and PMU-TIDCL in ensuing loan processing; and
- any other task as assigned by the PMU-TIDCL from time to time under PRF.

**Health and Safety Measures:** For their own health and safety, the consultant should follow the regulations and guidance on coronavirus disease (COVID-19) health and safety prevention and controls issued by the Client's government, or international good practices in the absence of national provisions. The Client must, where possible, replace field inputs requiring travel and attendance of meetings with video and teleconferencing. The consultant is responsible for their own health and safety in relation to the consulting services assignment and shall comply with the country specific requirements and regulations in relation to COVID-19.

Due to the outbreak of COVID-19, the commencement and completion dates and other implementation arrangements for this assignment are to be considered as indicative only. The final dates and implementation arrangements will be agreed with the first-ranked candidate at contract negotiations taking into consideration the prevailing situation with COVID-19 at that time.

## QUALIFICATIONS

**Minimum Educational Qualification:** Preferably a Master's degree in Urban Planning/ Regional Planning/ Industrial Policy/ Industrial Economics/ Urban Economics/ Development Studies or equivalent; over a Bachelor's degree in Civil Engineering/ Physical Planning/ Architectural Engineering/ Economics or equivalent.

**Professional Experience:** Shall have at least 12 years of general experience, and 8 years of specific experience in industrial sector in policy/ strategy formulation, planning and design, project formulation/ development/ implementation. Preferably three years' experience in proven research work, with specific focus on industrial development, including value chains; value addition, including facilitation of cross-border industrial development issues, as well as industrial corridor development and SMEs development is an added advantage. Demonstrated knowledge of or experience in market potential analysis, demand assessment, industrial competitiveness issues, etc., is required.

Work experience of five years with any of the following project or project authority is desirable: UN umbrella organisation; externally aided project by multilateral development banks (ADB, The World Bank, NDB, etc.)/ bilateral agencies (JICA, DFID, GIZ, etc.); in integrated industrial/ urban/ transport sectors is desirable.

Minimum General Experience

12 Years

Minimum Specific Experience (relevant to assignment)	8 Years
Regional/Country Experience	Required

**Deliverables:**

- Bi-monthly report of activities, consultations, and analysis/ findings/ recommendations, if any.
- Consolidated Demand Assessment Report
- Consolidated Report on Industrial Strategy and Planning, Infrastructure Planning with Project Packaging, and Investment Planning and Promotion
- Consolidated Draft Report on Institutional Capacity and Development Plan
- Sector development program processing support

**Schedule and Place of Assignment:**

- Schedule Type: Intermittent
- Place of Assignment and Duration: 100 person-days (spread over 12 months period)
 

Home Office	: 60 days
Field Office (Agartala/ Other Cities in Tripura)	: 40 days

## 2. Infrastructure Expert

**Classification:** National

**Position:** Infrastructure Expert

**Specialization:** Industrial/ SEZ/ MMLP Infrastructure, Urban Infrastructure, Transport Infrastructure

### OBJECTIVE AND PURPOSE OF ASSIGNMENT

Government of Tripura (GOT) has applied for financing under Project Readiness Financing (PRF) facility from Asian Development Bank (ADB). The PRF loan is sought for project readiness activities for preparing a sector development program, and project preparatory and design activities for investment ready ensuing project(s) for “Infrastructure Development of Industrial Estates in Tripura” in/ around 15 industrial estates of 6 districts in the State of Tripura. Tripura Urban and Tourism Development Project” in the state of Tripura. The Department of Industries & Commerce (DOIC), GOT is the executing agency (EA) with Secretary, DOIC as the Project Director (PD). The PD will be assisted by a project management unit (PMU) established under implementing agency (IA)–Tripura Industrial Development Corporation Limited (TIDCL) with suitable resources.

The expected outputs of the PRF loan are (a) Output 1: sector strategy and investment plans prepared; (b) Output 2: feasibility studies, due diligence and detailed engineering designs for priority subprojects completed; and (c) Output 3: institutional capacity development strengthened.

As a part of PRF loan five individual consultants are proposed to be recruited to support the EA/ IA and PMU-TIDCL in project readiness activities for preparing a sector development program and for initial stage of PRF project preparatory works of Outputs 1 and 3. The individual consultants would broadly support PMU-TIDCL in: (i) mapping/ planning/ strategy to develop regional value chains synergistic to the North East (NE) region, in conjunction with North East Economic Corridor (NEEC) Study Report separately undertaken by ADB; (ii) strategy to promote Tripura as an aggregation hub for evacuation through Chattogram Port (Bangladesh) as well as regional distribution; (iii) industrial strategy, action plan, and investment plan (*updated iteratively during PRF Implementation*) to develop industrial infrastructure (industrial strategy document needs to comprise gender inclusivity guidelines to promote participation of women in workforce); (iv) project packaging, i.e., prioritization of subprojects through a prioritization framework/ subproject selection criteria (theme-based, infrastructure support requirement-based, etc.) and pre-feasibility studies, including identification of public–private partnership (PPP) projects/ subprojects and anchor investor(s); (v) institutional development plan with initiation of capacity development; and (vi) determine skill adequacy with respect to emerging industries and technology, and prepare an action plan to meet the skills gap.

### SCOPE OF WORK

The **Infrastructure Expert** will support the PMU-TIDCL through technical/ analytical/ advisory inputs to arrive at industrial infrastructure planning and project packaging deliverables as initial stage of PRF project preparatory works of Outputs 1 and 3—(i) indicating project readiness activities for preparing a sector development program; and (ii) setting direction for subsequent work to achieve Outputs 2 and 3 through a project design and management consultant (PDMC) firm. The expert will work closely with other national individual consultants recruited under the PRF loan. The consultant will handover upstream work/ outputs to the PMU-TIDCL, and will facilitate further smooth handover through any meetings/ clarifications/ other inputs required once the PDMC firm is recruited and mobilized for subsequent work of preparing the ensuing project.

## DETAILED TASKS AND EXPECTED OUTPUTS

Under the supervision of the Project Director and in consultation with the Technical Team under PMU-TIDCL, other national individual consultants under Tripura Industry PRF, and ADB, the expert will provide technical/ analytical/ advisory inputs and will facilitate the PMU-TIDCL in following:

- undertake stakeholder consultations (with DOIC-GOT, TIDCL, DPIIT/ MOMSME/ NEC/ MDONER, Industrial Units, etc.; and also, with UDD/ TUDA/ DOTCP, DoT/ TTDCL, TSPCB, Line Departments, local authorities (district administration/ ULBs/ VPs), consultants under TUTDP PRF, statutory body(ies), voluntary organizations, trade organisations, and other stakeholders like, LPAI for cross-border trade facilitation, project affected persons, etc.; and ADB;
- ensure synergy with urban and tourism development components with due consideration to integration with any of the prioritized subproject towns/ subproject components in urban areas and prioritized destinations/ subprojects in tourism areas under an existing PRF project of Tripura Urban and Tourism Development Project (TUTDP);
- consider in planning and design interventions—factors of disaster and climate change resilience; and gender equality and social inclusiveness approaches for industrial development;
- undertake demand assessment, identify gaps and new infrastructure requirements, and provide inputs to holistically plan for industrial development:
  - (i) identification of trunk infrastructure for the industrial estates;
  - (ii) explore possibility of developing infrastructure on PPP basis;
  - (iii) undertake project packaging, i.e., prioritization of subprojects through a prioritization framework/ subproject selection criterion (theme-based, infrastructure support requirement-based, etc.) and pre-feasibility studies; including identification of PPP projects/ subprojects, and suggest phasing of subprojects; and
  - (iv) prepare new/ review existing site planning outputs with infrastructure (covering processing and non-processing zones, integration with transport and logistics infrastructure, other common infrastructure/ administrative facilities/ training institute, cross-border trade facilitation infrastructure, adaptive reuse of old industrial buildings/ innovative use of open built-surface spaces or green spaces integrated with green infrastructure use, etc.) and waste management required for industrial development in each priority subproject; while ensuring compatibility with land-use planning proposals delineated in master plan or surrounding existing land-uses/ integration with existing infrastructure, any provisions in the NER regional plan/ city development plan, etc., and meeting national standards/ benchmarks/ rules and regulations, and/or international standards and best practices, and incorporating innovations and use of technologies for efficient performance and resilience of infrastructure investments proposed;
  - (v) support required for infrastructure for certain activities in tourism industry, as these tourism activities (which also includes hospitals, considering potential of medical tourism) are treated as thrust sector industries under “Tripura Industrial Investment Promotion Incentive (Amendment), Scheme, 2017”;
- support in strategy preparation to promote Tripura as an aggregation hub and cross-border connectivity, including link to Chattogram Port (Bangladesh);
- provide inputs in preparation of industrial strategy and action plan;
- review outputs of any existing feasibility studies and detailed project reports (DPRs), with safeguard and due diligence documentation;

