



Brief on Activities Funded
Round 1

AusAID –World Bank
Partnership for South Asia
Water and Sanitation Initiative-India

South Asia Region, The World Bank
September 2011

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Water and Sanitation Initiative-India: Annual Progress Report: Round 1 Activities

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Title	1. Benefit assessment of Continuous Water Supply in KUWASIP demonstration zones
TTL	Elisa Muzzini
Context and Objectives	The Karnataka Urban Water Sector Improvement Project (KUWASIP) demonstrated the feasibility of continuous water supply by providing 24x7 water supply in demonstration zones in three cities Hubli-Dharwar, Belgaum and Gulbarga. The objectives of the benefit assessment are twofold: (i) to demonstrate the socio-economic benefits of continuous water supply in the KUWASIP demonstration zones and (ii) to build public awareness of the costs of poor water supply, in particular intermittent water supply, in Indian cities. It will contribute to strengthening the enabling environment for urban water supply delivery by increasing public awareness of the cost of intermittent water supply. Increased public awareness can help mobilize public support for 24x7 water supply and enhance the willingness of Indian cities to undertake the broad and complex and transformational sector reforms required to achieve 24x7 water supply. The assessment will feed into the India Urban Water Supply & Sanitation Modernization Project (UWSSMP) which is under preparation. It aims to improve the quality and sustainability of W&S in Indian cities by funding a number of transformational 24x7 sub-projects to set a new benchmark for WSS provision in Indian cities. The activity will contribute to strengthening the analytical underpinnings of UWSSMP and will provide supporting evidence for the economic assessment of the sub-projects that will be selected for funding. The lessons learnt from KUWASIP 24x7 pilot projects will also provide useful insights for the appraisal of the UWSSMP sub-projects.
Activities and Outputs	<p>Activity</p> <ol style="list-style-type: none"> 1) Benefit Assessment: information on the socio-economic benefit of the project will be elicited through a structured data collection (household survey) and semi-structured focus-group discussions. 2) Knowledge dissemination: results will be disseminated to build public awareness of the costs of intermittent water supply, in Indian cities. A national-level stakeholder workshop on 24x7 water supply in Indian cities will be organized in Bangalore to raise awareness of the benefits of 24x7 water supply, share experience of cities that have made progress in the achievement of continuous water supply and to disseminate the findings of the assessment. The workshop will also target States/cities that are likely to be key players under UWSSMP in terms of adopting 24x7 water provision. <p>Outputs</p> <ul style="list-style-type: none"> • Report with the findings • National workshop for sharing experiences and disseminating knowledge on continuous water supply.
Outcomes	Better understanding of the benefits of continuous water supply Enhanced design of Bank project
Progress	The assessment is ongoing
Meeting the objectives of the TF	The activity will create demand for reforms in the W&S sector and improve the design and implementation of Bank projects as explained above
Additional Funds leveraged	The assessment is linked to KUWASIP which comprised Bank financing of \$40 million. The findings will also inform the \$ 1billion India Urban Water Supply & Sanitation Modernization Project (UWSSMP) under preparation.

