



**JBIC ASSISTED YAMUNA ACTION PLAN PHASE-II  
NEW DELHI, INDIA**



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**Monitoring Guidelines  
of  
Institutional Strengthening and Capacity Building (ISCB)**

**For the State of**

**Uttar Pradesh  
&  
Haryana**

**Under  
Yamuna Action Plan Phase - II**

*From*

***NATIONAL RIVER CONSERVATION DIRECTORATE  
Ministry of Environment and Forest, Govt. of India***

**May 2006**

***Prepared By*  
PROJECT MANAGEMENT CONSULTANTS FOR YAP-II**

## 1.1 OVERVIEW

1	Name of Project	Yamuna Action Plan – II (December 2004 – November 2009)
2	Name of Component	Institutional Strengthening and Capacity Building (ISCB) of Urban Local Bodies (ULBs) This includes enhancing Institutional, Financial and Human Resources Capacities of the ULBs
3	Duration of the Component/ Project	Design Phase May to October, 2006/December 2004 – November 2009
4	Scope of work under the Component	Design and Implementation of Reform Action Plan in 6 towns of Haryana (Yamunanagar/Jagadhri, Karnal, Panipat, Sonapat, Gurgaon and Faridabad) and 8 towns of Uttar Pradesh (Saharanpur, Muzaffarnagar, Ghaziabad, Noida, Vrindavan, Mathura, Agra & Etawah). This will facilitate and identify reform initiatives for ULBs of the Towns. Prioritize and develop implementation plan for each ULB in consultation with stakeholders through the Reform Fund.
5	Executing Agency	NRCD, MoEF, GOI
6	Project Implementing Agency (PIA)	<ul style="list-style-type: none"> <li>▪ Public Health Engineering Department (PHED), Govt. of Haryana</li> <li>▪ U. P. Jal Nigam, U. P.</li> </ul>
7	Beneficiary ULBs	<ul style="list-style-type: none"> <li>▪ Yamunanagar/Jagadhri, Karnal, Panipat, Sonapat, Gurgaon and Faridabad in Haryana</li> <li>▪ Saharanpur, Muzaffarnagar, Ghaziabad, Noida Development Authority, Vrindavan, Mathura, Agra &amp; Etawah in Uttar Pradesh</li> </ul>
8	Allocated Budget for ISCB	<ul style="list-style-type: none"> <li>▪ Portion of Rs. 19 Crore to be allocated for Haryana</li> <li>▪ Portion of Rs. 25 Crore to be allocated for U. P.</li> </ul>
9	1. Consultant for Design Phase  2. Implementations	1. M/s Feedback Ventures Pvt. Ltd. in Haryana 2. M/s Infrastructure Professionals Enterprise (P) Ltd. for U. P. Implementation will commence after RAP Design is approved and will continue till November 2009

## 1.2 SCOPE OF WORK

For each ULB, ISCB Component will give particular attention to the following:

### 1.2.1 Task 1: Creation of Infrastructure/Mobilization of Key Expert and Support Staff

- Setup Control Room at each ULB with Office Equipments such as Telephone, Fax, Computer, and Internet etc. within the project cost as per contract agreement provided to the consultant.
- Attendance sheet of Key Experts and Support Staff should be maintained in the project office at each ULB. The time sheet of the key staff/support staff should be counter signed by the Project Leader and duly verified by the respective ULB before submission to PHED/UPJN alongwith invoices as payment for work.

### 1.2.2 Task 2: Assessment of Current Situation

- Overview of the city in terms of its area, population, households, demographic profile, growth rate etc.
- Analysis of financial situation of the ULB in terms of trends in income (tax, non-tax, grants, SFC awards, others) and expenditure (O&M of assets, core and non-core municipal services, administrative costs, others)
- Analysis of organizational capacity of the ULB in terms of key units/departments, number and skill sets of employees, extent of computerization.
- Assessment of any reform initiatives already taken by the ULB in terms of the results, possible improvements and lessons learnt.

