

# Project Administration Manual

Project Number: 42267  
Loan Number(s): LXXXX  
September 2014

INDIA: Rajasthan Urban Sector Development  
Program

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### **Project Administration Manual Purpose and Process**

The project administration manual (PAM) describes the essential administrative and management requirements to implement the project on time, within budget, and in accordance with Government and Asian Development Bank (ADB) policies and procedures. The PAM should include references to all available templates and instructions either through linkages to relevant URLs or directly incorporated in the PAM.

The Local Self Government Department - Govt. of Rajasthan (LSGD-GOR), Rajasthan Urban Infrastructure Development Program (RUIDP) and the concerned Urban Local Bodies (ULBs) are wholly responsible for the implementation of ADB financed projects, as agreed jointly between the borrower and ADB, and in accordance with Government and ADB's policies and procedures. ADB staff is responsible to support implementation including compliance by LSGD-GOR, RUIDP and project ULBs of their obligations and responsibilities for project implementation in accordance with ADB's policies and procedures.

At Loan Negotiations the borrower and ADB have agreed to the PAM and ensured consistency with the Loan agreement. Such agreement is reflected in the minutes of the Loan Negotiations. In the event of any discrepancy or contradiction between the PAM and the Loan Agreement, the provisions of the Loan Agreement shall prevail.

After ADB Board approval of the project's report and recommendations of the President (RRP) changes in implementation arrangements are subject to agreement and approval pursuant to relevant Government and ADB administrative procedures (including the Project Administration Instructions) and upon such approval they will be subsequently incorporated in the PAM.

## Abbreviations

ADB	:	Asian Development Bank
ADF	:	Asian Development Fund
AFS	:	audited financial statements
CAG	:	Controller and Auditor General
CAPC	:	community awareness and participation plan consultants
CAPP	:	community awareness and participation plan
CPS	:	country partnership strategy
CQS	:	consultant qualification selection
DLB	:	Directorate of Local Bodies
DMA	:	district metering area
DMF	:	design and monitoring framework
EA	:	executing agency
EARF	:	environmental assessment and review framework
EIA	:	environmental impact assessment
EMP	:	environmental management plan
ESMS	:	environmental and social management system
FMA	:	Financial Management Assessment
GACAP	:	governance and anticorruption action plan
GESI	:	gender action social inclusion
GIS	:	geographic information system
GOI	:	Government of India
GOR	:	Government of Rajasthan
ICB	:	international competitive bidding
IEE	:	initial environmental examination
IPP	:	Indigenous Peoples plan
IPPF	:	Indigenous Peoples planning framework
LAR	:	land acquisition and resettlement
LIBOR	:	London interbank offered rate
LSGD	:	Local Self Government Department
M&E	:	monitoring and evaluation
ML	:	million liters
MLD	:	million liters per day
NCB	:	national competitive bidding
NGOs	:	nongovernment organizations
NRW	:	nonrevenue water
O&M	:	operation and maintenance
PAM	:	project administration manual
PHED	:	Public Health Engineering Department
PIU	:	Project Implementation Unit
PMDSC	:	Project Management and Design Supervision Consultants
PMU	:	Project Management Unit
PPMS	:	project performance management system
PPP	:	public-private partnership
QCBS	:	quality- and cost-based selection
RF	:	resettlement framework
RP	:	resettlement plan
RRP	:	Report and Recommendation of the President to the Board
RUIDP	:	Rajasthan Urban Infrastructure Development Project

SDP	:	Sector Development Program
SOE	:	statement of expenditure
SPS	:	Safeguard Policy Statement
SPRSS	:	summary poverty reduction and social strategy
SSTP	:	sewage treatment plant
TOR	:	terms of reference
ULB	:	urban local body

## I. PROJECT DESCRIPTION

### A. Project Rationale

1. The sector development program (SDP) will complement past and ongoing efforts of the Government of Rajasthan to improve water supply and wastewater services to the residents of the state of Rajasthan.<sup>1</sup> The SDP comprises (i) a program, financed by a policy-based loan, to support policy reforms, including institutional development and governance improvement in the urban sector in the state; and (ii) a project, financed by a project loan, to invest in the water distribution network in five project cities and sewerage systems in the six project cities.<sup>2</sup>

2. **Urban centers as engines of growth.** Urban centers have been driving economic growth in India, led by services and manufacturing, placing cities at the forefront of the country's economic transformation.<sup>3</sup> According to recent estimates, the urban sector contributes about 63% of India's gross domestic product (2009–2010); this share is projected to increase to 75% by 2021.<sup>4</sup> Similarly, while India's urban population currently constitutes about 31% of the total population, it is expected to grow to 43% by 2031.<sup>5</sup> Increasing urbanization has aggravated the already deficient urban infrastructure and poor services.<sup>6</sup> The country partnership strategy, 2013–2017 of the Asian Development Bank (ADB) for India identifies the urban infrastructure deficit as one of the most important binding constraints to inclusive growth.<sup>7</sup> The SDP fits well with the priorities identified in the strategy, and will address the country's urbanization challenge, including plans for urban renewal and development of smart cities. The proposed investment is included in ADB's country operations business plan, 2013–2015 for India.<sup>8</sup>

3. **Need for investments and reforms.** Rajasthan, with a population of 68.6 million and an area of 342,239 square kilometers, is the largest state in the country. About 25% of the population is urban, this percentage is increasing rapidly at 2.9% per annum. Since 2000, the state government has successfully implemented two multisector urban investment projects, which benefitted more than 5 million residents of six major cities under the first project and more than 2 million residents of 15 secondary cities under the second project.<sup>9</sup> Important lessons from the projects have been incorporated in the SDP design, including (i) consultations on project design, last-mile connectivity, cost recovery, user charges, and

<sup>1</sup> The Asian Development Bank (ADB) provided project preparatory technical assistance: ADB. 2011. *Technical Assistance to India for Preparing the Rajasthan Urban Development Program*. Manila (TA 8043-IND).

<sup>2</sup> The six project cities (with population per Census 2011) are Bhilwara (359,483), Sri Ganganagar (237,780), Pali (230,075), Tonk (165,294), Hanumangarh (150,958), and Jhunjhunu (118,473).

<sup>3</sup> Government of India, High Powered Expert Committee. 2011. *Report on Indian Urban Infrastructure and Services*. Delhi.

<sup>4</sup> Government of India, Planning Commission. 2007. *Report of the Steering Committee on Urbanization, Eleventh Five Year Plan (2007–2012)*. New Delhi.

<sup>5</sup> Government of India, Planning Commission. 2012. *Report of the Steering Committee on Urbanization, Twelfth Five Year Plan (2012–2017)*. New Delhi.

<sup>6</sup> Only 64% of India's urban population has individual water connections; water supply is mostly intermittent ranging from 1 to 6 hours a day; nonrevenue water accounts for about 50% of production; most cities do not have functional water meters; only 5% of cities have any kind of sewerage system; 18% of urban households defecate in the open; and only 21% of wastewater generated is treated (footnote 5).

<sup>7</sup> ADB. 2013. *Country Partnership Strategy: India, 2013–2017*. Manila.

<sup>8</sup> ADB. 2013. *Country Operations Business Plan: India, 2013–2015*. Manila.

<sup>9</sup> ADB. 1998. *Report and Recommendation of the President to the Board of Directors: Proposed Loan to India for the Rajasthan Urban Infrastructure Development Project*. Manila; ADB. 2007. *Report and Recommendation of the President to the Board of Directors: Proposed Multitranches Financing Facility to India for the Rajasthan Urban Sector Development Investment Program*. Manila. The two projects focused on the urban sector with several subsectors, such as water supply, wastewater, urban transport, drainage, solid waste management, fire fighting, and heritage. The six cities proposed under the SDP were not covered in these two earlier projects.

timely induction and capacity building of counterpart staff are crucial for sustainability; (ii) contracts should be grouped into fewer packages with long-term operation and maintenance (O&M) provisions; and (iii) advance actions for procurement should be undertaken to enhance project readiness. Another important lesson, reiterated in the review of the country partnership strategy, 2009–2012, is that investments have to be coupled with sustainable and vibrant institutions and effective governance systems to sustain and maximize their impacts.<sup>10</sup> The SDP will support the state government's reform agenda, and if implemented successfully, may play a demonstrative role for urban sector operations in India.

4. **Need for sector development program.** The SDP modality will support both the infrastructure needs and the state government's reform program, which focuses on strengthening institutions and adjusting the policy, institutional, legal, financial, and regulatory framework. The policy-based loan will provide financial support to the state government to implement reforms that will unlock the potential of various stakeholders, including municipal bodies, individual households, and private sector investors. The amount of the policy-based loan is based on the development financing needs of the state's urban sector, and the financial support required for reforms.<sup>11</sup> The project loan will support catalytic investments that enhance productivity and leverage finances from various other sources in the project cities. The project will also introduce innovations in water supply and wastewater management, such as continuous water supply, and long-term O&M embedded construction contracts for nonrevenue water (NRW) reduction and sustainability of operations.<sup>12</sup>

## B. Impact, Outcome and Outputs

5. The impact of the SDP will be sustainable urban development in Rajasthan. The outcome will be improved urban service delivery in Rajasthan. The SDP will have five outputs: Outputs 1 and 2 will be supported by the policy-based loan, while Outputs 3, 4, and 5 will be supported by the project loan. The project will invest in water supply in five project cities and wastewater sectors in six project cities, each having a population of more than 100,000. The six project cities were selected based on consideration of the cities' lack of basic services at present and their willingness to undertake reforms and institutional restructuring. The outputs will be:

- (i) **Output 1: Urban institutions strengthened.** Activities include (i) creation of a sustainable corporatized state institution for urban development; (ii) corporatization of water supply and wastewater operations in the capital city of Jaipur; (iii) implementation of long-term performance-based management contracts in at least six cities; (iv) delegation of water supply and sewerage

<sup>10</sup> Water supply and wastewater operations are handled by the Public Health Engineering Department throughout the state, with overlap in responsibilities with municipalities, development authorities, and housing boards in some areas. Recently, the Government of Rajasthan delegated operations to municipalities; however, the decision is not yet operationalized.

<sup>11</sup> Details are included in the Sector Assessment (Summary): Water and Other Urban Infrastructure and Services and Economic Analysis (accessible from the list of linked documents in Appendix 2).

<sup>12</sup> The current status of water supply in the six project cities: average duration varies from 1 hour every 3 days to 2 hours every day; coverage varies from 80% to 100%; production varies from 69 to 136 liters per capita per day; and household service connections coverage varies from 57% to 96%. NRW ranges from 36% to 76% due to poor quality networks, unauthorized connections, ineffective metering, and poor revenue realization. There is no piped sewerage system, and septic tank coverage varies from 65% to 99%. Tariffs are very low (for example, the rate for up to 15,000 liters consumption for a domestic consumer is Rs1.56 per 1,000 liters) and covers around 20% of the O&M cost of water supply. Sewerage charge is collected as a percentage of the water charge ranging from 20% to 33%.



functions, along with adequate resources and tariff-setting authority, to municipal bodies; and (v) rationalization of urban property tax for municipal bodies.

- (ii) **Output 2: Urban governance improved.** Activities include (i) formulation and approval of a long-term urban development policy; (ii) development of a human resource development plan for urban governance, including establishment of a state training institute; (iii) implementation of water sector reforms such as reduction of NRW, 24-hour water supply, individual household connections to residents in slum areas, benchmarking of urban services, and development of geographic information systems (GIS) and customer databases, and water and wastewater quality monitoring systems; (iv) support for total sanitation and solid waste management; (v) support for linkages between sanitation and health; and (vi) rationalization of water and sewerage tariffs for O&M cost recovery, and improvement of collection efficiency.
- (iii) **Output 3: Water supply system rehabilitated and expanded in five project cities.** Activities include (i) distribution network improvement, including digital network systems, on a district metering area basis for NRW reduction; (ii) provision of individual property connections to residents, especially the poor and households headed by women; (iii) provision of 24-hour water supply; and (iv) improvement of water supply efficiency by reducing NRW and energy losses of electromechanical machinery.
- (iv) **Output 4: Wastewater system rehabilitated and expanded in six project cities.** Activities include (i) rehabilitation and expansion of the sewerage network, including separation of sanitary sewers from drains, and property connections; (ii) modernization and expansion of wastewater treatment plants; (iii) use of wastewater as a resource, including recycling of wastewater, and energy generation through sludge digestion and gasification; (iv) septage management and decentralized wastewater treatment systems in suitable areas; and (v) total sanitation and solid waste management.
- (v) **Output 5: Capacity building and efficient program management implemented.** Activities include (i) capacity building of urban institutions and municipal bodies, (ii) project management, (iii) implementation of a gender equality and social inclusion action plan, and (iv) implementation of a community awareness and participation plan.

6. The policy matrix for the program loan is in Appendix 1. The investment component will be utilized for investing in water supply in five project cities and wastewater sectors in six project cities (Pali, Tonk, Hanumangarh, Sri Ganganagar, Jhunjhunu, and Bhilwara), each having a population of more than 100,000, and identified considering the lack of basic services at present and willingness to undertake reforms and institutional restructuring. The design and monitoring framework is in Appendix 2.

### C. Detailed Components of Outputs 3 & 4

7. **Water Supply.** The water production requirement in the five (5) project cities<sup>13</sup> were calculated based on 135 liters per capita per day (lpcd) water supply level and the total

<sup>13</sup> Five cities, not including Bilwara, where no water supply investment is proposed.

unaccounted for water at 15%.<sup>14</sup> The storage required was estimated based on an 8-hour average demand set by Central Public Health and Environmental Engineering Organization in the next 15 years. Taking these requirements into consideration, the Table 1 below shows the water supply and storage gap based on available resources and ongoing schemes. Table 2 shows the details of existing distribution system such as network length and number of service connections compared with the existing road length and house service connections.

**Table 1. Water Supply Requirement vs. Availability**

Town	Requirement		Available		Gap	
	Water Production (MLD)	Storage (ML)	Water Production (MLD)	Storage (ML)	Water Production (MLD)	Storage (ML)
Pali	49.47	16.49	45.53	19.38	3.94	-2.89
Tonk	34.70	11.57	0	9.35	**	**
Jhunjhunu	24.73	8.24	0	7.8	**	**
Hanumangarh	31.86	10.62	12	6.55	19.86	4.07
Ganga Nagar	53.43	17.81	42	19.97	11.43	-2.16
<b>Total</b>	<b>194.20</b>	<b>64.73</b>	<b>99.53</b>	<b>63.05</b>	<b>35.23</b>	<b>4.07</b>

MLD = million liters per day, ML = million liters

\*\* Sufficient Capacities Planned

**Table 2. Water Supply Distribution System Requirements**

Town	Number of Household	HSC Existing	HSC Required	Road Length	Existing Pipe Length	Pipe Length Retained	Distribution line Required	Provision for Feeders etc.	Total Pipe Required	Pipe Line Replaced	New Pipe Line
Pali	49,946	31,546	18,400	685	553	33	652	65	717	520	164
Tonk	35,535	16,700	18,835	363	253	5	358	36	394	248	141
Jhunjhunu	25,530	19,208	6,322	394	265	9	385	39	424	256	159
Hanumangarh	32,749	28,018	4,731	346	248	13	333	33	366	235	118
Ganga Nagar	52,246	35,406	16,840	650	673	5	645	65	710	668	37
<b>Total</b>	<b>196,007</b>	<b>130,878</b>	<b>65,129</b>	<b>2,438</b>	<b>1,992</b>	<b>65</b>	<b>2,373</b>	<b>238</b>	<b>2,611</b>	<b>1,927</b>	<b>619</b>

HSC = household connection

8. As per 2011 census, the cities have 196,007 households and the total number of domestic connections is 130,878. Of the total 2,438 km of road network in the cities, 1,992 km (82%) is covered by piped network. Of this, 1,927 km consists of old pipe networks that need replacement due to leakage level. A total of 65 km are in good condition and can continue to serve for longer years. There is a need to construct 619 km of new pipelines to provide 65,129 new connections.

9. Presently, the cities draw around 137 million liters per day (MLD) of water from both surface and underground water sources. The water supply frequency varies from once daily to every 3 days for a duration of about 1 to 2 hours. With a present population of 980,033 and

<sup>14</sup> Standard set by the Ministry of Urban Development.

projected population of 1,250,857 in 2031 and 1,587,154 in 2046, the cities' water demand will increase to 194 MLD and 246 MLD, respectively. To address this, the Public Health Engineering Department (PHED) is implementing water supply schemes in Bilwara and also planning some investments in Tonk and Jhunjunu. There were still some gaps in Pali, Hanumangarh and Ganga Nagar.

10. With the investments planned by PHED, along with the additional requirements, there is still a need to improve service delivery and control the losses. The steps suggested include replacement of old pipes; redefining the supply zones and developing district metered areas (DMA); replacement of existing consumer connections by leak proof connections; providing smart control mechanisms and flow meters; putting in place an active leakage control system. This shall be accompanied by ensuring 100% metering using automatic meter reading (AMR) enabled consumer meters and a state of art billing and collection system.

11. **Sewerage.** None of the project cities so far has a sewerage system in operation. With around 185,444 household toilets and minimal septic tanks, most of the sewage finds its way to nearby drains. GOR has decided to take up sewerage schemes in all its urban centers and implementations of schemes are ongoing in many towns. Under the two previous ADB-assisted programs, sewerage schemes were taken up in selected towns.

12. In the six (6) project cities, PHED prepared detailed project reports for providing 2,163 km sewer lines and 133 MLD sewage treatment plants. Based on availability of funds, laying of 400 km sewer and construction of 84 MLD STP are in progress. City wise break up is given in Table 3 below.

**Table 3: Sewerage Scenario**

Town	No. of Households	Road Length	STP Required 70% 2016	Ongoing Sewer Work	Sewer Length in Prepared DPR	Ongoing STP MLD	STP Capacity in Prepared DPR MLD	Sewer Required for 70% Coverage	Sewer Connections Required	STP Required
Pali	49,946	685	19.82	102	331	7.5	7.5	378	34,962	12.00
Tonk	35,535	363	14.10	0	271	0	19.1	254	24,875	13.00
Jhunjunu	25,530	394	10.13	105	166	8.5	8.5	171	17,871	-
Bilwara	74,184	783	29.44	0	715	20	50	558	51,929	-
Hanumangarh	32,749	346	13.00	155	346	12.5	12.5	87	22,924	-
Ganga Nagar	52,246	650	20.74	38	334	35	35	417	36,572	-
<b>Total</b>	<b>270,190</b>	<b>3,221</b>	<b>107</b>	<b>400</b>	<b>2,163</b>	<b>84</b>	<b>133</b>	<b>1,865</b>	<b>189,133</b>	<b>25.0</b>

DPR= detailed project report, MLD = million liters per day, STP = sewage treatment plant,

13. Under the SDP, it is proposed to lay 1,865 km sewer lines and 25 MLD sewage treatment plant (STP). With the ongoing STP construction, an addition of 25 MLD coverage will increase to 70% catering to already developed areas and would ensure treatment of all sewage collected at present. It is also proposed to provide 189,133 house sewer connections. The two proposed STPs will adopt suitable technologies to ensure maximum energy efficiency along with power generation. The technology adopted shall be suitable for enabling reuse of treated water fitting cities profile and requirements.

## II. IMPLEMENTATION PLANS

### A. Project Readiness Activities

Activity	2014			2015	
	Q2	Q3	Q4	Q1	Q2
Loan fact-finding	30-Apr to 13-May				
Consultants recruitment process initiated		20-Jul			
Loan negotiations		11-12 Sep			
ADB Board approval			24-Oct		
Topographical and soil investigations for first year contracts completed			31-Oct		
Bidding documents for first civil works contract prepared and advertised			31-Oct		
Necessary environmental clearances from government obtained			15-Dec		
Loan signing				30-Jan	
Loan effectiveness					30-Apr
Project management, design, and supervision consultant (PMDSC) mobilized					30-Apr
First civil works contract awarded					30-Jun
Community Awareness and Participation Consultant and City NGOs mobilized					30-Jun

## B. Overall Implementation Plan

### 1. Activities and Timelines:

Activities	2014	2015				2016				2017				2018				2019
	Q3/ Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1
<b><u>Program Loan Components</u></b>																		
Corporatization of RUIDP and Jaipur city utility																		
Rationalization of property tax in state to include all properties																		
Implement use of billing and collection system																		
Delegate water supply operations to five municipal bodies																		
Commence water supply operations in five municipal bodies																		
Submit an urban development policy, a human resource development plan, an NRW management policy, a 24-hour water supply policy, and a water and sewerage connections policy																		
Develop benchmarking system and GIS																		
Develop computerization of consumer databases																		
Adopt water and wastewater quality monitoring system																		
<b><u>Project Loan Components</u></b>																		
Establish PMU with necessary staff																		
Initiate capacity building activities, especially training of PMU staff																		
Mobilize PMDSC, CAPC and City NGOs																		
Award all water supply and wastewater contracts																		
Complete the civil works to start 24-hour water supply																		
Complete energy and environmental audits																		
Finalize safety manual with GESI principles																		
Complete all constructions and commission all water supply and wastewater facilities																		
Operationalize environmental monitoring system																		
Complete NRW assessment in five project cities																		



### III. PROJECT MANAGEMENT ARRANGEMENTS

14. The implementation arrangements are summarized in the table below and described in detail in the succeeding sections. The State of Rajasthan acting through its Local Self Government Department (LSGD) will be the executing agency and the Rajasthan Urban Infrastructure Development Project (RUIDP) will be the implementing agency. LSGD will be responsible for overall strategic planning, guidance, and management of the SDP, and for ensuring compliance with the tranche release conditions and loan covenants. A policy support unit will be established in LSGD to support the government with implementation of the tranche release policy actions under the policy-based loan. RUIDP will be responsible for planning, implementation, monitoring and supervision, and coordination of all activities under the SDP. RUIDP will recruit consulting firms—project management, design, and supervision consultant (which will also work as the engineer for administration of civil works contracts), and community awareness and participation consultant—using the quality- and cost-based selection method with a quality–cost ratio of 90:10 in accordance with ADB’s Guidelines on the Use of Consultants (2013, as amended from time to time). Procurement of civil works and goods will be carried out in accordance with ADB’s Procurement Guidelines (2013, as amended from time to time). Advance contracting and retroactive financing under the SDP have been approved by the management.

#### Implementation Arrangements

Aspects	Arrangements		
Implementation period	March 2015-December 2019		
Estimated completion date	31 December 2019		
Project management			
(i) Oversight body	Empowered Committee: Minister, UDH (Chair), Additional Chief Secretary/ Principal Secretary, UDH; Secretary, LSGD; Secretary, Finance; Principal Secretary, PHED; Secretary, PWD; Secretary, Plan; Director, Local Bodies (members); Project Director, RUIDP (member secretary).		
(ii) Executing agency	State of Rajasthan through its LSGD		
(iii) Implementing agency	RUIDP		
Procurement	International competitive bidding	4 contracts (works)	More than \$40,000,000 for works, more than \$1,000,000 for goods
	National competitive bidding	6 contracts (works)	\$40,000,000 or less for works, \$1,000,000 or less for goods
Consulting services	PMDSC (QCBS)	810 person-months	\$11.14 million
	CAPC (QCBS)	216 person-months	\$1.00 million
	City NGOs (CQS)	432 person-months	\$0.90 million
	SFPTF Consultants	60 person-months	\$0.50 million
Retroactive financing and/or advance contracting	Retroactive financing will be up to 20% of the ADB project loan and grant amount for eligible expenditures incurred prior to loan effectiveness but not earlier than 12 months prior to the signing of the project loan agreement. Advance recruitment of PMDSC has been approved.		
Disbursement	The loan proceeds will be disbursed in accordance with ADB's <i>Loan Disbursement Handbook</i> (2012, as amended from time to time) and detailed arrangements agreed upon between the GOI and ADB.		

ADB = Asian Development Bank; CAPC = community awareness and participation consultant; CQS = consultant qualifications selection; GOI = Government of India; LSGD = Local Self Government Department; NGO = nongovernmental organization; PHED = Public Health Engineering Department; PMDSC = project management, design, supervision, and management consultant; PWD = Public Works Department; QCBS = quality- and cost-based selection; RUIDP = Rajasthan Urban Infrastructure Development Project; and UDH = Urban Development and Housing Department.

Source: Asian Development Bank.

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**A. Project Implementation Organizations – Roles and Responsibilities**


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<b>Project implementation organizations</b>	<b>Management Roles and Responsibilities</b>
Executing Agency	<p>Provides overall strategic planning, guidance and management support to the project.</p> <p>Coordinates with other ministries on project issues under their jurisdiction</p> <p>Ensures adequate counterpart funding</p> <p>Supports the overall project implementation</p>
Project Empowered Committee	<p>Meets at least once every quarter or as required to review the progress of the project and resolve project-related issues pertaining to other departments</p> <p>Makes key policy level decisions to facilitate project implementation</p> <p>Provides necessary support on interdepartmental coordination to PIUs for smooth project implementation</p>
Project Management Unit (PMU)	<p>Plans, manages and implements all project activities on a day-to-day basis</p> <p>Engages PMDSC</p> <p>Engages CAPC and City NGOs</p> <p>Acts as the point of contact with ADB on all project implementation matters</p> <p>Carry out procurement</p> <p>Leads, oversees and manages the design and bidding process for civil works contracts, signs and administers the contracts, and supervises the civil works with support from PMDSC</p> <p>Ensures and monitors compliance of loan covenants, including safeguards</p> <p>Submits progress reports, monitoring reports, withdrawal applications, statement of expenditure and other project related information in a timely manner to ADB and the government</p> <p>Submits all audited project financial statements and financial statements pertaining to the project no later than 6 months after the close of each fiscal year</p>
Project Implementing Units (PIUs)	<p>Supervise works with the support of PMDSC</p> <p>Process contractors' claims</p> <p>Send periodic reports to PMU</p>
Asian Development Bank (ADB)	<p>Supervises the overall project implementation</p> <p>Reviews and issues no-objection to procurement and disbursement documents</p>

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## B. Key Persons Involved in Implementation

### Executing Agency

Local Self Government  
Department – GOR

Mr. Ashok Jain, IAS  
Additional Chief Secretary, UDH & LSG  
+91 141 2227061  
Local Self Government Department,  
Secretariat, Jaipur, Rajasthan, India

### PMU

Rajasthan Urban Infrastructure  
Development Project (RUIDP)

Mr. Sudhansh Pant  
Project Director  
AVS Building, JLN Marg, Jawahar Circle,  
Malviya Nagar, Jaipur-17.  
mail.ruidp@rajasthan.gov.in

### ADB

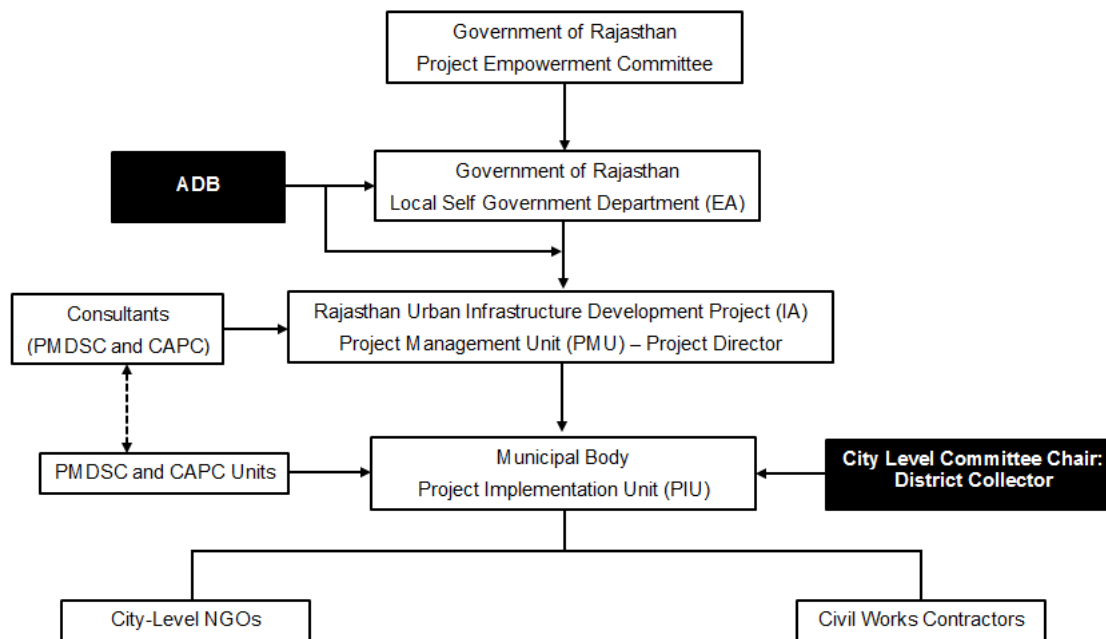
South Asia  
Urban Development and  
Water Division (SAUW)

Mr. Fei Yue  
Director  
+63 2 632 6505  
fyue@adb.org

Mission Leader

Mr. Manoj Sharma  
Senior Urban Development Specialist, SAUW  
Telephone No. +63 2 632 6505  
msharma@adb.org

## C. Project Organization Structure



#### IV. COSTS AND FINANCING

15. The SDP is estimated to cost \$612.0 million (Table 1). The policy-based loan of \$250 million, with two tranches of \$125 million each, will be fully financed by ADB. Considering the investment requirement in the urban sector in the state, an amount of \$250 million for the policy-based loan is considered appropriate. The project is estimated to cost \$362.0 million, of which ADB will finance \$250 million and Sanitation Financing Partnership Trust Fund (SFPTF) under the Water Financing Partnership Facility (WFPF) will provide \$2 million as a grant for innovative sanitation.

