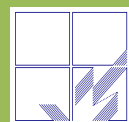


# PROFILE

## Urban Water Supply & Sanitation



**JPS Associates (P) Ltd.**  
**New Delhi**



## ABOUT JPS ASSOCIATES

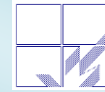
JPS Associates is a consulting firm specializing in management, development, agriculture & natural resources management, and engineering. The company was founded in 1987 and incorporated as private limited company in 1995. JPS has amassed a reputation for improving and enhancing performance excellence of some of the most reputed clients and has been working in development projects directly with and funded by international and bi-lateral development agencies like the World Bank, Asian Development Bank (ADB), United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), International Labour Organisation (ILO), Global Environment Facility (GEF), European Union (EU), United States Agency for International Development (USAID), Department for International Development (DFID), Japan Bank for International Cooperation (JBIC), Japan International Cooperation Agency (JICA), French Development Agency (Agence Française de Développement- AFD), Canadian International Development Agency (CIDA), Australian Agency for International Development (AusAID), Kreditanstalt für Wiederaufbau (KfW), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH and Norwegian Agency for Development Cooperation (NORAD). Our government clients include national institutions, central government, state government, local government and parastatals such as public sector undertakings and public sector banks.

We are a team with diverse range of expertise and experience. The Head Office in New Delhi is the driving force behind the Company activities, centralising the management specialists and design staff and providing overall direction and supervision to the on-going projects. We also have an extensive network of retained experts, who add strength to our team in sharing commitment to deliver exceptional results for our clients.

We leverage our more than 30 years of experience, deep knowledge of processes, insights, and best practices internalised through implementing about 1000 projects. These are supported by strong IT/technology, reengineering, analytics and global delivery capabilities to deliver a comprehensive client solution. From strategy through implementation, our hands-on approach has achieved success in delivering quantifiable and value-driven results. Our partnership with our clients ensures a lasting effect which is ultimately their asset and knowledge. Our reputation for being leaders in specialised fields of central and local government has built us a solid clientele in our home base India, and a reach into the international arena.

JPS is an ISO 9001: 2015 certified company. We pursue our quality policy and all business units integrate the policy and further strengthened by quality surveillance and project monitoring team.





## URBAN WATER SUPPLY AND SANITATION

### FIELDS OF SPECIALIZATION

#### Management

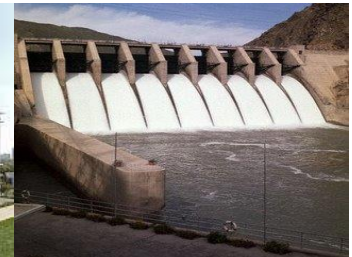
- Governance, Public Services and Policy
- Organisation Development & Institutional Strengthening
- Monitoring and Evaluation
- Information Management & E-Governance

#### Development

- Social Development & Surveys
- Public Health
- Urban Development Planning
- Regional and Rural Development Planning
- Tourism
- Natural Resource Management
- Environmental Management
- Agriculture and Agri-Business

#### Engineering

- Transportation
- General Engineering

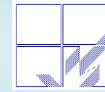




**RANGE OF SERVICES:**

JPS provides specialist sector specific services which are presented under each business units. The general services include the following:

- Policy
- Project Planning and Preparation
- Program Management Consultancy Services
- Master Planning & Conceptual Designs
- Field Surveys & Investigations
- Pre-Feasibilities and Feasibilities Studies
- Detailed Designs/ Detailed Project Reports
- Financial Management & Accounting Services
- Project/Program Monitoring & Evaluation
- Capacity Development and Institutional Strengthening
- Human Resources Planning
- Manpower Analysis
- Business Planning
- Information Management Services/ Management Information System (MIS)
- Environmental Impact Assessment And Management
- Socio-Economic Studies & Social Impact Assessment
- Community Development
- Resettlement & Rehabilitation
- Livelihoods and Sustainable Development
- Efficiency Improvement/ Cost Reduction Study/ Profitability Improvement Studies
- Tender Documentation
- Concession Agreements
- Bid Processing
- Procurement Assistance
- Owner's Engineers and Independent Engineers Services
- Project Management / Construction Supervision
- Third Party Quality Control/ Quality Assurance
- Impact Assessment Studies



**URBAN WATER SUPPLY AND SANITATION SERVICES:**

- Water and sanitation improvement program
- Clarifying the mandates of water supply and sanitation service providers
- Improving the governance of water supply and sanitation services providers (•WSS customer surveys, •WSS GIS mapping, •ring-fencing WSS operations, selection of ULB institutional options, •WSS computerized billing, •improving WSS collection efficiency, •city sanitation plan, WSS public disclosure)
- Improving efficiency of assets and sustainable services (hydraulic modeling and 24x7 WSS pilots, sustainability of sources for water supply, NRW reduction strategy and action plan, household metering, on-site sanitation/sewerage systems, establishment of ULB level WSS institutions, MIS, tariff policy and guidelines, solid waste management)
- Financing water supply and sanitation operations and infrastructure development
- Regulating the urban water supply and sanitation service (service performance improvement strategies, monitoring the quality of the WSS service, resetting and adjusting tariffs)
- Building capacity, developing procedures and professionalizing actors of the water supply and sanitation sector (institutional options including PPP/service provider; utility/regional utility models, training and capacity building)
- Customer/citizen communication and outreach program
- Developing Procedures for community participation



**Location:** Agartala, Aizawl, Gangtok, Kohima and Shillong

**Client:** Ministry of Housing and Urban Affairs, Government of India

**Funding Agency:** Ministry of Housing and Urban Affairs, Government of India

**Period:** October, 2019 – March, 2022

**Associate Firm:** Nil

## RELEVANT EXPERIENCE

### **Program Management and Monitoring Consultants (PMMC) for the North Eastern Region Capital Cities Development Investment Program for Ministry of Housing and Urban Affairs, Government of India**

#### **Brief Description of Project:**

The Government of India is implementing an investment program to improve urban conditions in North Eastern Region capital cities, namely, Agartala, Aizawl, Gangtok, Kohima and Shillong. The expected impact of the Investment Program is improved environment and well-being of urban residents in the five capital cities. The expected outcomes of the Investment Program are increased access to better urban services for the 1.5 million people expected to be living in the Investment Program cities by 2019. To this end, the Project envisages (i) improving urban infrastructure and services and (ii) strengthening urban institutions for better service delivery by building management and implementation capacity.

#### **The Project comprises of two parts:**

Part A covers urban infrastructure and services improvement including the rehabilitation, improvement and expansion of (i) water supply (ii) sewerage and sanitation and (iii) solid waste management.

Part B covers Investment Program management and implementation support and a comprehensive capacity building assistance to support the accomplishment of the urban institutional and financial reform agenda, and enhance planning, operation and maintenance (O & M), revenue mobilization and financial management capabilities of service providers.

#### **Services Provided:**

JPS are envisaged to support MOUD's IPCC in undertaking its management, monitoring and coordinating functions.

The program commenced in 2009 with funding from ADB. The ADB assistance to the program came to an end in June 2019, at the end of 10 years. However, it was found that there were 22 ongoing projects, which could not be completed, and the Ministry of Housing and Urban Affairs requested the Government of India to allocate funds of Gol to complete the unfinished projects. The MoF, Gol agreed to the request of the MoHUA and provided a budget of Rs 400 crore to finish the ongoing projects in a period of two years i.e. till June 2021.

The current extension of contract of JPS as PMMC is for a period of 20 months i.e. from October 2019 to June 2021. The main objective of PMMC for this phase is to assist the NERUDP cell and the program Manager to monitor and assist the 5 States in completing the ongoing projects so that the benefits of the program accrue to the citizens of these 5 capital cities, mentioned above.

During the extension, there is no change in the scheme or its concept and no new projects are to be undertaken.

The details of the support to be provided are given below:

#### **Support is to be provided for:**

- Monitoring overall Program implementation and compliance with the agreed implementation program and its timelines;



- Reporting and supervision and Consolidating payment/reimbursement requests.

**The scope of work includes the following broad activities:**

**Urban Governance and Financial Reform:**

Provide direct support to all States in relation to the implementation of the reform agenda paying particular attention to ensuring compliance with program covenants and ensure that all actions necessary for successful implementation are met.

**Program Management and Monitoring**

- Continue with a common repository system within IPCC for secondary data across the program (with primary data being maintained at the State level);
- Continue with the common frameworks for reporting (a) progress (physical and financial), (b) accounts, (c) procurement, (d) safeguards compliance and (e) covenant compliance, etc;
- Support with any other activities relating to management and monitoring of the program.

**Design and Supervision Engineering Services**

- Assist the Investment Program Manager with day-to-day coordination, monitoring and approval activities;
- Coordinate planning, control and management of the work of a multidisciplinary team;
- Develop overall Investment Program Performance Monitoring System (IPPMS) in the form of an MIS system, and continue with the systems already developed such as progress monitoring thru a Monthly Progress report.
- Monitor progress, evaluate results and support the States in the identification and resolution of constraints;
- Oversee the overall quality of construction and States/Contractor compliance with requirements, including compliance with design parameters and materials, occupational health and safety standards, environmental and social safeguard requirements;
- Assist/advise the States in conducting procurement activities in compliance with GOI requirements and assist them in resolving matters pertaining to disagreement/arbitration with contractors;
- Assist the Investment Program Coordination Cell (IPCC) of MoUD in all coordination matters including (a) submission of monthly and quarterly reports and (b) accounting and disbursement matters;
- Assist the IPCC in providing overall guidance to the States in the implementation of urban governance and financial reform agenda, including (a) providing all necessary support to State governments in drafting of documentation for compliance with prescribed covenants.

**The specific domain-related tasks under the above consultancy assignment, comprise of the following:**

**Disbursement:**

- Provide direct support to the IPCC Accounts Manager;
- Liaise with senior accountants in SIPMIUs;
- Review payment submissions from the States and their compliance with program objectives, and recommend payments;
- Prepare consolidated cash flows for States/MoUD for submission to the Ministry's Budget Section.
- Prepare consolidated Investment Program projections and support States/MoUD in the budgetary exercise;



**Water /Wastewater:**

- Review detailed designs prepared by SIPMIUs relating to water supply and waste water.
- As part of program implementation, specifically monitor the overall progress at State level of NRW monitoring and rectification programs;
- As part of implementation, monitor overall quality of construction of water and wastewater facilities and compliance with agreed designs by contractors, conducting audits together with SIPMIUs as necessary;
- Support the Team Leader in monitoring the implementation of water and wastewater utility programs, particularly in matters pertaining to metering, rationalization of charges, creation of databases and GIS systems etc; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of water and wastewater components.

**Solid Waste Management:**

- Review detailed designs prepared by SIPMIUs relating to solid waste management prior to tranche approval and ensure compliance with all applicable guidelines;
- Provide recommendations/guide SIPMIUs accordingly;
- As part of program implementation, specifically monitor the overall progress at State level of waste segregation, issuing of applicable legal bylaws; and solid waste monitoring and rectification programs;
- As part of implementation, monitor overall quality of construction of solid waste management facilities and compliance.
- Support the Team Leader in monitoring the implementation of the solid waste management utility programs,

**Environmental Safeguards:**

- Review IEEs/EIAs and other environmental safeguards documents prepared by SIPMIUs in relation to the program prior to tranche approval to ensure compliance with State/GOI/ADB guidelines;
- As part of implementation, support SIPMIUs in the review of documentation pertaining to environmental compliance (including bidding documents, reviews on-site, reports from contractors etc);
- Conduct audits jointly with SIPMIUs' expert in matters pertaining to on-site Occupational Health and Safety; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of environmental requirements under the Investment Program.

**Social Safeguards and Community Development:**

- Assist SIPMIUs/IPPC in the design, preparation, planning and management of the community participation and awareness program;
- Support the IPCC in any matters that may relate to Public Relations at the Central level and support SIPMIUs and Community Awareness and Participation Specialist at State level to address matters that may arise at local level;
- Prepare materials and training programs for SIPMIUs to apply through Information, Education and Communication (IEC) at State levels;
- Together with the Team Leader, prepare governance reform programs and training modules to aid SIPMIUs/States support (a) the implementation of urban poverty alleviation functions at ULB level, (b) the preparation of a community participation law, (c) introduce services to the urban poor (including earmarking of funds); and
- With guidance from the Benefit Monitoring and Evaluation Specialist, select adequate indicators and ensure progress reporting in IPPMS and quarterly reports.





**Finance & Administration:**

- Release of funds to project states for program execution;
- Preparation of information for parliamentary matters;
- Provide guidance to SIPMIUs in preparation of project accounts and submission of claims to MOUD for release of funds and also for submission of claims to ADB;
- Provide support in all financial activities of NERUDP;
- Preparation of documents for submission to C&AG for audit of project accounts;

**MIS & Impact Evaluation:**

- Assist the SIPMIUs' specialist identifying physical, institutional, and financial data be analyzed to monitor sustainability and impact of project services;
- Commission and review third-party independent assessments and discuss with IPCC/SIPMIUs/ADB;
- Support the preparation of the Investment Program Completion Reports (per Tranche and final).

**Location:** Agartala, Aizawl, Gangtok, Kohima and Shillong

**Client:** Ministry of Housing and Urban Affairs, Government of India

**Funding Agency:** ADB

**Period:** 03.06.2019 - 02.10.2019

**Associate Firm:** Nil

**Consultancy Services for Benefit Monitoring & Evaluation of NERUDP in 5 North Eastern States as Programme Management and Monitoring Consultants (PMMC) under North Eastern Region Urban Development Programme of Ministry of Housing and Urban Affairs, Government of India**

**Brief Description of Project:**

The NERUDP is completing 10 years and is slated to close on 22<sup>nd</sup> June, 2019. Out of the 85 packages contracted, 54 packages have been completed, 15 packages are likely to be completed by 22<sup>nd</sup> June, 2019 while 16 projects are estimated to spillover beyond the closure date.

The main features of impacts to be monitored under Benefit Monitoring Study will be as follows:

1. Output Monitoring: Improvement in facilities vis-à-vis base line. Source: Physical inspection of new facilities and secondary data for baseline.
2. Outcome Monitoring: Improvement in coverage and availability of Water Supply, Sanitation and SWM to the citizens compared to baseline. Source: Citizen's sample survey; Departmental survey; group discussions.
3. Reforms & implementation of loan covenants: Implementation of reforms such as capacity building especially in O&M; accounting; strengthening of legislation; improvement in revenue and sustainability etc. Source: Secondary data; group discussions with officials; group discussions with citizens.

**Services Provided:**

The following is the sector specific areas where the JPS is required to conduct the study, collect the secondary/primary data, and submit analytical reports:

1. Water Supply Projects: Study of the water supply packages will include the following:
  - I. Coverage of the scheme
  - II. Per capita supply
  - III. Extent of metering
  - IV. NRW
  - V. Continuity & quality



- VI. Cost recovery
2. Sewerage and Sanitation Projects: Study of the sewerage packages will include the following:
    - I. Coverage
    - II. Wastewater collection
    - III. Cost recovery
  3. Solid Waste Management Projects: Study of the solid waste management packages will include the following:
    - I. Coverage
    - II. Waste collection
    - III. Cost recovery
  4. Incidence of waterborne diseases
  5. Water quality in significant water bodies in the immediate vicinity of the programme city.
  6. Study of Reforms and Loan covenants as per DMF of ADB in all three tranches

**List of projects (state-wise) for coverage for Benefit Monitoring are as follows:**

Areas of study for Benefit Monitoring under NERUDP			
S. No.	State	Sector	Packages
1.	Agartala	Water Supply	22 Tube wells and 14 OHSR, GWTPs; WS in South Zone
2.	Aizwal	Water Supply	Ground level water reservoirs, chlorinators, booster pump, water metres.; water supply in 5 wards
3.	Aizwal	SWM	Dustbins and garbage vehicles
4.	Aizwal	Sewerage	10 Community toilets and cesspool cleaner
5.	Gangtok	Water Supply	Pump house, distribution de-bunching, metering. NRW
6.	Gangtok	SWM	Landfill, vehicles, compost plant etc.
7.	Kohima	SWM	Landfill, vehicles, compost plant etc.
8.	Kohima	Sewerage	5 Community toilets
9.	Shillong	SWM	Landfill, garbage vehicles and dustbins, compost plant



**Location:** Rajasthan, India

**Client:** Ministry of Housing and Urban Affairs, Government of India (MoHUA)/Rajasthan Urban Drinking Water Sewerage & Infrastructure Corporation (RUDSICO)

**Funding Agency:** Ministry of Housing and Urban Affairs, Government of India

**Period:** 21st November, 2018 – 20<sup>th</sup> November, 2022

**Associate Firm:** SREI Infrastructure Finance Limited, Kolkata (Lead)

## Independent Review and Monitoring Agency (IRMA) for Atal Mission for Rejuvenation and Urban Transformation (AMRUT) in Rajasthan Cluster

### Brief Description of Project:

To extend the urban infrastructure development support to the ULBs, Atal Mission for Rejuvenation and Urban Transformation (AMRUT) mission was launched on 25th June 2015 by the Ministry of Housing & Urban Affairs (MoHUA), Government of India. The mission is being rolled out in 500 Cities geographically spread across the Country. MoHUA has appointed SREI-JPS Consortium to provide the services of a specialist Independent Review and Monitoring Agency (IRMA) in Rajasthan Cluster, comprising of sector specialists to carry out periodic review and monitoring of the projects under the Mission.

### AMRUT MISSION: Objectives

The purpose of Atal Mission for Rejuvenation and Urban Transformation (AMRUT) is:

- (a) To ensure that every household has access to a tap with assured supply of water and a sewerage connection;
- (b) Increase the amenity value of cities by developing greenery and well maintained open spaces (e.g. parks); and
- (c) Reduce pollution by switching to public transport or constructing facilities for non-motorized transport (e.g. walking and cycling). All these outcomes are valued by citizens, particularly women, and indicators and standards have been prescribed by the Ministry of Housing & Urban Affairs (MoHUA) in the form of Service Level Benchmarks (SLBs).

### AMRUT MISSION: Mission Components

The Mission has the following focus areas:

- (a) Water Supply
- (b) Sewerage facilities and septage management
- (c) Storm water drains to reduce flooding
- (d) Pedestrian, non-motorized and public transport facilities, parking spaces, and
- (e) Enhancing amenity value of cities by creating and upgrading green spaces, parks and recreation centres, especially for children

### Pre-construction Stage:

Review of the project at this stage is to primarily review and monitor the preparatory activities that go into a project prior to beginning actual procurement and construction. Such review should cover:

- i) Review of project design documentation
  - a. Check project components are in line with the approved Service Level Improvement Plan (SLIP)/ State Annual Action Plan (SAAP);
  - b. Check extent of completion of design with respect to the committed service level improvement sanctioned in SLIP/SAAP;
  - c. Review adherence to technical standards in the detailed execution designs / drawings prepared;
  - d. Review the project implementation plan (level of detail,



- interdependencies, linkage to resources, etc);
  - e. Check the sequence of design documentation with respect to project implementation plan; and
  - f. Review the test reports to examine adequacy of all surveys that are needed to be carried out for project design.
  - g. However, if the construction of the project has already started before Consultant is appointed, these activities may be done as an initial report.
- ii) Review of site preparation and clearances to begin construction
- a. Undertake site visit to examine availability of land/right of way for the project, to examine that the project site is free of encumbrances; access to site is available etc. Report on handing over of site to the contractor for construction;
  - b. Report on statutory clearances;
  - c. Report on progress with respect to shifting of utilities, if applicable; and
  - d. Review the probability of escalation in project cost and time delay in implementation on account of delays in site preparation and statutory clearances.
- iii) Review of project management mechanisms
- a. Report on whether mechanisms have been put in place for independent monitoring of physical quality of materials / construction / fabrication.
- iv) Review of O&M arrangements and outcome assessment
- a. Report on the assessment of the O&M arrangement for the project, specifically of its adequacy, financial arrangement and sustainability; and
  - b. Review of expected outcomes from the projects and quantification in terms of achievement of service level benchmarks.

### **Construction Stage:**

Review of the project through the course of its construction is to primarily review and monitor physical progress, financial progress, commercial performance, project quality, compliance to statutes and other requirements. Such review, to be conducted periodically (i.e. half yearly) over the construction period, should cover:

- i) Report on physical progress of the project;
  - a. Review the physical performance accomplished in the project with respect to the milestones projected in the DPR or the project implementation plan finalized at pre-construction/RfP stage;
  - b. Review of rescheduling of milestones on the basis of performance; and
  - c. Report on abnormal delays in project activities and advice on remedial measures.
- ii) Report on quality assurance systems and project quality
  - a. Report on methodology and frequency of tests carried out by the contractor/quality assurance Consultant by examining Requests for Inspection (RFI) and reports. Ensure that they are in line with good industry practices;
  - b. Confirm that the materials used for construction are as per the



- specifications of contract agreement (the Consultant shall not themselves undertake any physical testing of material / product / construction quality. However, the Consultant may prevail on the Project Executing Agency (PEA) to conduct necessary tests. Costs for such testing should be borne by the PEA); and
- c. Report about cases of non-conformance from quality reviews based on available documents and interactions.
- iii) Report on the commercial performance and financial progress of the project
- a. Commercial performance
    - i. Review and report on commercial performance of contractors under the project with respect to commercial terms and conditions, i.e. performance with respect to clauses such as – guarantee / warranty, defects–liability, licenses, bank guarantee, insurance, payment schedule, taxes, dispute resolution mechanisms, etc;
    - ii. Highlight and report on enforcement of critical commercial terms and conditions by either party that has an impact on time and cost of the project; and
    - iii. Suggest remedial measures to improve commercial performance
  - b. Financial progress of the project
    - i. Report on adequacy of systems for project related financial management;
    - ii. Report the quantum and timelines of contribution of funds from all the counter parties of the project by verifying receipts statements;
    - iii. Review documents related to claim for payments and payments made. Such documents will include – Invoices, Measurement Book, Bank statements, etc;
    - iv. Report on utilization of funds in verification with bank reconciliation statements;
    - v. Remedial measures to improve financial progress; and
    - vi. Report any major variation in overall project cost, due to changes in the Bill of Quantities as per the contract.
- iv) Compliance to the statutory requirements
- a. Report on compliance to directives by State and Central environmental agencies / authorities stated during the environmental clearance of the project, compliance with the Environmental Management Plan for the project, and good environmental management practices of the industry;
  - b. Report on provision, installation, and usage of health and safety equipment, procedures and practices at site by visual observation and examination of records. The report should include health and safety issues concerning workers at site;
  - c. Report on standards of health and sanitation arrangements maintained at campsite by visual observation and discussion with the concerned stakeholders;
  - d. Report about the progress of Resettlement and Rehabilitation of Project Affected Persons;
  - e. Report on persons requiring resettlement and rehabilitation assistance as reported by the land acquisition team and the DPR;
  - f. Report on compensation awarded and / or to be paid as per the records; and



- g. Report on court cases, which likely to affect the physical progress of the project.
- vi) Review of O&M arrangements and outcome assessment
  - a. Report on the assessment of the O&M arrangement for the project, specifically of its adequacy, financial arrangement and sustainability; and
  - b. Review of expected outcomes from the projects and quantification in terms of achievement of service level benchmarks.
- vii) Consultant will submit report to ULBs after completion of site visits for:
  - a. The requirements of improvements for execution and recordkeeping;
  - b. Corrective actions required to be taken;
  - c. Implementation of corrective actions suggested in earlier report; and
  - d. Discuss corrective requirement with SLNA (State Level Nodal Agency)
- viii) Quarterly Report:
  - a. Submit quarterly report to ULBs and SLNA.
- ix) Consultant shall design/improvise the information flow system from site to SLNA as well as communication system between contractor and PIU (Project Implementation Unit).