**1.2.3 Task 3: Conduct citizen survey to capture “Voice of Citizens” and also conduct “Focused Group Discussion” in each ULB**

- Assess existing standard of municipal service delivery by the ULB
- Determine need for higher standards and willingness of citizens to pay for the services and higher standards
- Assess willingness of citizens to associate to self manage certain services
- Highlight concerns and perceptions of citizens
- Use output of the survey to help ULB focus on key areas for improvements and serve as a reference point for pricing of services

**1.2.4 Task 4: Formation of City Level Committee/Reform Team for each ULB**

- Facilitate work of the Reform Team for each ULB. This would involve formation of **Reform Team** comprising Mayor/Municipal Commissioner, Councilors, Key staff of ULB & PIA, other relevant Dept.. Conduct sensitization meetings/workshops with the Reform Team on Reforms carried out by other ULBs in India. The consultant will also coordinate and record minutes of all key meetings and workshops.

**1.2.5 Task 5: Involving staff of ULB**

- Involving staff of ULB. This will entail conducting sensitization meetings/workshops with ULB staff on Reforms, seek inputs and suggestion of ULB staff and management on key issues. The consultant will also seek inputs and suggestion of the ULB staff and management on the RAP. The consultant will also coordinate and record minutes of all key meetings and workshops.

**1.3.6 Task 6: Identify key issues facing each ULB**

- Identify key issues facing each ULB based on the analysis of current situation, citizen survey and consultation with various stakeholders. The issues covered inter alia include Financial Sustainability, Coverage and Quality Services, Sustainable O&M of assets created under YAP-I, Technical and Managerial Capacity of each ULB.

**1.2.7 Task 7: Identify Reform Initiatives of each ULB**

- The consultant will identify Reform area in consultation with the ULB level working group and Reform Team based on the key issues confronting the ULB. Analyze root cause for each key issue and Reform initiative/actions required to address the issue.

**1.2.8 Task 8: Prioritize Reform Initiatives for each ULB**

- The consultant will examine criticality of issue being addressed by the proposed initiative and also estimate type frame, cost and benefits, assistance and expertise required for implementation of the propose initiative. The consultants will develop specific project proposals within RAP for funding through the Reform Fund available under YAP-II and other resources. The consultant will also identify and shortlist specific project proposals/initiatives proposed for funding through the Reform Fund.

**A Pilot Project shall also be implemented at the design stage/**

**1.2.9 Task 9: Develop implementation plan for all Reform initiatives for each ULB**

- Develop implementation plan for all Reform initiatives for each ULB. This would cover prioritization and sequencing of initiative with associated time frames, financing plan including assessment of funds requirements for implementing initiatives. The consultant will assess risks and possible mitigation measures for implementation of initiatives and propose a monitoring a review mechanism.

**1.2.10 Task 10: Conduct workshops**

- Conduct workshops for ensuring stakeholders participation. The consultant will organize two workshops at ULB level involving all relevant stakeholders at the city level. In addition to these two workshops at State Level involving all relevant stakeholders and one workshop at NRCD level involving stakeholders at NRCD level. The consultant will coordinate and record minutes of all workshops.

**1.2.11 Task 11: Detailed Reform Action Plan/Directional Reform Action Plan**

- A detail Reform Action Plan will be prepared for Reforms till November 2009 and directional RFP for the ULBs that indicate work to be undertaken after November 2009 will be developed. The consultant shall prioritize and formulate the project for each period.