- review report on incorporation of climate resilient design inputs in any existing DPRs;
- prepare 'key performance indicators' and set directions to ensure outcomes for the project and 'key performance indicators' get included in the DPR to ensure effective and efficient service delivery;
- provide inputs in preparation of investment plan and action plan;
- provide inputs on capacity and knowledge development of DOIC and TIDCL in the industrial infrastructure subject matter from technical capacity development perspective;
- coordinate with PDMC in document preparation on project readiness for ensuing project;
- facilitate DOIC and PMU-TIDCL in ensuing loan processing; and
- any other task as assigned by the PMU-TIDCL from time to time under PRF.

**Health and Safety Measures:** For their own health and safety, the consultant should follow the regulations and guidance on coronavirus disease (COVID-19) health and safety prevention and controls issued by the Client's government, or international good practices in the absence of national provisions. The Client must, where possible, replace field inputs requiring travel and attendance of meetings with video and teleconferencing. The consultant is responsible for their own health and safety in relation to the consulting services assignment and shall comply with the country specific requirements and regulations in relation to COVID-19.

Due to the outbreak of COVID-19, the commencement and completion dates and other implementation arrangements for this assignment are to be considered as indicative only. The final dates and implementation arrangements will be agreed with the first-ranked candidate at contract negotiations taking into consideration the prevailing situation with COVID-19 at that time.

## QUALIFICATIONS

**Minimum Educational Qualification:** Preferably a Master's degree in Infrastructure Planning/ Urban Planning/ Civil Engineering/ Environmental Engineering/ Industrial Design or equivalent; over a Bachelor's degree in Civil Engineering/ Mechanical Engineering/ Architectural engineering/ Physical Planning or equivalent.

**Professional Experience:** Shall have at least 12 years of general experience and 8 years of specific experience in project preparation with infrastructure planning and implementation of integrated industrial/ urban/ transport sector projects related to preparation and management of regional industrial corridor development, infrastructure/ services like, water supply system, wastewater/ effluent management, stormwater drainage, solid waste management (including, plastic waste, industrial or hazardous waste), roads/ pavements that handle heavy commercial or industrial loads in cities or at cross-border trade facilitation centers, common infrastructure facilities, administrative facilities in industrial parks or complexes/ areas/ estates, renewal/ rehabilitation/ adaptive reuse of old industrial buildings/ spaces. Demonstrated knowledge of low-impact development/ green infrastructure/ resource conservation principles, industrial safety and security aspects, climate change and disaster resilience factors, gender equality and social inclusion aspects, governance reforms and capacity development for sustainability of infrastructure investments, etc., is required.

Work experience of five years with any of the following project or project authority is desirable: UN umbrella organisation; externally aided project by multilateral development banks (ADB, The World Bank, NDB, etc.)/ bilateral agencies (JICA, DFID, GIZ, etc.); in integrated industrial/ urban/ tourism/ transport sectors is desirable.

Minimum General Experience	12 Years
Minimum Specific Experience (relevant to assignment)	8 Years
Regional/Country Experience	Required

**Deliverables:**

- Bi-monthly report of activities, consultations, and analysis/ findings/ recommendations, if any.
- Consolidated Demand Assessment Report
- Consolidated Report on Industrial Strategy and Planning, Infrastructure Planning with Project Packaging, and Investment Planning and Promotion
- Consolidated Draft Report on Institutional Capacity and Development Plan

**Schedule and Place of Assignment:**

- Schedule Type: Intermittent
- Place of Assignment and Duration: 70 person-days (spread over 12 months period)
  - Home Office : 40 days
  - Field Office (Agartala/ Other Cities in Tripura) : 30 days



### 3. Investment Planning and Promotion Expert

**Classification:** National

**Position:** Investment Planning and Promotion Expert

**Specialization:** Industrial Economics, Investment Planning, Industry/ Trade Promotion, Urban Economics

#### OBJECTIVE AND PURPOSE OF ASSIGNMENT

Government of Tripura (GOT) has applied for financing under Project Readiness Financing (PRF) facility from Asian Development Bank (ADB). The PRF loan is sought for project readiness activities for preparing a sector development program, and project preparatory and design activities for investment ready ensuing project(s) for “Infrastructure Development of Industrial Estates in Tripura” in/ around 15 industrial estates of 6 districts in the State of Tripura. Tripura Urban and Tourism Development Project” in the state of Tripura. The Department of Industries & Commerce (DOIC), GOT is the executing agency (EA) with Secretary, DOIC as the Project Director (PD). The PD will be assisted by a project management unit (PMU) established under implementing agency (IA)–Tripura Industrial Development Corporation Limited (TIDCL) with suitable resources.

The expected outputs of the PRF loan are (a) Output 1: sector strategy and investment plans prepared; (b) Output 2: feasibility studies, due diligence and detailed engineering designs for priority subprojects completed; and (c) Output 3: institutional capacity development strengthened.

As a part of PRF loan five individual consultants are proposed to be recruited to support the EA/ IA and PMU-TIDCL in project readiness activities for preparing a sector development program and for initial stage of PRF project preparatory works of Outputs 1 and 3. The individual consultants would broadly support PMU-TIDCL in: (i) mapping/ planning/ strategy to develop regional value chains synergistic to the North East (NE) region, in conjunction with North East Economic Corridor (NEEC) Study Report separately undertaken by ADB; (ii) strategy to promote Tripura as an aggregation hub for evacuation through Chattogram Port (Bangladesh) as well as regional distribution; (iii) industrial strategy, action plan, and investment plan (*updated iteratively during PRF Implementation*) to develop industrial infrastructure (industrial strategy document needs to comprise gender inclusivity guidelines to promote participation of women in workforce); (iv) project packaging, i.e., prioritization of subprojects through a prioritization framework/ subproject selection criteria (theme-based, infrastructure support requirement-based, etc.) and pre-feasibility studies, including identification of public–private partnership (PPP) projects/ subprojects and anchor investor(s); (v) institutional development plan with initiation of capacity development; and (vi) determine skill adequacy with respect to emerging industries and technology, and prepare an action plan to meet the skills gap.

#### SCOPE OF WORK

The **Investment Planning and Promotion Expert** will support the PMU-TIDCL through technical/ analytical/ advisory inputs to arrive at investment planning and promotion deliverables as initial stage of PRF project preparatory works of Outputs 1 and 3—(i) indicating project readiness activities for preparing a sector development program; and (ii) setting direction for subsequent work to achieve Outputs 2 and 3 through a project design and management consultant (PDMC) firm. The expert will work closely with other national individual consultants recruited under the PRF loan. The consultant will handover upstream work/ outputs to the PMU-TIDCL, and will facilitate further smooth handover through any meetings/ clarifications/ other inputs required once the PDMC firm is recruited and mobilized for subsequent work of preparing the ensuing project.

