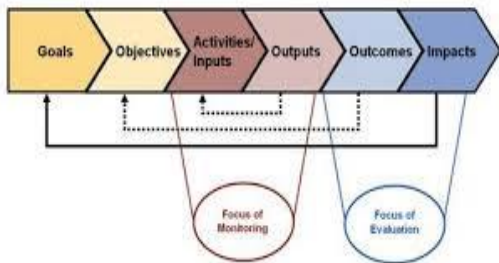


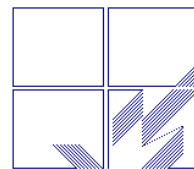


What is Focus of Monitoring and Evaluation?



# Profile

## Monitoring and Evaluation



**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.





## FIELDS OF SPECIALIZATION

### Management

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

### Development

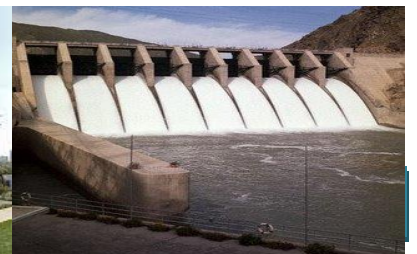
- Social Development & Surveys
- Public Health
- Urban Development Planning
- Regional and Rural Development Planning
- Tourism

### Agriculture & Natural Resources

- Natural Resource Management
- Environmental Management
- Agriculture and Agri-Business

### Engineering

- Water & Environment 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
- Modelling for PPP, BOT/BOOT projects
- 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





### M & E SERVICES:

#### Monitoring:

- Results monitoring to track effects and impacts;
- Process (activity) monitoring to track the use of inputs and resources, the progress of activities and the delivery of outputs;
- Compliance monitoring to ensure compliance with donor regulations and expected results, grant and contract requirements, local governmental regulations and laws, and ethical standards;
- Context (situation) monitoring to track the setting in which the project/programme operates, especially as it affects identified risks and assumptions, but also any unexpected considerations;
- Beneficiary monitoring to track beneficiary perceptions of a project/programme;
- Financial monitoring to accounts for costs by input and activity within predefined categories of expenditure;
- Organizational monitoring to tracks the sustainability, institutional development and capacity building in the project/programme and with its partners

#### Evaluation:

- Formative evaluations during project/programme implementation to improve performance and assess compliance;
- Summative evaluations at the end of project/programme implementation to assess effectiveness and impact;
- Midterm evaluations, which are formative in purpose, midway through implementation;
- Final evaluations, which are summative in purpose, at the completion of project/programme implementation to assess how well the project/programme achieved its intended objectives;
- Real-time evaluations (RTEs) during project/programme implementation to provide immediate feedback for modifications to improve ongoing implementation;
- Meta-evaluations to assess the evaluation process itself;
- Participatory evaluations with the beneficiaries and other key stakeholders, for empowering, building their capacity, ownership and support;
- Joint evaluations collaboratively by more than one implementing partner, to help build consensus at different levels, credibility and joint support;
- Thematic evaluations focusing on one theme, such as gender or environment, typically across a number of projects, programmes or the whole organization;
- Cluster/sector evaluations
- Impact evaluations focusing on the effect of a project/programme, rather than on its management and delivery;
- Ex-post evaluations after implementation to assess long term impact and sustainability.



**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 GoI to complete the unfinished projects. The MoF, GoI 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





**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

- 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).

### 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

**MONITORING AND EVALUATION**

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 South Zone
2.	Aizwal	Water Supply	Ground level water reservoirs, chlorinator booster pump, water metres.; water supply in wards
3.	Aizwal	SWM	Dustbins and garbage vehicles
4.	Aizwal	Sewerage	10 Community toilets and cesspool cleaner
5.	Gangto	Water Supply	Pump house, distribution de-bunching, metering NRW
6.	Gangto	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, compo 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; 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;
- b. Report on standards of health and sanitation arrangements maintained at campsite by visual observation and discussion with the concerned stakeholders;
- c. Report about the progress of Resettlement and Rehabilitation of Project Affected Persons;
- d. Report on persons requiring resettlement and rehabilitation assistance as reported by the land acquisition team and the DPR;
- e. Report on compensation awarded and / or to be paid as per the records; and
- f. 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:** 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;





**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

- 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 of 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>
<ul style="list-style-type: none"> <li>• Sewerage and</li> <li>• 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</li> <li>• 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;



## MONITORING AND EVALUATION

- 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.

**MONITORING AND EVALUATION**

**Location:** Panchkula,  
Haryana

**Client:** Administrator  
Command Area  
Development Authority

**Funding Agency:**  
Administrator Command  
Area Development  
Authority

**Period:** 14<sup>th</sup> October,  
2014 – June, 2017

**Associate Firm:** Nil

**Concurrent Evaluation Study of Bhakra Canal Command Phase-II, Western Jamuna Canal Command Phase-VI and Jawahar Lal Nehru Canal Command Phase-II Projects of CADA, Haryana****Brief Description of Project:**

Command Area Development Authority was setup in Haryana in the year 1974 under a Centrally Sponsored Scheme. The main objective of CADA is to bridge the gap between the irrigation potential created and that utilized, through micro-level infrastructure development and effective farm water management, to enhance agricultural production and productivity and to improve socio-economic condition of farmers. Presently, following projects are ongoing through CADA Haryana:

1. Bhakra Canal Command Phase-II covering districts of Hisar, Sirsa, Fatehabad, Ambala, Kurukshetra, Kaithal, Karnal & Jind;
2. Western Jamuna Canal Command Phase-VI covering districts of Hisar, Gurgaon, Panipat, Rohtak, Sonapat, Jhajjar, Bhiwani & Jind;and
3. Jawahar Lal Nehru Canal Command Phase-II covering districts of Jhajjar, Rewari, Mahandergarh, Bhiwani & Gurgaon.

Through this assignment, CADA Haryana contracted JPS to conduct concurrent evaluation of above ongoing projects. The assignment includes evaluation of ongoing projects which together cover an area of about 272,271 ha within three CAD Circles and twelve CAD Divisions.

**Services Provided:**

- a. Overall Planning & Execution
  - i. Credible construction plan to complete the project within stipulated period as per MOU;
  - ii. The positions of tenders and award of work vis-à-vis credible construction plan;
  - iii. The budgetary provisions commensurate to item (i) and (ii) and situation of flow of funds for carrying out above activities; and
  - iv. Whether works have been carried out as per approved DPR, deviation being made, status of seeking approval.
- b. Organizational Setup
  - i. Adequacy of organizational setup vis-à-vis the physical & financial planning;
  - ii. Administrative machinery required as per sanctioned strength vis-à-vis filled up post with the project organization; and
  - iii. Monitoring mechanism available to resolve: inter departmental issues, intra-  
dental inter-ministerial issues.
- c. Contractual mechanism (Arrangement)
  - i. Whether the action for award of contract commensurate with credible construction/work plan; and
  - ii. Does the progress of work during the year was an envisaged in contract document i.e., start of work, completion time supply of materials, quality checks, release of payment to contractors to achieve the milestones as per PERT/CPM planning.
- d. Quality aspects
  - i. Whether the independent quality control mechanism exists in the setup and its adequacy; and
  - ii. The quality checks being carried out in general as prescribed by BIS.
- e. Bottlenecks
  - i. Planning & technical issues;
  - ii. Flow of funds from State Government to project authorities;
  - iii. Contractual arrangement (award of works aspect);



**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

- iv. Inter Department/Ministerial issues;
- v. Litigation, court cases & pendency claims and their impact on overall project execution;
- vi. Land acquisition; and
- vii. Adequacy of establishment, workforce, Plant & Machinery & scarce material.

**f. Overall assessment**

A comprehensive review on the overall assessment for the implementation of project, with suggestions/recommendations there upon to complete the project in balance period of MOU.

**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.

**Capacity Building:**

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

**MONITORING AND EVALUATION**

**Location:** West Bengal

**Client:** Institutional Strengthening of Gram Panchayats (ISGP) Project, Panchayats & Rural Development Department, Government of West Bengal

**Funding Agency:** World Bank

**Period:** July, 2014 – November, 2014

**Associate Firm:** Nil

projects.

### **Annual Performance Assessment in Selected 1000 Gram Panchayats of 9 Districts in West Bengal under Institutional Strengthening of Gram Panchayats (ISGP) Project**

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

The Institutional Strengthening of Gram Panchayat Project (ISGPP) of the Panchayats & Rural Development Department engaged JPS to design and conduct the Annual Performance Assessment (APA) in selected 1000 Gram Panchayats (GPs) of 9 districts (Burdwan, Howrah, Nadia, Cooch Behar, Birbhum, Paschim Medinipur, Purba Medinipur, Bankura and Dakshin Dinajpur) in connection with implementation of World Bank assisted ISGP Project in West Bengal in 2014.