All reports, which are envisaged to be submitted to GOI, are required to be submitted to SLNA for discussion.

#### **Commissioning, Trial run and Testing Stage**

- i) Report on necessary training imparted to the operations and maintenance (O&M) team for taking over the completed project. The agency will check with records and discussion with participants;
- ii) Report on stages of testing and level of participation by the O&M team;
- iii) Reports on handing over of all documentation, "As Built" drawings, operational instructions and equipment manuals to the O&M team;
- iv) Report on trial runs and completion of project;
- v) Review of O&M arrangements and outcome assessment
  - a. Report on the assessment of the O&M arrangement for the project, specifically of its adequacy, financial arrangement and sustainability; and
  - b. Review of expected outcomes from the projects and quantification in terms of achievement of service level benchmarks.

#### **Post Construction Stage:**

- i) To report on overall performance of the asset created (project) with respect to
  - a. Capacity – delivering capacity requirements;
  - b. Service level Improvement- as compared to committed in SLIP/SAAP;
  - c. Functionality – meeting all functional requirements; and
  - d. Usage – extent of usage, break downs and shut downs.
- ii) Review of O&M arrangements and outcome assessment
  - a. Report on the assessment of the O&M arrangement for the project,



- specifically of its adequacy, financial arrangement and sustainability; and
- b. Review of expected outcomes from the projects and quantification in terms of achievement of service level benchmarks.

iii) Consultant will submit report to ULBs after completion of site visits for:

- a. The requirements of improvements for execution and record keeping;
- b. Corrective actions required to be taken;
- c. Implementation of corrective actions suggested in earlier report; and
- d. Discuss corrective requirement with SLNA (State Level Nodal Agency)

iv) Quarterly Report:

- a. Submit quarterly report to ULBs and SLNA; and
- b. Design/improvise the information flow system from site to SLNA as well as communication system between contractor and PIU (Project Implementation Unit)

All reports, which are envisaged to be submitted to GOI, are required to be submitted to SLNA for discussion.

In addition to the activities defined above, the following activities shall also be covered in the project reviews during the construction stage.

Visit Project Sites and upload Pictures on the AMRUT APP

- a. Report on the actual physical progress made on the specific project sites by uploading the site pictures on the AMRUT App (Android) developed by the Ministry of Housing & Urban Affairs, Government of India.
- b. The Consultant is also envisaged to ensure the availability of Android based devices to the site visiting Team.

**Location:** Muzaffarpur, Bihar, India

**Client:** Muzaffarpur Smart City Limited (an SPV floated by Government of India, Government of Bihar & Municipal Corporation of Muzaffarpur)

**Funding Agency:** Nagar Parishad, Kalmeshwar

**Period:** 18th June, 2018 – June, 2021 (36 months)

**Associate Firm:** SREI Infrastructure Finance Limited, Kolkata (Lead) and C-Net Infotech Pvt. Ltd, Bhopal (Consortium Partner)

### **Project Management Consultancy (PMC) Services to Design, Develop, Manage and Implement Smart City Projects under Smart City Mission in Muzaffarpur, Bihar**

#### **Brief Description of Project:**

Government of India has announced the list of 60 cities to be taken up for development as smart cities. The cities have to now move towards converting their plan proposals to projects. The objective of the assignment is to provide direct assistance to Muzaffarpur Smart City to design develop, manage and implement Smart City Projects as per Smart City Mission Guidelines.

The scope of PMC under the proposed mission is divided into three broad components namely (i) Project Management, (ii) Design & Development and (iii) Supervision. The Consultant shall support the Muzaffarpur Smart City in overall project management of Smart City projects, including designing, developing, managing and implementing smart city projects identified by the city on the following two outputs:

- Output 1: Area Based Development
- Output 2: Pan-city Solution

Under this assignment, the PMC is required to review projects identified by the Smart City for Area Based Development as well as for Pan City Solution as per the project details (module wise) mentioned in Smart City Proposal for Muzaffarpur. The consultant will carry out required investigations, design and prepare Feasibility Report,



Preliminary Design Report/ Detail Design Report (PDR/DPR), and assist in procurement of implementing partner/agency (ies) expeditiously for the indicative list of projects and any other project which may be envisaged for making the city smart. The PMC shall assist SPV in preparation of RFPs for the procurement of implementing partner(s)/ Agency (ies).

The PMC is envisaged to assist the Muzaffarpur Smart City in supervision & monitoring of the work of implementing agencies and the PMC shall be responsible for overall management of the project.

#### **Services Provided:**

#### **A. Task 1: Project Management:**

##### **I. Activity 1:**

- i. Provide strategic support/advice to SPV for project identification, prioritization, design & investigations, procurement, implementation, cost control, scheduling, risk management, public outreach, monitoring, auditing, reporting, and ensuring compliances and due diligences required for the project;
- ii. Assist SPV in raising, regulating, utilizing, and managing various funds and grants allocated by various bodies/schemes to the SPV and simultaneously manage accessing of funds by the SPV from other sources including debt, user charges, taxes, tolls, surcharge and others.
- iii. Review the project costs and financing plan/project financing options for each project and assess the need for additional fundraising to bridge gaps between capex required and allocable funds. The consultant shall be responsible for advising the most optimal financing options (as PPP etc.) and tie up the funds required by the projects.
- iv. Assist State Government/ SPV in identifying key stakeholders, (such as from elected representatives, eminent persons, sector experts, RWAs, market associations, government entities, institutions, etc., etc.) and conducting regular meetings to discuss progress and issues related to smart city projects, and prepare minutes for recording and circulation;
- v. Planning, scheduling and monitoring of the projects using PMIS / latest IT tools and techniques such as online monitoring of work sites with the aid of cyber tools.
- vi. Develop and implement procedure for timely payments to the contractors and monitor for compliance;
- vii. Monitor implementation of mitigation measures for the project Conditionalities, and update the Plan as per requirement.
- viii. Assist the SPV in fund raising activities, Prepare the SPV 's future cash flow statement for the next five years to identify annual or quarterly funding requirements
- ix. Establish all necessary records and the procedures of maintaining/updating such records for each package and for the entire project.
- x. Support the development/drafting of procurement/quality/other manuals, governance structure, and financial reporting mechanisms of the SPV.
- xi. Prepare the strategy and framework for citizen engagement and mass communication, and ensure compliance with smart city mission guidelines in this regard of all stakeholders of the projects.
- xii. Support the SPV in engaging knowledge partners to include national and international academic and research institutions, experts, specialists, think-tanks, and other relevant organizations that build and strengthen the SPV's capacities to consistently implement and showcase the Smart City projects.
- xiii. Assist the SPV in recruitment and capacity building for the SPV's employees and define/review the SPV's organizational policies including





Human Resource policy and draft code of conduct for employees, vendors/contractors.

## **B. Task 2: Project Implementation and Supervision**

### **II. Activity 6: Implementation phase:**

#### **a. Area Based Development:**

During the project implementation of the module(s)(group of projects), the Consultant shall:

- i. Assist SPV to conduct stakeholder consultation during design and implementation process.
- ii. Provide advice and guidance to the SPV for modern procedures and guidelines for project implementation and management in general.
- iii. Contract administration and Management of the modules;
- iv. Develop technical specifications for each Module
- v. Supervise and monitor construction work of each contracted module;
- vi. Scrutinize the implementing agency's detailed work program and guide implementing agency in preparation of supervision schedule/ work plan for each module;
- vii. Scrutinize construction methods proposed by implementing agency including environmental, safety, personnel and public issues;
- viii. Assess the adequacy of the contractors' inputs in material, labor and construction methodology and provide advisory whenever required;
- ix. Formulate a rehabilitation & resettlement framework as per requirement and monitor implementation of Social safeguards & environmental standards, if any.
- x. Carry out necessary quality control activities and certify that the quality of works conforms to the specifications and drawings;
- xi. Supervising the construction of various contract packages for related outputs of the Program
- xii. Record the work measurement jointly by PMC and SPV and certify the contractor's bill and recommend for making payments to SPV
- xiii. Assist the SPV in interim and final certification of the bills of payment;
- xiv. Furnish the detailed construction drawings as necessary during continuance of the contract or checking and recommendation of drawings for approval as required;
- xv. Assist for resolution of all contractual issues including examining the contractor's claims for variations/ extensions or additional compensations etc and prepare recommendations for approval by the SPV ;
- xvi. Assist third party inspection of work carried out by implementation agency(ies), if necessary, as decided by SPV
- xvii. Assist SPV in obtaining all necessary permissions and complying with statutory requirements as required prior to construction, such as permissions from line departments' viz. Railway, Road Transport, Highways, Department of Archaeology, Department of Forests and National Parks etc.
- xviii. Review and issuance for execution of contractors' design and drawings with approval of SPV for lump sum turnkey contracts and review the project documents and give recommendations as required for PPP projects.
- xix. Review and finalize the "as built" drawings submitted by Contractor;
- xx. Assist the SPV in issue of completion certificates;
- xxi. Inspect the works at appropriate intervals during defect liability period and certification issue;
- xxii. Prepare on behalf of SPV monthly project progress reports describing the physical and financial progress of each subproject, highlighting impediments to the quality and progress of the works and remedial



- actions, to be submitted to SPV
- xxiii. Assist SPV in monitoring of progress as per the Program Performance Monitoring System (PPMS) or as required by SPV
  - xxiv. Develop and maintain project management information system (PMIS) to track project progress and generate MIS progress reports such as physical and financial progress.
  - xxv. Develop and implement procedure for timely payments to the implementing agency (ies) and monitor for compliance.
  - xxvi. Support SPV in overall Project Management and coordination with implementing agencies, government agencies, private players, technology service providers and others.
  - xxvii. Support SPV to meet compliance requirements as and when required.
  - xxviii. Support SPV in documentation and presentation of outputs
  - xxix. Prepare Capacity building plan and Change Management Plan
  - xxx. Monitor and maintain issue tracker and keep on updating the status of all risks and issues from time to time.

#### **b. Pan-City Proposal**

The project implementation support shall include

##### **i. Project Management Activities**

- a. Develop the project plan and project charter
- b. Coordinate workshops and discussion meetings between SPV, State IT Department, State Line Departments, Municipal Corporation Officials, SI, MoUD/ (GoI) etc.
- c. Co-ordinate DPR submissions/approvals of SI.
- d. Responsible for reviewing the deliverables submitted by SI within a period of 2 week (or as agreed with SPV) from the receipt of that deliverable.
- e. Highlight deviations/issues in the deliverables of SI to relevant authority within the specified time limits and assist SI and SPV in resolution of issues.
- f. Prepare Capacity building plan and Change Management Plan
- g. Identify the legal changes required and assist in drafting and issuance of Government Orders for giving effect to the BPR
- h. Ensure that the technology standards, guidelines & frameworks are adhered to during implementation.
- i. Suggest and co-ordinate capacity building needs and training programs.
- j. Monitor and maintain issue tracker and keep on updating the status of all risks and issues from time to time.
- k. Defining the escalation mechanism for timely resolution of issues & risks.
- l. Co-ordinate for STQC certification.
- m. SLA monitoring and suggest changes in SLAs, if required
- n. Monitoring the performance of the SI against the base project plan
- o. Monitoring the performance of the overall system in terms of availability & efficiency against the service levels already defined for SI
- p. Suggest corrective and preventive measures to SPV and SI to enhance the performance of the system
- q. Coordinate with all the stakeholders and support the state departments while interacting with various agencies (internal and external) during the course of the project.
- r. Build mechanisms to ensure coordination and consultation between all key stakeholders and members of the SPV on a continued basis to facilitate the execution of the project.



- ii. Monitoring the deployment and commissioning of necessary hardware
  - a. Monitoring installation and commissioning of ICT infrastructure
  - b. Monitor the facility management services and help desk of the SI, to ensure system uptime
  - c. Provide fortnightly reports to SPV for the status of implementation till “go-live”.
- iii. Engaging STQC for Audit
  - a) The Consultant will be responsible to engage STQC to conduct the assessment/review of the system before rolling it out. The Consultant shall review and inspect all the procedures and systems relating to the solution.
  - b) The Consultant would be responsible for the outcome in the following areas in such a manner which results in successful STQC certification. Specifically the STQC shall look into:
    - Application audit
    - Review of Network and Website
    - Review and Implementation of Security Policies and Controls
- iv. UAT and Go-Live Report
- v. Monitoring the O&M

The consultant shall be responsible for reviewing the work of System Integrator and recommend payments to the SPV.

**Location:** Nagpur,  
Maharashtra, India

**Client:** Nagar Parishad,  
Kalmeshwar

**Funding Agency:** Nagar  
Parishad, Kalmeshwar

**Period:** 5th May, 2017 -  
2018

**Associate Firm:** Nil

### City Development Plan for Kalmeshwar City

#### Brief Description of Project:

The **City Development Plan (CDP)** for Kalmeshwar Municipal Council area is envisaged to be prepared as per the latest toolkit for Formulation of City Development Plans prescribed by the Government of India under the JNNURM and shall include the City Investment Plan.

The CDP is also envisaged to identify priority infrastructure projects in different sectors. It is expected to also fulfil all the requirements of State Nagarotthan Scheme of Maharashtra State updated from time to time.

#### Services Provided:

##### a. City Assessment

- To undertake an analysis of the existing situation focusing on demographics and economic activity, land use, financial, urban infrastructure and urban services (such as transportation, water supply and sanitation, sewerage and solid waste management, drainage, transport parking spaces), physical and environmental aspects including heritage areas, water bodies etc;
- To assess the financial status of the city government and parastatal and other agencies dealing with the service provision including an analysis of their credit worthiness and efficiency of the institutional frameworks;
- To assess as well as project population growth, infrastructure needs and resource requirements in the short-term and long-term perspective;
- To analyse the urban poverty characteristics of the slums e.g. social setup, availability of urban basic and social services and on-going slum improvement programmes etc;



- To analyse the present status of availability of urban basic services including the condition of infrastructure in the areas in inner city (urban renewal) which needs to be redeveloped;
- To identify existing nature of commercial and industrial establishments and the nonconformity to the existing land-use planning and zoning regulation in the inner city areas;
- To assess protection measures for heritage areas including archaeological heritage, architectural heritage and architectural conservation areas;
- To highlight the SWOT analysis of city government/parastatal agencies and related government departments to understand the factors responsible for inefficient and inadequate production and delivery of urban services, their managerial deficiencies and financial constraints and to highlight the critical factors which call for urgent remedial measures at the city and state government levels;
- To undertake situational analysis in consultation with all the stakeholders and civil society at the city level.

**b. Development of Strategic Agenda and Vision for the City**

- To develop strategies focusing attention on growth management, urban infrastructure and basic services, slum improvement, housing for EWS, provision of basic and social services for urban poor, protection of heritage areas, preservation of water bodies, redevelopment of inner city areas, based on the vision;
- To define outcomes and milestones on the vision and to ensure that these are measurable and have a time frame;
- To develop the vision in consultation with all the stakeholders and civil society, focusing on broad assessment of municipal resources, possible impact on the municipal budget and the proposal for reform to support development; to review the results of rapid city assessment relating to population growth, infrastructure needs and resource requirements in short-term and long-term perspective;

**c. Evolving Strategies for Development**

- To highlight interventions to operationalise the vision and future development of the city;
- Identification of options and strategies and their evaluation, keeping in view their contribution to the goals, objectives and reform agenda of JNNURM;
- To translate the strategies into programmes and projects;
- To identify the programmes which have maximum/optimum contribution to the achievement of city's vision and medium-term perspective;
- To prioritize strategies, programmes and projects through a consultative process with all stakeholders.

**d. Development of a City Investment Plan and Financing Strategy**

- Preparation of City Investment Plan (CIP) which will include the level of investment requirements to implement the CDP;
- Evaluation of financial options and strategies for financing the vision as enumerated in CDP;
- To identify the areas in which city government could finance by mobilising resources or in association with other tiers of the government; access to capital market or enlistment of private sector participation and steps needed to facilitate its participation.



**Location:** Agartala, Aizawl, Gangtok, Kohima and Shillong

**Client:** Ministry of Urban Development (MoUD), Government of India

**Funding Agency:** Asian Development Bank

**Period:** May, 2017 – October, 2019

**Associate Firm:** Nil

**Program Management and Monitoring Consultants (PMMC) for the North Eastern Region Capital Cities Development Investment Program, Tranche-3 for Ministry of Urban Development, Government of India (Loan No. 3337-IND)**

**Brief Description of Project:**

The Government of India is implementing an investment program to improve urban conditions in North Eastern Region capital cities, namely, Agartala, Aizawl, Gangtok, Kohima and Shillong. The expected impact of the Investment Program is improved environment and well-being of urban residents in the five capital cities. The expected outcomes of the Investment Program are increased access to better urban services for the 1.5 million people expected to be living in the Investment Program cities by 2019. To this end, the Project envisages (i) improving urban infrastructure and services and (ii) strengthening urban institutions for better service delivery by building management and implementation capacity.

**The Project comprises of two parts:**

Part A covers urban infrastructure and services improvement including the rehabilitation, improvement and expansion of (i) water supply (ii) sewerage and sanitation and (iii) solid waste management.

Part B covers Investment Program management and implementation support and a comprehensive capacity building assistance to support the accomplishment of the urban institutional and financial reform agenda, and enhance planning, operation and maintenance (O & M), revenue mobilization and financial management capabilities of service providers.

**Services Provided:**

JPS are envisaged to support MOUD's IPCC in undertaking its management, monitoring and coordinating functions.

**Support is to be provided for:**

- Reviewing the subprojects submitted by States in accordance with subproject selection criteria, and processing of the periodic financing;
- Monitoring overall Program implementation and compliance with the agreed implementation program and its timelines;
- Reporting and supervision and
- Consolidating payment/reimbursement requests.

**The scope of work includes the following broad activities:**

**Urban Governance and Financial Reform:**

Provide direct support to all States in relation to the implementation of the reform agenda paying particular attention to ensuring compliance with program covenants and ensure that all actions necessary for successful implementation are met

**Program Management and Monitoring**

- Prepare a common program management system (framework) for all tranches and States and detail out all activities under Tranches; given distance and communication constraints, a web-based system may be most appropriate with MOUD/Sates access and selected sections for public disclosure.



- Prepare common guidelines for benefit monitoring and evaluation and train all State SIPMIUs accordingly;
- Support the States in structuring and conducting baseline surveys;
- Prepare a common repository system within IPCC for secondary data across the program (with primary data being maintained at the State level);
- Prepare and agree common frameworks for reporting (a) progress (physical and financial), (b) accounts, (c) procurement, (d) safeguards compliance and (e) covenant compliance, etc;
- Support with any other activities relating to management and monitoring of the program.

#### **Design and Supervision Engineering Services**

- Assist the Investment Program Manager with day-to-day coordination, monitoring and approval activities;
- Coordinate planning, control and management of the work of a multidisciplinary team;
- Develop overall Investment Program Performance Monitoring System (IPPMS) in the form of an MIS system, agree on the most adequate platform and reporting system with the States, ensure its smooth transfer and monitor regular information inputs;
- Monitor progress, evaluate results and support the States in the identification and resolution of constraints;
- Provide long-term input to the development of project methodologies;
- Confirm that demand is adequately determined in proposals as per existing guidelines;
- Oversee the quality of designs, selection of appropriate technologies, equipment and materials by the States;
- Oversee the overall quality of construction and States/Contractor compliance with requirements, including compliance with design parameters and materials, occupational health and safety standards, environmental and social safeguard requirements;
- Assist/advise the States in conducting procurement activities in compliance with ADB and GOI requirements and assist them in resolving matters pertaining to disagreement/arbitration with contractors;
- Review updated costs and economic and financial information (including rates of return) prepared by the States for Tranches prior to submission to ADB;
- Prepare and update overall program implementation schedule and resource requirements (preferably in Microsoft Project Management)
- Define quality control mechanisms and parameters applicable to all States and coordinate/discuss implementation with SIPMIUs;
- Assist the Investment Program Coordination Cell (IPCC) of MoUD in all coordination matters with ADB, including (a) submission of monthly and quarterly reports and (b) accounting and disbursement matters;
- Assist the IPCC during ADB missions;
- Assist the IPCC in the review and preparation of documentation for Tranches for ADB's approval;
- Assist the IPCC in providing overall guidance to the States in the implementation of urban governance and financial reform agenda, including (a) providing all necessary support to State governments in drafting of documentation for compliance with prescribed covenants and (b) ensuring the timely submission to ADB after review.



**The specific domain-related tasks under the above consultancy assignment, comprise of the following:**

**Disbursement:**

- Provide direct support to the IPCC Accounts Manager;
- Liaise with senior accountants in SIPMIUs;
- Establish a sound accounting practice and systems to manage resources available;
- Develop budgetary control processes, design budget procedures and budget formats common to all SIPMIUs;
- Review payment submissions from the States and their compliance with program objectives, and recommend payments;
- Prepare consolidated cash flows for States/MoUD for submission to DEA/ADB for immediate payments;
- Train the SIPMIUs in the preparation of annual budget estimates and disbursement plans;
- Prepare consolidated Investment Program projections and support States/MoUD in the budgetary exercise;
- Together with the IT Specialist, develop IT-based systems in new offices, including means and methods to conduct cost accounting and tracking expenditure;
- Prepare manuals for use by IPCC/SIPMIUs as necessary and conduct hands-on training; and
- Prepare sections of monthly/quarterly reports pertaining to (a) compliance with ADB/Gol accounting/disbursement requirements (b) compliance with quarterly annual targets (contract awards and disbursements) and (c) compliance with recommendations prescribed at both MoUD and State level by program auditors.

