

PMMC EXPERTS KEY TASKs”

1. Team Leader/Urban Specialist:

A review of the progress so far has brought out that both the Physical Progress and the Financial Progress is lagging behind the schedule. Hence one of the main tasks of the team leader will be to identify the constraints in speedy implementation and assist both the IPCC and state level SIPMIUs to overcome the constraints.

Since multiple agencies are involved in the process of approval of various permissions before a project can be taken up, the co-ordination aspect becomes very important. Vigorous follow up is the need of the hour, and that alone could be the major task of the team leader.

Based on the above, the key tasks of the team leader would be:

- a. Assist the IPCC in identifying the constraints being faced in the approvals of the projects and thereafter liaise with the SIPMIUs and the States to de-bottleneck and to speed up the approvals required.
- b. Work closely with the SIPMIUs in fixing and reviewing targets and implementation schedules for both physical progress and for financial progress. All the SIPMIUs will be assisted in becoming far more target oriented.
- c. Work closely with the IT/MIS specialist of PMMC and the SIPMIUs in training and operationalizing the web based MIS system, which will assist the management in improved performance and will also improve communications.
- d. To prepare check lists for the possible issues with regard to environmental clearances, safeguards, land acquisition, rehabilitation and resettlement, permissions for satellite imagery etc. and to take advance action on them including public consultations so that they are not the cause of undue delays.
- e. To assist the IPCC in preparing the reports for ADB including those on compliances with the loan covenants, so that ADB clearances are obtained well in time.
- f. To coordinate with the PMMC team members in timely review of the various project reports, DPRs and environmental and safeguard clearances and to provide feedback to the SIPMIUs with a view to improve the quality of their submissions.
- g. To assist in preparation of acceptable quality of bidding documents so that their clearance at the ADB level does not get delayed. In the event of any special issues requiring special dispensation, such issues may be discussed and agreed with MoUD and ADB well in advance.
- h. In Tranche-1 many states have faced difficulty in getting good proposals and bids from the prospective contractors. Realizing that the capacity of contractors of the state may not be adequate to execute some of the projects, wide circulation of the impending contracts needs to be undertaken and PMMC will assist the states in this process as well.
- i. While the projects are being formulated, care needs to be taken to examine the sustainability aspect and the O&M cost that will require to be funded. Sustainability requires that full user charge should be collected to fund O&M costs. SIPMIUs will be assisted in

factoring this in at the design stage itself including public consultations regarding the acceptable level of user charge and methods of collecting the same.

- j. Similarly, many projects especially in the area of solid waste need to be undertaken through PPP. PMMC will encourage the SIPMIUs to identify and develop such parties whether private or NGOs or RWAs as the case may be. However, SIPMIUS will need to carry out financial modelling to establish viability of the P-P-P and any viability gap funding that may be required.
- k. Assist the IPCC and the SIPMIUs in proper formulation of the sub-projects for Tranche-2 for approval by the MoUD and ADB.
- l. Assist the IPCC and SIPMIUs in preparing monthly/quarterly reports, which are meaningful and identify actions required (actionable).
- m. With the commencement of Tranche-2, most states will have appointed IDC consultants to assist the states in the reforms agenda. In view of the experience that often the reforms agenda is paid lip service, the PMMC will follow up and ensure that the reforms are vigorously implemented and the transparency and empowerment of the civil society that is required is in fact achieved.
- n. The entire project is meant to improve services to the poor and is also expected to result in their poverty alleviation as also improved health of the vulnerable society. The work of the benefit-monitoring expert will be supported to point to the achievement of project outcomes and to redirect/improve targeting if the outcomes are not being achieved.
- o. Last but not the least; the team leader will manage the team of multidisciplinary consultants who have been assembled as part of the PMMC in order to achieve the tasks of making the NERUDP project a success.

2. Water/Wastewater Expert:

The competent authorities have approved detailed Project Reports (DPRS) of all the 5 towns for Tranche-1. Bidding and execution work has been started. Preparatory works for the Tranche-II is in progress. In view of the above status, the key tasks for water/wastewater expert would be:

- a. Proposals under SARs being submitted by the field units through SIPMIUs will be reviewed on the basis of decisions taken by MOUD and ADB. These will also be checked as per norms and guidelines laid down in the Manual of Water Supply and Treatment circulated by CPHEEO, Ministry of Urban Development in case of water supply schemes and Manual of Sewerage and Treatment for sewerage schemes.
- b. The field units will be guided to prepare projects, which are as per norms, and PMMC will ensure its compliance. The field units will then be asked to submit the detailed project reports of all the components separately or in one volume.
- c. PMMC will ensure that the cost estimates have been prepared on the basis of Schedule of rates (SORs) of State Gov. or CPWD. The non-scheduled items have to be on the basis of market rates but with supporting documents. The actual works will only be allowed to start after approval of the DPR.

