



# Technical Assistance Report

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Project Number: 55285-001  
Knowledge and Support Technical Assistance (KSTA)  
December 2021

## India: Strengthening Regional Plan and Functional Plan Preparation in the National Capital Region

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Asian Development Bank



## CURRENCY EQUIVALENTS

(as of 8 November 2021)

Currency unit	–	Indian rupee/s (₹)
₹1.00	=	\$0.014
\$1.00	=	₹74.18

## ABBREVIATIONS

ADB	–	Asian Development Bank
km	–	kilometer
km <sup>2</sup>	–	square kilometer
NCR	–	National Capital Region
NCRPB	–	National Capital Region Planning Board
NCRRP	–	National Capital Region Regional Plan
NCT	–	National Capital Territory
OP	–	operational priority
TA	–	technical assistance

## NOTES

- (i) The fiscal year (FY) of the Government of India ends on 31 March. “FY” before a calendar year denotes the year in which the fiscal year ends, e.g., FY2022 ends on 31 March 2022.
- (ii) In this report, “\$” refers to United States dollars.

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## KNOWLEDGE AND SUPPORT TECHNICAL ASSISTANCE AT A GLANCE

<b>1. Basic Data</b>		<b>Project Number:</b> 55285-001
<b>Project Name</b>	Strengthening Regional Plan and Functional Plan Preparation in the National Capital Region	<b>Department/Division</b> SARD/INRM
<b>Nature of Activity Modality</b>	Capacity Development, Policy Advice Regular	<b>Executing Agency</b> Ministry of Housing and Urban Affairs
<b>Country</b>	India	
<b>2. Sector</b>		<b>ADB Financing (\$ million)</b>
✓ Water and other urban infrastructure and services	Urban policy, institutional and capacity development	0.60
Transport	Transport policies and institutional development	0.18
<b>Total</b>		<b>0.78</b>
<b>3. Operational Priorities</b>		<b>Climate Change Information</b>
✓ Addressing remaining poverty and reducing inequalities		GHG Reductions (tons per annum) 0.000
✓ Accelerating progress in gender equality		Climate Change impact on the Project Low
✓ Tackling climate change, building climate and disaster resilience, and enhancing environmental sustainability		<b>ADB Financing</b>
✓ Making cities more livable		Adaptation (\$ million) 0.00
✓ Strengthening governance and institutional capacity		Mitigation (\$ million) 0.00
		<b>Cofinancing</b>
		Adaptation (\$ million) 0.00
		Mitigation (\$ million) 0.00
<b>Sustainable Development Goals</b>		<b>Gender Equity and Mainstreaming</b>
SDG 11.2, 11.a		Some gender elements (SGE) ✓
		<b>Poverty Targeting</b>
		Geographic Targeting ✓
<b>4. Risk Categorization</b> Low		
<b>5. Safeguard Categorization</b> Safeguard Policy Statement does not apply		
<b>6. Financing</b>		
<b>Modality and Sources</b>		<b>Amount (\$ million)</b>
<b>ADB</b>		<b>0.78</b>
Knowledge and Support technical assistance: Technical Assistance Special Fund		0.78
<b>Cofinancing</b>		<b>0.00</b>
None		0.00
<b>Counterpart</b>		<b>0.00</b>
None		0.00
<b>Total</b>		<b>0.78</b>
<b>Currency of ADB Financing:</b> US Dollar		





## I. INTRODUCTION

1. This knowledge and support technical assistance (TA) for Strengthening Regional Plan and Functional Plan Preparation in the National Capital Region will support (i) strengthening of the regional plan and functional plan preparation in the National Capital Region (NCR), and (ii) institutional capacity building of the National Capital Region Planning Board (NCRPB). The TA provides a unique opportunity for the Asian Development Bank (ADB) to address the multisector and multidisciplinary development challenges facing the NCR. The TA is consistent with ADB's country partnership strategy for India, 2018–2022, which supports regionally balanced and inclusive growth; seeks to address worsening environmental degradation, natural resource depletion, and adverse climate change impacts; and supports gender equality and social inclusion.<sup>1</sup> The TA concept paper was approved on 21 September 2021.<sup>2</sup>