## DETAILED TASKS AND EXPECTED OUTPUTS

Under the supervision of the Project Director and in consultation with the Technical Team under PMU-TIDCL, other national individual consultants under Tripura Industry PRF, and ADB, the expert will provide technical/ analytical/ advisory inputs and will facilitate the PMU-TIDCL in following:

- undertake stakeholder consultations (with DOIC-GOT, TIDCL, DPIIT/ MOMSME/ NEC/ MDONER, Industrial Units, etc.; and also, with UDD/ TUDA/ DOTCP, DoT/ TTDCL, TSPCB, Line Departments, local authorities (district administration/ ULBs/ VPs), consultants under TUTDP PRF, statutory body(ies), voluntary organizations, trade organisations, and other stakeholders like, LPAI for cross-border trade facilitation, project affected persons, etc.; and ADB;
- develop framework for investment promotion and marketing of industrial corridors, including on ease of doing business (considering policy and regulatory framework of DPIIT/ GOT, and integration with national industrial corridor development and/or other industrial development schemes promoted by DPIIT); and set directions to be undertaken for a detailed industrial development planning and processing framework/ mechanism with measures for improving ease of business to be prepared and implemented in the sector development program;
- ideate and provide inputs in proposing industrial strategy/ plans/ programs for garnering investment; and facilitate in review of policy design, schemes, programs to create a conducive investment climate that would address the needs of the industry;
- provide inputs in undertaking demand assessment, and identify gaps to holistically plan for industrial development:
  - (i) accounting for potential investors (national/ international) in assessing future growth trends, and identification of anchor investor(s) for the industrial estates and their concerns and expectations from the industrial node/ area or growth centers;
  - (ii) identifying key factors that would influence investment in the industrial nodes/ areas including advantages and disadvantages of proposed sites as well as competing sites within the industrial nodes/ areas or growth centers; including factors of clustering with ancillary industries, quality assurance/ management systems adopted and quality testing/ quality control facilities, technology for renewable energy/ energy efficiency/ emission reduction/ resource conservation etc.;
  - (iii) assessing likely investment potential of a delineated zone within the industrial nodes/ areas or growth centers, to activate local commerce and enhance global investments in the region; and
  - (iv) promotion support required for infrastructure for certain activities in tourism industry, as these tourism activities (which also includes hospitals, considering potential of medical tourism) are treated as thrust sector industries under “Tripura Industrial Investment Promotion Incentive (Amendment), Scheme, 2017”;
- prepare investment plan and action plan to develop industrial infrastructure;
- prepare communication plan on industrial estates to raise awareness;
- support investors meet, and manage and upgrade website and social media sites;
- suggest measures to evaluate, improve and maintain positive relationships with all stakeholders—public, private, and multilateral/ international agencies;
- provide inputs on capacity and knowledge development of DOIC and TIDCL in the investment planning and promotion subject matter (especially, for measures to build and smoothen inter-departmental coordination, and for investor relations team and help build the capabilities of the team);

- coordinate with PDMC in document preparation on project readiness for ensuing project;
- facilitate DOIC and PMU-TIDCL in ensuing loan processing; and
- any other task as assigned by the PMU-TIDCL from time to time under PRF.

**Health and Safety Measures:** For their own health and safety, the consultant should follow the regulations and guidance on coronavirus disease (COVID-19) health and safety prevention and controls issued by the Client's government, or international good practices in the absence of national provisions. The Client must, where possible, replace field inputs requiring travel and attendance of meetings with video and teleconferencing. The consultant is responsible for their own health and safety in relation to the consulting services assignment and shall comply with the country specific requirements and regulations in relation to COVID-19.

Due to the outbreak of COVID-19, the commencement and completion dates and other implementation arrangements for this assignment are to be considered as indicative only. The final dates and implementation arrangements will be agreed with the first-ranked candidate at contract negotiations taking into consideration the prevailing situation with COVID-19 at that time.

## QUALIFICATIONS

**Minimum Educational Qualification:** Preferably MBA in Finance/ Marketing/ Entrepreneurship/ Managerial Economics/ Media and Advertising or Master's degree in Industrial and Public Policy/ Industrial Economics/ Urban Planning/ Development Studies or equivalent; over a Bachelor's degree in Civil Engineering/ Architectural engineering/ Physical Planning/ Economics or equivalent.

**Professional Experience:** Shall have at least 12 years of general experience and 8 years of specific experience in investment planning and promotion in industry/ trade and/or urban/ tourism/ transport sectors. Demonstrated experience in working within or with a Government agency or private sector focusing on investment relations or industrial growth, in general, is required. Demonstrated experience in ideating, designing, executing and evaluating public programs or PPP programs, preferably both, is desirable.

Work experience of five years with any of the following project or project authority is desirable: UN umbrella organisation; externally aided project by multilateral development banks (ADB, The World Bank, NDB, etc.)/ bilateral agencies (JICA, DFID, GIZ, etc.); in integrated industrial/ urban/ tourism/ transport sectors is desirable.

Minimum General Experience	12 Years
Minimum Specific Experience (relevant to assignment)	8 Years
Regional/Country Experience	Required

### Deliverables:

- Bi-monthly report of activities, consultations, and analysis/ findings/ recommendations, if any.
- Consolidated Demand Assessment Report
- Consolidated Report on Industrial Strategy and Planning, Infrastructure Planning with Project Packaging, and Investment Planning and Promotion
- Consolidated Draft Report on Institutional Capacity and Development Plan

### Schedule and Place of Assignment:

- Schedule Type: Intermittent
- Place of Assignment and Duration: 70 person-days (spread over 12 months period)
 

Home Office	: 40 days
Field Office (Agartala/ Other Cities in Tripura)	: 30 days

#### 4. Policy and Institutional Development Expert

**Classification:** National

**Position:** Policy and Institutional Development Expert

**Specialization:** Industrial Policy, Institutional Development (Industry/ Trade)

#### OBJECTIVE AND PURPOSE OF ASSIGNMENT

Government of Tripura (GOT) has applied for financing under Project Readiness Financing (PRF) facility from Asian Development Bank (ADB). The PRF loan is sought for project readiness activities for preparing a sector development program, and project preparatory and design activities for investment ready ensuing project(s) for “Infrastructure Development of Industrial Estates in Tripura” in/ around 15 industrial estates of 6 districts in the State of Tripura. Tripura Urban and Tourism Development Project” in the state of Tripura. The Department of Industries & Commerce (DOIC), GOT is the executing agency (EA) with Secretary, DOIC as the Project Director (PD). The PD will be assisted by a project management unit (PMU) established under implementing agency (IA)–Tripura Industrial Development Corporation Limited (TIDCL) with suitable resources.

The expected outputs of the PRF loan are (a) Output 1: sector strategy and investment plans prepared; (b) Output 2: feasibility studies, due diligence and detailed engineering designs for priority subprojects completed; and (c) Output 3: institutional capacity development strengthened.

As a part of PRF loan five individual consultants are proposed to be recruited to support the EA/ IA and PMU-TIDCL in project readiness activities for preparing a sector development program and for initial stage of PRF project preparatory works of Outputs 1 and 3. The individual consultants would broadly support PMU-TIDCL in: (i) mapping/ planning/ strategy to develop regional value chains synergistic to the North East (NE) region, in conjunction with North East Economic Corridor (NEEC) Study Report separately undertaken by ADB; (ii) strategy to promote Tripura as an aggregation hub for evacuation through Chattogram Port (Bangladesh) as well as regional distribution; (iii) industrial strategy, action plan, and investment plan (*updated iteratively during PRF Implementation*) to develop industrial infrastructure (industrial strategy document needs to comprise gender inclusivity guidelines to promote participation of women in workforce); (iv) project packaging, i.e., prioritization of subprojects through a prioritization framework/ subproject selection criteria (theme-based, infrastructure support requirement-based, etc.) and pre-feasibility studies, including identification of public–private partnership (PPP) projects/ subprojects and anchor investor(s); (v) institutional development plan with initiation of capacity development; and (vi) determine skill adequacy with respect to emerging industries and technology, and prepare an action plan to meet the skills gap.