**Table 1: Project Investment Plan**  
(\$ million)

Item	Amount <sup>a</sup>
<b>A. Base Cost <sup>b</sup></b>	
1. Water supply system rehabilitated and expanded in five project cities	97.00
2. Wastewater system rehabilitated and expanded in six project cities	209.90
3. Capacity building and efficient project management	22.54
<b>Subtotal (A)</b>	<b>329.44</b>
<b>B. Contingencies <sup>c</sup></b>	<b>25.43</b>
<b>C. Financing Charges During Implementation <sup>d</sup></b>	<b>7.13</b>
<b>Total (A+B+C)</b>	<b>362.00</b>

<sup>a</sup> Includes taxes and duties of \$9.75 million to be financed from government resources.

<sup>b</sup> In mid-2014 prices; Exchange rate of \$1 = Rs60.4 is used.

<sup>c</sup> Physical contingencies are computed at 7.5% for civil works and equipment. Price contingencies are computed at 1%-1.4% on foreign exchange costs and 6% - 8.5% on local currency costs; includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate. Contingencies are low as unit costs are based on current market rates, and expenditures are mostly in local currency, which reduces exchange rate risks.

<sup>d</sup> Includes interest and commitment charges. Interest during construction for ADB loan has been computed at the 5-year forward London interbank offered rate plus a spread of 0.6%. Commitment charges for an ADB loan are 0.15% per year to be charged on the undisbursed loan amount.

Source: Asian Development Bank estimates.

16. The Government of India has requested a loan of \$250 million from ADB's ordinary capital resources and a grant of \$2 million from the SFPTF to help finance the project, which it will relend to the Government of Rajasthan under the same terms as the original loan and the grant. The loan will have a 25-year term, including a grace period of 5 years, an annual interest rate determined in accordance with ADB's London interbank offered rate (LIBOR)-based lending facility,<sup>15</sup> a commitment charge of 0.15% per year (interest and other charges during construction as applicable to be capitalized in the loan), and such other terms and conditions set forth in the draft loan, grant, and project agreements. The loan and the grant will finance 69.6% of the project cost, including part of the civil works and consulting costs (outputs 3, 4, and 5). Any incidental local transport or insurance costs will be eligible under the loan. The Government of Rajasthan will contribute \$110 million, or 30.4%, of the total project cost, to finance taxes and duties, resettlement costs, financial charges during implementation, and part of the civil works and equipment; and will provide the loan proceeds and counterpart funds to the implementing agency as a grant. The Rajasthan government will transfer the assets created under the project to the operating agencies as a grant. The Rajasthan government will assume the foreign exchange risk. The financing plan is in Table 2.

<sup>15</sup> The interest includes a maturity premium of 10 basis points. This is based on the loan terms and the government's choice of repayment option and dates.

**Table 2: Financing Plan**

<b>Source</b>	<b>Amount (\$ million)</b>	<b>Share of Total (%)</b>
Asian Development Bank		
Ordinary capital resources (program loan)	250.0	40.9
Ordinary capital resources (project loan)	250.0	40.9
Sanitation Financing Partnership under the Water Financing Partnership Facility (grant) <sup>a</sup>	2.0	0.3
Government	110.0	17.9
<b>Total</b>	<b>612.0</b>	<b>100.0</b>

<sup>a</sup> Financing partner: Bill & Melinda Gates Foundation. Grant fully administered by the Asian Development Bank. Source: Asian Development Bank estimates.

**A. Cost Estimates by Expenditure Category**

<b>No.</b>	<b>Component</b>	<b>Amount \$ Million</b>	<b>% of Total Base Cost</b>
A.	Base Cost		
1.	Civil Works <sup>a</sup>	269.69	81.86%
2.	Equipment	30.93	9.39%
3.	Social Mitigation <sup>b</sup>	5.78	1.75%
4.	Consultants <sup>c</sup>	13.54	4.11%
5.	Capacity building	1.50	0.46%
6.	Incremental Administrative Costs <sup>d</sup>	8.00	2.43%
	<b>Total Base Cost <sup>e</sup></b>	<b>329.44</b>	<b>100.00%</b>
B.	Contingencies <sup>f</sup>		
1.	Physical Contingencies <sup>g</sup>	22.85	6.94%
2.	Price Contingencies <sup>h</sup>	2.58	0.78%
	<b>Subtotal (B)</b>	<b>25.43</b>	<b>7.72%</b>
C.	Financing Charges <sup>i</sup>		
1.	Interest During Construction and Commitment Charge	7.13	2.16%
	<b>Total Project Cost (A+B+C)</b>	<b>362.00</b>	<b>109.88%</b>

<sup>a</sup> This includes environmental costs of \$0.49 million and operation and maintenance cost of \$1.75 million.

<sup>b</sup> This includes resettlement costs of \$5.78 million.

<sup>c</sup> This includes cost of Project Management and Design Supervision Consultants (\$11.14 million), Community Awareness Participation Consultants, including the provisional sum for implementing GESI action plan (\$1.90 million), and consultants to be hired under the Sanitation and Financing Partnership Facility (\$0.50 million).

<sup>d</sup> Includes salaries of government officials and staff, office accommodation, equipment operation and maintenance, bank charges, local transport and insurance. Financial propriety will be ensured while incurring these expenditures.

<sup>e</sup> In mid-2014 prices. Exchange rate of \$1 = Rs60.4 is used

<sup>f</sup> Contingencies are low as unit costs are based on current market rates, and expenditures are mostly in local currency, which reduces exchange rate risks.

<sup>g</sup> Physical contingencies are computed at 7.5% of base cost and taxes & duties thereon for civil works and equipment.

<sup>h</sup> Price contingencies are computed at 2.0% on foreign exchange costs and 8% - 8.5% on local currency costs and includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate.

<sup>i</sup> Includes interest and commitment charges. Interest during construction for ADB loan has been computed at the 5-year forward London interbank offered rate plus a spread of 0.6%. Commitment charges for an ADB loan are 0.15% per year to be charged on the undisbursed loan amount.

Source: ADB Estimates.

## B. Detailed Cost Estimates by Financier

No.	Item	Total Cost \$ million (A)	ADB		Sanitation Financing Partnership Trust Fund under the Water Financing Partnership Facility		Government			
			Amount \$ million (B)	Financing % (C=B/E)	Amount \$ million (D)	Financing % (E=D/A)	Amount \$ million (F)	Taxes and Duties \$ million (G)	Amount \$ million Total (F+G=H)	Financing % (H/A)
A.	Investment Costs									
1	Civil Works	269.69								
	a. Water and Wastewater	268.19	194.32	73%	-	-	68.60	5.27	73.87	27%
	b. Sanitation	1.50	-	-	1.50	100%	-	-	-	-
2	Equipment	30.93	22.46	73%	-	-	5.76	2.71	8.47	27%
3	Social Mitigation	5.78	-	0%	-	-	5.67	0.11	5.78	100%
4	Consultants	13.54								
	a. PMDSC, CAPC, City NGOs	13.04	11.55	89%	-	-	-	1.49	1.49	11%
	b. Sanitation	0.50	-	-	0.50	100%	-	-	-	-
5	Capacity Building	1.50	1.33	89%	-	-	-	0.17	0.17	11%
6	Incremental Admin Costs	8.00	4.40	55%	-	-	3.60	-	3.60	45%
	<b>Base Cost</b>	<b>329.44</b>	<b>234.06</b>		<b>2.00</b>		<b>83.63</b>	<b>9.75</b>	<b>93.38</b>	
B.	Contingencies	25.43	8.81	35%	-	-	16.62	-	16.62	65%
C.	Financial Charges During Implementation	7.13	7.13	100%	-	-	-	-	-	-
	<b>Total Project Cost (A+B+C)</b>	<b>362.00</b>	<b>250.00</b>		<b>2.00</b>		<b>100.24</b>	<b>9.75</b>	<b>110.00</b>	
	<b>% Total Project Cost</b>		<b>69.00</b>		<b>0.60</b>				<b>30.40</b>	

ADB = Asian Development Bank, CAPC = Community Awareness and Participation Consultants; NGO = nongovernmental organization, PMDSC = Project Management and Design Supervision Consultant.

**C. Allocation and Withdrawal of Loan Proceeds**

CATEGORY			ADB FINANCING
Number	Item	Total Amount Allocated for ADB Financing (\$) Category	Percentage and Basis for Withdrawal from the Loan Account
1	Civil Works	194,324,000	73% of total eligible expenditure claimed
2	Equipment	22,464,000	73% of total eligible expenditure claimed
3	Consultants	11,550,000	100% of total eligible expenditure claimed*
4	Capacity Building	1,330,000	100% of total eligible expenditure claimed*
5	Incremental Administrative Costs	4,400,000	55% of total eligible expenditure claimed
6	Contingencies	8,805,000	
7	Financial Charges	7,127,000	100% of total amount due
	<b>Total</b>	<b>250,000,000</b>	

\*Exclusive of taxes and duties within the territory of the Borrower.

**D. Allocation and Withdrawal of Grant Proceeds - Sanitation and Financing Partnership Facility (SFPTF) Administered by ADB**

CATEGORY			ADB FINANCING
Number	Item	SFPTF Financing (\$) Category	Percentage of BMGF financing
1	Civil Works – Sanitation	1,500,000	100% of total eligible expenditure claimed
3	Consultants – Sanitation	500,000	100% of total eligible expenditure claimed
	<b>Total</b>	<b>2,000,000</b>	

## E. Detailed Cost Estimates by Outputs

Item	Total Cost (\$ million)	Output 3 – Water Supply		Output 4 – Wastewater Supply		Output 5 – Program Management	
		Amount (\$ million)	% of cost category	Amount (\$ million)	% of cost category	Amount (\$ million)	% of cost category
A. Investment Costs							
1. Civil Works	269.69	85.36	32%	184.33	68%	-	-
2. Equipment	30.93	9.81	32%	21.12	68%	-	-
3. Social Mitigation	5.78	1.83	32%	3.95	68%	-	-
4. Consultants	13.54	-	0%	0.50	4%	13.04	96%
5. Capacity Building	1.50	-	0%	-	-	1.50	100%
6. Incremental Administrative Costs <sup>a</sup>	8.00	-	0%	-	-	8.00	100%
<b>Total Base Cost (A) <sup>b</sup></b>	<b>329.44</b>	<b>97.00</b>	<b>29%</b>	<b>209.90</b>	<b>64%</b>	<b>22.54</b>	<b>7%</b>
B. Contingencies							
1. Physical Contingencies <sup>c</sup>	22.85	7.23	32%	15.62	68%	-	-
2. Price Contingencies <sup>d</sup>	2.58	0.76	30%	1.65	64%	0.17	6%
<b>Subtotal (B)</b>	<b>25.43</b>	<b>7.99</b>	<b>24%</b>	<b>17.27</b>	<b>75%</b>	<b>0.17</b>	<b>1%</b>
C. Financing Charges <sup>e</sup>	7.13	2.11	30%	4.56	64%	0.46	6%
<b>Total (A+B+C)</b>	<b>362.00</b>	<b>107.10</b>	<b>29%</b>	<b>231.73</b>	<b>65%</b>	<b>23.17</b>	<b>6%</b>

<sup>a</sup> Includes salaries of government officials and staff, office accommodation, equipment operation and maintenance, bank charges, local transport and insurance.

<sup>b</sup> In mid-2014 prices. Exchange rate of \$1 = Rs 60.4 is used.

<sup>c</sup> Physical contingencies computed at 7.5% for civil works and equipment.

<sup>d</sup> Price contingencies are computed at 1% - 1.4% on foreign exchange costs and 6% - 8.5% on local currency costs and includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate.

<sup>e</sup> Includes interest and commitment charges. Interest during construction for ADB loan has been computed at the 5-year forward London interbank offered rate plus a spread of 0.6%. Commitment charges for an ADB loan are 0.15% per year to be charged on the undisbursed loan amount.

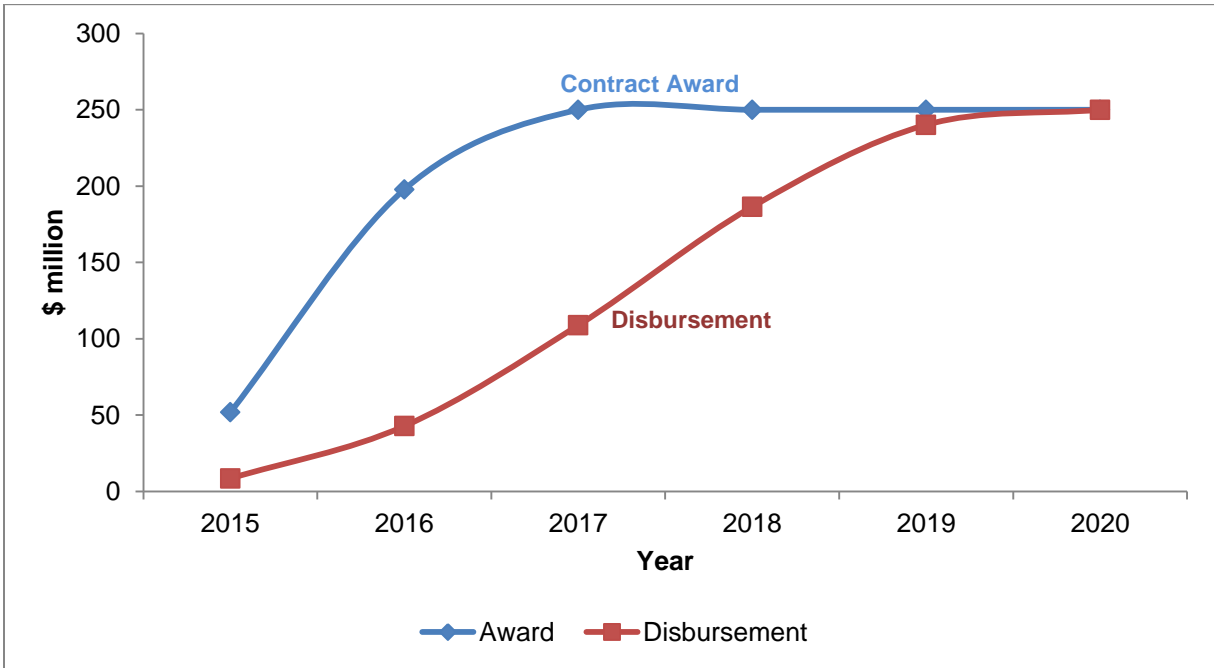
Source: ADB Estimates.

**F. Detailed Cost Estimates by Year (\$ Million)**

<b>Item</b>	<b>Total</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
A. Investment Costs						
1. Civil Works	269.69	31.77	68.62	95.89	67.42	5.99
2. Equipment	30.93	3.64	7.87	11.00	7.73	0.69
3. Social Mitigation	5.78	0.68	1.47	2.05	1.45	0.13
4. Consultants	13.54	2.71	2.71	2.71	2.71	2.70
5. Capacity Building	1.50	0.30	0.30	0.30	0.30	0.30
6. Incremental Administration Cost	8.00	1.70	1.70	1.70	1.70	1.20
<b>Base Cost (A)</b>	<b>329.44</b>	<b>40.80</b>	<b>82.67</b>	<b>113.65</b>	<b>81.31</b>	<b>11.01</b>
B. Contingencies						
Physical Contingencies	22.85	2.66	5.74	8.02	5.63	0.80
Price Contingencies	2.58	-1.28	-0.51	1.34	2.00	1.03
<b>Subtotal (B)</b>	<b>25.43</b>	<b>1.38</b>	<b>5.23</b>	<b>9.36</b>	<b>7.63</b>	<b>1.83</b>
C. Financial Charges	7.13	1.08	1.63	1.93	1.67	0.82
<b>Total (A+B+C)</b>	<b>362.00</b>	<b>43.26</b>	<b>89.53</b>	<b>124.94</b>	<b>90.61</b>	<b>13.66</b>

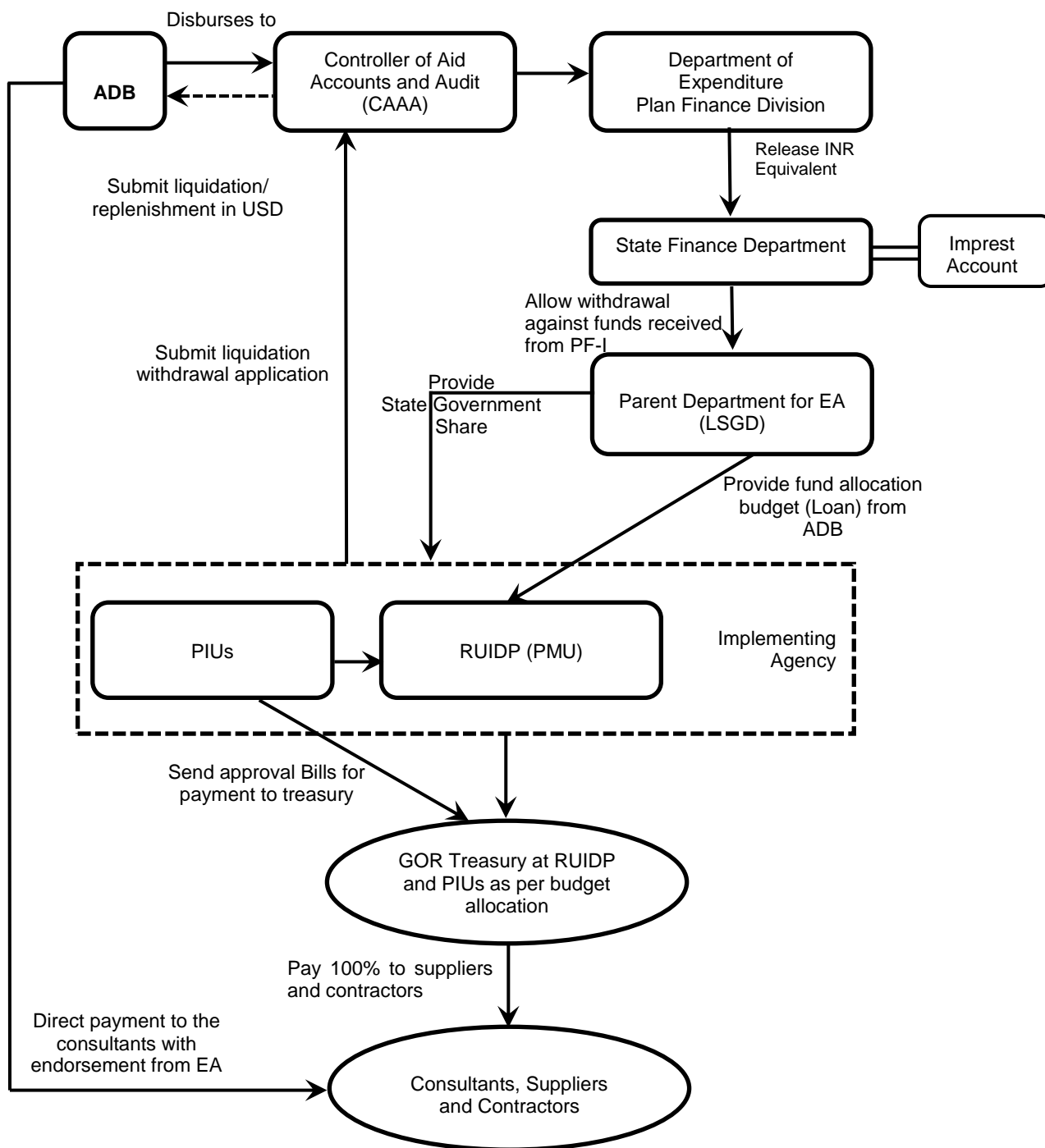
**G. Contract Awards and Disbursement S-Curve of Project Loan Component**

17. The graph below shows contract awards and disbursement over the life of the project, and annually based on the contract awards and disbursement projections.





H. Fund Flow Diagram<sup>16</sup>



<sup>16</sup> Since ADB is administering WFPF funds, the fund flow is the same for WFPF. However, for the WFPF funds, both direct payment and the imprest account modality will not be used.

## V. FINANCIAL MANAGEMENT

### A. Financial Management Assessment

18. A Financial Management Assessment (FMA) has been performed in accordance with ADB Guidelines for the *Financial Management and Analysis of Projects* (2005) and *Financial Due Diligence a Methodology Note* (2009).<sup>17</sup> The capacity of LSGD, Government of Rajasthan and RUIDP (as the Executing Agency/Implementing Agency) have been evaluated with focus on fund flows, staffing, accounting policies and procedures, internal controls, financial reporting and monitoring, and internal and external audit in relation to administering the project loan. The financial management arrangements, with the mitigating measures proposed below are considered adequate.

19. Considering that this project is the third ADB assisted project being implemented by LSGD/RUIDP, (after RUIDP – Phase I and RUIDP – Phase II), they have adequate experience to manage donor funded projects. The existing organization structure of RUIDP continues to be adequate for this Project also. RUIDP would manage overall project funds. The funds flow arrangements are well established and would be adhered to for this project also. RUIDP prepares the project financial statements in accordance with its Finance, Accounts and Works Manual, based on the requirements of ADB. The project financial records are maintained using fully computerized Tally accounting software. RUIDP's current staffing is adequate for managing its existing projects. However, it needs to recruit additional staff for managing the new project including one qualified Chartered Accountant, 3 Accounts Officers and 13 accountants.

20. RUIDP neither has an internal audit department nor has it engaged an external agency to carry out internal audit. There is an immediate need to appoint an internal auditor (a professionally qualified chartered accountancy firm) to conduct internal audit and report its findings to the management periodically. The project financial statements are audited annually by an external auditor appointed for the purpose and nominated by the Supreme Audit Institution (Comptroller and Auditor General of India). This project would also be audited in a similar way. There are currently a number of audit observations issued by the Controller and Auditor General (CAG) which are yet to be responded to by the RUIDP. This needs to be addressed.

21. RUIDP's accounts and information system are entirely computerized. The monthly and quarterly financial reports for its projects are extracted from the accounting system and submitted to ADB.

22. Public Financial Management arrangements of the State of Rajasthan have also been assessed as the recipient of the Program Loan, with reference to the most recent Public Expenditure and Financial Accountability (PEFA) Assessment for Rajasthan,<sup>18</sup> Diagnostic Studies of Accounting and Auditing (DSAA), Reports on the Observance of Standards and Codes (ROSC) and other relevant documents.

23. The table below lists risks identified and proposed risk mitigation measures relating to financial management.

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<sup>17</sup> Accessible from the list of Supplementary Documents, Appendix 2 of the RRP.

<sup>18</sup> World Bank. 2005. India Rajasthan: State Financial Accountability Assessment.

### Control Risk Summary of LSGD/RUIDP (EA/IA)

Risk Type	Risk Description	Risk Assessment	Proposed Mitigation Measures
1. Executing Entity	RUIDP's Finance Section will be responsible for project financial management, accounting and reporting. RUIDP will continue to follow project financial management and accounting systems. RUIDP staff has donor project management experience – including ADB	Low	Not applicable
2. Funds Flow	RUIDP will manage overall project funds. Direct payments by ADB may be used for all major contracts. A project imprest account will be used to cover other payments. RUIDP will have its own project account.	Low	Not applicable
3. Staffing	RUIDP Finance Sections are adequately staffed with competent and experienced personnel. The Sections provide professional quality service. One Qualified Chartered Accountant with minimum of 5 year experience and for Phase III – three Accounts Officers and 5 Accountants are proposed to be inducted into existing Finance and Accounts section of RUIDP	Moderate	RUIDP to induct one qualified CA and other proposed staff for Phase III
4. Accounting Policies and Procedures	Policies and procedures are well documented. RUIDP use GOR accounting standards.	Low	Not applicable
5. Internal Audit	RUIDP has no internal audit cell	Substantial	RUIDP to appoint an Internal Auditor for ensuring compliance of rules and regulations
6. External Audit	CAG has constitutional mandate to conduct external audits of donor funded projects. Annual audit reports are typically produced within 6 months of the end of the financial year. Compliance reports are prepared and submitted in response to audit findings (paras) for disposal of the same.	Moderate	RUIDP to prepare an action plan for resolving of outstanding audit paras.
7. Reporting and Monitoring	Comprehensive monthly and quarterly financial management reporting systems are in place. Routine reports are produced from the Accounting System – others are prepared on spreadsheets with figures extracted from the accounting system.	Low	Not Applicable
8. Information Systems	RUIDP's accounts are computerized using the Tally Accounting Software system	Low	Not applicable
Overall Control Risk	RUIDP's financial management practices and procedures are considered to be adequate for management and control of	Moderate	With the above mitigation measures the

Risk Type	Risk Description	Risk Assessment	Proposed Mitigation Measures
	project finances and project funds will be managed and audited separately from other funds.		overall risk is assessed as moderate.

24. GoR has to consider adopting the 74th constitutional amendment in full spirit and has to increase the powers of ULB and allow the ULB to execute the powers. As recommended by Rajasthan's 4th state finance commission, a simplified method for property tax needs to be introduced and have to allow the ULBs to levy property tax, vacant land tax, etc. Further, the ULBs should empower to periodically revise the taxes and user charges. Thus, there is a need for a clear requirement in enhancing the capacity of the manpower and delegation of powers to efficiently manage the finances of the ULBs. The ULBs are following accrual accounting system from the year 2010-11. Though the accrual accounting system is implemented, the success of which, is not visible in the town for various reasons. One reason is that the scope for mobilizing the own source income to any ULBs in the state is restricted due to abolition of octroi and restriction of property tax. Further, the staffs in the ULBs have not understood the benefits of double entry system and they are not in a position to appreciate the system. Thus, Government has to concentrate on providing on the job training to the accounting staffs so that they will be in a position to implement the system effectively. Further, the government should take initiative in making the management staffs of ULBs understand the benefits of the double entry system, for them to enforce implementation within their jurisdiction.

25. The overall risk assessment for the SDP is Moderate. With the implementation of below risk mitigating measures, along with the implementation of the Policy Matrix to strengthen urban institutions in Rajasthan, the financial management arrangements are considered adequate for the SDP. Timing for below measures shall be agreed with ULBs and GOR prior to loan effectiveness.

- Training of staff of ULBs in double entry accounting system software to be developed and installed by Directorate of Local Bodies (DLB) uniformly across ULBs.
- Induction of qualified chartered accountant with five years' minimum experience at each ULB
- Filling up of vacant positions at ULBs
- Introduction of internal audit at RUIDP
- Audit of project financial statements in accordance with TORs agreed with the CAG, India
- Action plan prepared and implemented for the resolution of audit observations

## **B. Disbursement**

26. The Loan and Grant proceeds will be disbursed in accordance with ADB's Loan Disbursement Handbook (2012, as amended from time to time),<sup>19</sup> and detailed arrangements agreed upon between the Government and ADB. .

27. The government will be responsible for implementing the project according to the loan agreement and other agreements. When a loan and grant becomes effective, a loan account will be opened in ADB's books in the name of the borrower and the loan amount is credited to

<sup>19</sup> Available at: [http://www.adb.org/Documents/Handbooks/Loan\\_Disbursement/loan-disbursement-final.pdf](http://www.adb.org/Documents/Handbooks/Loan_Disbursement/loan-disbursement-final.pdf)

that account.

28. Types of Disbursement Procedures.<sup>20</sup> There are four major types of disbursement procedures:

- (i) Direct payment procedure where ADB, at the borrower's request, pays a designated beneficiary directly;
- (ii) Commitment procedure where ADB, at the borrower's request, provides an irrevocable undertaking to reimburse a commercial bank for payments made or to be made to a supplier against a letter of credit financed from the loan account;
- (iii) Reimbursement procedure where ADB pays from the loan account to the borrower's account, for eligible expenditures which have been incurred and paid for by the project out of its budget allocation or its own resources; and
- (iv) Imprest fund procedure where ADB makes an advance disbursement from the loan account for deposit to an imprest account to be used exclusively for ADB's share of eligible expenditures.

