

## **TERMS OF REFERENCE FOR CONSULTANTS**

### **PROGRAM MANAGEMENT AND MONITORING CONSULTANTS (PMMC)**

#### **1. Background Information**

1. The Government of India is proposing to implement 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 will be an increased access to better urban services for the 1.5 million people expected to be living in the Investment Program cities by the 2014. To this end, the Project will (i) improve urban infrastructure and services, (ii) strengthen urban institutions for better service delivery build project management and implementation capacity.

2. The Project will comprise two parts: Part A will cover 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 will cover 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.

3. The national-level Executing Agency (NEA) for the Investment Program will be MOUD. An Investment Program Coordination Cell (IPCC) will be established in MOUD. IPCC will be responsible for overall management of the Investment Program in the five cities. It will be headed by an Investment Program Manager and consist of at least a three person-team of administrative/financial, technical, and social/environmental officials whose major tasks will include (i) monitoring overall Program implementation, (ii) reviewing the subprojects submitted by States in accordance with subproject selection criteria, and submission of the periodic financing requests to Department of Economic Affairs (DEA), (iii) consolidating payment /reimbursement requests, (iv) reporting to ADB on Investment Program implementation progress and other matters, (v) monitoring the overall reform program and compliance with loan covenants, and (vi) providing assistance to the States.

#### **2. Overall Scope of Work**

4. The consultant will support MOUD'S IPCC undertaking its management, monitoring and coordination functions. Support will be required for:

- (i) reviewing the subprojects submitted by States in accordance with subproject selection criteria, and submission of the periodic financing requests,
- (ii) monitoring overall Program implementation and compliance with the agreed implementation program and its timelines;
- (iii) reporting and supervision and
- (iv) consolidating payment /reimbursement requests.

5. The assignment will be structured in 3 parts or contracts, which will largely correspond to each of the tranches under implementation. The assignment has been structured to ensure that whilst designs may be completed in advance, supervision matches each of the tranche releases

under the investment program. The assignment is therefore structured in 3 tranches, which will be approved as tranches are requested by GOI and approved ADB.

### **3. Scope of Work for Part 1**

6. The scope of work under Part 1 will include the following activities:

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

- (i) 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;
- (ii) 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;
- (iii) 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 an IDC consultancy in Part 2 are met.

#### **Program Management and Monitoring**

- (i) 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, a web-based system may be most appropriate with MOUD/States access and selected sections for public disclosure;
- (ii) Prepare common guidelines for benefit monitoring and evaluation and train all State SIPMIUs accordingly
- (iii) Support the States in structuring and conducting baseline surveys;
- (iv) Prepare a common repository system within IPCC for secondary data across the program (with primary data being maintained at the State level);
- (v) Prepare and agree common frameworks for reporting (a) progress (physical and financial), (b) accounts, (c) procurement, (d) safeguards compliance and (e) covenant compliance, etc;
- (vi) Support with any other activities relating to management and monitoring of the program.

#### **Periodic Finance Request Preparation and Coordination**

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

### **4. Consultancy Service Requirements**

7. The team will comprise of 357 person months national consultants, as well as 144 person months of support staff time. Detail breakdown of the type of consultants, and individual inputs is given in Table 1. Specific tasks of the sub-teams and expertise required is given in the following paragraphs. The overall responsibility will be with the Team Leader. The indicative schedule of inputs is as follows:

**Table 1 – Program Management and Monitoring Consultants**

| No                          | Position                                     | Indicative Person Months |                   |                   |
|-----------------------------|--|--------------------------|-------------------|-------------------|
|                             |  | Part 1<br>2009-10        | Part 2<br>2011-12 | Part 3<br>2013-14 |
| <b>National Consultants</b> |  |                          |                   |                   |
| 01                          | Urban Specialist                             | 24                       | 24                | 24                |
| 01                          | Water / Wastewater Eng                       | 24                       | 24                | 24                |
| 01                          | Solid Waste Management Specialist            | 18                       | 18                | 12                |
| 01                          | Disbursement Specialist                      | 18                       | 18                | 18                |
| 01                          | Environmental Specialist                     | 9                        | 9                 | 9                 |
| 01                          | Social Safeguards Specialist                 | 9                        | 9                 | 9                 |
| 01                          | Poverty and Community Development Specialist | 7                        | 7                 | 7                 |
| 01                          | IT/MIS Expert                                | 6                        | 0                 | 0                 |
| 01                          | Benefit Monitoring and Evaluation Specialist | 12                       | 9                 | 9                 |
| 02                          | Support Staff                                | 48                       | 48                | 48                |
| 11                          | TOTAL  | 175                      | 166               | 160               |

