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Director (Smart Cities)



भारत सरकार  
शहरी विकास मंत्रालय  
निर्माण भवन

GOVERNMENT OF INDIA  
MINISTRY OF URBAN DEVELOPMENT  
NIRMAN BHAWAN

नई दिल्ली-110011, तारीख 20

New Delhi-110011, Dated the 5<sup>th</sup> April, 2017<sup>20</sup>

DO No.K 14012/101(45)/2015-SC-III(A)

Dear Sir / Madam,

As you are aware, the Smart Cities Mission seeks to improve the quality of life of citizens by harnessing the potential of ICT-based Smart Solutions in improving efficiency of core services, facilitating government-to-citizen interactions and improving overall governance and delivery of services.

While several Smart Solutions have been proposed by cities as part of their Smart City Proposals, the sector is still nascent and there is enormous scope for large scale innovation. In this context, the **Ministry of Urban Development has launched a scheme for "Promoting Innovative Smart Solutions under SCM"**, with the twin objective of providing a fillip to the development of innovative Smart Solutions that can impact the needs of cities under the Mission, and making available a large body of pilot tested and proven solutions that can be adopted by cities as per their needs. Details of the scheme are enclosed.


The scheme includes funding for development and pilot testing of new and innovative Smart Solutions. ULBs may send their project proposals to the Ministry for funding under the scheme in the enclosed format. The projects should be jointly initiated with Research Institution(s) and Industry Partner(s). The industry partners should be willing to fund 40% of the proposed project cost. The proposals should have the approval of the State High Powered Steering Committee (HPSC) for the Smart Cities Mission.

The last date for receiving the completed proposals is 30<sup>th</sup> May, 2017.

We look forward to your participation in the scheme and receiving high quality proposals from your State by the indicated deadline.

With kind regards,

Yours sincerely,

  
(SAJEESH KUMAR N.)

To  
All Principal Secretaries of States / UTs

## **PROMOTING INNOVATIVE SMART SOLUTIONS UNDER SMART CITIES MISSION, AMRUT AND SWACHH BHARAT MISSION**

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1. The Smart Cities Mission (SCM) of the Government of India, promotes cities that provide core infrastructure and give a decent quality of life to its citizens, a clean and sustainable environment and application of 'Smart' Solutions. Such Smart Solutions include ICT interventions for e-governance, online government services, and for improving the efficiency of core services at a relatively lower cost. These build upon the IoT (internet of things) that allows exchange of data over a network, between objects and devices, allowing analysis of real-time data that can be used to usher in a new wave of transformative digital services in cities and enhance citizen services and quality of life.

An indicative list of ICT-based Smart Solutions is provided in the Mission Guidelines and is given at Annexure 1 for reference.

2. While several such smart solutions have already been proposed by cities as part of their Smart City Proposals, the sector is still in a nascent stage and there is enormous scope for large scale innovation to meet the emerging needs of the sector. In this context, the Ministry of Urban Development has launched a scheme for "Promoting Innovative Smart Solutions under Smart Cities Mission, AMRUT and Swachh Bharat Mission". The scheme will provide funding support for industry-sponsored, outcome-oriented projects focused around the needs of ULBs under the Smart Cities Mission, AMRUT Mission and Swachh Bharat Mission.

### **OBJECTIVES**

3. The scheme will have the following key objectives:
  - a. To provide a fillip to the development of new and innovative Smart Solutions that directly impact the needs of cities;

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- b. To ensure availability of funding for practice research of direct relevance to the outcomes desired under the Missions;
  - c. To make available a large body of pilot-tested and proven Smart Solutions that can be adopted by cities as per their specific needs;
  - d. To promote a culture of innovation within the urban sector.