Title	2. Technical Assistance to MoUD on PPPs in Urban Infrastructure – Sewerage PPPs
TTL	Raghu Kesavan
Context and Objectives	<p>The objectives are: (i) to support Ministry of Urban Development (MoUD) in the assessment of the current state of Public Private Partnerships (PPPs) in sewerage in Indian cities and help build its capacity to formulate of policies, action plans and toolkits aimed at scaling up PPPs in sewerage (ii) share lessons from countries that have dealt with similar challenges. The activity is part of the umbrella Knowledge Support Assistance to MoUD on urban PPPs covering sewerage, solid waste management and urban roads. It will also feed into the preparation of the proposed UWSSMP.</p> <p>The TA will propose new actions / funding instruments to scale up sewerage PPPs in Indian cities– e.g. incentive schemes as part of the National Urban Mission (JNNURM) or its follow on program, and leverage existing GoI instruments (e.g. VGFs) or state-level urban intermediaries and institutions (such as the Karnataka Urban Infrastructure and Development Finance Corporation (KUIDFC) or the Tamil Nadu Urban Development Fund (TNUDF). By proposing new funding instruments, it will address the growing demand for incorporating PPP modalities into urban projects and will contribute to the design and implementation of the next generation PPPs of Bank’s urban projects in India.</p>
Activities and Outputs	<p>Activity</p> <p>1) Quick Diagnostic Assessment of Sewerage PPPs: to take stock of PPPs in the sector, review the main trends (e.g. number and type of PPP transactions, linkages between water and sewerage PPPs, financing models, procurement and risk allocation practices, main issues and challenges) and draw lessons to guide the development of the subsequent activities. Particular attention will be paid to evaluate how well existing GoI schemes (e.g. JNNURM and VGF) and State government schemes and instruments (e.g. BOT law) have been leveraged for sewerage (network and treatment) PPPs. The assessment would be based on secondary sources and targeted primary interviews with selected stakeholders. A market assessment will identify specific challenges faced by private operators.</p> <p>2) In-depth Assessments of Sewerage PPPs. Based on the results of the diagnostics, more in-depth case studies will be developed for a more comprehensive assessment focusing on the following areas:</p> <ul style="list-style-type: none"> • Procurement, risk allocation and contractual practices in sewerage PPPs. ULBs’ capacity to implement sewerage PPPs. requirements relating to sewerage PPPs at the State and ULB level, with a focus on the smaller ULBs, and propose modalities to meet the identified requirements. • Revenue/ financing models for sewerage PPPs. A major constraint facing sewerage PPPs is the low levels of cost recovery and the consequent commercial non-viability of sewerage projects for the private sector. Making sewerage PPPs financially sustainable would entail reforms in the institutional models for service provision in both the water and sewerage sector, given that the two services tend to be provided by the same utility/service provider. While setting up a full-fledged regulatory system for urban PPPs is beyond the scope of this work, the TA would propose regulatory arrangements for sewerage PPPs. • Land issues in sewerage PPPs. Land awards to PPP projects and land related issues play a critical role for PPP transactions related to STPs. The TA would include an assessment of land related issues in the context of sewerage PPPs. The objective would be to identify main land-related constraints for scaling up PPPs and proposing solutions for addressing such constraints. • Technology issues and models for PPPs. Technology issues are critical especially in case of STPs, where there are a number of available technology options related to treatment. The TA would seek to provide sector specific guidance on technology options and sewerage PPP models based on the size of the ULBs and the nature of the project. • International experiences in sewerage PPPs. The TA would seek to promote knowledge exchanges foster international examples of good practices, lessons learn, success stories and

	<p>facilitate peer-to-peer learning through international workshops.</p> <ul style="list-style-type: none"> • Indian market and supply side assessment. The TA would also undertake a market assessment of sewerage related companies in India to understand the size, nature and structure of the industry, the key players and their ability to support development of a PPP industry. <p>III: Toolkits and Policy Instruments and Action Plans for MoUD to scale up Sewerage PPPs (funding for this stage will be sought later after discussions on the findings with MoUD)</p> <p>Toolkits: The stage of the TA will develop toolkits and guidance notes for the preparation of customized bidding documents, concession agreements, frameworks, ToRs for sewerage PPPs and procurement guidelines.</p> <p>Outputs:-</p> <ul style="list-style-type: none"> • A brief report covering the current status of sewerage PPPs in India • In-depth assessment of sewerage PPPs, including case studies • Toolkit/Guidance notes/Action Plan (Phase III)
Progress	In inception stage
Outcomes	Main trends, opportunities and challenges for scaling up sewerage PPPs identified In-depth assessment , toolkits and guidance notes finalized and disseminated Action plan finalized and endorsed by MoUD and availability of standard documents / toolkits
Meeting the objectives of the TF	This activity will create demand for reforms in the W&S sector and improve the design and implementation of Bank projects.
Additional Funds leveraged	It is linked to the proposed \$ 1billion UWSSMP.