The objectives of Annual Performance Assessment of GPs are as follows:

- To provide an independent and impartial mechanism to assess whether or not the GP is eligible for accessing the ISGP Grant in the financial year 2015-16 following the assessment to be done in 1<sup>st</sup> July to 30<sup>th</sup> November 2014 on the performance of the GPs during 2013-14.
- To identify the institutional strengths and weaknesses of the GP on the basis of independent assessment.

The eligibility of GPs to receive Grants (Block Grant) from the ISGP Project during 2015-16 will be determined on fulfilling all the four Mandatory Minimum Conditions (MMCs), and, securing minimum of 70 marks in the APA.

The performance assessment is expected to ensure interpretation, application and effectiveness of the specific Performance Criteria adopted under the ISGP Project, which are as follows:

- a) **Planning and Budgeting:** Whether the GP plan and budget are appropriately formulated, prioritizes civic services following principle of subsidiarity, and is realistic so that services to be delivered maximize the benefit to the rural citizen, and minimizes detrimental social and environmental effects;
- b) **Project Execution and Service Delivery:** Whether investments and services are procured and implemented in a transparent manner without causing detrimental social and environmental impacts, as planned and approved by the Council in the budget;
- c) **Accounting, Financial Reporting and Audit:** Whether GP adequately controls, accounts for and reports on its revenues and expenditures in order to address audit issues; and
- d) **Participation, Transparency and Accountability:** Whether GP makes decisions and practice in an inclusive and consultative manner, to ensure that services are planned for and delivered in line with local needs and priorities including the priorities of women and children.

During the APA exercise, information from all 1000 ISGP project GPs related to above four key thematic areas/performance areas are required to be collected. The assessment result is envisaged to be used to i) identify GPs eligible to receive Block Grants in 2015-16 ii) identify the areas of strengths and weaknesses of GPs and iii) form the groundwork for the Impact Evaluation of the project. JPS has been contracted for the conduct of APA in 2014 to assess the performance of the GPs during 2013-14 FY. JPS is responsible for development and testing of the assessment instruments, engagement and training of data collection and data entry staff, development and testing of the data entry system, implementation of the assessment exercise and documentation.



**Services Provided:**

1. **Coverage:** The assessment will cover performance measurement across the entire 1000 ISGP project GPs for the period of 2013-14 financial year;
2. **Areas of assessment:** A detailed and comprehensive assessments of all the performance areas are to be undertaken. The areas of assessment are to undertaken objectively as provided in the Performance Assessment Manual. A fact sheet/check list of the records/documents of the GP consulted for the assessment of the performance areas shall be maintained. The fact sheet/check list must bear the dated signature and official seal of the Pradhan and Executive Assistant of the GP and the Consulting firm. A written declaration by the Pradhan, the Executive Assistant and the Secretary shall also be obtained by the assessors. Under unavoidable circumstances, in the absence of GP Pradhan and Executive Assistant, the declaration of Upa-Pradhan and Secretary, who is in-charge respectively, will sign in the fact sheet cum declaration. 2 copies of the signed fact sheet with declaration, a copy of which shall be retained with the GP and the other copy shall have to be handed over to Project Authority during the submission of the Draft Report;
3. **Piloting the APA:** Develop the assessment information sheet and share it with Project Authority for suggestions/inputs etc, and upon approval carry out a pilot in one GP each of Southern and Northern part of the state in project districts, to test the effectiveness of the tool. The findings from the pilot sample will be shared with Project Authority again for comments/suggestions/inputs for finalization before actual field assessment;
4. **Hiring and training of data collection and entry staff:** Upon receipt of approval from Project Authority, engage assessment teams for carrying out the full APA in 1000 GPs. The selection of appropriate personnel is an essential component for ensuring the success of the Assessment exercise. The field assessors are to interact with all sections of the GPs, especially Gram Panchayat Pradhan, Upa-Pradhan and all employees of Gram Panchayat and should be able to understand, interpret and analyse all the GP level documents which includes GP Plan, Gram Sansad, Upa Samiti, GP meeting minutes, various registers related to project implementation, procurement, accountancy, transparency and accountability. Considering the timeline and requirements of the assignment, adequate number of assessors to be engaged and each GP will be required to be visited for 2 days;
5. **Data entry software:** Project Authority will provide the software and the APA generated data has to be entered into the software. It is envisaged that JPS will train the data entry personnel and APA assessors for assessment and collection of data after appropriately oriented by the Project Authority. Data entry must be done simultaneously with data collection and JPS shall develop appropriate systems so that the data entry team can provide feedback to the data collection team as problems arise; and
6. **Implementation of APA exercise:** The assignment is expected to take approximately 21 weeks during 1<sup>st</sup> July-30th November 2014. During the implementation period, JPS shall submit fortnightly reports on the progress made. Actual field assessment is expected to be completed within 8 weeks. Physical verification of randomly selected sample of 2 of investments and services shall be undertaken by the assessors to assess the quality of the services delivered. The allocation of scores against each assessment criteria should be in compliance with criteria and the respective scores allocated under various Assessment themes as detailed in the Grant Performance Assessment.



## MONITORING AND EVALUATION

**Location:** Jammu & Kashmir, India

**Client:** J & K Economic Reconstruction Agency

**Funding Agency:** Asian Development Bank

**Period:** March, 2014 – 2015

**Associate Firm:** Nil

### **ADB Loan 2925-IND, Jammu & Kashmir Urban Sector Development Investment Program (Project -2) - Engagement of External Monitor.**

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

The primary objective of JKUSDIP is to promote economic development in Jammu and Kashmir State through expansion of basic services such as water supply, sewerage, sanitation, drainage, solid waste management, urban transport, and other municipal functions in Jammu, Srinagar and other important urban centers of the state. The Program will also strengthen the service delivery capacity of the responsible state urban agencies and urban local bodies through management reform, capacity building and training.

The main objective of this Assignment involves semi-annual review and monitoring of the progress of Resettlement Plan implementation and evaluation of the execution process, performance of the implementing agency and executing body, the PIU and adequacy of institutional arrangement for carrying out Resettlement Plan.

#### **Services Provided:**

- Develop specific monitoring indicators for undertaking monitoring for resettlement, indigenous people development plan and the community participation strategy;
- Review results of internal monitoring and verify claims through random checking at the field level to assess whether land acquisition /resettlement objectives have been generally met. Involve the affected people and community groups in assessing the impact of land acquisition for monitoring and evaluation purposes;
- Identify the strengths and weakness of the land acquisition/resettlement objectives and approaches, implementation of subproject on a sample basis and prepare semi-annual reports for the ERA and ADB;
- Evaluate and assess the adequacy of compensation given to the APs and the livelihood opportunities and income as well as the quality of life of APs of the project-induced changes; and
- Evaluate and assess the adequacy and effectiveness of the consultative process with affected APs, particularly those vulnerable, including the adequacy and effectiveness of grievance procedures and legal redress available to the affected parties, and dissemination of information about these aspects.

**Location:** Kerala, India

**Client:** Local Self Government Department, Government of Kerala

**Funding Agency:** World Bank

**Period:** August 2013 – 2014

**Associate Firm:** Nil

### **Annual Performance Assessment of Local Self Governments in Kerala under KLGSDP-Package 3 for Local Self Government Department, Government of Kerala**

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

This consultancy is funded under the Kerala Local Governments Service Delivery Project (KLGSDP). The development objective of KLGSDP is to enhance and strengthen the institutional capacity of the local government system in Kerala to deliver services and undertake basic administrative and governance functions more effectively and in a sustainable manner.

This consultancy relates specifically to undertake performance assessment of GPs and Municipalities in Kerala to assess their compliance with the Minimum Conditions (MCs) and to appraise their performance against a set of indicators aimed at improving accountability, transparency, efficiency and effectiveness in the functioning of local self governments.

The objective of this consultancy is primarily to support the PMU and the LSGD to undertake Performance Assessment (Pas) of Local-Self Governments (LSGs) under region 1 of package 3 (338 LSGs in the districts under Malappuram, Kozhikode,



Wayanad, Kannur and Kasaragode) for the allocation of performance grant for the financial year 2013/14 and build capacities of the staff of the State Performance Audit Office (SPA0) for future assignments.

