

STATE PROJECT MANAGEMENT UNIT (SPMU), UTTAR PRADESH

(STATE WATER AND SANITATION MISSION, UTTAR PRADESH)

FILE NO: **01/WB-501/2012**

REQUEST FOR EXPRESSIONS OF INTEREST

For

Selection of Consulting Agency for Undertaking Studies on (1) Social Assessment, including Capacity Building and Communication Strategy and (2) Environment Assessment, in 28 Districts of eastern Uttar Pradesh

The Ministry of Drinking Water and Sanitation (MoDWS), Government of India has requested the World Bank for the preparation of the Rural Water Supply and Sanitation Project for, Uttar Pradesh.

The consulting services ("the Services") for the above project include undertaking two separate studies on (1) Social Assessment, including Capacity Building and Communication Strategy, and (2) Environment Assessment. The studies are mandatory requirements to prepare the World Bank-financed Rural Water Supply and Sanitation Project which will involve field visits to RWSS sites, data collection and report preparation with recommendations within a consultative framework. The studies would have to be consistent with the State Government, Govt. of India and the World Bank safeguard requirements, policies, regulations and guidelines.

The 28 Districts of Eastern Uttar Pradesh are: Allahabad, Ambedkarnagar, Azamgarh, Ballia, Balrampur, Barabanki, Basti, Behraich, Chandoli, Deoria, Faizabad, Gazipur, Gonda, Gorakhpur, Jaunpur, Kaushambi, Kushinagar, Maharajganj, Mau, Mirzapur, Pratapgarh, Sant Kabir Nagar, Sharawasti, Sidharthnagar, Sonbhadra, Sant Ravidas Nagar, Sultanpur, and Varanasi.

The State Project Management Unit (SPMU), Uttar Pradesh now invites eligible consulting firms ("Consultants") to indicate their interest in providing the above Services.

The main objective of the assignment is to prepare well designed and practical social assessment, including capacity Building and Communication Strategy and environment assessments that will inform the design of the rural water supply and sanitation program for the State. The Social Assessment, including Capacity Building and Communication Strategy will address the social development, capacity building and communication strategy issues with a focus on the outcomes of inclusion, cohesion, equity, security and accountability. The Environment Assessment will address the environmental issues with a focus on sound environmental engineering of single and multi village schemes, household and environment sanitation and water quality monitoring. Both studies will assess the social and environmental impacts of the proposed program interventions and develop measures to mitigate the negative impacts and enhance positive impacts, using a framework approach. The respective terms of reference are web-linked at www.swsmp.org

The Agency will have the following main tasks:

- a) Develop study design, instruments and methodology
- b) Field team orientation, data collection and quality check
- c) Tabulation, analysis of data and drafting report
- d) Sharing/disclosures/consultation on report findings
- e) Finalization of report with recommendations
- f) The Agency must keep informing the Principal Secretary, Rural Development, Govt. of Uttar Pradesh and Director SPMU regarding progress of work regularly.

Interested Consultants should provide information demonstrating that they have the required qualifications and relevant experience to perform the Services. The criteria for short listing are:

- Experience in conducting similar studies in India particularly in rural water supply and sanitation programs. Familiarity of having worked in other similar states is an advantage.
- Strong capacity and experience in organizing and planning survey logistics, data management and statistics
- Demonstrated knowledge and skills in both quantitative and qualitative surveys and assessments, especially using participatory and consultative techniques and tools.

In addition, the interested consultants should also provide Turn Over from consultancy business for past five financial years. This should be supported with Annual Reports/ audited financial statements of the firm.

Supporting documents such as brochures, description of similar assignments, publications, and other relevant information may also be submitted.

A Consultant will be selected in accordance with method set out in the Guidelines: Selection and Employment of Consultants [under IBRD Loans and IDA Credits & Grants] by World Bank Borrowers, January 2011. Consultants may associate with other firms in the form of a joint venture or a sub-consultancy to enhance their qualifications. In the case of such 'association' should have real and well defined inputs to the assignment and the same should be detailed in the EOI submitted.

Further information can be also obtained at the address below on working days during office hours [10.00 to 17.00 hours].

Reputed Agency may submit **two separate 'Expression of Interests'** in sealed envelopes clearly superscripted **as 1) "Expression of Interest for the hiring of Consulting Agency for Undertaking Study on "Social Assessment, including Capacity Building and Communication Strategy", and 2) Expression of Interest for the hiring of Consulting Agency for Undertaking Study on "Environment Assessment"** in one original and five copies within two weeks from the date of advertisement that is up to 16th October, 2012 on or before 15.00 hrs.

Contact: Director,
State Project Management Unit (SPMU),
State Water & Sanitation Mission,
6- Sarojini Naidu Marg, Lucknow-226001 (Uttar Pradesh)
Telephone No. 0522-2239428, 4033444
Fax No. 0522-2237709
Email ID: ed.swsmup@rediffmail.com

The Director, SPMU reserves the right to reject all or any of the proposals without assigning any reason thereof.