- d. Works under Tranche-III are also to be started from 2012 the field units will be encouraged to start preparing SARs for this tranche once DPRs of the works proposed in Tranche-II are approved.
- e. The works taken up in Tranche-I have just started or are going to start. At present progress is being asked on the formats desired by them that are also on quarterly basis. For better monitoring in addition to the format of ADB, new formats will be designed to have progress on monthly basis or may be fortnightly basis so that the works may be streamlined if necessitated.
- f. The works in Tranche-I will be up to 2015 where as of Tranche-II will be in 2010-2013 and of Tranche-III in 2012-15. Thus there may be time that works in two or all the three Tranches will be in progress at the same time. Hence it will be desired to have progress of these Tranches on separate formats to avoid any confusion and better monitoring.
- g. To have actual look and for better quality control monitoring bimonthly or quarterly site visits will also be made at all the sites.
- h. While examining the financials in the DPRs, it will be ensured that a scheme has been prepared to levy user charges to cover the cost of O&M. The scheme should be prepared after due consultations with the various stakeholders and the public.
- i. It is also agreed by the states that the water charges will be on volumetric basis. For this purpose, domestic meters are proposed by most states. The states will be assisted in selection of good quality meters with proven record.
- j. Several schemes in the sub-projects refer to reduction of Non-Revenue-Water (NRW) and in some of the cities meters are to be installed for this purpose. The start of such schemes is by determining the existing levels of NRW, which are currently guesswork only. The current levels of NRW will serve as a baseline and targets for reduction of NRW will be fixed.

3. Solid Waste Specialist:

SWM is one of the critical components of the North Eastern Urban Development Project. (Two cities i.e. Shillong & Kohima had undertaken the SWM projects in the Tranche-I. Four cities i.e. Shillong, Kohima, Gangtok and Aizawl have proposed projects in the SWM sector in Tranche II. A proper monitoring & evaluation of these projects to ensure compliance with the MSW management Rules, 2000 is required to be undertaken. A review of the progress made in the Tranche-I as well the documents prepared including DPRs, Feasibility Reports, SARs, Drawings & Designs also need to be reviewed as part of the preparatory work for disbursement of the funds in Tranche –II. The key tasks of the SWM expert will include:

- a. Reviewing the progress made till date on the planning for SWM in the 5 cities.
- b. Review detailed designs prepared by SIPMIUs relating to solid waste management prior to tranche approval ensure compliance with all applicable guidelines. The compliance with the MSW management Rules 2000 is of utmost importance, and would be the guiding principle for evaluation and development of further action plan.
- c. Provide recommendations/guide SIPMIUs accordingly. A detailed comment on the document prepared until now would be shared with MOUD and intimated to the respective SIPMIUs/State Governments.

- d. 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.
- e. As part of implementation, monitor overall quality of construction of solid waste management facilities and compliance with agreed designs by contractors, conducting audits together SIPMIUs as necessary;
- f. 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.
- g. Prepare sections of monthly/quarterly reports pertaining to overall implementation of solid waste management components.
- h. Provide Exception reports for significant time & cost overruns in the SWM projects.

4. Disbursement Specialist:

The disbursement expert would be undertaking the responsibilities pertaining to the following aspects:

- a. The Periodic Finance Request (PFR) would be reviewed. The selection criteria for the selection of sub-project would be reviewed for its finalization so that the possibilities of wrong selection of sub-projects could be minimized if not completely eliminated.
- b. The expert would be looking into the urban governance and financial reform aspect as well.
- c. In accordance with the program covenants, the compliance would be made with respect to direct support to states (cities) for the implementation of reforms, such as financial reforms, administrative reforms, political reforms etc. The states would be supported by the expert in timely submission of the documents related to the reforms agenda.
- d. For the states of Meghalaya and Tripura, where urban governance and financial programmes are in the process of reforms, the expert would be supporting the states to monitor and guide in the implementation of these reforms of urban governance and financial reforms programmes.
- e. In respect of other states of Mizoram, Nagaland and Sikkim municipalisation is an important part of urban governance. These states would be provided with the guidance and support by the expert/team on the activities relating to the municipalisation process so the objective can be achieved successfully.
- f. Under municipalisation, the states would be assisted in the implementation of 74th CAA. It would include, (a) civic awareness campaign and public hearing for creation and strengthening of urban local governments, (b) the states would also be assisted in preparing/strengthening the existing municipal legislation (this would include transferring functions from states to urban local governments, and (c) conceptualizing and implementing organizational development measures and introduction of operational systems improvements.
- g. With respect to municipal financial reforms, it would be focused on improving accounting and budgeting systems, and practices through the adoption of accrual-base accounting,