**Water /Wastewater:**

- Review detailed designs prepared by SIPMIUs relating to water supply and waste water prior to tranche approval to ensure compliance with all applicable guidelines;
- Provide recommendations/guide SIPMIUs accordingly;
- As part of program implementation, specifically monitor the overall progress at State level of NRW monitoring and rectification programs;
- As part of implementation, monitor overall quality of construction of water and wastewater facilities and compliance with agreed designs by contractors, conducting audits together with SIPMIUs as necessary;
- Support the Team Leader in monitoring the implementation of water and wastewater utility programs, particularly in matters pertaining to metering, rationalization of charges, creation of databases and GIS systems etc; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of water and wastewater components.

**Solid Waste Management:**

- Review detailed designs prepared by SIPMIUs relating to solid waste management prior to tranche approval and ensure compliance with all applicable guidelines;
- Provide recommendations/guide SIPMIUs accordingly;
- As part of program implementation, specifically monitor the overall progress at State level of waste segregation, issuing of applicable legal bylaws; and solid



waste monitoring and rectification programs;

- As part of implementation, monitor overall quality of construction of solid waste management facilities and compliance with agreed designs by contractors, conducting audits together with SIPMIUs as necessary;
- Support the Team Leader in monitoring the implementation of the solid waste management utility programs, particularly in matters pertaining to compliance with contractual targets (for compost operations), rationalization of charges, creation of databases and GIS systems etc; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of solid waste management components.

**Environmental Safeguards:**

- Prepare internal environmental guidelines for the homogeneous preparation, implementation, monitoring and reporting of environmental documents across all States;
- Review IEEs/EIAs and other environmental safeguards documents prepared by SIPMIUs in relation to the program prior to tranche approval to ensure compliance with State/GOI/ADB guidelines;
- Provide recommendations/guide SIPMIUs accordingly and make necessary changes prior to submission to ADB/DEA - ensure consistency in the level of proficiency and presentation of the documentation;
- As part of implementation, support SIPMIUs in the review of documentation pertaining to environmental compliance (including bidding documents, reviews on-site, reports from contractors etc);
- Conduct audits jointly with SIPMIUs' expert in matters pertaining to on-site Occupational Health and Safety; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of environmental requirements under the Investment Program.

**Social Safeguards and Community Development:**

- Assist SIPMIUs/IPPC in the design, preparation, planning and management of the community participation and awareness program;
- Prepare guidelines for the application of a consistent framework across all States;
- Support the IPCC in any matters that may relate to Public Relations at the Central level and support SIPMIUs and Community Awareness and Participation Specialist at State level to address matters that may arise at local level;
- Prepare materials and training programs for SIPMIUs to apply through Information, Education and Communication (IEC) at State levels;
- Together with the Team Leader, prepare governance reform programs and training modules to aid SIPMIUs/States support (a) the implementation of urban poverty alleviation functions at ULB level, (b) the preparation of a community participation law, (c) introduce services to the urban poor (including earmarking of funds); and
- With guidance from the Benefit Monitoring and Evaluation Specialist, select adequate indicators and ensure progress reporting in IPPMS and quarterly reports.

**Finance & Administration:**

- Release of funds to project states for program execution;
- Withdrawals from ADB loan accounts;
- Preparation of information for parliamentary matters;
- Provide guidance to SIPMIUs in preparation of project accounts and submission





of claims to MOUD for release of funds and also for submission of claims to ADB;

- Provide support in all financial activities of NERUDP;
- Preparation of documents for submission to C&AG for audit of project accounts;
- To liaise with the states, DEA and ADB and CAAA.

**MIS & Impact Evaluation:**

- Assist the SIPMIUs and agree a framework for common M&E procedures, indicators, and reports under the investment program;
- Assist the SIPMIUs' specialist identifying physical, institutional, and financial data be analyzed to monitor sustainability and impact of project services;
- Support and maintain an IT/Web-based computerized system that enables States/MOUD uploading of program and monitoring information(some for internal access, some for disclosure to the public);
- Support the SIPMIUs in the preparation of surveys and collection of baselines and subsequent levels of information;
- Commission and review third-party independent assessments and discuss with IPCC/SIPMIUs/ADB;
- Support the preparation of the Investment Program Completion Reports (per Tranche and final).

**Program Management Consultancy, Madhya Pradesh Urban Services Improvement Program, Package No. MPUSIP- PMC 01**

**Brief Description of Project:**

Government of Madhya Pradesh (GoMP) through Government of India (GoI) has applied for a loan with the Asian Development Bank (ADB) for the proposed Madhya Pradesh Urban Services Improvement Program (MPUSIP).The entire Program envisages to deliver:

- Continuous, pressurized, safe and sustainable drinking water through private household metered connections in 128 towns in the State;
- Sewage and storm water collection and treatment systems which are proposed in 4 identified towns (Sanchi, Khajuraho - Rajnagar&Maihar); and
- Non-physical investments comprising of establishing GIS system, capacity building of participating urban local bodies in contract management, improving local operators capability through global partnership and building capacity of the implementing agency, urban local bodies and services utilities for ensuring long term sustainability of services.

**Program Components**

Interventions	Summary details
<ul style="list-style-type: none"> <li>• Water Supply</li> </ul>	<ul style="list-style-type: none"> <li>• Provision of physical infrastructure for achieving universal coverage of water services ensuring continuous pressurized (24x7) water supply through private individual house service connections to the resident population in 128 towns of Madhya Pradesh servicing about 3 million projected population (Year 2015) with first Phase implementation in 51 towns; and</li> <li>• Operations and maintenance services through appropriate build, operate contracting framework for about five years. Phase 1 consists of 51 towns.</li> </ul>

**Location:** Madhya Pradesh

**Client:** Program Management Unit, Madhya Pradesh Urban Development Company Limited, Madhya Pradesh Urban Services Improvement Program, Government of Madhya Pradesh

**Funding Agency:** Asian Development Bank (ADB)

**Period:** September, 2016-October, 2024

**Associate Firm:** Tata Consulting Engineers



<ul style="list-style-type: none"><li>• Sewerage and Storm Water</li><li>• Drainage</li></ul>	<ul style="list-style-type: none"><li>• Provision of sewage and storm water collection and treatment system in four towns (Sanchi, Khajuraho-Rajnagar and Maihar) including operations and maintenance services for four years to be implemented in Phase 1.</li></ul>
<ul style="list-style-type: none"><li>• Non Physical Investments</li></ul>	<ul style="list-style-type: none"><li>• Setting up of GIS based water and sanitation asset management and service delivery monitoring;</li><li>• Development of local indigenous service delivery capability through Global Water Operators Partnership program; and</li><li>• Capacity building of ULB functionaries</li></ul>

### Objectives of the Assignment

In addition to inputs from local design consultants, 2008 person-months of international and domestic consulting input (includes international key experts; national key and non-key experts) to be engaged through a firm will be required over the three-year construction period and one year operation period with main objectives as follows:

- (i) Contribute to the successful planning, design, implementation and operation of the Project through the provision of support to the project management offices (PMOs) (which shall include the PMU and PIU) and project implementing agencies (which shall include the EA, IAs and the participating ULBs);
- (ii) Strengthen the planning, engineering, operation and management, and financial capacities of the PMOs and, in particular, the IAs through institutional development by way of on-the-job and external training; and
- (iii) Assist in the monitoring of environmental, social, and financial commitments

The Program Management Consultant shall be responsible for successful and timely implementation of the Program. The PMC shall have one central team located in PMU and four field teams each located in an identified PIU. The roles and responsibilities of the PMC are grouped into following distinct activities:

- a) Preparatory and detailed engineering
- b) Procurement and bid management
- c) Contract management including construction supervision, quality control, measurements and payment certification of all infrastructure works, operations and maintenance of schemes
- d) Progress monitoring and reporting
- e) Program safeguards system compliance
- f) Assist the EA and IA in design, procurement, contract management, supervision and quality control of implementation of non-physical investments
- g) Program management and monitoring including progress reporting, results verification and assistance in risk mitigation
- h) Financial management and disbursement planning and
- i) Policy advisory and capacity building support

### Services Provided:

The scope of services envisaged include but are not limited to the following:

### Program Safeguards System Compliance

The key activities of PMC with regards safeguards issues envisaged to be undertaken by JPS are grouped into three categories, (i) Resettlement, (ii) Environment and (iii)



social and gender and are detailed below.

### **Program Safeguards – Resettlement**

Assist PMU and PIUs in implementation the Program in compliance with the resettlement requirements of the Program Safeguards System (PSS), and ensuring that the contractors (including their sub-contractors) design, construct and operate the project facilities in compliance with the PSS. Detailed tasks of PMC include, but not limited to, the following:

- Team's sensitization with the requirements and actions for compliance to Program Safeguard Systems (PSS);
- Based on the agreed program documents pertaining to Social Impact Assessment (SIA) and Land and Social Safeguard Management Plan (LSMP), prepare social safeguard documents including resettlement plans specific to each subproject;
- Support PMU in preparing stakeholder Consultation and Participation Plan (CAPP) as a part of project preparation and implementation strategy;
- Screen projects and ensure that components are not located in socially sensitive areas that will cause significant permanent involuntary resettlement and significant impacts on Schedule Tribe/ Schedule Caste Communities;
- Undertake field visits and work in close coordination with Design Consultants, PMU, PIUs and ULBs to ensure considerations regarding social risks and impacts are made and included in project location, design and technical specifications, to avoid or minimise the social impacts to the extent possible;
- Review LSMP and appraise PMU accordingly on extent of impacts on communities, especially poor, vulnerable and ST/SC families;
- Ensure the compliance of sub-project safeguard requirements by the respective stakeholders such as ULB, PIU, Contractor and any other concerned authority;
- Verify the status of land ownerships of the project sites and linear alignments for distributions/network components and rights of way (RoW) based on the land revenue records with support from a Land Revenue Officer;
- Organise public consultation with the affected parties in local language and record the proceedings and submit periodical reports;
- Carry out baseline surveys and implement the requirements of agreed LSMP especially concerning to the activities such as land acquisition, resettlement plan and/or plans for Schedule Tribes/ Schedule Caste communities) , if any in accordance to the PSS;
- Assist the respective PIUs and ULBs and the Land Revenue Officer at the PMU/MPUDC in any land acquisition process including all related issues of public consultation, compensation mechanism and any other necessary actions;
- Assist PIUs/ULBs and PMU in establishing an effective grievance resolution system for ensuring timely resolution of public grievances and complaints either from affected parties or from general public or any other stakeholder;
- Preparing terms of reference (TOR), identification and assisting relevant authorities in engaging the services of an independent third party for validation of land/assets donation activity and its reporting requirements;
- Verify the eligibility of land donation activities, if any, for the project with the engaged independent third party to validate that the donation transactions have met the PSS principles and requirements;
- Monitoring the activities of the independent third party and coordination for ensuring quality and timely reports confirming to PSS requirements;
- Prepare and submit periodical social safeguards compliance report for infrastructure components to the respective PIU and PMU;
- Review and report any deviations proposed to the agreed safeguards management plan by the contractor arising out of change in land requirement due to detailed engineering design and ensure compliance to the PSS;
- Assist PIUs/ULBs to ensure formal and timely announcement of project cut-off dates in the project sites;



- Assist PIUs and PMUs in effective and efficient implementation of LSMP requirements;
- Ensure that public disclosure of the LSMPs is in local language and appropriate means of communication that that can be understood by the affected households and project beneficiaries
- Assist PIUs in Program implementation compliant to the safeguards of all social, and requirements of scheduled castes and tribes;
- Manage and monitor the LSMP implementation and report on compliance of safeguards with key issues and tasks as required to the PMU and PIUs, including support on grievance redressal;
- Assist the PIUs/PMU to ensure compliance to the PSS in all aspects of contract management throughout construction, commissioning, testing and operating phases for all sub-projects;
- Assist PIUs/ULBs and PMU in establishing an effective grievance resolution system for ensuring timely resolution of public grievances either from affected parties or from general public;
- Assist and support the Program's External Monitoring Agency if any appointed for annual audit of Program's compliance to the PSS;
- Undertake concurrent review and periodical evaluation of performance of the intermediary agencies (PIU and Contractor), involved in the project implementation and apprising of the PMU accordingly;
- Prepare completion reports, safeguards monitoring reports, and issue of progress certificates at various stages of program implementation of respective clusters as well as all future sub-projects if any;
- Prepare and submit report on a regular basis, which shall include but not be limited to the following:
  - Quarterly report on progress and compliance of LSMPs prepared;
  - Monthly report on consultation and disclosure of plans and activities;
  - Quarterly report on grievance and complaint redressed status and resolutions;
  - Monthly report on confirmation of compensation and other allowances paid to the affected people based on the social safeguard mitigation plans prior to the starts of civil works in the project areas; and
  - Quarterly report on public consultation concerning to PSS with the targeted beneficiaries and affected households.

#### **Program Safeguards – Environment**

Assist PMU and PIUs in implementation of the Program in compliance with the environmental requirements of the Program Safeguards System (PSS), and ensuring that the Contractors (including their sub-contractors) design, construct and operate the project facilities in compliance with the PSS. Stage-wise tasks of PMC include, but not limited to, the following:

#### **Preparatory and Procurement Period**

- Prepare environmental screening checklists and submit to PMU for categorization;
- Screen projects and ensure that components are not located in environmentally-sensitive areas (wildlife sanctuaries, national parks, tiger reserves, etc.,) to avoid significant environmental impacts;
- Advise PIUs and work closely with the technical design teams and ensure environmental considerations are included in project location, design and technical specifications, to avoid or minimise the environmental impacts to the extent possible;
- Prepare Environmental Assessment Reports (EARs) including Environmental Management Plan (EMP) for each subproject and submit to PMU for approval;



- Conduct public consultation and disclose information in compliance with the PSS;
- Incorporate all EMP measures into preliminary project designs;
- Integrate EMP into the bid and contract documents;
- Include all the environmental safeguards tasks to be handled by the contractor in the bid; and
- Include in the bid, the information on regulatory clearances required for the subproject.

#### **Detailed Design Engineering**

- Apprise the Contractors on overall PSS and compliance requirements during the design, construction and operation phase;
- Provide approved EARs and EMPs of respective subprojects, and apprise them of the environmental implementations for taking into consideration in detailed design and advise on update of screening checklist and EAR;
- Review the screening checklist updated by Contractor and confirm the category to PMU;
- Lead and assist Contractors/PIUs in any additional public consultation is required based on the changes in the project design and/or location from preliminary design stage;
- Ensure that Contractors develop project-specific EMPs with detailed measures to mitigate environmental impacts during construction and operation phases;
- Ensure that all the standards/conditions, if any, stipulated in regulatory clearances, consents are included in the project design;
- Ensure that an appropriate environmental monitoring program consistent with the EMP and commensurate to the impacts of the project is developed by Contractor as part of EAR and EMP;
- Advise and assist PIU/ULB to ensure that relevant information on environmental safeguards is disclosed to stakeholders, community, and affected people in form and language they understand;
- Disclose EAR summary in local language at respective PIUs and Project ULB offices;
- Ensure inclusion of any feedback from the public consultation process in the EARs and EMPs and recommend for approval of PMU;
- Ensure that all design-related measures are integrated into project designs before approval by the PMU;
- Assist PIU in establishing grievance redress system (GRS); and
- Advise/assist PIU in obtaining regulatory clearances, and applications and documentation required thereof.

#### **Construction Period**

- Ensure that all necessary clearances/permission are in place prior to start of construction;
- Monitor the implementation of project EMP to ensure Contractors and its subcontractor's compliance with the measures set forth in the EMP;
- Ensure that Contractor complies with the conditions, if any, stipulated in regulatory clearances, consents;
- Assist PIU in implementation of GRS, and advise the contractor on appropriate actions to redress the complaints; ensure that complaints/grievances are addressed in a timely manner and resolutions are properly documented;
- Advise on any corrective or preventative actions to be implemented by Contractor in case of non-compliance or new/unanticipated impacts including budget requirements; include all such suggested actions in the quarterly Environmental Monitoring Reports;
- Inform PIU and PMU promptly in case if any significant impacts surfaces, which were not identified in the EAR and develop necessary corrective actions as



- necessary and ensure implementation by the contractors; and
- Review and approve monthly monitoring reports submitted by Contractor, and consolidate and prepare quarterly Environmental Monitoring Report (EMR) and submit to PMU.

#### **Operation and Maintenance Period**

- Periodic review of implementation of EMP measures;
- Advise Contractor and PIU on any corrective / improvement actions if necessary Periodic tasks throughout the PMC period;
- Submit quarterly (construction phase), half yearly (operation phase) environmental monitoring reports consolidated for all bid packages and submit to PMU;
- Conduct semi-annual training and capacity building activities (workshops, hands-on trainings, visits to project sites, etc) in implementation and management of environmental safeguards in MPUSIP at various project phases to the project agencies (PIUs, ULBs, and Contractors);
- Providing support and assistance as required for Program's external monitoring agency, if any appointed, for annual PSS compliance audit;
- Assist MPUDC safeguards team to ensure compliance with environmental requirements of the Program Safeguards System (PSS);
- Assist MPUDC safeguards team in overseeing environmental safeguard implementation by PIUs, consultant teams and contractors;
- Assist in review and approval of project environmental screening and categorization;
- Ensure that environmental Category A projects are not considered for implementation under the program;
- Assist in the review and approval of environmental assessment report including the environmental management plan for Category B project or environmental due diligence report for Category C project and upload to project website in Hindi;
- Ensure environmental management plan and mitigation measures are included in project bid and contract documents;
- Ensure all necessary clearances are obtained timely for all subprojects;
- Consult and coordinate with national- and state-level stakeholders/authorities on environment, protected areas/monuments/sites, etc.) to ensure issues/concerns are addressed in project design;
- Guide preparation of corrective action plans, where required;
- Ensure environmental safeguard documents are disclosed in language and form understandable by stakeholders and affected people;
- In coordination with MPUDC PMU and other safeguard team members, develop and implement an environmental consultation and communication program to ensure potential environmental impacts and mitigation measures are included in meaningful consultations;
- Develop and implement capacity building program to ensure MPUDC, PMU, PIUs, consultant teams and contractors to ensure compliance to environmental requirements of the Program Safeguards System;
- Advise and assist MPUDC and PMU in addressing project-related complaints/grievances;
- Review and approve project environmental monitoring reports;
- Prepare annual environmental monitoring reports for submission to lender; and
- Assistance in any other environmental safeguard related tasks as required by PMU.

#### **Program Safeguards – Social**

- Assist PMU and PIUs in implementation of the Program in compliance with the social and gender requirements of the Program Safeguards System (PSS), and



ensuring that all concerned stakeholders implement the program in compliance with the PSS. Detailed tasks of PMC include, but not limited to, the following:

### **Social Safeguard Requirements**

- Organize stakeholder consultations and workshops at the participating ULBs to ensure informed decision making and sound coordination for successful implementation of the Program as well as robust service delivery to customers;
- Prepare the summary consultation reports and ensure the inclusion of the consultation findings into the project design;
- Customize training and learning material for community mobilisation to develop an inclusive and participatory approach for delivering sustainable services in slum areas;
- Monitoring implementation of social safeguards management plans (LSMPs);
- Ensuring the completion of compensation and other required assistance to affected communities/families due to the project activities prior to the start of civil works or physical/economical displacements;
- Design, contract manage and implement through third party service providers structured communication programs on the aspects of public health, water quality, water conservation, costs of service provision, tariffs and service levels;
- Community mobilization in poor settlements for provision of water connections, individual toilets, and sewerage house service connections if any and monitor service delivery and cost recovery during O&M phase;
- Supporting through mass communications with linkage to ongoing community development and livelihood improvement programs;
- Design a behaviour change communication program to implement in target towns;
- Coordinating and advising the ULBs/PIUs/PMU/MPUDC on the readiness of the required funds for the LSMP implementation;
- Assist MPUDC safeguards team to ensure compliance with requirements specific to resettlement and other social issues of the Program Safeguards System (PSS);
- Assist MPUDC safeguards team in overseeing social and resettlement safeguard implementation by PIUs, consultant teams and contractors;
- Assist in review and approval of resettlement plans and monitor the implementation;
- Provide active coordination with the land revenue officer for proactive resolution of any impediments in the process of land acquisition;
- Assist in timely resolutions of grievances from the affected parties or any other project beneficiaries and monitoring the GRS system; and
- Prepare a repository of free asked questions (FAQ) with appropriate answers in local language and in English in regard to all social and service concerns and keep updating with new concerns and answers as and when they occur.

### **Program Safeguards – Gender**

Assist PMU and PIUs in implementation of the Program in compliance with gender requirements of the Program Safeguards System (PSS) specific to PAP compliance, and ensuring that all concerned stakeholders ensure program implementation and service delivery in compliance with the PSS. The detailed tasks of PMC include, but not limited to, the following:

- Collect information and conduct gender analysis to identify women's and men's needs and priorities concerning the project components and incorporate in the community level program activities;
- Organise through third party sub-contracts preparation of participatory micro plans with safety audits in poor settlements to identify security concerns of women and girls with regard to water and sanitation and prioritize solutions to suit local conditions in coordination with the PIU/ULB;



- Ensure linkages to other on-going income generating and livelihood improvement activities so as to empower communities in moving towards cost recovery on a cross subsidy framework;
- Undertake capacity building of ULB functionaries and training of ULB representatives on pro-poor, gender sensitive governance and collection and monitoring of sex disaggregated data in water and sanitation;
- Assist in monitoring and evaluation of gender activities by the Program Monitoring Consultant by tracking social and gender equality results as the program progresses by collection of sex disaggregated data to facilitate equitable access to water and sanitation;
- Support informal grievance resolution system at the community level to address intra slum and interpersonal disputes as well as formal grievance resolution system;
- Monitor gender actions incorporated in the contracts; and Support PMU and PIUs in implementing gender actions in the Program Action Plan and report progress on the gender activities;
- Design and carry out community awareness campaign and mobilization, hygiene awareness, water conservation, rights, entitlement and responsibilities awareness activities through subcontracting arrangements in agreement with the ULB and implement a Behaviour Change Program comprising of following sub-tasks:
  - Baseline assessment with sex disaggregated data of hygiene behaviour and hygiene awareness in the poor settlements;
  - Assessment of constraints towards improved hygiene behaviour, including but not limited to poor access to water and sanitation services;
  - Design communication program to change perceptions, leading to behaviour change in the community to access, use and pay for improved water and sanitation services;
  - Design of a gender inclusive personal hygiene education programme, which takes account of the constraints currently faced by slum dwellers – men, women and children in improving their hygiene behaviour;
  - Deliver the hygiene education program with follow up and for the purpose of monitoring continuance of maintenance of personal hygiene; and
  - Ensure sustainability of improved hygiene behaviour and practices and monitor the improved health status in the community; from improved service levels;
- Establishment of Gender Budget Cell in UDED; and
- Establish core labour standards for ensuring equal pay for work of equal value, occupational health and safety, disclosure signage and separate sanitation facilities for women labour incorporated in contract documents and monitored.