## II. ISSUES

2. **Background.** The mandate of the NCRPB is to systematically develop India's NCR.<sup>3</sup> The present NCR covers 55,083 square kilometers (km<sup>2</sup>) spanning 24 districts in three states (Haryana, Rajasthan, Uttar Pradesh) and the National Capital Territory (NCT)-Delhi. The NCR's population was 58.18 million in 2011, as per the Census of India.<sup>4</sup> Under the NCRPB Act, 1985, NCRPB notified the NCR Regional Plan 2021 (NCRRP 2021) in 2005 to guide and control development and land use in the NCR,<sup>5</sup> and has prepared five functional plans to date to elaborate one or more elements of the regional plan.<sup>6</sup>

3. NCT-Delhi and the three NCR states are of considerable importance to India's economy. On average, the NCR contributes about 21% of India's gross domestic product.<sup>7</sup> When all states and union territories are ranked by share of India's total gross domestic product, based on figures for fiscal year (FY) 2019, Uttar Pradesh ranks 4th, Rajasthan 7th, and Haryana 13th; NCT-Delhi, though small in size, ranks 10th. These figures demonstrate the relevance and importance of the region in India's economy.

4. Under the NCRPB Act, 1985, each participating state and the union territory is to prepare a plan for the NCR subregion within the state or union territory. Haryana, Rajasthan, and Uttar Pradesh notified their respective subregional plans for 2021. As to NCT-Delhi, the NCRPB decided that the Master Plan for Delhi 2021 should be treated as the subregional plan for NCT-Delhi, and directed that the Master Plan clearly bring out issues of interstate connectivity.<sup>8</sup> In addition, NCRPB has defined nine counter magnet areas.

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<sup>1</sup> ADB. 2017. [Country Partnership Strategy: India, 2018–2022—Accelerating Inclusive Economic Transformation](#). Manila.

<sup>2</sup> The TA first appeared in the business opportunities section of ADB's website on 22 September 2021.

<sup>3</sup> The NCRPB, a statutory body under the national Ministry of Housing and Urban Affairs (formerly the Ministry of Urban Development) was constituted under the National Capital Region Planning Board Act, 1985 (Act No. 2 of 1985) enacted by the Parliament with the concurrence of the Haryana, Rajasthan, and Uttar Pradesh legislatures.

<sup>4</sup> NCRPB. 2019. [Annual Reports & Annual Accounts \(2018–2019\)](#). New Delhi. The 58.18 million population in 2011 included newly added districts, which increased the area from about 34,144 km<sup>2</sup> to current 58,083 km<sup>2</sup>. The projected population for the year 2011 in the NCRRP-2021 (footnote 5), based on the 34,144 km<sup>2</sup> area, was 37.10 million.

<sup>5</sup> NCRPB. 2005. [NCR Regional Plan-2021](#).

<sup>6</sup> NCRPB. 2009. [Functional Plan on Transport for NCR-2032](#); NCRPB. 2009. [Functional Plan for Ground Water Recharge](#); NCRPB. 2016. [Functional Plan for Economic Development of NCR](#); NCRPB. 2016. [Functional Plan on Drainage for National Capital Region](#); NCRPB. 2019. [Functional Plan for Micro & Household Enterprises in NCR](#).

<sup>7</sup> Government of India, Ministry of Statistics and Programme. [State Domestic Product and other aggregates, 2011–2012 series. Data Series No. 17](#).

<sup>8</sup> Delhi Development Authority. 2007. [Master Plan for Delhi-2021 \(updated 31 December 2020\)](#); NCRPB. [Preparation of the Sub-Regional Plans](#).

5. **Rationale.** The NCR is expected to be the world's most populous capital region by 2030–2031.<sup>9</sup> There is a unique opportunity to undertake coordinated planning and informed investments in the NCR.<sup>10</sup> The NCR faces threats in terms of water security, drought, land degradation, a high carbon footprint, loss of vegetation and biodiversity, and severe air and water pollution; these arise from both human and natural factors. The NCR also faces significant development challenges related to urbanization; transport; water and waste management; logistics; economic corridors; infrastructure (for housing, education, health, safety, disaster management and sports) that meets future needs; and mainstreaming of gender and climate change impacts. A capacity-building framework for institutional strengthening that addresses both technical and policy aspects will be critical in addressing these challenges.