Title	3. Identification and Evaluation of Implementation Options for the National Urban Sanitation Policy
TTL	Soma Ghosh-Moulik
Context and Objectives	<p>The Government of India has set out a policy framework for systematic improvement of urban sanitation in the country. This framework started with the issuance of the National Urban Sanitation Policy in 2009 that envisioned transforming Urban India into community-driven, totally sanitized, healthy and livable cities and towns. The policy, for the first time, provides the necessary platform for states to approach urban sanitation in an integrated manner. The national policy attempts to address the institutional issues, the plight of the urban poor, lack of awareness on sanitation and poor sanitation behavior, lack of priority, limited technical knowhow and inadequate capacity and incentive to plan, implement and monitor. With the policy pronouncement, the Ministry of Urban Development, Government of India has started ranking cities based on their sanitation status and performance and some cities have started the first step of formulating City Sanitation Plans.</p> <p>While NUSP is comprehensive, its implementation is in its early stages. Government of India recognizes that sanitation is a state subject and on-ground implementation and sustenance require strong city level institutions and stakeholders. Although there are some common elements across urban areas in India, there are a number of factors, constraints and opportunities that are peculiar to specific situation of states and cities with respect to sanitation, climate, physiographic factors, economic, social and political parameters, institutional variables, etc. Reflecting the historical neglect that sanitation has been subject to, the information available on different facets of sanitation is sparse and not comprehensive.</p> <p>Under these circumstances, the proposed policy support activity is designed with the objectives of (a) reviewing the status on the urban sanitation chain that includes urban sanitation, waste water, draining and solid waste management in cities in India to understand the present conditions in achieving the NUSP objectives and identify the challenges and issues for meeting the NUSP objectives; and (b) identifying and evaluating options for implementation of the NUSP and presenting a road map for long term program of activities. Sanitation being a state subject and with state and ULB responsibility for service delivery, it would be important to identify and evaluate what therefore, can the national government do to support and incentivize the state / ULBs to deliver NUSP through a mix of financing, technical support on capacity building, advocacy and knowledge products. At the same time, it would be important to deliberate with MoUD to find out what level of resources (financial, technical knowledge and capacity) would GOI require to meet the overall goal of NUSP and assessing the level of efforts that would be required therewith in design, plan, implement and monitor the program.</p>
Activities and Outputs	<p>The proposed activity will be undertaken in two phases. Phase 1 will focus on assessing the current state of urban sanitation in India, including a diagnostic review of the gaps in existing programs and policies at the central and state level, as well as city specific assessments of the status of NUSP implementation across the entire sanitation chain (liquid waste, solid waste and drainage). The idea is to bring all stakeholders on the same page as far as current gaps/weaknesses are concerned and the extent of NUSP implementation (if any) since its formulation in 2008. Phase 1 will also involve outlining a menu of options (to be further investigated in phase 2) for addressing the gaps identified. Phase 2 on the other hand will involve preparing a detailed implementation framework, including developing a road map for a long term program of activities that could fit into a national program of action on improving urban sanitation in India. The road map will ultimately guide States and City governments in formulating appropriate and cost-effective strategies and operational plans on urban sanitation at the local level.</p> <p>Given the significant information gaps and uncertainties regarding the present status of urban sanitation in India, it is difficult to specify the exact nature and scope of activities under Phase 2 (implementation framework and roadmap), as this will depend entirely on the findings under Phase 1. For this reason, the WSI funding application is for Phase 1 only. Phase 2 will be planned in</p>