**1.3 KEY DATA TO BE SUBMITTED BY ULBs**

**1.3.1 Urban Planning Data:**

- Town specific data like Area, Population etc.
- ULB specific development plans/ project reports that may have been compiled

**1.3.2 Technical Data:**

- Number of household water connections
- Coverage of sewage network and number of household connections
- Water and sewerage connection charges
- Frequency of billing and collection for water
- Solid waste – quantum generated; process of collection, transportation and disposal; site and process followed for disposal
- Solid waste – equipment (bins, trolleys, dumpers etc); staff engaged in collection and transportation
- Arrangements for street lighting and fire services – is outsourcing done for any aspect of service delivery

**1.3.3 Institutional Data:**

- All institutions involved in urban infrastructure development and service delivery
- Functional linkages with the ULB – direct or in direct
- Roles and responsibilities of all institutions involved in urban infrastructure development and service delivery
- Information on NGOs/ CBOs that may exist
- Are RWAs present? Details to be provided.
- Organisation structure of the ULB
- HR policies followed; trainings
- Process of inter departmental coordination and conflict resolution
- Public grievance handling
- Process of interaction with stakeholders – any mechanisms for participation of customers in decision making related to functions of ULB
- Examples of alternate service delivery – through outsourcing, public-private partnerships – what were triggers for new arrangements? Details of arrangement
- Devolution of responsibilities to ULBs following 74<sup>th</sup> amendment – funds, functions and functionaries – any redistribution of responsibilities following amendment
- Specific Government Orders, Notifications authorizing /activating 74<sup>th</sup> amendment
- Bye laws and rules
- State Municipal Act + Amendments – latest version
- Structure and functions of the ‘technical wing’ of ULB
- Capacity Building needs for additional responsibility
- Identify all the ULB, State level, and National level agencies, enterprises, and companies responsible for planning, financing, building and operating services related to sewerage and drainage systems in the respective YAP towns.
- Utilize following Table template to summarize agencies and their mandates.

<b>REFORM ACTION PLAN RELEVANT AGENCIES &amp; STAKEHOLDERS</b>										
<b>Ministry/State/Local Agency</b>	<b>Policy/Planning</b>	<b>Investment Planning</b>	<b>Regulations/Standards</b>	<b>Monitoring/Evaluation</b>	<b>Enforcement</b>	<b>Development Approvals</b>	<b>Design/Construction/ Supervision</b>	<b>Operation/Maintenance</b>	<b>Cost recovery</b>	<b>Research/Training/ Education</b>
<b>Principal Reform Action Agencies</b>										
PHED	√	√	√	√	√	√	√	√	√	√
UPJN										
<b>Other Affected Institutions/Agencies</b>										
GDA/TCPO etc.										
HSIDC/HUDA/TCPO										
<b>Other Key Sector Stakeholders and NGOs</b>										

**1.3.4 Financial and Economic Data:**

- Main sources of revenue for ULB – tax and non tax
- Expenditure heads
- Municipal Budgets - actual and proposed for last 5 years
- Status of payments towards employees PF and pensions
- Tax base revenue and methodology
- User charges if any – process of calculation and collection – what are these charges levied on
- Financial accounting systems
- State Finance Commission report – latest
- Grants received and their allocations

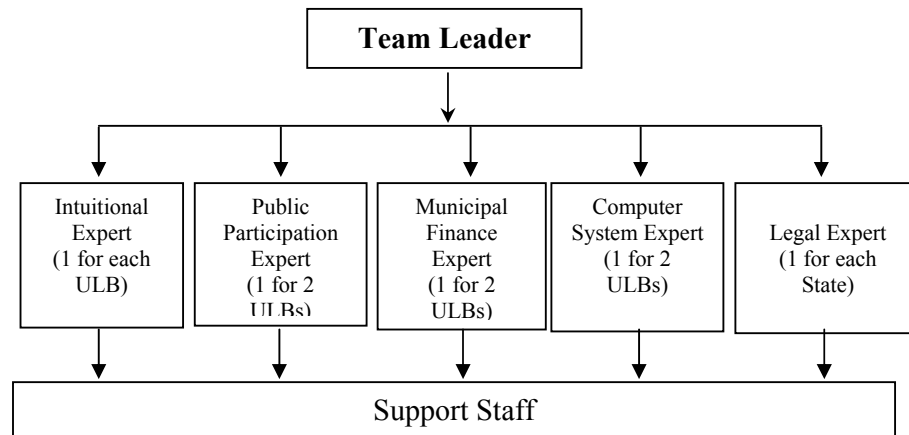
**1.3.5 Operations and Maintenance Data:**

- Status of O&M of assets created under YAP 1 that are the responsibility of ULBs

**1.4 COMPOSITION OF CONSULTING TEAM**

1.4.1 The appointed local consultant has experienced staff in Municipal Reforms and Capacity Building of ULBs. The team comprises of one Team Leader for all ULBs and Experts in the field of Institutional Building, Public Participation, Municipal Finance, Computer System and Legal System.