6. The NCRPB is in the process of preparing a regional plan for the year 2041 (draft NCRRP 2041), of which draft was presented to NCRPB and approved on 12 October 2021. Following incorporation of public views, the NCRRP 2041 is likely to be finalized by March 2022. The approved draft NCRRP 2041 proposes to change the boundary of the region to a contiguous circular region with a 100 kilometers (km) radius centered in Rajghat (Delhi). Beyond the 100 km radius, and up to the existing NCR boundary, the region will include all notified cities and towns, along with a 1-km corridor on either side of connecting expressways, national highways, state highways, and regional rapid transit systems. It places a key focus on multimodal connectivity across the NCR via air, road, rail, and inland waterway links. The priority areas for the draft NCRRP 2041 are urban regeneration; future-ready infrastructure; multimodal transport and logistics; industries; micro, small, and medium-sized enterprises; economic corridors; tourism; meetings, incentives, conventions and exhibitions, and leisure; farm incomes and the traditional economy; skill development and employment; smart and digital NCR; and business climate improvement. The plan's proposals—including transit-oriented development along major transport corridors; high floor area ratios (i.e., dense development); transferable development rights; vertical brownfield redevelopment; mixed land use in old parts of cities and smaller towns to promote medical, educational, and tourism hubs; and affordable rental housing—are transformative in nature, and will help meet the challenges that accompany rapid urbanization.

7. **ADB value addition.** In the NCR, ADB is supporting the Delhi–Meerut Regional Rapid Transit System Investment Project including its associated transit oriented development and wider urban planning.<sup>11</sup> In the context of draft NCRRP 2041, ADB has assisted a note to strengthen and expedite the preparation of functional plans (Appendix 3), which will focus on interregional and multidisciplinary aspects, while working within a sectoral structure. In addition to traditional functional plans (e.g., addressing transport, water, and the economy) it is equally important to develop plans covering education and health, resilience, safety, tourism, and industry.<sup>12</sup> Further, it is expected that the functional plans will provide a list of identified infrastructure projects. Overall, in line with the draft NCRRP 2041, the NCRPB intends to reorient the functional plans to address the following subject areas in an integrated manner: (i) industrial development and micro, small, and medium-sized enterprises; (ii) farm incomes and the traditional economy; (iii) economic growth corridors; (iv) business climate improvement; (v) multimodal transport and logistics; (vi)

<sup>9</sup> Oxford Economics. 2016. *Global Cities 2030: Executive Summary*. London (December); and United Nations. 2019. [World Urbanization Prospects](#). The 2018 Revision. New York.

<sup>10</sup> The goal is to guide development of a 'future-ready' NCR in a manner which is sustainable, inclusive, resilient, and smart NCR with citizen-centric service adopting innovation.

<sup>11</sup> ADB. 2020. [India: Delhi–Meerut Regional Rapid Transit System Investment Project](#).

<sup>12</sup> It is important that functional plans be holistic. For example, the current Transport Functional Plan focusses only on road and rail, not air or active transport. It also does not integrate land use planning and environmental considerations in the analysis; it would also be helpful to include separate freight and passenger transport analyses.

tourism—economic multiplier benefits; (vii) enabling infrastructure and services; (viii) skilling and employment synergy; (ix) the circular economy; and (x) smart and digital NCR.

8. In response to NCRPB's request to ADB for a technical assistance of \$1 million submitted through Department of Economic Affairs, ADB has provided assistance of \$225,000 from its Urban Climate Change Resilience Trust Fund under the Urban Financing Partnership Facility in July 2021.<sup>13</sup> This TA is advising on (i) finalization of the NCRPP 2041 by the NCRPB, and (ii) upstream activities for the preparation of functional plans.<sup>14</sup> The TA will broadly cover advisory support for (i) preparing and finalizing related functional plans; (ii) providing exposure to national and international good practices, innovative solutions using high-level technologies, and global experiences; and (iii) identifying further investment requirements based on recommendations in functional and subregional plans.<sup>15</sup>

9. The TA will provide advisory support to NCRPB to address multisector and multidisciplinary development challenges facing the NCR, and to address several cross-sectoral issues (such as air pollution and urban flooding) that affect the entire NCR. Agriculture practices (crop stubble-burning) prevalent in states surrounding NCR, inadequate public transport facilities, including other factors lead to, increased pollution. To achieve the goal of livable cities, preparation for disaster mitigation and climate change resilience also needs a cross-sectoral approach, for example to address the issue of flooding, because of heavy rainfall and its impact on transport infrastructure. A holistic approach to address this would incorporate land use and transport infrastructure planning, and climate-resilient design. It is expected that there will be a demonstration effect that leads to replication of development strategies in other urban areas in India, as well as potential downstream investment in socioeconomic infrastructure in the NCR.