application of GIS based systems in revenue administration, and computerization of financial systems. The states would also be assisted for the design, introduction and implementation of consumption and progressive user charges and improved property taxation to enable recovery of full costs of operation and maintenance by completion of the investment Program implementation.

- h. The expert would also support the states and would ensure that the IDC part-2 would be successfully implemented.
- i. The expert would be preparing the programmes related to the management and monitoring of the project. He would undertake the following aspects in this regard:
 - a. Preparing of a common program management system (frame work) for all tranches and all the selected states-with detailed activities. (This would be supported with the Web based system).
 - b. Preparing of common guidelines for benefit monitoring and evaluation and training for all the states.
 - c. The base line survey is very important. The expert would support all the states in the structuring and conducting the baseline surveys.
 - d. The data are very significant in the project. To keep them safe and secured is very necessary. It would be ensured that a common repository for secondary data would be prepared across all the programmes.
 - e. Prepare common framework for reporting of: (i) progress, (ii) physical and financial, (iii) accounts, (iv) procurement, (v) safeguard compliance and (vi) covenant compliance
 - f. Support with other activities relating to management and monitoring of programmes.
- j. Periodic Finance Request (PFR) –Preparation and Coordination: With respect to PFR, the expert would undertake the following tasks:
 - a. Coordinate and provide support in the preparation of PFR (tranche-2)
 - b. Review all documents prepared pertaining to PFR-2, which includes, technical aspect, economical /financial and social /environmental safeguards, etc.
 - c. The expert would be coordinating with ADB and Department of Economic Affairs,, Government of India, about the submission of PFR -2 for the consideration and the approval.
 - d. Institutional development for improved municipal governance and financial management,
 - e. Institutional development for improved utility operational and financial management.

For the preparation of PFR the important contents would be looked into thoroughly before it finalization and submission for the consideration and approval.

The disbursement expert would also be looking into details about:

- Loan amount,
- Description of sub-projects to be financed,
- Cost estimates and its financing plan,
- Implementation arrangements specific to the sub-projects,
- Confirmation of the continuing validity of and adherence to the understanding in this agreement,
- Confirmation of compliance with the provisions under previous Loan Agreement(s) and Project Agreement(s) as appropriate; and

- Other information as may be required under the Facility Administration Manual or reasonably requested by the ADB.
- k. Training Programme: The Disbursement expert would also be undertaking some the training programmes as well. It would include:
- Training of the SIPMIUs in preparation of annual budget,
 - Preparation of manuals,
 - Developing of budget control procedures etc.
- In addition to these activities the expert would also be supporting the states on preparation of sections of monthly/quarterly reports pertaining to the following aspects:
- Compliance with ADB/Gol accounting / disbursement requirements,
 - Compliance with quarterly annual targets (contract awards and disbursements),
 - Compliance with recommendations prescribed by the MoUD and the state level programme auditors.

5. Environmental Specialist:

- a. PMMC will review and recommend on the Initial Environmental Examination (IEE) Reports and recommendations will be forwarded to the SIPMIUs to make changes so as to meet with the ADB guidelines and requirements prior to the IEEs being submitted to the approving agencies. This will be done once the IEEs have been submitted by the concern SIPMIUs to the PMMC.
- b. PMMC will scrutinize the EMP reports for various mitigative measures and recommend if any are required to be minimize and to mitigate any adverse impact that may arise from the project activities.
- c. PMMC's Environmental Specialist will make a site visit to guide the SIPMIUs in preparing the environment related documents once the comments on the IEE have been forwarded to the SIPMIUs.
- d. PMMC will guide the SIPMIUs as per the ADB guidelines in following various statutory regulations pertaining to Environmental Clearances to be obtained from Gol / State Governments prior to the commencement of the projects once the DPRs have been submitted and approved.
- e. PMMC will scrutinize the environment safeguards during the project implementation and follow up on the monitoring regime as stipulated in the EMP of the concern project from time to time.
- f. PMMC will assist SIPMIUs in incorporating all the environment related mandatory clearances/ consent requirements in the bidding documents for the contractor once the DPRs have been approved.
- g. During the project implementation phase the PMMC's environmental specialist will visit the sites and jointly with the SIPMIUs undertaken environment and OH&S inspections / monitoring as per the norms of the ADB / Gol/ State Governments.
- h. PMMC will monitor environmental compliance as per the EMP for ADB approval and for the approval of all the other Government Departments once the work on various projects has started.
- i. Once operational, PMMC will review the quarterly progress report submitted by SIPMIU for the Tranche 1 projects. These reports will also be monitored and appropriate guidance will