Executive Director

State Project Management Unit (SPMU), Uttar Pradesh
(State Water and Sanitation Mission, Uttar Pradesh)
Draft Terms of Reference (TOR)

For

Social Assessment, Capacity Building and Communications Strategy

1. Background

The National Rural Drinking Water Programme (NRDWP) guidelines that came into effect from April 2009, seek to correct this situation by emphasizing the involvement of Panchayati Raj Institutions and communities in planning, implementing and managing drinking water supply schemes. States are incentivized to hand over management of their schemes to PRIs. Funds for sustainability of schemes are provided on a 100% Central share basis. A separate component of support activities to fund IEC, HRD, MIS, Water Quality Monitoring and Surveillance and other support activities has been introduced. Recently, as part of the NRDWP, the DDWS has prepared its long term strategic plan (2011-2022) for ensuring drinking water security to all rural households. **The strategic plan aims to cover 90% of households with piped water and at least 80% of households with tap connections during this period.** This forward looking strategy supports the creation of an enabling environment for the Panchayati Raj Institutions and local communities to manage rural drinking water sources and systems. The strategy emphasizes achieving water security through decentralized governance with oversight and regulation, participatory planning and implementation of sources and schemes. Capacity building programs will be required for communities to monitor and prudently use their water resources. Sustainable service delivery mechanisms are a central feature of the program, with State institutions or Zilla Panchayats implementing and managing large multi-village schemes, delivering bulk water to villages in water stressed areas, and GPs implementing and managing in-village and intra-Panchayat schemes. The strategy highlights source sustainability measures, water quality safety, monitoring and surveillance, service agreements with operators, convergence of different development programs, and building professional capacity at all levels.

In terms of piped water coverage Uttar Pradesh also face constraints in institutional and technical capacity at the State, district, block and GP levels for implementing sustainable rural water supply projects. The constraints are in terms of institutional capacity for involving community and Panchayats in planning, implementing and managing their own drinking water supply schemes, and technical capacity of the State Rural Water Supply Depts for supporting and implementing the decentralization program. Also, operations and maintenance of existing schemes is not satisfactory, resulting in non-functionality of many schemes. Further, the States face issues of water quality affected habitations that require supply of water from distant safe sources.

Key Elements of the RWSS Program for Uttar Pradesh are:

The program will be a separate component of NRDWP focusing on Uttar Pradesh with different allocation criteria and funding components, but implemented within the framework of NRDWP, supporting the following key elements of the reform program:

- Placing GPs and communities in the central role, supported by higher levels of PRIs, the State government and the local non-governmental and private sector, for facilitating, planning, implementing, monitoring and providing a range of O&M back-up services.
- Using sustainable, community or local government managed models for intra-GP RWSS schemes and using State-PRI partnership models for multi-GP schemes.

- Putting water resources security as a core theme of the new model, including increased community management of scarce resources.
- Moving the RWSS sector to recovery of at least 50% O&M and replacement costs and initiating contribution to capital costs keeping affordability and inclusiveness in mind. .
- Moving towards metered household connections, with 24/7 water supply where feasible, as a basic level of service.
- Promoting professionalized service provision management models, and/or back-up support functions, for the different market segments (simple/small single village/GP schemes; large single village/GP schemes; multi village/GP schemes).
- Integrating water supply and sanitation, with effective sanitation promotion programs for achieving “clean villages”.
- Establishing M&E systems with independent reviews and social audits.

2. Objectives of the Proposed Study

The objective of the study is to conduct a Social Assessment study, chiefly, to better understand and address social development issues, and ensure accomplishing the outcomes – inclusion, cohesion, equity, security and accountability. This would also enable assessing the social impacts of the proposed project interventions; develop measures to mitigate negative impacts and enhance positive impacts; examine the legal, policy and institutional aspects to enable accomplish the principles underpinning the approach.

The initial inquiry reveals that project beneficiary profile may not be homogeneous, rather, quite diverse comprising a number of sub-groups identifiable on the basis of their differential endowment, gender, ethnicity, different economic groups and other regional features. Therefore, the challenge lies in addressing the requirements of the all the sub-groups, with special attention towards the rural and tribal poor and other normally socially excluded sub-groups. Besides, there are a large number of stakeholders, some internal and others external to the project, who would have varying degrees of influence and impact on project activities and outcomes. This makes it necessary for the project to provide a framework for participation of all key stakeholder groups and enable solicit their contributions towards project design and delivery mechanisms. To this effect, as a part of the project preparation, it is intended to conduct this consulting assignment, Social Assessment (SA). Broad elements of the study shall include beneficiary assessment, stakeholder analysis, social impacts, institutional assessments and risks analysis. The assessment would be carried out consistent with GOI and the World Bank safeguard requirements, policies, regulations and guidelines. Scope of the study is however little larger to cover aspects related to capacity building and communications.