#### **Services Provided:**

- Recruit and train assessment team for carrying out PA of the LSGs allotted in Region-1;
- Study the Performance Grant Manual developed for the Assessment by the project;
- Carry out Annual Performance Assessment (APA) for 338 LSGs (approximately) in Region-1;
- Carry out performance assessment of Local Self Governments (GPs and Municipalities) in the state (in the region allocated) which have received Performance Grant (PG) under KLGSDP during 2011/2012 and 2012/13 financial years and have complied with the conditions for access to Performance Grant (PG) for FY 2013-2014 under the Project, in an objective, neutral, professional, and timely manner in the formats provided by the PMU;
- The assessment is envisaged to cover the performance of GPs and Municipalities in the areas of revenue generation, public financial and expenditure management, service delivery, operation and maintenance, asset and office management, sub-project implementation and consultative and participatory approaches, as well as compliance with the project's Environment and Social Safeguards Management Framework (ESMF), procurement rules and guidelines, grievance redressal rules and guidelines, etc.;
- The Assessment is also envisaged to include random samples of stakeholder interviews in the respective LSG's jurisdiction to assess the effects of the project's interventions in improving the services delivered by the LSG;
- The Assessment Results are to be consolidated District wise separately for GPs and Municipalities, in the region awarded, for carrying out assessment;
- Each LSG is envisaged to require about 2-3 full working days for reviewing their performance;
- JPS is envisaged to upload the result sheets and or the region wise consolidated report (as advised by the PMU) on the defined portal online and or in the systems installed as directed by the PMU; and
- Compile the findings in a report consisting of an Executive Summary, supported with reports on performance quality of each LSGs in the allotted region, and the completed and signed assessment formats.

#### **Deliverables:**

##### **Based on the assessment of LSGs, JPS is required to report on:**

- Performance of LSGs vis-à-vis full assessment against the indicators in the respective themes/criteria given in assessment formats;
- Performance Scores for each LSG along with the assessment sheets;
- Report on the performance of the LSGs with an Executive Summary of the assessment;
- LSG wise analysis of performance with specific reference to the assessment indicators;
- Highlighting specific issues, if any found in LSGs;
- Report and Analysis of stakeholder's response GP-block wise in the allotted region. The response of the stakeholders interviewed in each LSG area, is envisaged to be compiled in a matrix format to support Block-District-Region wise and analyzed;
- Recommendations of the qualified LSGs based on assessment of their performance in FY 2011-12. The report is envisaged to clearly indicate the name of the LSGs which have qualified and not qualified-both, in the assessment process and the reasons behind qualification/disqualification;
- A consolidated analysis Region wise, with specific reference to the analysis from



**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

tribal areas is also envisaged to be part of the report; and

- Supporting documents such as assessment sheets of each LSG, are expected to be included and submitted to PMU-DAC separately.

**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/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; 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 Sates 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:**



## MONITORING AND EVALUATION

**Location:** West Bengal, India

**Client:** West Bengal Pollution Control Board, Government of West Bengal

**Funding Agency:** World Bank

**Period:** June 2013 - May 2015

**Associate Firm:** Nil

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

### **Social and Communication Aspects under Capacity Building for Industrial Pollution Management (CBIPM) Project for West Bengal Pollution Control Board, Government of West Bengal**

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

The scope of consultancy covers three projects of WBPCB under CBIPMP, namely (1) Remediation of Dhapa MSW Dumpsite, (2) Remediation of seven contaminated sites in Hooghly District and (3) Assessment and preparation of remediation plan for five contaminated sites at Khardah, Durgapur (2 sites), Dankuni & Belda.

The role of JPS is to act as an extended arm of WBPCB to tackle the social and communication aspects of the above Projects.

#### **Services Provided:**

- Develop communication and awareness strategy for stakeholders;
- Define the criteria for PAPs in the project impact area;
- Define communication strategy of PAPs;
- Design all types of media releases and information and communication materials/documents/programmes, including trainings manuals, press releases, information booklets, speeches, etc.;
- Review relevant studies, plans and proposals submitted by the various assessment and design consultants with respect to the social and communication issues
- Define scope of detailed social impact assessment in consultation with the Design Consultant;
- Development of social management plan;
- Execute the social management plan and prepare ToRs for the engagement of agencies/ NGOs required to support this task;
- Facilitate preparation of necessary documents related to the social assessment and impact mitigation of the project such as livelihood restoration/enhancement plan for ragpickers, community development plan;
- Monitor implementation of the social plans;
- Organise the stakeholder consultations (at least 6 per site), workshops/seminars (6 per site) and training of stakeholders (3 per site) and prepare the proceedings of the same;
- Act as an interface between the PAPs and project authority;
- Maintain contact with all stakeholders and respond to all queries related to the project;
- Follow-up on complaints/feedbacks received by PIU and prepare resolution report; and
- Perform any other relevant work related to the project assigned by the Project Director.

The above scope covers three Projects of WBPCB as per details below:

- Assessment of contamination, Design of Remediation Plan and Remediation for the Dhapa Municipal Dumpsite in Kolkata, West Bengal;
- Assessment of contamination, Design of Remediation Plan and Remediation of a group of seven contaminated sites along Delhi Road in Hooghly District, West Bengal; and
- Assessment of Contamination and Design of Remediation Plan for five contaminated areas in West Bengal

JPS is required to broadly provide the following outputs:



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

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

**Funding Agency:** Asian Development Bank

**Period:** 2011 - 2013

**Associate Firm:** Nil

**During site assessment stage:** Prepare all the outputs linked to the social aspects as part of the studies including communication, facilitating setting up of institutional arrangements for implementation of social management plans, communication and public participation action plan. While delivering these outputs, the consultant will submit interim outputs such as inception, interim, draft and final social assessment / RAP reports.

**During site remediation stage:** Supervision of implementation of social management plans and communication and public participation plans. During this stage, the consultant shall submit monthly progress reports on the implementation of social management plans including the status of RAP implementation.

### **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 – 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



**Location:** 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

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.

**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)



**Location:** India

**Client:** Directorate of National Vector Borne Disease Control Programme, Ministry of Health & Family Welfare, GoI

**Funding Agency:** World Bank

**Period:** 2010- 2014

**Associate Firm:** Nil

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.

### Periodic Implementation and Fiduciary Reviews of Decentralized Activities Financed by the World Bank under National Vector Borne Disease Control and Polio Eradication Support Project for Directorate of National Vector Borne Disease Control Programme, Ministry of Health & Family Welfare, Government of India

#### Brief Description of Project:

The overall objective of the assignment is to visit states and districts supported under the Bank financed NVBDCP following an agreed sampling frame and periodicity to conduct integrated implementation and fiduciary review of the decentralized activities and report on whether activities supported through standard cost mechanism are (a) being executed (b) able to deliver the planned outputs; and (c) the actual expenditures of decentralized activities financed by the Bank are broadly comparable with the estimated standard costs.

#### Services Provided:

##### (i) Impact of Programme support on beneficiaries:

- Conduct of household visits in 96 districts supported by the World Bank and assessment of which benefits of the programme (bed nets, drugs etc) have percolated to the community. More than 5000 households visited and programme relevant data collected.

##### (ii) Fund Flow:

- Review of whether the funds for decentralized activities are received in time by the project states and are transferred to the project districts as per the agreed program guidelines; and
- Assessment of whether funds received for the selected decentralized activities are adequate, excess of requirements or short of requirements.

##### (iii) Contractual Staff & Mobility:

- Review of the number of contractual staff in position during the period of review vis-à-vis actually planned while determining the standard cost;
- Comment on vacancies of contractual staff (if any) and reasons such as delayed recruitment or delays in replacement;
- Review of the selection process of various contractual positions to provide an opinion on:
  - a) Whether the process of recruitment and selection was transparent and competitive
  - b) Whether candidates selected have the requisite skills and qualifications as specified in the ToR; and

**MONITORING AND EVALUATION**

c) Whether the recruited staff have a contract of employment with a detailed job description

- Review whether the activities undertaken by the contractual staff are in accordance with their TOR by undertaking random field visits to health facilities and villages; and by studying weekly tour reports of the contractual staff;
- Report whether (a) payments to the contractual staff are as per the contractual terms and conditions; (b) the payments are made in time; and (c) payment is made by account payee cheque or direct transfer to bank account and not by bearer cheque or cash;
- Review the expenditures on mobility and the supporting documents and report any variations, discrepancies and any related internal control weaknesses, together with suggestions for practical ways to improve identified weaknesses; and
- Based on the sample review, provide an overall opinion on whether the decentralized activities supported through standard cost mechanism are delivering the planned outputs and whether the actual expenditures are broadly comparable with the standard costs, supplemented with necessary recommendations, where required.