be given to the SIPMIUs for proper compliance. Recommendations on environment related issues will be forwarded as and when required to ensure that targets and norms are met with and adhered to.

- j. PMMC will coordinate with the tri-party in ensuring that the monthly / quarterly reports contain the required details as per the ADB guidelines.

All of the above will be done for Tranche 2 and 3. For Tranche 1 items 5 to 7.

6. IT/MIS specialist:

The Scope of Work for the North Eastern State Investment Program is outlined in the Terms of Reference (TOR) is as follows:

- a. Review existing information and communication systems available in MoUD/States and make necessary recommendations for the establishment of IT-based monitoring/program communication systems.
- b. Together with the Disbursement Specialist, prepare IT-based systems in SIPMIUs/IPCC including means and methods to conduct cost accounting and tracking expenditure.
- c. Together with the Benefit Monitoring and Evaluation Specialist, prepare an IPPMS/MIS, IT based system to track Program Implementation at IPCC/SIPMIU level.
- d. If the above is not web-based, prepare an investment program webpage that enables access for upload to the different states concurrent.

Based on discussions with the MoUD and the NERUDP Program Manager, the following implementation methodology has been decided upon for implementation of IT/MIS activities:

- a. Review the JNNURM and NERUDP web-portal for existing MIS formats and information exchange i.e. Between MoUD & five cities and vice versa.
- b. Discuss the findings with Program Manager for his views and suggestions on:
 - New portal of NERUDP project as JNNURM under MoUD portal with domain name "**NERUDP.NIC.IN**"
 - Website to be Static or Dynamic. It is felt we should start with a static web-site and migrate to a dynamic web-site based on experience and the need for dynamic updating of content
 - Requirement of Hardware and other equipment's for setting up PMMC office.
 - Net Connection in PMMC office.
- c. A list of MIS formats required was discussed with Program Manager for his suggestions. This will also be checked against the monitoring requirements mentioned in the ADB agreements.
- d. Discuss with NIC technical team for registration of "NERUDP.NIC.IN" domain in NIC server and its connectivity and folder sharing with MoUD program manager and other concerned officers.
- e. Discuss the development of NERUDP.NIC.IN web-portal and its maintenance.

- f. Setup the IT infrastructure at PMMC in consultation with the PMMC Team Leader and MoUD Program Manager
- g. On approval of List, prepare MIS formats and submit to Program Manager for his review and suggestions.
- h. Review ADB Framework Financing Agreement and other ADB documents to familiarize with guidelines or requirements of ADB for preparation of financial MIS formats.
- i. Final MIS formats will be uploaded on the NERUDP web portals for MoUD, PMMC and all the five cities.
- j. Conduct training of the SIPMIUs in all the five cities to ensure efficient, timely and trouble free updating of the web site from time to time.
- k. Review that all the PIU and Consultants to populate the data as per formats and upload on the required information on web-portal as per the instructions given in the MIS Manual uploaded on the web-portal.
- l. Review all the MIS reports or Filled up formats sent by the cities PIU/consultants.
- m. Visit five cities to discuss there IT related training need, suggestions and problems regarding MIS formats/reports and any other IT related problems.
- n. Keep reviewing and improving the web-portal as required and as per the suggestions given by the MoUD and PMMC team.
- o. Incorporate further any other activity/comments that may occur in future to improve IT/MIS related component in MoUD and in Five Cities.

7. Benefit Monitoring & Evaluation Specialist:

- a. In order to carry out the impact assessment, a baseline study is required, which will form as the basis of comparison post completion of the works.
- b. So far, Aizwal is the only city where a few infrastructure installations have been done and work is in progress, while in the other 4 cities, the progress is still very much in the initial stages. Hence the baseline may be started from Aizwal.