The composition of team for each ULB shall be as under:



## 1.5 TENTATIVE SCHEDULE OF THE ASSIGNMENT

1.5.1 The Institutional Strengthening and Capacity Building (ISCB) Component of ULBs in Haryana and U. P. under YAP-II shall be executed in two phases as under:

- Phase-I** : Design of RAP- Total Duration 6 months
- Phase-II** : Implementation of RAP & Handholding up to November 2009

## 1.6 DELIVERABLES AND TIME SCHEDULE

The consultancy services for preparation of RAP document shall be carried out for a period of 6 months from the date of mobilization and shall include the following deliverables:

### 1.6.1 Phase-I:

1. Inception Report (on completion of three-four weeks from the start date of assignment). This report should contain the approach to the assignment and documenting the outcomes of kick off meeting.
2. Monthly Progress Report (on completion of ever 4 weeks from the date of assignment). This report should provide general information on the status of the contract, giving details of work done and work to be done. This report should also provide updated information about consultant activities for the current and ensuing month.
3. Survey and Focused Group Discussion (FGD) Results Report (on completion of 16 weeks from the start date of assignments). This report should provide information on findings of survey and focused group discussion.
4. Draft RAP & RFP for Selection of Implementation Consultant (on completion of 3.5 months from the start date of assignments).
5. Final RAP & RFP for selection of Implementation Consultant (on completion of 6 months from the start date of assignments).

**Note:**

1. *Consultant is required to provide 5 Reports (Inception report, Draft RFP, Draft RAP, Final RFP and Final RAP) for each ULB in the project and provide copies to ULB, NRCD, JBIC, PHED and PMC.*
2. *Monthly progress report should be provided by the consultant each month. This report should be in a consolidated form for all six towns and copies will be provided to ULB, NRCD, JBIC, PHED and PMC*

A summary table of deliverables is provided as under:

S. No.	Deliverables/Report	Time-frame from award of assignment
1.	Inception Report	3-4 weeks from the start date
2.	Monthly Progress Report	Every 4 weeks from the start date
3.	Survey and Focused Group Discussion	16 weeks from the start date
4.	Draft RAP & RFP for selection of Implementation Consultant	3.5 – 4 months from the start date
5.	Final RAP and RFP for selection of Implementation Consultants	On completion of 6 months from the start date