**(iv) Training:**

- Collection of details and reports on training activities undertaken during the reporting period;
- Confirm whether the training conducted during the period under review are as per the approved district plan;
- Undertake random fields visits to meet a few trainees to assess whether they have attended the training and their perceptions about the training program meeting the learning objectives;
- Review of the expenditures on execution of training programs, including the internal control procedures for approval, financial records and supporting documents and report any variance or systematic weaknesses, and suggest practical ways to improve identified weaknesses ; and
- Based on the sample review, provide an overall opinion on whether these activities supported through standard cost mechanism are delivering the planned outputs and whether the actual expenditures are broadly comparable with the standard cost, supplemented with necessary recommendations, where required.

**Location:** All over India

**Client:** Ministry of Micro, Small and Medium Enterprises (MoMSME), Government of India

**Funding Agency:** Ministry of Micro, Small and Medium Enterprises (MoMSME), Government of India

**Period:** 2012-2014

**Associate Firm:** Nil

**Evaluation Study of Credit Linked Capital Subsidy Scheme (CLCSS) for Ministry of Micro, Small and Medium Enterprises (MoMSME), Government of India****Brief Description of Project:**

The objective of the CLCSS scheme is to facilitate technology upgradation by providing upfront capital subsidy to SSI units, including tiny, khadi, village and coir industrial units, on institutional finance (credit) availed by them for modernization of their production equipment. For continuing the Scheme in the 12<sup>th</sup> Five Year Plan (2012-2017), evaluation of the Credit Linked Capital Subsidy Scheme through an independent agency was envisaged to be carried out under Surveys, Studies and Policy Research Scheme of Ministry of MSME.

The assignment proposes to evaluate and assess the impact of the Scheme in the overall development of the MSE Sector with particular reference to the improvement in terms of the following parameters, due to adoption of upgraded technology, in measurable terms to the extent possible by way of the following:

- Qualitative improvement made by the enterprise and its impact on efficacy, prices and profitability;
- Facilities created by the Micro and Small Industries under the technology upgradation for checking and improving process/ standardisation and quality control;
- Productivity improvement due to technology upgradation and reduction in rejection rate;



- Energy conservation/saving and pollution control; and
- List of plant and machinery purchased for technology upgradation under the CLCSS by the beneficiary units and whether the same have been put in to operation by the beneficiary Micro and Small Industries.

### Services Provided:

- To evaluate the key issues pertaining to sustainability of the impact of the Scheme;
- To make an assessment of the current implementation arrangement and the efficiency of the delivery of the Scheme and to highlight the deficiencies of the Scheme in terms of its design or delivery mechanism, if any, and to suggest schematic changes or procedural modifications;
- Assessment of procedures for proposal evaluation and selection under the Scheme;
- Budgetary impact of the implementation of the Scheme viz-a-viz its economic impact on beneficiaries and overall impact on the SSI Sector;
- To determine the outreach and access of the Scheme in general with particular reference to the North-Eastern Region and suggest ways and means to improve the outreach and access of the Scheme in the North-Eastern Region, SCSP and STP;
- To assess the economic impact of the Scheme on intended beneficiaries, including women, SC/ST and NER beneficiaries.
- Potential negative impacts or risks to be monitored, if any, and suggestive remedial measures;
- Preparation of evaluation benchmarks of progress and performance of the scheme
- To assess the extent to which the scheme has fulfilled its objective;
- To assess the success rate of implementation of scheme with the objective for the further extension of scheme in the 12th Five Year Plan;
- To assess overall impact of the scheme on business activity of the beneficiaries.
- To review the existing list of industrial sectors and technology identified under the scheme and to analyse which sector has been benefited more; and
- Any additional parameters to be covered which may emerge during discussion/interaction in the course of execution of the assignment.

**Location:** All over India

**Client:** Deutsche Gesellschaft Fur Internationale Zusammenarbeit (GIZ)

**Funding Agency:** Deutsche Gesellschaft Fur Internationale Zusammenarbeit (GIZ)

**Period:** Jul. 2012- Dec. 2014

**Associate Firm:** Nil

### Continuous Monitoring and Impact Evaluation of the MSME Umbrella Programme of GIZ

#### Brief Description of Project:

The objective of the Umbrella Programme for promoting Micro, Small and Medium Enterprises (MSMEs) is to improve the business climate and scope of services that benefit MSMEs. In order to increase the competitiveness of MSMEs, improving access to key financial and non-financial services in sufficient quantity and quality is important. At the same time the efficiency, transparency and effectiveness of promotion programmes coordinated by Indian government agencies leave much room for improvement. Further, competences of many business organizations as service providers have yet to be developed and reinforced. Therefore the programme addresses the core problem faced by MSMEs in India, i.e. neither the current business climate nor the existing environment for services encourage the development of the MSME sector.

The MSME Financing and Development component (also called as SIDBI component) focuses on strategy and policy consultancy and on advisory services to develop and introduce innovative financial services for MSMEs as well as company-specific non-financial services.

The second component, MSME Support Policies and Programmes (also known as MoMSME component) concentrates on elements of MSME policy and improving the efficiency and effectiveness of government promotion programmes. This includes providing advisory services to improve results monitoring of such programmes as well as their coherence and mutual harmonization.



## MONITORING AND EVALUATION

The programme is developing its monitoring system for the two components. A logical framework and results chains for each component have been developed. The programme has nine indicators - three indicators for the general programme level, and three for each of the two components. Additionally, the programme has defined sub-indicators for the crosscutting BMO capacity development project.

GIZ MSME Umbrella Programme has engaged JPS as a consultant for the next two years of the programme period for continuous monitoring of the defined programme indicators as per the established results based monitoring system and impact assessment of the programme intervention on the target group. This will include

- Developing system and mechanism for continuous monitoring of project activities and data collection and establishment of baseline where necessary, which are credible, cost effective and useful;
- Assess the effectiveness of the project interventions and provide feedback and strategic input if necessary; and
- Conducting final evaluation to measure the impact on the intended target group with reference to project objective and produce comprehensive report including lessons learnt.

### Services Provided:

In order to establish results-based monitoring system, JPS is envisaged to perform the following tasks:

- Establish methodology and mechanism for continuous monitoring, impact and lessons learnt. Methodology and mechanism once finalized and agreed is to be used during the full course of the project;
- Define data collection methods, and processing of information;
- Analyse programme interventions with respect to expected outcomes, and wherever necessary, provide feedback and strategic input on effectiveness of the interventions;
- Data collection (Baseline and impact assessment surveys throughout the project cycle at pre-determined intervals);
- Document best practices adopted/evolved and lessons learnt under the programme in the form of case studies;
- Propose ways of communicating/disseminating results and the establishment of a knowledge management system based on the monitoring information (“lessons learnt”); and
- Attend monitoring meetings within the GIZ advisory team and the counterpart institutions (SIDBI, MoMSME)

With regard to the surveys, the objectives of the consulting service are to:

- Prepare (develop methodology; prepare one approach paper for measuring progress on each indicator, wherever necessary),
- Execute the survey, and
- Evaluation (a survey to assess the defined outcomes and use of outputs) and prepare the reports in combination
- Each of the periodic surveys involve one-to one interactions with about 1,600 stakeholders (MSMEs, industry associations, financial institutions, Govt. organisations, partner institutions etc) in 40-50 locations in all geographical regions of India including North-East.



**MONITORING AND EVALUATION**

**Location:** Uttar Pradesh, India

**Client:** Uttar Pradesh Participatory Forest Management and Poverty Alleviation Project, Government of Uttar Pradesh

**Funding Agency:** Uttar Pradesh Participatory Forest Management and Poverty Alleviation Project

**Period:** 2009- 2013

**Associate firms:**

Nippon Koei Co. Ltd., Nippon Koei India Pvt. Ltd., India, Natural Resources International Ltd., UK and Natural Resources Management Consultants India Private LTD., India

**Uttar Pradesh Participatory Forest Management and Poverty Alleviation Project for Government of Uttar Pradesh****Brief Description of Project:**

The objective of the consulting services is to assist the implementing organization in the improvement of processes and procedures for project implementation at the State, Division and field levels. The Project Consultant, consisting of international and national experts, was envisaged to provide the Project Management Unit (PMU), Division Management Units (DMUs) and Field Management Units (FMUs) with overall technical and managerial assistance in project implementation in order to realize the improvement in efficiency, effectiveness and quality of the project implementation.