10. Some plans may have uneven distribution of costs due to locational aspects, with a negative effect on areas that are not included. In addition, benefits from passenger transport depend on the ease of interchange and connection to economic and/or social nodal points. Therefore, to catalyze growth, land use and transport planning must be inclusive and citizen-centric, and take these aspects into account. As with metropolitan planning and governance, it is essential to enhance competitiveness and economic sustainability, as measured through prosperity. It is important to address implementation of the plans, including intergovernmental collaboration and effective governance systems, as well as financial sustainability, which is the most challenging aspect of metropolitan management.

11. The TA is closely aligned with the five operational priorities (OPs) of ADB's Strategy 2030, i.e., OP 1: addressing remaining poverty and reducing inequalities; OP 2: accelerating progress in gender equality; OP3: tackling climate change, building climate and disaster resilience, and enhancing environmental sustainability; OP 4: making cities more liveable; and OP 6: strengthening governance and institutional capacity.<sup>16</sup> Lessons from ADB's earlier successful TA, which supported the capacity development of the NCRPB in project preparation and regional planning, point to the need for the NCRPB to scale up alternative forms of infrastructure to attract private sector capital, given the high and growing demand for infrastructure in the NCR.<sup>17</sup>

<sup>13</sup> Financing partners: the Rockefeller Foundation and the governments of Switzerland and the United Kingdom.

<sup>14</sup> Upstream activities for preparation of FP includes strategic framework, methodology, and technical and advisory inputs for investment plan preparation in urban/ peri-urban/ rural or hinterland areas context, with advice/ guidance on cross-cutting themes such as, climate resilience, gender and social inclusion, citizen centric aspects, etc.

<sup>15</sup> ADB. 2021. [Concept Paper: Technical Assistance for Strengthening Regional Plan and Functional Plan Preparation in National Capital Region in India](#). Manila (Project Number: 55285-001) was approved on 21 September 2021.

<sup>16</sup> ADB. 2018. [Strategy 2030: Achieving a Prosperous, Inclusive, Resilient, and Sustainable Asia and the Pacific](#). Manila.

<sup>17</sup> ADB. 2013. [Technical Assistance Completion Report: Capacity Development of the National Capital Region Planning Board in India](#). Manila.

### III. THE TECHNICAL ASSISTANCE

#### A. Impact and Outcome

12. The TA is aligned with the following impact: sustainable and resilient planning strengthened for a future-ready NCR as a region of global excellence (footnote 5). The TA will have the following outcome: adoption of inclusive, citizen-centric, and resilient approaches in regional and functional planning for the NCR strengthened.<sup>18</sup> These approaches would ensure coverage of poor, vulnerable, and excluded groups and include other crosscutting themes such as gender equality and social inclusion, climate and disaster resilience, smart and digital NCR, citizen-centric aspects, citizen safety, and enabling infrastructure and services.

#### B. Outputs, Methods, and Activities

13. **Output 1: Preparation of select functional plans for the National Capital Region supported.** The TA will support the NCRPB in preparing selected functional plans for NCR to ensure enhanced quality of life and world-class citizen-centric facilities and services. The TA will provide advisory support for (i) preparation of three multidisciplinary functional plans for the selected themes as determined and endorsed by NCRPB, and (ii) identification of associated infrastructure and other investment projects for the NCR.<sup>19</sup> The TA will take a participatory approach in both planning and endorsement process.

14. **Output 2: Institutional capacity for supporting regional and functional planning for the National Capital Region enhanced.** The TA will improve the capacity of the NCRPB to strengthen the process and institutional mechanisms of preparing functional plans and sub-regional plans, and identify and prepare downstream infrastructure investment projects. Adopting a participatory approach, capacity building workshops and/or or webinars for relevant stakeholders will be conducted, and women will comprise 30% of the participants.<sup>20</sup> The TA will also document the features of the functional plans as a knowledge product.

15. The TA activities, through engagement of consulting services, proposes to follow and build on (i) the recommendations and directions stipulated in the notified NCRRP 2041, and (ii) guidance provided through the outputs of upstream support activities undertaken in the initial assistance (e.g., outlines of functional plans).

#### C. Cost and Financing

16. The TA is estimated to cost \$825,000, of which \$775,000 will be financed on a grant basis by ADB's Technical Assistance Special Fund (TASF-other sources). The key expenditure items are listed in Appendix 2. The government will provide in-kind contribution in the form of staff time, office space and facilities, etc.