### **Program Monitoring and Evaluation**

Monitoring and evaluation support includes:

- Developing and establishing simple and robust program management and service level monitoring systems, processes, protocols and chain of command;
- Designing a methodology and formats for collecting information on the progress on project outcomes and outputs contemplated from both physical and non-physical investments;
- Providing guidance to various stakeholders in implementation of program outputs; and
- Advising on timely achievement of the program outcome and outputs and additional interventions in case of anticipated / occurred delays.





### Program Results Assessment

Program result assessment includes:

- Developing a simple and robust methodology, procedure and protocols for assessment of program results and assisting in instituting the procedures and protocols at different levels of program implementation;
- Developing a detailed baseline data and service level benchmarks so as to monitor the Program results specified in the loan agreement;
- Developing an electronic Program Performance Evaluation System (PPES) for the evaluation of project outcome and results as defined in the loan agreement. The system shall have the baseline information for each performance indicator and the target and achievement of each indicator;
- Undertaking verification of the results achieved periodically and assisting PMU in submitting the necessary documentation to ADB; and
- Continuously reviewing the progress, identify the possible risks / impediments in achieving the required targets and advice EA / PMU accordingly.

### Program Financial Management

Program financial management support includes:

- Developing a detailed program for effective financial management of the Program funds (grants and loan funds) and developing a detailed disbursement protocols linked to achievement of results indicators;
- Establishing fund flow protocols and assist PMU in ensuring timely release and utilization of Program funds;
- Undertaking forward planning and monitoring for ensuring timely availability of Program funds for ensuring effective and efficient fund management;
- Identifying and implementing statutory requirements for financial management confirming to both commercial accounting and government accounting practices as required as per local applicable law in Government of MP.

### Assisting ULBs of Uttar Pradesh to Prepare Smart City Proposals (SCP) under Smart Cities Mission to Participate in the Smart Cities Challenge- Moradabad

#### Brief Description of Project:

The Ministry of Urban Development (MoUD) has rolled out Smart City Mission (SCM). The cities to be shortlisted under Smart City Mission shall require to compete for funding in the City Challenge. To participate in the SCM challenge, cities will require to prepare Proposals for Smart Cities Challenge. To facilitate Cities / State Governments to prepare the Proposals, MoUD has shortlisted consulting firms to assist States/ Union Territories through World Bank assisted Capacity Building for Urban Development (CBUD) Project. The Consortium of Engineers India Ltd - JPS is contracted to assist Municipal Corporation, Moradabad for the preparation of SCP for Moradabad.

#### Services Provided:

The Consortium is envisaged to prepare and deliver a Proposal to the Urban Local Body under the supervision of the State Government, which will include:

- A City-wide Concept Plan (a non-fully complete CDP), which will be based on the old or revised City Development Plan (CDP). In case the city does not have a CDP, the Consortium will develop a City-wide Concept Plan (a non-fully complete CDP). The City-wide Concept Plan will include the Smart City vision and key challenges identification, situation analysis (physical, economic, social, legal and institutional infrastructure)/ As-is description, review of previous plans, interventions and

**Location:** Moradabad,  
Uttar Pradesh

**Client:** Municipal Corporation Moradabad on behalf of Ministry of Urban Development, Government of India/World Bank

**Funding Agency:** Municipal Corporation Moradabad on behalf of Ministry of Urban Development, Government of India/World Bank

**Period:** October, 2015 – January, 2016

**Associate Firm:** Nil



documents of all departments and agencies (e.g. City Sanitation Plan, City Mobility Plan, Master Plan) and an overall strategy focused on Smart City criteria/objectives/targets. Moreover, based on citizen consultations, the Concept Plan will also define the Smart City and clearly state the objectives based on the Mission Document and Guidelines.

- The Smart City Proposal (SCP) will consist of Strategic Action Plans for Area Development based on the three typologies: (a) area improvement (retrofitting) (b) city renewal (redevelopment) and (c) city extension (greenfield) and one City-wide (Pan-city) initiative that applies Smart Solutions to the physical, economic, social and institutional infrastructure. Application of Smart Solutions will involve the use of technology, information and data to make infrastructure and services better and using smart technologies for the development of the poor and marginalized will be an important part of the Proposal.
- Preparation of a Proposal to participate in 'Challenge' (competition) according to the Smart City Mission Statement and Guidelines. The proposal will contain retrofitting or redevelopment or greenfield models and at least one Pan-city initiative. The focus will be on transformative projects with the highest possible impact on (i) economic growth in the city (e.g. number of new jobs created, new firms attracted, increased productivity and business climate in the formal as well as informal sectors, recognition of and incorporating urban vendors), and (ii) improving the quality of life of all, especially the poor: (e.g. reduction in commuting time, support of non-motorized transport, improvement in air and water quality/increased coverage of water, solid waste management, street lighting, enhanced green public spaces, improved safety and security).
- The Smart City Proposal will include a Financing Plan for the complete life cycle of the Proposal. This Financial Plan will identify internal (taxes, rents, licenses and user charges) and external (grants, assigned revenues, loans and borrowings), sources of mobilizing funds for capital investments and operation and maintenance over the life cycle of project. The Financial Plan will provide for sources for repayment of project cost over a period of 8-10 years, O&M cost and also include resource improvement action plan for financial sustainability of ULB.
- Convergence of area plans is envisaged with National and State level sectoral financial plans as for example, the National Urban Rejuvenation Mission (NURM), Housing for All, Swachh Bharat and Digital India.
- The Proposal development will be people-driven, from the beginning and achieved through citizen consultation meetings, including active participation of Residents Welfare Associations, Tax Payers Associations, Senior Citizens, Chamber of Commerce and Industries, Slum Dwellers Associations and other groups. During consultations, in addition to identification of issues, needs and priorities of citizens and groups of people, citizen-driven solutions will also be generated. The Government of India platform [www.mygov.in](http://www.mygov.in) is envisaged to be appropriately used for all citizen consultations and engagements.
- The Proposals are envisaged to be developed in a period of 100 days as far as this consultancy is concerned. Another Agency is anticipated to assist the City in detailed Project Development and Management.



**Location:** Rampur, Uttar Pradesh

**Client:** Nagar Palika Parishad Rampur on behalf of Ministry of Urban Development, Government of India/World Bank

**Funding Agency:** Nagar Palika Parishad Rampur on behalf of Ministry of Urban Development, Government of India/World Bank

**Period:** October, 2015 – January, 2016

**Associate Firm:** Nil

## Assisting ULBs of Uttar Pradesh to Prepare Smart City Proposals (SCP) under Smart Cities Mission to Participate in the Smart Cities Challenge- Rampur

### Brief Description of Project:

The Ministry of Urban Development (MoUD) has rolled out Smart City Mission (SCM). The cities to be shortlisted under Smart City Mission shall require to compete for funding in the City Challenge. To participate in the SCM challenge, cities will require to prepare Proposals for Smart Cities Challenge. To facilitate Cities / State Governments to prepare the Proposals, MoUD has shortlisted consulting firms to assist States/ Union Territories through World Bank assisted Capacity Building for Urban Development (CBUD) Project. The Consortium of Engineers India Ltd - JPS is contracted to assist Nagar Palika Parishad, Rampur for the preparation of SCP for Rampur.

### Services Provided:

The Consortium is envisaged to prepare and deliver a Proposal to the Urban Local Body under the supervision of the State Government, which will include:

- A City-wide Concept Plan (a non-fully complete CDP), which will be based on the old or revised City Development Plan (CDP). In case the city does not have a CDP, the Consortium will develop a City-wide Concept Plan (a non-fully complete CDP). The City-wide Concept Plan will include the Smart City vision and key challenges identification, situation analysis (physical, economic, social, legal and institutional infrastructure)/ As-is description, review of previous plans, interventions and documents of all departments and agencies (e.g. City Sanitation Plan, City Mobility Plan, Master Plan) and an overall strategy focused on Smart City criteria/objectives/targets. Moreover, based on citizen consultations, the Concept Plan will also define the Smart City and clearly state the objectives based on the Mission Document and Guidelines.
- The Smart City Proposal (SCP) will consist of Strategic Action Plans for Area Development based on the three typologies: (a) area improvement (retrofitting) (b) city renewal (redevelopment) and (c) city extension (greenfield) and one City-wide (Pan-city) initiative that applies Smart Solutions to the physical, economic, social and institutional infrastructure. Application of Smart Solutions will involve the use of technology, information and data to make infrastructure and services better and using smart technologies for the development of the poor and marginalized will be an important part of the Proposal.
- Preparation of a Proposal to participate in 'Challenge' (competition) according to the Smart City Mission Statement and Guidelines. The proposal will contain retrofitting or redevelopment or greenfield models and at least one Pan-city initiative. The focus will be on transformative projects with the highest possible impact on (i) economic growth in the city (e.g. number of new jobs created, new firms attracted, increased productivity and business climate in the formal as well as informal sectors, recognition of and incorporating urban vendors), and (ii) improving the quality of life of all, especially the poor: (e.g. reduction in commuting time, support of non-motorized transport, improvement in air and water quality/increased coverage of water, solid waste management, street lighting, enhanced green public spaces, improved safety and security).
- The Smart City Proposal will include a Financing Plan for the complete life cycle of the Proposal. This Financial Plan will identify internal (taxes, rents, licenses and user charges) and external (grants, assigned revenues, loans and borrowings), sources of mobilizing funds for capital investments and operation and maintenance over the life cycle of project. The Financial Plan will provide for sources for repayment of project cost over a period of 8-10 years, O&M cost and also include resource improvement action plan for financial sustainability of ULB.



- Convergence of area plans is envisaged with National and State level sectoral financial plans as for example, the National Urban Rejuvenation Mission (NURM), Housing for All, Swachh Bharat and Digital India.
- The Proposal development will be people-driven, from the beginning and achieved through citizen consultation meetings, including active participation of Residents Welfare Associations, Tax Payers Associations, Senior Citizens, Chamber of Commerce and Industries, Slum Dwellers Associations and other groups. During consultations, in addition to identification of issues, needs and priorities of citizens and groups of people, citizen-driven solutions will also be generated. The Government of India platform [www.mygov.in](http://www.mygov.in) is envisaged to be appropriately used for all citizen consultations and engagements.
- The Proposals are envisaged to be developed in a period of 100 days as far as this consultancy is concerned. Another Agency is anticipated to assist the City in detailed Project Development and Management.

**Location:** Meghalaya, Mizoram, Nagaland, Tripura and Sikkim

**Client:** Ministry of Urban Development (MoUD), Government of India

**Funding Agency:** Asian Development Bank

**Period:** 2015 - 2017

**Associate Firm:** Nil

**Program Management and Monitoring Consultants (PMMC) for the North Eastern Region Urban Development Programme (MFF 0030 – North Eastern Region Capital Cities Development Investment Program - Phase – III) for Ministry of Urban Development, Government of India**

**Brief Description of Project:**

The Government of India is implementing an investment program to improve urban conditions in North Eastern Region capital cities, namely, Agartala, Aizawl, Gangtok, Kohima and Shillong. The expected impact of the Investment Program is improved environment and well-being of urban residents in the five capital cities. The expected outcomes of the Investment Program are increased access to better urban services for the 1.5 million people expected to be living in the Investment Program cities by 2014. To this end, the Project envisages (i) improving urban infrastructure and services and (ii) strengthening urban institutions for better service delivery by building management and implementation capacity.

**The Project comprises of two parts:**

Part A covers urban infrastructure and services improvement including the rehabilitation, improvement and expansion of (i) water supply (ii) sewerage and sanitation and (iii) solid waste management.

Part B covers Investment Program management and implementation support and a comprehensive capacity building assistance to support the accomplishment of the urban institutional and financial reform agenda, and enhance planning, operation and maintenance (O & M), revenue mobilization and financial management capabilities of service providers.

**Services Provided:**

**JPS are envisaged to support MOUD's IPCC in undertaking its management, monitoring and coordinating functions.**

**Support is to be provided for:**

- Reviewing the subprojects submitted by States in accordance with subproject selection criteria, and processing of the periodic financing requests by the States;
- Monitoring overall Program implementation and compliance with the agreed timelines;
- Reporting to the Investment Program Coordination Cell (IPCC) and supervision of the progress of work by State Investment Project Management Implementation Units (SIPMIUs); and



- Consolidating payment/reimbursement requests received from the respective States.

**The scope of work includes the following broad activities:**

**Urban Governance and Financial Reform:**

- Provide direct support to all States in relation to the implementation of the reform agenda paying particular attention to ensuring compliance with program covenants and the timely submission of associated documentation;
- For the States of Meghalaya and Tripura, where IDCs are recruited from Part 1, closely monitor and guide the implementation of the urban governance and finance program; and
- For the States of Mizoram, Nagaland and Sikkim, directly provide guidance and support on activities relating to the municipalization process and ensure that all actions necessary to successfully implement and IDC consultancy in Part 2 are met.

**Program Management and Monitoring:**

- Prepare a common program management system (framework) for all tranches and States and detail out all activities under Tranche 1 (given distance and communication constraints, web-based system was envisaged to be most appropriate with MOUD/States access and selected sections for public disclosure);
- Prepare common guidelines for benefit monitoring and evaluation and train all State SIPMIUs accordingly;
- Support the States in structuring and conducting baseline surveys;
- Prepare a common repository system within IPCC for secondary data across the program (with primary data being maintained at the State level);
- Prepare and agree common frameworks for reporting (a) progress (physical and financial), (b) accounts, (c) procurement, (d) safeguards compliance and (e) covenant compliance, etc; and
- Support with any other activities relating to management and monitoring of the program.

**Periodic Finance Request Preparation and Coordination:**

- Coordinate and provide support to Program States in the preparation of PFR (tranche) 2;
- Review all documentation prepared in relation to PFR 2, including technical, economic/financial and social/environmental safeguards and provide feedback to State Governments; and
- Coordinate with ADB and DEA the submission of PFR 2 for consideration and approval.

**Design and Supervision Engineering Services**

- Assist the Investment Program Manager with day-to-day coordination, monitoring and approval activities;
- Coordinate planning, control and management of the work of a multidisciplinary team;
- Develop overall Investment Program Performance Monitoring System (PIMMS) in the form of an MIS system, agree on the most adequate platform and reporting system with the States, ensure its smooth transfer and monitor regular information inputs;
- Monitor progress, evaluate results and support the States in the identification and resolution of constraints;
- Provide long-term input to the development of project methodologies;
- Confirm that demand is adequately determined in proposals as per existing



guidelines;

- Oversee the quality of designs, selection of appropriate technologies, equipment and materials by the States;
- Oversee the overall quality of construction and States/Contractor compliance with requirements, including compliance with design parameters and materials, occupational health and safety standards, environmental and social safeguard requirements;
- Assist/advise the States in conducting procurement activities in compliance with ADB and Gol requirements and assist them in resolving matters pertaining to disagreement/arbitration with contractors;
- Review updated costs and economic and financial information (including rates of return) prepared by the States for Tranches 2 and 3 prior to submission to ADB;
- Prepare and update overall program implementation schedule and resource requirements;
- Define quality control mechanisms and parameters applicable to all States and coordinate/discuss implementation with SIPMIUs;
- Assist the Investment Program Coordination Cell (IPCC) of MoUD in all coordination matters with ADB, including (a) submission of monthly and quarterly reports and (b) accounting and disbursement matters;
- Assist the IPCC during ADB missions;
- Assist the IPCC in the review and preparation of documentation for Tranches for ADB's approval; and
- Assist the IPCC in providing overall guidance to the States in the implementation of urban governance and financial reform agenda, including (a) providing all necessary support to State governments in drafting of documentation for compliance with prescribed covenants and (b) ensuring the timely submission to ADB after review.

**The specific domain-related tasks under the above consultancy assignment, comprise of the following:**

**Disbursement:**

- Provide direct support to the IPCC Accounts Manager;
- Liaise with senior accountants in SIPMIUs;
- Establish a sound accounting practice and systems to manage resources available;
- Develop budgetary control processes, design budget procedures and budget formats common to all SIPMIUs;
- Review payment submissions from the States and their compliance with program objectives, and recommend payments;
- Prepare consolidated cash flows for States/MoUD for submission to DEA/ADB for immediate payments;
- Train the SIPMIUs in the preparation of annual budget estimates and disbursement plans;
- Prepare consolidated Investment Program projections and support States/MoUD in the budgetary exercise;
- Together with the IT Specialist, develop IT-based systems in new offices, including means and methods to conduct cost accounting and tracking expenditure;
- Prepare manuals for use by IPCC/SIPMIUs as necessary and conduct hands-on training; and
- Prepare sections of monthly/quarterly reports pertaining to (a) compliance with ADB/Gol accounting/disbursement requirements (b) compliance with quarterly annual targets (contract awards and disbursements) and (c) compliance with recommendations prescribed at both MoUD and State level by program auditors.

**Benefit and Monitoring:**

- Assist the SIPMIUs and agree on a framework for common M&E procedures, indicators, and reports under the Investment Program;



- Assist the SIPMIUs' specialist in identifying physical, institutional, and financial data to be analyzed to monitor sustainability and impact of project services;
- Together with the Team Leader, develop an Investment Program Performance Monitoring System, agree this with SIPMIUs and submit within the three months of loan effectiveness to ADB;
- Support the development of an IT/web-based computerized system that enables States/MOUD uploading of program and monitoring information (some for internal access, some for disclosure to the public);
- Support the SIPMIUs in the preparation of surveys and collection of baselines and subsequent levels of information;
- Commission and review third-party independent assessments and discuss with IPCC/SIPMIUs/ADB; and
- Support the preparation of the Investment Program Completion Reports (per Tranche and final)

**IT/MIS:**

- Review information and communication systems available on MOUD/States and make necessary recommendations for the establishment of IT-based monitoring/program communication systems;
- Together with the Disbursement Specialist, prepare IT –based systems in SIPMIUs/IPCC, including means and methods to conduct cost accounting and tracking expenditure;
- Together with the Benefit Monitoring and Evaluation Specialist, prepare an Investment Program Performance Monitoring System (IPPMS)/ MIS IT-based system to track Program Implementation at IPCC/SIPMIU level; and
- If the above is not web-based, prepare an investment program webpage that enables access for upload to the different States.

**Water Supply and Waste Water:**

- Review detailed designs prepared by SIPMIUs relating to water supply and waste water prior to tranche approval to ensure compliance with all applicable guidelines;
- Provide recommendations/guide SIPMIUs accordingly;
- As part of program implementation, specifically monitor the overall progress at State level of NRW monitoring and rectification programs;
- As part of implementation, monitor overall quality of construction of water and wastewater facilities and compliance with agreed designs by contractors, conducting audits together with SIPMIUs as necessary;
- Support the Team Leader in monitoring the implementation of water and wastewater utility programs, particularly in matters pertaining to metering, rationalization of charges, creation of databases and GIS systems etc; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of water and wastewater components.

**Solid Waste Management:**

- Review detailed designs prepared by SIPMIUs relating to solid waste management prior to tranche approval and ensure compliance with all applicable guidelines;
- Provide recommendations/guide SIPMIUs accordingly;
- As part of program implementation, specifically monitor the overall progress at State level of waste segregation, issuing of applicable legal bylaws; and solid waste monitoring and rectification programs;
- As part of implementation, monitor overall quality of construction of solid waste management facilities and compliance with agreed designs by contractors, conducting audits together with SIPMIUs as necessary;
- Support the Team Leader in monitoring the implementation of the solid waste management utility programs, particularly in matters pertaining to compliance with contractual targets (for compost operations), rationalization of charges, creation of



- databases and GIS systems etc; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of solid waste management components.

**Environmental Safeguards:**

- Prepare internal environmental guidelines for the homogeneous preparation, implementation, monitoring and reporting of environmental documents across all States;
- Review IEEs/EIAs and other environmental safeguards documents prepared by SIPMIUs in relation to the program prior to tranche approval to ensure compliance with State/GOI/ADB guidelines;
- Provide recommendations/guide SIPMIUs accordingly and make necessary changes prior to submission to ADB/DEA - ensure consistency in the level of proficiency and presentation of the documentation;
- As part of implementation, support SIPMIUs in the review of documentation pertaining to environmental compliance (including bidding documents, reviews on-site, reports from contractors etc);
- Conduct audits jointly with SIPMIUs' expert in matters pertaining to on-site Occupational Health and Safety; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of environmental requirements under the Investment Program.

**Social Safeguards:**

- Prepare internal guidelines for the homogeneous preparation, implementation, monitoring and reporting of resettlement and indigenous peoples documents across all States;
- Review RPs/IPDPs and other social safeguards documents prepared by SIPMIUs in relation to the program prior to tranche approval to ensure compliance with State/GOI/ADB guidelines;
- Provide recommendations/guide SIPMIUs accordingly and make necessary changes prior to submission to ADB/DEA - ensure consistency in the level of proficiency and presentation of the documentation;
- As part of implementation, support SIPMIUs in the review of documentation pertaining to social safeguards compliance (including bidding documents, reviews on-site, reports from contractors etc.);
- Conduct audits jointly with SIPMIU's expert in matters pertaining to timely payments, provision of temporary measures to affected persons by the contractor during construction etc; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of environmental requirements under the Investment Program.

**Poverty and Community Development:**

- Assist SIPMIUs/IPPC in the design, preparation, planning and management of the community participation and awareness program;
- Prepare guidelines for the application of a consistent framework across all States;
- Support the IPCC in any matters that may relate to Public Relations at the Central level and support SIPMIUs and Community Awareness and Participation Specialist at State level to address matters that may arise at local level;
- Prepare materials and training programs for SIPMIUs to apply through Information, Education and Communication (IEC) at State levels;
- Together with the Team Leader, prepare governance reform programs and training modules to aid SIPMIUs/States support (a) the implementation of urban poverty alleviation functions at ULB level, (b) the preparation of a community participation law, (c) introduce services to the urban poor (including earmarking of funds); and
- With guidance from the Benefit Monitoring and Evaluation Specialist, select adequate indicators and ensure progress reporting in IPPMS and quarterly reports.