**Services Provided:**

The scope of the services of the Project Consultant includes:

- Assisting the PMU in pursuing effective and efficient project management;
- Assisting the PMU in formulating a comprehensive plan of operation for the implementation of the Project;
- Assisting the PMU in formulating various guidelines, manuals and handbooks in consultation with PMU;
- Assisting the PMU in securing necessary project Staff members, especially from the placement agencies;
- Preparation of a master plan for the comprehensive training program and supporting PMU and DMUs in organizing various training for the project staff in consultation with PMU;
- Assisting the PMU and DMUs in procuring and supervising the various resource organizations, NGO support organizations and partner NGO, MIS software development contractor, GIS database development and surveying contractor, contractors for socio-economic baseline survey, periodical impact assessment, construction contractors and other contractors that may be needed;
- Assisting the PMU and DMUs in procuring necessary equipment;
- Assisting the PMU in establishing an efficient and reliable system for monitoring and evaluation and in operating such systems for progress monitoring and impact assessment;
- Assisting the PMU and DMUs in planning/ budgeting annually based on the appropriate estimation of work quantity at the field level and unit costs;
- Assisting the PMU in fund management and smooth communication between the PMU and the donor agency;
- Assisting the DMUs in entering into agreements with JFMCs/EDCs for project works and help DMUs to monitor the work of JFMCs/EDCs;
- Providing technical assistance to PMU, DMUs, FMUs and various contractors and NGOs in the execution of their works in preparatory works, capacity development, community organizing, micro-planning/annual implementation planning, work quantity estimation, NWFP development, IGA/micro-enterprise development, wildlife conservation and management and phase-out/phase-in works;
- Reviewing, analyzing and recommending improvement in existing related policies and guidelines;
- Assisting the forest department to ensure sustainability of the project;
- Designing the course module, identification of institutions / places and logistic arrangement for international training and study tours;
- Capacity/ knowledge/ skills development through technical and managerial assistance for PMU members as well as field officers who play key roles in project activities; and
- Assisting the project authority for organizing national trainings / study tours.

**Location:** All over India

**Client:** Ministry of Micro, Small and Medium

Enterprises, Government of India

**Evaluation Study of Scheme MSME-Testing Centres/ Testing Stations for Ministry of**



### Micro, Small and Medium Enterprises (MoMSME), Government of India

#### Brief Description of Project:

The office of the Development Commissioner (MSME) under Ministry of Micro, Small & Medium Enterprises has set up four MSME-Testing Centres (formerly RTCs) located at New Delhi, Mumbai, Kolkata and Chennai. In order to provide testing facilities in the area with cluster of industries and some strategic areas. The Government of India has also set up MSME-Testing Stations (formerly FTSs) at Jaipur, Bhopal, Kolhapur, Hyderabad, Bangalore, Puducherry and Ettumanur. While provision of expenditure under the Scheme on purchase of capital goods, viz. test equipment and machinery and their spares, repairing, servicing, calibration, AMC of test equipment and machinery, BIS/NABL accreditation expenses and training has been kept for Testing Centres, provision has also been kept for expenditure on salaries & wages etc in respect of Testing Stations. The scheme seeks to provide testing and calibration facilities to industries in general and MSMEs in particular for rawmaterials, semi-finished and finalized products manufactured by them.

For continuing the Scheme in the 12<sup>th</sup> Five Year Plan (2012-2017), evaluation of the Scheme "MSME-Testing Centres/Testing Stations" through an independent agency was envisaged to be carried out under Surveys, Studies and Policy Research Scheme of Ministry of MSME. The objective of this evaluation study was to get a clear picture of how successful was the scheme in achieving its objectives. The study was also envisaged to indicate how the Testing Centres/Testing Stations can be made more relevant to the needs of the MSMEs & others like Testing, Calibration and thereby upgrading the quality of products manufactured by them.

#### Services Provided:

- Evaluation of the impact of the scheme of assistance on the target segment of overall development of the MSME sector and others with reference to the objectives and designing remedial measures for improvement of impact;
- Suggest/recommend strategies to be employed for achieving self sufficiency (Cash Cost Recovery Ratio) being assigned from time to time to the Testing Centres/Stations;
- Role and efficacy of the existing institutions in delivering the services that they are mandated to and measures for improvement of their human resources and operative practices;
- To suggest measures for capacity building of institutions and their empowerment with particular emphasis to serve the needs of MSMEs & others comprising both manufacturing & servicing;
- Issues like technological up gradation, infrastructure support, laboratory management practices etc. in the context of specific MSMEs & others and with a view to enhancing competitiveness in the global context; and
- Testing requirements for enterprise/entrepreneur development and problems of first generation entrepreneurs

### Evaluation of the Scheme Rajiv Gandhi Udyami Mitra Yojana (RGUMY) for Ministry of Micro, Small and Medium Enterprises (MoMSME), Government of India

#### Brief Description of Project:

The scheme "Rajiv Gandhi Udyami Mitra Yojana" is an on-going Plan Scheme of Ministry of Micro, Small and Medium Enterprises (MSME) to provide (a) handholding support and assistance to the potential first generation entrepreneurs, who have already successfully completed or undergoing Entrepreneurship Development Training Programmes (EDP) / Skill Development Training Programmes (SDP)/ Entrepreneurship cum Skill Development Training Programmes (ESDP) /Vocation Training Programmes (VT), through the selected lead agencies i.e. 'Udyami Mitras', in the establishment and management of the new enterprises, in dealing with various procedural and legal hurdles and in completion of various formalities required for setting up and running of the enterprises and (b) to provide

**Location:** All over India

**Client:** Ministry of Micro, Small and Medium Enterprises (MoMSME), Government of India

**Funding Agency:** Ministry of Micro, Small and Medium Enterprises (MoMSME), Government of India

**Period:** Nov. 2011- Jul, 2012

**Associate Firm:** Nil



information, support, guidance and assistance to first generation entrepreneurs as well as other existing entrepreneurs through an „Udyami Helpline“ (a Call Centre for MSMEs), to guide them regarding various promotional schemes of the Government, procedural formalities required for setting up and running of the enterprises and help them in accessing Bank credit etc. This Scheme has been in operation since 2008. For continuing the Scheme in the 12<sup>th</sup> Five Year Plan (2012-2017), evaluation of the Scheme “Rajiv Gandhi Udyami Mitra Yojana” through an independent agency was envisaged to be carried out under Surveys, Studies and Policy Research Scheme of Ministry of MSME. The objective of the assignment is aimed at evaluating the impact of the scheme in creation of new enterprises by first generation entrepreneurs with an objective of ascertaining the modifications required in the scheme in order to make it more useful for delivery of handholding support to micro enterprises.

### Services Provided:

- Assessment of benefits of handholding support under RGUMY to first generation entrepreneurs;
- Whether the overall objective has been achieved? If not, the reasons and constraints;
- Changes/ improvements required in the scheme in respect of quantum of handholding charges, milestones of the scheme and their grouping in various stages, mode of payment of handholding charges to Udyami Mitras at various stages and such other procedural changes in the scheme to make it more effective;
- Evaluation of comments and suggestions already received in the Ministry from some of the stakeholders for making the scheme more effective;
- Any new component to be added under the scheme to give benefit to micro, small and medium enterprises; and
- Suggesting the parameters of a scheme of mentoring which results in creation of Micro Enterprises.

### Evaluation of the Scheme Assistance to Training Institutions for Ministry of Micro, Medium and Small Enterprises (MoMSME), Government of India

#### Brief Description of Project:

The revised scheme “Assistance to Training Institutions” is an on-going Plan Scheme of Ministry of Micro, Small and Medium Enterprises (MSME) which has three components viz. (a) to provide financial assistance to 3 National level Entrepreneurship Development Training Institutes (EDIs) working under the aegis of Ministry of MSME for meeting their revenue deficit and capital expenditure (b) to provide financial assistance for strengthening training infrastructure of the existing and new Entrepreneurship Development Institutes (EDIs) at State/UT level and (c) to provide assistance for Entrepreneurship Development Programmes (EDPs), Entrepreneurship cum Skill Development Programmes (ESDPs) and Training of Trainers (ToTs) Programmes. This revised Scheme has been in operation since 2010. For continuing the Scheme in the 12<sup>th</sup> Five Year Plan (2012-2017), evaluation of the Scheme ‘Assistance to Training Institutions’ through an independent agency was envisaged to be carried out under Surveys, Studies and Policy Research Scheme of Ministry of MSME. The assignment is aimed at assessing the impact of scheme on promotion of entrepreneurial culture in the country by way of establishment of new EDIs and consequential training and skill upgradation programmes in different regions of the country. The objectives of the evaluation study to suggest the ways and means to promote entrepreneurial culture amongst the youth and unemployed people and to fill the skill gap existing in the different sectors of the industries.