<sup>18</sup> The design and monitoring framework is in Appendix 1.

<sup>19</sup> The NCRPB has identified three functional plans to be assisted under the TA: (i) transport, economic nodes and industrial corridor; (ii) water management and waste management; and (iii) climate and disaster resilience. Other five functional plans identified are: (i) Urban Regeneration and/or Rejuvenation, Slum Redevelopment and Planned Habitat and Housing Development for Low Income Households; (ii) Tourism; (iii) Education and Skilling for Employment; (iv) Health and Social Infrastructure; and (v) Smart and Digital NCR.

<sup>20</sup> Civil society (e.g., nongovernment organizations, resident welfare association, and planning and infrastructure think-tanks) and other partner agencies of the NCRPB will be invited to the workshops and/or webinars.

## D. Implementation Arrangements

17. The TA will be implemented from December 2021 to November 2023. ADB will administer the TA through the India Resident Mission, South Asia Department in consultation with the Government of India's Ministry of Housing and Urban Affairs, the NCRPB, and other partner agencies involved in the planning and development of the NCR. ADB's India Resident Mission will seek interdisciplinary advisory inputs within ADB to advise on the NCRPB planning elements, as well as for early recognition of elements that could be converted into investment projects.

18. Implementation arrangements are summarized in the table.

Implementation Arrangements			
Aspects	Arrangements		
Indicative implementation period	December 2021–November 2023		
Executing agency	Ministry of Housing and Urban Affairs, Government of India		
Implementing agency	NCRPB		
Consultants	To be selected and engaged by ADB		
	Firm: QCBS with 90:10 ratio <sup>a</sup>	1 national consulting firm 147 person-months	\$775,000
Disbursement	Disbursement of TA resources will follow ADB's <i>Technical Assistance Disbursement Handbook</i> (2020, as amended from time to time).		

ADB = Asian Development Bank, NCRPB = National Capital Region Planning Board, QCBS = quality- and cost-based selection, TA = technical assistance.

<sup>a</sup> 90% technical; 10% financial

Source: Asian Development Bank.

19. **Consulting services.** ADB will engage the consultants following the ADB Procurement Policy (2017, as amended from time to time) and its associated project administration instructions and/or staff instructions.<sup>21</sup> The national consulting firm will prepare the functional plans based on sector and elements as determined by the NCRPB. Based on indicative activities, a total of 147 person-months of consulting services is estimated to be provided by the consulting firm to be recruited using quality- and cost-based selection (ratio of 90:10) and full technical proposal.

## E. Governance

20. The NCRPB follows national laws on public financial management, while employees abide by the conditions of ethics in the national government's published gazettes. The regular statutory external audit is done by the Office of the Comptroller and Auditor General of India.

## IV. THE PRESIDENT'S DECISION

21. The President, acting under the authority delegated by the Board, has approved the provision of technical assistance not exceeding the equivalent of \$775,000 on a grant basis to the Government of India for Strengthening Regional Plan and Functional Plan Preparation in the National Capital Region, and hereby reports this action to the Board.

<sup>21</sup> Terms of Reference for Consultants (accessible from the list of linked documents in Appendix 4).