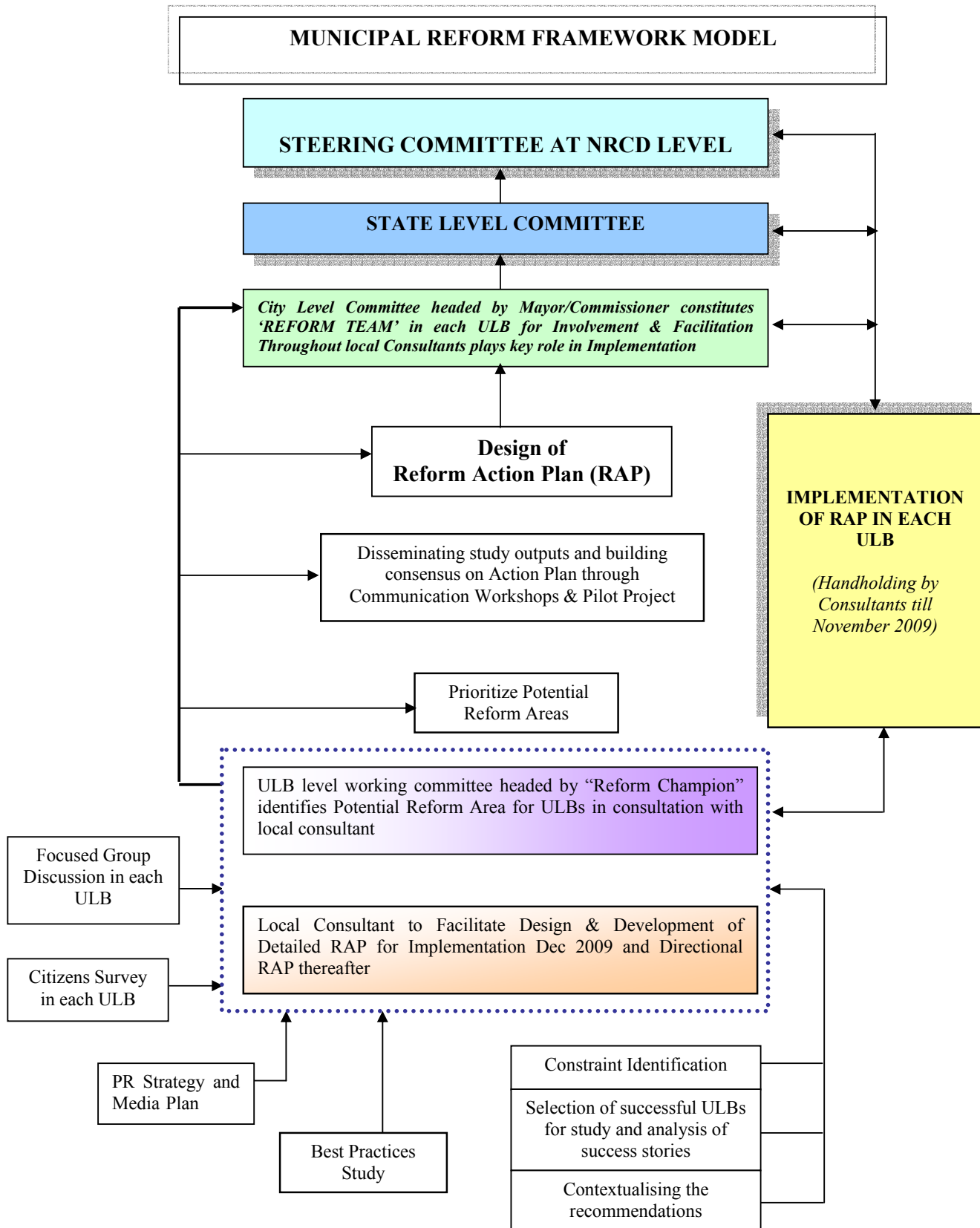
**1.7 FRAMEWORK FOR PREPARATION OF RAP**

A Reform team comprising of Mayor/Municipal Commissioner, Councilors and key staff of ULB/PIA shall be constituted at the ULB level. The Executive Officer (EO) of the ULB or any other sufficiently Senior Officer shall be nominated as the Reform Champion. He shall be the key member of the Reform team. The Reform team will play a crucial role in preparation of RAP design.

The consultant will assess the current situation at each ULB, present best practices in Urban Municipal Reforms to the Reform team. On the basis of the best practices and assessment of current situation at each ULB the reform team with the involvement and facilitation of the local consultant, identify key issues facing each ULB. Once the key issues for each ULB are identified, the reform initiatives required to tackle the key issues will be identified and prioritized. The local consultant will also conduct citizen survey to capture voice of citizen and also conduct focused group discussion at each ULB.