### Services Provided:

- Cost benefits analysis/ assessment of the scheme;
- The efficacy of the scheme in meeting the requirement of the industries and the aspiration of unemployed youth/ persons who have been trained under the scheme. To suggest modification/ change in the content of the scheme or the procedure being

**Location:** All over India

**Client:** Ministry of Micro, Small and Medium Enterprises (MoMSME), Government of India

**Funding Agency:** Ministry of Micro, Small and Medium Enterprises (MoMSME), Government of India

**Period:** Oct., 2011- July, 2012

**Associate Firm:** Nil



## MONITORING AND EVALUATION

**Location:** All over India

**Client:** Small Industries Development Bank of India (SIDBI), Govt. of India

**Funding Agency:** Small Industries Development Bank of India (SIDBI), Govt. of India

**Period:** May 2007 – November 2011

**Associate Firm:** Nil

followed by implementing the scheme;

- To assess the felt need/ resource gap of the different parts of the country (especially backward region/ districts) and their failure in meeting the requirement of unemployed youth/ persons in getting the wage employment or self employment;
- To suggest the “Business process Reengineering” (BPR) for effective implementation of the Scheme. To work out the average cost per trainee for imparting the training and to suggest the components of training accountable for calculation of average cost.

### **Baseline Survey for Results Monitoring under MSME Financing and Development Project (MSMEFDP) for Phase I and Phase –II for Small Industries Development Bank of India (SIDBI), Government of India**

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

With an intent to facilitate increased flow of credit to SMEs and support other developmental initiatives, SIDBI was implementing a multi-agency/multi-activity flagship Project on Financing and Development of Micro, Small and Medium Enterprises (MSMEFDP) in India, with IBRD, DFID, KfW and GIZ as major international partners. The objective of the Project is to, inter-alia, improve MSME access to finance (including long-term finance) and market oriented Business Development Services (BDS), thereby fostering MSME growth, competitiveness and employment creation.

The objective of the consultancy assignment awarded to JPS was to undertake a baseline survey and to monitor the impact of the Project on MSMEs/Participating Financial Institutions (PFIs) and other beneficiaries / stakeholders of the project based on benchmark for measurement of the impact of the Project on them and relative to the Project Objectives laid out at the start of Project implementation as defined in the Project logframe.

#### **Services Provided:**

- To provide oversight and coordination to undertake a baseline survey of 18 MSME clusters under project interventions, with a view to setting a benchmark for future measurement of the impact of the Project on them and relative to the Project objectives laid out at the start of Project implementation as defined in the Project logframe and to monitor the impact of the project on MSMEs/Participating Financial Institutions (PFIs) and other beneficiaries of the Project (during the Project period June 2007-October 31, 2011);
- Prepare Baseline Reports for WBLOC I and WBLoC – Additional to establish the benchmarks among beneficiary and non-beneficiary (control group) MSMEs for future measurement of impact of the project support;
- Prepare 2 Quarterly Progress Reports (QPRs) for FY 2009-10 of two clusters per quarter for April-June 2009 and July-September, 2009 covering sectoral developments, economic outlook for the cluster, impact of any government policies or any interventions that could help in the growth of the cluster, PPP initiatives and role of the BMOs in the respective clusters etc.. The QPRs included Case Studies of MSMEs which capture the successes or the problems of development of MSMEs and capturing the success and impact of the project interventions. Prepare Annual Findings Report (AFR) for FY 2007-08 and FY 2008-09 based on a quantitative survey carried out in the MSME clusters at the close of Financial Year, comparing the progress against the baseline indicators. The survey was carried out among same MSMEs and BDS providers in the respective clusters as in the baseline survey;
- Prepare 5 longitudinal Case Studies towards WBLOC Additional besides 10 longitudinal case studies under WBLOC I; and
- Overall Impact Assessment of the Project across all the Project components (WB LoC I and Additional, BDS Cluster Interventions including longitudinal case studies, Credit Information (CIBIL) & Credit Rating (SMERA), Policy Advocacy, TA to Banks, Case Studies of WBLOC I Units and ACF Interventions and Success Stories) as documented in the Project logframe and prepare an overall Final Impact Assessment



**MONITORING AND EVALUATION**

**Location:** All over India

**Client:** Ministry of Micro, Small and Medium Enterprises (MoMSME), Government of India

**Funding Agency:** Ministry of Micro, Small and Medium Enterprises (MoMSME), Government of India

**Period:** 2007-2008

**Associate Firm:** Nil

and Analysis Report of the Project reflecting successes/failures vis-à-vis logframe in line with the Monitoring and Evaluation Framework. The Final Evaluation report also documents the innovative approach adopted by the project for increasing the outreach and effectiveness of the project interventions, particularly to benefit the micro enterprises and rural / women entrepreneurs in line with the objective of employment generation, poverty alleviation and social equity, besides overall development of the MSME sector.

**Concurrent Evaluation of International Cooperation (IC) Scheme for Ministry of Micro, Small and Medium Enterprises (MoMSME), Government of India****Brief Description of Project:**

The International Cooperation Scheme is an on-going Plan Scheme of Ministry of Micro, Small and Medium Enterprises (MSME) launched with the principal objectives of technology infusion and/or upgradation, modernization and promotion of exports of micro and small enterprises (SMEs). This Scheme has been in operation since 1996. For continuing the Scheme in the 12<sup>th</sup> Five Year Plan (2012-2017), evaluation of the IC Scheme through an independent agency was envisaged to be carried out under Surveys, Studies and Policy Research Scheme of MSME. The scope of Scheme of Surveys, Studies and Policy Research includes, inter alia, concurrent/periodical evaluation/assessment of impact of the existing policies, programmes and schemes of assistance on the target segments of MSME with reference to the objectives of such policies etc, and designing remedial measures for improvement of impact.

The Scheme covers the following activities:

- Participation by Indian SMEs in exhibitions, fairs and buyer-seller meets in India, in which there is international participation.
- Deputation of MSE business delegations to other countries for exploring new areas of technology infusion/upgradation, facilitating joint ventures, improving market of SMEs products, foreign collaborations, etc.
- Holding international conferences and seminars on topics and themes of interest to the SMEs.

**Services Provided:**

The independent evaluation of IC Scheme is envisaged to carry out the following:

- Assessment of benefits of IC Scheme to SMEs
- Impact of IC Scheme in technology upgradation
- Impact of IC Scheme in modernization of SMEs
- Impact of IC Scheme in promotion of exports by SMEs
- Any changes required in the structure/ terms and conditions/ procedure of IC Scheme; and
- Cost benefit analysis of IC Scheme.

**Location:** All over India

**Client:** Ministry of Small Scale Industries, Government of India

**Funding Agency:** Ministry of Small Scale Industries, Government of India

**Period:** 2007-2008

**Associate Firm:** Nil

**Evaluation Study of the Small Industries Service Institutes (SISIs) and Branch SISIs for Ministry of Small Scale Industries, Government of India****Brief Description of Project:**

Although SSI sector has grown rapidly and is performing exceedingly well in boosting Indian economy, it has never been free from problems and constraints. It needed encouragement, strong support in terms of service and infrastructural facilities and up grading managerial as well as technical skills. Availability and accessibility of resources like credit / finance, technology, marketing network have always been very crucial to promotion as well as sustenance of SSIs. For many years, SISIs have been involved in providing such facilities, support and extension services to both prospective and existing SSI entrepreneurs all over the country through their regular functions as well as by participating in special schemes and programmes launched by Govt. of India under





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successive Five Year Plans. In view of their functional importance, Ministry of Small Scale Industries felt the need for an evaluation study of main and branch SISIs to assess their present working conditions as well as the success in achieving the objectives for which they were set-up.

### Services Provided:

- To assess the impact of the scheme in the overall development of SSI sector;
- To evaluate the key issues pertaining to sustainability of the SISIs;
- To make an assessment of the current arrangements of implementation and efficiency of delivery of the schemes;
- To assess the economic impact of the schemes on the intended beneficiaries;
- Preparation of evaluation benchmarks for progress and performance of the schemes; and
- To suggest comprehensive structural changes, if any, to make the SISIs more relevant to the needs of the entire small enterprises sector comprising both industries and services.