**Location:** Meghalaya, Mizoram, Nagaland, Tripura and Sikkim

**Client:** Ministry of Urban Development (MoUD), Government of India

**Funding Agency:** Asian Development Bank

**Period:** 2013 - 2015

**Associate Firm:** Nil

**Capacity Building:**

Comprehensive capacity building of the ULBs to plan, implement and manage similar projects.

**Program Management and Monitoring Consultants (PMMC) for the North Eastern Region Urban Development Programme (MFF 0030 – North Eastern Region Capital Cities Development Investment Program - Phase – II) for Ministry of Urban Development, Government of India**

**Brief Description of Project:**

The Government of India is implementing an investment program to improve urban conditions in North Eastern Region capital cities, namely, Agartala, Aizawl, Gangtok, Kohima and Shillong. The expected impact of the Investment Program is improved environment and well-being of urban residents in the five capital cities. The expected outcomes of the Investment Program are increased access to better urban services for the 1.5 million people expected to be living in the Investment Program cities by 2014. To this end, the Project envisages (i) improving urban infrastructure and services and (ii) strengthening urban institutions for better service delivery by building management and implementation capacity.

**The Project comprises of two parts:**

Part A covers urban infrastructure and services improvement including the rehabilitation, improvement and expansion of (i) water supply (ii) sewerage and sanitation and (iii) solid waste management.

Part B covers Investment Program management and implementation support and a comprehensive capacity building assistance to support the accomplishment of the urban institutional and financial reform agenda, and enhance planning, operation and maintenance (O & M), revenue mobilization and financial management capabilities of service providers.

**Services Provided:**

**JPS are envisaged to support MOUD's IPCC in undertaking its management, monitoring and coordinating functions.**

**Support is to be provided for:**

- Reviewing the subprojects submitted by States in accordance with subproject selection criteria, and processing of the periodic financing requests by the States;
- Monitoring overall Program implementation and compliance with the agreed timelines;
- Reporting to the Investment Program Coordination Cell (IPCC) and supervision of the progress of work by State Investment Project Management Implementation Units (SIPMIUs); and
- Consolidating payment/reimbursement requests received from the respective States.

**The scope of work includes the following broad activities:**

**Urban Governance and Financial Reform:**

- Provide direct support to all States in relation to the implementation of the reform agenda paying particular attention to ensuring compliance with program covenants and the timely submission of associated documentation;
- For the States of Meghalaya and Tripura, where IDCs are recruited from Part 1, closely monitor and guide the implementation of the urban governance and finance program; and
- For the States of Mizoram, Nagaland and Sikkim, directly provide guidance and



support on activities relating to the municipalization process and ensure that all actions necessary to successfully implement and IDC consultancy in Part 2 are met.

**Program Management and Monitoring:**

- Prepare a common program management system (framework) for all tranches and States and detail out all activities under Tranche 1 (given distance and communication constraints, web-based system was envisaged to be most appropriate with MOUD/States access and selected sections for public disclosure);
- Prepare common guidelines for benefit monitoring and evaluation and train all State SIPMIUs accordingly;
- Support the States in structuring and conducting baseline surveys;
- Prepare a common repository system within IPCC for secondary data across the program (with primary data being maintained at the State level);
- Prepare and agree common frameworks for reporting (a) progress (physical and financial), (b) accounts, (c) procurement, (d) safeguards compliance and (e) covenant compliance, etc; and
- Support with any other activities relating to management and monitoring of the program.

**Periodic Finance Request Preparation and Coordination:**

- Coordinate and provide support to Program States in the preparation of PFR (tranche) 2;
- Review all documentation prepared in relation to PFR 2, including technical, economic/financial and social/environmental safeguards and provide feedback to State Governments; and
- Coordinate with ADB and DEA the submission of PFR 2 for consideration and approval.

**Design and Supervision Engineering Services**

- Assist the Investment Program Manager with day-to-day coordination, monitoring and approval activities;
- Coordinate planning, control and management of the work of a multidisciplinary team;
- Develop overall Investment Program Performance Monitoring System (PIMMS) in the form of an MIS system, agree on the most adequate platform and reporting system with the States, ensure its smooth transfer and monitor regular information inputs;
- Monitor progress, evaluate results and support the States in the identification and resolution of constraints;
- Provide long-term input to the development of project methodologies;
- Confirm that demand is adequately determined in proposals as per existing guidelines;
- Oversee the quality of designs, selection of appropriate technologies, equipment and materials by the States;
- Oversee the overall quality of construction and States/Contractor compliance with requirements, including compliance with design parameters and materials, occupational health and safety standards, environmental and social safeguard requirements;
- Assist/advise the States in conducting procurement activities in compliance with ADB and Gol requirements and assist them in resolving matters pertaining to disagreement/arbitration with contractors;
- Review updated costs and economic and financial information (including rates of return) prepared by the States for Tranches 2 and 3 prior to submission to ADB;
- Prepare and update overall program implementation schedule and resource requirements;



- Define quality control mechanisms and parameters applicable to all States and coordinate/discuss implementation with SIPMIUs;
- Assist the Investment Program Coordination Cell (IPCC) of MoUD in all coordination matters with ADB, including (a) submission of monthly and quarterly reports and (b) accounting and disbursement matters;
- Assist the IPCC during ADB missions;
- Assist the IPCC in the review and preparation of documentation for Tranches for ADB's approval; and
- Assist the IPCC in providing overall guidance to the States in the implementation of urban governance and financial reform agenda, including (a) providing all necessary support to State governments in drafting of documentation for compliance with prescribed covenants and (b) ensuring the timely submission to ADB after review.

**The specific domain-related tasks under the above consultancy assignment, comprise of the following:**

**Disbursement:**

- Provide direct support to the IPCC Accounts Manager;
- Liaise with senior accountants in SIPMIUs;
- Establish a sound accounting practice and systems to manage resources available;
- Develop budgetary control processes, design budget procedures and budget formats common to all SIPMIUs;
- Review payment submissions from the States and their compliance with program objectives, and recommend payments;
- Prepare consolidated cash flows for States/MoUD for submission to DEA/ADB for immediate payments;
- Train the SIPMIUs in the preparation of annual budget estimates and disbursement plans;
- Prepare consolidated Investment Program projections and support States/MoUD in the budgetary exercise;
- Together with the IT Specialist, develop IT-based systems in new offices, including means and methods to conduct cost accounting and tracking expenditure;
- Prepare manuals for use by IPCC/SIPMIUs as necessary and conduct hands-on training; and
- Prepare sections of monthly/quarterly reports pertaining to (a) compliance with ADB/Gol accounting/disbursement requirements (b) compliance with quarterly annual targets (contract awards and disbursements) and (c) compliance with recommendations prescribed at both MoUD and State level by program auditors.

**Benefit and Monitoring:**

- Assist the SIPMIUs and agree on a framework for common M&E procedures, indicators, and reports under the Investment Program;
- Assist the SIPMIUs' specialist in identifying physical, institutional, and financial data to be analyzed to monitor sustainability and impact of project services;
- Together with the Team Leader, develop an Investment Program Performance Monitoring System, agree this with SIPMIUs and submit within the three months of loan effectiveness to ADB;
- Support the development of an IT/web-based computerized system that enables States/MOUD uploading of program and monitoring information (some for internal access, some for disclosure to the public);
- Support the SIPMIUs in the preparation of surveys and collection of baselines and subsequent levels of information;
- Commission and review third-party independent assessments and discuss with IPCC/SIPMIUs/ADB; and



- Support the preparation of the Investment Program Completion Reports (per Tranche and final)

**IT/MIS:**

- Review information and communication systems available on MOUD/States and make necessary recommendations for the establishment of IT-based monitoring/program communication systems;
- Together with the Disbursement Specialist, prepare IT –based systems in SIPMIUs/IPCC, including means and methods to conduct cost accounting and tracking expenditure;
- Together with the Benefit Monitoring and Evaluation Specialist, prepare an Investment Program Performance Monitoring System (IPPMS)/ MIS IT-based system to track Program Implementation at IPCC/SIPMIU level; and
- If the above is not web-based, prepare an investment program webpage that enables access for upload to the different States.

**Water Supply and Waste Water:**

- Review detailed designs prepared by SIPMIUs relating to water supply and waste water prior to tranche approval to ensure compliance with all applicable guidelines;
- Provide recommendations/guide SIPMIUs accordingly;
- As part of program implementation, specifically monitor the overall progress at State level of NRW monitoring and rectification programs;
- As part of implementation, monitor overall quality of construction of water and wastewater facilities and compliance with agreed designs by contractors, conducting audits together with SIPMIUs as necessary;
- Support the Team Leader in monitoring the implementation of water and wastewater utility programs, particularly in matters pertaining to metering, rationalization of charges, creation of databases and GIS systems etc; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of water and wastewater components.

**Solid Waste Management:**

- Review detailed designs prepared by SIPMIUs relating to solid waste management prior to tranche approval and ensure compliance with all applicable guidelines;
- Provide recommendations/guide SIPMIUs accordingly;
- As part of program implementation, specifically monitor the overall progress at State level of waste segregation, issuing of applicable legal bylaws; and solid waste monitoring and rectification programs;
- As part of implementation, monitor overall quality of construction of solid waste management facilities and compliance with agreed designs by contractors, conducting audits together with SIPMIUs as necessary;
- Support the Team Leader in monitoring the implementation of the solid waste management utility programs, particularly in matters pertaining to compliance with contractual targets (for compost operations), rationalization of charges, creation of databases and GIS systems etc; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of solid waste management components.

**Environmental Safeguards:**

- Prepare internal environmental guidelines for the homogeneous preparation, implementation, monitoring and reporting of environmental documents across all States;



- Review IEEs/EIAs and other environmental safeguards documents prepared by SIPMIUs in relation to the program prior to tranche approval to ensure compliance with State/GOI/ADB guidelines;
- Provide recommendations/guide SIPMIUs accordingly and make necessary changes prior to submission to ADB/DEA - ensure consistency in the level of proficiency and presentation of the documentation;
- As part of implementation, support SIPMIUs in the review of documentation pertaining to environmental compliance (including bidding documents, reviews on-site, reports from contractors etc);
- Conduct audits jointly with SIPMIUs' expert in matters pertaining to on-site Occupational Health and Safety; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of environmental requirements under the Investment Program.

**Social Safeguards:**

- Prepare internal guidelines for the homogeneous preparation, implementation, monitoring and reporting of resettlement and indigenous peoples documents across all States;
- Review RPs/IPDPs and other social safeguards documents prepared by SIPMIUs in relation to the program prior to tranche approval to ensure compliance with State/GOI/ADB guidelines;
- Provide recommendations/guide SIPMIUs accordingly and make necessary changes prior to submission to ADB/DEA - ensure consistency in the level of proficiency and presentation of the documentation;
- As part of implementation, support SIPMIUs in the review of documentation pertaining to social safeguards compliance (including bidding documents, reviews on-site, reports from contractors etc.);
- Conduct audits jointly with SIPMIU's expert in matters pertaining to timely payments, provision of temporary measures to affected persons by the contractor during construction etc; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of environmental requirements under the Investment Program.

**Poverty and Community Development:**

- Assist SIPMIUs/IPPC in the design, preparation, planning and management of the community participation and awareness program;
- Prepare guidelines for the application of a consistent framework across all States;
- Support the IPCC in any matters that may relate to Public Relations at the Central level and support SIPMIUs and Community Awareness and Participation Specialist at State level to address matters that may arise at local level;
- Prepare materials and training programs for SIPMIUs to apply through Information, Education and Communication (IEC) at State levels;
- Together with the Team Leader, prepare governance reform programs and training modules to aid SIPMIUs/States support (a) the implementation of urban poverty alleviation functions at ULB level, (b) the preparation of a community participation law, (c) introduce services to the urban poor (including earmarking of funds); and
- With guidance from the Benefit Monitoring and Evaluation Specialist, select adequate indicators and ensure progress reporting in IPPMS and quarterly reports.

**Capacity Building:**

Comprehensive capacity building of the ULBs to plan, implement and manage similar projects.



**Location:** Haridwar, Rishikesh, Gangotri and Uttarkashi, Uttarakhand, India

**Client:** Uttarakhand Pejal Sansadhan Vikas Evam Nirman Nigam, Dehradun, Uttarakhand

**Funding Agency:** Uttarakhand Pejal Sansadhan Vikas Evam Nirman Nigam, Dehradun, Uttarakhand

**Period:** May, 2012 - May, 2013

**Associate Firm:** MWH India Pvt. Ltd., New Delhi

**Preparation of Complete DPR of Sewerage, Non Sewerage Schemes including preparation of Feasibility Reports (FRs) and City Sanitation Plan – Package-III for Uttarakhand Vikas Evam Nirman Nigam, Government of Uttarakhand**

**Brief Description of Project:**

The primary objective of this consultancy was to prepare City Sanitation Plan (CSP), Feasibility Report and Detailed Project Report for sewerage and related schemes for the ULBs located on the bank of river Ganga conforming to the Guidelines of Preparation of Project Report under National River Conservation Plan (NRCP) and National Ganga River Basin Authority (NGRBA), National River Conservation Directorate, Ministry of Environment & Forests, Government of India. The proposed project was envisaged to be the first input into a long term endeavor to rehabilitate and later expand the coverage of the urban sanitation facilities in the proposed towns under Package-III (Haridwar, Rishikesh, Gangotri and Uttarkashi). The main objectives of the consultancy were:

- Pollution abatement of River Ganga;
- Safe collection, treatment & disposal of wastewater, solid waste and other pollution sources; and
- Improved environment & civic life by covering entire town (including new/upcoming areas) sewage collection, conveyance, treatment facilities and effluent disposal.

Broadly, the DPRs were to have the following components:

- a) City Sanitation Plan
- b) Comprehensive Sewerage System including underground sewerage pipe network, STP and O & M
- c) Non-point sources of pollution such as dhobi ghats, community toilets, electric or improved wood/coal crematoria, solid waste management etc.
- d) River front development and forestation
- e) Industrial waste

**Services Provided:**

- River Front Development: The major tasks comprised of review of data and existing developments facing river front and planning & designing of cremation, riverfront development, public toilets etc.
- Environmental Aspects: The major tasks comprised of review of available data and reports; studies of environmental and social factors and preparation of a Report on environmental and social impacts; preparation of mitigation measures including EMP and RAP; and ensuring compliance with the environmental policies of Ministry of Environment and Forests (MoEF) and State Governments.
- Social Development: The major tasks included review of available data and reports; conduct of a poverty and social impact analysis; conduct of stakeholder analysis and preparation of a participation strategy or plan outlining how to involve which stakeholders at different stages of the project cycle; conduct of gender assessment and preparation of a gender development strategy or Gender Action Plan.
- Rehabilitation and Resettlement (R&R): Review of available data and information, preparation of Resettlement Plans for the sub-projects proposed to be covered under the project in accordance with relevant government policies; identification of Land Acquisition and Resettlement (LAR) requirements of the sub-projects under the project; and preparation of development plans for the indigenous peoples, if necessary, in accordance with the agreed indigenous Peoples Development Plan for the investment program.
- Institutional Development: The major tasks included the review of current



**Location:** Nemawar, Nalkheda, Soyatkalan, Kanad, Maksi, Akodia, Barod, Polayakalan, Badagaon-Shajapur & Susner

**Client:** Urban Administration and Development Department, Government of Madhya Pradesh

**Funding Agency:** Urban Administration and Development Department, Government of Madhya Pradesh

**Period:** 2011-Oct. 2013

**Associate Firm:** Nil

institutional structures at the municipal level and developing an Institutional Development Program comprising of a Capacity Building Plan, a HR policy and a Training Module.

### **Preparation of City Development Plans (CDP) for Nemawar, Nalkheda, Soyatkalan, Kanad, Maksi, Akodia, Barod, Polayakalan, Badagaon-Shajapur & Susner Cities (10 Cities) of Madhya Pradesh for Urban Administration & Development Department, Government of Madhya Pradesh**

#### **Brief Description of Project:**

- To scale up existing urban development and poverty alleviation schemes within a comprehensive and coherent strategic planning framework in order to ensure optimal benefit from available resources for the citizens of the ULB.
- To catalyse new thinking and provide debate through a consultative stakeholder driven process. The vision and strategic thrusts of the CDP were to be built around the lessons and findings of a comprehensive and rigorous stakeholder consultation and documentation process.
- To help CDP to serve the requirements of the UIDSSMT and IHSDP programmes as well as JNNURM and other developmental schemes
- To generate specific priority actions and projects that can be the basis for mobilizing funding from diverse sources

#### **Services Provided:**

A multi-stage exercise was conducted by JPS to formulate the CDP in close collaboration with Nemawar, Nalkheda, Soyatkalan, Kanad, Maksi, Akodia, Barod, Polayakalan, Badagaon-Shajapur & Susner City Municipal Councils, as detailed below:

- **Inception:** The purpose of this stage was to review and analyse the current status and unique features of Nemawar, Nalkheda, Soyatkalan, Kanad, Maksi, Akodia, Barod, Polayakalan, Badagaon-Shajapur & Susner Cities in terms of their development, systems and procedures, institutions and the financial context to identify the strengths and weaknesses of the city development process and to provide an understanding of the impediments to service delivery and management within the existing set-up and what contributes to better service position. Accordingly, there was a reconnaissance, under which a one-week stock taking and information collection exercise was undertaken involving meetings with elected representatives and government officials, determining the feasibility and composition of a city level Steering Group (comprising of Citizen forum) for the CDP, besides collection of information of city demography, base maps, master plan, existing reports under past and current urban development programmes, ULB's annual budget reports, other reports on status of service delivery, policies and heritage related information, data on slums and urban poor, growth patterns of the city, characteristics of slums and environmentally sensitive areas, economic opportunities etc. This was followed by a one-day kick-off workshop to familiarize the line departments and key stakeholders for urban service delivery and development with the purpose, process and expected outcomes of the CDP. The stakeholders included the elected representatives, city level planning and service providing agencies, concerned government line departments, private sector agencies, non-governmental./community based organizations, representatives of poor communities, representatives of on-going urban development programmes, representatives of media and academic institutions etc. The preliminary analysis and methodology, accordingly, was presented in the Inception Report.
- **Assessment of existing situation:** This stage constituted a detailed analysis of



all the data, information, assessment related to economic opportunity and potential for local/regional development with special reference to the poor, development of low cost public transport, heritage conservation and tourism, environmental sustainability, access to housing, employment, social and environmental services by the poor, health and education services in the town and related sector issues under the master plan. This was followed by development of City Profile, which included the findings of sectoral analysis SWOT analysis and projection of the present gaps and future requirements, vision, goals and strategies. A second workshop was conducted where the proposed city profile was presented to stakeholders for discussion on city perspective and city priorities and for developing a shared vision for the city alongwith strategies and major actions required in the next five years to move towards the vision 2035. During this phase, in consultation with local counterparts, JPS also worked on development of sector strategies in consonance with city vision and sector goals as well as reviewed the relevant cases of national and international best practices to explore their application in relevant sectors to bring in improved and efficient ways of working. This stage also included review of the progress of the project by a committee headed by the District Collector at the district level and the Directorate of Urban Administration and Development, Bhopal, at the state level.

- **Development of Strategies and Priority Actions:** This stage included evaluation of strategies from the perspective of achieving the vision and sector goals. A third workshop was conducted with the Steering Group members and other key stakeholders for selection of strategies based on the criteria with the list of prioritized actions and projects. This stage also included consultations with Nemawar, Nalkheda, Soyatkalan, Kanad, Maksi, Akodia, Barod, Polayakalan, Badagaon-Shajapur & Susner Municipal Council officials, representatives of reform programmes and local counterparts to examine the adequacy of reforms being currently carried out and proposed at state and local levels to support the vision and strategic plan to sustain the planned interventions, alongwith with proposals for additional reforms. The output of this phase was an agreed plan outlining the goals, strategies, priority actions and projects, with an estimate of preliminary funding requirements in each sector.
- **Preparation of City Investment Plan (CIP) and a Financial Operating Plan (FOP):** This stage included determining the costing of the project and the funding process, scheduling of priority actions and developing of a City Investment Plan (CIP) which lays out the cost and revenue estimates of all priority projects in the next five years, supported by a financial operating plan (FOP), based on availability of resources, logical sequencing of actions and potential for immediate implementation. These plans were presented before all the stakeholders with support from Guna Municipal Council to seek their endorsement and as well as consent on procedures for performance monitoring. The performance monitoring/sustainability indicators were identified in consultation with Nemawar, Nalkheda, Soyatkalan, Kanad, Maksi, Akodia, Barod, Polayakalan, Badagaon-Shajapur & Susner Municipal Councils to assist the ULBs to review the progress and outcomes of the CDP on an annual basis and to set the future agenda. This was followed by a third stage discussion at the district level. In terms of performance monitoring, consultations were held with Guna Municipal Council to identify performance monitoring and sustainability indicators to review the progress and outcomes of the CDP and setting the future agenda.
- **Final CDP Document:** The final CDP was prepared after incorporating the feedback from the fourth workshop and inputs received from the third state level discussion and third district level discussion. The final CDP document was presented to Nemawar, Nalkheda, Soyatkalan, Kanad, Maksi, Akodia, Barod, Polayakalan, Badagaon-Shajapur & Susner Municipal Councils along with a summary of the CDP for publication and wider dissemination.





## URBAN WATER SUPPLY AND SANITATION

**Location:** Meghalaya, Mizoram, Nagaland, Tripura and Sikkim

**Client:** Ministry of Urban Development (MoUD), Government of India

**Funding Agency:** Asian Development Bank

**Period:** 2011-2013

### **Program Management and Monitoring Consultants (PMMC) for the North Eastern Region Urban Development Programme, North Eastern Region Capital Cities Development Investment Program (Phase-I) for Ministry of Urban Development, Government of India**

#### **Brief Description of Project:**

The Government of India is implementing an investment program to improve urban conditions in North Eastern Region capital cities, namely, Agartala, Aizawl, Gangtok, Kohima and Shillong. The expected impact of the Investment Program is improved environment and well-being of urban residents in the five capital cities. The expected outcomes of the Investment Program are increased access to better urban services for the 1.5 million people expected to be living in the Investment Program cities by 2014. To this end, the Project envisages (i) improving urban infrastructure and services and (ii) strengthening urban institutions for better service delivery by building management and implementation capacity.

#### **The Project comprises of two parts:**

Part A covers urban infrastructure and services improvement including the rehabilitation, improvement and expansion of (i) water supply (ii) sewerage and sanitation and (iii) solid waste management.

Part B covers Investment Program management and implementation support and a comprehensive capacity building assistance to support the accomplishment of the urban institutional and financial reform agenda, and enhance planning, operation and maintenance (O & M), revenue mobilization and financial management capabilities of service providers.