#### SCOPE OF WORK

The **Policy and Institutional Development Expert** will support the PMU-TIDCL through technical/ analytical/ advisory inputs to arrive at policy/ institutional/ regulatory review and capacity development deliverables as initial stage of PRF project preparatory works of Outputs 1 and 3—(i) indicating project readiness activities for preparing a sector development program; and (ii) setting direction for subsequent work to achieve Outputs 2 and 3 through a project design and management consultant (PDMC) firm. The expert will work closely with other national individual consultants recruited under the PRF loan. The consultant will handover upstream work/ outputs to the PMU-TIDCL, and will facilitate further smooth handover through any meetings/ clarifications/ other inputs required once the PDMC firm is recruited and mobilized for subsequent work of preparing the ensuing project.

## DETAILED TASKS AND EXPECTED OUTPUTS

Under the supervision of the Project Director and in consultation with the Technical Team under PMU-TIDCL, other national individual consultants under Tripura Industry PRF, and ADB, the expert will provide technical/ analytical/ advisory inputs and will facilitate the PMU-TIDCL in following:

- undertake stakeholder consultations (with DOIC-GOT, TIDCL, DPIIT/ MOMSME/ NEC/ MDONER, Industrial Units, etc.; and also, with UDD/ TUDA/ DOTCP, DoT/ TTDCL, TSPCB, Line Departments, local authorities (district administration/ ULBs/ VPs), consultants under TUTDP PRF, statutory body(ies), voluntary organizations, trade organisations, and other stakeholders like, LPAI for cross-border trade facilitation, project affected persons, etc.; and ADB;
- review of industrial policy, regulatory structure and fiscal policy, and recommend measures to incentivize industrial development and investment in the state;
- review institutional and digital structure, and prepare draft institutional and capacity development plan; and set directions to be undertaken for detailed institutional capacity development plan to be prepared and implemented in the sector development program;
- outline policy reforms for improvement and implementable industrial strategy;
- initiate support to take-up policy, institutional, and governance reforms to promote accelerated industrial development in the state in the interim for project readiness, while detailed reform design and implementation to be taken-up under sector development program;
- advise on land assembly/ land management and project implementation issues in industrial sector;
- undertake industrial process review for certification, labour and safety policies, regulatory framework under manufacturing sector;
- provide inputs in preparation of 'key performance indicators' and set directions for their monitoring and reporting to DOIC and TIDCL;
- review mapping and analysis of the skills gaps based on demand assessment with respect to business induced scenario, and review action plan to meet skills gap for– institutional staff, workers, entrepreneurs, especially women;
- advise on policy generation, evaluation and implementation, project life cycle and project management skills, including use of ICT/ IT-enabled database or knowledge repository systems for information dissemination, and development of monitoring, evaluation, and appraisal mechanisms;
- provide inputs to plan, coordinate and initiate training in collaboration with Skills & Capacity Development Expert on best practices in industrial policy design and management of industrial development, and on modern methodologies to collect industrial data and statistics, monitor, evaluate, appraise and manage large industrial parks or complexes/ areas/ estates; and enhance participants knowledge on industrial psychology, policy generation and review as well, reforms applicability for improved capacity benefits in the context of fuelling industrial growth and managing transformation;
- facilitate DOIC and PMU-TIDCL in processing of sector development program for reforming and strengthening institutional capacities in industrial sector;
- coordinate with PDMC in document preparation on project readiness for ensuing project;
- facilitate DOIC and PMU-TIDCL in ensuing loan processing; and
- any other task as assigned by the PMU-TIDCL from time to time under PRF.

**Health and Safety Measures:** For their own health and safety, the consultant should follow the regulations and guidance on coronavirus disease (COVID-19) health and safety prevention and controls issued by the Client's government, or international good practices in the absence

of national provisions. The Client must, where possible, replace field inputs requiring travel and attendance of meetings with video and teleconferencing. The consultant is responsible for their own health and safety in relation to the consulting services assignment and shall comply with the country specific requirements and regulations in relation to COVID-19.

Due to the outbreak of COVID-19, the commencement and completion dates and other implementation arrangements for this assignment are to be considered as indicative only. The final dates and implementation arrangements will be agreed with the first-ranked candidate at contract negotiations taking into consideration the prevailing situation with COVID-19 at that time.

## QUALIFICATIONS

**Minimal Educational Qualification:** Preferably a Master's degree in the area of industrialization and structural transformation, industrial clusters development and diversification, commercially oriented development studies, industrial and public policy, industrial economics, business management, urban economics, urban planning or related disciplines; over a Bachelor's degree in engineering/ physical planning/ economics or equivalent.

**Professional Experience:** Shall have 12 years of general experience and 8 years of specific experience in policy design/ review, and institutional development programs in public/ private sector for development of integrated industrial/ urban/ tourism/ transport or similar major infrastructure projects in—project formulation, planning and design, implementation, management, and monitoring/ appraisal/ evaluation, sustainability of infrastructure investments, etc., is required. Demonstrated experience of understanding of formulation of national plans, policies, sector strategies and regional industrial economic models is desirable. Experience in coordination of major industrial development programs or industrial development corridors preferably in a developing country with demonstrated success, including familiarity with bureaucratic requirements in a national and/or regional government ministry, as well as exposures to coordination of development programs, will be an added advantage. Demonstrated experience in institutional strengthening capacity building in industrial policy or statistics at regional/ state level is required.

Work experience of five years with any of the following project or project authority is desirable: UN umbrella organisation; externally aided project by multilateral development banks (ADB, The World Bank, NDB, etc.)/ bilateral agencies (JICA, DFID, GIZ, etc.); in integrated industrial/ urban/ tourism/ transport sectors is desirable.

Minimum General Experience	12 Years
Minimum Specific Experience (relevant to assignment)	8 Years
Regional/Country Experience	Required

### Deliverables:

- Bi-monthly report of activities, consultations, and analysis/ findings/ recommendations, if any.
- Consolidated Draft Report on Institutional Capacity and Development Plan
- Sector development program processing support

### Schedule and Place of Assignment:

- Schedule Type: Intermittent
- Place of Assignment and Duration: 70 person-days (spread over 12 months period)
  - Home Office : 40 days
  - Field Office (Agartala/ Other Cities in Tripura) : 30 days

## 5. Skills & Capacity Development Expert

**Classification:** National

**Position:** Skills & Capacity Development Expert

**Specialization:** Skill Development, Capacity Development (Industry/ Trade, Urban, etc.)

### OBJECTIVE AND PURPOSE OF ASSIGNMENT

Government of Tripura (GOT) has applied for financing under Project Readiness Financing (PRF) facility from Asian Development Bank (ADB). The PRF loan is sought for project readiness activities for preparing a sector development program, and project preparatory and design activities for investment ready ensuing project(s) for “Infrastructure Development of Industrial Estates in Tripura” in/ around 15 industrial estates of 6 districts in the State of Tripura. Tripura Urban and Tourism Development Project” in the state of Tripura. The Department of Industries & Commerce (DOIC), GOT is the executing agency (EA) with Secretary, DOIC as the Project Director (PD). The PD will be assisted by a project management unit (PMU) established under implementing agency (IA)–Tripura Industrial Development Corporation Limited (TIDCL) with suitable resources.

The expected outputs of the PRF loan are (a) Output 1: sector strategy and investment plans prepared; (b) Output 2: feasibility studies, due diligence and detailed engineering designs for priority subprojects completed; and (c) Output 3: institutional capacity development strengthened.