## 5. Overview of the Design and Supervision Engineering Services

### 8. General tasks of the team include:

- (i) assist the Investment Program Manager with the day-to-day coordination, monitoring and approval activities;
- (ii) coordinate planning, control, and management of the work of a multidisciplinary team;
- (iii) develop overall Investment Program Performance Monitoring system (PIMMS) in the form of an MIS system, agree the most adequate platform and reporting system with the States, ensure its smooth transfer and monitor regular information inputs;
- (iv) monitor progress, evaluate results, and support the States in the identification and resolution of constraints;
- (v) provide long-term input to the development of project methodologies;
- (vi) confirm that demand is adequately determined in proposals as per existing Guidelines;
- (vii) oversee the quality of designs, selection of appropriate technologies, equipment and materials by the States;
- (viii) 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;
- (ix) assist/advice 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;
- (xii) review updated costs and economic and financial information (including rates of return) prepared by States for Tranches 2 and 3 prior to submission to ADB;
- (xiii) prepare and update overall program implementation schedule and resource requirements (preferably in Microsoft Project Management);
- (xiv) define quality control mechanisms and parameters applicable to all States and coordinate/discuss implementation with SIPMIUs;

- (xv) assist the IPCC in all coordination matters with ADB, including (a) submission of monthly and quarterly reports and (b) accounting and disbursement matters;
- (xvi) assist the IPCC during ADB missions;
- (xvii) assist the IPCC in the review and preparation of documentation for Tranches for ADB's approval;
- (xviii) 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.

## 6. Specific Terms of Reference

### *Team Leader/ Urban Specialist*

9. The Team Leader will need to be a professionally qualified graduate urban governance specialist with not less than fifteen years experience in (i) implementing reform agendas in areas relating to urban and utility governance (ii) and project design and management. The Team Leader shall be responsible for the review of program designs and urban reform program. He/she shall also be responsible for overseeing the timely implementation of the program, advising the Investment Program Manager accordingly. He will report directly to the IPCC Investment Program Manager. The specific tasks include:

- (i) Assist the Investment Program Manager and other staff in the day-to-day management of Project activities.
- (ii) Assist the Investment Program Manager and other staff in planning, control and management of the teams' work.
- (iii) Assist in developing implementation schedules and resource requirements.
- (iv) Assist in monitoring progress, evaluating results and identification and resolution of constraints.
- (v) Coordinate all implementation activities with various stakeholders, including all States and ADB.
- (vi) Coordinate with State monitoring teams and together with the Benefit Monitoring and Evaluation and MIS expert, develop the PPMS/MIS for the Investment Program.
- (vii) Prepare/coordinate the preparation of training programs for States in matters that relate to (a) program implementation, (b) tranche preparation and compliance and (c) urban and utility reform.
- (viii) Review documentation submitted by States for tranche approval consideration;
- (ix) Assist the IPCC and States in preparing/revising necessary documentation to get approvals/permits from DEA/ADB for tranche approval;
- (x) Assist the IPCC/SIPMIU incorporating IT-based systems in new offices, including means and methods to conduct cost accounting and tracking expenditure;
- (xi) Assist IPCC in the preparation of monthly/quarterly reports for submission to ADB (this will require close coordination with State Government);
- (xii) Directly review and guide States in the implementation of the reform agenda, including (a) the review and commenting on IDC reports, (b) review, and where necessary, preparation of documentation required by the States to meet loan covenants (action plans etc).

10. The *Disbursement Specialist* will:

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

11. The *Benefit and Monitoring Specialist* will:

- (i) Assist the SIPMIUs and agree a framework for common M&E procedures, indicators, and reports under the Investment Program;
- (ii) Assist the SIPMIUs' specialist identifying physical, institutional, and financial data to be analyzed to monitor sustainability and impact of project services;
- (iii) 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;
- (iv) 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);
- (v) Support the SIPMIUs in the preparation of surveys and collection of baselines and subsequent levels of information;
- (vi) Commission and review third-party independent assessments and discuss with IPCC/SIPMIUs/ADB;
- (vii) Support the preparation of the Investment Program Completion Reports (per Tranche and final).