#### **Services Provided:**

**JPS are envisaged to support MOUD's IPCC in undertaking its management, monitoring and coordinating functions.**

#### **Support is to be provided for:**

- Reviewing the subprojects submitted by States in accordance with subproject selection criteria, and processing of the periodic financing requests by the States;
- Monitoring overall Program implementation and compliance with the agreed timelines;
- Reporting to the Investment Program Coordination Cell (IPCC) and supervision of the progress of work by State Investment Project Management Implementation Units (SIPMIUs); and
- Consolidating payment/reimbursement requests received from the respective States.

#### **The scope of work includes the following broad activities:**

##### **Urban Governance and Financial Reform:**

- Provide direct support to all States in relation to the implementation of the reform agenda paying particular attention to ensuring compliance with program covenants and the timely submission of associated documentation;
- For the States of Meghalaya and Tripura, where IDCs are recruited from Part 1, closely monitor and guide the implementation of the urban governance and finance program; and
- For the States of Mizoram, Nagaland and Sikkim, directly provide guidance and support on activities relating to the municipalization process and ensure that all actions necessary to successfully implement and IDC consultancy in Part 2 are



met.

**Program Management and Monitoring:**

- Prepare a common program management system (framework) for all tranches and States and detail out all activities under Tranche 1 (given distance and communication constraints, web-based system was envisaged to be most appropriate with MOUD/States access and selected sections for public disclosure);
- Prepare common guidelines for benefit monitoring and evaluation and train all State SIPMIUs accordingly;
- Support the States in structuring and conducting baseline surveys;
- Prepare a common repository system within IPCC for secondary data across the program (with primary data being maintained at the State level);
- Prepare and agree common frameworks for reporting (a) progress (physical and financial), (b) accounts, (c) procurement, (d) safeguards compliance and (e) covenant compliance, etc; and
- Support with any other activities relating to management and monitoring of the program.

**Periodic Finance Request Preparation and Coordination:**

- Coordinate and provide support to Program States in the preparation of PFR (tranche) 2;
- Review all documentation prepared in relation to PFR 2, including technical, economic/financial and social/environmental safeguards and provide feedback to State Governments; and
- Coordinate with ADB and DEA the submission of PFR 2 for consideration and approval.

**Design and Supervision Engineering Services**

- Assist the Investment Program Manager with day-to-day coordination, monitoring and approval activities;
- Coordinate planning, control and management of the work of a multidisciplinary team;
- Develop overall Investment Program Performance Monitoring System (PIMMS) in the form of an MIS system, agree on the most adequate platform and reporting system with the States, ensure its smooth transfer and monitor regular information inputs;
- Monitor progress, evaluate results and support the States in the identification and resolution of constraints;
- Provide long-term input to the development of project methodologies;
- Confirm that demand is adequately determined in proposals as per existing guidelines;
- Oversee the quality of designs, selection of appropriate technologies, equipment and materials by the States;
- Oversee the overall quality of construction and States/Contractor compliance with requirements, including compliance with design parameters and materials, occupational health and safety standards, environmental and social safeguard requirements;
- Assist/advise the States in conducting procurement activities in compliance with ADB and Gol requirements and assist them in resolving matters pertaining to disagreement/arbitration with contractors;
- Review updated costs and economic and financial information (including rates of return) prepared by the States for Tranches 2 and 3 prior to submission to ADB;
- Prepare and update overall program implementation schedule and resource requirements;



- Define quality control mechanisms and parameters applicable to all States and coordinate/discuss implementation with SIPMIUs;
- Assist the Investment Program Coordination Cell (IPCC) of MoUD in all coordination matters with ADB, including (a) submission of monthly and quarterly reports and (b) accounting and disbursement matters;
- Assist the IPCC during ADB missions;
- Assist the IPCC in the review and preparation of documentation for Tranches for ADB's approval; and
- Assist the IPCC in providing overall guidance to the States in the implementation of urban governance and financial reform agenda, including (a) providing all necessary support to State governments in drafting of documentation for compliance with prescribed covenants and (b) ensuring the timely submission to ADB after review.

**The specific domain-related tasks under the above consultancy assignment, comprise of the following:**

**Disbursement:**

- Provide direct support to the IPCC Accounts Manager;
- Liaise with senior accountants in SIPMIUs;
- Establish a sound accounting practice and systems to manage resources available;
- Develop budgetary control processes, design budget procedures and budget formats common to all SIPMIUs;
- Review payment submissions from the States and their compliance with program objectives, and recommend payments;
- Prepare consolidated cash flows for States/MoUD for submission to DEA/ADB for immediate payments;
- Train the SIPMIUs in the preparation of annual budget estimates and disbursement plans;
- Prepare consolidated Investment Program projections and support States/MoUD in the budgetary exercise;
- Together with the IT Specialist, develop IT-based systems in new offices, including means and methods to conduct cost accounting and tracking expenditure;
- Prepare manuals for use by IPCC/SIPMIUs as necessary and conduct hands-on training; and
- Prepare sections of monthly/quarterly reports pertaining to (a) compliance with ADB/Gol accounting/disbursement requirements (b) compliance with quarterly annual targets (contract awards and disbursements) and (c) compliance with recommendations prescribed at both MoUD and State level by program auditors.

**Benefit and Monitoring:**

- Assist the SIPMIUs and agree on a framework for common M&E procedures, indicators, and reports under the Investment Program;
- Assist the SIPMIUs' specialist in identifying physical, institutional, and financial data to be analyzed to monitor sustainability and impact of project services;
- Together with the Team Leader, develop an Investment Program Performance Monitoring System, agree this with SIPMIUs and submit within the three months of loan effectiveness to ADB;
- Support the development of an IT/web-based computerized system that enables States/MOUD uploading of program and monitoring information (some for internal access, some for disclosure to the public);
- Support the SIPMIUs in the preparation of surveys and collection of baselines and subsequent levels of information;
- Commission and review third-party independent assessments and discuss with IPCC/SIPMIUs/ADB; and



- Support the preparation of the Investment Program Completion Reports (per Tranche and final)

**IT/MIS:**

- Review information and communication systems available on MOUD/States and make necessary recommendations for the establishment of IT-based monitoring/program communication systems;
- Together with the Disbursement Specialist, prepare IT –based systems in SIPMIUs/IPCC, including means and methods to conduct cost accounting and tracking expenditure;
- Together with the Benefit Monitoring and Evaluation Specialist, prepare an Investment Program Performance Monitoring System (IPPMS)/ MIS IT-based system to track Program Implementation at IPCC/SIPMIU level; and
- If the above is not web-based, prepare an investment program webpage that enables access for upload to the different States.

**Water Supply and Waste Water:**

- Review detailed designs prepared by SIPMIUs relating to water supply and waste water prior to tranche approval to ensure compliance with all applicable guidelines;
- Provide recommendations/guide SIPMIUs accordingly;
- As part of program implementation, specifically monitor the overall progress at State level of NRW monitoring and rectification programs;
- As part of implementation, monitor overall quality of construction of water and wastewater facilities and compliance with agreed designs by contractors, conducting audits together with SIPMIUs as necessary;
- Support the Team Leader in monitoring the implementation of water and wastewater utility programs, particularly in matters pertaining to metering, rationalization of charges, creation of databases and GIS systems etc; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of water and wastewater components.

**Solid Waste Management:**

- Review detailed designs prepared by SIPMIUs relating to solid waste management prior to tranche approval and ensure compliance with all applicable guidelines;
- Provide recommendations/guide SIPMIUs accordingly;
- As part of program implementation, specifically monitor the overall progress at State level of waste segregation, issuing of applicable legal bylaws; and solid waste monitoring and rectification programs;
- As part of implementation, monitor overall quality of construction of solid waste management facilities and compliance with agreed designs by contractors, conducting audits together with SIPMIUs as necessary;
- Support the Team Leader in monitoring the implementation of the solid waste management utility programs, particularly in matters pertaining to compliance with contractual targets (for compost operations), rationalization of charges, creation of databases and GIS systems etc; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of solid waste management components.

**Environmental Safeguards:**

- Prepare internal environmental guidelines for the homogeneous preparation, implementation, monitoring and reporting of environmental documents across all States;
- Review IEEs/EIAs and other environmental safeguards documents prepared by



SIPMIUs in relation to the program prior to tranche approval to ensure compliance with State/GOI/ADB guidelines;

- Provide recommendations/guide SIPMIUs accordingly and make necessary changes prior to submission to ADB/DEA - ensure consistency in the level of proficiency and presentation of the documentation;
- As part of implementation, support SIPMIUs in the review of documentation pertaining to environmental compliance (including bidding documents, reviews on-site, reports from contractors etc);
- Conduct audits jointly with SIPMIUs' expert in matters pertaining to on-site Occupational Health and Safety; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of environmental requirements under the Investment Program.

**Social Safeguards:**

- Prepare internal guidelines for the homogeneous preparation, implementation, monitoring and reporting of resettlement and indigenous peoples documents across all States;
- Review RPs/IPDPs and other social safeguards documents prepared by SIPMIUs in relation to the program prior to tranche approval to ensure compliance with State/GOI/ADB guidelines;
- Provide recommendations/guide SIPMIUs accordingly and make necessary changes prior to submission to ADB/DEA - ensure consistency in the level of proficiency and presentation of the documentation;
- As part of implementation, support SIPMIUs in the review of documentation pertaining to social safeguards compliance (including bidding documents, reviews on-site, reports from contractors etc.);
- Conduct audits jointly with SIPMIU's expert in matters pertaining to timely payments, provision of temporary measures to affected persons by the contractor during construction etc; and
- Prepare sections of monthly/quarterly reports pertaining to overall implementation of environmental requirements under the Investment Program.

**Poverty and Community Development:**

- Assist SIPMIUs/IPPC in the design, preparation, planning and management of the community participation and awareness program;
- Prepare guidelines for the application of a consistent framework across all States;
- Support the IPCC in any matters that may relate to Public Relations at the Central level and support SIPMIUs and Community Awareness and Participation Specialist at State level to address matters that may arise at local level;
- Prepare materials and training programs for SIPMIUs to apply through Information, Education and Communication (IEC) at State levels;
- Together with the Team Leader, prepare governance reform programs and training modules to aid SIPMIUs/States support (a) the implementation of urban poverty alleviation functions at ULB level, (b) the preparation of a community participation law, (c) introduce services to the urban poor (including earmarking of funds); and
- With guidance from the Benefit Monitoring and Evaluation Specialist, select adequate indicators and ensure progress reporting in IPPMS and quarterly reports.

**Capacity Building:**

Comprehensive capacity building of the ULBs to plan, implement and manage similar projects.



**Location:** Bhopal, Gwalior & Jabalpur in the state of Madhya Pradesh

**Client:** Urban Administration & Development Department, Govt. of Madhya Pradesh

**Funding Agency:** Asian Development Bank

**Period:** June 2005-March, 2014

**Associate Firm:** TCE Consulting Engineers Ltd

**ADB Loan No. 2046-IND - Urban Water Supply & Environmental Improvement Project in Madhya Pradesh (UWSEIMP) - Design & Supervision Consultancy (DSC) for Eastern Region (Bhopal, Gwalior and Jabalpur Cities) for Urban Administration & Development Department, Government of Madhya Pradesh**

**Brief Description of Project:**

The primary objective of the UWSEIMP was to promote sustainable growth and poverty reduction in the Project cities in Madhya Pradesh. Specifically, the Project was aimed at (i) providing sustainable basic urban infrastructure and services to all citizens of the Project cities; and (ii) supporting comprehensive urban governance and institutional reform to enhance accountability in municipal management and strengthen the capacities of the Project cities, particularly in the areas of resources mobilization and cost recovery. The Project also was aimed at promoting active participation of women citizens in municipal management and project implementation as both beneficiaries and agents. Key components of the project included a) Water Supply, b) Sewerage & Sanitation, c) Storm Water Drainage & d) Solid Waste Management.

The main objective of the DSC was to support the PMU, PIUs, Urban Local bodies (Municipal Corporations of Bhopal, Jabalpur & Gwalior) and line agencies in the efficient preparation and implementation of the packages. The Consultant team was envisaged to prepare and update maps and plans, prepare feasibility studies, undertake and supervise survey and investigation works, prepare detailed engineering designs of various components, prepare technical specifications, bidding documents etc. The DSC was to work under the overall direction and guidance of PMU and PIUs. PMC was to be responsible to the PMU as well as PIUs of Bhopal, Gwalior and Jabalpur. DSC was to assist in construction supervision, quality control, measurement of works, verification of contractor claims and finalisation of works under the Project.

**Services Provided:**

**Solid Waste Management**

- Development of alternative solid waste management scenarios, comprising various storage, collection, transportation and disposal techniques. Determine the potential for private participation;
- Prepare concept designs & Solid Waste Management Master Plan for three phases. Prepare & review designs, drawings, estimates, standard specifications & bid documents etc;
- Development plan of sites for sanitary landfills;
- Collect & review available data/ reports from line agencies and external agencies;
- Identify major waste generation sources and assess the quality of waste generated per day, including medical establishments, industries, and residential & commercial areas; and
- Based on the options selected for collection, transportation and disposal of solid waste, suggest required changes in the institutional arrangements and conduct willingness to pay for improved waste collection.

**Community Development**

- Educate communities about environmental sanitation and health linkages as well as cost of services being provided. Assist PMU/PIU in monitoring, reviewing and assessing the progress of the MAPP and the work of NGOs and Community Liaison Officers;
- Work for all community based development and awareness works and review of recent and current community based development program being taken up in the city;



- Prepare community development and public awareness programs in consultation with Public Relation Consultant (PRC) for implementation by the NGOs for the Community Awareness and Participation Programme (CAPP), which is designed to cover community awareness, participation, and education with respect to the implementation and management of the project facilities;
- Assist in preparing a detailed BME implementation plan;
- Assist PMU in developing policies for use of NGOs under the project;
- Assist PMU to formulate plans for NGO involvement in the project; and
- Assist PMU in developing Terms of Reference & recruiting NGOs in consultation with PRC/PIU.

#### **Urban Planning**

- Provide inputs related to urban planning aspects of various sub projects;
- Prepare report to check further encroachments and remedial measures;
- Provide guidance on preparing concept designs and master plans;
- Assist in various sub-projects in the project master plans;
- Collect available data, maps, details of past schemes, reports for project cities;
- Organize various surveys related to planning;
- Advise/ train PMU, PIU and line agencies staff on planning requirements and ensure urban planning national guidelines are followed.
- Planning of various packages in light of urban planning mechanism; and
- Prepare guidelines to be followed during planning of various project facilities.

#### **Water Supply & Water Treatment**

- Prepare design report and estimates for installation of bulk water meters and replacement of non functional meters;
- Assessment of water losses through sample study and advise on Leakage Reduction Programs;
- Identify strategy of approach for detailed leak detection study of cities;
- Assist in the planning and implementation of power and water audit of water supply;
- Installation of bulk meter on mains and domestic meters in house connections;
- Collection & review of available data/report from the line agencies and external agencies;
- Organise and conduct various surveys & investigations;
- Review designs and drawings of water treatment plant;
- Analyse the existing water supply distribution network together with hydraulic analysis and propose augmentation of the distribution network, pumping storage facilities and other water supply components including renovations of Water Treatment Plant, rehabilitation of piping and equipment and update master plans;
- Prepare & review designs, drawings, estimates, standard specifications & bid documents for water supply components;
- Assist in tendering & other pre-construction activities;
- Co-ordination with Project Management Unit (PMU) and Project Implementation Units (PIUs), line agencies and various specialists to finalise most satisfactory schemes including unaccounted for water;
- Evolve action plans to reduce unaccounted for water;
- Review strategy prepared by the Public Health Engineering Department for reduction in unaccounted for water;
- Finalise the water supply system improvement programs. Prepare standard (typical) designs for common facilities;
- Advise, assist and train PMU, PIUs and line agencies staff on design



- requirements and during implementation of the project; and
- Assist in tendering & other pre-construction activities.

#### **Construction Management**

- Responsibility for project implementation, field activities & supervision of construction team;
- Coordination of all construction activities with PMU/PIUs/line agencies & contractors;
- Checking record measurements of the civil works/ supply of goods, etc;
- Coordination for approval of designs, drawings & data sheets;
- Checking adequacy of construction methods, manpower and machines;
- Providing certification on quality of works accomplished & on their conformity to specifications and drawings; and
- Inspection of works at site & advising for rectification measures.

#### **Development and Capacity Building of Human Resources for Municipal Operations in 7 YAP Towns of Uttar Pradesh under Reform Action Plan (RAP) Component of YAP- II for Uttar Pradesh Jal Nigam**

##### **Brief Description of Project:**

The Yamuna Action Plan Project Phase II was a core project under the National River Conservation Plan of Government of India. The project sought to address the abatement of severe pollution of the River Yamuna by raising sewage treatment capacity, caused by rapid population growth, industrialization and urbanization in the towns of the river basin. YAP II was one of the important projects, being implemented by U.P Jal Nigam through its Project offices at Ghaziabad and Agra. It was being implemented in 3 States of the country (Haryana, Delhi and Uttar Pradesh) and within UP, 8 towns viz Agra, Mathura Vrindavana, Etawah (all under Agra region) Muzaffarnagar, Saharanpur, Noida, Ghaziabad (under Ghaziabad region) have been selected where river Yamuna passes through. The captioned consultancy assignment involved reviewing the current job descriptions for all positions; identifying the skills/competencies which are lacking and assessing the training needs of all staff in the ULBs through undertaking a gap analysis between current and required skills; preparation of a detailed Training Plan for implementation over the next fifteen months covering ULB Staff and elected representatives of the councils; imparting training for enhancing the capacity of ULB Staff through interactive sessions & exposure visits to locations demonstrating 'best practices' and coordinating inputs of trainers, sector experts and all related logistics.

##### **Services Provided:**

- Analyzing and identifying necessary changes to the job descriptions in light of the current tasks & likely changes in the functions to be carried out to by staff at all levels in the ULBs.
- Making job responsibility-specific categorization of personnel.
- Examining functional responsibilities of each department.
- Assessing the role perception of municipal councilors and their awareness about important and relevant provisions of constitution, municipal laws, rules etc.
- Enumerating the tasks to be performed at each level and prepare a 'Job Description Document'.
- Reviewing the inputs provided in the RAP document and carry out a detailed Training Needs Assessment (TNA), benchmarking the level of skills and competence of the ULB personnel to perform efficiently together with identification of areas of training for skill enhancement.
- Preparation of a detailed Training Plan to be implemented over the next one and

**Location:** U.P. (Uttar Pradesh)- Agra, Mathura, Vrindavan, Etawah, Ghaziabad, , Muzaffarnagar, Saharanpur

**Client:** U.P. Jal Nigam, Ghaziabad

**Funding Agency:** U.P. Jal Nigam

**Period:** March 2009 - 2011

**Associate Firm:** Egis BCEOM International/EGIS India Consulting Engineers Pvt Ltd





half years for (a) each category of officers/ staff, (b) for the council level functionaries and (c) for members of the RWA/Ward Committees.

- Examining training delivery capabilities and capacity of ULBs in terms of availability of physical assets and facilities.
- Prioritizing delivery of training for the ULB staff as per the theme of training keeping in mind the present as well as future requirements and needs.
- Preparation of theme based modules and course materials for the training programs.
- Identification and selection of resource persons with relevant experience and expertise for each thematic course/program and implementation of training as per plan through interactive sessions, hands-on-training and exposure visits to locations for demonstrating 'best practices'.
- Designing objective evaluation of staff performance in pre- and post-training/exposure visit sessions.
- Conducting pre-training evaluation so as to verify whether training objectives match the training needs of participants, carry out post training evaluation by the participants to assess the quality of training program

**Location:** Guna

**Client:** Urban Administration and Development Department, Government of Madhya Pradesh

**Funding Agency:** Government of Madhya Pradesh

**Period:** 2010-2011

**Associate Firm:** Nil

### **Preparation of City Development Plan (CDP) for Guna City Municipal Council, Madhya Pradesh for Urban Administration and Development Department, Government of Madhya Pradesh**

#### **Brief Description of Project:**

- To scale up existing urban development and poverty alleviation schemes within a comprehensive and coherent strategic planning framework in order to ensure optimal benefit from available resources for the citizens of the ULB.
- To catalyse new thinking and provide debate through a consultative stakeholder driven process. The vision and strategic thrusts of the CDP were to be built around the lessons and findings of a comprehensive and rigorous stakeholder consultation and documentation process.
- To help CDP to serve the requirements of the UIDSSMT and IHSDP programmes as well as JNNURM and other developmental schemes
- To generate specific priority actions and projects that can be the basis for mobilizing funding from diverse sources

#### **Services Provided:**

A multi-stage exercise was conducted by JPS to formulate the CDP in close collaboration with the Guna City Municipal Council, as detailed below:

- **Inception:** The purpose of this stage was to review and analyse the current status and unique features of Guna City in terms of its development, systems and procedures, institutions and the financial context to identify the strengths and weaknesses of the city development process and to provide an understanding of the impediments to service delivery and management within the existing set-up and what contributes to better service position. Accordingly, there was a reconnaissance, under which a one-week stock taking and information collection exercise was undertaken involving meetings with elected representatives and government officials, determining the feasibility and composition of a city level Steering Group (comprising of Citizen forum) for the CDP, besides collection of information of city demography, base maps, master plan, existing reports under past and current urban development programmes, ULB's annual budget reports, other reports on status of service delivery, policies and heritage related information, data on slums and urban poor, growth patterns of the city, characteristics of slums and environmentally sensitive areas, economic opportunities etc. This was followed by a one- day kick-off workshop to familiarize the line departments and key stakeholders for urban service delivery



and development with the purpose, process and expected outcomes of the CDP. The stakeholders included the elected representatives, city level planning and service providing agencies, concerned government line departments, private sector agencies, non-governmental./community based organizations, representatives of poor communities, representatives of on-going urban development programmes, representatives of media and academic institutions etc. The preliminary analysis and methodology, accordingly, was presented in the Inception Report.