As a part of PRF loan five individual consultants are proposed to be recruited to support the EA/ IA and PMU-TIDCL in project readiness activities for preparing a sector development program and for initial stage of PRF project preparatory works of Outputs 1 and 3. The individual consultants would broadly support PMU-TIDCL in: (i) mapping/ planning/ strategy to develop regional value chains synergistic to the North East (NE) region, in conjunction with North East Economic Corridor (NEEC) Study Report separately undertaken by ADB; (ii) strategy to promote Tripura as an aggregation hub for evacuation through Chattogram Port (Bangladesh) as well as regional distribution; (iii) industrial strategy, action plan, and investment plan (*updated iteratively during PRF Implementation*) to develop industrial infrastructure (industrial strategy document needs to comprise gender inclusivity guidelines to promote participation of women in workforce); (iv) project packaging, i.e., prioritization of subprojects through a prioritization framework/ subproject selection criteria (theme-based, infrastructure support requirement-based, etc.) and pre-feasibility studies, including identification of public–private partnership (PPP) projects/ subprojects and anchor investor(s); (v) institutional development plan with initiation of capacity development; and (vi) determine skill adequacy with respect to emerging industries and technology, and prepare an action plan to meet the skills gap.

### SCOPE OF WORK

The **Skills & Capacity Development Expert** will support the PMU-TIDCL by conducting desk reviews and carrying out close consultations with stakeholders such as training providers, domain experts, and industry practitioners. The expert would support through technical/ analytical/ advisory inputs to arrive at deliverables of skill mapping, study of job roles across the value chain, skill gaps/ training needs assessment, training modules, training program sessions, training materials/ knowledge dissemination, and initiating training impartation and feedbacks analysed/ improvements made, under skills and capacity development component as initial stage of PRF project preparatory works of Outputs 1 and 3–(i) indicating project readiness activities for preparing a sector development program; and (ii) setting direction for subsequent work to achieve

Outputs 2 and 3 through project design and management consultant (PDMC) firm. The expert will work closely with other national individual consultants recruited under the PRF loan. The consultant will handover upstream work/ outputs to the PMU-TIDCL, and will facilitate further smooth handover through any meetings/ clarifications/ other inputs required once the PDMC firm is recruited and mobilized for subsequent work of preparing the ensuing project.

## **DETAILED TASKS AND EXPECTED OUTPUTS**

Under the supervision of the Project Director and in consultation with the Technical Team under PMU-TIDCL, other national individual consultants under Tripura Industry PRF, and ADB, the expert will provide technical/ analytical/ advisory inputs and will facilitate the PMU-TIDCL in following:

- work with PMU-TIDCL and ADB to undertake any study/ research/ review of skill and capacity development requirements based on draft institutional and capacity development plan prepared by other national individual consultants with regards to study of skill classification and job roles across the institutions and value chain for various industrial products in/ around industrial estates in Tripura, interventions for entrepreneurship development, etc. to arrive at a comprehensive skill development plan;
- map and analyse the skills gaps based on demand assessment with respect to business induced scenario, assess current availability of skilled staff/ labour engaged across the institutions/ product value chain (baseline data), and prepare an action plan to meet skills gap/ training needs assessment, and quantify the requirements for skilled persons for—institutional staff, workers, entrepreneurs, especially women (quantify gaps for different job roles to the extent possible, based on data availability);
- review skill development ecosystem, which shall include the availability of training institutes, trainers, courses aligned with NSQF/ NCVT/ SCVT etc. standards; and infrastructure gap analysis should cover the status of current skill training programs at the district level, national or international best practices, recommendations and roadmap for implementation;
- undertake stakeholder consultations (with DOIC-GOT, TIDCL, DPIIT/ MOMSME/ NEC/ MDONER, Industrial Units, training providers, domain experts, and industry practitioners; and ADB; and collate feedback on key issues affecting skilling ecosystem;
- prepare training modules, training program sessions, training materials/ knowledge dissemination, and organize training sessions;
- initiate training impartation on best practices in industrial policy design and management of industrial development, and on modern methodologies to collect industrial data and statistics, monitor, evaluate, appraise and manage large industrial parks or complexes/ areas/ estates; and enhance participants knowledge on industrial psychology, policy generation and review as well, reforms applicability for improved capacity benefits in the context of fuelling industrial growth and managing transformation;
- document and disseminate training feedback received, analyse, and improvements suggested/ made;
- map existing wages earned and suggestions of enhancement due to implementation of proposed interventions of skills and capacity development;
- facilitate DOIC and PMU-TIDCL in processing of sector development program for skills and capacity development of institutions/ other stakeholders in industrial sector;
- coordinate with PDMC in document preparation on project readiness for ensuing project;
- facilitate DOIC and PMU-TIDCL in ensuing loan processing; and
- any other task as assigned by the PMU-TIDCL from time to time under PRF.



**Health and Safety Measures:** For their own health and safety, the consultant should follow the regulations and guidance on coronavirus disease (COVID-19) health and safety prevention and controls issued by the Client's government, or international good practices in the absence of national provisions. The Client must, where possible, replace field inputs requiring travel and attendance of meetings with video and teleconferencing. The consultant is responsible for their own health and safety in relation to the consulting services assignment and shall comply with the country specific requirements and regulations in relation to COVID-19.

Due to the outbreak of COVID-19, the commencement and completion dates and other implementation arrangements for this assignment are to be considered as indicative only. The final dates and implementation arrangements will be agreed with the first-ranked candidate at contract negotiations taking into consideration the prevailing situation with COVID-19 at that time.

## QUALIFICATIONS

**Minimal Educational Qualification:** Preferably a Master's degree in the area of social science, development studies, industrial and public policy, industrial economics, business management, urban economics, urban planning or related disciplines; over a Bachelor's degree in social science/ economics/ engineering/ physical planning or equivalent.

**Professional Experience:** Shall have 12 years of general experience and 8 years of specific experience as skills/ capacity development expert in integrated industrial/ urban/ tourism/ transport or similar major infrastructure sectors, with demonstrated experience in preparation and implementation of comprehensive skills/ capacity development plans is required. Strong analytical and strategic thinking skills is required. Excellent oral and written communication skills in English are required.

Work experience of five years with any of the following project or project authority is desirable: UN umbrella organisation; externally aided project by multilateral development banks (ADB, The World Bank, NDB, etc.)/ bilateral agencies (JICA, DFID, GIZ, etc.); in integrated industrial/ urban/ tourism/ transport sectors is desirable.

Minimum General Experience	12 Years
Minimum Specific Experience (relevant to assignment)	8 Years
Regional/Country Experience	Required

## Deliverables:

- Bi-monthly report of activities, consultations, and analysis/ findings/ recommendations, if any.
- Report on Comprehensive Skill Development Plan [Detailed list of stakeholders consulted, and minutes of the meeting held during primary interactions should also be included in the submission.]
- Report on Training Plan, Training Program Implementation, and Participants' Feedback
- Sector development program processing support

## Schedule and Place of Assignment:

- Schedule Type: Intermittent
- Place of Assignment and Duration: 70 person-days (spread over 9 months period)
 

Home Office	: 40 days
Field Office (Agartala/ Other Cities in Tripura)	: 30 days

**TERMS OF REFERENCE FOR INDEPENDENT AUDITOR**

*(if engaged as Independent auditor as an alternate to Government auditor)*

**A. Scope of the Assignment.**

1. For scope of the audit, the auditor is required to follow the guidelines prescribed in terms of reference (TOR) duly approved by the CAG and department of economic affairs. Attestation of auditor is required on all schedules prescribed in TOR and audit report shall be strictly as per template with minor modifications if applicable while expressing an opinion (whether clean or qualified, disclaimer or an adverse opinion if any). The audit report must include, all required additional opinions including a management letter unless specifically mentioned otherwise in writing with brief explanations. Other relevant documents that the auditor is required to familiarize himself/herself are: ADB PRF paper, relevant loan agreement between ADB and government of India and project agreement between ADB and the government of Tripura, an Project administration manual (PAM) for relevant cost estimates and expected outputs in detail, ADB's applicable policy guidelines Operation Manual (OM)– J7: Project financial reporting and project administration instructions (PAI) – 5.07: Financial auditing and auditing of loans and grant financed projects. Upon selection, the auditor must obtain access to previous year audit reports and ADB observations therein for obtaining an understanding on audit issues involved and incorporating them on audits periods as described in para 11 below. If necessary, the selected auditor may further be requested to share his draft audit report prior to its issuance to the TIDCL. At all times, the auditor is expected to maintain consistency and uniformity keeping in mind of audit quality. Unexplained inconsistencies, if any, shall be explained. On matters relating to poor audit quality or inappropriate audit opinion not in accordance with scope of this assignment, both the TIDCL management and ADB may approach relevant professional accounting body which is the Institute of chartered accountant of India (ICAI).