On the basis of dissemination of study outputs, building consensus on action plan through communication, the local consultant will prepare the Detailed Reform Action Plan/Directional Reform Action Plan. A pilot project also be implemented at the design stage.:

A pictorial presentation of overall framework in the figure given below:



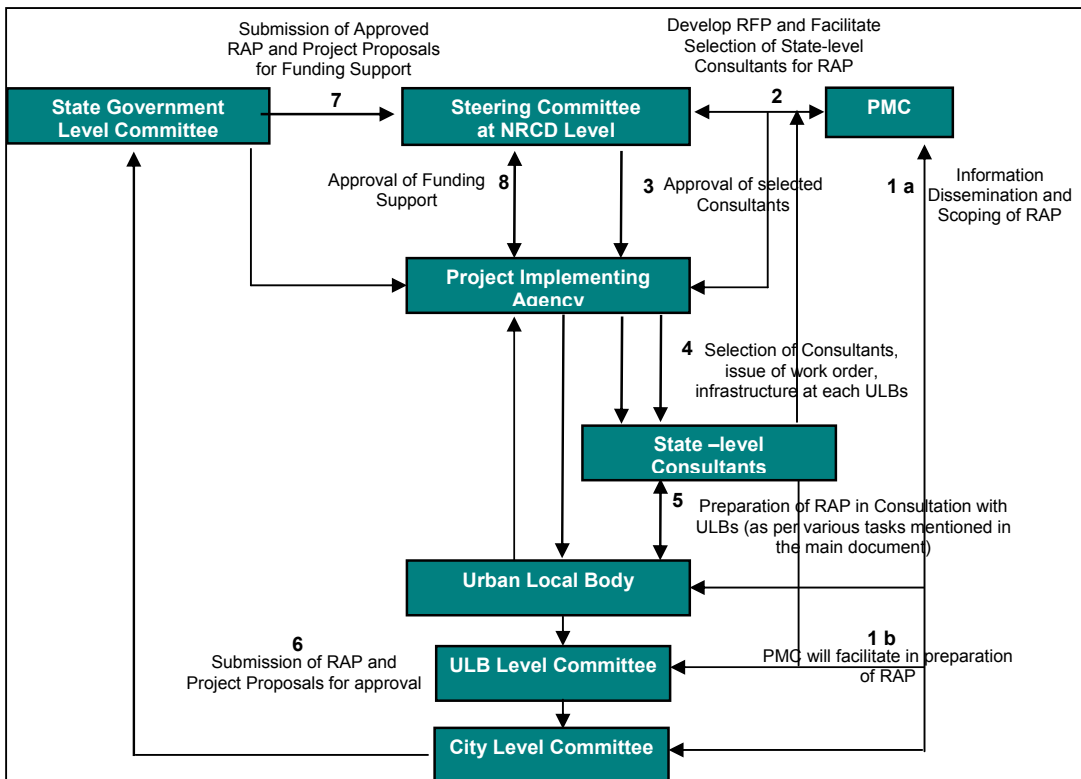
## 1.8 APPROVAL PROCESS AND MONITORING MECHANISM

The preparation of Draft Reform Action Plan will require consistent and regular monitoring on monthly basis. The monitoring and approval mechanism will cover the following:

- The City Level Committee constituted to oversee Reforms in the ULB will meet atleast one a month to review the progress of preparation of Reform Action Plan in each ULB and evaluate overall progress.
- The City Level Committee will forward the reports RAP & RFP prepared by the consultant to the State Level Committee constituted by the State Government.
- The State Level Committee will examine the above reports received from the City Level Committee and submit the same to the Steering Committee at NRCD level for approval. The funds shall be released to the respective ULB/PIA only after approval is accorded by the Steering Committee at NRCD.
- PMC will act as the Technical Secretariat to NRCD. It will disseminate information at all stages, facilitate in preparation of RFP & RAP in consultation with the local consultant.