12. The *IT/MIS Specialist* will:

- (i) Review information and communication systems available in MOUD/States and make necessary recommendations for the establishment of IT-based monitoring/program communication systems;

- (ii) Together with the Disbursement Specialist, prepare IT-based systems in SIPMIUs/IPCC, including means and methods to conduct cost accounting and tracking expenditure;
- (iii) Together with the Benefit Monitoring and Evaluation Specialist, prepare an IPPMS/MIS IT-based system to track Program Implementation at IPCC/SIPMIU level;
- (iv) If the above is not web-based, prepare an investment program webpage that enables access for upload to the different States.

13. The *Water/Wastewater Engineer* will:

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

14. The *Solid Waste Management Specialist* will:

- (i) Review detailed designs prepared by SIPMIUs relating to solid waste management prior to tranche approval ensure compliance with all applicable guidelines;
- (ii) Provide recommendations/guide SIPMIUs accordingly;
- (iii) 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;
- (iv) 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;
- (v) 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.
- (vi) Prepare sections of monthly/quarterly reports pertaining to overall implementation of solid waste management components.

15. The *Environmental Specialist* will:

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

- (ii) Review IEEs/EIAs and other environmental safeguards documents prepared by SIPMIUs in relation to the program prior to tranche approval ensure compliance with State/GOI/ADB guidelines;
- (iii) 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;
- (iv) 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);
- (v) Conduct audits jointly with SIPMIU's expert in matters pertaining to on-site Occupational Health and Safety;
- (vi) Prepare sections of monthly/quarterly reports pertaining to overall implementation of environmental requirements under the Investment Program.

16. The *Social Safeguards Specialist* will:

- (i) Prepare internal guidelines for the homogeneous preparation, implementation, monitoring and reporting of resettlement and indigenous peoples documents across all States;
- (ii) Review RPs/IPDPs and other social safeguards documents prepared by SIPMIUs in relation to the program prior to tranche approval ensure compliance with State/GOI/ADB guidelines;
- (iii) 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;
- (iv) 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);
- (v) 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;
- (vi) Prepare sections of monthly/quarterly reports pertaining to overall implementation of environmental requirements under the Investment Program.

17. The *Poverty and Community Development Specialist* will:

- (i) Assist SIPMIUs/IPPC in the design, preparation, planning and management of the community participation and awareness program;
- (ii) Prepare guidelines for the application of a consistent framework across all States;
- (iii) 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 address matters that may arise at local level;
- (iv) Prepare materials and training programs for SIPMIUs to apply through Information, Education and Communication (IEC) at State levels.
- (v) Together with the team leader, prepare a 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).

- (vi) With guidance from the Benefit Monitoring and Evaluation Specialist, select adequate indicators and ensure progress reporting in IPPMS and quarterly reports.

#### *Other Staff*

18. The consultant should also provide approximately 144 person-months of support staff (of which 48 person-months in Part 1 of the Program), dealing primarily with administrative matters (half of the total) and wherever deemed necessary, either junior accounting or engineering assistance services.

### **7. Schedule of Reporting and Submissions**

19. The consultant is required to submit, the following reports to the IPCC Investment Program Management in English. All reports should be submitted as required below and in an electronic and hard copy format.

- (i) Inception report in 5 copies plus a soft copy, one month after the issue of letter of commencement of work. This report should include the details pertaining to the implementation of both Part 1 and the entire program and should include specifically timelines for (a) setting a IPPM and associated MIS and data collection programs, (b) urban governance implementation program and (c) support to States in the preparation of Tranches 2 and 3.
- (ii) Mid term report (by Tranche and overall) – 5 copies plus a soft copy;
- (iii) Final Report – 5 copies plus a soft copy;
- (iv) Support the IPCC prepare the Investment Program Completion Report- 5 copies plus a soft copy;
- (v) Progress Reports in 5 copies plus a soft copy at monthly and quarterly intervals, summarizing financial situation of all work and contracts, progress achieved, difficulties encountered and issue to be resolved.

### **8. Offices and Equipment**

20. The Consultant shall be provided office space by MOUD. He/she will be solely responsible for the provision of all office equipment, supplies and communications and transport that he/she may require for the execution of the work at design stage.

21. After completion of project any items purchased under project shall be handed over to the IPCC.