2. The auditor will have full and complete access, at all reasonable times, to all records and documents including books of account, legal agreement(s), bank records, invoices and any other information associated with the project and deemed necessary by the auditor. He/she will be provided with full cooperation by all employees of the TIDCL and the project implementing units, whose activities involve, or may be reflected in, the annual project financial statements. The auditor will be assured rights of access to banks and depositories, consultants, contractors and other persons or firms hired by the employer.

3. Due to public nature of expenditure, the audit reports (to be issued) shall not contain any restrictive paragraphs on use of audit reports. The audit reports issued will be subject to disclosure at ADB website as per agreement between ADB and the government of Tripura. Addressal of questions arising from public if any on any expenditures or financial information contained in audit reports, shall be the responsibility of the government of Tripura and the auditor issuing his/her opinion.

**B. Selection Process**

5. Based on EOIs received through an open competitive bidding, candidates will be evaluated and short-listed. The EOI shall include detailed Biodata with experience of various assignments. The short-listed candidates will be invited for discussions with relevant GOI officials. Selection and payment of remuneration for audit services on this ongoing loan shall be through ADB loan fund using Guidelines on Use of Consultants by Asian Development Bank and its

borrowers (for individual consultants and consulting firms). Relevant documents are available in public domain at [www.adb.org/documents/adb-procurement-policy](http://www.adb.org/documents/adb-procurement-policy)

6. As per project agreement between ADB and the government of Tripura, the project during its implementation shall require its project accounts to be audited by an independent auditor using financial reporting standards prevalent in the country. The auditor required for the assignment should be independent and qualified chartered accountant having experience of at least 15 years. The individual consultant should have adequate exposure into public sector audits and other relevant assignments of externally assisted projects. The selected auditor will be required to issue an “independent project audit report” in accordance with auditing standards by mentioning the applicable framework. 2 support staff (semi or qualified) can be separately engaged by the auditor, whose proposed names, qualifications, and experience shall be shared with the TIDCL. For the proposed assignment, the appointment by the TIDCL. The contract will be between the TIDCL and the individual consultant. ADB is not a party to the proposed contract. However, ADB or its representatives reserves the right to inspect any working papers, provide suggestions and or issue relevant guidance as appropriate.

### **C. Auditor Qualification**

7. The desired auditor must be (i) an individual who is having a valid certificate of practice (COP) issued and registered under the Institute of Chartered Accountants of India (ICAI) or a reputed firm of Chartered Accountants duly registered under the ICAI; (ii) the person or firm selected shall be objective and independent at all times; (iii) must be able to demonstrate similar experiences in auditing or accounting of financial statements for projects and entities comparable in type, nature and complexity; (iv) should be a chartered accountant having completed at-least 40 years of age and must have minimum 15 years of post-qualification experience in field of attesting financial statements. (v) will be willing to act as a team player and must possess good communication skills, which is subject to evaluation through EOI application submission. (vi) may include support staff assigned who shall work under direct supervision of the proposed consultant and subordinate staff of the TIDCL (vii) candidates with international audit or accounting experiences will be given preference.

8. On fulfilling independence, the auditor will be impartial from any aspects of management or financial interest in the entity or project under audit. In particular, the auditor should be independent of the control of the entity. The auditor should not, during the period covered by the audit, be employed by, or serve as director for, or have any financial or close business relationship with the entity. The auditor should not have any close personal relationships with any senior participant in the management of the entity. The auditor must disclose any issues or relationships that might compromise their independence.

9. The proposed auditor must be authorized to practice in India and be capable of applying the agreed auditing standards. The auditor must possess appropriate professional qualifications and suitable experience, including experience in auditing the accounts of projects or entities comparable in nature, size and complexity to the project or entity whose audit they are to undertake. To this end, the auditor is required to provide curriculum vitae (CV) of the personnel who will provide the opinions and reports, together with the CVs of support staff (if any).

### **D. Duration and Budget (to be updated as per requirement)**

11. Total duration of the assignment shall be spread over for xxxx days. Two reasonable assurance audit reports along with management letters (on deficiencies of internal control if

identified during the course of the audit) are expected from the engaged auditor on a) For the period 1 April xxxx to 31 March xxxxxx. Engagement for this deliverable is likely to be commenced w.e.f. 1 xxxx onwards. Final report to be issued within xxxx Reporting deadline to ADB is 30 September xxxx . b) Final project audit report after expiry of winding up period xxxxxxxxx and relevant financial closure as appropriate immediately after winding up period and audit for the period 1 April xxxx until financial closure date.

14. A budget of US\$ xxxx (including contingencies, 2 support staff and other incidental expenses is earmarked for the job. For deliverable on 11(a), fees can be paid immediately upon completion of the service. Payment for 11(b) on final audit shall be paid in accordance with provisions paragraph 4.22 on payment of final audit fees of the ADB loan disbursement handbook (LDH-2017 revised).

## **Quarterly Progress Report (QPR) Format**

**Loan: \_\_\_\_-IND**  
**Infrastructure Development of Industrial Estates**  
**in Tripura**  
**[ADB Assisted - PRF Loan]**

**Consolidated PRF Project**  
**Quarterly Progress Report (QPR-x)**  
**(\_\_\_\_\_ 20xx)**

*Name of Executing Agency*



# Contents

Chapter 1	Project at A Glance
Chapter 2	Status of the Executing Agency and Consultant(s) Staffing
Chapter 3	Status of Input(s) (Procurement and Consultant Recruitment)
Chapter 4	Progress on Project Output(s)
Chapter 5	Status of Last Action Plan ( <i>Previous ADB Review Mission/TPRM / last Progress Report</i> )
Chapter 6	Status of Major Loan Covenants
Chapter 7	Key Implementation Challenges and Proposed Actions
Chapter 8	Financial Management
Attachment 1: Status of Ongoing Contract Packages Attachment 2: Status of Consultants Staffing Attachment 3: Consultants' Performance Evaluation Report Attachment 4: Detailed reconciliation (by Withdrawal application) of project records and ADB disbursement records (LFIS/ GFIS) for the fiscal year to date and cumulative Attachment 5: Status of Financial Management action plan (completed/ ongoing) Attachment 6: Status of past audit observations (resolved/ pending)	



## CHAPTER 1 PROJECT AT A GLANCE

*Brief project description to be filled by project team (one-time entry; to be updated only in case of change).*

### 1. LOAN MILESTONE

Milestone	Approval	Signing	Effective	Orig. Closing	Rev. Closing
Dates					
Extensions (Nos)				Time Remaining	

### 2. LOAN UTILIZATION STATUS (\$ MILLION)

Cat.	Description	Allocation (a)	Contracts (b)	Unutilized loan balance (c) =(a-b)	Disbursed (d)	Undisb. Contract balance (e)=(b-d)	Overall Undisbursed (f)=(a-d)

### 3. POTENTIAL LOAN SAVINGS (IF ANY) AND LIKELY CANCELLATION DATE.

### 4. STATUS OF COUNTERPART FUNDS (\$ MILLION)

Required Counterpart Expenditure by the Executing Agency	Budgeted by State Govt. in Current Financial Year	Actual Amount Released	Shortfall /Excess
1.Non-reimbursables Activities fully funded by the executing agency (LA/R&R etc.)			
2. Reimbursable (from loan)			

### 5. STATUS OF CONTRACT AWARDS AND DISBURSEMENTS (\$ MILLION) IN CY XXXX

Indicator	Quarter	I	II	III	IV	Total
Contract Award	Target					
	Achieved					
	Balance					
Disbursement	Target					
	Achieved					
	Balance					

[Targets - for the ADB PRF financing compare the actual disbursement with the disbursement projections as per the S curve included in the PAM), Include an analysis of significant variances between planned and actual disbursements; and]

### 6. STATUS OF PROJECT REPORTS\* TO BE SUBMITTED TO ADB

Type of Reports	Frequency	Due Date	Status
Quarterly Progress Reports			
Consolidated Annual Reports			
Audited Project Accounts - APFS			
Audited Project Accounts - AEFS			

\* As stated in project administration manual.