**Location:** Rajasthan

**Client:** Office of the Superintending Hydrogeologist, (S&R), Ground Water Department, Government of Rajasthan

**Funding Agency:** Government of Rajasthan

**Period:** 2005-2006

**Associate Firm:** Nil

### Ground Water Management in Pilot Project Areas of Rajasthan under Rajasthan Water Sector Restructuring Project (RWSRP) for Ground Water Department, Government of Rajasthan

#### Brief Description of Project:

The main development objectives of the Rajasthan Water Sector Restructuring project (RWSRP) were to: a) strengthen the capacity for strategic planning and sustainable development and management of surface and groundwater resources in Rajasthan; and b) increase the productivity of irrigated agriculture. The captioned assignment involved social assessment to identify the social issues associated with the proposed approach of community based ground water management, understand its ramifications and problems, develop a strategy to involve local communities in the overall planning, implementing (including operation and maintenance of structures and systems developed) and monitoring the pilot activity under the groundwater component of the project, provide an integrated and participatory framework for gathering, analyzing, prioritizing and incorporating socio-economic information in developing, implementing and monitoring the pilot activity of the ground water component of RWSRP.

#### Services Provided:

- Developing a framework for promoting and strengthening community-based approaches to groundwater management involving all the stakeholders with an emphasis on the participation of vulnerable groups (e.g. women, landless, tribals) to have a greater voice in decision-making, through focus group discussions.
- Identifying different groups of stakeholders (including the beneficiaries, those who can influence the project outcome like NGOs and CBOs, project promoters and implementers, affected persons etc.), their concerns, roles and responsibilities in planning, implementing and monitoring the pilot projects.
- Developing strategies to mobilize communities to form ground water user groups at different levels (village/Gram Panchayat (GP)/pilot area) and examine and suggest institutional arrangement for the implementation of the pilot projects to ensure the representativeness, effectiveness, and sustainability of ground water institutions.
- Address issues of gender and other vulnerable groups.
- Focus on the agricultural situation in the project area and its relationship with the ground water.
- Budget the ground water usage by assessing the use of ground water by various stakeholders and by purposes - agriculture, drinking, industrial activities, construction, etc. and identify problems faced and areas of minimizing ground water requirements and possible reallocation of water.
- Assess the hydrological situation in terms of both surface and ground water

**MONITORING AND EVALUATION**

resources. The assessment of ground water resources included a census of wells in each of the pilot areas, types of wells (manual, mechanical and electrical), density of wells, water level by seasons, and usage of well water by purpose (drinking, agriculture, industries, etc.) and problems faced by the owners/users.

- Identify the type and extent of adverse impact on people occupying/using lands required for physical works under the Project, irrespective of the ownership of land required.
- Ensure participation of tribal communities in the project.
- Analysing the possible legal framework for regulating and managing ground water, institutional strengthening, capacity building on community based ground water management and outlining key enabling policy reforms that would be required in the short, medium and long-term.
- Outlining institutional arrangements and capacity building required to successfully implement the ground water pilot projects, taking into account the operations of other community based groups (like watershed development committees) and develop adequate linkages between ground water committees and other users groups/Panchayat Raj institutions.
- Integration of awareness building to regulate ground water usage, social conflict resolution mechanisms, participatory decision-making as well as community training in a number of skills including participatory monitoring and evaluation, book keeping, financial management, etc. in IEC strategy, training strategy and programme proposed for groundwater component.
- Provide a framework including parameters/indicators and institutional arrangement for monitoring the implementation of pilot projects.

**Location:** Uttar Pradesh, Madhya Pradesh, Himachal Pradesh, J & K, Punjab, Chhattisgarh, Uttaranchal, Haryana, Chandigarh and Delhi

**Client:** Ministry of Food Processing Industries, Government of India

**Funding Agency:** Ministry of Food Processing Industries, Government of India

**Period:** Aug. 2006-2007

**Associate Firm:** Nil

### **Evaluation of projects assisted by Ministry of Food Processing Industries in North Zone during first 3 years of 10th Plan Period (2002-2005) for Ministry of Food Processing Industries (MoFPI), Government of India**

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

This consultancy involved evaluation of projects assisted through grant by Ministry of Food Processing Industries in North Zone covering 10 states viz. Uttar Pradesh, Madhya Pradesh, Himachal Pradesh, J & K, Punjab, Chhattisgarh, Uttaranchal, Haryana, Chandigarh and Delhi during the first three years of 10<sup>th</sup> Plan Period (2002-2005) to make the plan schemes more meaningful and effective.

#### **Services Provided:**

- Conduct of a diagnostic assessment of each project supported by MoFPI individually after undertaking visit to each project and obtaining details physically in the relevant proforma for production units, infrastructure projects (other than food parks), R & D, HRD projects/facilities;
- Assessment of the success rates in terms of utilization of grant for the purpose intended, units in production, production being markets, profitability of the unit, and other parameters for R & D and HRD projects;
- Assessment of the export-orientation of the units/projects, direct and indirect employment generation (segregated for women and SC/ST beneficiaries) per lakh of grant, linkage of farm produce used per unit in terms of farm incomes per lakh of grant, private/bank investment leveraged per lakh of grant, value addition per lakh of grant;
- Assessment of the efficacy of existing mode of capital subsidy and possible switchover to interest subsidy pattern; and
- Evolving recommendations on (a) need for change in parameters/orientation of the scheme (b) need for upward/downward revision of quantum of financial assistance (c) product which need to be focused in a particular region/state for development (d) new technology requirements (e) reduction of wastage (f) human resource development and (g) quality control.

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

**Client:** AusAid

**Funding Agency:** AusAid



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

### 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:

- 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;
- 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;
- 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;



## MONITORING AND EVALUATION

**Location:** India

**Client:** Ministry of Environment and Forests, Government of India

**Funding Agency:** World Bank

**Period:** 2000-2004

**Associate Firm:** Nil

- 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;
- Assistance and advise on the establishment of a new autonomous WS&S entity.

### **Intensive Project Performance Review-India Eco-Development Project for Ministry of Environment & Forests, Government of India**

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

India Eco-Development Project was designed for seven protected areas of India viz. Buxa Tiger Reserve (West Bengal), Gir National Park (Gujarat), Nagarhole National Park (Karnataka), Palamau Tiger Reserve (Jharkhand), Pench Tiger Reserve (Madhya Pradesh), Periyar Tiger Reserve (Kerala) and Ranthambhore Tiger Reserve (Rajasthan) with the following objectives:

- To improve capacity of PA management to conserve biodiversity and increase opportunities for local participation in PPA management activities and decisions.
- To reduce negative impacts of local people on biodiversity, reduce negative impacts of PAs on local people, and increase collaboration of local people in conservation efforts.
- To develop more effective and extensive support for ecodevelopment.
- To ensure effective management of this project.
- To prepare future biodiversity projects. The project was aimed at implementing the strategy for bio-diversity conservation through people's participation and undertaking eco-development activities in seven protected areas of India viz. Buxa Tiger Reserve (West Bengal), Gir National Park (Gujarat), Nagarhole National Park (Karnataka), Palamau Tiger Reserve (Jharkhand), Pench Tiger Reserve (Madhya Pradesh), Periyar Tiger Reserve (Kerala) and Ranthambhore Tiger Reserve (Rajasthan).

#### **Services Provided:**

- Undertake field visits comprising of at least two of the full time specialists to each projects site at least three times during the period of the consultancy, and provide guidance, and advice in matters relating to environmental, socioeconomic management, and technical issues;
- Provide feedback to change project components, increase institutional learning and build trust among project stakeholders. Provide advice and technical support for planning, coordinating and implementing project activities, when required;
- Provide advice and support in the preparation of project progress and completion of reports;
- Provide guidance and advice in review of project documents and plans including annual work plans;
- Recommend measures for strengthening environmental management and monitoring procedures and programs during implementation of the project, including recommendations for the cost-effective conduct of site specific assessments of project investments prior to executing. Provide oversight and specialist services required to facilitate the implementation of these measures. Use the environmental assessments framework to assess environmental impacts of ongoing implementation;
- Use the social assessment framework to (a) assess the social impacts of project



**Location:** Jharkhand

**Client:** Government of Jharkhand/ World Bank

**Funding Agency:** World Bank

**Period:** Oct. 2004- December 2004

**Associate Firm:** Nil

activities on stakeholders and (b) the effectiveness of responses to the impact monitoring in mitigating negative impacts in ongoing implementation;

- Use Project design and preparation of work to assess effectiveness of project administration arrangement and suggest improvements, where needed;
- Participate in project technical workshops, review meetings and coordinating committees and provide resources personnel, when required;
- Participate in meetings, discussions, and supervision missions involving the Bank as and when required;
- Participate in meetings, discussions, and supervision missions involving the Bank (including joint site visits) as and when required;
- Compilation, documentation of information and processing the reports of the team; and
- Prepare assessment reports on special topics in response to requests from national level project committees.