Design of the baseline study

- The questionnaire for the baseline needs to be developed carefully so that it captures various parameters over which we wish to measure the impact.
- It is important to ensure that, women and socially excluded group's responses to water and sanitation issues is captured in the baseline. This necessarily needs to be incorporated in the questionnaire, if not already done. Women's concerns/suggestions need to be elicited from all the household interviews.
- Another section of the community, whose requirements need to find mention in the baseline, is of the physically challenged and elderly. This is particularly important since

their needs require special attention in designing and installation of water and sanitation facilities.

- Issues that the baseline should address are:
 - Availability of water,
 - Quality of water,
 - Extent to which piped water is available- how many hours and so on.
 - Efficiency- reduction in water leakage/seepage and distribution/network
 - Are people still defecating in the open?
 - What are the existing sanitation facilities present and how is it utilised and maintained?
 - What are the common hygiene practices adopted by the community?
 - Which section of the community is still unable to access safe and clean drinking water?
 - What are the water sources for drinking and other domestic use, e.g. for livestock, washing cleaning etc?
 - Any efforts made for conserving water?

Since Aizwal is the city where the project has progressed in terms of installing reservoirs, water chlorinators and household water meters, some level of initial monitoring is desirable to check out on what kind of benefits this can lead to and whether, it has already made some amount of difference on the following;

- a. Reduced the drudgery of water collection for women and children
- b. Better attendance of children, particularly girl children as they are saved from spending time collecting water
- c. Reduction in water-borne diseases results in;
 - Expenses on health minimised
 - Better attendance in schools
 - Cuts loss of person workdays

Role of Community participation in management of water and sanitation

This aspect is necessary if the project is to become sustainable. Therefore, how is the project introducing mechanisms to promote the active participation of all sections of the community?

To what extent are women and other vulnerable sections of the society represented in WSHC (Water, Sanitation and Health Committees) formed in the local governance structures?

To assess whether the project is actually listening to the voices of the community, it would be useful to have some field interactions with different stakeholders in the community.

8. Safeguards Specialist:

- a. To review with SIPMIUs the implementation of safeguard covenants of ADB and ensure they are complied with.
- b. To review the submission to be made by SIPMIUs to ADB in relation to various safeguards & assistant in proper documentation.

- c. Conduct audits jointly with SIPMIUs to ensure that affected persons during implementation of the contract are paid in time and provision is made for their temporary re-siting.

The overall status of the various safeguards is as follows:

Land Acquisition: Difficulties faced in land acquisition during Tranche-1 have been solved by using Govt. land as far as possible. For Tranche – 2 various safeguards as applicable will be followed.

Resettlement: All the States have committed that if Resettlement is required it will be carried out as per the Government's National policy, if required.

Safeguards: All states have confirmed that safeguards regarding Labour Law, occupational health and safety of Civil Works will be complied.

Social Issues: (a) Social issues like employing local people, equal payment for both men & women and non-deployment of child labour have been taken care of. (b) There is commitment to implement the gender action plan for the Investment Program as it applies to the Project.

9. Poverty & Community Development Expert:

Engagement of Community in the up gradation of civic infrastructure is very necessary for the success of the project.

An infrastructure project, which improves water and sanitation, will also have a positive impact on poverty and health of the poor. However, to get optimum mileage from the project the infrastructure must be maintained and used properly. Similarly, levying of user charges is important for the proper operation of the facilities and for this purpose also community engagement is very essential.

The specialist will work closely with the IDC consultants to bring about focus on community education, community empowerment and for bringing the poor into the mainstream and to include them into the various decision-making processes.

The key tasks of the Poverty & Community Development Specialist will therefore be:

- a. To assist the SIPMIU in design, preparation and management of the community awareness program. Lessons learnt will be transferred and shared between states as well.
- b. To develop a public relations framework for all states this can be followed uniformly.
- c. Assist the states in undertaking capacity building of the NGOs in the state who can then be trained for execution of small community based development projects
- d. To develop communication material and methods to educate and inform the community on various civic items related to water and sanitation
- e. To bring about gender sensitization in SIPMIUs and officers of the city's urban local bodies.
- f. To assist the SIPMIUs in undertaking the urban governance urban reforms and to sensitize them for rendering services to the poor including earmarking of funds.
- g. To develop indicators for measuring progress thru the benefit monitoring expert.