29. The four procedures are normally used for the following kinds of payment.

#### Disbursement Procedures

Disbursement Procedures	Suggested Types of Payment
Direct payment	Mainly large civil works, progress payments, consultants' fees, procurement of goods.
Commitment	Importation costs.
Reimbursement	Local currency costs, petty purchases, and small civil works.
Imprest Fund	Contractors' bills and suppliers' invoices in local currency, numerous items of operating expenses, other relatively small eligible expenditures.

Source: ADB. 2012. Loan Disbursement Handbook.

30. The PMU will be responsible for: (i) preparing annual contract award and disbursement projections; (ii) requesting budgetary allocations for counterpart funds; (iii) collecting supporting documents; and (iv) preparing and sending withdrawal applications to ADB through the Ministry of Finance.

31. An imprest account should be established in US dollars to be maintained by the government. The maximum ceiling of the imprest account will not at any time exceed 10% of the loan amount. The request for initial and additional advance to the imprest account should be accompanied by an Estimate of Expenditure Sheet<sup>21</sup> setting out the estimated expenditures for the first six (6) months of project implementation, and submission of evidence satisfactory to ADB that the imprest account has been duly opened. For every liquidation and replenishment request of the imprest account, the borrower will furnish to ADB (a) Statement of Account (Bank Statement) where the imprest account is maintained, and (b) the Imprest Account Reconciliation Statement<sup>22</sup> reconciling the above mentioned bank statement against the EA's records.

32. SOE procedures will be used for reimbursement, liquidation, and replenishment of the

<sup>20</sup> Available at: [http://www.adb.org/documents/handbooks/loan\\_disbursement/chap-06.pdf](http://www.adb.org/documents/handbooks/loan_disbursement/chap-06.pdf)

<sup>21</sup> Available in Appendix 10B of the *Loan Disbursement Handbook*.

<sup>22</sup> Follow the format provided in Appendix 10C of the *Loan Disbursement Handbook*.

imprest account for eligible expenditures not exceeding \$100,000 equivalent per individual payment. SOE records should be maintained and made readily available for review by ADB and for independent audit.<sup>23</sup>

33. Before the submission of the first withdrawal application, GOI should submit to ADB sufficient evidence of the authority of the person(s) who will sign the withdrawal applications on behalf of the borrower, together with the authenticated specimen signatures of each authorized person. The minimum value per withdrawal application is US\$100,000 equivalent, unless otherwise approved by ADB. Individual payments below this amount shall generally be paid from the imprest account, or by the borrower/executing agency and subsequently claimed to ADB through reimbursement. ADB reserves the right not to accept withdrawal applications below the minimum amount. Withdrawal applications and supporting documents will demonstrate, among other things that the goods, and/or services were produced in or from ADB members, and are eligible for ADB financing.

34. PMU should submit to ADB, annual contract awards and disbursement projections at least a month before the start of each calendar year using the templates in Appendix 3. PIU and PMU are responsible for (i) requesting budgetary allocations for counterpart funds, and (ii) collecting supporting documents. PMU is responsible for preparing and sending withdrawal applications to ADB.

### **C. Accounting**

35. The LSGD, GOR will maintain separate project accounts and records by funding source for all expenditures incurred on the Project. Project financial statements shall include at a minimum, a statement of receipts and payments with accompanying notes and schedules. These shall be prepared in accordance with Government Financial Regulations of India, and the CAG approved template financial statements to ensure maximum alignment to international accounting standard.

### **D. Auditing**

36. The LSGD, GOR will cause the detailed consolidated project financial statements to be audited in accordance with the Government's audit regulations, as supplemented by the terms of reference agreed between ADB, Department of Economic Affairs (DEA) and CAG India in September 2013, by an auditor acceptable to ADB.<sup>24</sup> The audited project financial statements will be submitted in the English language to ADB within 6 months of the end of the fiscal year by the executing agency.

37. The annual audit report for the project financial statements will include audit opinions which cover (i) whether the project financial statements present a true and fair view or are presented fairly, in all material respects, in accordance with the applicable financial reporting framework; (ii) whether loan proceeds were used only for the purposes of the project or not; (iii) the level of compliance for each financial covenant contained in the legal agreements for the project; (iv) use of the imprest fund procedure (including sub accounts) ; and (v) the use of the statement of expenditure procedure certifying to the eligibility of those expenditures claimed under SOE procedures, and proper use of the SOE and imprest procedures in accordance with

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<sup>23</sup> Checklist for SOE procedures and formats are provided in Appendix 7B, 8B, 9B, and 9C of the *Loan Disbursement Handbook*.

<sup>24</sup> The CAG, India or a private auditor empanelled and nominated by the CAG, India.

ADB's Loan Disbursement Handbook and the project documents. If the auditor issues a management letter, a copy will also be submitted to ADB.

38. Compliance with financial reporting and auditing requirements will be monitored by review missions and during normal program supervision, and followed up regularly with all concerned, including the external auditor. Unaudited project financial statements should be provided to the auditor within three months of the end of the fiscal year.

39. The Government and LSGD have been made aware of ADB's policy on delayed submission, and the requirements for satisfactory and acceptable quality of the audited project financial statements. ADB reserves the right to verify the project's financial statements to confirm that the share of ADB's financing is used in accordance with ADB's policies and procedures. ADB reserves the right to require a change in the auditor (in a manner consistent with the constitution of the borrower), or for additional support to be provided to the auditor, if the audits required are not conducted in a manner satisfactory to ADB, or if the audits are substantially delayed.

40. Public disclosure of the project financial statements, including the audit report on the project financial statements, will be guided by ADB's Public Communications Policy (2011).<sup>25</sup> After review, ADB will disclose the project financial statements for the project and the opinion of the auditors on the financial statements within 30 days of the date of their receipt by posting them on ADB's website.

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<sup>25</sup> Available from <http://www.adb.org/documents/pcp-2011?ref=site/disclosure/publications>.

## VI. PROCUREMENT AND CONSULTING SERVICES

### A. Advance Contracting and Retroactive Financing

41. The government has requested for advance contracting and retroactive financing to expedite implementation of the project. All advance contracting and retroactive financing will be undertaken in conformity with ADB's Procurement Guidelines (2013, as amended from time to time)<sup>26</sup> and ADB's Guidelines on the Use of Consultants (2013, as amended from time to time).<sup>27</sup> The issuance of invitations to bid under advance contracting and retroactive financing will be subject to ADB approval. The borrower, LSGD and RUIDP have been advised that approval of advance contracting and retroactive financing does not commit ADB to finance the Project.

42. **Advance Contracting.** Specifically, the government has requested ADB's approval of advance contracting for the recruitment of project management, design and supervision consultant (PMDSC) and community awareness and participation plan consultants (CAPC), and procurement for the two international competitive bidding (ICB) packages (Package RUDP 01Pali01: Water Supply Distribution Network Improvements with house service connections; Replacement of worn out Pumping Machinery; Extension and Providing Sewer Network with House connections and construction of STP at Pali, and Package RUDP 01Tonk01: Water Supply Distribution Network Improvements with house service connections; Providing Sewer Network with House connections and construction of STP at Tonk). ADB and RUIDP will utilize the services of the PPTA consultants to carry out detailed design and bidding documents with local team. Further, the government has requested ADB's approval of retroactive financing for the recruitment of PMDSC and CAPC and for the operation of PMU.

43. Advance contracting includes tendering and bid evaluation for civil works packages, and recruitment of consultants. The detailed advance action schedule shall be prepared and updated on regular basis.

44. **Retroactive Financing.** Retroactive financing will be up to 20% of the total ADB loan amount for eligible expenditures incurred prior to loan effectiveness but not earlier than 12 months prior to the signing of the loan agreement.

### B. Procurement of Goods, Works and Consulting Services

45. All procurement of works, goods and services, financed by ADB will be carried out in accordance with ADB's Procurement Guidelines (2013, as amended from time to time). ICB procedures will be used for any civil works contract estimated to cost more than \$40 million, and any goods contract estimated to cost more than \$3 million. National competitive bidding (NCB) procedures will be used for any civil works contract estimated to cost \$40 million or less and any goods contract estimated to cost \$3 million or less. Shopping will be used for any civil works or goods contract estimated to cost less than \$100,000. Before the start of any procurement, ADB and the government will review the public procurement laws of the government to ensure consistency with ADB's Procurement Guidelines. Procurement Plan is given at Appendix 4.

46. Before the start of any procurement ADB and the Government will review the public procurement laws of the central and state governments to ensure consistency with ADB's

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<sup>26</sup> Available at: <http://www.adb.org/Documents/Guidelines/Procurement/Guidelines-Procurement.pdf>.

<sup>27</sup> Available at: <http://www.adb.org/Documents/Guidelines/Consulting/Guidelines-Consultants.pdf>.



## Procurement Guidelines.

47. An 18-month procurement plan indicating threshold and review procedures, goods, works, and consulting service contract packages and national competitive bidding guidelines is in Section C below.

48. An estimated 810 person-months (144 international, 666 national) of consulting services are required to (i) facilitate project management and implementation, and (ii) strengthen the institutional and operational capacity of the executing agency. Consultants' selections and engagements will be carried out in accordance with ADB's Guidelines on the Use of Consultants (2013, as amended from time to time). The consulting firms will be engaged using the quality- and cost-based selection (QCBS) method with a standard quality-cost ratio of 90:10.

### C. Procurement Plan

49. The detailed Procurement Plan is provided in Appendix 4. The bidding and contract award plan for two ICB civil works packages (Package No. RUSDP/Pali/01: Water Supply Distribution Network Improvements with house service connections; Replacement of worn out Pumping Machinery; Extension and Providing Sewer Network with House connections and construction of STP at Pali and Package No. RUSDP/Tonk/01: Water Supply Distribution Network Improvements with house service connections; Providing Sewer Network with House connections and construction of STP at Tonk) and one consultancy package (PMDSC) anticipated in 2015 are given below.

#### Bidding Plan for 2 ICB Civil Works Packages

No.	Activity	Days	Timeframe	Action By	Status
1	Prepare Detailed Engineering Report		30-Sep-14	RUIDP	completed
2	Finalize Bidding Document for Water Supply & Sewerage	40	09-Nov-14	RUIDP	not yet due
3	ADB Review	15	24-Nov-14	ADB	not yet due
4	Final Revisions as Necessary	10	04-Dec-14	RUIDP	not yet due
5	Advertise Invitation for bids in Newspaper/ADBBBO	1	05-Dec-14	RUIDP	not yet due
6	Preparation of Bids	45	19-Jan-15	External	not yet due
7	Submission of Bids/Public Opening	1	20-Jan-15	RUIDP	not yet due
8	Evaluate Technical Proposals (Qualification/Technical)	21	10-Feb-15	RUIDP	not yet due
9	Review by Procurement Committee	14	24-Feb-15	RUIDP	not yet due
10	ADB Review	21	17-Mar-15	ADB	not yet due
11	Public Opening of Financial Envelope	10	27-Mar-15	RUIDP	not yet due
12	Evaluate Financial Bid	21	17-Apr-15	RUIDP	not yet due
13	Bid Evaluation Report & Recommend Award	14	01-May-15	RUIDP	not yet due
14	Review by Procurement Committee	14	15-May-15	RUIDP	not yet due
16	ADB Review and No-Objection	21	05-Jun-15	ADB	not yet due
17	Issue Notice of Award	14	19-Jun-15	ADB	not yet due

### Bidding Plan for PMDSC:

No.	Activity	Days	Timeframe	Action By	Status
1	Prepare Request for Expression of Interest (REOI)		25-Jun-14	RUIDP	Completed
2	Advertise in the newspaper & ADBBO	2	27-Jun-14	RUIDP	Completed
3	EOI Submission	29	26-Jul-14	External	Completed
4	Submission (1) to ADB: Shortlisting/Draft RFP	54	18-Sep-14	RUIDP	Completed
5	ADB's Review & No-Objection	15	03-Oct-14	ADB	Under process
6	Issue Request For Proposal (RFP)	14	17-Oct-14	RUIDP	Under process
7	Proposal Submission	45	01-Dec-14	External	not yet due
8	Submission (2) to ADB: Technical Evaluation	28	29-Dec-14	RUIDP	not yet due
9	ADB' Review & No-Objection	21	19-Jan-15	ADB	not yet due
10	Public Opening of the Financial Proposals	14	02-Feb-15	RUIDP	not yet due
11	Submission (3) to ADB: Financial Evaluation/Ranking	28	02-Mar-15	RUIDP	not yet due
12	ADB' Review & No-Objection	21	23-Mar-15	ADB	not yet due
13	Invite 1 <sup>st</sup> Ranked Firm – Negotiate/Draft Contract	14	06-Apr-15	RUIDP	not yet due
14	Submission (4) to ADB: Draft Negotiated contract	28	04-May-15	RUIDP	not yet due
15	ADB' Review & No-Objection	14	18-May-15	ADB	not yet due
16	Contract Signing & Issue Notice to Proceed	21	08-Jun-15	RUIDP	not yet due

#### D. Consultant's Terms of Reference

50. The terms of reference for PMDSC and CAPC are provided in Appendix 5 and Appendix 6, respectively.

## VII. SAFEGUARDS

51. Safeguards will be implemented by the project management unit (PMU) and project implementation units (PIUs) with support from the PMDSC. Safeguard experts on PMDSC will support the PMU during the design and construction phases including additional feasibility study defined after ADB board approval following the safeguard frameworks prepared for the project. The policy-based loan is not anticipated to have environmental impacts. An environmental and social assessment of the policy matrix is in the linked documents.<sup>28</sup> Below are descriptions of the implementation arrangements, responsibilities to implement actions identified in the relevant safeguard plans. Pursuant to ADB's Safeguard Policy Statement (2009) (SPS),<sup>29</sup> ADB funds may not be applied to the activities described on the ADB Prohibited Investment Activities List set forth at Appendix 5 of the SPS.

### A. Environmental Safeguards

52. The project loan is classified as category B for environmental safeguards. Six initial environmental examinations (IEEs) with environmental management plans (EMPs) were prepared for the six project cities in accordance with ADB's SPS (2009) and government laws.<sup>30</sup> Draft IEEs will be finalized and submitted to ADB for review and disclosure at the time of detailed engineering design. Project locations are located outside protected areas and construction impacts will be mitigated through implementation of the environmental management plans as part of the contract documents. Treated wastewater will meet the national effluents standards and recycled for irrigation. A feasibility study and IEEs for the additional component in Pali will be guided by the environmental selection criteria in the environmental assessment and review framework.<sup>31</sup> No significant environmental impacts are envisaged. The policy-based loan is not anticipated to have environmental impacts

53. Based on field visits to six project cities and desk review of draft IEEs, it was concluded that no significant impacts are envisaged under the project. It was also confirmed that any impacts during construction and operation can be avoided and/or mitigated through measures identified in the EMPs. The EMPs will form part of the bidding and contract documents and monitored during implementation. The following anticipated environmental impacts require close monitoring during project implementation: (i) occupational and community health and safety during trenching works especially in densely populated areas, (ii) traffic management, (iii) synchronizing road improvements and pipe laying works to minimize disturbance, (iv) chance finds during trenching works near archaeological sensitive areas in Hanumangarh, (v) meaningful and ongoing public consultations around work sites, (vi) ensuring connection of households to sewerage networks, and (vii) closely partnering with the Rajasthan Pollution Control Board during O&M of the wastewater treatment plant (WWTP) in Pali to ensure regular tests of sewerage and effluent. If required, provisions should be kept to include additional laboratory equipment in WWTP laboratory for heavy metal and inorganics testing (cadmium, arsenic, etc.). While RUIDP demonstrated good capacity from previous ADB projects, consultant support will ensure the project management unit and the project implementation units have adequate capacity to manage environmental impacts. Environmental reporting to ADB will be done on a semi-annual basis.

<sup>28</sup> Environmental and social assessment of the policy matrix (accessible from list of linked documents in Appendix 2).

<sup>29</sup> Available at: <http://www.adb.org/Documents/Policies/Safeguards/Safeguard-Policy-Statement-June2009.pdf>

<sup>30</sup> Initial Environmental Examination (accessible from the list of linked documents, Appendix 2 of the RRP).

<sup>31</sup> Environmental and Review Framework (accessible from the list of linked documents, Appendix 2 of the RRP).

54. **Environmental monitoring of wastewater quality.** The project will support improved monitoring of environmental regulatory standards. This will include development of (i) a mechanism for enforcing domestic sewage discharge standards, (ii) a mechanism for monitoring the quality of discharge to streams, rivers, and other water bodies, (iii) a properly equipped laboratory for municipal and industrial wastewater, (iv) procedures for enforcement of pretreatment of industrial effluent before discharging to sewer network or stream, (v) a septage management plan, and (vi) processing and disposal of sludge and screenings.

55. **Natural disasters and climate change adaptation and mitigation.** Climate change projections indicate an increase of 2.40 degrees centigrade for the 2071-2100 period in Rajasthan.<sup>32</sup> Mean annual rainfall is predicted to decrease slightly, whereas the extreme rainfall is expected to increase in frequency and intensity. The key risk factors in the state are: (a) frequency of droughts; (b) extremely low and erratic rainfall; and (c) very limited surface water sources, like perennial river basins, resulting in greater dependence on groundwater resources. Accordingly, more emphasis is needed on reducing water losses and improved wastewater collection and treatment. The project will address these issues by (i) focusing on NRW reduction and increasing water use efficiency, and (ii) introducing improved sewerage collection, treatment and energy generation, wherever feasible, in project cities. Moreover, the project will incorporate adequate adaptation measures for the risks related to earthquakes, landslides, floods, and climate change. The detailed designs of the project components will consider the findings from ongoing climate change analysis models.

56. Described below are the institutional roles and responsibilities to ensure environmental safeguard measures are implemented during design and construction stages.

**a. Project Management Unit (PMU)**

57. The environmental safeguards officer in the PMU will:
- (i) confirm existing IEEs/EMPs are updated based on detailed designs and that new IEEs/EMPs are prepared in accordance with the environmental assessment and review framework (EARF);
  - (ii) confirm whether IEEs/EMPs are included in bidding documents and civil works contracts;
  - (iii) provide oversight on environmental management aspects and ensure EMPs are implemented by the PIU and contractors;
  - (iv) establish a system to monitor environmental safeguards of the project including monitoring the indicators set out in the monitoring plan of the EMP;
  - (v) facilitate and confirm overall compliance with all Government rules and regulations regarding site and environmental clearances as well as any other environmental requirements (e.g., Location Clearance Certificates, Environmental Clearance Certificates etc.), as relevant;<sup>33</sup>
  - (vi) supervise and provide guidance to the PIUs to properly carry out the environmental monitoring and assessments as per the EARF;
  - (vii) review, monitor and evaluate the effectiveness with which the EMPs are implemented, and recommend necessary corrective actions to be taken as necessary;

<sup>32</sup> Government of Rajasthan. Draft Rajasthan State Action Plan on Climate Change. Jaipur. 2010.

<sup>33</sup> All necessary environmental clearances should be obtained prior to contract awards to avoid delay in physical progress.

- (viii) consolidate monthly environmental monitoring reports from PIUs and submit semi-annual monitoring reports to ADB;
- (ix) ensure timely disclosure of final IEEs/EMPs in locations and form and language accessible to the public and local communities; and
- (x) address any grievances brought about through the Grievance Redress Mechanism (GRM) in a timely manner.

#### **b. Project Implementation Units (PIUs)**

58. The PIU safeguards officer will:
- (i) oversee day-to-day implementation of EMPs by contractors including compliance with all government rules and regulations;
  - (ii) take necessary action for obtaining rights of way;
  - (iii) oversee environmental monitoring by contractors;
  - (iv) take corrective actions when necessary;
  - (v) submit monthly environmental monitoring reports to PMU;
  - (vi) conduct continuous public outreach and awareness building related to environmental management;
  - (vii) address grievances brought about through the GRM in a timely manner; and
  - (viii) organize an induction course for the training of contractors in environmental management to be delivered by MDS consultant.

### **B. Social Safeguards**

59. The project loan is classified as category B for involuntary resettlement and category C for indigenous peoples. The project does not involve permanent land acquisition or physical displacement. The project cities are not located in the districts declared as pockets of Scheduled Areas of Rajasthan by the Ministry of Tribal Affairs.<sup>34</sup> Schedule tribes families living in the project cities are mainstreamed with the general population. Six draft resettlement plans were prepared for the six project cities<sup>35</sup> in accordance with ADB's SPS (2009) to address temporary livelihood impacts during linear pipe laying works.

60. No adverse impacts on indigenous peoples are anticipated, and improved water and wastewater facilities will benefit all households including indigenous peoples in the project areas. The project will avoid cultural sites used by indigenous peoples, if identified during detailed design. Meaningful and widespread consultations will continue with all communities in the project area. The proposed project cities are not included the districts that are declared by the Ministry of Tribal Affairs as pockets of Scheduled Areas in Rajasthan.<sup>36</sup> In the event of indigenous people issues are identified during the project implementation specific mitigation will be prepared in accordance to ADB's SPS, on Indigenous People safeguards and project activities which will cause negative impacts to indigenous people (IP) communities (if any) will be excluded from financing.

61. Six draft resettlement plans (RPs) were prepared for the six project cities<sup>37</sup> in accordance with ADB's SPS to address temporary livelihood impacts during linear pipe laying works. The resettlement plans will be finalized and disclosed at the time of detailed engineering

<sup>34</sup> The scheduled areas in Rajasthan are Banswara, Dungarpur and Udaipur districts. [www.tribal.gov.in](http://www.tribal.gov.in)

<sup>35</sup> ADB. 2010. Safeguard Policy Statement. Operations Manual. OM F1/BP. Manila.

<sup>36</sup> The scheduled areas in Rajasthan are Banswara, Dungarpur and Udaipur districts. [www.tribal.gov.in](http://www.tribal.gov.in).

<sup>37</sup> ADB. 2010. Safeguard Policy Statement. Operations Manual. OM F1/BP. Manila.

design and endorsed by ADB prior to implementation.<sup>38</sup> A resettlement framework (RF) was prepared to guide RUIDP on an additional component in Pali targeting industrial effluent treatment and disposal and for any unanticipated involuntary resettlement (IR) impacts are identified in any project components during project implementation.<sup>39</sup> This component is anticipated to have limited resettlement impacts as facilities will be constructed in marginal areas of the towns where few persons reside or do business. Meaningful and widespread consultations will continue with all communities in the project area, and a GRM will be established. RUIDP will be supported by consultants to finalize and implement resettlement plans and semi-annual safeguard monitoring reports. The policy-based loan is not anticipated to have social safeguard impacts. An environmental and social assessment of the policy matrix is in the linked documents.<sup>40</sup>

62. The draft RPs will be updated following detailed design, final census, and submitted to ADB for review prior to construction. The RF will also guide the development of all future RPs to be prepared and that this will need to be approved by ADB prior to any construction.

**a. Project Management Unit (PMU)**

63. The Social Project Officer (SPO) in the PMU with assistance from PMDSC Social safeguards consultant will:

- (i) update RPs in accordance with RUSDP RF, *ADB's Safeguards Policy Statement (SPS, 2009)* based on detailed designs and submitting to ADB for review, final approval, and disclosure prior to commencement of works;
- (ii) monitor RP implementation and rehabilitation of displaced persons prior to and during construction;
- (iii) conduct internal and external monitoring of the resettlement process to ensure smooth implementation;
- (iv) monitor work of nongovernmental organization (NGO);<sup>41</sup>
- (v) ensure timely payments of compensation and other entitlements as per the RP are made before displacement occurs;
- (vi) consolidate quarterly resettlement monitoring reports prepared by resettlement NGO into semi-annual monitoring reports to be submitted to ADB;
- (vii) address and record grievances through the GRM in a timely manner, and taking quick corrective actions where necessary to facilitate the redressal of grievances in coordination with contractors, NGO, and displaced persons;
- (viii) engage in ongoing meaningful consultations with stakeholders and affected persons;
- (ix) when required, recruit independent external monitoring agency with endorsement from ADB; and
- (x) ensure project compliance to ADB Safeguards Policy Statement including safeguards requirement on indigenous people and Indigenous Peoples Development Framework.

<sup>38</sup> Resettlement Plan (accessible from the list of linked documents, Appendix 2 of the RRP).

<sup>39</sup> This component was identified towards the end of the PPTA at the government's request.

<sup>40</sup> Environmental and social assessment of the policy matrix (accessible from list of linked documents, Appendix 2 of the RRP).

<sup>41</sup> A CAPP NGO will be engaged to implement the RPs including carrying out surveys of affected persons based on detailed designs, ensuring all APs are compensated and relocated prior to construction in relevant sections, leading the ongoing consultation and rehabilitation process.

64. **Project Implementation Units.** The PIUs will each be staffed with assistant safeguard officer (ASO) will be responsible for:

- (i) implementing and monitoring safeguards compliance activities, public relations activities, gender and social inclusion (GESI) activities, and community participation activities;
- (ii) coordinating with district administration and NGO for land acquisition and rest and recreation (R&R) aspects and addressing any problems and/or delays;
- (iii) monitoring physical and financial progress on land acquisition and R&R activities including record keeping of the grievance and redress issues as reported by NGO/Contractor; and
- (iv) organizing monthly meetings with the NGO to review the progress on R&R.

65. The respective local government will provide all the necessary logistic support (vehicle, computers, support staff etc.) to the PMU and PIU Safeguards staff in carrying out the related activities for environmental and social safeguard implementation and monitoring.

66. **Project Grievance Redress Mechanism.** RUIDP Safeguards Officer will establish the project GRM and disclose it to the affected communities and households prior the mobilization of contractors in any project areas. The PMU Environment and Social Safeguards Officers, supported by the PMDSC experts, as well as the PIU assistant safeguard officer, will be responsible for timely grievance redress on environmental and social safeguards issues and responsible for registration of grievances, related disclosure and communication with the aggrieved party. Contacts details, procedures and complaint mechanism will disclose to the project affected communities at accessible locations and through various media (i.e. leaflets, newspapers, etc.). Appendix 10 provides outline of social safeguards monitoring report during project implementation.

67. **Capacity Building.** PMU and PIU Safeguards Officers will be further trained by PMDSC's social safeguards expert on safeguards issues of the projects and ADB Safeguards Policy. Safeguards briefings will also be conducted by PMDSC safeguards expert to the relevant project team members. The targeted participants of the briefings would be PMU staff, resettlement/CAPC/City NGO, as well PIU staff. The briefings will include the procedure and required measures for implementation of the project GRM.

68. **Civil Works Contracts.** The RUIDP will ensure that bidding and contract documents include specific provisions requiring contractors to comply with all (a) applicable labor laws and core labor standards on (b) prohibition of child labor as defined in national legislation for construction and maintenance activities, on (c) equal pay for equal work of equal value regardless of gender, ethnicity or caste, on (d) elimination of forced labor, and (e) the requirement to disseminate information on sexually transmitted diseases including HIV/AIDS to employees and local communities surrounding the project sites. The GESI with the contractors' responsibilities highlighted, will be included in bidding and contract documents, verified by the PIUs and PMU. Contractors will carry out all environmental and social mitigation and monitoring measures outlined in their contract. PMDSC experts, CAPC and City and PIU safeguard officers will assist the PMU safeguard officer in monitoring contractor's compliance activities. GESI plan is provided in Appendix 8.

## VIII. GENDER AND SOCIAL DIMENSIONS

### A. Gender Equality and Social Inclusion

69. The project is classified as effective gender mainstreaming. A poverty and social analysis has been completed,<sup>42</sup> and the project gives priority to connecting all poor households and households headed by women to the water supply and sewerage network in the project area. The GOR will reform the current water and sewerage connections policy to facilitate individual connections to the poor, socially excluded, and households headed by women. Connection fees will be reduced for the poor households. A GESI action plan was prepared with clear targets, responsibilities, and resource allocation.<sup>43</sup>

70. **Pro-poor and gender-inclusive services.** The project will complement the GOR's ongoing efforts to provide pro-poor and gender-inclusive water and sanitation services by focusing on (i) providing individual water and sewerage connections to the households in slums and informal settlements; (ii) implementing appropriate measures to make the project cities open-defecation free; (iii) study of past sanitation projects, including the data on underserved settlements already recorded in the GIS under the ongoing government schemes and decentralized wastewater treatment systems, in low-income consumer areas, and drawing applicable lessons from such sanitation projects; (iv) incorporating strategies for pro-poor and gender-sensitive sanitation services in the GOR's future investment plans and wastewater master plans; and (v) piloting alternative onsite sanitation in selected low-income areas.

71. An estimated 0.30 million people live below poverty line in the Project towns. The towns have a slum population of about 0.13 million, of which roughly 90 percent comprise core and intermediate poor households (including below poverty line households).