	<p>consultation with MoUD once there is clarity on the gaps, priorities and implementation modalities. At that stage a separate application for WSI funding for Phase 2 activities will be considered.</p> <p>Outputs</p> <p>Phase 1:</p> <ul style="list-style-type: none"> • A diagnostic review of the urban sanitation sector in India • A range of technical, institutional, financial, capacity and knowledge support options and incentives will be determined based on several city specific and market scenarios • Two regional workshops to inform clients on status and options on urban sanitation <p>Phase 2:</p> <ul style="list-style-type: none"> • A roadmap on implementation plan of NUSP • A national workshop
Progress	In inception stage
Outcomes	<ul style="list-style-type: none"> • A sector status report to inform the MoUD and state governments on sector gaps in the implementation of NUSP and the need for future technical and investment support • A menu of preferred options for delivery of urban sanitation will be derived for urban cities to meet the NUSP objectives • Guidance and new knowledge to states and cities on implementation of NUSP • NUSP will be backed up with a roadmap covering technical and investment support for implementation of the policy by MoUD. States will have better knowledge and technical know-how in developing state sanitation strategies and City Sanitation Plan supported by technical, institutional and financial support
Meeting the objectives of the TF	Will the activity create demand for reforms in the W&S sector and improve the design and implementation of Bank projects.
Additional Funds leveraged	The activity will inform the preparation and design of the proposed \$ 1billion UWSSMP.

Title	4. Assessment of Gender Issues in Urban Water Supply and Sanitation
TTL	Meera Chatterjee
Context and Objectives	<p>The development objective of the proposed activity is to assess gender-differentiated needs for and roles in urban water supply and sanitation in India, to identify successful approaches to address these needs/roles, with a view to promoting their adoption in urban water and sanitation programs or projects such as those financed by the World Bank.</p> <p>The work is expected to mainstream attention to gender-based differences in the design and implementation of Bank projects (and thereby improve them), as well as in the W&S sector more broadly, through workshops and policy dialogue.</p>
Activities and Outputs	<p>Activity</p> <ol style="list-style-type: none"> 1. Qualitative study of women’s and men’s needs in urban water and sanitation (UW&S) <ol style="list-style-type: none"> (a) Review of available information (b) Participatory field study in multiple sites selected to represent different levels of living and different UW&S situations; this would also involve women’s groups; a key focus would be the poor (c) Case studies of four successful (and replicable) approaches to addressing gender needs and roles in UW&S 2. Two workshops (in two different regions and cities) to identify how the study findings can be taken forward into the design and implementation of UW&S projects/programs 3. Policy dialogue with the Government of India’s MOUD and/or MHUPA to identify/ agree on modifications in UW&S policy that would mainstream attention to gender needs <p>Output</p> <ul style="list-style-type: none"> • A significant analytical report covering the literature review, field findings and case studies • Report of the workshops providing concrete recommendations for project/program design and implementation (A ‘how-to’ guide) and ideas for policy makers • Brief policy paper on gender mainstreaming through UW&S policy
Progress	In the inception stage
Outcomes	<ul style="list-style-type: none"> • Improved knowledge of gender-differentiated needs in UW&S • Improved know-how to mainstream gender concerns in UW&S design and implementation • Improved attention to gender needs at the policy level
Meeting the objectives of the TF	The activity will help in the improved design of Bank projects to take into account gender aspects.
Additional Funds leveraged	It will potentially leverage future W&S portfolio of the Bank and the UWSSMP under preparation.

Title	5. M&E Framework for WSI
TTL	William Kingdom
Context and Objectives	The project development objective is to develop an M&E framework for the WSI Trust Fund.
Activities and Outputs	<p>Activity</p> <ul style="list-style-type: none"> • Review of M&E frameworks for similar, existing, Trust Funds at the Bank and within Ausaid • Confirm the objectives of the WSI TF with the Bank and with Ausaid • Develop draft M&E framework for WSI TF for review with the Bank and Ausaid • Finalize the M&E framework based on review with Bank and Ausaid, including guidance notes to TTLs, and approach to mainstreaming within WSI activities. <p>Output</p> <ul style="list-style-type: none"> • Agreed M&E framework for WSI TF with guidance notes for implementation
Progress	Consultant hired.
Outcomes	<ul style="list-style-type: none"> • Improved efficiency and effectiveness of WSI TF
Meeting the objectives of the TF	The activity will provide a framework to measure how well the individual activities meet the objectives of the TF.
Additional Funds leveraged	It leverages the entire funds under WSI and will also be used to inform the M&E framework for Bank W&S projects under preparation.