- **Assessment of existing situation:** This stage constituted a detailed analysis of all the data, information, assessment related to economic opportunity and potential for local/regional development with special reference to the poor, development of low cost public transport, heritage conservation and tourism, environmental sustainability, access to housing, employment, social and environmental services by the poor, health and education services in the town and related sector issues under the master plan. This was followed by development of City Profile, which included the findings of sectoral analysis SWOT analysis and projection of the present gaps and future requirements, vision, goals and strategies. A second workshop was conducted where the proposed city profile was presented to stakeholders for discussion on city perspective and city priorities and for developing a shared vision for the city alongwith strategies and major actions required in the next five years to move towards the vision 2035. During this phase, in consultation with local counterparts, JPS also worked on development of sector strategies in consonance with city vision and sector goals as well as reviewed the relevant cases of national and international best practices to explore their application in relevant sectors to bring in improved and efficient ways of working. This stage also included review of the progress of the project by a committee headed by the District Collector at the district level and the Directorate of Urban Administration and Development, Bhopal, at the state level.
- **Development of Strategies and Priority Actions:** This stage included evaluation of strategies from the perspective of achieving the vision and sector goals. A third workshop was conducted with the Steering Group members and other key stakeholders for selection of strategies based on the criteria with the list of prioritized actions and projects. This stage also included consultations with ULB officials, representatives of reform programmes and local counterparts to examine the adequacy of reforms being currently carried out and proposed at state and local levels to support the vision and strategic plan to sustain the planned interventions, alongwith with proposals for additional reforms. The output of this phase was an agreed plan outlining the goals, strategies, priority actions and projects, with an estimate of preliminary funding requirements in each sector.
- **Preparation of City Investment Plan (CIP) and a Financial Operating Plan (FOP):** This stage included determining the costing of the project and the funding process, scheduling of priority actions and developing of a City Investment Plan (CIP) which lays out the cost and revenue estimates of all priority projects in the next five years, supported by a financial operating plan (FOP), based on availability of resources, logical sequencing of actions and potential for immediate implementation. These plans were presented before all the stakeholders with support from Guna Municipal Council to seek their endorsement and as well as consent on procedures for performance monitoring. The performance monitoring/sustainability indicators were identified in consultation with Guna Municipal Council to assist the ULB to review the progress and outcomes of the CDP on an annual basis and to set the future agenda. This was followed by a third stage discussion at the district level. In terms of performance monitoring, consultations were held with Guna Municipal Council to identify performance monitoring and sustainability indicators to review the progress and outcomes of the CDP and setting the future agenda
- **Final CDP Document:** The final CDP was prepared after incorporating the



**Location:** Madhya Pradesh  
**Client:** Urban Administration and Development Department, Government of Madhya Pradesh

**Funding Agency:** Government of Madhya Pradesh

**Period:** 2010 - 2011

**Associated Firm:** Nil

feedback from the fourth workshop and inputs received from the third state level discussion and third district level discussion. The final CDP document was presented to Guna Municipal Council, along with a summary of the CDP for publication and wider dissemination.

### **Preparation of City Development Plan (CDP) for Narsingh Garh City Municipal Council, Madhya Pradesh for Urban Administration and Development Department, Government of Madhya Pradesh**

#### **Brief Description of Project:**

- To scale up existing urban development and poverty alleviation schemes within a comprehensive and coherent strategic planning framework in order to ensure optimal benefit from available resources for the citizens of the ULB.
- To catalyse new thinking and provide debate through a consultative stakeholder driven process. The vision and strategic thrusts of the CDP were to be built around the lessons and findings of a comprehensive and rigorous stakeholder consultation and documentation process.
- To help CDP to serve the requirements of the UIDSSMT and IHSDP programmes as well as JNNURM and other developmental schemes
- To generate specific priority actions and projects that can be the basis for mobilizing funding from diverse sources

#### **Services Provided:**

A multi-stage exercise was conducted by JPS to formulate the CDP in close collaboration with the Narsingh Garh City Municipal Council, as detailed below:

- **Inception:** The purpose of this stage was to review and analyse the current status and unique features of Narsingh Garh City in terms of its development, systems and procedures, institutions and the financial context to identify the strengths and weaknesses of the city development process and to provide an understanding of the impediments to service delivery and management within the existing set-up and what contributes to better service position. Accordingly, there was a reconnaissance, under which a one-week stock taking and information collection exercise was undertaken involving meetings with elected representatives and government officials, determining the feasibility and composition of a city level Steering Group (comprising of Citizen forum) for the CDP, besides collection of information of city demography, base maps, master plan, existing reports under past and current urban development programmes, ULB's annual budget reports, other reports on status of service delivery, policies and heritage related information, data on slums and urban poor, growth patterns of the city, characteristics of slums and environmentally sensitive areas, economic opportunities etc. This was followed by a one-day kick-off workshop to familiarize the line departments and key stakeholders for urban service delivery and development with the purpose, process and expected outcomes of the CDP. The stakeholders included the elected representatives, city level planning and service providing agencies, concerned government line departments, private sector agencies, non-governmental./community based organizations, representatives of poor communities, representatives of on-going urban development programmes, representatives of media and academic institutions etc. The preliminary analysis and methodology, accordingly, was presented in the Inception Report.
- **Assessment of existing situation:** This stage constituted a detailed analysis of all the data, information, assessment related to economic opportunity and potential for local/regional development with special reference to the poor, development of low cost public transport, heritage conservation and tourism, environmental sustainability, access to housing, employment, social and



environmental services by the poor, health and education services in the town and related sector issues under the master plan. This was followed by development of City Profile, which included the findings of sectoral analysis SWOT analysis and projection of the present gaps and future requirements, vision, goals and strategies. A second workshop was conducted where the proposed city profile was presented to stakeholders for discussion on city perspective and city priorities and for developing a shared vision for the city alongwith strategies and major actions required in the next five years to move towards the vision 2035. During this phase, in consultation with local counterparts, JPS also worked on development of sector strategies in consonance with city vision and sector goals as well as reviewed the relevant cases of national and international best practices to explore their application in relevant sectors to bring in improved and efficient ways of working. This stage also included review of the progress of the project by a committee headed by the District Collector at the district level and the Directorate of Urban Administration and Development, Bhopal, at the state level.

- **Development of Strategies and Priority Actions:** This stage included evaluation of strategies from the perspective of achieving the vision and sector goals. A third workshop was conducted with the Steering Group members and other key stakeholders for selection of strategies based on the criteria with the list of prioritized actions and projects. This stage also included consultations with ULB officials, representatives of reform programmes and local counterparts to examine the adequacy of reforms being currently carried out and proposed at state and local levels to support the vision and strategic plan to sustain the planned interventions, alongwith with proposals for additional reforms. The output of this phase was an agreed plan outlining the goals, strategies, priority actions and projects, with an estimate of preliminary funding requirements in each sector.
- **Preparation of City Investment Plan (CIP) and a Financial Operating Plan (FOP):** This stage included determining the costing of the project and the funding process, scheduling of priority actions and developing of a City Investment Plan (CIP) which lays out the cost and revenue estimates of all priority projects in the next five years, supported by a financial operating plan (FOP), based on availability of resources, logical sequencing of actions and potential for immediate implementation. These plans were presented before all the stakeholders with support from Guna Municipal Council to seek their endorsement and as well as consent on procedures for performance monitoring. The performance monitoring/sustainability indicators were identified in consultation with Narsingh Garh City Municipal Council to assist the ULB to review the progress and outcomes of the CDP on an annual basis and to set the future agenda. This was followed by a third stage discussion at the district level. In terms of performance monitoring, consultations were held with Narsingh Garh City Municipal Council to identify performance monitoring and sustainability indicators to review the progress and outcomes of the CDP and setting the future agenda
- **Final CDP Document:** The final CDP was prepared after incorporating the feedback from the fourth workshop and inputs received from the third state level discussion and third district level discussion. The final CDP document was presented to Narsingh Garh City Municipal Council, along with a summary of the CDP for publication and wider dissemination.



**Location:** Ragho Garh

**Client:** Urban Administration and Development Department, Government of Madhya Pradesh

**Funding Agency:** Government of Madhya Pradesh

**Period:** 2010-2011

**Associate:** Nil

### Preparation of City Development Plan (CDP) for Ragho Garh City Municipal Council, Madhya Pradesh for Urban Administration and Development Department, Government of Madhya Pradesh

#### Brief Description of Project:

- To scale up existing urban development and poverty alleviation schemes within a comprehensive and coherent strategic planning framework in order to ensure optimal benefit from available resources for the citizens of the ULB.
- To catalyse new thinking and provide debate through a consultative stakeholder driven process. The vision and strategic thrusts of the CDP were to be built around the lessons and findings of a comprehensive and rigorous stakeholder consultation and documentation process.
- To help CDP to serve the requirements of the UIDSSMT and IHSDP programmes as well as JNNURM and other developmental schemes
- To generate specific priority actions and projects that can be the basis for mobilizing funding from diverse sources

#### Services Provided:

A multi-stage exercise was conducted by JPS to formulate the CDP in close collaboration with the Ragho Garh City Municipal Council, as detailed below:

- **Inception:** The purpose of this stage was to review and analyse the current status and unique features of Ragho Garh City in terms of its development, systems and procedures, institutions and the financial context to identify the strengths and weaknesses of the city development process and to provide an understanding of the impediments to service delivery and management within the existing set-up and what contributes to better service position. Accordingly, there was a reconnaissance, under which a one-week stock taking and information collection exercise was undertaken involving meetings with elected representatives and government officials, determining the feasibility and composition of a city level Steering Group (comprising of Citizen forum) for the CDP, besides collection of information of city demography, base maps, master plan, existing reports under past and current urban development programmes, ULB's annual budget reports, other reports on status of service delivery, policies and heritage related information, data on slums and urban poor, growth patterns of the city, characteristics of slums and environmentally sensitive areas, economic opportunities etc. This was followed by a one-day kick-off workshop to familiarize the line departments and key stakeholders for urban service delivery and development with the purpose, process and expected outcomes of the CDP. The stakeholders included the elected representatives, city level planning and service providing agencies, concerned government line departments, private sector agencies, non-governmental./community based organizations, representatives of poor communities, representatives of on-going urban development programmes, representatives of media and academic institutions etc. The preliminary analysis and methodology, accordingly, was presented in the Inception Report.
- **Assessment of existing situation:** This stage constituted a detailed analysis of all the data, information, assessment related to economic opportunity and potential for local/regional development with special reference to the poor, development of low cost public transport, heritage conservation and tourism, environmental sustainability, access to housing, employment, social and environmental services by the poor, health and education services in the town and related sector issues under the master plan. This was followed by development of City Profile, which included the findings of sectoral analysis SWOT analysis and projection of the present gaps and future requirements, vision, goals and strategies. A second workshop was conducted where the proposed city profile was presented to stakeholders for discussion on city



perspective and city priorities and for developing a shared vision for the city alongwith strategies and major actions required in the next five years to move towards the vision 2035. During this phase, in consultation with local counterparts, JPS also worked on development of sector strategies in consonance with city vision and sector goals as well as reviewed the relevant cases of national and international best practices to explore their application in relevant sectors to bring in improved and efficient ways of working. This stage also included review of the progress of the project by a committee headed by the District Collector at the district level and the Directorate of Urban Administration and Development, Bhopal, at the state level.

- **Development of Strategies and Priority Actions:** This stage included evaluation of strategies from the perspective of achieving the vision and sector goals. A third workshop was conducted with the Steering Group members and other key stakeholders for selection of strategies based on the criteria with the list of prioritized actions and projects. This stage also included consultations with ULB officials, representatives of reform programmes and local counterparts to examine the adequacy of reforms being currently carried out and proposed at state and local levels to support the vision and strategic plan to sustain the planned interventions, alongwith with proposals for additional reforms. The output of this phase was an agreed plan outlining the goals, strategies, priority actions and projects, with an estimate of preliminary funding requirements in each sector.
- **Preparation of City Investment Plan (CIP) and a Financial Operating Plan (FOP):** This stage included determining the costing of the project and the funding process, scheduling of priority actions and developing of a City Investment Plan (CIP) which lays out the cost and revenue estimates of all priority projects in the next five years, supported by a financial operating plan (FOP), based on availability of resources, logical sequencing of actions and potential for immediate implementation. These plans were presented before all the stakeholders with support from Ragho Garh City Municipal Council to seek their endorsement and as well as consent on procedures for performance monitoring. The performance monitoring/sustainability indicators were identified in consultation with Ragho Garh City Municipal Council to assist the ULB to review the progress and outcomes of the CDP on an annual basis and to set the future agenda. This was followed by a third stage discussion at the district level. In terms of performance monitoring, consultations were held with Ragho Garh City Municipal Council to identify performance monitoring and sustainability indicators to review the progress and outcomes of the CDP and setting the future agenda
- **Final CDP Document:** The final CDP was prepared after incorporating the feedback from the fourth workshop and inputs received from the third state level discussion and third district level discussion. The final CDP document was presented to Ragho Garh City Municipal Council, along with a summary of the CDP for publication and wider dissemination.

**Location:** Madhya Pradesh  
**Client:** Urban Administration and Development Department, Government of Madhya Pradesh,  
**Funding Agency:** Government of Madhya Pradesh  
**Period:** June, 2009 - May, 2012  
**Associate Firm:** Nil

**Madhya Pradesh Urban Services for the Poor Programme (MPUSP): TA-Cities Support Unit (CSU) LOT-1: Ujjain & Ratlam for Urban Administration and Development Department, Government of Madhya Pradesh**

#### **Brief Description of Project:**

The JNNURM/ UIDSSMT and IHSDP of the Ministry of Urban Development and Ministry of Housing and Urban Poverty Alleviation of the Government of India are designed as a response to the urgent need to improve municipal management and urban infrastructure with an emphasis on urban services for poor. The key objectives of these programmes are to ensure that the following are achieved in the urban sector:

- Ensuring adequate funds to meet the deficiencies in urban infrastructural services through improved accounting systems and revenue mobilisation;



- Establishment of linkages between asset-creation and asset-management through urban reforms for long-term project sustainability;
- Support for IT and E-governance improvements for increased efficiency and delivery of services
- Focused attention to integrated development of infrastructure (water supply, sanitation, solid waste, roads and transportation);
- Provision of basic services to the urban poor including shelter/housing, community toilets, physical amenities and infrastructure relating to primary health, education etc.
- Support for urban environmental improvement, renewal and heritage

The purpose of establishing a CSU is to entrust the responsibility for advising and guiding the cities in each lot to implement mandatory and optional reforms and infrastructure development under JNNURM/ UIDSSMT/IHSDP and MPUSP. The overall objective the captioned City Support Unit is to assist the Municipal Corporations to deliver improved infrastructure and services to all citizens including the marginal and urban poor.

The specific objectives of CSU are to:

- Deploy and manage consultants with expertise in urban finance, e-governance, engineering and social/community development
- Support corporations in the implementation of JNNURM/UIDSSMT/IHSDP and MPUSP reforms and infrastructure
- Liaise with GoMP on all matters related to the above as and when required.

#### **Services Provided:**

##### **Municipal Finance:**

- Support corporations to implement the new budget classification as required under the accrual based double entry accounting system including advising on streamlined collection and collation of expenditure data and linking this to budgeting under new heads.
- Assist in developing mechanisms and systems for implementation of accrual based double entry accounting system as required under the JNNURM UIDSSMT/IHSDP to include preparation of opening balance sheet, implementation and training.
- Help cities to improve revenue mobilisation from property tax and other sources including guidance on strengthening revenue surveys, updating registers and improving collection methods.
- Assist ULB in asset valuation and preparation of balance sheet
- Oversee preparation and procurement of TA for strengthening municipal finance and IT, including bid preparation, evaluation and contract management
- Interact with the counterpart consultants of MPUSP for putting in place an effective system of financial management

##### **IT and E-Governance:**

- Guide municipal corporations on updating, computerising and integrate all databases as part of a city wide MIS
- Support MCs in identifying hardware requirements for computerised databases and MIS and assist in procurement of hardware
- Develop training plans and interventions to support e-governance requirements
- Supervise and monitor all IT/Hardware support contracts
- Assist with the specification and implementation of GIS applications and systems



**Municipal Engineering:**

- Support for estimation, design, procurement, contract management and monitoring of physical works
- Assist corporations in the preparation, implementation and review of Detailed Project Reports for infrastructure projects under JNNURM/UIDSSMT/IHSDP
- Support for planning, procurement, construction supervision, quality control and quality assurance and related O&M for all infrastructure activities including city wide projects under JNNURM/UIDSSMT/IHSDP and slum upgrading in priority poor settlements
- Help to promote convergence of different schemes in the cities
- Assist corporations to implement engineering management reforms in respect of roads, drainage, water supply and heritage projects
- Support Municipal staff in formulating and implementing engineering projects and provide handholding support as required
- Promote rainwater harvesting and other environmentally friendly building technologies

**Social Development:**

- Assist the corporations in planning, guiding and supervising the implementation of all community development aspects of slum improvement activities
- Assist corporations in collecting and collating data on urban poor settlements and support prioritisation processes for slum selection
- Supporting participatory processes for identification of infrastructure and social development needs assessment
- Prepare proposals for additional technical support for community development including livelihoods
- Help to promote convergence of different schemes in the cities
- Assist corporations to establish and strengthen urban poverty cells
- Support the implementation of Community Participatory Fund under GoI and other State urban poverty schemes
- Support implementation mechanisms in achieving total sanitation in corporations
- Manage initiatives for capacity building of communities, CBOs, NGOs and ULBs in social development

**Madhya Pradesh Urban Services for the Poor Programme (MPUSP): TA-Cities Support Unit (CSU) LOT-2: Dewas, Khandwa & Burhanpur for Urban Administration and Development Department, Government of Madhya Pradesh**

**Brief Description of Project:**

The JNNURM/ UIDSSMT and IHSDP of the Ministry of Urban Development and Ministry of Housing and Urban Poverty Alleviation of the Government of India are designed as a response to the urgent need to improve municipal management and urban infrastructure with an emphasis on urban services for poor. The key objectives of these programmes are to ensure that the following are achieved in the urban sector:

- Ensuring adequate funds to meet the deficiencies in urban infrastructural services through improved accounting systems and revenue mobilisation;
- Establishment of linkages between asset-creation and asset-management through urban reforms for long-term project sustainability;
- Support for IT and E-governance improvements for increased efficiency and delivery of services
- Focused attention to integrated development of infrastructure (water supply,

**Location:** Dewas, Khandwa & Burhanpur

**Client:** Urban Administration and Development Department, Government of Madhya Pradesh

**Funding Agency:** Government of Madhya Pradesh, Bhopal

**Period:** June, 2009-May, 2012

**Associate Firm:** Nil





sanitation, solid waste, roads and transportation);

- Provision of basic services to the urban poor including shelter/housing, community toilets, physical amenities and infrastructure relating to primary health, education etc.
- Support for urban environmental improvement, renewal and heritage

The purpose of establishing a CSU is to entrust the responsibility for advising and guiding the cities in each lot to implement mandatory and optional reforms and infrastructure development under JNNURM/ UIDSSMT/IHSDP and MPUSP. The overall objective the captioned City Support Unit is to assist the Municipal Corporations to deliver improved infrastructure and services to all citizens including the marginal and urban poor.

The specific objectives of CSU are to:

- Deploy and manage consultants with expertise in urban finance, e-governance, engineering and social/community development
- Support corporations in the implementation of JNNURM/UIDSSMT/IHSDP and MPUSP reforms and infrastructure
- Liaise with GoMP on all matters related to the above as and when required.

#### **Services Provided:**

##### **Municipal Finance:**

- Support corporations to implement the new budget classification as required under the accrual based double entry accounting system including advising on streamlined collection and collation of expenditure data and linking this to budgeting under new heads.
- Assist in developing mechanisms and systems for implementation of accrual based double entry accounting system as required under the JNNURM UIDSSMT/IHSDP to include preparation of opening balance sheet, implementation and training.
- Help cities to improve revenue mobilisation from property tax and other sources including guidance on strengthening revenue surveys, updating registers and improving collection methods.
- Assist ULB in asset valuation and preparation of balance sheet
- Oversee preparation and procurement of TA for strengthening municipal finance and IT, including bid preparation, evaluation and contract management
- Interact with the counterpart consultants of MPUSP for putting in place an effective system of financial management

##### **IT and E-Governance:**

- Guide municipal corporations on updating, computerising and integrate all databases as part of a city wide MIS
- Support MCs in identifying hardware requirements for computerised databases and MIS and assist in procurement of hardware
- Develop training plans and interventions to support e-governance requirements
- Supervise and monitor all IT/Hardware support contracts
- Assist with the specification and implementation of GIS applications and systems

##### **Municipal Engineering:**

- Support for estimation, design, procurement, contract management and monitoring of physical works
- Assist corporations in the preparation, implementation and review of Detailed



Project Reports for infrastructure projects under JNNURM/UIDSSMT/IHSDP

- Support for planning, procurement, construction supervision, quality control and quality assurance and related O&M for all infrastructure activities including city wide projects under JNNURM/UIDSSMT/IHSDP and slum upgrading in priority poor settlements
- Help to promote convergence of different schemes in the cities
- Assist corporations to implement engineering management reforms in respect of roads, drainage, water supply and heritage projects
- Support Municipal staff in formulating and implementing engineering projects and provide handholding support as required
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- Support the implementation of Community Participatory Fund under GoI and other State urban poverty schemes
- Support implementation mechanisms in achieving total sanitation in corporations
- Manage initiatives for capacity building of communities, CBOs, NGOs and ULBs in social development

**Location:** Sagar, Satna, Katni, Rewa & Singrauli

**Client:** Urban Administration and Development Department, Government of Madhya Pradesh

**Funding Agency:** Government of Madhya Pradesh, Bhopal

**Period:** June, 2009 - May, 2012

**Associate Firm:** Nil

**Madhya Pradesh Urban Services for the Poor Programme (MPUSP): TA-Cities Support Unit (CSU) LOT-3: Sagar, Satna, Katni, Rewa & Singrauli for Urban Administration and Development Department, Government of Madhya Pradesh**

**Brief Description of Project:**

The JNNURM/ UIDSSMT and IHSDP of the Ministry of Urban Development and Ministry of Housing and Urban Poverty Alleviation of the Government of India are designed as a response to the urgent need to improve municipal management and urban infrastructure with an emphasis on urban services for poor. The key objectives of these programmes are to ensure that the following are achieved in the urban sector:

- Ensuring adequate funds to meet the deficiencies in urban infrastructural services through improved accounting systems and revenue mobilisation;
- Establishment of linkages between asset-creation and asset-management through urban reforms for long-term project sustainability;
- Support for IT and E-governance improvements for increased efficiency and delivery of services
- Focused attention to integrated development of infrastructure (water supply, sanitation, solid waste, roads and transportation);
- Provision of basic services to the urban poor including shelter/housing, community toilets, physical amenities and infrastructure relating to primary health, education etc.