72. The baseline survey reveals that the burden of water collection and storage, household cleaning, solid waste disposal and healthcare at the household level is primarily the responsibility of women and girl children in poor households. The overall average time spent per day by a woman in such activities across towns is about 3 hours per day, which is an opportunity cost incurred in terms of loss of productive time (baseline survey). Municipal saffaiwalas, primarily women, are expected to benefit from hygienic working conditions provided through Project components.

73. The impact of proposals like increased role of women in project design, implementation and monitoring, reduced burden and time taken in collection of water, improvements in quality of life for poor women and women domestic workers, and indirect health benefits to family, reduced burden on women as caregivers, employment opportunities to female labor and equal wages for male and female labor, etc. as a result of the Project may be measured post-implementation.

74. As an indirect impact of economic independence and empowerment changes in household division of labor and greater control of women over household finances and resources is likely, this may be monitored through feedback reports from women members of the community post-Project.

75. Monitoring and evaluation systems will generate gender-disaggregated information to

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<sup>42</sup> Summary Poverty Reduction and Social Strategy (accessible from the list of linked documents of the RRP).

<sup>43</sup> Gender Equality and Social Inclusion Action Plan (accessible from the list of linked documents of the RRP).



enable tracking of gender impact of the Project. Women members of the community will be involved in monitoring of sub-project components in their own neighborhoods. Gender sensitization training is planned for ULB officials and elected representatives to enable successful implementation of participatory approaches.

76. The PMU will ensure that civil works contracts and bidding documents under the project include specific provisions requiring contractors to comply with all (i) applicable labor laws and core labor standards, (ii) prohibition of child labor as defined in national legislation for construction and maintenance activities, (iii) equal pay for equal work of equal value regardless of gender, ethnicity or caste, (iv) elimination of forced labor, and (v) the requirement to disseminate information on sexually transmitted diseases including HIV/AIDS to employees and local communities surrounding the project sites.

77. A community awareness and participation plan (CAPP) has been prepared under the project to involve key stakeholders for widespread, ongoing, and meaningful participation.<sup>44</sup> RUIDP will implement the gender equality and social inclusion and community awareness and participation plan, with support from the community awareness and participation consultant recruited under the project. Project beneficiary data base, disaggregated by sex, ethnicity, and social and economic background will be collected to help establish baseline figures to track social and gender equality results as the project progresses. Nongovernment organizations will be engaged in the cities to implement the GESI action plan and the CAPP in coordination with municipal bodies' water and sanitation committees in each project city.

78. The CAPP identifies key primary and secondary stakeholders to ensure widespread, ongoing, and meaningful participation. The communities will be involved in consultations for project planning, implementation and for any safeguard issues through ward level citizen committees/forums and other stakeholders identified in CAPP. CAPC will focus on advocating access to sanitation service by those living in low-income areas will also address the lack of access in growing urban slums to help maintain the coverage rates. CAPC will train and manage the implementation of the project's community based volunteers to promote neighborhood and household health, water conservation, leak prevention and sanitation awareness. Improved sewerage and water network and availability will allow for more house connections and for public health and sanitation awareness training to reduce the need to spend more money on children's and women's health. Orientation on HIV/AIDS and other safety measures will be also provided to the contractors and laborers. Schools will be used as a major medium of information dissemination and public education and regular activities will be organized in the schools through the CAPC.

79. CAPC, with support from the city-level NGOs, is primarily responsible for implementation of the GESI and CAPP, and will be supported by PMDSC to implement these plans. Adequate budget is allocated for CAPC to implement CAPP and GESI. A Social Development Officer (Sociologist) in PMU will be responsible for monitoring and reporting on gender and social aspects in close coordination with CAPC. Public and social audits will be held to increase accountability of the project, service providers; RUIDP and municipality. Attached as Appendix 8 is the GESI Action Plan Monitoring Format to be used for monitoring and reporting.

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<sup>44</sup> Community Awareness and Participation Plan (accessible from the list of supplementary documents of the RRP).

## GENDER EQUALITY AND SOCIAL INCLUSION (GESI) ACTION PLAN

Activity	Targets/ Indicators	Responsibility	Time Frame
<b>Output 1. Urban Institutions Strengthened</b>			
1. Conduct training program for women ward councilors and staff of participating MBs to include: relevant aspects of project preparation, appraisal, financing, supervision, monitoring and evaluation	<ul style="list-style-type: none"> <li>Capacities of 124 women councilors and at least 50 women staff of six MBs developed for effective and gender-inclusive management of WSS schemes</li> </ul>	<ul style="list-style-type: none"> <li>PMU</li> <li>MBs</li> </ul>	Year 1-5
2. Conduct training workshops on gender-responsive urban management for all MB officials and elected representative	<ul style="list-style-type: none"> <li>Gender awareness training workshops (30) [one/year in each of the participating six MBs] conducted for councilors and MB officials [Target: All councilors and administrative and technical officials].</li> </ul>	<ul style="list-style-type: none"> <li>PMU</li> <li>CAPC</li> </ul>	Year 1-5
<b>Output 2. Urban Governance Improved</b>			
1. Ensure effective participation of women councilors in CLCs and MBs so that gender issues are adequately discussed	<ul style="list-style-type: none"> <li>Gender policy approved and adopted by LSGD, and gender action plan approved and adopted by each participating MB</li> <li>Minutes of MBs' Board meetings and CLCs' meetings reflect participation of women councilors and discussion of gender issues</li> </ul>	<ul style="list-style-type: none"> <li>PIUs (6)</li> <li>MBs</li> </ul>	Year 1-5
2. Ensure that health and welfare schemes targeting BPL/FHH – with specific focus on women/children in cities and slums- benefit the intended beneficiaries	<ul style="list-style-type: none"> <li>Meetings (120) on GOR schemes and programs<sup>45</sup> targeting BPL/FHH –with specific focus on women and children-conducted in cities and slums [one/quarter in each ward of the six project MBs], in consultation with (SRCW) [Target: at least 30 women beneficiaries/meeting]</li> <li>At least 30% increase in the number of women and FHH in GOR welfare schemes (baseline to be identified at the time of commencement of project)</li> </ul>	<ul style="list-style-type: none"> <li>PIUs</li> <li>SCRW and Health Department</li> <li>MBs</li> </ul>	Year 1-5
3. Establish baseline and maintain a consumer database disaggregated by sex, ethnicity, poverty and vulnerability levels	<ul style="list-style-type: none"> <li>Consumer database developed in at least 50 project cities, that includes a subset of BPL, vulnerable and all FHHs with water/sewerage connections in cities and slums</li> </ul>	<ul style="list-style-type: none"> <li>CAPC</li> <li>MBs</li> <li>City Level NGO</li> </ul>	Year 1-5
4. Ensure that rationalization of tariffs do not further disadvantage the poor and vulnerable, through meaningful consultation with and adequate representation of BPL/FHH	<ul style="list-style-type: none"> <li>At least six consultations conducted in six project cities [Target: 30% women participation] with BPL/FHH and in poor neighborhoods and slum areas</li> <li>Pro-poor and gender-responsive water and sewerage tariff schedule implemented in each project city</li> </ul>	<ul style="list-style-type: none"> <li>LSGD</li> <li>PHED</li> <li>MBs</li> </ul>	Year 1-5
<b>Outputs 3 and 4. Water supply and wastewater system rehabilitated and expanded in six project cities</b>			
1. Conduct a range of: (a) community orientation seminars on project-related issues such as	<ul style="list-style-type: none"> <li>Community orientation seminars (120) on key components of the project and its pro-poor, gender- and socially-inclusive design features</li> </ul>	<ul style="list-style-type: none"> <li>PMU/PIUs</li> <li>CAPP</li> <li>City Level</li> </ul>	Year 1-5

<sup>45</sup> These include: the GOI-supported *Jawaharlal Nehru National Urban Renewal Mission*, the *Rajiv Awas Yojana* (slum redevelopment), the *National Urban Livelihoods Mission* (mobilization of poor into self-help groups and federations and provision of skill training for wage employment and self-employment), the *MWCD Indira Gandhi Matritva Sahyog Yojana* (IGMSY) and *Integrated Child Development Scheme* (ICDS). GOR schemes include: CM's *Seven Point Women Empowerment Program*, *Rajiv Gandhi Adolescent Girl Empowerment Scheme* (SABLA), *Scheme for Self Reliance* (Swavlamban Yojana), *Scheme to provide subsidy against Interest on SHG loans*, *Scheme for Training and Employment of Women Program* (STEP).

Activity	Targets/ Indicators	Responsibility	Time Frame
<p>procedures for water and sewerage connections, and tariffs; (b) public meetings and women-only FGDs with women leaders, RWAs, women's SHGs and other community-based groups on issues such as: water, sanitation and health, personal/female hygiene, social safety, women's access to property rights</p>	<p>[4/year in each project city]</p> <ul style="list-style-type: none"> <li>Public meetings and women-only FGDs (90) conducted on gender-related aspects of WSS in project areas including slums [Target: 50% women participation in each meeting] [three/year in each project city]</li> <li>Gender-focused strategies developed and activities conducted in schools/colleges; reports of activities prepared and follow-up activities done [Target: 50% girl students participation/meeting] [50 schools or colleges/year in each project city]</li> <li>Public service advertisements (90) on water, sanitation and gender produced and played in radio, newspapers, and TV programs [at least three/year in six project cities]</li> <li>IEC Campaigns (leaflets, posters, banners, rallies, competitions, etc.) in participating cities to publicize the pro-poor, gender- and socially-inclusive design features of the project [in each project city]</li> </ul>	<p>NGO</p>	
<p>2. Ensure that BPL/FHH benefit from improved WSS services; identify all BPL/FHH in the project cities for better targeting for subsidized connections; and reduce or subsidize connection fees for BPL/FHH</p>	<ul style="list-style-type: none"> <li>Roster of BPL/FHH established</li> <li>At least 30% of new WSS connections benefit BPL/HHs</li> <li>All BPL/FHHs have individual water and sewer connections (2014 baseline available in PPTA reports)</li> </ul>	<ul style="list-style-type: none"> <li>LSGD</li> <li>City Level NGO</li> <li>MBs</li> </ul>	<p>Year 2-5</p>
<p>3. Engage women workers in construction and rehabilitation work, ensuring implementation of core labor standards such as equal pay for work of equal value, and protection of women from discrimination and other forms of harassment</p>	<ul style="list-style-type: none"> <li>Women's access to unskilled labor opportunities [Target: 35%]</li> <li>Payroll showing worker's name, sex, and paid wages available with the contractors for inspection</li> <li>All engaged contractors and workers oriented on gender-related aspects of urban development, with focus on GOI/GOR legislations and regulations<sup>46</sup></li> </ul>	<ul style="list-style-type: none"> <li>PIUs</li> <li>City Level NGO</li> <li>PMDSC</li> <li>Contractors</li> </ul>	<p>Year 1-4</p>
<p>4. Provide WSS connections to government schools, courtyard shelter (<i>anganwadis</i>), and hospitals</p>	<ul style="list-style-type: none"> <li>All GOR run early childhood care and education (<i>anganwadis</i>) centers, government schools esp. girls' schools, and hospitals in project areas have improved WSS services [Target: at least 30 girls' schools, at-least 600 <i>anganwadi</i> centers and 15 city hospitals and PHCs]</li> </ul>	<ul style="list-style-type: none"> <li>PMU</li> <li>PMDSC</li> </ul>	<p>Year 1-5</p>
<p><b>Output 5. Capacity building and efficient program management</b></p>			
<p>1. Employ women staff in project units/offices, conduct gender awareness workshops for all project staffs</p>	<ul style="list-style-type: none"> <li>Adequate representation of women at managerial, technical and administrative levels of PMU, PIUs, and city-level NGOs [Target: 20%]</li> <li>Capacities of project staff of all project entities [PMU, PIU, CAPC, PMDSC and NGOs] enhanced on gender-responsive project management and implementation relevant to urban development projects through training sessions (four/year/project entity)</li> </ul>	<ul style="list-style-type: none"> <li>PMU/PIUs(6)</li> <li>City Level NGO</li> <li>CAPC</li> <li>PMDSC</li> </ul>	<p>Year 1-5</p>

<sup>46</sup> Core labor standards, Contract Labor Regulation and Abolition Act 1970, and the Regulation of Employment and Condition of Services Act 1996), and Prevention, Prohibition and Redressal of Sexual Harassment Act 2013.

Activity	Targets/ Indicators	Responsibility	Time Frame
	<ul style="list-style-type: none"> <li>• Include a session on gender in all other trainings in the project</li> </ul>		
2. Incorporate gender indicators in the project management information systems	<ul style="list-style-type: none"> <li>• PPMS and MIS developed with gender-relevant indicators and sex-disaggregated data for reviews and quarterly progress reports (which includes GESI progress report), CAPP and project impact evaluation</li> </ul>		
3. Utilize strategies that create a women-friendly work environment and increase the proportion of women in PMU/PIU and contractor offices	<ul style="list-style-type: none"> <li>• 20% of training opportunities by GOR for MB' staff given to women, in partnership with the SRCW and PSK</li> <li>• Separate and safe toilets and changing facilities for women built in PMU, PIU, MBs, and contractors offices, work sites, and camps</li> <li>• GOI and GOR policies on zero tolerance for sexual harassment and other forms of gender-based discrimination in the workplace implemented</li> </ul>		

BPL = below poverty line households; CAPC = community awareness and participation consultant; CAPP = community awareness and participation plan; CLC = City Level Committees; FGD = focus-group discussions; FHH = female-headed households; GESI = gender equality and social inclusion; GOI = Government of India; GOR = Government of Rajasthan; HH = household; IEC = information, education and communication; LSGD = Local Self Government Department; MB = municipal body; MIS = management information system; NGO = nongovernmental organization; PHED = Public Health Engineering Department; PIU = project implementation unit; PMDSC = project management, design, and supervision consultant; PMU = project management unit; PPMS = project performance management system; PSK = *Poorna Shakti Kendra*, district-based single window service center for women; RWA = resident welfare associations; SCRW = State Resource Center for Women; SHG = Self Help Group; WSS = water supply and sanitation.

## IX. PERFORMANCE MONITORING, EVALUATION, REPORTING AND COMMUNICATION

### A. Project Design and Monitoring Framework

80. The Design and Monitoring Framework of the project is given in Appendix 2.

### B. Monitoring

81. **Project Performance Monitoring.** The PMU will establish a project performance management system using the targets, indicators, assumptions, and risks in the project DMF. Attached as Appendix 7 is an expanded DMF which can serve as a Monitoring and Evaluation (M&E) Framework taking into account the important monitoring parameters in addition to those included in DMF. The baseline data corresponding to indicators and targets set out in the DMF, and M&E Framework will be gathered, building on primary data collected earlier during various baseline studies conducted recently by project preparatory technical assistance consultants and through further data collection, during the detailed design stage, within 12 months of loan effectiveness, disaggregated by income levels, sex, caste, and ethnicity. After the initial baseline survey, the PMU will conduct mid-term and end of project monitoring using the same indicators and submit the reports to ADB throughout project implementation. Results of a comprehensive completion survey will be included in the project completion report. These quarterly reports will provide information necessary to update ADB's project performance reporting system. The template for EA's progress report is in Appendix 9.

82. **Compliance Monitoring:** The PMDSC and CAPC will support the PMU in monitoring performance based on DMF, M&E Framework and project performance management system (PPMS) for the project. The PMU, with support from PMDSC and CAPC will prepare a quarterly progress report, which among other items; will include compliance of implementation of (i) assurances, covenants and conditions; (ii) safeguards; (iii) GESI; (iv) CAPP, etc.

83. **Safeguards monitoring:** Status of the implementation of the Environmental safeguards documents (IEE, EMP, EARF), and social safeguards documents (RP and RF) will be discussed at each ADB review mission apart from being integrated into quarterly progress reports.

84. **Gender and Social Dimensions Monitoring:** Status of the implementation of the GESI Action Plan and CAPP will be discussed at each ADB review mission apart from being integrated into quarterly progress reports.

### C. Evaluation

85. ADB provides financing for projects that will effectively contribute to the economic and social development of the country concerned and have the strongest poverty reduction impact in conformity with the country and ADB strategies. The government and ADB will jointly review the project at least twice a year. This includes (i) the performance of the PMU, consultants and contractors; (ii) physical progress of projects and effectiveness of safeguards, CAPP and the GESI Action Plan; (iii) inclusion of women and vulnerable groups including the poor in project planning and implementation; (iv) reduction of water and sewerage connection fees for the poor, vulnerable and excluded beneficiaries; (v) compliance with loan assurances; and (vi) assessment of project sustainability in technical and financial terms. As the program loan is linked to policy reforms, the quarterly progress report will deal with the policy reforms being implemented in detail. In addition to the regular loan reviews, the government and ADB will

undertake a comprehensive midterm review in the third year of project implementation to identify problems and constraints encountered and suggest measures to address them. Specific items to be reviewed will include (i) appropriateness of scope, design, implementation arrangements, and schedule of activities; (ii) assessment of implementation pace against project indicators; (iii) effectiveness of capacity building programs; (iv) compliance with safeguard measures; (v) extent to which the GESI Action Plan and CAPP are being implemented; (vi) needs for additional support for O&M of the facilities established under the project, (vii) lessons learned, good practices, and potential for replication; and (viii) changes recommended. Within 6 months of physical completion of the project, the PMU will submit a project completion report to ADB.<sup>47</sup>

#### **D. Reporting**

86. The PMU will provide ADB and GOR: (i) quarterly progress reports in a format consistent with ADB's project performance reporting system; (ii) consolidated semi-annual safeguards monitoring reports (one for resettlement and one for environment); (iii) consolidated annual reports including: (a) progress achieved by output as measured through the indicator's performance targets, (b) key implementation issues and solutions (including the implementation of GESI Action Plan and CAPP), (c) updated procurement plan, and (d) updated implementation plan for the next 12 months; and (iv) a project completion report within 6 months of physical completion of the project. CAPC will prepare the city-wise and consolidated monthly progress reports on CAPP and GESI using the GESI monitoring format, which will be reviewed and finalized by PMU. CAPC will also provide inputs on the implementation of the GESI and CAPP for the quarterly progress reports to be submitted to the GOR and ADB. To ensure projects continue to be both viable and sustainable, project accounts, together with the associated auditor's report, should be adequately reviewed. The template for EA's progress report and safeguards monitoring report are in Appendix 9 and 10, respectively.

#### **E. Stakeholder Communication Strategy**

87. The project intends to maximize transparency by communicating relevant project information to stakeholders in various means. The PMU has a website to disclose all key project-related information, including the scope, cost, and financial and institutional arrangements of the project, project safeguard reports such as IEE and RPs, and project progress such as procurement, contract award and disbursement. The PMU will also fully disclose relevant project-related information through website and PMU's information center—such as project cost, cost-sharing arrangement, contractor's name, contract price, progress of construction, financial status of municipalities—through public briefings, bulletin boards, municipal annual reports etc.

88. Community awareness and participation is an important aspect of the project. Public awareness programs for sanitation, health and hygiene education, and 3R's (reduce, reuse and recycle) including water conservation measures in household and/or community level and mobilization of community based volunteers on health and hygiene awareness program will be implemented by the CAPC, in parallel with the physical investment activities. The CAPP and GESI action plan will ensure sufficient communication, information disclosure, consultation and participation with beneficiaries, including women, the poor and vulnerable groups .

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<sup>47</sup> Project completion report format is available at: <http://www.adb.org/Consulting/consultants-toolkits/PCR-Public-Sector-Landscape.rar>

## X. ANTICORRUPTION POLICY

89. ADB reserves the right to investigate, directly or through its agents, any violations of the Anticorruption Policy relating to the Project.<sup>48</sup> All contracts financed by ADB shall include provisions specifying the right of ADB to audit and examine the records and accounts of the executing agency and all Project contractors, suppliers, consultants and other service providers. Individuals/entities on ADB's anticorruption debarment list are ineligible to participate in ADB-financed activity and may not be awarded any contracts under the Project.<sup>49</sup>

90. To support these efforts, relevant provisions are included in the loan agreement and the bidding documents for the Project. In particular, all contracts financed by ADB in connection with the project will include provisions specifying the right of ADB to audit and examine the records and accounts of the executing agency and all contractors, suppliers, consultants, and other service providers as they relate to the project.

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<sup>48</sup> Available at: <http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-Strategies.pdf>

<sup>49</sup> ADB's Integrity Office web site is available at: <http://www.adb.org/integrity/unit.asp>

## XI. ACCOUNTABILITY MECHANISM

91. People who are, or may in the future be, adversely affected by the project may submit complaints to ADB's Accountability Mechanism. The Accountability Mechanism provides an independent forum and process whereby people adversely affected by ADB-assisted projects can voice, and seek a resolution of their problems, as well as report alleged violations of ADB's operational policies and procedures. Before submitting a complaint to the Accountability Mechanism, affected people should make a good faith effort to solve their problems by working with the concerned ADB operations department. Only after doing that, and if they are still dissatisfied, should they approach the Accountability Mechanism.<sup>50</sup>

92. The Accountability Mechanism provides a forum where people adversely affected by ADB-assisted projects can voice and seek solutions to their problems and report alleged noncompliance of ADB's operational policies and procedures. It consists of two separate but complementary functions: problem solving function and compliance review function. People who are, or may in the future be, adversely affected by the project may address complaints to ADB, or request the review of ADB's compliance under the Accountability Mechanism. The project will establish a GRM to ensure greater accountability. Within 12 months of loan effectiveness, PMU will prepare a GRM, acceptable to ADB, and establish a special committee to receive and resolve complaints or grievances or act upon reports from stakeholders on misuse of funds and other irregularities, including grievances due to resettlement. The special committee will (i) make public of the existence of this GRM; (ii) review and address grievances of stakeholders of the project, in relation to either the project, any of the service providers, or any person responsible for carrying out any aspect of the project; and (iii) proactively and constructively responding to them.

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<sup>50</sup> For further information see: <http://www.adb.org/Accountability-Mechanism/default.asp>.



## **XII. RECORD OF PAM CHANGES**

93. This draft PAM was prepared at the loan fact-finding mission in May 2014, and agreed with the government.

### RAJASTHAN URBAN SECTOR DEVELOPMENT PROGRAM: POLICY MATRIX FOR THE PROGRAM LOAN

The State has 190 municipal bodies comprising seven municipal corporations (including Jaipur), 34 municipal councils, and 149 municipalities.

The term “city”, as used in this policy matrix, refers to an urban area, which may extend beyond the legal boundary of a municipal body.

“Project cities” comprise the following six cities: Pali, Tonk, Jhunjhunu, Sri Ganganagar, Hanumangarh, and Bhilwara.

Policy Areas/Objectives	A. Actions Prior to First Tranche Release (December 2015 (indicative))	B. Actions Prior to Second Tranche Release (December 2017 (indicative))	Verification Document and Responsible Agency (RA)
<b>Output 1: Urban Institutions Strengthened</b>			
1. Establish sustainable corporatized state-level organization for urban development.	1.A.1. GOR will have approved corporatization of RUIDP to form a sustainable state-level organization with the mandate to design and implement urban infrastructure projects, and provide project management support to municipal bodies.	1.B.1. GOR will have corporatized RUIDP that will have supported at least 25 municipal bodies for project management.  1.B.2. The corporatized entity will have adopted a business plan and a human resource development policy, endorsed by UDH/LSGD. The business plan will include, among others, the corporatized entity’s vision, organizational structure, and strategy for long-term organizational growth. The human resource development policy will include provisions for independent recruitment of employees, including through campus recruitment.	1.A.1. GOR decision approving corporatization of RUIDP to form a corporatized entity. RA: UDH/LSGD, GOR  1.B.1. Incorporation documents of the corporatized entity; GOR report confirming that the corporatized entity has supported at least 25 municipal bodies for project management. RA: UDH/LSGD, GOR  1.B.2. The business plan and the human resource development policy documents; the corporatized entity BOD meeting minutes adopting the business plan and the human resource development policy; GOR decision endorsing the business plan and the human resource development policy. RA: UDH/LSGD, GOR

Policy Areas/Objectives	A. Actions Prior to First Tranche Release (December 2015 (indicative))	B. Actions Prior to Second Tranche Release (December 2017 (indicative))	Verification Document and Responsible Agency (RA)
		1.B.3. The corporatized entity will have established, as internal units, a technical design center with technical expertise for preparation of urban sector projects, and a safeguards and gender equality unit with capacity to prepare and/or review environmental, social safeguards, and gender equality frameworks/plans for individual projects.	1.B.3. The corporatized entity BOD meeting minutes, establishing the technical design center and the safeguards and gender equality unit; corporatized entity annual reports. RA: UDH/LSGD, GOR
2. Establish an independent corporatized utility at the city level to manage water supply and wastewater services, and promote PPPs in the urban water and wastewater sectors.	2.A.1. GOR will have approved the establishment of an independent corporatized utility with the mandate to manage water supply and wastewater services in Jaipur urban area.	2.B.1. GOR will have established an independent corporatized utility with the mandate to manage water supply and wastewater services in Jaipur urban area.  2.B.2. The corporatized entity will have adopted a business plan and a human resource development policy, endorsed by GOR. The business plan will include, among others, the corporatized entity's vision, organizational structure, and strategy for long-term organizational growth. The human resource development policy will include provisions for independent	2.A.1. GOR decision, approving the establishment of an independent corporatized utility to manage water supply and wastewater services in Jaipur urban area. RA: PHED/UDH, GOR  2.B.1. Incorporation documents of the corporatized entity. RA: PHED/UDH, GOR  2.B.2. The business plan and the human resource development policy documents; The corporatized entity BOD meeting minutes adopting the business plan and the human resource development policy; GOR decision endorsing the business plan and the human resource development policy. RA: PHED/UDH, GOR

Policy Areas/Objectives	A. Actions Prior to First Tranche Release (December 2015 (indicative))	B. Actions Prior to Second Tranche Release (December 2017 (indicative))	Verification Document and Responsible Agency (RA)
		recruitment of employees, including through campus recruitment, as well as provisions that encourage the recruitment of female employees.	
3. Delegate water supply operations from the State to the municipal bodies.	3.A.1. GOR will have transferred water supply operations, including tariff-setting authority, to the municipal bodies in the five project cities.	3.B.1. GOR will have (i) transferred adequate personnel with required technical expertise, and equipment and facilities, and (ii) provided sufficient budget allocation for O&M expenditures to the municipal bodies in the five project cities; municipal bodies in the five project cities will have established appropriate procedures for carrying out water supply operations and commenced carrying out water supply operations.	3.A.1. GOR decision transferring water supply operations, including tariff-setting authority, to the municipal bodies in the five project cities. RA: PHED/UDH, GOR 3.B.1. GOR report confirming (i) transfer of adequate personnel with required technical expertise, and equipment and facilities, and (ii) provision of sufficient budget allocation for O&M expenditures to the municipal bodies in the five project cities; an independent performance audit report confirming that the municipal bodies have (i) adequate personnel with required technical expertise, (ii) sufficient budget provision for O&M expenditure, and (iii) appropriate procedures for carrying out water supply operations. RA: PHED/UDH, GOR
4. Rationalize urban property tax in the State.	4.A.1. GOR will have issued an order rationalizing the property tax (urban development tax or equivalent) by making it applicable to all properties in all municipal bodies in the State (with the exception of properties eligible for	4.B.1. Municipal bodies will have collected property tax (urban development tax or equivalent) from at least 50% of all eligible properties in 50% of municipalities in the State.	4.A.1. GOR order to require property tax (urban development tax or equivalent) to be applicable to all properties in all municipal bodies in the State (with the exception of properties eligible for exemptions and reductions, as decided by the government).