AEFS = audited entity financial statement, APFS = audited project financial statement.

Consolidated QPR-x of \_\_\_\_\_ PRF

## CHAPTER 2 STAFFING

### A. STATUS OF PMU/ PIU STAFFING

#### (a) PMU Staffing

1 a	Is the Project Director (PD) currently posted?	Yes/ No	Nature of PD posting	Part Time/Full Time
1 b	Current PD is posted since when?	xx		
2 a	No. of PMU staff as agreed with ADB or as per Org. Structure in PAM.	xx	Actual no. of PMU staff in place at present.	
			Full Time	
			Additional Charge	
2 b	Details of PMU Positions which are currently vacant.*	•		
3 a	Are PIUs required to be established in the Project?	Yes/ No	Are PIUs fully staffed	
3 b	No. of PIUs required as agreed with ADB in Org. Structure in PAM	xx	Actual no. of PIUs	

\* Includes individual consultants under PRF.

ADB = Asian Development Bank, PAM = project administration manual, PIU = project implementation unit, PMU = project management unit, PRF = project readiness financing.

#### (b) PIU Staffing

1 a	Is the Additional Project Director (APD) currently posted?	Yes/ No	Nature of APD posting	Part Time/Full Time
1 b	Current APD is posted since when?	xx		
2 a	No. of PIU staff as agreed with ADB or as per Org. Structure in PAM.	xx	Actual no. of PIU staff in place at present.	
			Full Time	
			Additional Charge	
2 b	Details of PIU Positions which are currently vacant.*	•		

\* Includes individual consultants under PRF.

ADB = Asian Development Bank, PAM = project administration manual, PIU = project implementation unit, PRF = project readiness financing.

### B. MOBILIZATION STATUS OF CONSULTANT'S STAFFING (KEY EXPERT POSITIONS) AND THEIR PERFORMANCE

*(Please provide your overall feedback in narrative statement e.g. key issues overall performance etc. and attach staffing status and Consultant's Performance Evaluation Report (PER): Attachment 2 & 3)*

### CHAPTER 3 STATUS OF PROCUREMENT AND CONTRACT MANAGEMENT

#### A. Prioritized Subprojects

##### (a) List of Names of Prioritized Subprojects

Project Town/ Destination	Longlist of Subprojects	Shortlist of Subprojects	Prioritized Subprojects	Remarks
<b>Total</b>	<b>... No's</b>	<b>... No's</b>	<b>... No's</b>	

##### (b) Status of Prioritized Subprojects

Project Town/ Destination	Name of Prioritized Subproject	Feasibility Study Report	DPR	Due Diligence Documentation	Bid Document

#### B. Status of Contracts Awarded

Cost Category under which Procurement is carried out	ADB Financing	Cumulative Contract Awards	Uncontracted Loan Balance	Cumulative Disbursements
Consultants	\$..... million	\$..... million (xx Pkgs awarded)	\$..... million	\$..... million
Civil Works	\$..... million	\$..... million (xx Pkgs awarded)	\$..... million	\$..... million
Equipment	\$..... million	\$..... million (xx Pkgs awarded)	\$..... million	\$..... million
<b>Total</b>	<b>\$..... million</b>	<b>\$..... million</b>	<b>\$..... million</b>	<b>\$..... million</b>

(Please attach Contract Monitoring Sheet indicating status of each of the awarded contracts in Attachment 1)

Consolidated QPR-x of \_\_\_\_\_ PRF

**C. Status of Remaining Procurement**

S. No.	Component	Remaining Contract Packages			
		No. of Pkgs with Cost	Brief Scope	Current Stage	Target Date of Award
1	Consultants	xx (\$...million)			MM/YYYY
2	Civil Works	xx (\$... million )	km of road rehabilitation/ house service connections in xx towns	- IFB to be issued - Under Tech Evaluation - Under Fin. Evaluation - Under Contract Negotiation - Under Contract Signing	MM/YYYY
3	Equipment	xx (\$...million)			MM/YYYY
	<b>Total xx Packages</b>	<b>\$xx million</b>			<b>(Target date of the latest procurement)</b>

**D. Status of Other PRF Activities/ Outputs/ Consultant's Reports\***

S. No.	Activity/ Output Description	Intended Milestone/ Any Revised Timeline	Actual Achievement	Remarks
1	Inception Report with QAP/ QMP			
2	Strategy, Action Plan, and Investment Plan			
3	Prioritization Matrix/ Subproject Selection Criteria			
4	Climate Risk and Vulnerability Assessment (CRVA) and Climate Resilience Framework			
5	Destination Improvement Master Plan			
6	Report on Tourism Market Analysis and Investment Needs Assessment			
7	Report on (a) Tourism Product Development; and (b) Tourism Marketing and Promotion Strategies			
8	Planning/Procurement for Promotional Material			

<b>S. No.</b>	<b>Activity/ Output Description</b>	<b>Intended Milestone/ Any Revised Timeline</b>	<b>Actual Achievement</b>	<b>Remarks</b>
9	Report on Use of Potential PPP Modality in Tourism Sector with Key Innovative PPP Initiatives, and An Enabling Framework for PPP in Tourism Sector			
10	Institutional Review Report			
11	Institutional Strengthening/ Capacity Development Plan			
12	Programs on Training/ Workshops/Seminars/ Conferences, etc., including Training Guidelines and Plan			
13	Training Sessions			
14	Training Implementation and Evaluation Report			
15	Strategic Procurement Planning (SPP) Study Report			
16	Procurement Plan			
17	Comprehensive Design Review Report on Compliance to Climate Resilient Design Inputs			
18	Detailed good for construction (GFC) drawings			
19	Contract Management Plan(s)			
20	QAQC Manual			
21	O&M Manual			
22	Implementation of Institutional Reforms			
23	GAP/ GESI Plan			
24	<i>etc.</i>			

\* As stated in project administration manual.

GAP = gender action plan, GESI = gender and social inclusion, O&M = operation and maintenance, PPP = public – private partnership, QAP = quality assurance plan, QAQC = quality assurance quality control manual, QMP = quality management plan.

**CHAPTER 4**  
**PROGRESS ON PROJECT OUTPUTS (AS IN PAM)**

Output	Monitoring Indicators/ Targets	Progress		Remarks
		Last Quarter	Current Quarter	

*Detailed status of ongoing contracts is in Attachment 1.*

**CHAPTER 5**  
**STATUS OF ACTION PLAN**

*(Please include issues previously discussed during previous  
ADB Review Missions/ TPRM/ Progress Report and their compliance/ status)*

<b>SN</b>	<b>Issues/ Action Plan</b>	<b>Responsibility</b>	<b>Time Frame</b>	<b>Status</b>

**CHAPTER 6**  
**COMPLIANCE WITH MAJOR COVENANTS**

<b>S. No.</b>	<b>Covenants</b>	<b>Compliance (Y/ N)*</b>	<b>Remarks</b>
<b>A</b>	<b>Loan Agreement</b>		
1			
2			
3			
4			
5			
6			
<b>B</b>	<b>Project Agreement</b>		
1			
2			
3			
4			
5			
6			

*\*In case of any exceptions, deviations, non-adherence identified, please provide details as an “Annexure” to the Quarterly Project Report highlighting the shortcomings and proposed time-bound corrective action plans to achieve compliance.*