A pictorial presentation of approval process and flow of documents is given as under:

### Municipal Reform Project – Approval Process & Flow of Documents



## **1.9 ROLE OF KEY AGENCIES**

The role of various key agencies in preparation of Reform Action Plan are set out below:

### **1.9.1 Urban Local Bodies**

- Ensure office space and setting up of infrastructure
- Ensure proper attendance record of key experts and support staff to be maintained at the ULB level
- Ensure constitution and effective working of the “**Reform Team**” at town level, and constitution of various committees within ULBs for Implementing Reforms
- Work closely with selected consultant for Designing and Implementing Reforms
- Ensure stakeholders participation and support of ULB staff in Designing and Implementing Reforms
- Ensure that the Reforms undertaken are sustainable and long terms benefits accrue to the citizens and to the ULBs
- Facilitate regular monitoring and review of Reform Implementation

### **1.9.2 Project Implementing Agencies (PIAs)**

- Coordination at all levels
- Disburse fund to the consultant and ULBs
- Keep track of funds disbursed under the component and prepare regular financial report
- Participate and Facilitate in regular monitoring of Reform Implementation by the State Level Committee and if required by the Steering Committee

## **1.10 RELEVANT REFERENCE DOCUMENTS AVAILABLE TO ULBs/PIA**

The reference documents already made available to ULBs/PIA with direct application to the Reform Action Plan preparation under YAP-II for design and implementation are.

- The original request for a proposal (RFP)
- The addenda/corrigendum issued during the Consultants bidding process
- The Technical Proposal of the Consultant
- The final executed contract agreement between the PIA and the Consultant
- Operating Policies and Procedures for Reform Fund
- Best Practices in Urban Municipal Reforms
- Collaborative Study on Municipal Reforms in Agra

## **1.11 ACTION TO BE TAKEN BY ULBs/PIA/STATE GOVERNMENT**

### **1.11.1 Appointment of Nodal Officers/Reform Champions**

If already not appointed by each ULB, it is required that Chief Engineer/EO's to be appointed as Reform Champions for each ULB since Nodal Officer/Reform Champions should be an Officer who is empowered to take decision and his involvement should preferably be till the completion of RAP i.e. November 2009.

### **1.11.2 Office Space**

ULBs to provide office space for the Consultants. Office Space in each ULB is required to facilitate the Consultants working closely with the ULBs. Offices will be fully furnished along with Computer, Fax, Internet etc. by the Consultants from the provision already made in the contract from the reform budget. These offices will be handed over with equipment to each ULB on the completion of the project.

### **1.11.3 ULB level Committee**

A ULB level committee consisting of ULB Officers from various departments like Property Tax, Finance and Accounts, Complaint Redressal, Health, Fire, Education etc is required to be formed for identifying and prioritizing the reform areas. Depending on the size of the ULBs, one or more committees may be formed.

### **1.12.4 City level Committee:**

A City level committee consisting of important stakeholders, other prominent citizens is required to be formed in each ULB. It will be chaired by the Mayor/Commissioner of the city. This committee will prioritize the reform areas identified by the consultant and ULB level committee and also will make key decisions.

### **1.11.5 Data Collection**

Necessary key data as earlier in the document will be required by consultant to make a proper RAP design in consultation with ULB officers. ULBs/PIA/Other City Development Authorities are requested to cooperate with the consultant in collecting the latest data.

### **1.11.6 Commitment and Cooperation of ULBs/PIA/Other City Development Authority**

It is necessary for ULBs/PIA Officers to give time, commitment and co-operation to consultant during the project to prepare RAP and Implement the same.

### **1.11.7 State level Steering Committee:**

A State level Steering Committee comprising officers from different departments of the Government is required to be formed, if already not formed for approval of recommendations made by City level committee.

### **1.11.8 Commissioner to review progress:**

To effectively monitor and implement Reforms in the ULBs, it is necessary that review of work is done on a monthly basis by the Commissioner of each Town.

### **1.11.9 Additional Budgetary Support:**

Synergy should be developed while providing additional funds by the State Government to ULBs. Since the budget of RAP under YAP-II is limited, only priority areas identified by the consultant will be taken up for implementation. However others identified areas will need additional budgetary support from State Govt. for implementation. Additional budget can be either provided through various State Govt. plans or centrally sponsored schemes such as NURM etc.