Title	6. Study of PPP opportunities in achieving long-term sustainability of rural water supply and sewerage in Punjab
TTL	Shyamal Sarkar
Context and Objectives	The objective is to investigate the opportunities of using PPP to fast-track the expansion of water supply and sanitation access to rural population and achieve long-term operational sustainability of the services in Punjab. The tools will help improve the outcomes of the ongoing Bank financed Punjab Rural Water Supply and Sanitation Project (PRWSSP) and the design of future interventions in the rural water supply and sanitation sector.
Activities and Outputs	<p>Activity</p> <ul style="list-style-type: none"> Identify keeping the political economy context in view the opportunities of using PPP and the various options of PPP engagements in the rural water supply and sanitation sector for (a) fast tracking provision of access and (b) achieving long-term sustainability through service delivery improvement, in Punjab Deliberate the identified PPP opportunities with various stakeholder groups and build awareness on the PPP options suitable for Punjab Develop each of the PPP options and share them with sector staff through small group workshop Conduct workshops with (a) local entrepreneurs on operation and maintenance and (b) national/ international PPP partners on the opportunities on wider engagement in the sector, and draft strategy and road map for PPP engagement Assist Punjab to conduct a National Workshop on PPP in rural water and sanitation in Chandigarh Prepare Final Report summarizing the study process, output, outcome and recommendations <p>Output</p> <ul style="list-style-type: none"> Report on PPP opportunities in rural water supply and sanitation sector in Punjab Report on the meetings with stakeholder groups and awareness building General Guidelines for engaging in PPP Specific guidelines to be followed for hiring each type of PPP and the related draft bidding document, bid evaluation methodology and contract document Workshop presentations and reports Identification of key players in PPP and addressing their concerns Draft strategy and road map for PPP engagement Report on the Workshop/ Final Report on the study
Progress	In the inception stage
Outcomes	<ul style="list-style-type: none"> Informed stakeholders Enhanced understanding, knowledge and capacity of sector staff in handling PPP engagement Strategy and road map for PPP engagement enunciated Capacity building needs for local entrepreneur identified and strategy developed for Increased willingness among the communities to take over operation and management registered Use of PPP models disseminated to various national and state agencies 10% of the villages under the Bank financed SWAP program agree to have a PPP arrangement for operation and management 50 contracts for operation and management signed in a period of two years since the study completion
Meeting the objectives of the TF	This activity will improve the design and implementation of the Bank project
Additional Funds leveraged	It is linked to the PRWSSP which has Bank financing of \$ 154 Million.

Title	7. Transaction Advisory Services for Public Private Partnerships for Rural Water Supply Schemes in Andhra Pradesh
TTL	Smita Misra
Context and Objectives	The objective is to assist the Government of Andhra Pradesh (GoAP) in designing a Public-Private Partnership (PPP) program based on the Design-Build and Operate (DBO) model, as part of the Andhra Pradesh Rural Water Supply and Sanitation Project (APRWSSP). The GoAP, with Bank assistance, has recently started implementing the project in six districts to improve RWSS services through progressive decentralization, community participation and enhanced accountability. The key project outcomes expected include increase in the number of people with access to improved and sustainable water supply services, improved hygiene and sanitation practices and cost recovery. It will enhance the likelihood of sustainable project outcomes by providing assistance to government counterparts in piloting a DBO model.
Activities and Outputs	<p>Activity The assignment is split into two phases. The first phase will be a rapid assessment to determine the village schemes suitable for a DBO contract. This will involve among others assessing the commercial viability of the DBO under current tariff structure and willingness to pay. The second phase will involve a detailed transaction design and preparation of the DBO contract in the selected villages, including, but not limited to: development of appropriate procurement and fund flow arrangements; payment risk mitigation measures; how to incorporate performance-based incentives; monitoring and verification procedures; how to attract private operators; preparation of all relevant contracts and other bid documents; review of all regulatory and institutional arrangements necessary to facilitate execution of the DBO contract; and assisting APRWSSP with the bidding process where relevant, and/or in negotiations with the proposed private operators on the final contractual arrangements.</p> <p>Outputs Key outputs include: Phase 1:</p> <ul style="list-style-type: none"> • Report on recommendations as to which schemes to pursue implementation of a DBO model on a pilot-basis <p>Phase 2:</p> <ul style="list-style-type: none"> • Report on Implementation Guidelines summarizing the final DBO design. • For each of the villages selected for implementation of the DBO model, a report providing a detailed description of the transaction design, the indicative investment plans, O&M costs, tariff revenues and estimates for subsidy requirements • Detailed Procurement Plan and tender documents (including prequalification criteria) for the DBO contracts for implementation of the investment program and for continued system operations and service delivery • Transaction closing Report
Progress	In inception stage
Outcomes	<ul style="list-style-type: none"> • GoAP makes a final decision to pursue a DBO model on a pilot basis and allocates resources for the same • GoAP signs DBO contracts for 2-3 multi-village piped water schemes with competitively selected private operators
Meeting the objectives of the TF	This activity will improve the design and implementation of the Bank project.
Additional Funds leveraged	It is linked to the APRWSSP which has a Bank financing of US\$ 150 Million.