Policy Areas/Objectives	A. Actions Prior to First Tranche Release (December 2015 (indicative))	B. Actions Prior to Second Tranche Release (December 2017 (indicative))	Verification Document and Responsible Agency (RA)
	exemptions and reductions, as decided by the government).		RA: LSGD/UDH, GOR 4.B.1. GOR report confirming (i) the total number of eligible properties in all municipal bodies in the State, and (ii) the total number of eligible properties with such tax paid. RA: LSGD/UDH, GOR
<b>Output 2: Urban Governance Improved</b>			
5. Develop a long-term urban development policy.	5.A.1. GOR will have prepared a draft Rajasthan urban development policy and consulted stakeholders for a review of such draft policy.	5.B.1. GOR will have approved and publicly disclosed, including posting on its website, the Rajasthan urban development policy.	5.A.1. Draft Rajasthan urban development policy; printout of the GOR website showing availability of the draft policy for public review and comments. RA: LSGD/UDH, GOR 5.B.1. GOR decision approving the Rajasthan urban development policy; printout of the GOR website showing availability of the approved policy. RA: LSGD/UDH, GOR
6. Develop a human resource development plan for urban governance.	6.A.1. GOR will have prepared a draft human resource development plan for urban governance that includes training over a period of five years, of at least 10,000 functionaries (including all women functionaries) and elected representatives (including all elected women representatives), and will have consulted with stakeholders, including by posting the draft plan on its website, for a review	6.B.1. GOR will have approved the human resource development plan for urban governance as finalized under tranche 1, and will have disclosed such plan on its website	6.A.1. Draft human resource development plan for urban governance; a printout of the GOR website showing availability of such draft plan for public review and comments. RA: LSGD/UDH, GOR 6.B.1. GOR decision approving the human resource development plan for urban governance; a printout of the GOR website showing availability of the approved plan. RA: LSGD/UDH, GO

Policy Areas/Objectives	A. Actions Prior to First Tranche Release (December 2015 (indicative))	B. Actions Prior to Second Tranche Release (December 2017 (indicative))	Verification Document and Responsible Agency (RA)
	of the draft plan.		
	6.A.2. GOR will have approved establishment of a state-level urban governance training institute that incorporates gender-responsive urban governance as a key training module.	6.B.2. GOR will have operationalized the Institute to train functionaries and elected representatives, and will have trained at least 3,000 functionaries and elected representatives (including at least 30% of the women functionaries and elected representatives).	6.A.2. GOR decision confirming establishment of the Institute. RA: LSGD/UDH, GOR 6.B.2. An independent performance audit report confirming that the Institute has adequate number of personnel with required technical expertise and sufficient budget provision for operational expenditure and giving data of persons trained. RA: LSGD/UDH, GOR
7. Improve revenue realization from water and sewerage charges.	7.A.1. GOR will have prepared a roadmap that includes a system to rationalize water tariffs to (i) recover full costs in the State in a phased manner, (ii) recover at least 30% of the O&M costs by 2017 and at least 100% of the O&M costs by 2019 in the five project cities, (iii) link water tariffs to inflation rate every year in the five project cities, and (iv) set different tariffs for different categories of urban areas instead of a uniform tariff for all urban areas.	7.B.1. GOR will have implemented the roadmap and rationalized water tariff to recover at least 30% of the O&M costs in the five project cities.	7.A.1. GOR decision approving the roadmap RA: PHED/UDH, GOR 7.B.1. An independent report confirming that water tariff has been revised to recover at least 30% of the O&M costs in the five project cities RA: PHED/UDH, GOR
8. Improve water supply and wastewater service delivery in the State	8.A.1. GOR will have prepared a draft urban water and sanitation policy, and consulted with stakeholders for review and comments. The draft policy will include, among others, (i) NRW reduction, (ii) operationalization	8.B.1. GOR will have approved and publicly disclosed, including posting on its website, the urban water and sanitation policy. GOR will have established a system to monitor implementation of the policy	8.A.1. Draft urban water and sanitation policy; print out of the GOR website showing availability of the draft policy for public review and comments. RA: PHED/UDH, GOR

Policy Areas/Objectives	A. Actions Prior to First Tranche Release (December 2015 (indicative))	B. Actions Prior to Second Tranche Release (December 2017 (indicative))	Verification Document and Responsible Agency (RA)
	<p>of 24x7 water supply, (iii) sewerage and septage management, (iv) provision of individual water supply and sewerage connections to households in slums and poor settlements, (v) development of water supply and sewerage GIS and computerized gender-disaggregated customers' database, (vi) guidelines to set water tariffs, (vii) water and wastewater quality monitoring systems, (viii) system to monitor billing and collection efficiency, (ix) waste and wastewater recycle and reuse, (x) bridging gaps between sanitation and health outcomes, and (xi) water and sanitation linkages with economic growth and competitiveness of cities.</p>		<p>8.B.1. GOR decision approving the urban water and sanitation policy; GOR website showing availability of the approved policy. GOR report confirming that system to monitor implementation of the policy established.</p> <p>RA: PHED/UDH, GOR</p>
<p>9. Establish benchmarking of urban services in the State</p>	<p>9.A.1. GOR will have approved recruitment of a service provider to develop benchmarking of urban services in the State.</p>	<p>9.B.1. GOR will have operationalized a system of regular benchmarking of urban services for 25 cities in the State.</p>	<p>9.A.1. GOR decision to recruit a service provider to develop a system of benchmarking of urban services in the State</p> <p>RA: PHED/UDH, GOR</p> <p>9.B.1. GOR report stating that the system of benchmarking of urban services is operational in 25 cities.</p> <p>RA: PHED/UDH, GOR</p>

BOD = Board of Directors, GIS = geographic information system, GOR = Government of Rajasthan, LSGD = Local Self Government Department, NRW = nonrevenue water, O&M = operation and maintenance, PHED = Public Health Engineering Department, PPP = public-private partnership, RUIDP = Rajasthan Urban Infrastructure Development Project, UDH = Urban Development and Housing Department.

### DESIGN AND MONITORING FRAMEWORK

Design Summary	Performance Targets and/or Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
<p><b>Impact</b> Sustainable urban development in Rajasthan</p>	<p>By 2024 (for all indicators): Contribution of the urban sector to the state's GDP increased to at least 58% (2014 baseline: 48%) At least 25 cities have water bodies meeting standards specified by the Central Pollution Control Board (2014 baseline: 0)</p>	<p>For all indicators: Census 2021 reports; annual reports of RUIDP and LSGD; state and national government economic reports; annual reports of MOUD</p>	<p><b>Assumption</b> Solid waste management plans in the state are effectively implemented. <b>Risk</b> Extreme natural disasters disrupt urban infrastructure.</p>
<p><b>Outcome</b> Improved urban service delivery in Rajasthan</p>	<p>By 2019 (for all indicators): Water supply in at least five cities improved to 24-hour supply (2014 baseline: average 2 hours/day) (target: new beneficiaries from poor, 30%) Collection and treatment of sewage and septage in at least six cities increased to 70% (2014 baseline: 5%) (target: new beneficiaries from poor, 30%) Policy, institutional, legal, and regulatory frameworks for state infrastructure corporations, corporatized utilities, and PPPs are operational</p>	<p>For all indicators: Annual reports of RUIDP and LSGD</p>	<p><b>Assumptions</b> Important stakeholders continue to be committed to urban sector reforms. Nonproject cities improve urban service delivery. <b>Risk</b> Climate change parameters go beyond projected limit in Rajasthan and relevant headwaters.</p>
<p><b>Outputs</b> 1. Urban institutions strengthened</p>	<p>By 2019 (for all indicators): Corporatized entity for RUIDP established (with approved business plan, HRD plan, and design center), and functioning (with at least 25 municipal bodies supported) The corporatized entity for Jaipur water supply and wastewater operations established and functional with its business plan and HRD plan O&amp;M embedded construction contracts operationalized for water supply in five cities and for wastewater in at least six cities Water and wastewater operations, including authority to set water and sewerage tariffs, delegated to at least five municipal bodies</p>	<p>For all indicators: Progress reports of RUIDP and LSGD Government of Rajasthan website</p>	<p><b>Assumption</b> Delegation to municipal bodies is coupled with adequate powers and personnel.</p>



Design Summary	Performance Targets and/or Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
	Property tax rationalized in the state and collected from at least 50% of all eligible properties in 50% of the municipalities in the entire state		
2. Urban governance improved	<p>By 2019 (for all indicators): Urban development policy, human resource development plan, and urban water and sanitation policy adopted and disclosed</p> <p>Benchmarking of urban services, and gender-disaggregated consumer database operationalized for 25 cities</p> <p>Support for total sanitation and solid waste management provided to at least six cities</p> <p>Water tariff rationalized to recover O&amp;M costs in at least five cities</p> <p>Five project cities improve billing and collection efficiency to more than 90% (2014 baseline: 0)</p> <p>Water and wastewater quality monitoring system, as per national standards, established in 25 cities</p>	For all indicators: Progress reports of RUIDP and LSGD Government of Rajasthan website	
3. Water supply system rehabilitated and expanded in five project cities	<p>By 2019 (for all indicators): 2,546 km of new or rehabilitated pipelines constructed through O&amp;M embedded construction contracts</p> <p>196,006 new house service connections with functional meters provided to benefit 0.98 million residents (target: connections provided to poor, 30%)</p> <p>NRW reduced to less than 15% and ILI reduced to less than 10 (2014 baseline: NRW more than 40% and ILI more than 200)</p> <p>Compliance of water samples with national drinking water quality standards increased to 95% (2014 baseline: 5%)</p>	For all indicators: Progress reports of RUIDP and LSGD	<p><b>Assumptions</b> Proper network management continues after completion of works.</p> <p>Coordination between PHED and municipal bodies is effective.</p>
4. Wastewater system rehabilitated	By 2019 (for all indicators): 1,865 km of sewers constructed and 189,133 sewer connections	For all indicators: Progress reports of	<b>Assumption</b> Households connect to the

Design Summary	Performance Targets and/or Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
and expanded in six project cities	<p>provided benefiting 0.94 million residents (target: connections provided to poor, 30%)</p> <p>25 MLD capacity WWTPs constructed and operating through O&amp;M embedded construction contracts</p> <p>Wastewater used as a resource for recycling or energy generation in at least three project cities</p> <p>Septage management facilities constructed in at least two areas</p> <p>DEWATS constructed in at least two areas</p>	RUIDP and LSGD	sewerage systems.
5. Capacity building and efficient program management implemented	<p>By 2019 (for all indicators): Capacity-building program implemented for LSGD and RUIDP staff</p> <p>GESI action plan and CAPP are implemented</p>	For all indicators: Progress reports of RUIDP and LSGD	<b>Risk</b> Turnover of consultants and project management staff is high.
<b>Activities with Milestones</b>			<b>Inputs (\$ million)</b>
<p><b>1. Urban institutions strengthened</b></p> <p>1.1 Approve corporatization of RUIDP and Jaipur city utility (September 2015)</p> <p>1.2 Delegate water supply operations to five municipal bodies (September 2017)</p> <p>1.3 Five municipal bodies commence water supply operations (September 2017)</p> <p>1.4 Rationalize property tax in state to include all properties (September 2015)</p> <p><b>2. Urban governance improved</b></p> <p>2.1 Submit an urban development policy, a human resource development plan, an NRW management policy, a 24-hour water supply policy, and a water and sewerage connections policy (September 2017)</p> <p>2.2 Develop benchmarking system and GIS (September 2017)</p> <p>2.3 Develop computerization of consumer databases (September 2017)</p> <p>2.4 Implement use of billing and collection system (March 2017)</p> <p>2.5 Adopt water and wastewater quality monitoring system (September 2017)</p> <p><b>3. Water supply system rehabilitated and expanded in five project cities</b></p> <p>3.1 Complete NRW assessment in five project cities (March 2019)</p> <p>3.2 Award all water supply contracts (December 2016)</p> <p>3.3 Complete the civil works to start 24-hour water supply (December 2018)</p> <p>3.4 Complete all construction and commission all water supply facilities (March 2019)</p> <p><b>4. Wastewater system rehabilitated and expanded in six project cities</b></p> <p>4.1 Operationalize environmental monitoring system (September 2017)</p> <p>4.2 Complete energy and environmental audits (December 2015)</p> <p>4.3 Finalize safety manual with GESI principles (June 2016)</p> <p>4.4 Award all wastewater contracts (December 2016)</p> <p>4.5 Complete all construction and commission all wastewater facilities (March 2019)</p> <p><b>5. Capacity building and efficient program management</b></p> <p>5.1 Establish PMU with necessary staff (November 2014)</p> <p>5.2 Initiate capacity-building activities of LSGD and RUIDP staff (December 2014)</p> <p>5.3 Mobilize PMDSC and CAPC (June 2015)</p>			<p>Loan</p> <p>ADB: \$501 million (policy-based loan of \$250 million, project loan of \$250 million, and technical assistance of \$1 million)</p> <p>Grant</p> <p>SFPTF: \$2 million</p> <p>Government: \$110 million</p> <p><b>Total: \$613 million</b></p>

ADB = Asian Development Bank; CAPC = community awareness and participation consultant; CAPP = community awareness and participation plan; DEWATS = decentralized wastewater treatments system; GDP = gross domestic product; GESI = gender equality and social inclusion; GIS = geographic information system; HRD = human resource development; ILI = infrastructure leakage index; km = kilometer; LSGD = Local Self Government Department; MOUD = Ministry of Urban Development; MLD = million liters per day; NRW = nonrevenue water; O&M = operation and maintenance; PHED = Public Health Engineering Department; PIU = project implementation unit; PMDSC = project management, design, and supervision consultant; PMU = project management unit; PPP = public–private partnership; RUIDP = Rajasthan Urban Infrastructure Development Project; SDP = sector development program; SFPTF = Sanitation Financing Partnership Trust Fund under the Water Financing Partnership Facility; and WWTP = wastewater treatment plant.

Source: Asian Development Bank.

# CONTRACT AWARD AND DISBURSEMENT FORMATS

## ASIAN DEVELOPMENT BANK WORKSHEET FOR QUARTERLY AND YEARLY CONTRACT AWARDS/ COMMITMENTS AND DISBURSEMENT PROJECTIONS (QP-01/20\_\_)

### I. INTRODUCTION

- A. This worksheet was developed as a result of the Bank's efforts to make more accurate the assessment of the liquid funds required to be held by the Bank during each year for making disbursements against ADB-financed Loans. This worksheet is provided to enable the Regional and Resident Offices, and the Project Divisions to develop realistic quarterly projections of their contract awards/commitments and disbursements.

### II. COMPLETING THE WORKSHEET

- B. Each Regional and Resident Mission and each Project Division administering projects is requested to observe the following instructions in completing the worksheet:
1. PROJECT: Official name of the project.
  2. LOAN/GRANT NO.: ADB assigned Loan Number; SEGMENT NO.: ADB assigned Loan Segment Number, if any; FUNDS: OCR, SF, etc.; COUNTRY: Abbreviated ADB acronym of the Borrowing Country.
  3. PROJECTION MADE IN: Month and Year in which projections are prepared.
  4. "LINE" COLUMN: To be numbered in sequence for easy identification purposes.
  5. "CATEGORY" COLUMN: Indicate the Category of Expenditure in accordance with the Allocation of Loan Proceeds as defined in the Loan Documents.
  6. "CONTRACT/COMMITMENT ITEM" COLUMN: Indicate the Contract/Commitment Item that corresponds to each Category. Indicate in detail each contract or bid package (or more detailed breakdowns if found useful) awarded prior to the preparation of this worksheet, or which will be awarded/committed during the projection year, under each Category of Allocation of Loan Proceeds.
  7. "MONTH CONTRACT AWARDED/COMMITTED OR TO BE AWARDED/COMMITTED - CONTRACT VALUE/COMMITMENT" COLUMN: Indicate either the actual (QA) or projected

(QP) month of award of contract/commitment and the actual/estimated value of each contract/commitment **eligible for Bank financing** listed in the "Contract/Commitment Item" Column. In the upper portion of the blank space write (QA) and the date on which the contract/commitment was awarded/committed. When the Project Division anticipates that a contract/commitment will be awarded/committed in future quarters of the projection year; indicate (QP) and the month in the blank space under the quarter in which the contract/commitment is scheduled to be awarded/committed. In the lower portion (double box), indicate the value of contract/commitment already awarded/committed (QA) or to be awarded/committed (QP) for each contract/commitment listed. Where the exact contract value/commitment is an estimate, you may supply (as an attachment) a list of the particular items included in the contract/commitment with cost estimate for each item., In the case where a contract/commitment has been awarded/ committed in previous years, but full or partial delivery is expected during the projection year, list Executing Agency's and/or ADB assigned Contract Number/Commitment and title in the "Contract/Commitment Item" Column, as well as the contract award/commitment date, the contract/commitment value in the "Contracts Awarded on Previous Year(s)" Column and the contract/commitment value (QP) available for Disbursement. Where the Executing Agency anticipates procurement through International Shopping (IS) procedure, list the procurement in the appropriate "Category" and "Contract/Commitment Items Columns as IS. In such a case, the Executing Agency should furnish a list of all items to be procured through IS with the estimated cost of each item as an attachment. While it may be difficult to determine or project an accurate date of award of contracts/commitments for IS items, it is **essential to work out a realistic time schedule for the award of such contracts (BASED ON CONTRACT SIGNING DATE) commitment as well as the estimated schedule and amounts of disbursements relevant to such contracts/commitments.**

8. "DISBURSEMENT AMOUNT RELATED TO THE CONTRACT/COMMITMENT" COLUMN: Indicate the disbursement amount projected (QP) to take place for each contract/commitment listed in the "Contract/Commitment Item" Column during the applicable quarters of the projection year. The commercial portion of existing contracts/commitments should be referred to define the commercial

payment terms of each contract. Where the Executing Agency is projecting to award contracts or to approve commitments during the projection year, for which payment terms or delivery time are unknown, make assumptions in the projections (OP) of disbursements in each quarter of the projection year. **Interests During Construction (IDC), if any, should also be included in the Disbursement Projections.**

- "TOTAL" COLUMNS: Summarize the entire yearly projected contract awards value/commitments and disbursement amount under each Contract/Commitment Item. Total all the projections of contract awards/commitments and disbursements for each Contract/Commitment Item for the four quarters of the projection year. Total for the projection year is the summation of Quarterly Actuals (QA) plus Quarterly Projected (QP). Yearly: (YP) = (QA) + (QP).
9. "TOTAL OF THIS PAGE\_OF\_PAGES" LINE: It is devised to help in carrying on the totals horizontally and vertically computed from one page to the following page; the totals will be reported in the "Totals from Previous Page \_\_\_ of \_\_\_ Pages" line of the subsequent page.

### III. NOTES

- C. The Regional and Resident Missions and the Sector Divisions may distribute this form, which is printed and distributed in September of each year, to Executing Agencies and request them to provide the information in yearly and quarterly breakdowns of projections **IN TIME TO MAKE IT POSSIBLE TO REACH COPP/COSO AT THE ADB HEADQUARTERS! NOT LATER THAN THE 10TH OF JANUARY OF THE PROJECTION YEAR.**
- D. When this form QP-01120 is used to project Commitments (in lieu of Contract Awards) for credit lines of DFI Loans and of Non-DFI Loan Credit Segments, please use the "Contract Awards Commitments" columns and cross the box on the top right hand corner in the front of this form.

# Worksheet for Quarterly & Yearly Contract Awards/Commitments & Disbursement Projections (\$ Million)

(Important: Before completing this form, please read carefully the instructions printed at the back of this form. Refer to PAI Nos. 5.02. Issued in December 2001.)

PROJECT: \_\_\_\_\_ LOAN/GRANT NO. \_\_\_\_\_ SEGMENT NO. \_\_\_\_\_ FUNDS (OCR, SF, ADF-IX, ATF<sup>2/</sup>) \_\_\_\_\_ COUNTRY (Acronym) \_\_\_\_\_ PROJECTIONS MADE IN: \_\_\_\_\_ (Month, Year)

Ref. Line No.	Category <sup>1/</sup>	CONTRACT/COMMITMENT ITEM <sup>1/</sup>	Contracts Awarded on Previous Year(s)	QUARTER 1			QUARTER 2			QUARTER 3			QUARTER 4			TOTAL PROJECTED FOR THE YEAR 20 (YP)=(QA) + (QP)	
				Jan, Feb, Mar 20____			Apr, May, Jun 20____			Jul, Aug, Sep 20____			Oct, Nov, Dec 20____			Contract Value/ Commitment (9)=(1+3+5+7)	Disbursement Amount Related to the Contract/ Commitment (10)=(2+4+6+8)
				Month, Year Contract Awarded	QP Month Awarded/ Committed or To be Awarded/ Committed	QA Disbursement Amount Related to the Contract/ Commitment (2)	QP Month Awarded/ Committed or To be Awarded/ Committed	QA Disbursement Amount Related to the Contract/ Commitment (4)	QP Month Awarded/ Committed or To be Awarded/ Committed	QA Disbursement Amount Related to the Contract/ Commitment (6)	QP Month Awarded/ Committed or To be Awarded/ Committed	QA Disbursement Amount Related to the Contract/ Commitment (8)					
TOTAL (Carried Forward) FROM PREVIOUS PAGE ___ OF ___ PAGES				QP	QA	QA	QP	QA	QA	QP	QA	QA	QP	QA	QA		
1				QP	QA	QA	QP	QA	QA	QP	QA	QA	QP	QA	QA		
2				QP	QA	QA	QP	QA	QA	QP	QA	QA	QP	QA	QA		
3				QP	QA	QA	QP	QA	QA	QP	QA	QA	QP	QA	QA		
4				QP	QA	QA	QP	QA	QA	QP	QA	QA	QP	QA	QA		
5				QP	QA	QA	QP	QA	QA	QP	QA	QA	QP	QA	QA		
6				QP	QA	QA	QP	QA	QA	QP	QA	QA	QP	QA	QA		
7				QP	QA	QA	QP	QA	QA	QP	QA	QA	QP	QA	QA		
8				QP	QA	QA	QP	QA	QA	QP	QA	QA	QP	QA	QA		
9				QP	QA	QA	QP	QA	QA	QP	QA	QA	QP	QA	QA		
10				QP	QA	QA	QP	QA	QA	QP	QA	QA	QP	QA	QA		
TOTAL OF THIS PAGE ___ OF ___ PAGES (To be carried on next page)				QP	QA	QA	QP	QA	QA	QP	QA	QA	QP	QA	QA		
GRAND TOTAL (LAST PAGE)				QP	QA	QA	QP	QA	QA	QP	QA	QA	QP	QA	QA		

<sup>1/</sup> In accordance with the allocation of loan proceeds as defined in the loan documents, or any other detailed breakdown if found useful.

<sup>2/</sup> ATF = Asian Tsunami Fund; Projections should be for the ADB-ATF financed component only.

QA = Quarterly Actual (already awarded/committed/disbursed, when projections are prepared).

QP = Quarterly Projected (to be awarded/committed/disbursed, when projections are prepared).

NOTES AND REMARKS:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Page \_\_\_ of \_\_\_ pages

QP-01-20\_\_\_\_\_



## PROCUREMENT PLAN

### Basic Data

<b>Project Name:</b> Rajasthan Urban Sector Development Program	
<b>Project Number:</b> 42267	<b>Approval Number:</b>
<b>Country:</b> INDIA	<b>Executing Agency:</b> State of Rajasthan acting through its Local Self Government Department
<b>Project Financing Amount:</b> \$362 million <b>ADB Financing:</b> \$250 million <b>SFPTF<sup>51</sup> Financing:</b> \$2.0 million <b>Non-ADB Financing:</b> \$110.00 million	<b>Implementing Agency:</b> Rajasthan Urban Infrastructure Development Program
<b>Date of First Procurement Plan:</b> 13/05/2014	<b>Date of this Procurement Plan:</b> 11 September 2014

#### A. Methods, Thresholds, Review and 18-Month Procurement Plan

##### 1. Procurement and Consulting Methods and Thresholds

Except as the Asian Development Bank (ADB) may otherwise agree, the following process thresholds shall apply to procurement of goods and works.

Procurement of Goods and Works		
Method	Threshold	Comments
International Competitive Bidding (ICB) for Works	\$40,000,000	
International Competitive Bidding for Goods	\$3,000,000	
National Competitive Bidding (NCB) for Works	Beneath that stated for ICB, Works	
National Competitive Bidding for Goods	Beneath that stated for ICB, Goods	
Shopping for Works	Below \$100,000	
Shopping for Goods	Below \$100,000	

Consulting Services	
Method	Comments
Quality and Cost Based Selection (QCBS)	Prior (90:10)
Quality Based Selection	Prior
Consultants' Qualifications Selection	Prior
Least-Cost Selection	Prior
Fixed Budget Selection	Prior

##### 2. Goods and Works Contracts Estimated to Cost \$1 Million or More

The following table lists goods and works contracts for which the procurement activity is either ongoing or expected to commence within the next 18 months.

Package Number	General Description	Estimated Value	Procurement Method	Review (Prior / Post)	Bidding Procedure	Advertisement Date (quarter/year)	Comments
RUSDP/Pali/01	Water Supply Distribution Network Improvements with	\$65.85 million	ICB Works	Prior	1S2E	Q3/2014	Advance Contracting No prequalification. Large work

<sup>51</sup> Grant from Sanitation Financing Partnership Trust Fund under the Water Financing Partnership Facility.

	house service connections; Replacement of worn out Pumping Machinery; Extension and Providing Sewer Network with House connections and construction of STP at Pali						documents custom made to include operations & maintenance
RUSDP/ Tonk /01	Water Supply Distribution Network Improvements with house service connections; Providing Sewer Network with House connections and construction of STP at Tonk	\$43.75 million	ICB Works	Prior	1S2E	Q4/2014	Advance Contracting No prequalification. ICB Works documents custom made to include operations.
RUSDP/ Gang/01	Water Supply Distribution Network Improvements with house service connections; Replacement of worn out Pumping Machinery; Extension and Providing Sewer Network with House connections etc. at Sriganaganagar	\$67.34 million	ICB Works	Prior	1S2E	Q4/2014	Advance Contracting No prequalification. ICB Works documents custom made to include operations.
RUSDP/ Hanu/01	Water Supply Distribution Network Improvements with house service connections; Replacement of worn out Pumping Machinery; Extension and Providing Sewer Network with House connections etc. at Hanumangarh	\$22.87 million	NCB Works	Prior	1S2E	Q3/2015	No prequalification. Small civil works documents custom made to include operations.
RUSDP/ Jhun/01	Distribution Network Improvements with house service connections; Replacement of worn out Pumping Machinery; Extension and Providing Sewer Network with House connections etc. at Jhunjhunu	\$31.78 million	NCB Works	Prior	1S2E	Q3/2015	No prequalification. ICB Works documents custom made to include operations.
RUSDP/ Bhil/01	Providing Sewer Network with House	\$55.57 million	ICB Works	Prior	1S2E	Q3/2015	No prequalification. ICB Works



	connections etc. at Bhilwara						documents custom made to include operations.
RUSDP/Pali/02	Providing Combined Effluent Treatment Plant with Sludge Disposal Facilities and Water Reuse & Energy Generation in Pali	\$10.09 million	NCB Works	Prior	1S2E	Q3/2015	No prequalification. Small civil works documents custom made to include operations.

### 3. Consulting Services Contracts Estimated to Cost \$100,000 or More

The following table lists consulting services contracts for which the recruitment activity is either ongoing or expected to commence within the next 18 months.

Package Number	General Description	Estimated Value	Recruitment Method	Review (Prior / Post)	Advertisement Date (quarter/year)	Type of Proposal	Comments
RUDP/PMD SC/01	PMDSC	\$11.14 million	QCBS	Prior	Q3/2014	FTP	International 90:10
RUDP/CAP C/01	CAPC	\$1.00 million	QCBS	Prior	Q4/2014	STP	National 90:10
RUDP/NGOs	City NGOs	\$0.90 million	CQS	Prior	Q4/2014	STP	National
TBD	Sanitation Consultants (SFPTF)	\$0.50 million	TBD	Prior	Q1/2015	TBD	

### 4. Goods and Works Contracts Estimated to Cost Less than \$1 Million and Consulting Services Contracts Less than \$100,000 (Smaller Value Contracts)

The following table groups smaller-value goods, works and consulting services contracts for which the activity is either ongoing or expected to commence within the next 18 months.

Goods and Works								
Package Number	General Description	Estimated Value	Number of Contracts	Procurement Method	Review (Prior / Post)	Bidding Procedure	Advertisement Date (quarter/year)	Comments
SFPTF/01	Septage treatment facility, including necessary collection, transportation and equipment and operation and maintenance, in two pilot cities	\$0.60 million	1	NCB Works	Prior	1S2E	Q4/2015	
SFPTF/02	DEWATS, including O&M, in two pilot cities	\$0.75 million	1	NCB Works	Prior	1S2E	Q4/2015	



## 2. Completed Contracts: NIL

Goods and Works								
Package Number	General Description	Estimated Value	Contract Value	Procurement Method	Advertisement Date (quarter/year)	Date of ADB Approval of Contract Award	Date of Completion	Comments
NA								

Consulting Services								
Package Number	General Description	Estimated Value	Contract Value	Recruitment Method	Advertisement Date (quarter/year)	Date of ADB Approval of Contract Award	Date of Completion	Comments
NA								

**D. Non-ADB Financing**

The following table lists goods, works and consulting services contracts over the life of the project, financed by Non-ADB sources.

Goods and Works				
General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Procurement Method	Comments
NA				

Consulting Services				
General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Recruitment Method	Comments
NA				

## **DRAFT TERMS OF REFERENCE FOR PROJECT MANAGEMENT AND DESIGN AND SUPERVISION CONSULTANTS**

### **A. Background**

1. Rajasthan is the largest state in India, accounting for 10% of total geographical area of the country. It is located in the north-western part and is bounded by west and northwest by Pakistan, on the north and northeast by the states of Punjab, Haryana, and Uttar Pradesh, on the east and southeast by the states of Uttar Pradesh and Madhya Pradesh, and on the southwest by the state of Gujarat. The state has an area of 132,140 square miles (342,239 square km). The capital city is Jaipur. The state comprises of 33 districts.