## **APPLICATION PROCESS**

- 4. ULBs can submit Project Proposals for developing innovative Smart Solutions, duly approved by the State High Powered Steering Committee (HPSC) of the respective Mission (Smart Cities Mission, AMRUT Mission or Swachh Bharat Mission), in the format prescribed as per Annexure 2;
- 5. The projects should be initiated jointly with Research Partner(s) and Industry partner(s) willing to financially support the project;
- 6. Essential features of Project Proposal:
  - a. The scope of the project should be restricted to ICT-based Smart Solutions;
  - b. The project must have a component for pilot testing of the smart solution in the city (size of the proposed pilot and reasons for the same must be mentioned in the Project Proposal);
  - c. The projects should be designed for a maximum period of 24 months from the date of announcement of Selected Proposals;
  - d. All activities proposed under the projects including R&D activity and completion of pilots should be planned within this period;
  - e. The proposal should clearly mention the specific needs of the city, availability of supportive environment, relevance to the Smart City Proposal of the city etc.;
  - f. The proposed solutions should address specific needs of the citizens (as brought out during citizen consultations undertaken as part of the SCM);
  - g. There should be clear innovative outcomes from the project;
  - h. The solutions should be amenable to replication and scale-up upon successful demonstration of 'Proof of Concept (PoC)';

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- i. The technology proposed to be used should be general and non-proprietary wherever possible. Reasons for choice of technology should be clearly specified as part of the proposal.
7. **Research Institution(s)** chosen as project partner(s) should be eminent institutions (within and/or outside India) having experience of developing and implementing ICT-based smart solutions in governance and/or service delivery. These could include:
    - a. Government of India funded/supported institutions/Autonomous bodies such as IIMs/ IITs;
    - b. Any other organizations/institutions with relevant experience.
  8. **Industry Partner(s)** should include eminent industry players willing to financially support the project (part-support as indicated in Clause 10) and having the ability to scale-up successful PoCs.
  9. The project proposal can cover the cost of the following components:
    - a. Remuneration of Project Team;
    - b. Cost of equipment;
    - c. Maintenance/ consumables and all such expenditure that is needed to run the experiments;
    - d. Cost of collaboration/ consultations required for the project;
    - e. Cost of conducting a pilot to demonstrate outcomes;
    - f. Cost for travel
    - g. Administrative charges not exceeding 10% of the proposed project cost.
    - h. All applicable taxes
  10. Following will be the funding pattern under the scheme.
    - a. 40% by Industry Partner(s)
    - b. 60% by MoUD

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11. The limit on the project size will be INR 3 crores (total including funding by Industry Partner). The proposal must include a detailed break up of costs.
12. The Intellectual Property Rights (IPR) of the products developed under the scheme, will be jointly owned by the Ministry of Urban Development, applying ULB, Industry Partner(s) and the Research Institution(s) conducting the project.
13. All proposals (in prescribed format as per Annexure 2) duly signed and stamped (1 hard copy) should be sent to the following address:
- Director (SC III)  
Room No.  
Nirman Bhavan  
Maulana Azad Road,  
New Delhi. 110011
14. Last date for sending Proposals will be 30<sup>th</sup> May, 2017.

## **SELECTION PROCESS**

15. The scheme will be administered by the National Institute of Urban Affairs (NIUA).
16. A technical committee appointed by NIUA will review all the Proposals received and put up the same for the review and recommendations of the CBUD Procurement Committee.
17. The final decision on awards will be taken by an Apex Committee chaired by the Mission Director, Smart Cities Mission, and comprising of the following members:
- a. Mission Director, AMRUT
  - b. Mission Director, Swachh Bharat Mission
  - c. JS &FA

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18. A total of five proposals will receive funding under the scheme.