## DESIGN AND MONITORING FRAMEWORK

<b>Impact the TA is Aligned with</b> Sustainable and resilient planning strengthened for a future-ready NCR as a region of global excellence <sup>a</sup>			
<b>Results Chain</b>	<b>Performance Indicators</b>	<b>Data Sources and Reporting Mechanisms</b>	<b>Risks and Critical Assumptions</b>
<p><b>Outcome</b> Adoption of inclusive, citizen-centric, and resilient approaches in regional and functional planning for the NCR strengthened</p>	<p>By 2024: Three Functional plans (with investment plan) adopting inclusive, citizen-centric, and resilient approaches endorsed by NCRPB (2021 baseline: 0) (OP 4.2.1; 4.3.2)</p>	<p>Annual reports of the NCRPB NCRRP 2041</p> <p>Functional plans (by sector and element)</p> <p>Documentation of features of functional plan prepared (KPS)</p>	<p>R: Inadequate documentation of the planning process by NCR cities may constrain data availability.</p> <p>R: Relevance of plans may be diminished if implementation does not take effect within the life of the NCRRP 2041, respective functional plans, subregional plans, master plans, and downstream projects.</p> <p>R: A major unforeseen climate-related pandemic event may interrupt and/or prevent achievement of targets.</p>
<p><b>Outputs</b> 1. Preparation of select functional plans for the National Capital Region supported</p>	<p>By 2023: 1a. Three implementable functional plans, incorporating citizen-centric, gender equality, climate resilience, and social inclusiveness approaches completed (2021 baseline: 5)<sup>b</sup> (OP 4.2.1)</p> <p>1b. Identified investment projects for each functional plan developed (2021 baseline: 0) (OP 4.1.2)</p> <p>1c. Economic corridor studies for coordinated urban growth, multimodal transport and logistics planning, along with urban mobility plans for the NCR identified (2021 baseline: 0) (OP 4.1.1)</p>	<p>1a.–1c. Annual reports of the NCRPB, functional plans (by sector and/or element), documentation of features of functional plan prepared (KPS), consultant reports</p>	<p>R: Weak consensus building among relevant stakeholders on the functional plans in view of multiple states involved in the NCR.</p> <p>R: Stakeholders may not fully appreciate climate and disaster resilience principles, gender equality, and social inclusiveness approaches in planning strategies.</p>
<p>2. Institutional capacity for supporting regional and functional planning for the National Capital Region enhanced</p>	<p>By 2023: 2a. At least two knowledge products supporting cross-sectoral and/or integrated approaches in plan preparation completed and disseminated (2021 baseline: Not applicable) (OP 4.2.1)</p> <p>2b. At least 100 officials from the NCRPB, civil society and other partner agencies in the NCR, of which 30% are women, report increased knowledge and capacity on</p>	<p>2a.–2b. Documentation of features of functional plan prepared (KPS); workshops and/or webinars calendar; workshop and/or webinar reports including modules feedback, assessment, and list of participants; list of consultation meetings on citizen engagement, with minutes of meeting and record of discussion</p>	<p>R: Stakeholders may not fully appreciate climate and disaster resilience principles, gender equality, and social inclusiveness approaches in planning strategies.</p>

Results Chain	Performance Indicators	Data Sources and Reporting Mechanisms	Risks and Critical Assumptions
	sustainable, inclusive, and climate-resilient planning approaches (2021 baseline: Not applicable) (OP 2.3.1; 6.1.1; 6.2.4)		

<p><b>Key Activities with Milestones</b></p> <p><b>1. Preparation of select functional plans for the National Capital Region supported</b></p> <p>1.1 Undertake surveys, investigations, and sector studies (Q2 2022–Q3 2022).</p> <p>1.2 Identify economic corridors and growth nodes for the NCR (Q2 2022–Q3 2022).</p> <p>1.3 Complete three functional plans (by Q4 2022).</p> <p>1.4 Identify further infrastructure and other investment projects pipeline for the NCR (Q1 2023–November 2023).</p> <p><b>2. Institutional capacity for supporting regional and functional planning for the National Capital Region enhanced</b></p> <p>2.1 Develop workshop and/or webinar modules for target participants (by Q3 2022).</p> <p>2.2 Conduct workshop and/or webinar programs (by Q3 2022–November 2023).</p> <p>2.3 Disseminate knowledge product(s) (by Q2–November 2023).</p> <p><b>TA Management Activities</b></p> <p>Liaise with executing and implementing agencies, central agencies, and government officials of NCR states.</p> <p>Recruit consulting firm and manage consultant outputs related to identified knowledge products.</p> <p>Monitor knowledge commitments and evaluate functional plans and corridor studies.</p> <p><b>Inputs</b></p> <p>Asian Development Bank: \$775,000</p> <p>Note: The government will provide in-kind contribution in the form of staff time, office space and facilities, etc.</p>
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KPS = knowledge product and services, NCR = National Capital Region, NCRPB = National Capital Region Planning Board, NCRRP = National Capital Region Regional Plan, OP = operational priority, Q = quarter, R = risk, TA = technical assistance.

<sup>a</sup> NCRPB. 2019. [Annual Reports & Annual Accounts \(2018–2019\)](#). New Delhi.

<sup>b</sup> NCRPB. 2005. [NCR Regional Plan-2021](#). The five existing functional plans are: NCRPB. 2009. [Functional Plan on Transport for NCR-2032](#); NCRPB. 2009. [Functional Plan for Ground Water Recharge](#); NCRPB. 2016. [Functional Plan for Economic Development of NCR](#); NCRPB. 2016. [Functional Plan on Drainage for National Capital Region](#); NCRPB. 2019. [Functional Plan for Micro & Household Enterprises in NCR](#).