3. Outline of the Tasks to be carried out

Part A: Social Assessment

3.1 Beneficiary Assessment -- comprising socioeconomic profiles at state, district and village level; the project beneficiaries' assessment on the current status of RWSS management and services; and the linkages thereof with governance mechanisms and PRI functioning.

3.2 Stakeholder Analyses -- Identify stakeholders at different levels. Map Key Expectations, Impacts, Issues and Concerns as related to each stakeholder and the subgroups thereof.

3.3 Impact Assessments -- identify positive and negative social impacts likely to occur for different sub-groups or beneficiaries as a result of project interventions; assess and prioritize impacts based on their significance; and suggest measures to minimize negative impacts and derive the maximum from positive impacts;

3.4 Institutional Analysis – document the existing institutional and implementation arrangements, covering all key actors – government departments, sector institutions (such as PHED, Jal Nigam, UP Agro), and Panchayat Raj Institutions (PRIs). Work flow chart be prepared along with fund flow arrangements so as to lead to a SWOT exercise. The analyses ultimately should lead to recommendations on institutional and implementation arrangements for each of the investment streams.

3.4 Ascertain and analyze key social risks, internal and external, to the project and measures to address them;

3.5 Build the elements of a Community Driven Development (CDD) approach -- List issues and the suggestive measures towards building CDD approach.

3.6 Rules for securing lands. The project would require land for rehabilitation/construction activities. Drawing up plans for securing lands would include: (i) document the practices commonly adopted in the state; (ii) conduct a SWOT exercise of the current practice; and (iii) identify issues that need to be taken into account, particularly, relative to the respective State Policy on Resettlement and the Bank's OP 4.12. Based on the above, formulate a methodology for securing lands for the proposed project. This would essentially involve developing a generic framework by which project could secure lands including mitigation measures (such as resettlement action plan). Generic principles underpinning estimating replacement values (land, structure, and livelihoods) also need to be drawn.

3.7 Indigenous Peoples Development Plan (IPDP). The project is likely to cover some of the Scheduled Tribe (ST) areas in one or two districts of eastern Uttar Pradesh and therefore it is important to address the issues related to tribals, mainly to enhance their participation in the project and to ensure that the project benefits are focused on them. The consultant would define principles and develop a framework (complying with Bank OP 4.10) to address tribal issues up-front and provide culturally compatible benefits and promote transparent consultations for informed decision making. To this extent, the consultant will prepare a generic framework in accordance with the Bank's OP 4.10.

3.8 **Generation of a baseline data.**

3.8.1 Identify and assess the settlement pattern in 28 districts of eastern Uttar Pradesh.

3.8.2 Map the existing water supply and sanitation systems and the pattern of usage and the related knowledge, attitude and practices. This should lead to a status note on of the current water supply / usage, environmental sanitation and health & hygiene status which will include the following:-

- Socio economics: sub-groups identifications, habitation, housing and household amenities (space for bathing, defecation, cattle etc) family structure / size, occupation, income , literacy, gender spread, land ownership and use, water supply, hygiene and sanitation, common ailment and medical expenses, relationship between tribal habitations and main villages and gram Panchayats, political representation, special attention to women, reactions to project rules and regulations.
- Water use (optimal): Number and characteristics; sources and availability (quantity, quality); reasons for preferences, if any; reliability (continuum of supply); distance to source; time taken in fetching water, general aspects of water use; water requirement by purposes such as cooking, drinking, bathing, vessels and washing clothes, cattle etc, time allocation (share of household members), focused on women, management aspects such as source protection, method of distribution, ownership of water sources, accessibility tariffs and general maintenance.
- Water use (hygienic): Personal habits in relationship to using water. Water quality at home (drawing, caring, storage and drinking). Water collection, transport and storage practices (condition of

containers and ladles, presence of covers and degree of exposure, place of storage including child / animal access, contact with hands and other objects); and practices, if any, to improve water quality.

- Personal hygienic practices: Hand cleansing practices. Disposal of household refuse. Disposals of animal and farm residues. Defecation and ablution. Status of latrine, if any including the type / technology, construction details etc.
- Water sanitation-health relationship: Knowledge about the causes of some water-borne / washed / based / related diseases, extent of disease prevalence, spatial / temporal spread and remedies practiced. Concepts regarding good health and illness. Try and build a cause and effect relationship matrix. Special focus will be on ascertaining the knowledge about hygiene status of the existing household latrine i.e., the extent to which this could be polluting water in the nearby wells. If necessary, draw inputs from the water quality study.