**CHAPTER 7**  
**(KEY IMPLEMENTATION ISSUES/ CHALLENGES**  
**AFFECTING PROJECT PROGRESS AND PROPOSED ACTIONS)**

<b>S. No.</b>	<b>Major Issues*</b>	<b>Actions</b>	<b>Responsibility</b>	<b>Time Frame</b>
1	<b>Planning and Design Issues</b> (Change in design/ scope/ implementation arrangement/ cost overrun/ staffing.....)			
2	<b>Procurement Issues</b> (Contract packaging/ material sources/ availability of contractors/ skill sets/ contract management issues etc.)			
3.	<b>Safeguard issues during Planning and Design</b> (Land acquisition / Resettlement /tree cutting/ etc.)			
4.	<b>Other Issues during PRF Implementation</b>			

*\*In case issue identified, please provide details e.g. details of change in design/ implementation arrangements, pending safeguards actions, encumbrance free sites to be handed over to the contractor (numbers/kilometer) with targeted date by which the same could be handed over to the contractor; If all Drawings/Design are not issued/approved, name of such Drawings/Design and targeted date by which the same could be handed over to the contractor; Decision pending with employer and consultants (such decision could be approval of, variations, extra item rate, etc.)*

## **CHAPTER 8**

### **(FINANCIAL MANAGEMENT AND RECONCILIATION WITH ADB DISBURSMENT RECORDS)**

#### **A. Reconciliation of Project records and ADB's disbursement records.**

1. [Include here a summary reconciliation of project records and ADB disbursement records (LFIS) for the reporting period and cumulative from project inception to end of the reporting period.
2. Explain reasons for discrepancies and outline follow-up actions required (if any). Attach a detailed reconciliation by withdrawal application as per Attachment 4].

#### **B. Status of the project's Financial management arrangements**

3. Here include the following:
  - (i) Describe any problems in the existing financial management arrangements and /or flow of funds and any significant changes occurred during the reporting period (e.g., financial management staff turnover, implementation of new financial systems, emerging financial management related risks etc..).
  - (ii) Summarize the status of each agreed action in the financial management action plan outlined in the PAM. Attach a detailed log as per Attachment 5].
  - (iii) Outline the status of recommendations and immediate actions provided by ADB as part of the APFS/AEFS review (if any) and financial management related recommendations agreed during ADB review missions (if any).
  - (iv) Summarize the status of Status of past audit observations (if any). Attach a detailed log as per Attachment 6.

**Attachments:**

Attachment 4. Detailed reconciliation (by Withdrawal application) of project records and ADB disbursement records (LFIS/GFIS) for the fiscal year to date and cumulative.										
WA details			Per project records/APFS (Amount recorded in the project Financial statements as reimbursement, direct payment, etc..)				Per ABD disbursement records LFIS/GFIS (actual Paid)			
Withdrawal application No (WA)	Disbursement method (reimbursement, direct payment, etc..)	Time period covered in the WA	Date	In local currency (as recorded in project records/ financial statements)	exchange rate	USD equivalent (A)	Value date	In USD (B)	Difference (A-B)	Reason for difference (i.e. timing forex. Pending rejected)
1		1-31.3.2020	XX			XX		XX		
2			XX			XX		XX		
3			XX			XX		XX		
etc..										
<b>Total in Fiscal year to date</b>			XX			XX		XX		
<b>Total Cumulative to date</b>			XX			XX		XX		

Attachment 5: Status of Financial Management Action Plan					
Key Risk	Risk Mitigating Activity	Timeline	Responsible Entity	Current status (implemented/Pending)	Remarks (including planned actions and timeline in case of noncompliance)

Attachment 6: Status of external audit observations – Cumulative from inception to end of reporting period						
Recommendation/ audit observation	External audit recommendation	Date of the recommendation	Planned action to address the recommendation	Responsibility	Current Status of the planned action (pending /resolved)	Remarks



2. Statement of Budget vs. Actual for the year ended DD/MM/YYYY										
	Notes*	For the current year ended 20xx			For the Prior year ended 20xx			Cumulative (from inception to the end of current year)		
Expenditure Categories		Budgeted	Actual	Variance	Budgeted	Actual	Variance	Project Budgeted as per the PAM	Actual	Variance
Expenditure category 3	5.3									
Expenditure category 4										
Etc.										
Total Payments										
Total Project Cost										
* Any significant variances are to be explained in the notes										
Project Director: [Signature]					Finance Manager: [signature]					

3. Statement of Disbursement By Financing Source for the year ended DD/MM/YYYY				
Statement of Disbursement	Notes	Current Year	Prior Year	Cumulative Project to Date
<b>ADB grant - Funds claimed during the year</b>	7.1			
Reimbursement <sup>3</sup>				
Imprest Fund <sup>3</sup>				
Direct Payment				
<b>Subtotal</b>				
<b>ADB Loan - Funds claimed during the year</b>	7.2			
Reimbursement <sup>3</sup>				
Imprest Fund <sup>3</sup>				
Direct Payment				
<b>Subtotal</b>				
<b>ADB additional Loan - Funds claimed during the year</b>	7.3			
Reimbursement <sup>3</sup>				
Imprest Fund <sup>3</sup>				

3. Statement of Disbursement By Financing Source for the year ended DD/MM/YYYY				
Statement of Disbursement	Notes	Current Year	Prior Year	Cumulative Project to Date
Direct Payment				
<b>Subtotal</b>	7.4			
<b>ADB additional Grant Funds claimed during the year</b>				
Reimbursement <sup>3</sup>				
Imprest Fund <sup>3</sup>				
Direct Payment				
<b>Subtotal</b>				
*list of WAs/claims submitted to be disclosed in the notes				
Project Director: [Signature]				Finance Manager: [signature]



**4. Statement of Imprest/ Advance account for the year/ period ended DD/MM/YYYY (for each advance account separately)**

<b>Account details: XXXX</b>			
	<b>Notes</b>	<b>Current Year</b>	<b>Prior Year</b>
Balance brought forward from previous period			
Add: Advance <sup>1</sup> Replenishment received during the year/period <sup>1</sup> Interest Earned			
Subtotal (A)			
Deduct: Payments made during the year/period Replenishment /Liquidation <sup>1</sup> Expenditure yet to be claimed  Amount refunded during the year/period			
Closing Balance (B)			
As per bank statement (copy attached)			

Project Director: [Signature]

Finance Manager: [signature]

## **NOTES TO THE FINANCIAL STATEMENTS FOR THE YEAR ENDED [YEAR END DATE]**

### **1. Project Information**

#### **1.1 Key highlights:**

*Project title*

*Funded by:*

*Management:*

*Executing Agency*

*Implementing agencies*

*Start Date:*

*Closing date:*

*Project Duration:*

*Funding Sources/modality/amount*

#### **1.2 Impact and Outcome**

### **2. Summary of Significant Accounting policies.**

*2.1 Basis of preparation*

*2.2. Cash Basis of accounting*

*2.3. Recognition of Receipts and payments*

*2.4. Third party payments*

*2.5. Presentation currency*

*2.6 Foreign Currency Translation*

*2.7. Changes in Accounting policies*

*2.8 Reporting period*

*2.9 Comparatives*

### **3. Funds received**

*3.1 -3.4 Funds received from ADB /List of WAs by financing source*

*3.5 Funds received from the Government*

*3.6. funds received from Other*

*etc..*

### **4. Payments**

*List of Payments from the advance account/sub-advance account.*

*List of third-party payments/direct payments.*

### **5. Variances**

*List and explain any significant variances between budget and actual expenditures*

**6. Opening and closing balances**

*List details of the opening balances*

*List details of the closing balances*

**7. Disbursements/Withdrawal Applications**

*Include detailed list of WAs claimed from ADB with the following breakdown : i) funding source (ADB loan, ADB grant, ADB additional loan, ADB additional grant), ii) WA number, iii) time period in which expenditures were incurred iv) the amount claimed and currency, v) date submitted, vi) disbursement method, vii) the amount disbursed by ADB and vii) used exchange rate.*

**8. Special notes for the FY**

*Disclose a break down Interest Expenses/ Financial Charges incurred as part of the project for the current year, past year and cumulatively.*