Title	8. Supporting Innovations and Capacity-building for Ganga Clean-up and Conservation
TTL	Sanjay Pahuja
Context and Objectives	<p>This programmatic proposal is designed to support the implementation of the National Ganga River Basin Project, which became effective in August 2011. The Project is aimed at assisting India in its renewed efforts of cleaning and conserving the Ganga (Ganges) river, and the Project Development Objectives are to support the National Ganga River Basin Authority (NGRBA) in:</p> <ul style="list-style-type: none"> a. building capacity of its nascent operational-level institutions, so that they can manage the long-term Ganga clean-up and conservation program; and b. implementing a diverse set of demonstrative investments for reducing point-source pollution loads in a sustainable manner, at priority locations on the Ganga. <p>This proposal will support the implementation of the Ganga/NGRBA program in the following thematic areas (see details in the table below):</p> <ul style="list-style-type: none"> A. <u>Introducing and Supporting Innovative Technologies/Investment Models</u> B. <u>Capacity Building of Service Providers</u> C. <u>Improving Financial Sustainability and Supporting Public Private Partnerships</u> <p>Therefore the proposal is aimed at proving support for technical innovations, quality enhancement, and capacity-building that is crucial for implementation of a flagship Bank-funded infrastructure project.</p> <p>This programmatic proposal is for an initial amount of \$350,000, which may be replenished with additional funds depending upon timely disbursement and good performance during the 2-year duration of the GFR.</p>
Activities and Outputs	<p>Activity</p> <p>1. Introducing and Supporting Innovative Technologies/Investment Models: This will include consulting support for adoption of net energy positive wastewater treatment technologies, which have not been employed in India so far, and which can transform the wastewater treatment sector by making it possible to generate revenues. Specific work entails identification of pilot sites, generating support from local champions, developing terms of reference and providing assistance to clients during the bidding process</p> <p>2. Capacity Building of Service Providers This is aimed at primarily providing high-quality consulting support, primarily to local service providers (and in some cases the state-level agencies that are providing local services), in the following areas:</p> <ul style="list-style-type: none"> • Project management • Procurement • Technical skills enhancement (in infrastructure construction and management) • IT for enhancing performance (focused on MIS, GIS and geospatial platforms for network design and optimization) • Communications and community engagement on local infrastructure projects. • As needed support to ULBs to explore options for revenue generation for sustainable water/wastewater services <p>3. Improving Financial Sustainability and Supporting Public Private Partnerships This will include the following:</p> <ul style="list-style-type: none"> • Provision of consulting support to the state-level infrastructure executing agencies as well as ULBs, for developing, market-testing and adopting suitable PPP models for implementing infrastructure investments under the NGRBA program.