### **Jharkhand Natural Resource Management Project for Government of Jharkhand**

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

The objective of the assignment was to promote a demand driven & participatory approach to forest management through maximum empowerment of village groups for decision-making on the choice of operations to be promoted & the support services to be provided to them by public agencies & NGOs. The Jharkhand forest department was the main implementing agency with financial assistance being provided by International Bank for Reconstruction & Development. The project comprised of the following components:

**Enabling Environment for PFM:** This included activities & reforms in the policy, planning & legal environment, human resource development and management, support structures and information for service delivery & program administration.

**Community Institutions:** This component was envisaged to cover support for participatory planning & monitoring including capacity building, funds & other support for committees to leverage support from ongoing non-project development programs (of government & NGOs) & funds to committees for vulnerable groups which mitigate adverse impacts of forest protection.

**Forest Resources Development:** This included funds & other support for forest development in accordance with community priorities. e.g. forest restoration, management for forest products and services & support for forest technology improvements to increase productivity where appropriate and desired by local communities.

#### **Services Provided:**

- Review of existing procedures of fund flow, budgeting, accounting, internal controls & MIS in the functioning of the forest department starting from the state headquarters to the range offices;
- Review of relevant guidelines (relevant legislations & government orders) for the operation of village level communities particularly operation of bank accounts, procurement procedures, monitoring of work, books & records to be maintained etc. as well as actual implementation;
- Prepare guidelines on community financial management within the framework of existing government guidelines. This covered:
  - Development of standard formats for agreements/MOU for execution of work through communities.
  - Laying down norms for approval of action plans/micro plans, preparation & sanction of work estimates.
  - Development of norms for release of funds & accounting thereof.



**MONITORING AND EVALUATION****Location:** Uttaranchal**Client:** Uttaranchal Diversified Agriculture Support Project, Department of Agriculture, Govt. of Uttaranchal**Funding Agency:** Department of Agriculture, Govt. of Uttaranchal**Period:** 2002-2003**Associate Firm:** Nil

- Operation of bank accounts.
- Management of funds internally generated or received from other sources.
- Development of norms for community procurement
- Development of formats for records & registers to be maintained at the community level
- Training coach/forest department staff & collaborating NGOs on the bank's disbursement & procurement procedures including community procurement
- Development of formats for reporting to the bank on utilization of JSDF grant & PPF funds.
- Assessment of financial management skills at the forest department and at the community levels & identifying deficiencies that needs to be addressed.

**Evaluation of Impacts in Project Intervention under Uttaranchal Diversified Agriculture Support Project for Department of Agriculture, Government of Uttaranchal****Brief Description of Project:**

The Diversified Agriculture Support Project (DASP), Uttaranchal, was set up as an independent project in consequent to formation of Uttaranchal state. The principal objectives of the project were to increase agriculture productivity through support for State's diversified agriculture production system, promote private sector development and improve rural infrastructure through a fully participating approach with total involvement of the farmers and village communities.

**Services Provided:**

- To assess and quantify to the extent possible, the impact of measures undertaken in terms of diversification of area, increase in productivity, balanced use of fertilizers, better animal husbandry and dairy practices and adoption of sericulture by means of a survey of beneficiaries;
- To evaluate the impact of measures taken to promote participative management, public private partnership and private investment in agriculture sector;
- To assess the impact in terms of adoption by farmers other than the direct beneficiaries, of the various demonstrations and technology disseminated;
- To assess the arrangements made for technology dissemination and the methodology being used by the agencies, both government as well as those under privatization of extension services; and
- To evolve criterion for selection of demonstration sites and steps to increase the impact of demonstrations being undertaken.

**Location:** Rajasthan**Client:** Japan Bank for International Cooperation (JBIC)**Funding Agency:** Japan Bank for International Cooperation (JBIC)**Period:** 2003**Associates Firm:** Nil**Special Assistance for Project Sustainability Concerning Forestation Project in the Aravalli Mountains in Rajasthan****Brief Description of Project:**

The assignment aimed to present future visions and a set of practical recommendations to improve the Aravalli Afforestation Project, (and thereby showing a way for effectively implementing social forestry projects in India), and to help selected Village Forest Protection and Management Committee (VFPMCs) and the Rajasthan Forest Department (RFD) to improve their activities.

**Services Provided:**

- Community survey encompassing 24 communities from 12 districts in Rajasthan. Factors for community profiling include: economy, society, infrastructure, living, agricultural production, forests and development needs;
- NGO profiling to conduct the survey for social forestry in the states of Karnataka and Tamil Nadu, intended to help VFPMCS in Rajasthan as well as RFD improve their institutional performance and developmental impacts;



## MONITORING AND EVALUATION

**Location:** All over India

**Client:** Indian Council of Agricultural Research (ICAR), Ministry of Agriculture, Government of India/ World Bank

**Funding Agency:** World Bank

**Period:** 2000-2001

**Associates Firm:** Nil

- The expectation was that the participants will bring back the experience and knowledge to their own VFPMCS in Rajasthan, inspiring their fellow members of VFPMCS to start discussing ways to improve operations of their own VFPMCS;
- Conduct of a two-day workshop in Jaipur as a focal point of such efforts by members of the twenty-four (24) VFPMCS to improve their operations; and
- To facilitate VFPMC members reflecting their operations and formulating new plans, conduct of follow-up activities after the study tour by visiting communities and encouraging people on the spot.

### **Business Plan & Strategy formulation the Organisational Review of National Institutes of Indian Council of Agricultural Research (ICAR) for Ministry of Agriculture**

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

The objective of the assignment was to undertake a detailed study and review of operations & management issues of selected interdisciplinary National Agricultural and Education Institutions within the NATP framework and in keeping with earlier reviews of the functioning of the ICAR system, and its Vision 2020 Statement. These Institutions were: Indian Agricultural Research Institute (IARI), New Delhi; Indian Veterinary Research Institute (IVRI), Izatnagar; National Dairy Research Institute (NDRI), Karnal; Central Marine and Fisheries Research Institute (CMFRI), Cochin; Central Institute for Agricultural Engineering (CIAE), Bhopal; Indian Institute Horticulture Research (IIHR), Bangalore; and Central Rice Research Institute (CRRRI), Cuttack.

#### **Services Provided:**

- Make a Strengths-Weaknesses-Opportunities-Threats (SWOT) analysis of the present management structure and suggest cost effective and efficient management systems/practices including HRD needs to improve system efficiency;
- Review the functioning and efficacy of the Institute Management Committee (IMC), Staff Research Council (SRC), and Research Advisory Committee (RAC) and suggest measures for their better functioning;
- Review the existing internal and external decision-making processes, monitoring and evaluation and networking systems for their efficacy, delivery and impact and to recommend suitable changes therein;
- Suggest resource generation avenues, inter alia, through contract research, consultancy service charges, institute-corporate interface, technology development and marketing;
- Review the current deployment of Information Technology in the Institute/ ICAR System and identify priorities for their upgradation and optimum use; and
- Study existing publication and information systems of the Institute at various levels and to suggest measures for their improvement keeping in view technology development, client needs, production cost and timely delivery.

**Location:** All over the Country

**Client:** Ministry of Agriculture/ World Bank

**Funding Agency:** World Bank

**Period:** 2002-2003

**Associates Firm:** Nil

### **Design, Development and Implementation of Financial Management System for National Agriculture Technology Project for Ministry of Agriculture**

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

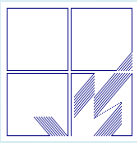
The development objectives of the National Agricultural Technology Project were to: i) improve the efficiency of the Indian Council of Agricultural Research (ICAR) organization and management systems; ii) enhance the performance and effectiveness of priority research programs and of scientists in responding to the technological needs of farmers; and iii) develop models that improve the effectiveness and financial sustainability of the technology dissemination system with greater accountability to, and participation by, the farming communities. The objective of the captioned assignment was to design and develop a comprehensive financial management system for the project commensurate with the size and scope of the project and develop and install software and provide training for computerisation of the financial management system.



## MONITORING AND EVALUATION

### Services Provided:

- Training to the concerned staff on usage of Financial Management System
- Detailing the process of financial reporting, budgeting and financial forecasting.
- Development of software for computerization of the Financial Management System
- Development of Chart of Accounts
- Identification and establishment of linkages between project expenditure and physical activities
- Procurement and contract administration monitoring systems



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