**Contribution to Strategy 2030 Operational Priorities:**

The expected values and methodological details for all OP indicators to which this TA will contribute results are detailed in Contribution to Strategy 2030 Operational Priorities (accessible from the list of linked documents in Appendix 4).

Source: Asian Development Bank.

**COST ESTIMATES AND FINANCING PLAN**  
(\$'000)

Item	Amount
<b>Asian Development Bank<sup>a</sup></b>	
1. Consultants	
a. Remuneration and per diem	
i. National consultants	541.9
b. Out-of-pocket expenditures	
i. National and local travel	30.1
ii. Office space rental and related facilities	9.5
iii. Surveys/studies	109.5
iv. Reports and communications	12.2
v. Miscellaneous administration and support costs <sup>b</sup>	21.3
vi. Publications <sup>c</sup>	1.4
vii. Workshops/webinars, seminars, forum, and conferences <sup>d</sup>	12.2
2. Contingencies	36.9
<b>Total</b>	<b>775.0</b>

Note: The technical assistance is estimated to cost \$825,000, of which contribution from the Asian Development Bank is presented in the table. The government will provide in-kind contribution in the form of staff time, office space and facilities, etc. The value of the government contribution is estimated to account for 6.1% of the total technical assistance cost.

<sup>a</sup> Financed by the Asian Development Bank's Technical Assistance Special Fund (TASF-other sources).

<sup>b</sup> Includes accommodation expenses (e.g., for a hotel or furnished guest house).

<sup>c</sup> Includes cost of printing of reports, publications, and other knowledge material to be used during workshops and seminars. Wherever possible, electronic versions of reports and publications will be used and printing will only be undertaken based on requests of various state government counterparts.

<sup>d</sup> Includes hiring of venues; resource persons; expenses related to travel and lodging of guests and speakers; and other relevant expenses relating to workshops/webinars; seminars, forum, and conferences.

Source: Asian Development Bank estimates.



## FUNCTIONAL PLANS

### A. Definition and Purpose

1. A functional plan (commonly referred to as sectoral plan) is prepared to elaborate one or more elements of the regional plan.<sup>1</sup> Functional plans are usually domain-centric technical plans that address status; identify issues; and formulate long-term sectoral vision, goals, and objectives, as well as indicators and targets consistent with the vision and framework of the regional plan.

2. In essence, regional plans determine what to achieve, while functional plans detail when and how to achieve the same. Thus, regional plans define policies, while functional plans convert them to implementable actions with locations and projects. It is imperative for a functional plan of one sector to have convergence with objectives that relate to functional plans of other sectors and the overall regional plan.

3. In the National Capital Region (NCR) context, functional plans provide proper guidance for participating states and the union territory after the regional plan has become operational.

### B. Scope and Time Frame

4. Functional plans often focus on interregional proposals, while working within the sectoral framework. The significance of traditional functional plans (such as for transport, water, and the economy) cannot be overstated, but equal importance must be given to development of plans related to areas such as education and health, resilience, safety, tourism, industry, and logistics, while capturing synergies and convergences.

5. Functional plans are to address a 20-year timeframe. Actions should be phased, realistic, and achievable in the proposed duration of the plan, with budgets that are appropriately arranged and allocated for the action programs.

6. Functional plans differ from detailed project reports (DPRs). Following the preparation of a functional plan and identification of a project (with pre-feasibility studies where necessary), DPRs are prepared for the identified projects by the respective project implementing agencies.

### C. Studies, Process and Analyses

7. Functional plans require intensive domain-appropriate studies to form recommendations, including through (i) data gathering via (a) user surveys, (b) gaining access to information from the government (e.g., statistics and maps) and other authoritative sources, and (c) onsite observations and readings; (ii) review of current policies, regulations, laws, and guidelines (including gender equality and social inclusion considerations); (iii) assessment of the status of past proposals and plans (as delineated in previous regional, subregional and functional plans); and (iv) inputs from experts and key stakeholders (through panels and interviews) to identify gaps in previous plans.

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<sup>1</sup> Government of India. 1985. [The National Capital Region Planning Board Act, 1985](#). New Delhi. The National Capital Region Planning Board Act, 1985 under Chapter I, Section 2 (d) defines “functional plan” as a plan prepared to elaborate one or more elements of the regional plan.