2. While the current urbanization is around 25% in the state, municipal bodies, which number 190 at present, are rapidly urbanizing at a high growth rate of 2.9% per annum. The Government of Rajasthan (GOR) has successfully implemented two multi-sector urban investment projects in the past decade, covering six major cities under the first project and 15 secondary cities under the second project. While the investments have made substantial improvements in the living standards of the residents of these cities, the service delivery in the remaining cities of the state remains poor.

3. One of the important lessons learned by the GOR, is that the investments have to be coupled with sustainable and vibrant institutions, and effective governance systems, to sustain and maximize their impacts. The institutions in water and wastewater sectors in Rajasthan are weak and the responsibilities are fragmented. Accordingly, the GOR has committed to developing a long-term urban development policy that stimulates investments in urban infrastructure, and, simultaneously, addresses institutional deficiencies, and targets major reforms in urban governance, therefore GoR has proposed to undertake a sector development program (SDP) with the loan assistance of Asian Development Bank (ADB). The proposed SDP will support the GOR's reform agenda, and will play a demonstrative role for urban sector operations in India.

4. The SDP modality will support both the infrastructure needs and the state government's reform program, which focuses on strengthening institutions and adjusting the policy, institutional, legal, financial, and regulatory framework. The policy-based loan will provide financial support to the state government to implement reforms that will unlock the potential of various stakeholders, including municipal bodies, individual households, and private sector investors. The amount of the policy-based loan is based on the development financing needs of the state's urban sector, and the financial support required for reforms.<sup>52</sup> The project loan will support catalytic investments that enhance productivity and leverage finances from various other sources in the project cities. The project will also introduce innovations in water supply

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<sup>52</sup> Details are included in the Sector Assessment (Summary): Water and Other Urban Infrastructure and Services and Economic Analysis (accessible from the list of linked documents in Appendix 2).

and wastewater management, such as continuous water supply, and long-term O&M embedded construction contracts for nonrevenue water (NRW) reduction and sustainability of operations.<sup>53</sup>

5. The sector development program (SDP) will complement past and ongoing efforts of the Government of Rajasthan to improve water supply and wastewater services to the residents of the state of Rajasthan.<sup>54</sup> The SDP comprises (i) a program, financed by a policy-based loan, to support policy reforms, including institutional development and governance improvement in the urban sector in the state; and (ii) a project, financed by a project loan, to invest in the water distribution network in five project cities and sewerage systems in the six project cities.<sup>55</sup>

6. The impact of the SDP will be sustainable urban development in Rajasthan. The outcome will be improved urban service delivery in Rajasthan. The SDP will have five outputs: Outputs 1 and 2 will be supported by the policy-based loan, while Outputs 3, 4, and 5 will be supported by the project loan. The project will invest in water supply in five project cities and wastewater sectors in six project cities, each having a population of more than 100,000. The six project cities were selected based on consideration of the cities' lack of basic services at present and their willingness to undertake reforms and institutional restructuring. The outputs will be:

- (i) **Output 1: Urban institutions strengthened.** Activities include (i) creation of a sustainable corporatized state institution for urban development; (ii) corporatization of water supply and wastewater operations in the capital city of Jaipur; (iii) implementation of long-term performance-based management contracts in at least six cities; (iv) delegation of water supply and sewerage functions, along with adequate resources and tariff-setting authority, to municipal bodies; and (v) rationalization of urban property tax for municipal bodies.
- (ii) **Output 2: Urban governance improved.** Activities include (i) formulation and approval of a long-term urban development policy; (ii) development of a human resource development plan for urban governance, including establishment of a state training institute; (iii) implementation of water sector reforms such as reduction of NRW, 24-hour water supply, individual household connections to residents in slum areas, benchmarking of urban services, and development of geographic information systems (GIS) and customer databases, and water and wastewater quality monitoring systems; (iv) support for total sanitation and solid waste management; (v) support for linkages between sanitation and health; and (vi) rationalization of water and sewerage tariffs for O&M cost recovery, and improvement of collection efficiency.

<sup>53</sup> The current status of water supply in the six project cities: average duration varies from 1 hour every 3 days to 2 hours every day; coverage varies from 80% to 100%; production varies from 69 to 136 liters per capita per day; and household service connections coverage varies from 57% to 96%. NRW ranges from 36% to 76% due to poor quality networks, unauthorized connections, ineffective metering, and poor revenue realization. There is no piped sewerage system, and septic tank coverage varies from 65% to 99%. Tariffs are very low (for example, the rate for up to 15,000 liters consumption for a domestic consumer is Rs1.56 per 1,000 liters) and covers around 20% of the O&M cost of water supply. Sewerage charge is collected as a percentage of the water charge ranging from 20% to 33%.

<sup>54</sup> The Asian Development Bank (ADB) provided project preparatory technical assistance: ADB. 2011. *Technical Assistance to India for Preparing the Rajasthan Urban Development Program*. Manila (TA 8043-IND).

<sup>55</sup> The six project cities (with population per Census 2011) are Bhilwara (359,483), Sri Ganganagar (237,780), Pali (230,075), Tonk (165,294), Hanumangarh (150,958), and Jhunjhunu (118,473).

- (iii) **Output 3: Water supply system rehabilitated and expanded in five project cities.** Activities include (i) distribution network improvement, including digital network systems, on a district metering area basis for NRW reduction; (ii) provision of individual property connections to residents, especially the poor and households headed by women; (iii) provision of 24-hour water supply; and (iv) improvement of water supply efficiency by reducing NRW and energy losses of electromechanical machinery.
- (iv) **Output 4: Wastewater system rehabilitated and expanded in six project cities.** Activities include (i) rehabilitation and expansion of the sewerage network, including separation of sanitary sewers from drains, and property connections; (ii) modernization and expansion of wastewater treatment plants; (iii) use of wastewater as a resource, including recycling of wastewater, and energy generation through sludge digestion and gasification; (iv) septage management and decentralized wastewater treatment systems in suitable areas; and (v) total sanitation and solid waste management.
- (v) **Output 5: Capacity building and efficient program management.** Activities include (i) capacity building of urban institutions and municipal bodies, (ii) project management, (iii) implementation of a gender equality and social inclusion action plan, and (iv) implementation of a community awareness and participation plan.

7. The investment component will be utilized for investing in water and wastewater sectors in six project cities. For output 1 and 2, ADB will provide Technical Assistance. TA fund will be used for Capacity Development of the Institutions in the Urban Sector in Rajasthan and will support implementation of the program.

## **B. Objectives of the Assignment**

8. RUIDP will establish 24-hour water supply system in the five project cities under the project, and work with the Public Health Engineering Department (PHED) and municipal bodies to establish similar service delivery in additional five cities. Most cities in Rajasthan have intermittent water supply and high NRW. Lack of proper metering compounds the problem of NRW assessment. To ensure operational sustainability, the SDP will implement a comprehensive NRW management plan using the district metering areas approach and ensure proper network management during operations.

9. Asset management plan and geographical information system. To ensure sustainability of project operations, the SDP will implement a comprehensive asset management plan focusing on an integrated approach to repair, maintain, rehabilitate, and replace assets with the objective of minimizing lifecycle costs. Some efforts have been made in the past to develop geographic information system (GIS) databases. The SDP will support updating and operationalizing the existing GIS, which will also improve operationalization of the NRW reduction plan and asset management plan.

10. Adoption of energy efficient treatment processes and energy generation from sludge, and focus on septage management. Under the project, wastewater treatment plants (WWTPs) will be constructed with energy efficient and mechanized treatment processes. The project will also support (i) energy generation from sludge digestion or gasification, wherever feasible; and (ii) septage management.

11. Operation and maintenance embedded construction contracts for operational sustainability. The project will include O&M embedded construction contracts combining design, construction, and O&M for water supply and wastewater contracts for a sufficiently long period (7-10 years). This will mitigate the municipalities' lack of O&M capacity, improve the quality of construction by providing continuity in system operation, and obligate the municipalities to allocate adequate O&M budget. Special contract conditions for monitoring NRW reduction will be developed and incorporated in the bidding documents to provide incentives for NRW reduction.

12. Integrated planning and development of water and wastewater treatment plant sites. The project will support integrated planning and development of water treatment plant and WWTP sites and surrounding areas, which will focus on (i) landscaping, plantation, and gardens; (ii) solid-waste management; (iii) development of water bodies; and (iv) establishment of information center, etc.

13. The proposed SDP will support the ongoing efforts of the Government of Rajasthan (the government) towards (a) distribution network improvement on district metering area (DMA) basis for NRW reduction, (b) provision of individual property connections to citizens, (c) provision of 24-hour water supply, and (d) efficiency improvement in water supply through, reduction of NRW, and reduction of energy losses in electromechanical machinery. The water management in the project towns through prioritizing the need of distribution network improvement (DNI) works on DMA approach and NRW reduction in water supply sector; to focus on sewerage network and wastewater treatment with energy generation from sludge, recycling of wastewater, water management through proper drainage; Rain water harvesting, etc., to improve efficiency and maximize the impact of investments. Possibility of a long-term concession or performance-based management contract or any other suitable form of public-private partnership (PPP) in the project town will also be explored for implementation as pilot project.

14. ADB has provided project preparatory technical assistance (PPTA) for preparation of project report. The PPTA consultant is developing an investment program to be funded by ADB. The PPTA consultant will also prepare design reports for 2-3 project towns in sectors of water supply and sewerage to start with the project activities.

15. The State of Rajasthan acting through its Local Self Government Department (LSGD) will be the executing agency and the Rajasthan Urban Infrastructure Development Project (RUIDP) will be the implementing agency. Project Management Unit (PMU), headed by Project Director (PD) and supported by other senior officials, will manage the project activities, will liaise with ADB on all issues, implement institutional reforms, and disbursement applications, among others. PMU will be supported by the Project Implementation Units (PIUs) in each project town as part of the urban local body (ULB) in the field.

16. PMU will be responsible for identification, formulation, appraisal and implementation of the projects including ensuring conformance with state, national and ADB social and environmental safeguards policies. A City Level Committee will ensure proper support from the line department in implementation of reforms in field. PIUs in close coordination with project management and design supervision consultant (PMDSC) will be responsible for identification and implementation of works in the city.

17. PMU at central level and PIUs at city level will be provided with necessary consulting services through the PMDSC to strengthen their program management capacity and

implementation of projects in field including surveys, engineering design, construction supervision, measurement and billing, contract management etc. PMDSC comprising of international and national experts, will assist the PMU in Program Management and Implementation.

18. Consultancy contract will be for entire project loan period. PMDSC will have central office at Jaipur and field offices in each of the project towns. PMDSC design experts will be stationed at central office and will travel to the project cities as per the work requirement. PMDSC will work in close coordination with PIU of RUIDP at central level and the Project Implementation Units (PIUs) and the concerned ULBs at city level. Consultancy contracts will initially be for duration of 48 months (4 years) and may be extended on mutual consent for the works of the project towns or other towns.

### **C. Scope of Services, Tasks (Components) and Expected Deliverables**

19. Consultant will be responsible for preparation of all required documents like detailed design reports; review of designs carried out by PPTA or as available with Government; preparation of bid documents; construction supervision, quality monitoring and contract management in field for six project towns. Consultant will be responsible for preparation of all required documents, detailed design reports, bid document etc. for remaining seven towns namely Dausa, Pratapgarh, Sirohi, Dungarpur, Jalore, Banswara and Mt. Abu. Consultant will also be responsible for preparation of all required documents, detailed design reports and bid document, etc. for other towns likely to be part of the program loan as decided or directed by RUIDP, at appropriate stage. The consultant will work as an Engineer and/or Project Manager to the works contracts of project loan during contract implementation.

20. The team will comprise of 144 person months of International experts and 666 person months of National experts. A more detailed breakdown of the type of consultants, and individual inputs is given in Table 1. Specific tasks of the team members and expertise required is mentioned in Table 2. The overall responsibility to deliver the outputs will be of the firm through the Team Leader cum Construction Manager. Consultant's services will be used for preparing document for all the Project towns. The consulting firm will have a Project Coordinator to coordinate with client, consultant team, ensure timely delivery of the documents, coordination within field and office activities, scheduling mobilization/demobilization of team members and to interact with the client on regular basis. Project coordinator will be fully acquainted with the ADB policy procedures and project requirements.

21. Consultant will follow the holistic approach in doing the surveys and investigation in such a way that it can be used for GIS/Data base and requirements of all sectors without any repetition of efforts. As far as possible, piecemeal approach will be avoided to have duplicity of surveys. The surveys where duplicity is observed will not be considered for payment. Consultant will keep proper record of all surveys in hard and soft copies and will be used for all sectors where ever required.

22. Project documents will be prepared adopting finance plus criteria of Gol which includes but not limited to Systemic and Transformational Innovations, piloting of new approaches, Impact Innovations in financing and leveraging, etc. Project activities will include pro-poor and social inclusive activities without any discrimination in service delivery levels. Consultant will prepare policy and documents for pro-poor and social inclusiveness etc.



23. The scope of PMDSC under various activities will include but not necessarily be limited to the following:

- a. **Surveys, Studies and Investigations (to be paid on actual basis for all the towns as required):**
  - i. Identify requirements of surveys, studies and investigations;
  - ii. Carry out all the required engineering surveys and investigations such as total station/LiDAR survey, geo-technical investigation, soil survey, leak detection survey, construction material survey, ground water investigation i.e. hydro-geological investigations, rainfall data collection, identification of underground utilities and their mapping, water sampling and analysis etc.;
  - iii. Conduct all the required baseline surveys for PPMS;
  - iv. Carry out any other survey required including for environmental clearances etc.
- b. **Detailed Engineering Design**
  - i. Review the documents prepared by PPTA consultants and update wherever required. Prepare conceptual plans and preliminary design reports.
  - ii. Once the conceptual plans and preliminary designs are approved, prepare detailed designs in accordance with sound & established engineering practices; tender drawings; and cost estimates, etc. The design shall meet the techno economic aspects for best possible solution after consideration of various available alternatives and shall sufficiently be detailed to ensure clarity and understanding by all stake holders and will be incorporated into a detailed project report to be submitted for the approval of the PMU. The costs estimate shall be prepared on the basis of Schedule of Rates (SOR) of RUIDP. For Non-SOR items, if any, adopting market rate, proper rate analysis will be carried out through market enquiry;
  - iii. Carry out detailed design in water supply sector including source where required; DNI works on DMA approach and; NRW reduction in water supply sector, etc.
  - iv. Carry out detailed design in sewerage sectors including design of sewerage system; proposing best suited treatment process; and reuse of waste water and energy generation, etc.
  - v. Review/revise/modify & update existing DPRs available with RUIDP.
  - vi. Assessment of utility shifting requirement and costs estimations; preparing document required for statutory clearances and other clearances like Railway, Forest, National Highways.
  - vii. Assess land requirement; preparation of land acquisition requirements and acquisition documents;
  - viii. Assess each site's environmental aspects for detailed design of the project component;
  - ix. Undertake design, preparation, planning and management of the community participation components; in particular, undertake workshops for the implementation and monitoring of poverty alleviation components;
  - x. Preparation of bidding documents using ADB approved standard bidding documents, with due consideration to appropriate procedures - National Competitive Bidding (NCB), International Competitive Bidding (ICB), etc.
  - xi. Preparation of performance based bidding documents for water supply and sewerage operations.
- c. **Bidding process and contract award:**

- i. Assist RUIDP in issuing bid invitation, addendum/corrigendum, and clarifications to the bidders queries, bid evaluation, award of contract and signing of contract;
  - ii. Prepare contract documentation to include Letter of invitation, conditions of contract, specifications, design parameters; bills of quantities, etc. for all sub-projects components in close coordination with PIUs;
  - iii. Prepare a detailed implementation schedule and management plan covering all stages of the implementation process for each component from field survey and investigations to acceptance of finished work, to ensure coordination and minimization of disruption to the general public;
  - iv. Prepare construction drawings with sufficient details to permit contractors to carry out construction work effectively and unambiguously and with highest standards of quality.
- d. Construction Supervision and contract management:**
- i. PMDSC will be responsible for:
    - working as an Engineer and/or project manager to the works contracts,
    - checking and approving shop drawings of contractor for implementation,
    - checking the line level, layout of the construction to ensure conformity with the contract, proposed and presentation for approval any changes in the plans that may be deemed necessary indicating effect due to the change on contract and preparation of variation orders accordingly,
    - supervision of construction monitoring and quality assurance of project components,
    - certification that quality is confirming to all relevant specifications and drawings,
    - assess the adequacy of the contractors' inputs in material, labor and construction methodology and provide advisories when required,
    - Ensure safety of the works including project personnel and general public and avoid disruptions,
    - address all revisions and detailed drawings required during execution of contract,
    - Arrange and witness third party inspections,
    - Proof checking and issuance for execution of contractors' design and drawings for lump sum turnkey contracts,
    - preparation of planned maintenance procedure, checking installation and commissioning,
    - recording measurements of works executed at site from beginning to completion of project; sector experts will ensure that work are carried out as per the approved design/drawings & specification and shall supervise pre construction, construction activities and commissioning tests at works.
  - ii. resolution of contractual issues including review, evaluation and confirmation of contract Variation Orders;
  - iii. issuing contract variation with the approval of Employer as required;
  - iv. overall contract management and preparation of the "as built" drawings; and
  - v. measurement and certification of the works completed and for certifying and recommending payments to the contractors.
- e. Social, Environmental, Archaeological, Occupational Health and Safety issues:**

- i. Prepare, review and update the Resettlement Plan for the project based on detailed designs: review the already prepared resettlement framework (RF) based on newly identified packages and prepare/update resettlement plan accordingly; carry out disclosure as necessary after the detailed designs;
  - ii. Prepare, Review and update the Initial Environmental Examination (IEE) already prepared for the project; review the already prepared environmental assessment and review framework (EARF) based on newly identified packages and prepare/update IEE accordingly: carry out disclosure as necessary during and after detailed designs;
  - iii. Identify any further resettlement requirements and costs that may be required and provide all information required in relation to right-of-way access as well as the relocation of existing utilities, if required, and other obstructions at the proposed work sites, including vendor stalls;
  - iv. Support in establishing grievance redress mechanism acceptable to ADB under the project;
  - v. Obtain all necessary permissions and complying with statutory requirements as required prior to construction, such as permissions from Railway, National Highway, Department of Archaeology, Department of Forests and National Parks, and tree-cutting, etc.
  - vi. Ensure that all bidding documents and contract documents contain the Environmental Management Plan (EMP) and such items are included in the bill of quantities; also monitor the implementation of the EMP during construction and pre/post construction phases.
  - vii. Ensure that all bidding documents and contract documents contain the scope of clean development mechanism benefits.
  - viii. In compliance with the EMP, develop a strategy to overcome the difficulties of construction/traffic management in narrow streets and also prepare detailed plans for detour of traffic during excavation for pipe laying. Propose and implement mechanism for coordination among all stakeholders such as traffic police, roads department, user committees, etc, for smooth construction execution. Adequate special measures will be taken for working near buildings and structures of cultural significance and in heritage zones involving close coordination with the Department of Archaeology etc.
  - ix. Lead design of surveys and investigations required for the protection of archaeological sites and heritage areas and prepare Archaeological Impact Assessments, or other agreed upon document to be approved by the Department of Archaeology (DOA) for the sections that are classified as archaeologically sensitive.
  - x. Ensure that all bidding documents contain specific measures for working and excavating in archaeologically sensitive areas;
  - xi. As part of the EMP, prepare a project focused Occupational Health and Safety Plan (OHS) to be adopted by PIU on project work sites; and
  - xii. Provide awareness training on OHS, environmental impacts and mitigation measures to PIU and contractors including contractors' workers.
- f. Project Management and Monitoring**
- i. Planning and managing the project, and assisting RUIDP on the project management, including risk management, cost control, scheduling, monitoring, auditing, reporting, and compliance monitoring for the project required under both the government and ADB rules and guidelines;

- ii. Planning, scheduling and monitoring of the projects using MS project office software;
- iii. Assist RUIDP in conducting regular meetings with all stakeholders, CAPC, municipalities, contractors, and other government entities, etc., to discuss progress and issues related to implementation, and prepare minutes for recording and circulation;
- iv. Establish all necessary records and the procedures of maintaining/updating such records for each package and for the entire project.
- v. Develop and implement procedure for timely payments to the contractors and monitor for compliance;
- vi. Assist RUIDP in ensuring compliance with all loan covenants during project implementation;
- vii. Plan in advance and assist RUIDP in obtaining, in a timely manner, the required clearances, permits, approvals, sanctions or any other information from relevant competent authorities so that the project activities are not unduly delayed; and
- viii. Monitor implementation of mitigation measures and compliance with the Governance Risk Assessment and Management Plan for the project, and update the Plan as per requirement.

**g. Other Important activities**

- i. Identify need of training to RUIDP, line agency and ULBs personnel;
- ii. Conduct training to the PIU, PMU, ULB and line department personnel in design, use of software's, construction supervision activities, etc.;
- iii. Conduct on the job training to the staff of RUIDP and ULBs, etc.;
- iv. Conduct study tours for the good performing projects and to learn the best practices in India and abroad;
- v. Prepare or update the maps using the GIS based softwares; mark the utilities and infrastructure works in the maps; create consumer data base and link with GIS maps;
- vi. Establish Project performance monitoring system (PPMS) as per the project's Design and Monitoring Framework (DMF); updating the PPMS on quarterly basis in accordance with ADB guidelines and loan agreement for the project. In doing so, the PMDSC will carry out all necessary benchmark survey, and subsequent monitoring and evaluation surveys as required;
- vii. Preparing initial base line PPMS report and update the status on quarterly basis. Update the Design Monitoring Framework and project outputs/outcomes, etc. on regular basis in ADB format by doing the necessary surveys and collecting data in field; and
- viii. Advise and assist the ULBs in establishing the double entry account system and ring fenced accounts; provide necessary support to the ULBs in financial reforms; prepare or update the municipal accounting manual; conduct necessary trainings for the financial reforms, etc.

**h. General Support Tasks**

- i. Identify the possibility of private / public participation in water supply operations in at least one town, as outlined in the Investment Program, and prepare contract document;
- ii. To provide all necessary support to the EA in project implementation; and
- iii. In case of casual requirements, provide services of input based experts for other projects under RUIDP or other consultancy package of RUIDP.

**D. Team Composition & Qualification Requirements for the Key Experts** (and any other requirements which will be used for evaluating the Key Experts)

**Table 1: Team Composition**

<b>S. No.</b>	<b>Specialization</b>	<b>Person months</b>
<b>A.</b>	<b>International Experts</b>	
1.	Team Leader cum Construction Manager	48
2.	NRW reduction/24X7 Expert cum Water Supply Expert	12
3.	Process Engineer (STP/WTP)/Recycling of waste water expert	12
4.	Deputy Construction Manager -2 Nos.	72
	<b>International Experts Sub-Total</b>	<b>144</b>
<b>B.</b>	<b>National Experts</b>	
5.	Assistant Construction Manager - 6 nos.	252
6.	Waste Water Expert	45
7.	Project Coordinator	45
8.	NRW cum Water Supply Expert	45
9.	Drainage Expert	12
10.	Road Engineer	12
11.	Structural Engineer	42
12.	Urban Planner	2
13.	Economic and Financial analyst	4
14.	Environmental Specialist	24
15.	Resettlement specialist	24
16.	Mechanical Engineer	24
17.	Electrical & Instrumentation Engineer	45
18.	Sr. Procurement Engineer cum PPP expert	12
19.	GIS, MIS & Mapping Specialist	42
20.	PPMS Expert	12
21.	Municipal Finance Expert	12
22.	Septage Management Expert	12
	<b>National Experts</b>	<b>666</b>
	<b>Total International + National Key experts</b>	<b>810</b>

**Team Composition - Non Key personnel**

<b>S. No.</b>	<b>Position</b>	<b>Person months</b>
1	Support Engineer/ Junior Architect	1908
2	Contract Manager (IT)	294
3	Safeguard Support Staff (2 Nos.)	84
4	CAD cum Data Entry Operator	336
5	Office Manager/Secretary	48
6	Data Entry Operator	384
7	Office Assistant / Utility Persons	384

S. No.	Position	Person months
	<b>Total Non-key personnel</b>	<b>3,438</b>

**Table 2: Qualification Requirements for the Key experts**

S. No.	Position	Qualification Requirement	Responsibility
<b>International Key experts</b>			
1.	Team Leader cum Construction Manager	<p>Essential</p> <ul style="list-style-type: none"> <li>• Graduate Civil Engineer</li> <li>• Post graduate in engineering or management.</li> <li>• post graduate diploma in construction management</li> <li>• Experience of 20 years</li> <li>• At least 10 years experience in construction management of large water supply/waste water projects</li> <li>• Experience in non revenue water reduction program.</li> <li>• Experience in externally funded projects</li> <li>• Experience in computer based contract management tool</li> </ul> <p>Preferable</p> <ul style="list-style-type: none"> <li>• Experience in leak detection programs</li> <li>• Full time staff of the firm</li> <li>• Experience in design and project management software</li> <li>• Experience in India/ similar countries.</li> </ul>	<p>Team leader will be responsible for</p> <ul style="list-style-type: none"> <li>• Overall management and administration of the project components during design and construction</li> <li>• Appraisal if required</li> <li>• Advice on procurement and bidding process</li> <li>• Construction supervision, quality monitoring, contract management as "Engineer"</li> <li>• Establishment of Construction Management and Project Performance Monitoring and Reporting System:</li> <li>• Developing Training Program and impart training</li> <li>• Advice on Institutional reforms</li> <li>• Assist in resolving contractual issue during implementation</li> <li>• Preparation of Progress as well as Project Completion Report.</li> </ul>
2.	NRW reduction/ 24X7 Expert cum Water Supply Expert	<p>Essential:</p> <ul style="list-style-type: none"> <li>• Graduate Civil Engineer</li> <li>• Post graduate in PHE or Environment</li> <li>• 15 years experience in urban Water supply projects</li> <li>• Demonstrated experience in NRW reduction.</li> <li>• Experience in leak detection programs</li> <li>• Experience in 24x7 water supply implementation</li> </ul> <p>Preferable:</p> <ul style="list-style-type: none"> <li>• Experience in design, construction management, supervision and quality assurance programs of water supply projects on pipe lines, pumping stations, leak detection techniques, consumer &amp; bulk water metering</li> <li>• Experience of Externally funded projects (ADB or World Bank)</li> <li>• Full time employment with the firm</li> <li>• Experience in countries similar to India.</li> </ul>	<p>Responsible for</p> <ul style="list-style-type: none"> <li>• All water supply works including preparing concept on NRW reduction</li> <li>• Design of distribution Network Improvement (DNI) on District Metering Area (DMA) basis for NRW reduction.</li> <li>• Assessment of NRW, leak detection, domestic metering system etc</li> <li>• Engineering Design</li> <li>• Appraisal of project components</li> <li>• Assist Procurement</li> <li>• Oversee contract management and performance monitoring of the contractors</li> <li>• Ensuring the construction activities are implemented as per design in field;</li> <li>• Develop and impart training</li> <li>• Assist in preparation of Project Completion Report</li> </ul>