	<ul style="list-style-type: none"> • Consulting support to NGRBA's state-level institutions (and parastatal infrastructure agencies) for scoping of innovative riverfront management with revenue generation options which improve financial sustainability of river clean-up and conservation investments. • Consulting support to the NGRBA's central-level institution for developing a systematic basin-level approach for prioritizing infrastructure investments (all of which are at city/local levels), in order to ensure that the financed investments are among the most effective in reducing the pollution loads in the river <p>Output</p> <p>Activity 1:</p> <ul style="list-style-type: none"> • Report on identification of pilot sites in Ganga basin that are suitable for adoption of net energy positive treatment technologies • Guidance Note for local-level decision makers on benefits and implications of net energy positive treatment technologies. • Terms of Reference for recruitment of consultant for preparation of Feasibility Study <p>Activity 2:</p> <ul style="list-style-type: none"> • The outputs will comprise of the reports on each individual consulting support assignment as it is completed. This activity will support cities/agencies on an ongoing basis, as more investments are approved in different cities under the NGRBA program. <p>Activity 3:</p> <ul style="list-style-type: none"> • The outputs will comprise of the reports on each PPP options for specific investments, as individual consulting support assignments are completed. This activity will support cities/agencies on an ongoing basis, as more investments are approved in different cities under the NGRBA program • Report on scoping of possible models in selected cities/sites for riverfront management with revenue generation options to improve financial sustainability of river clean-up and conservation investments • Reports on development of a basin-level investments prioritization approach and decision-support system.
Progress	In inception stage
Outcomes	<p>Piloting and adoption of innovative sewage treatment technology options in the NGRBA program, with potentially transformative implications for the entire wastewater sector in India</p> <p>Better capacity in the local service delivery institutions to operate and maintain the investments funded under the NGRBA Program, with attendant benefits for the clean-up and conservation of the Ganga</p> <p>Thorough exploration and pragmatic selection of PPP models for NGRBA program investments.</p> <p>B. Financially stronger ULBs, with improved fiscal resources for sustaining the O&M of NGRBA Program investments.</p> <p>C. Development of a basin-level investment appraisal and decision-making platform, thus ensuring optimal allocation of resources</p>
Meeting the objectives of the TF	The activity will create demand for reforms in the W&S sector and improve the design and implementation of the Bank project
Additional Funds leveraged	This activity supports the NGRBA project which has Bank financing of \$ 1.5 billion.

Title	9. Kerala Solid Waste Management Scoping (JIT)
TTL	Janis Bernstein
Context and Objectives	<p>The development objective is to generate a demand for institutional and technical improvements in the municipal solid waste management (MSWM) sector in the state of Kerala.</p> <p>MSWM is recognized as one of the most complex political and policy issues concerning local governments and service delivery in Kerala, and the Chief Minister of Kerala requested urgent assistance to guide them in both complying with the national solid waste law Municipal Solid Waste (Management and Handling) Rules of 2000, and meeting the solid waste management needs of Kerala's cities and towns.</p> <p>The activity was considered urgent because the Bank needs to respond quickly to this request or the opportunity for initiating what is envisaged to become a longer term engagement to improve solid waste management in Kerala's cities and towns could be lost.</p>
Activities and Outputs	<p>Activities</p> <ul style="list-style-type: none"> • Scoping of MSWM system and solid waste conditions in selected cities and towns • Discussions with State officials on priority areas for technical and institutional support <p>Output</p> <ul style="list-style-type: none"> • Mission Report • Short to Medium Term Work Plan for Technical Assistance
Progress	Consultant Hired
Outcomes	<ul style="list-style-type: none"> • Raised government awareness of priority MSWM issues and approaches for addressing them based on international best practice • State commitment to finance or seek financing for institutional and technical improvements in MSWM during the next two years
Meeting the objectives of the TF	The activity will create demand for reforms in the W&S sector
Additional Funds leveraged	Future lending anticipated