### **FUND RELEASE AND MONITORING**

19. The following reporting requirements will have to be met:

Inception Report	Within 30 days of start of project
Desk Report and Plan of Action for Pilot	30 days prior to proposed start of pilot
Draft Final Report after completion of pilot (including inter-alia analysis and findings from pilot and scale-up plan)	Within 15 days of completion of pilot
Final Report (incorporating feedback from NIUA if any)	Within 15 days of receipt of feedback

20. Project funding will be released as per the following milestones:

Project Commencement	30% of MoUD share of funds
Date of commencement of pilot	50% of MoUD share of funds
Submission of Final Report (after completion of pilot and incorporation of feedback on the Draft Final Report)	20% of MoUD share of funds

21. MoUD share of funding for the project will be met from the 2% A&OE charges of respective Missions (Smart Cities Mission, AMRUT Mission or Swachh Bharat Mission)

22. NIUA will undertake periodic monitoring of the project to ensure committed outcomes.

## ANNEXURE 1

### Smart Solutions indicated in the Smart Cities Mission Guidelines



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**ANNEXURE 2**

**Project Proposal**

**For**

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**Submitted to**

**Ministry of Urban Development  
Govt. of India, New Delhi**

**-----, 2017**

**Name of ULB**

Project Name	Date
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## DETAILS OF THE PROPOSAL

### PART 1: BACKGROUND INFORMATION

#### 1. Title of Project:

#### 2. Applying ULB

- a) Name :
- b) Address :
- c) Nodal Contact Officer :

#### 3. Details of Lead Research Organization\*

a.	Name of Entity with full address	:	
b.	Tel. No.	:	
c.	Fax No.	:	
d.	Email	:	
e.	Year of Incorporation.	:	
f.	Years in Operation	:	
g.	Type of Institution (Government of India supported/funded/ Autonomous/academic Institution/ Not-for-Profit organization)	:	
h.	Name and address of the person holding the Power of Attorney.	:	
i.	Details of Offices/ Branches:	:	
j.	Name and details (Tel / Mobile / E mail) of contact persons	:	
k.	Institutional Structure (Provide in Tree Form)	:	

Letter of Association for each must be submitted with the proposal

**4. Details of Partner Organization(s)\***

a.	Name of Entity with full address	:	
b.	Tel. No.	:	
c.	Fax No.	:	
d.	Email	:	
e.	Year of Incorporation.	:	
f.	Years in Operation	:	
g.	Type of Institution (Government of India supported/funded/ Autonomous/academic Institution/ Not-for-Profit organization)	:	
h.	Name and address of the person holding the Power of Attorney.	:	
i.	Details of Offices/ Branches in India:	:	
j.	Name and details (Tel / Mobile / E mail) of contact persons	:	
k.	Institutional Structure (Provide in Tree Form)		

\*Letter of Association for each must be submitted with the proposal

**5. Proposed Team**

<b>Name</b>	<b>Organization</b>	<b>Position proposed</b>	<b>Short brief on relevant experience conducting assignment for the</b>

**(i) Team Leader**

Name :

Competence of the person for the position:

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(Attach separate sheet for CV in the format given in Annexure 3)

**(ii) Co-Team Leader**

Name :

Competence of the person for the position:

(Attach separate sheet for CV in the format given in Annexure 3)

**(iii) Other members of the Project with their designations and description of competence** (Attach separate sheets for CVs of each investigator in the format given in Annexure 3)

**6. Details on relevant assignments of the applying organization and partner organizations.**

5.1: Title:

- (a) Brief Project Summary :
- (b) Technical Status :
- (c) Financial Outlay :
- (d) Duration and starting date :

5.2: Title:

- (a) Brief Project Summary :
- (b) Technical Status :
- (c) Financial Outlay :
- (d) Duration and starting date :

5.3: Title:

- (a) Brief Project Summary :
- (b) Technical Status :

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(c) Financial Outlay :

(d) Duration and starting date :

**7. Whether a similar proposal has been submitted elsewhere for funding. If Yes, please provide details (size of funding, expected start date and duration).**

**8. Infrastructure and other facilities available at the Research Institution(s) for undertaking this project.**

a) **List of major equipment along with model numbers, specifications etc.**

b) **Hardware**

c) **Software**

d) **Expensive Equipment /facilities available elsewhere which could be made use of for the project.**