8. Studies must rest on a strong foundation of data gathering and analysis. Relevant departments in the constituent states have to be included in the process from the early stages to obtain their support. The engagement of citizen groups and civil society organizations with domain expertise (e.g., transport and gender) is equally important to ensure a consultative and inclusive process. In addition, gender equality and social inclusion should be an important crosscutting principle in all relevant diagnostics.

9. Depending upon the sector, specific analyses need to be carried out to arrive at appropriate and implementable solutions (at a functional plan level as well as for specific projects outlined within them, as appropriate). Such analyses include (i) an analysis of strengths, weaknesses, opportunities, and threats; (ii) statistical analyses; (iii) simulations; (iv) scenario building (to include climate risk and adaptation assessment); (v) business case development; (vi) impact assessments (e.g., social, environmental, climate, and disasters); and (vii) review with respect to internal, national, or international benchmarks and precedents.

10. As functional plans are developed, effort should be made to ensure they are agile, user-focused, smart, and integrated.

- (i) **Agile.** Test scenarios and different ways to address priorities. This is particularly pertinent with fast-changing technologies as well as climate vulnerabilities and pandemics such as the coronavirus disease (COVID-19).
- (ii) **User-focused.** Plans should reflect user inputs (from people and local organizations) and improve the lives of ordinary people.
- (iii) **Smart.** Plans should harness the private sector and existing organizational structures wherever possible, use smart policy and regulation to change behavior where possible, leverage the power of digital technologies and information and communication technology.
- (iv) **Integrated.** Plans should connect across sector-specific functional plans to espouse an integrated urban development approach.

#### D. Results, Recommendations, and Solutions

11. The studies and analyses help identify the current conditions and gaps to be addressed to achieve the desired end-state, as well as identifying actual projects and programs, and project implementing agencies that would be responsible for executing the projects. Functional plans enable this through by (i) identifying actions, including proposed changes, if any, in policies, programs, acts, regulations, rules, and government orders; and (ii) identifying relevant and viable projects through pre-feasibility studies.

12. The following activities will be undertaken subsequent to preparation of the functional plans:

- (i) implement the identified actions (including changes, if any, in policies, programs, acts, regulations, rules, and government orders); and
- (ii) implement the identified projects (including preparation of DPRs, engineering estimates and project costs, financing plans and financial closure, and institutional structures, followed by actual implementation).

## E. Analyses of the Current Functional Plans

13. The framework for NCR planning is robust and technically driven. The hierarchy and framework for plans—the umbrella regional plan, subregional plans to provide geographical focus, and the functional plans to address key cross-sectoral issues—are comprehensive.

14. Among the NCRRP 2021-related functional plans,<sup>2</sup> the functional plan for transport is a good example of a comprehensive approach (even while business case development and scenario testing are not detailed comprehensively), wherein a current-state analysis of the sector is provided; stakeholder surveys are conducted (e.g., bus surveys); sector priorities are established; economic and social costs and impacts are stated; and a staged program of actions is provided, supported by proposed institutional arrangements and financing methods. However, some development areas require attention:

- (i) The length of time needed to prepare and approve functional plans after completion of the regional plan exceeds 5 years in many cases, which leads to challenges for interdependent projects that simultaneously affect multiple sectors such as transport, economic development, drainage, and groundwater.
- (ii) Important analyses—such as alternative growth scenarios for urban regions, and the impacts and mitigation of climate change and pollution—require increased engagement. This should be reflected in the sector functional plans (para. 9).
- (iii) Projects are often not financially viable, both in terms of capital investment and operation and maintenance expenses. Addressing this may require changes in standards of services and/or the scale of projects, both of which could be politically challenging. Private sector investment options, such as transit-oriented development, land value capture-based financing, and public–private partnerships need to be considered.

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<sup>2</sup> NCRPB. 2005. [NCR Regional Plan-2021](#). The five existing functional plans are: NCRPB. 2009. [Functional Plan on Transport for NCR-2032](#); NCRPB. 2009. [Functional Plan for Ground Water Recharge](#); NCRPB. 2016. [Functional Plan for Economic Development of NCR](#); NCRPB. 2016. [Functional Plan on Drainage for National Capital Region](#); NCRPB. 2019. [Functional Plan for Micro & Household Enterprises in NCR](#).

**LIST OF LINKED DOCUMENTS**

<http://www.adb.org/Documents/LinkedDocs/?id=55285-001-TARreport>

1. Terms of Reference for Consultants
2. Contribution to Strategy 2030 Operational Priorities