S. No.	Position	Qualification Requirement	Responsibility
3.	Process Engineer (STP/WTP) cum water reuse expert	Essential: <ul style="list-style-type: none"> <li>• Graduate Civil/ Engineer</li> <li>• Post graduate in PHE/Chemical Engineering</li> <li>• Experience of 15 years in design, construction and O&amp;M of sewage plant of all technology.</li> </ul> Preferable: <ul style="list-style-type: none"> <li>• Experience of externally funded projects (ADB or World Bank)</li> <li>• Experience in design, construction and O&amp;M of WTP</li> <li>• Full time employment would be advantageous.</li> </ul>	Responsible for <ul style="list-style-type: none"> <li>• Design of sewage treatment plant and recycling of waste water with state of art/ proven technologies.</li> <li>• Review and approval of designs submitted by contractor.</li> <li>• Appraisal of project packages</li> <li>• Assist in contract management and performance monitoring of the contractors during and after execution</li> <li>• Ensure the construction activities are implemented as per design on field;</li> <li>• O&amp;M capacity building and training</li> <li>• Contribute for preparing Project Completion Report</li> </ul>
4.	Deputy Construction Manager	Essential: <ul style="list-style-type: none"> <li>• Graduate Engineer (Civil)</li> <li>• Post graduate diploma in construction management.</li> <li>• 15 years experience in construction supervision of water supply and sewerage projects</li> <li>• Experience in computer based contract management tool</li> <li>• 5 year experience in construction supervision of NRW reduction project.</li> </ul> Preferable: <ul style="list-style-type: none"> <li>• Experience in project with NRW reduction on the basis of DMA approach. Experience in water retaining structures, water supply pipelines, sewer lines, Pumping Station, water and waste water treatment plants.</li> <li>• Experience of Externally funded projects (ADB or World Bank)</li> <li>• Full time employment with the firm</li> <li>• Experience in similar geographies.</li> </ul>	Responsible for <ul style="list-style-type: none"> <li>• Overall construction management, quality assurance and administration of the contracts under the project</li> <li>• Supervise the construction activity appropriately as “Engineer”, implementation of work as per design;</li> <li>• Provide Training on best practices in construction management</li> <li>• Contract management and Performance Monitoring of the contractors</li> <li>• Support in preparing Project Completion Report and progress reports</li> <li>• resolve contractual issue during implementation</li> </ul>
<b>National Key experts</b>			
5.	Assistant Construction Manager	Essential: <ul style="list-style-type: none"> <li>• Graduate Civil Engineer</li> <li>• 10 years experience including 7 year experience in construction supervision of water supply and sewerage works.</li> <li>• Experience in computer based contract management tool</li> </ul> Preferable: <ul style="list-style-type: none"> <li>• Experience in implementation of NRW reduction project on the basis of DMA</li> </ul>	<ul style="list-style-type: none"> <li>• Responsible for overall construction management, quality assurance and administration of the contracts under the project</li> <li>• Supervise the construction activity appropriately as “Engineer”; implementation of work as per design;</li> <li>• Provide Training on best practices in construction management</li> </ul>

S. No.	Position	Qualification Requirement	Responsibility
		approach <ul style="list-style-type: none"> <li>• Experience of Externally funded projects</li> <li>• Full time employment with the firm.</li> </ul>	<ul style="list-style-type: none"> <li>• Contract management and Performance Monitoring of the contractors</li> <li>• Support in preparing Project Completion Report and progress reports</li> <li>• Assist in resolving contractual issue during implementation</li> </ul>
6.	Waste Water Expert	Essential: <ul style="list-style-type: none"> <li>• Graduate Civil/Chemical Engineer with post graduate degree in PHE/ /Environmental Engineering</li> <li>• 15 years experience</li> <li>• 10 years experience in design and construction management.</li> <li>• Should have good knowledge of computer based sewerage designs.</li> </ul> Preferable: <ul style="list-style-type: none"> <li>• Experience of externally funded projects (ADB or World Bank)</li> <li>• Supervision and quality assurance programs of sewerage projects.</li> <li>• Full time employment with the firm.</li> </ul>	<ul style="list-style-type: none"> <li>• Preparation / appraisal of sewerage components</li> <li>• Engineering design of sewerage system</li> <li>• Review of available designs or contractors designs where applicable</li> <li>• Ensure the construction activities are implemented as per design on field</li> <li>• Supervise the construction activity appropriately;</li> <li>• Training</li> </ul>
7.	NRW cum Water Supply Expert	Essential: <ul style="list-style-type: none"> <li>• Graduate Civil Engineer with post graduate degree in PHED/ Environmental Engineering.</li> <li>• 20 years experience including 15 years experience in design of water supply projects having pipe lines, water treatment plants, intake structures and pumping stations.</li> <li>• Experience in NRW projects / program</li> </ul> Preferable: <ul style="list-style-type: none"> <li>• Experience in construction management, supervision and quality assurance programs in water supply systems.</li> <li>• Experience of externally funded projects (ADB or World Bank)</li> <li>• Full time employment with the firm.</li> </ul>	<ul style="list-style-type: none"> <li>• Design / construction supervision of Distribution system</li> <li>• Design of Network Improvement (DNI) on District Metering Area (DMA) basis for NRW reduction.</li> <li>• Design, construction management, supervision and quality assurance of leak detection works</li> <li>• Review of contractors design wherever applicable</li> <li>• Contract management and Performance Monitoring of the contractors during execution</li> <li>• Ensuring the construction activities are implemented as per design on field;</li> <li>• Help in Resolving contractual issue during implementation</li> </ul>
8.	Project coordinator	Essential: <ul style="list-style-type: none"> <li>• Graduate degree in Engineering with 10 years experience in consultancy field;</li> <li>• Experience in managing urban water projects;</li> <li>• Familiarity with the ADB policy procedures in project implementation; project requirements</li> </ul>	<ul style="list-style-type: none"> <li>• Coordination of RUIDP and consultant team</li> <li>• Ensure timely delivery of the deliverables</li> <li>• Coordination within field and office activities</li> <li>• Scheduling and ensuring timely mobilization/ demobilization of team members</li> </ul>



S. No.	Position	Qualification Requirement	Responsibility
		<ul style="list-style-type: none"> <li>• Good knowledge of computer application</li> <li>• Full time staff of the consulting firm</li> </ul>	<ul style="list-style-type: none"> <li>• Interact with the client on regular basis</li> <li>• Follow up for the actions and approvals</li> <li>• Help in processing invoices and payments to the consulting firm</li> </ul>
9.	Drainage Expert	<p>Essential:</p> <ul style="list-style-type: none"> <li>• Graduate in Civil Engineering</li> <li>• 15 years experience in the field of drainage sector including designs, &amp; preparation of detailed project reports of drainage system.</li> <li>• Should have knowledge of design software.</li> </ul> <p>Preferable:</p> <ul style="list-style-type: none"> <li>• Rain water harvesting,</li> <li>• knowledge of preparation of drainage master plan, Experience in Externally Funded Projects</li> </ul>	<ul style="list-style-type: none"> <li>• Appraisal of drainage works</li> <li>• Engineering designs</li> <li>• Contract management and Performance Monitoring of the contractors during and after execution</li> <li>• Ensuring the construction activities implemented as per design on field; Assist in resolving contractual disputes</li> <li>• Support in PPMS</li> </ul>
10.	Road Engineer	<p>Essential</p> <ul style="list-style-type: none"> <li>• Graduate in Civil Engineering</li> <li>• 10 years experience in road sector including preparation of detailed project reports</li> </ul> <p>Preferable</p> <ul style="list-style-type: none"> <li>• Full time employment of the firm</li> <li>• Post graduation in Transportation Engineering</li> <li>• Experience in externally funded projects.</li> </ul>	<ul style="list-style-type: none"> <li>• Engineering designs</li> <li>• Contract management and performance monitoring of the contractors during and after execution</li> <li>• Ensure the construction activities are implemented in field as per design;</li> </ul>
11.	Structural Engineer	<p>Essential:</p> <ul style="list-style-type: none"> <li>• Post graduate in structural engineer with 7 years experience / graduate engineer with 12 years experience in the field of structural engineering,</li> <li>• Experience in detailed designs of water retaining structures, bridges and all other type of engineering structures. Proficiency in structural design using computer programs.</li> </ul> <p>Preferable</p> <ul style="list-style-type: none"> <li>• Full time employment of the firm</li> </ul> <p>Experience in Externally aided projects</p>	<ul style="list-style-type: none"> <li>• Structural designs of all project components</li> <li>• Review of structural designs submitted by the contractor</li> <li>• Foundation design</li> <li>• Planning and Supervising geotechnical investigations</li> <li>• Ensuring the construction activities are implemented as per design on field;</li> <li>• Support in resolving contractual issues</li> </ul>
12.	Urban Planner	<p>Essential:</p> <ul style="list-style-type: none"> <li>• Post graduate in Planning / Urban Management with 12 years experience;</li> <li>• knowledge of preparation of city investment plans/ city master plans for medium towns.</li> </ul> <p>Preferable:</p> <ul style="list-style-type: none"> <li>• Person should have thorough</li> </ul>	<ul style="list-style-type: none"> <li>• Support the team in preparation of conceptual plans</li> <li>• Assist in demographic and land use related planning of infrastructure</li> <li>• Review towns master plans and advice the project team in planning infrastructure</li> </ul>

S. No.	Position	Qualification Requirement	Responsibility
		knowledge of computer software's. Experience of Externally Funded projects.	
13.	Economic and Financial analyst	Essential: <ul style="list-style-type: none"> <li>• Post graduate in Economics 10 years or more experience in carrying out economic and financial analysis of water and waste water projects</li> <li>• Experience in ADB funded projects</li> </ul>	<ul style="list-style-type: none"> <li>• Appraisal report</li> <li>• Project finance management</li> <li>• Preparation of Economical and Financial Analysis reports</li> <li>• Training</li> <li>• Project Completion and Progress Reports</li> </ul>
14.	Environmental Specialist	<ul style="list-style-type: none"> <li>• Post graduate in Environmental Sciences / Engineering</li> <li>• 10 years experience;</li> <li>• Hands on experience in carrying out EIA studies of , urban infrastructure projects</li> <li>• Experience in ADB/ World Bank funded projects</li> </ul>	<ul style="list-style-type: none"> <li>• Environmental &amp; Safeguards Action Plan, monitoring as per ADB guidelines</li> <li>• Preparation of EIA/IEE</li> <li>• Structuring Environment Management and Monitoring Programs</li> <li>• Appraisal Reports</li> <li>• Communication strategy</li> <li>• Public grievance redressal</li> <li>• Training</li> <li>• Project Completion and Progress Reports</li> </ul>
15.	Resettlement specialist	Essential: <ul style="list-style-type: none"> <li>• Post graduate in Social science having experience of 12 years.</li> <li>• Hands on experience in dealing with the social, gender and resettlement issues in ADB and other external aided projects.</li> </ul>	<ul style="list-style-type: none"> <li>• Resettlement plans</li> <li>• Resettlement monitoring report</li> <li>• Formulation and Implementation of Communications Strategy and Public Relations as per ADB guidelines.</li> <li>• Public grievance redressal</li> <li>• IEC activities</li> <li>• Training</li> <li>• Project Completion and Progress Report</li> </ul>
16.	Mechanical Engineer	Essential: <ul style="list-style-type: none"> <li>• Graduate in mechanical engineering with 10 years experience in WTP/STP, Pumping Stations &amp; power system projects etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Engineering Design</li> <li>• Drafting specification</li> <li>• Procurement</li> <li>• Review of contractors design, drawing etc</li> <li>• Contract management and Performance Monitoring of the contractors</li> <li>• Ensure the construction activities are implemented as per design on field;</li> <li>• Assist in contractual dispute resolution</li> </ul>
17.	Electrical and Instrumentation expert	<ul style="list-style-type: none"> <li>• Graduate electrical/ Instrumentation engineer</li> <li>• 10 years' experience including experience with WTP/STP, street lighting and power system projects</li> </ul>	<ul style="list-style-type: none"> <li>• Engineering Design</li> <li>• Drafting specification</li> <li>• Procurement</li> <li>• Review of contractors design, drawing etc</li> </ul>

S. No.	Position	Qualification Requirement	Responsibility
		<ul style="list-style-type: none"> <li>• Experience in SCADA and PLC.</li> </ul>	<ul style="list-style-type: none"> <li>• Contract management and Performance Monitoring of the contractors</li> <li>• Ensure the construction activities are implemented as per design on field;</li> <li>• Assist in contractual dispute resolution</li> </ul>
18.	Sr. Procurement Engineer cum PPP expert	<p>Essential:</p> <ul style="list-style-type: none"> <li>• Graduate engineer with 10 years experience in public procurement</li> <li>• Experience in ADB procurement procedures</li> </ul> <p>Preferable:</p> <ul style="list-style-type: none"> <li>• FIDIC Contracts formulation</li> <li>• Experience in performance based water supply contracts and contracts on PPP mode.</li> <li>• Expert should have good computer knowledge.</li> </ul>	<ul style="list-style-type: none"> <li>• Procurement of goods, services as per ADB guidelines</li> <li>• Developing performance based contracts on different model at water management projects in all cities</li> <li>• Contract management and Performance Monitoring of the contractors</li> <li>• Training</li> <li>• Project Completion and Progress Report</li> <li>• PPP modality &amp; its implementation</li> <li>• Bid documents on PPP mode.</li> <li>• Prevailing models of PPP &amp; its implementation in the project</li> <li>• Bid Evaluation and contract formulation</li> </ul>
19.	GIS, MIS & Mapping Specialist	<ul style="list-style-type: none"> <li>• Graduate Engineer with at least 10 years experience in the field of development of GIS mappings for urban areas and expertise in using latest GIS Software's like Arc-info, AutoCAD Map, Map-info etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Mapping</li> <li>• Surveys</li> <li>• Developing project Management system</li> <li>• GIS based distribution/collection system mapping</li> </ul>
20.	PPMS Specialist	<p>Essential:</p> <ul style="list-style-type: none"> <li>• Degree in Engineering</li> <li>• 8 years experience in project management, monitoring and reporting of Infrastructure projects.</li> <li>• Working experience as PPMS expert in one ADB project</li> </ul> <p>Preferable:</p> <ul style="list-style-type: none"> <li>• Post graduate</li> <li>• Degree or diploma in project management</li> </ul>	<ul style="list-style-type: none"> <li>• Establishment of Project Management and Monitoring System</li> <li>• Structuring baseline surveys</li> <li>• Structuring mid term and final evaluation</li> <li>• Preparing baseline report</li> <li>• Preparation of PPMS Template and Reporting</li> <li>• Project progress and completion reports</li> </ul>
21.	Municipal Finance Expert	<p>Essential:</p> <ul style="list-style-type: none"> <li>• Post graduate in accounts like Chartered Accountant or equivalent</li> <li>• Experience: 10 years or more for working with the Municipal accounts system:</li> </ul> <p>Preferable:</p> <ul style="list-style-type: none"> <li>• Experience in carrying out of economic and financial assessment of urban</li> </ul>	<ul style="list-style-type: none"> <li>• Support to the ULBs in double entry accounting system;</li> <li>• Prepare/update Municipal accounts manual;</li> <li>• Project finance management;</li> <li>• E Governance</li> <li>• Training</li> </ul>

S. No.	Position	Qualification Requirement	Responsibility
		projects funded by ADB and World Bank	
22.	Septage Management Expert	Essential: <ul style="list-style-type: none"> <li>• Postgraduate degree in civil or environmental engineering or urban planning or an equivalent degree,</li> <li>• Experience with at least 10 years' broad experience in sewerage and sanitation management, preferably on-site sanitation.</li> <li>• Experience in developing and reviewing management policies and guidelines on sanitation.</li> </ul> Preferable: <ul style="list-style-type: none"> <li>• Should be conversant with private sector operations in sanitation and waste management.</li> </ul>	<ul style="list-style-type: none"> <li>• Identify the potential areas for sanitation management, implementation and develop the scheme;</li> <li>• Prepare proposal</li> <li>• Supervise the septage works; and</li> <li>• Explore a public-private partnership scheme to increase financial and operational sustainability</li> </ul>
<b>Qualification Requirements for the Non Key personnel</b>			
1	Support Engineers/ Support Architects	Postgraduate Engineer (Civil, Mechanical, Electrical, architect or Instrumentation as per work requirement) with at least 2 years experience Graduate Engineer (Civil, Mechanical, Electrical, architect or Instrumentation as per work requirement) with at least 3 years experience or Diploma Engineer (Civil, Mechanical, Electrical or Instrumentation as per work requirement) with at least 10 years experience in required field for design / construction supervision and quality assurance programs in the related sector having working experience on computer.	<ul style="list-style-type: none"> <li>• Data collection</li> <li>• Survey and tests, investigation of all project works</li> <li>• Engineering Design and construction supervision of works</li> <li>• Contract management, Quality Control, measurements, billing etc</li> <li>• Performance Monitoring of the contractors</li> <li>• Project Completion Report</li> </ul>
2	Contract Manager (IT)	Graduate Engineer (computer science or IT) with at least 3 year experience in computer operated contract management software/tool. Contract management experience in water sector will be preferred.	<ul style="list-style-type: none"> <li>• Prepare data base</li> <li>• Prepare activity schedule</li> <li>• Contract management/ monitoring</li> <li>• Performance Monitoring of the contractors</li> <li>• Project Completion Report</li> </ul>
3	Safeguard Support Staff (2 Nos.)	Post graduate degree in social science/ environmental science with at least 2 years experience in preparing safeguard document/implementation	<ul style="list-style-type: none"> <li>• Environmental &amp; social Safeguards document preparation, Implementation Action Plan, monitoring as per ADB guidelines</li> <li>• Public grievance redressal</li> <li>• Project Completion Report</li> </ul>
4	CAD cum Data Entry Operator	Diploma in AutoCAD with at least 2 years' experience in preparing the drawings and maps on AutoCAD	<ul style="list-style-type: none"> <li>• Preparation/ updation of computer aided drawings and maps for all the project works</li> <li>• Printing of reports</li> <li>• Computer works in project towns</li> <li>• Assist PIUs in office works</li> </ul>

S. No.	Position	Qualification Requirement	Responsibility
5	Office Manager/Secretary	Graduate with 3 years of experience in office management activities at Infrastructure project with the consultant	<ul style="list-style-type: none"> <li>•Office management activities</li> <li>•Preparing reports</li> </ul>
6	Data Entry Operator	Graduate with 2 years of experience in computer applications	<ul style="list-style-type: none"> <li>•Printing of reports</li> <li>•Computer works in project towns</li> <li>•Assist PIUs in office works</li> </ul>
7	Office Assistant / Utility Persons	Secondary with conversant in English communication	<ul style="list-style-type: none"> <li>•Office works</li> <li>•Assist PIUs in office works</li> </ul>

Note: Consultant will propose the experts who are physically fit and are generally not required to be replaced during entire duration of consultancy contract due to age factor.

## E. Reporting Requirements and Time Schedule for Deliverables

24. As a minimum, following are the deliverables:

- a. Inception Report in 30 days time of mobilization of consultant containing approach, methodology, work plan and staffing schedule for the project activities and schedule for deliverables, etc. in hard and one soft copies;
- b. Draft and final feasibility and necessary appraisal reports including Engineering feasibility; social and Environmental safeguard document; economic and financial analysis, etc. in three hard and soft copies in an agreed time frame;
- c. Draft and final Detailed Project Reports (DPRs) supported by design reports for each sector and town including design criteria; population projections, detailed designs; costs estimates, etc. in hard and soft copies in the agreed time frame;
- d. Draft and final bid document for each contract package in hard copies and soft copies in an agreed time frame;
- e. Monthly, quarterly progress reports; semiannual/biannual environmental and RP implementation reports in hard and soft copies;
- f. Monthly contract performance and management reports using MS project for each contract during entire program period;
- g. Draft/Final contract/project completion reports in hard and soft copies;
- h. Any other reports as required by RUIDP; and
- i. All reports will be submitted to PMU and PIU in an agreed time frame.

25. Since the Services consist of the supervision of civil works, the following action will require prior approval by the Client: Taking any action under a civil works contract designating the Consultant as “Engineer”, for which action, pursuant to such civil works contract, the written approval of the Client as “Employer” is required.

## F. Client’s Input and Counterpart Personnel

- (a) Services, facilities and property to be made available to the Consultant by the Client: Office accommodation with power and water supply facility for central office at Jaipur
- (b) Professional and support counterpart personnel may be assigned by the Client to the Consultant’s team: Client may provide the counterpart staff for supervision of

works in field as available with the client; it will be discussed during contract negotiations and agreed. Quantities in the contract will be adjusted accordingly.

26. Client will provide the following inputs, project data and reports to facilitate preparation of the Proposals:

- Data, reports, maps etc as available for all project cities with the Government
- PPTA report being prepared by PPTA consultant engaged by ADB
- Draft DPRs as available with the client and Government

## **DRAFT TERMS OF REFERENCE FOR COMMUNITY AWARENESS AND PARTICIPATION CONSULTANTS (CAPC)**

1. The proposed Rajasthan Urban Sector Development Program (the SDP) will complement the past and ongoing efforts of the Government of Rajasthan (GoR) to improve water supply and wastewater services to the residents of the state of Rajasthan. The program component will support and consolidate institutional development and improvement of governance in the urban water sector in the state, while the investment component will invest in water distribution network improvements and sewerage systems in project cities.

2. So as to have coordinated efforts between the executing and implementing agencies as well as public, private, and community stakeholders, the implementation arrangement shall include a Community Awareness and Participation Consultant (CAPC) recruited at project level to help the PMU, Rajasthan Urban Sector Development Program (RUIDP) in meaningful and widespread consultations and public awareness during project implementation. CAPC shall monitor the activities conducted at the city level through appropriate arrangements for each program city. The CAPC will work in close coordination with city-level NGOs recruited under the project. Separate consultants will be engaged by the RUIDP as the Project Management and Design Consultant (PMDSC) to carry out detailed design and construction management of the project.

3. The scope of services of CAPC will include but not necessarily be limited to the following:

### **A. Baseline Information Collection/ Survey**

- (i) Collect and compiled segregated information in 280 municipal wards including 103 slum localities in the 6 program cities on socio economic status, vulnerability, geographical areas with concentration of marginalized and poor, available social capital and organizations working among communities in the communities scattered.<sup>56</sup>
- (ii) Based on the above information, prepare a community profile for each project city. It would be responsibility of the Team Leader to prepare analytical report based on the surveys done by enumerators.
- (iii) Conduct census survey for resettlement plan (RP) updating and preparation, in coordination with the PMDSC social safeguards specialist, PMU's and PIU's safeguards officer and PIU safeguards assistant officer.
- (iv) Consultation on project's resettlement plans and framework (minimum 3 meetings) in all program cities with identified Aps.
- (v) Baseline information collection/survey will include sex disaggregated community profile for each project city.

<sup>56</sup> Since the distribution network is proposed to be improved with District Metered Areas as the base units, the information can be put together for each DMA/ zones in sewerage network. With supports from city level NGO, collect information on the following for project city as baseline survey, through baseline and poverty mapping surveys available covering 20% of the total households under the project: (a) settlement patterns; (b) businesses (titled and non-titled); (c) socio-economic information of households with gender specific characteristics and with the indicators on income, health/nutrition, education, occupational categories with influential positions, existing water source); and female household heads (FHHs); (d) areas where the poor and marginalized concentrate; (e) existing status of the water supply and sanitation facilities and comprehensive enumeration of households without individual household water supply connection with disaggregated lists on gender, poverty, and socially-exclusion; (f) community based organizations including local area committees; and (g) available social capital in the area.

**B. Implement Communication Awareness and Participation plan (CAPP)**

- (i) Identify and conduct the stakeholders and stakeholder mapping.
- (ii) Conduct community outreach and awareness building on water supply and sanitation in poor and non-poor communities.
- (iii) Community campaign for women on Awareness on Health and Hygiene Education at ward/community level in ICDS centers/Ward level Health points/ANM centers in each program city.
- (iv) Design and implementation of Information, Education and Communication (IEC).
- (v) Conduct Pre-construction, construction and post construction of project awareness program.

**C. Implement Gender Equality and Social Inclusion Action Plan**

- (i) Assist the PMU in implementing all actions identified in the gender equality and social inclusion (GESI) action plan for the project;
- (ii) In coordination with the PMDSC, assist the project management unit (PMU) in planning and monitoring the project activities ensuring gender sensitivity and social inclusion in them;
- (iii) Assist the PMU in ensuring participation of women and disadvantaged group members of the relevant committees of any user groups if formed in important stakeholder meetings and decisions during the project implementation; and
- (iv) In consultation with and guidance from the PMDSC and the PMU, orient and sensitize the community and the relevant institutions including other stakeholders on gender and social inclusion with respect to the project design.

**D. Support to social safeguards implementation**

- (i) Conduct census survey for updating and preparing resettlement plans of the project towns following the completion of engineering design under guidance of PMU/PMDSC resettlement specialist;
- (ii) Conduct consultations and disclosures to the affected peoples for RP finalization and implementation;
- (iii) Assist the PIU/PMU in the RP implementation (compensation payment and other required assistance as per final RP);
- (iv) Assist PIU to prepare RP implementation report to PMU safeguards officer;
- (v) Assist PIU/PMU in the project GRM mechanism and complaint solution; and
- (vi) Assist PIU for GRM record keeping for first tier complaint and redressed actions

**E. Implement Health and Hygiene Education**

- (i) In coordination with and guidance from the PMU and the PMDSC's specialist, prepare a Health and Hygiene Education (HHE) that includes water and sanitation, public health awareness campaign and activities at various levels (mass level, community, and schools) at all stages of



- project implementation. Involve the community, ward committees, program's town schools, CBOs and other relevant organizations in the public health education and campaigns;
- (ii) Prepare records of every consultation/ discussions, take actions/submit to PMU for actions on recommendations arising from each of the consultations; prepare and disseminate action-taken reports in subsequent meetings;
  - (iii) Plan and implement various IEC strategies such as use of electronic and print mass media; distribution of leaflets, posters, banners, locally relevant user-friendly audio-visual material and broadcast/telecast on local radio/cable, etc.;
  - (iv) Train and facilitate ward based health and sanitation groups, particularly in the poor areas with the objective of improving personal health and hygiene, household cleanliness, keeping drinking water safe and clean, use of toilets, washing hands, etc.; and
  - (v) Implement water and sewerage connection Camp.

#### **F. Other Activities**

- (i) Provide trainings to all Public Health Engineering Department (PHED), Municipal Bodies, PMU, PIU and contractors' staff (including laborers) on aspects covered above;
- (ii) Prepare monthly, quarterly and annual progress reports to the PMU, including information and implementation progress on the activities under the CAPP and GESI Action Plan;
- (iii) Support the RUIDP PMU to prepare quarterly CAPP and GESI activities progress reports and outcomes for public disclosure;
- (iv) Establish project website that easily access by stake holders; and
- (v) Yearly reward and recognition events (with letter of appreciation, token for contribution, and honorary certificate).

4. **Indicative Personnel and Qualification Required:** The qualifications and experience requirements of key personnel of CAPC and city-level NGOs are given in Table 1.