**9. Industry Partner(s)**

d) Name :

e) Address :

f) Nodal Contact Officer :

**Additional information, if any.**

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## PART 2: TECHNICAL INFORMATION

1. Problem statement, Aim and Scope of the project (in terms of specific physical achievement)
2. Detailed description of the Project: This should include details of technology proposed to be used for the project and reasons for choice of technology (suitability to local context, ease and cost of upgradation/modification, ease of use by end-users etc.). The technology proposed to be used should be general and non-proprietary (wherever possible).
3. Details of City: Needs in the particular city, availability of supportive environment, relevance to the Smart Cities Mission, AMRUT, Swachh Bharat Mission, relevance to priorities indicated during citizen engagement process conducted at the time of SCP preparation etc.).
4. Need forecast and urgency for the technology proposed to be developed with justification such as importance of know-how, import substitution role, pay off w.r.t. purchase of know-how or development of technology competitiveness, technology exports, international alliances possibilities etc.
5. Details of size of proposed pilot and reasons for the same should also be mentioned. Scope for scale-up to other cities may also be indicated.
6. Outcomes and beneficiaries - (should include details on amenability of project to be scaled to the rest of the city as well as to other cities)
7. Timelines (not more than 24 months)

Broad Milestones	Committed timeline
Project start	T0
Completion of development stage	T1 = T0 + ___days
Completion of pilot	T2 = T0 + ___days
Submission of final report	T(close)

8. Information regarding specific intermediate milestones

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9. Specific manner in which know-how generated here is envisaged to be translated into production, details regarding:
    - a. The end product (with specifications to be attained etc.)
    - b. Availability of pilot production facility in the organization
    - c. Alternative production
    - d. Alternative users/uses
  
  10. Performance metrics proposed for the project outcomes (including stage-wise KPIs for evaluation of outcomes)
  
  11. Specific problems, hold-ups and difficulties foreseen in the implementation of the project.
    - a. If yes, how does the Team propose to overcome them?
  
  12. Detailed PERT/BAR Chart for Specific Milestones
  
  13. Role of partner organizations in India or Abroad jointly participating in this effort, extent of their involvement, specific division of responsibility, accountability etc.

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### PART 3: PROJECT FINANCIALS

- Total cost of the project (INR) = \_\_\_\_\_

- Break-up of costs

Sr No	Head	Amount (INR)
1	Remuneration of Project Team	
2	Cost of equipment	
3	Maintenance/ consumables and all such expenditure that is needed to run the experiments	
4	Cost of collaboration/ consultations required for the project	
5	Cost of conducting a pilot in order to demonstrate outcomes	
6	Cost for travel	
7	All applicable taxes	
8	Administrative charges not exceeding 10% of the proposed project cost	
	TOTAL	

- SHARING OF COST

Contributing Agency	Amount (INR)
MoUD Share	
Name of Industry Partner*	
Add more columns in case of more Industry partners	

\*Documentary evidence of commitment received from Industry Partner(s) must be enclosed with the Project Proposal in the form of a Letter of

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Association. The letter must clearly state the financial commitment to the Project in INR (numbers and words) for the entire period of the Project.

- **FINANCING FOR SCALE-UP**

Details may be provided on the likely sources of future funding, user charges, fees etc. that could make the implementation and scale up financially sustainable.

Signature of Nodal Officer (ULB)

Name of officer

Designation

Date



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**ANNEXURE-3**

**BIO DATA OF INVESTIGATORS**

**Name:**

**Position proposed in the team:**

**Technical Qualification:**

**Institution:**

**Year of completion:**

**CPI/Grade:**

**Research Papers published -**

<b>Title of Research paper</b>	<b>Authors</b>	<b>Year of Publication</b>	<b>Conference / Journal</b>

**Experience:**

Summary of major ongoing/completed projects

<b>Title</b>	<b>Period</b>	<b>Technological Area</b>