- Support for urban environmental improvement, renewal and heritage

The purpose of establishing a CSU is to entrust the responsibility for advising and guiding the cities in each lot to implement mandatory and optional reforms and infrastructure development under JNNURM/ UIDSSMT/IHSDP and MPUSP. The overall objective the captioned City Support Unit is to assist the Municipal Corporations to deliver improved infrastructure and services to all citizens including the marginal and urban poor.

The specific objectives of CSU are to:

- Deploy and manage consultants with expertise in urban finance, e-governance, engineering and social/community development
- Support corporations in the implementation of JNNURM/UIDSSMT/IHSDP and MPUSP reforms and infrastructure
- Liaise with GoMP on all matters related to the above as and when required.

#### **Services Provided:**

##### **Municipal Finance:**

- Support corporations to implement the new budget classification as required under the accrual based double entry accounting system including advising on streamlined collection and collation of expenditure data and linking this to budgeting under new heads.
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- Support for planning, procurement, construction supervision, quality control and quality assurance and related O&M for all infrastructure activities including city wide projects under JNNURM/UIDSSMT/IHSDP and slum upgrading in priority



poor settlements

- Help to promote convergence of different schemes in the cities
- Assist corporations to implement engineering management reforms in respect of roads, drainage, water supply and heritage projects
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**Social Development:**

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- Support the implementation of Community Participatory Fund under GoI and other State urban poverty schemes
- Support implementation mechanisms in achieving total sanitation in corporations
- Manage initiatives for capacity building of communities, CBOs, NGOs and ULBs in social development

**Location:** Kanpur

**Client:** Kanpur Nagar Nigam, Government of Uttar Pradesh

**Funding Agency:** Government of Uttar Pradesh

**Period:** 2006 – August, 2006

**Associate Firm:** Nil

**City Development Plan for Kanpur City for Kanpur Nagar Nigam, Government of Uttar Pradesh**

**Brief Description of Project:**

The objective of City Development Plan for Kanpur City under JNNURM which was launched by the Ministry of Urban Development (MoUD) and the Ministry of Urban Employment and Poverty Alleviation (MoUEPA) was to provide a starting point for the reform by identifying core city challenges, a perspective and vision for the future development of the City, its present stage of development (current status) and set out a direction of change. The CDP was envisaged to focus on the development of economic and social infrastructure, policies and programmes addressing the specific issues of urban poor, strengthening municipal government, and their financial management and accounting processes, transparency in their functioning etc. The CDP was also required to develop the direction for City and State Government to undertake urban sector reforms that will facilitate flow of investments into City based infrastructure. The CDP was required to be prepared as per the tool kits, guidelines and instructions provided by the MoUD and MoUEPA and Department of Urban Development (DoUD), Government of Uttar Pradesh.

**Services Provided:**

**A. City Assessment**

- To undertake an analysis of the existing situation focusing on demographics and economic activity, land use, financial, urban infrastructure and urban services (such as transportation, water supply and sanitation, sewerage and solid waste management, drainage, transport parking spaces), physical and environmental aspects including heritage areas, water bodies etc;



- To assess the financial status of the city government and parastatal and other agencies dealing with the service provision including an analysis of their credit worthiness and efficiency of the institutional frameworks;
- To assess as well as project population growth, infrastructure needs and resource requirements in the short-term and long-term perspective;
- To analyse the urban poverty characteristics of the slums e.g. social setup, availability of urban basic and social services and on-going slum improvement programmes etc;
- To analyse the present status of availability of urban basic services including the condition of infrastructure in the areas in inner city (urban renewal) which needs to be redeveloped;
- To identify existing nature of commercial and industrial establishments and the nonconformity to the existing land-use planning and zoning regulation in the inner city areas;
- To assess protection measures for heritage areas including archaeological heritage, architectural heritage and architectural conservation areas;
- To highlight the SWOT analysis of city government/parastatal agencies and related government departments to understand the factors responsible for inefficient and inadequate production and delivery of urban services, their managerial deficiencies and financial constraints and to highlight the critical factors which call for urgent remedial measures at the city and state government levels;
- To undertake situational analysis in consultation with all the stakeholders and civil society at the city level.

#### **B. Development of Strategic Agenda and Vision for the City**

- To develop strategies focusing attention on growth management, urban infrastructure and basic services, slum improvement, housing for EWS, provision of basic and social services for urban poor, protection of heritage areas, preservation of water bodies, redevelopment of inner city areas, based on the vision;
- To define outcomes and milestones on the vision and to ensure that these are measurable and have a time frame;
- To develop the vision in consultation with all the stakeholders and civil society, focusing on broad assessment of municipal resources, possible impact on the municipal budget and the proposal for reform to support development; to review the results of rapid city assessment relating to population growth, infrastructure needs and resource requirements in short-term and long-term perspective;

#### **C. Evolving Strategies for Development**

- To highlight interventions to operationalise the vision and future development of the city;
- Identification of options and strategies and their evaluation, keeping in view their contribution to the goals, objectives and reform agenda of JNNURM;
- To translate the strategies into programmes and projects;
- To identify the programmes which have maximum/optimum contribution to the achievement of city's vision and medium-term perspective;
- To prioritize strategies, programmes and projects through a consultative process with all stakeholders.

#### **D. Development of a City Investment Plan and Financing Strategy**

- Preparation of City Investment Plan (CIP) which will include the level of investment requirements to implement the CDP;
- Evaluation of financial options and strategies for financing the vision as



**Location:** Haryana

**Client:** Public Works Department, Public Health Branch, Govt. of Haryana

**Funding Agency:** Japan Bank for International Cooperation (JBIC)

**Period:** April 2006 – 2008

**Associate Firm:** Feedback Ventures Private Limited, New Delhi

enumerated in CDP;

- To identify the areas in which city government could finance by mobilising resources or in association with other tiers of the government; access to capital market or enlistment of private sector participation and steps needed to facilitate its participation.

**Preparation of Reform Action Plan for Urban Local Bodies in Six Towns (Yamunanagar-Jagadhri, Karnal, Panipat, Sonapat, Faridabad and Gurgaon) in the state of Haryana under Yamuna Action Plan (YAP)-II for Public Works Department, Government of Haryana**

**Brief Description of Project:**

As a follow up of Phase-I of Yamuna Action Plan, the Yamuna Action Plan Phase-II (YAP-II), funded by JBIC was initiated. The principal objective of YAP-I was to improve the water quality of the river Yamuna along its identified polluted stretches. Pollution abatement works were taken up in 15 towns out of which 6 are in Haryana (Faridabad, Gurgaon, Karnal, Panipat, Sonapat, and Yamuna Nagar – Jagadhri) and 8 in Uttar Pradesh (Saharanpur, Muzaffarnagar, Ghaziabad, Noida, Vrindavan, Mathura, Agar and Etawah) besides Delhi. For sustainability of the program, YAP-II envisaged development of a 'Reform Action Plan' to improve the capacity and performance of the ULBs in the abovementioned six towns. The objective was to enhance institutional, financial and human resource capacities of the ULBs so that they can undertake the responsibility of O&M of assets created under YAP-I in a sustainable manner. Demand-driven approaches were adopted, wherein the ULBs assess the reform initiatives required and seek funds available under the Reform Fund for implementing those initiatives. The overall approach was to balance disbursement of reform funds on the basis of equity principle (i.e. on the basis of level of investments) and incentive-principle (i.e. reallocation of unutilized funds to those ULBs that demonstrate more reform orientation).

**Services Provided:**

- Preparation of Master Plan/ Feasibility Study and Preparation of Detailed Project Report (DPR) for sewerage works for YAP-III in 8 towns of Haryana (6 towns under YAP-I and Rohtak and Bahadurgarh under YAP-II)
- To assess current situation of the ULBs and identify potential areas of municipal reforms. Facilitate the key stakeholders at the city level to develop a consensus on the prioritization and sequencing of reforms. Develop an actionable Reform Action Plan (RAP) for each ULB and facilitate the ULBs in seeking State-level approval for RAPs and funding support under the Reform Fund of YAP-II for implementing specific reform initiatives.
- Assistance to PHED in formulation of water quality management programs with a view to assess the impact of the project on the river water quality. Public Participation and Awareness (PPA) program aimed at enhancing direct involvement of beneficiary public in the program and public acceptance of YAP works.



**Location:** Uttar Pradesh

**Client:** National Capital  
Regional Planning Board,  
Government of India

**Funding Agency:**  
National Capital Regional  
Planning Board,  
Government of India

**Period:** 2005- 2006

**Associate Firm:**  
WAPCOS

**Consultancy Services for a Study on Water Supply and Its Management in National Capital Region for National Capital Regional Planning Board, Government of India**

**Brief Description of Project:**

The National Capital Region (NCR) in India was constituted under the NCRPB Act, 1985. The key rationale was to promote balanced and harmonized development of the Region, and to contain haphazard and unplanned urban growth by channelising the flow and direction of economic growth (on which the urban phenomenon feeds) along more balanced and spatially-oriented paths. The objective of the captioned study was to prepare a functional plan for water which will give a solution to the water requirement for National Capital Region focusing an identification of all the potential surface water sources, ground water aquifers, inter basin transfer of water, demand supply gap, leakages in the existing supply system etc., and to evolve a mechanism for improving the water supply scenario in the region including water management.

**Services Provided:**

- **Legal and Institutional Development:** Review and analyse institutional models of delivery in the water supply sector including institutional restructuring and economic instruments for demand management mechanism to optimize the use and also to ensure that the poorest of the end users are not deprived of water; undertake a SWOT analysis of various options for alternative institutional arrangements; assessment of the applicability of the private sector participation in water sector on the lines of telecom and power sector; development of a framework for sector reforms to enable PSP; assessment of the changes required in legal framework for reforms in water sector and to evolve a regulatory framework for sustainability of water sector reforms including private sector participation in water supply sector.
- **Finance:** Assessment of the requirement in the finance sector; existing modes of funding; study of existing financial framework viz. i) assessment of financial requirements and resource mobilization strategy; and (ii) assessment of existing tariff structures in selected towns from the perspective of O&M cost recovery in particular.
- **Urban Development:** Reviewing the current land use pattern of the NCR; provide inputs related to urban planning aspects of various water supply projects to NCRPB; collection of available data, maps, details of past schemes, reports for project cities; supervise and organise various surveys required for master planning of the Water supply in NCR; reviewing the current development plans of the urban areas; provide guidance on preparing concept designs and master plans wrt water supply; and prepare report to check further encroachments and remedial measures.
- **GIS:** To procure relevant GIS imageries from National Remote Sensing Agency (NRSA), Hyderabad and Indian Institute of Remote Sensing (IIRS), Dehradun; to obtain relevant maps or from the State Government Departments; to digitize these maps and imageries for utilizing them in the project; and to assist the Team in carrying out water resource studies using GIS techniques, land use and infrastructure maintenance.
- **Surface Water Supply Component:** To prepare and update water demand for domestic, institutional, commercial, industrial and agricultural; analyze present coverage and need for additional water production; analyze unaccounted water and suggest measures for reduction; access transmission and distribution basis; assessment of various water resources and study possibility of inter basin / sub basin transfer; preparation of cost estimates and suggested use of waste water for non-drinking purposes.



**Location:** Kerala

**Client:** Government of Kerala/Asian Development Bank

**Funding Agency:** ADB

**Period:** 2004-2005

**Associate Firm:** MDP Consultants Ltd., India / Sinclair Knight Merz, Australia

## Kerala Sustainable Urban Development (TAR 32300-01) for Government of Kerala

### Brief Description of Project:

The TA addresses human development and poverty reduction needs in the urban areas of Kerala experiencing acute shortage of urban services. The TA seeks to ascertain the conditions of basic infrastructure and amenities; review relevant development initiatives in the urban sub-sectors including water supply, sanitation, drainage, solid waste management, market development, urban transport; and assess needs, possibilities, and priorities of various group of urban population. It seeks to identify, select, and prioritise sub-sector specific investment components to improve provision and delivery of basic urban services on the basis of equity and sustainability.

### Services Provided:

#### Policy Review, Legal and Institutional Framework

- Review the government's policy for decentralisation and evaluate initiatives and progress in Kerala and recommend modifications;
- Assess and recommend changes in the institutional arrangements between Municipalities and the State;
- Review development plans, institutional & financial capacity of 5 Project cities
- Data Collection and assessment of infrastructure and municipal service delivery
- Support to the relevant specialists in coordinating the data collection and assessment on water supply, sewerage and drainage systems, solid waste, and urban transport

#### Municipal Challenge Fund

- Provide support to the Team Leader in preparing a plan for restructuring KUDFC;
- Develop minimum eligibility conditions;
- Develop a set of minimum requirements for project cities to meet to be eligible for ADB-financing;
- Review implementation arrangements;
- Recommend appropriate measures to facilitate project implementation.

#### Capacity Building and Institutional strengthening

- Design a capacity building program for municipal accounting and taxation systems, including training of local staff;
- Prepare a training program for municipal staff in municipal information systems, including tax maps, property inventory, asset management and database for infrastructure investment planning;
- Develop a 5-year institutional strengthening program

## Gangtok and Shillong South Asia Regional Water Supply and Sanitation Program for AusAID

### Brief Description of Project:

The overall development objective of the Project was 'Improvement in Gangtok and Shillong Water and Environmental sanitation service delivery, through sharing of lessons learnt in project implementation and sectoral policy development'. The major areas covered were: a) water supply – entailing issues like quality of water, unaccounted for water, service delivery, cost recovery etc; b) environmental sanitation – including issues like limited access to toilets, poor maintenance from inadequate budget and the fact that sewerage was only available to 15% of population in Gangtok; and c) solid waste, focusing on the extensive refuse dumping into watercourses.

### Services Provided:

**Location:** Gangtok in the state of Sikkim & Shillong in the state of Meghalaya

**Client:** AusAID

**Funding Agency:** AusAID

**Period:** December 2003-2005

**Associate Firm:** Kellogg Brown & Root Pty Ltd, Australia, URS Sustainable Development, Australia, STUP Consultants, India



**Economic/financial Management**

- Estimation of the ability and willingness to pay for; water, sewage collection, treatment and disposal, and low cost environmental sanitation services;
- Provision of options for future tariffs and tariff structures for water supply, sewage collection, treatment and disposal, and solid waste services;
- Development of baseline data from which changes in service delivery can be assessed in the future; and
- Assessment of the financial and economic impacts of potential demand management strategies.

**Community development/ participation**

- Identification and establishment of close, regular contact with institutions responsible for UWS&ES service delivery and appropriate community groups, civil society organisations and NGOs, with a view to facilitating and supporting the development of collaborative partnerships and the establishment of joint stakeholder committees;
- In close consultation with community groups in selected areas, provision of inputs for the analysis of existing UWSS services and facilities and identification of community needs in these areas;
- Selection and appointment of suitable local NGOs to assist in the conduct of surveys, workshops, pilot and IEC activities, and provide ongoing supervision and guidance to these contracted NGOs;
- Preparation and supervision of the conduct of baseline attitudinal surveys and workshops among relevant institutions to establish current levels of awareness and understanding of community needs and their ability to respond effectively to these needs, particularly to those of women and poor and vulnerable households; and
- Support the development of the 'Consumer Cells' within PHED and other relevant departments together with other practical measures to increase community participation in UWS&ES service provision, and support the development of an appropriate consumer/user orientation and high gender and poverty awareness among PHED and other relevant government agency staff and among contracted NGOs.

**HRD/Training**

- Undertaking a detailed training need analysis of NGOs and CDWs involved in project activities and staff of government agencies involved in UWS&ES;
- Recommendation, design and supervision of appropriate training to be undertaken by government and non-government staff;
- Information Education and Communication;
- Development of an IEC campaign that incorporates materials and activities designed to increase community awareness of WS&ES issues and maximises community participation in the project;
- Assistance to relevant agencies to develop their institutional capacity with regard to IEC;
- Evaluation of the impact of the IEC campaign on hygiene behaviours and adjust activities as appropriate;
- Provision of technical assistance and support for the IEC working group to identify priority audiences and materials/activities to be developed;
- Institutional strengthening/development;
- Assessment of the efficiency of local agencies in carrying out their mandate, with particular reference to Urban Water Supply & Environment Sanitation (UWS&ES);
- Review and documentation of operating procedures of local agencies and make recommendations on potential improvements;
- Assistance to the local agencies to improve UWS&ES strategic and organisational planning processes; and
- Assistance and advise on the establishment of a new autonomous WS&S entity.

**URBAN WATER SUPPLY AND SANITATION**

**Location:** Dhule District of Maharashtra

**Client:** District Water Supply & Sanitation Committee & Chief Executive Officer, Zilla Parishad, Dhule, Maharashtra

**Funding Agency:** Water Supply & Sanitation Committee & Chief Executive Officer, Zilla Parishad, Dhule, Maharashtra

**Period:** 2003

**Associate Firm:** Nil

**Impact Assessment Study of IEC activities in Sector Reform Project, Dhule District of Maharashtra for Government of Maharashtra****Brief Description of Project:**

Dhule District in Maharashtra was selected by Rajiv Gandhi Drinking Water Supply Mission, Delhi for implementation of Water Supply Program in 2001. Considering the importance of IEC in Sector Reform Project, ZP, Dhule appointed two NGOs viz., Vanrai Mitra Mandal and Sanskar Vahini Sanstha in March 2002. The NGOs have carried out the IEC activities in the villages allotted. The ZP sought to assess the impact of IEC activities carried out by the NGOs over a 15 month period and to recommend steps to be initiated for effective implementation of IEC components. It is in this context that JPS was appointed by the Dhule ZP officials to assess the impact of IEC activities.

**Services Provided:**

- Review the Information Education and Communication (IEC) requirements of Rajiv Gandhi Drinking Water Supply Mission;
- Assessment of the impact of IEC campaigns carried out by NGOs in the district based on a sample survey;
- Commenting on the adequacy of IEC activities based on survey of select villages; and
- Providing suggestions/recommendations for effective implementation of IEC components.

The study involved an evaluation of whether the impact of IEC activities, which have been undertaken by the NGOs, have percolated to different areas as envisaged, and whether it resulted in the required and expected impact on attitudinal and behavioral patterns of the villagers in terms of indicators such as the number of households washing hands and feet after defecation; means by which people wash their hands, i.e. soap, ash or only water; how drinking water is stored, cleaned and handled; how human excreta, solid waste and sullage were being disposed of; operation and maintenance practices at household and village levels; whether the concept of capital cost sharing and 100% O&M by villages have been properly understood by the villages; and whether adequate awareness has been created for regular payment of water tariff and its importance understood.

**Location:** Andhra Pradesh

**Client:** Government of Andhra Pradesh/Department for International Development (DFID), UK Government

**Funding Agency:** The DFID

**Period:** 2000-2001

**Associate Firm:** GHK International limited, UK, Institute of Housing and Urban Development Studies, IDD, LSHTM, TCE, Crisil, Thinksoft Consultants

**Andhra Pradesh Urban Services for the Poor for Government of Andhra Pradesh****Brief Description of Project:**

The purpose of the Andhra Pradesh Urban Services for the Poor Project (APUSP) is that the poor in the existing 32 class 1 towns of Andhra Pradesh benefit from improved access to more appropriate and sustainable services. The project goal is sustained reduction in vulnerability and poverty of the urban poor in Andhra Pradesh. The Project has three components viz. (1) municipal reform, (2) environmental infrastructure and (3) working with civil society. This objective of this consultancy was to provide overall management support and technical assistance to components 1 and 2. It was also envisaged to promote close collaboration and synergy with component 3 at both municipal and state levels. The purpose of the consultancy was to (a) improve the performance of municipalities of participating Class I towns of Andhra Pradesh and (b) support sustained improvements in environmental infrastructure for the poor in participating Class I towns.

**URBAN WATER SUPPLY AND SANITATION**

**Location:** Uttar Pradesh

( Lucknow, Kanpur, Mirzapur)

**Client:** Government of Uttar Pradesh/The Royal Netherlands Government

**Funding Agency:** The Royal Netherlands Government

**Period:** 1995 – 2001

**Associate Firm:** BMB, The Netherlands and Euroconsult, The Netherlands

**Location:** Gujarat

**Client:** Government of Gujarat/The Netherlands Embassy

**Funding Agency:** The Netherlands Embassy

**Period:** 1999

**Associate Firm:** Nil University of Leeds

**Services Provided:**

- Rationalisation of Property Tax in 32 Municipal Bodies.
- Build on existing models for urban slum improvement and define a new and innovative approach to urban poverty reduction.
- Build the management and financial capability of municipalities to deliver sustainable urban services to the poor.
- Develop new participatory processes for engaging the poor in the process of service delivery.

**Institutional and Community Development Project Phase I & II for Government of Uttar Pradesh****Brief Description of Project:**

The project was aimed at improving the management and distribution of water supply, sanitation and solid waste disposal activities at Lucknow, Kanpur and Mirzapur. It also involved strengthening the capacity of the municipalities and improvement in their financial operations. The project, inter alia, was aimed at increasing social awareness, involvement of communities and increasing their ownership through contributions etc.

**Services Provided:**

- Provision of support to local implementing agencies for financial management, capacity building, community organisation, operations and maintenance.
- Preparation of Revenue Enhancement Action Plan.
- In-depth analysis of financial, accounting, economic, procedural, social and institutional aspects and preparation of action plans to ensure sustainable operations of project infrastructure.
- Development of manuals for financial, accounting, economic, procedural, social and institutional aspects.
- Development of annual capital investment and financial operating plans
- Development of pilot projects to stimulate community organisation and resource mobilisation.
- Implementation and training support for the project.
- Key achievements of the project include computerization of all water connection records with linkage to GIS; issuance of water bills issued for the first time in memory; removal of garbage piles and replacement with landscaping; innovative solid waste collection systems; initiation of 20-30 percent financial contribution by community for small infrastructure improvement; initiation of first municipal Geographic Information System (GIS) in India; preparation and computerization of all property and infrastructure maps; and 10 times increase in property assessment.

**Evaluation Water Supply and Sanitation Project in Gujarat for Government of Gujarat****Brief Description of Project:**

This study had been commissioned by the Policy & Operations Evaluation Department (IOB) of the Netherlands Ministry of Foreign Affairs as part of a wider study on Netherlands Support to Institutional Development in the Water Sector. The terms of reference for the study specified the objectives and methodology that the study should adopt. The overall objective was to assess the relevance, effectiveness, efficiency and sustainability of Netherlands support to institutional development for drinking water and sanitation in Gujarat. The study covered a sample of regional Water Supply and Sanitation Projects funded by the Royal government of Netherlands in Gujarat.

**Services Provided:**

- Socio-economic field assessment of benefits accruing from regional water supply and sanitation projects; and
- Institutional assessment of organisations executing regional water supply and sanitation projects.



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