Title	10. Preparation of an institutional development program for rural WSS sector institutions in the State of Uttarakhand, India (JIT)
TTL:	Smita Misra
Context and Objectives	<p>The objective of the proposed activity is therefore to assist the GoUK in preparing an institutional development program UJN and UJS, taking into consideration international good practices. The activity will improve the implementation of the existing World Bank-supported project and enhance the likelihood of sustainable outcomes by providing insights into institutional options for long-term sustainability of RWSS services.</p> <p>The Government of Uttarakhand (GoUK) is committed to implementing the sector reforms initiated by Government of India (GoI) and empowering the Panchayati Raj Institutions (PRIs) as envisaged in the 73rd Constitutional Amendment Act. The GoUK vision 2012 for the Rural Drinking Water and Sanitation Sector (RDWSS) notes “The rural local government in partnership with rural communities; shall plan, design, construct, operate and maintain their water supply and sanitation schemes; so that they get potable water and accrue health and hygiene benefits. The government and its sector institutions together shall act as a supporter, facilitator and co-financier, technical assistance and training provider and also support large scale construction works and sectoral contingencies”.</p> <p>The GoI has received a credit (Credit No. 4232 IN) from the International Development Association (IDA), World Bank, towards the cost of Uttarakhand Rural Water Supply and Sanitation Project. The project development objective is to improve the effectiveness of RWSS services through decentralization, increased role of PRIs and involvement of local communities in the state of Uttarakhand. The two key state-level sector institutions responsible for RWSS and for implementing the bank-supported project are: Uttarakhand Peyjal Nigam (UJN) which is responsible for construction of RWSS schemes and Uttarakhand Jal Sansthan (UJS) which is responsible for operation and maintenance. These two institutions are delivering poor services and are financially not viable. At the same time, consistent with the GoUK vision 2012, the role of the government and its sector institutions is supposed to evolve from direct implementer to facilitator. As such, the GoUK is very keen to understand and adapt international good practices for turning-around poorly performing RWSS institutions. The GoUK has appointed a commission headed by a retired Chief Secretary of the State to analyze the existing institutional set up of UJN and UJS and recommend appropriate institutional reforms in view of the State Government’s long term vision for rural water supply and sanitation sector.</p> <p>This activity is client driven as it responds to a direct request by GoUK for Bank assistance in preparing alternative institutional options and the best course forward for UJN and UJS. The intervention is urgent as GoUK has already appointed a commission which urgently needs some direction. Taking into account reforms happening across the globe in rural and water supply and sanitation sector, it is felt imperative to quickly mobilize an international consultant to assist the commission in thinking through some options.</p>
Activities and Outputs	<p>Activity</p> <p>The activity will be split into three phases. Phase 1 is a rapid diagnostic review of the existing RWSS institutional set up to identify the gaps/weaknesses. This will be based largely on work already undertaken by previously consultants engaged by GoUK and reports available with GoUK. Based on the diagnostic review, Phase 2 will involve outlining a menu of institutional options/models to be considered by GoUK. Phase 3 will involve preparing a detailed WSS institutional restructuring program.</p> <p>GoUK is requesting JIT support for Phases 1 and 2 only. Should appropriate institutional options emerge which are acceptable to GoUK and other stakeholders, GoUK will consider applying for further support from Bank in carrying out Phase 3.</p>

	<ul style="list-style-type: none"> Phase 1 - Rapid diagnostic study of the existing institutional set up of both UJN and UJS (this phase is based on work already done and reports available with GoUK) Phase 2 – Options Report Phase 3 - Developing an appropriate WSS institutional restructuring program and implementation plan (not included in this JIT application) <p>Output</p> <ul style="list-style-type: none"> Report on the diagnostic review of the existing institutional set up, identifying key gaps Options Report outlining the Institutional options for addressing the gaps identified in Phase 1 Detailed report on the institutional restructuring program, including model to be adopted; roll-out plan; change management plan; revenue model and cost to GoUK; capacity building and M&E requirements
Progress	In inception stage
Outcomes	<ul style="list-style-type: none"> GoUK agreement with the identified gaps/weaknesses in the existing institutional framework GoUK takes a decision on what institutional option/model to pursue for the RWSS sector GoUK approves the institutional restructuring program and allocates resources for its implementation
Meeting the objectives of the TF	The activity will create demand for reforms in the W&S sector and improve the design and implementation of the Bank project.
Additional Funds leveraged	It supports the Uttarakhand Rural Water Supply and Sanitation Project which has Bank financing of US\$120 Million.