**Table 1: Qualifications, Experience and Person-months requirements for the CAPC and City-level NGOs**

	Specialist	Desired requirements	Person-Months
<b>CAPC</b>			
1	Gender Specialist and Community Development Expert/ Team Leader (Key Expert)	A Graduate in Sociology, Gender Studies, or related field with at least 10 years' experience in public participation, and community development techniques, community mobilization, social development work, especially in the field of water and sanitation. Experience of working on programs for the women, poor and disadvantaged groups in externally funded projects is also desirable.	48
2	Sanitation/Public Health Expert with expertise in gender issues and Trainer (Key Expert)	A Graduate in Public Health with gender focus having at least 7 years' experience in health and hygiene education and community development work.	24
4	Community Mobilization Expert with Gender focus *3 (Key Expert)	Graduates in sociology, Gender Studies, or related field with at least 7 years of experience (i) in community mobilization practices, participatory teaching-learning methods, especially for adults on health, hygiene, sanitation, water conservation management and community development work; (ii) gender mainstreaming and equality;	3 (no)x36=108
5	Communication Expert (Key Expert)	A Graduate media/communications specialist with at least 7 years' experience in media/communication/education work with particular focus on environmental conservation or social programs.	36
6	Community organizer experts with gender focus*3 (Non-key Expert)	Intermediate level education with 3-5 years' experience in organizing community level meetings, social mobilization, gender issues, implementation of programs for the poor. 50% of the community workers will be women.	3 (no)x36=108
		<b>Total (CAPC)=</b>	<b>216 key experts+108 Non-key expert=324</b>
<b>City level NGOs (6 cities)</b>			
7	Gender Specialist and Field coordinators *6 (Key Expert)	Graduates in sociology, gender studies, or related field or related field with at least 4 years of experience (i) in community mobilization practices, participatory teaching-learning methods, especially for adults on health, hygiene, sanitation, water conservation management and community development work; (ii) gender mainstreaming and equality;	6(no)x30=180
8	Communication specialist*6 (Key Expert)	Media/communications specialist with at least 4 years' experience in media/communication/education work with particular focus on environmental conservation or social programs.	6(no)x30=180
9	Sanitation/Public Health specialist with gender focus*6 (Key Expert)	A Graduate in Public Health with at least 4 years' experience in health and hygiene education and community development work.	6(no)x12=72
10	Enumerators/ community workers*60 (Non-Key Expert)	Intermediate level education and prior experience in conducting surveys as enumerators and community workers, 50% of the enumerators/community workers will be women.	60 (no)x2=120
11	Data Entry support for surveys (Non-Key Expert)	Intermediate level education IT experts with 3-5 years' experience in data entry.	6 (no)x12=72
		<b>Total (City level NGOs)=</b>	<b>432 key experts+192 Non-key expert=624</b>

## MONITORING AND EVALUATION FRAMEWORK

Design Summary	Performance Targets and/or Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
<p><b>Impact</b> Sustainable urban development in Rajasthan</p>	<p>By 2024 (for all indicators): Contribution of the urban sector to the state's GDP increased to at least 58% (2014 baseline: 48%) At least 25 cities have water bodies meeting standards specified by the Central Pollution Control Board (2014 baseline: 0)</p>	<p>For all indicators: Census 2021 reports; annual reports of RUIDP and LSGD; state and national government economic reports; annual reports of MOUD</p>	<p><b>Assumption</b> Solid waste management plans in the state are effectively implemented.</p> <p><b>Risk</b> Extreme natural disasters disrupt urban infrastructure.</p>
<p><b>Outcome</b> Improved urban service delivery in Rajasthan</p>	<p>By 2019 (for all indicators): Water supply in at least five cities improved to 24-hour supply (2014 baseline: average 2 hours/day) (target: new beneficiaries from poor, 30%) Collection and treatment of sewage and septage in at least six cities increased to 70% (2014 baseline: 5%) (target: new beneficiaries from poor, 30%) Policy, institutional, legal, and regulatory frameworks for state infrastructure corporations, corporatized utilities, and PPPs are operational</p>	<p>For all indicators: Annual reports of RUIDP and LSGD</p>	<p><b>Assumptions</b> Important stakeholders continue to be committed to urban sector reforms. Nonproject cities improve urban service delivery.</p> <p><b>Risk</b> Climate change parameters go beyond projected limit in Rajasthan and relevant headwaters.</p>
<p>Outputs 1. Urban institutions strengthened</p>	<p>By 2019 (for all indicators): Corporatized entity for RUIDP established (with approved business plan, HRD plan, and design center), and functioning (with at least 25 municipal bodies supported) The corporatized entity for Jaipur water supply and wastewater operations established and functional with its business plan and HRD plan O&amp;M embedded construction contracts operationalized for water supply in five cities and for wastewater in at least six cities Water and wastewater operations, including authority to set water and sewerage tariffs, delegated to at least five municipal bodies Property tax rationalized in the state and collected from at least 50% of all</p>	<p>For all indicators: Progress reports of RUIDP and LSGD Government of Rajasthan website</p>	<p><b>Assumption</b> Delegation to municipal bodies is coupled with adequate powers and personnel.</p>

Design Summary	Performance Targets and/or Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
	eligible properties in 50% of the municipalities in the entire state		
2. Urban governance improved	<p>By 2019 (for all indicators): Urban development policy, human resource development plan, and urban water and sanitation policy adopted and disclosed</p> <p>Benchmarking of urban services, and gender-disaggregated consumer database operationalized for 25 cities</p> <p>Support for total sanitation and solid waste management provided to at least six cities</p> <p>Water tariff rationalized to recover O&amp;M costs in at least five cities</p> <p>Five project cities improve billing and collection efficiency to more than 90% (2014 baseline: 0)</p> <p>Water and wastewater quality monitoring system, as per national standards, established in 25 cities</p>	<p>For all indicators: Progress reports of RUIDP and LSGD</p> <p>Government of Rajasthan website</p>	
3. Water supply system rehabilitated and expanded in five project cities	<p>By 2019 (for all indicators): 2,546 km of new or rehabilitated pipelines constructed through O&amp;M embedded construction contracts</p> <p>1927 km (Pali: 520 km, Tonk: 248 km, Jhunjhunu: 256 km, Hanumangarh: 235 km, Ganganagar: 668 km) pipelines replaced with DI and HDPE pipes on DMA basis (Target: 30% new connections provided to poor households; 100% of households headed by women in DNI area covered)</p> <p>619 km (Pali: 164 km, Tonk: 141 km, Jhunjhunu: 159 km, Hanumangarh: 118 km and Ganganagar: 37 km) pipelines extended with DI and HDPE pipes on DMA basis (Target: 30% new connections provided to poor households; 100% of households headed by women in DNI area covered)</p> <p>196,006 new house service connections with functional meters provided to benefit 0.98 million residents (target: connections</p>	<p>For all indicators: Progress reports of RUIDP and LSGD</p>	<p><b>Assumptions</b> Proper network management continues after completion of works.</p> <p>Coordination between PHED and municipal bodies is effective.</p>

Design Summary	Performance Targets and/or Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
	<p>provided to poor, 30%)</p> <p>130,878 (Pali: 31,546, Tonk: 16,700, Jhunjhunu: 19,208, Hanumangarh: 28,018, Ganganagar: 35,406) house service connections replaced with good-quality MDPE pipes, and functional meters (Target: 30% connections provided to poor households; 100% of households headed by women in DNI area covered)</p> <p>65,128 (Pali: 18400, Tonk:18835Jhunjhunu:6322, Hanumangarh: 4731, Ganganagar: 16840) new house service connections provided with good-quality MDPE pipes and functional meters (Target: 30% new connections provided to poor households; 100% of households headed by women in DNI area covered)</p> <p>NRW reduced to less than 15% and ILI reduced to less than 10 (2014 baseline: NRW more than 40% and ILI more than 200)</p> <p>Compliance of water samples with national drinking water quality standards increased to 95% (2014 baseline: 5%)</p>		
<p>4. Wastewater system rehabilitated and expanded in six project cities</p>	<p>By 2019 (for all indicators): 1,865 km of sewers constructed and 189,133 sewer connections provided benefiting 0.94 million residents (target: connections provided to poor, 30%): Pali: 378 km, Tonk: 254 km, Jhunjhunu: 171 km, Bhilwara: 558 km, Hanumangarh: 87 km, Ganganagar: 417 km</p> <p>25 MLD capacity WWTPs constructed and operating through O&amp;M embedded construction contracts: Pali:12 MLD, Tonk: 13.0 MLD</p> <p>Wastewater used as a resource for recycling or energy generation in at least three project cities</p> <p>Septage management facilities constructed in at least two areas</p>	<p>For all indicators: Progress reports of RUIDP and LSGD</p>	<p><b>Assumption</b> Households connect to the sewerage systems.</p>

Design Summary	Performance Targets and/or Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
	DEWATS constructed in at least two areas		
5. Capacity building and efficient project management	By 2019: Capacity-building program implemented for LSGD and RUIDP staff GESI action plan and CAPP are implemented	For all indicators: Progress reports of RUIDP and LSGD	<b>Risk</b> Turnover of consultants and project management staff is high.
<b>Activities with Milestones</b>			<b>Inputs (\$ million)</b>
<b>1. Urban institutions strengthened</b> 1.1 Approve corporatization of RUIDP and Jaipur city utility (September 2015) 1.2 Delegate water supply operations to five municipal bodies (September 2017) 1.3 Five municipal bodies commence water supply operations (September 2017) 1.4 Rationalize property tax in state to include all properties (September 2015) <b>2. Urban governance improved</b> 2.1 Submit an urban development policy, a human resource development plan, an NRW management policy, a 24-hour water supply policy, and a water and sewerage connections policy (September 2017) 2.2 Develop benchmarking system and GIS (September 2017) 2.3 Develop computerization of consumer databases (September 2017) 2.4 Implement use of billing and collection system (March 2017) 2.5 Adopt water and wastewater quality monitoring system (September 2017) <b>3. Water supply system rehabilitated and expanded in five project cities</b> 3.1 Complete NRW assessment in five project cities (March 2019) 3.2 Award all water supply contracts (December 2016) 3.3 Complete the civil works to start 24-hour water supply (December 2018) 3.4 Complete all construction and commission all water supply facilities (March 2019) <b>4. Wastewater system rehabilitated and expanded in six project cities</b> 4.1 Operationalize environmental monitoring system (September 2017) 4.2 Complete energy and environmental audits (December 2015) 4.3 Finalize safety manual with GESI principles (June 2016) 4.4 Award all wastewater contracts (December 2016) 4.5 Complete all construction and commission all wastewater facilities (March 2019) <b>5. Capacity building and efficient program management</b> 5.1 Establish PMU with necessary staff (November 2014) 5.2 Initiate capacity-building activities of LSGD and RUIDP staff (December 2014) 5.3 Mobilize PMDSC and CAPC (June 2015)			Loan ADB: \$501 million (policy-based loan of \$250 million, project loan of \$250 million, and technical assistance of \$1 million)  Grant SFPTF: \$2 million  Government: \$110 million  <b>Total: \$613 million</b>

ADB = Asian Development Bank; CAPC = community awareness and participation consultant; CAPP = community awareness and participation plan; DEWATS = decentralized wastewater treatments system; GDP = gross domestic product; GESI = gender equality and social inclusion; GIS = geographic information system; HRD = human resource development; ILI = infrastructure leakage index; km = kilometer; LSGD = Local Self Government Department; MOUD = Ministry of Urban Development; MLD = million liters per day; NRW = nonrevenue water; O&M = operation and maintenance; PHED = Public Health Engineering Department; PIU = project implementation unit; PMDSC = project management, design, and supervision consultant; PMU = project management unit; PPP = public-private partnership; RUIDP = Rajasthan Urban Infrastructure Development Project; SDP = sector development program; SFPTF = Sanitation Financing Partnership Trust Fund under the Water Financing Partnership Facility; and WWTP = wastewater treatment plant.

Source: Asian Development Bank.

## GESI ACTION PLAN MONITORING FORMAT

Date Prepared

**Project Title:**  
**Country:**  
**Project No.**  
**Loan No.**  
**Type of Project** (Loan/ TA/JFPR):  
**Approval and Timeline/Duration of the Project:**  
**Gender Category:**  
**Mission Leader:**  
**Name of Gender Specialist/ Gender Focal Point:**  
**Quarter Covered by Update:**

**Project Impact:**

**Project Outcome:**

Activities, Indicators, Baseline, Targets, Time Frame and Responsibility	Progress to Date		Issues and Challenges <small>(Please include reasons why an activity was not fully implemented, or if targets fall short, or reasons for delay, etc.)</small>
	Progress for the Quarter <small>(This should include information on progress for the current quarter-- qualitative and quantitative updates (sex-disaggregated data))</small>	Cumulative Progress <small>(This should include information on progress (qualitative and quantitative updates including sex-disaggregated data) from the start of the implementation of the GAP to the previous quarter's progress report.)</small>	
<b>Output 1. Urban Institutions Strengthened</b>			
3. Conduct training program for women ward councilors and staff of participating MBs to include: relevant aspects of project preparation, appraisal, financing, supervision, monitoring and evaluation <b>Targets/Indicators</b> <ul style="list-style-type: none"> <li>• Capacities of 124 women councilors and at least</li> </ul>	•	•	

<p>50 women staff of six MBs developed for effective and gender-inclusive management of WSS schemes</p> <p><b>Baseline:</b></p> <p><b>Responsibility:</b> PMU, MBs</p> <p><b>Time Frame:</b> Year 1-5</p>			
<p>4. Conduct training workshops on gender-responsive urban management for all MB officials and elected representative</p> <p><b>Targets/Indicators</b></p> <ul style="list-style-type: none"> <li>• Gender awareness training workshops (30) [one/year in each of the participating six MBs] conducted for councilors and MB officials [Target: All councilors and administrative and technical officials].</li> </ul> <p><b>Baseline:</b></p> <p><b>Responsibility:</b> PMU, CAPC</p> <p><b>Time Frame:</b> Year 1-5</p>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	
<p><b>Output 2. Urban Governance Improved</b></p>			
<p>1. Ensure effective participation of women councilors in CLCs and MBs so that gender issues are adequately discussed</p> <p><b>Targets/Indicators</b></p> <ul style="list-style-type: none"> <li>• Gender policy approved and adopted by LSGD, and gender action plan approved and adopted by each participating MB</li> <li>• Minutes of MBs' Board meetings and CLCs' meetings reflect participation of women councilors and discussion of gender issues</li> </ul> <p><b>Baseline:</b></p> <p><b>Responsibility:</b> PIUs (6), MBs</p> <p><b>Time Frame:</b> Year 1-5</p>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	
<p>2. Ensure that health and welfare schemes targeting BPL/FHH –with specific focus on women/children in cities and slums- benefit the intended beneficiaries</p>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	



<p><b>Targets/Indicators</b></p> <ul style="list-style-type: none"> <li>• Meetings (120) on GOR schemes and programs<sup>57</sup> targeting BPL/FHH –with specific focus on women and children-conducted in cities and slums [one/quarter in each ward of the six project MBs], in consultation with (SRCW) [Target: at least 30 women beneficiaries/meeting]</li> <li>• At least 30% increase in the number of women and FHH in GOR welfare schemes(baseline to be identified at the time of commencement of project)</li> </ul> <p><b>Baseline:</b></p> <p><b>Responsibility:</b> PIUs (6), SCRW and Health Department, MBs</p> <p><b>Time Frame:</b> Year 1-5</p>			
<p>3. Establish baseline and maintain a consumer database disaggregated by sex, ethnicity, poverty and vulnerability levels</p> <p><b>Targets/Indicators</b></p> <ul style="list-style-type: none"> <li>• Consumer database developed in at least 50 project cities, that includes a subset of BPL, vulnerable and all FHHs with water/sewerage connections in cities and slums</li> </ul> <p><b>Baseline:</b></p> <p><b>Responsibility:</b> CAPC, MBs, City Level NGO</p> <p><b>Time Frame:</b> Year 1-5</p>	•	•	
<p>4. Ensure that rationalization of tariffs do not further disadvantage the poor and vulnerable, through meaningful consultation with and adequate representation of BPL/FHH</p> <p><b>Targets/Indicators</b></p> <ul style="list-style-type: none"> <li>• At least six consultations conducted in six project cities [Target: 30% women participation] with</li> </ul>	•	•	

<sup>57</sup>These include: the GOI-supported *Jawaharlal Nehru National Urban Renewal Mission*, the *Rajiv AwasYojana (slum redevelopment)*, the *National Urban Livelihoods Mission (mobilization of poor into self-help groups and federations and provision of skill training for wage employment and self-employment)*, the *MWCD Indira Gandhi MatritvaSahyogYojana (IGMSY)* and *Integrated Child Development Scheme (ICDS)*. GOR schemes include: *CM's Seven Point Women Empowerment Program*, *Rajiv Gandhi Adolescent Girl Empowerment Scheme (SABLA)*, *Scheme for Self Reliance (SwavlambanYojana)*, *Scheme to provide subsidy against Interest on SHG loans*, *Scheme for Training and Employment of Women Program (STEP)*.

<p>BPL/FHH and in poor neighborhoods and slum areas</p> <ul style="list-style-type: none"> <li>• Pro-poor and gender-responsive water and sewerage tariff schedule implemented in each project city</li> </ul> <p><b>Baseline:</b></p> <p><b>Responsibility:</b> LSGD, PHED, MBs</p> <p><b>Time Frame:</b> Year 1-5</p>			
<p><b>Outputs 3 and 4. Water supply and wastewater system rehabilitated and expanded in six project cities</b></p>			
<p>5. Conduct a range of: (a) community orientation seminars on project-related issues such as procedures for water and sewerage connections, and tariffs; (b) public meetings and women-only FGDs with women leaders, RWAs, women’s SHGs and other community-based groups on issues such as: water, sanitation and health, personal/female hygiene, social safety, women’s access to property rights</p> <p><b>Targets/Indicators</b></p> <ul style="list-style-type: none"> <li>• Community orientation seminars (120) on key components of the project and its pro-poor, gender- and socially-inclusive design features [4/year in each project city]</li> <li>• Public meetings and women-only FGDs (90) conducted on gender-related aspects of WSS in project areas including slums [Target: 50% women participation in each meeting] [three/year in each project city]</li> <li>• Gender-focused strategies developed and activities conducted in schools/colleges; reports of activities prepared and follow-up activities done [Target: 50% girl students participation/meeting] [50 schools or colleges/year in each project city]</li> <li>• Public service advertisements (90) on water, sanitation and gender produced and played in radio, newspapers, and TV programs [at least three/year in six project cities]</li> <li>• IEC Campaigns (leaflets, posters, banners, rallies, competitions, etc.) in participating cities to publicize the pro-poor, gender- and socially-inclusive design</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	

<p>features of the project [in each project city]</p> <p><b>Baseline:</b></p> <p><b>Responsibility:</b> PMU/PIUs (6), CAPP, City NGO,</p> <p><b>Time Frame:</b> Year 1-5</p>			
<p>6.Ensure that BPL/FHH benefit from improved WSS services; identify all BPL/FHH in the project cities for better targeting for subsidized connections; and reduce or subsidize connection fees for BPL/FHH</p> <p><b>Targets/Indicators</b></p> <ul style="list-style-type: none"> <li>• Roster of BPL/FHH established</li> <li>• At least 30% of new WSS connections benefit BPL/HHs</li> <li>• All BPL/FHHs have individual water and sewer connections (2014 baseline available in PPTA reports)</li> </ul> <p><b>Baseline:</b></p> <p><b>Responsibility:</b> LSGD, City Level NGO, MBs</p> <p><b>Time Frame:</b> Year 1-5</p>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	
<p>7.Engage women workers in construction and rehabilitation work, ensuring implementation of core labor standards such as equal pay for work of equal value, and protection of women from discrimination and other forms of harassment</p> <p><b>Targets/Indicators</b></p> <ul style="list-style-type: none"> <li>• Women’s access to unskilled labor opportunities [Target: 35%]</li> <li>• Payroll showing worker’s name, sex, and paid wages available with the contractors for inspection</li> <li>• All engaged contractors and workers oriented on gender-related aspects of urban development, with focus on GOI/GOR legislations and regulations<sup>58</sup></li> </ul> <p><b>Baseline:</b></p> <p><b>Responsibility:</b> PIUs (6), City Level NGO, PMDSC, Contractors</p>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	

<sup>58</sup> Core labor standards, Contract Labor Regulation and Abolition Act 1970, and the Regulation of Employment and Condition of Services Act 1996), and Prevention, Prohibition and Redressal of Sexual Harassment Act 2013.

<p><b>Time Frame:</b> Year 1-4</p>			
<p>8. Provide WSS connections to government schools, courtyard shelter (<i>anganwadis</i>), and hospitals</p> <p><b>Targets/Indicators</b></p> <ul style="list-style-type: none"> <li>All GOR run early childhood care and education (<i>anganwadis</i>) centers, government schools esp. girls' schools, and hospitals in project areas have improved WSS services [Target: at least 30 girls' schools, at-least 600 anganwadi centers and 15 city hospitals and PHCs]</li> </ul> <p><b>Baseline:</b></p> <p><b>Responsibility:</b> PMU, PMDSC</p> <p><b>Time Frame:</b> Year 1-5</p>	<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>	
<p><b>Output 5. Capacity building and efficient program management</b></p>			
<p>4. Employ women staff in project units/offices, conduct gender awareness workshops for all project staffs</p> <p><b>Targets/Indicators</b></p> <ul style="list-style-type: none"> <li>Adequate representation of women at managerial, technical and administrative levels of PMU, PIUs, and city-level NGOs [Target: 20%]</li> <li>Capacities of project staff of all project entities [PMU, PIU, CAPC, PMDSC and NGOs] enhanced on gender-responsive project management and implementation relevant to urban development projects through training sessions (four/year/project entity)</li> <li>Include a session on gender in all other trainings in the project</li> </ul> <p><b>Baseline:</b></p> <p><b>Responsibility:</b> PMU/PIUs (6), City Level NGO, CAPC, PMDSC</p> <p><b>Time Frame:</b> Year 1-5</p>	<ul style="list-style-type: none"> <li></li> </ul>		
<p>5. Incorporate gender indicators in the project management information systems</p> <p><b>Targets/Indicators</b></p> <ul style="list-style-type: none"> <li>PPMS and MIS developed with gender-relevant</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>		

<p>indicators and sex-disaggregated data for reviews and quarterly progress reports (which includes GESI progress report), CAPP and project impact evaluation</p> <p><b>Baseline:</b></p> <p><b>Responsibility:</b> PMU/PIUs (6), City Level NGO, CAPC, PMDSC</p> <p><b>Time Frame:</b> Year 1-5</p>			
<p>6. Utilize strategies that create a women-friendly work environment and increase the proportion of women in PMU/PIU and contractor offices</p> <p><b>Targets/Indicators</b></p> <ul style="list-style-type: none"> <li>• 20% of training opportunities by GOR for MB' staff given to women, in partnership with the SRCW and PSK</li> <li>• Separate and safe toilets and changing facilities for women built in PMU, PIU, MBs, and contractors offices, work sites, and camps</li> <li>• GOI and GOR policies on zero tolerance for sexual harassment and other forms of gender-based discrimination in the workplace implemented</li> </ul> <p><b>Baseline:</b></p> <p><b>Responsibility:</b> PMU/PIUs (6), City Level NGO, CAPC, PMDSC</p> <p><b>Time Frame:</b> Year 1-5</p>	<ul style="list-style-type: none"> <li>•</li> </ul>		

**Comments/ Remarks:**

**Accomplished by:** \_\_\_\_\_

**Date Accomplished:** \_\_\_\_\_

## Template for Executing Agency's Project Progress Report

### A. Introduction and Basic Data

Provide the following:

- ADB loan number, project title, borrower, executing agency(ies), implementing agency(ies);
- total estimated project cost and financing plan;
- status of project financing including availability of counterpart funds and cofinancing;
- dates of approval, signing, and effectiveness of ADB loan;
- original and revised (if applicable) ADB loan closing date and elapsed loan period based on original and revised (if applicable) loan closing dates; and
- date of last ADB review mission.

### B. Utilization of Funds (ADB Loan, Cofinancing, and Counterpart Funds)

Provide the following:

- cumulative contract awards financed by the ADB loan, cofinancing, and counterpart funds (commitment of funds to date), and comparison with time-bound projections (targets);
- cumulative disbursements from the ADB loan, cofinancing, and counterpart funds (expenditure to date), and comparison with time-bound projections (targets); and
- reestimated costs to completion, need for reallocation within ADB loan categories, and whether an overall project cost overrun is likely.

### C. Project Purpose

Provide the following:

- status of project scope/implementation arrangements compared with those in the report and recommendation of the President (RRP), and whether major changes have occurred or will need to be made;
- an assessment of the likelihood that the immediate development objectives (project purpose) will be met in part or in full, and whether remedial measures are required based on the current project scope and implementation arrangements;
- an assessment of changes to the key assumptions and risks that affect attainment of the development objectives; and
- other project developments, including monitoring and reporting on environmental and social requirements that might adversely affect the project's viability or accomplishment of immediate objectives.

### D. Implementation Progress

Provide the following:

- assessment of project implementation arrangements such as establishment, staffing, and funding of the PMO or PIU;
- information relating to other aspects of the EA's internal operations that may impact on the implementation arrangements or project progress;
- progress or achievements in implementation since the last progress report;
- assessment of the progress of each project component, such as,
  - recruitment of consultants and their performance;
  - procurement of goods and works (from preparation of detailed designs and bidding documents to contract awards); and
  - the performance of suppliers, manufacturers, and contractors for goods and works contracts;
- assessment of progress in implementing the overall project to date in comparison with the original implementation schedule—quantifiable and monitorable target, (include simple charts such as bar or milestone to illustrate progress, a chart showing actual versus planned expenditure, S-curve graph showing the relationship between physical and financial performance, and actual progress in comparison with the original schedules and budgets, the reference framework or guidelines in calculating the project progress including examples are shown in Appendix 2); and
- an assessment of the validity of key assumptions and risks in achieving the quantifiable implementation targets.

#### **E. Compliance with Covenants**

Provide the following:

- the borrower's compliance with policy loan covenants such as sector reform initiatives and EA reforms, and the reasons for any noncompliance or delay in compliance;
- the borrower's and EA's compliance with financial loan covenants including the EA's financial management, and the provision of audited project accounts or audited agency financial statements; and
- the borrower's and EA's compliance with project-specific loan covenants associated with implementation, environment, and social dimensions.

#### **F. Major Project Issues and Problems**

Summarize the major problems and issues affecting or likely to affect implementation progress, compliance with covenants, and achievement of immediate development objectives.

Recommend actions to overcome these problems and issues (e.g., changes in scope, changes in implementation arrangements, and reallocation of loan proceeds).

## OUTLINE OF SOCIAL SAFEGUARDS MONITORING REPORT DURING PROJECT IMPLEMENTATION PERIOD

Following requirements of the ADB Safeguard Policy Statement (2009) and the *Operations Manual* section on safeguard policy (OM F1), borrowers/clients are required to establish and maintain procedures to monitor the status of implementation of safeguard plans and ensure progress is made toward the desired outcomes. For projects categorized as A or B in Involuntary Resettlement and/or Indigenous People, the Borrowers/clients are required to submit semiannual monitoring reports for ADB review. The level of detail and comprehensiveness of a monitoring report is commensurate with the complexity and significance of social safeguards impacts (IR and IP) and with the current status of project implementation phase.

This outline can be used for periodic monitoring report (semiannual) and RP/IPP completion report to start the civil works in the impacted areas. A safeguard monitoring report may include the following elements:

### **A. Executive Summary**

This section provides a concise statement of project scope and impacts, key findings and recommended actions.

### **B. Background of the Report and Project Description**

This section provides a general description of the project, including:

- Background/context of the monitoring report which includes the information on the project, project components, safeguards categorizations and general scope of the social safeguards impacts.
- Information on the implementation progress of the project activities, scope of monitoring report and requirements, reporting period, including frequency of submission and changes in project scope and adjusted safeguard measures, if applicable
- Summary table of identified impacts and the mitigation actions.

### **C. Scope of Impacts**

This section outlines the detail of

- Scale and scopes of the project's safeguards impacts,
- Vulnerability status of the affected people/communities,
- Entitlements matrix and other rehabilitation measures, as applicable, as described in the approved final RP(s) /IPP(s).

### **D. Compensation and Rehabilitation<sup>59</sup>**

This section describes the process and progress of the implementation of the safeguards plan and other required activities as determined in the plan. This includes:

- Payment of the affected assets compensation, allowances, loss of incomes, etc. to the entitled persons;
- Provisions of other types of entitlement as described in the matrix and implementation of livelihood rehabilitation activities as determined in the plan.

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<sup>59</sup> Depending on the status of the final detail design during the submission of the report this activity might not yet started. Provide the information on the expected date the activity to be conducted instead.



Quantitative as well as qualitative results of the monitoring parameters, as agreed in the plan, should be provided.

#### **E. Public participation and consultation**

This section describes public participation and consultations activities during the project implementation as agreed in the plan. This includes final consultations with APs during RP finalization after the completion of detail design; the numbers of activities conducted; issues raised during consultations and responses provided by the project team, implementing NGOs, project supervision consultants, contractors, etc.

#### **F. Grievance Redress Mechanism (GRM)**

This section described the implementation of project GRM as design in the approved RP/IPP. This includes evaluations of its effectiveness, procedures, complaints receive, timeliness to resolve issues/ complaints and resources provided to solve the complaints. Special attentions should be given if there are complaints received from the affected people or communities.

#### **G. Institutional Arrangement**

This section describes the actual implementation or any adjustment made to the institutional arrangement for managing the social safeguards issues in the projects. This includes the establishment of safeguards unit/ team and appointment of staff in the EA/IA; implementation of the GRM and its committee; supervision and coordination between institutions involved in the management and monitoring of safeguards issues, the roles of NGO and women's groups in the monitoring and implementation of the plan, if any.

#### **H. Monitoring Results - Findings**

This section describes the summary and key findings of the monitoring activities. The results are compared against previously established benchmarks and compliance status (e.g., adequacy of IR compensation rates and timeliness of payments, adequacy and timeliness of IR rehabilitation measures including serviced housing sites, house reconstruction, livelihood support measures, and training; budget for implementing EMP, RP, or IPP, timeliness and adequacy of capacity building, etc.). It also compared against the objectives of safeguards or desired outcomes documented (e.g. IR impacts avoided or minimized; livelihood restored or enhanced; IP's identity, human right, livelihood systems and cultural uniqueness fully respected; IP not suffer adverse impacts, environmental impacts avoided or minimized, etc.). For FI projects this includes the effectiveness of the Environmental and Social Management System (ESMS) managed by the FI and its participating institutions<sup>60</sup>. If noncompliance or any major gaps identified, include the recommendation of corrective action plan.

#### **I. Compliance Status**

This section will summarize the compliance status of the project activities with the loan covenants, ADB SPS (2009) on SR 2 and the approved final RP(s).

#### **J. Follow up Actions, Recommendation and Disclosure**

This section describes recommendations and further actions or items to focus on for the remaining monitoring period. It also includes lesson learned for improvement for future safeguards monitoring activities. Disclosure dates of the monitoring report to the affected communities should also be included. A time-bound summary table for required actions should be included.

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<sup>60</sup> Specific for the FI projects, external agency may be required to conduct an audit of the project ESMS.

**Appendix 1**

- i. List of Affected Persons and Entitlements
- ii. Summary of RP/IPP with entitlement matrix

**Appendix 2**

- i. Copies of AP's certification of payment (signed by the APs)
- ii. Summary of minutes of meetings during public consultations
- iii. Summary of complaints received and solution status