PART B: CAPACITY BUILDING

4. The main objective of the study is to design the capacity building strategy and implementation action plan for the RWSS sector institutions and the Panchayati Raj Institutions, in accordance with the requirements of the Sector Development Program. The tasks to be accomplished are:

Phase 1

4.1 General Assessment of the existing capacity of sector institutions to face the new functions, in terms of personnel, knowledge instruments, information systems, procedures etc. This would include financial management systems, planning systems and operational and administrative functions. the type and levels of risks / gaps, and recommendations for enhancements, along with the pre-requisites for/ limitations in carrying out such enhancement, and recommendations on institutional capacity building to improve financial management practices for Sector Institutions and the PRIs.

4.1.1 Conduct a Training Needs Assessment to assess the training / learning requirements of the personnel of the RWSS sector institutions and Panchayati Raj Institutions at various levels (based on an identification and analysis of the gaps), for enabling them to perform their functions effectively, efficiently and economically.

4.2 **Capacity building strategy and plan.** Prepare an inventory of existing institutions in the State (public or private) including WSSO/CCDU and assess their resource capacity to undertake capacity building for the project and prepare a short list of institutions for sector institutions and Panchayati Raj Institutions personnel along with their strengthening requirements (if need be) thereof.

4.2.1 Based on the above assessments, the consultant will propose a strategy and a general plan for building capacity in sector institutions and PRIs. Anticipating that this may not be an instant endeavor but a long-term even permanent activity, the consultants should consider phasing such capacity building, studying and recommending the start-up effort as a first phase, and then consolidation and maintenance.

4.2.2 Capacity building programs. The initial (2-3 years) effort for capacity building will be designed in detail as indicated below. Individual plans must be considered for each institution and each level of the PRIs. This will include building of knowledge, skills, attitude, management practices for financial and institutional development & management. Broad categories of interventions could be in the spheres of technical, managerial and financial aspects. Specific programs will be developed, based upon need

analysis of different stakeholders. Program content should be apt and adequate and appropriate methods for imparting capacity building are essential. It should be ensured that the initiatives are participatory in nature and field oriented, and less of classroom type i.e. lecture mode. All these need to be supplemented by qualified personnel who have an aptitude for the job. Also, specific institutions need to be identified for carrying out the capacity building. No single institute will be able to cater to all categories of interventions. Different institutions will have to be identified, with the possibility of an institutional linkage mechanism, including some institutions outside the state / country. A workshop would take place at this point.

Action plan formulated should include budgeted costs for the proposed activities and a time line.

Phase 2

5. Preparation of detailed action plans. For each type of institution (sector institutions) and each one of the three levels of the PRI. These plans will be detailed identifying activities, costs and calendar. Activities to be financed under the APRWSS should be specifically identified, including a recommendation of corresponding procurement plan. Activities should be grouped separately into training, information system and communication requirements, development of methodologies, procedures, technical and economic studies, and equipment. A workshop explaining results would take place at this point.

PART C: Information, Education and Communication (IEC)

6. The objectives of this task is to develop a communications strategy and action plan to support Gol, the project States and sector institutions in the project states (nodal line departments, PRIs and other related institutions) and local communities in planning, implementation and subsequent operations of the project. Hence the communication plan should include strategic elements (getting the buy-in of key decision makers) and operational elements. The communication strategy should take into account the concerns of the key decision makers and stakeholders and the socio-economic characteristics of the target population. This is to ensure that the project is successfully implemented and delivers sustainable and satisfactory water and sanitation¹ services to communities at large and poor and vulnerable groups [such as women, Scheduled castes (SCs) and Scheduled Tribes (STs)] in particular. Key tasks would include:

6.1 Conduct structured Stakeholder analysis - Identify of key stakeholders (Central, State, District, Block, Gram Panchayat, Village levels). Gain an understanding of views, perceptions and assumptions held by different stakeholders towards the proposed reform approach (expectations of water and sanitation services, perceptions on tariff, roles and beliefs) through consultations with different stakeholder groups. Carry out a detailed stakeholder analysis (decision makers, implementers, beneficiaries, winners/losers, influencers/opinion makers - proponents and opponents), identifying interests/expectations of each group, their characteristics, implications/potential for the project (positive and adverse) and prioritise them in order of criticality for the proposed project. The stakeholder analysis should analyse the critical stakeholders, their importance and power relationships of each stakeholder in the whole process.

6.2 Carry out communication needs assessment – For different stakeholder groups prepare a communications need assessment identifying clearly their assumptions/perceptions and develop key messages that need to be delivered and the method/mode/media and frequency/timing.

6.3 Institutional analysis and inventory - Identify existing local level institutions (formal/Informal) including nongovernment organisations, their strengths and their present potential role in carrying out communication activities.

¹ Sanitation includes: Personal hygiene, domestic sanitation and environmental sanitation

6.4 Develop overall communications strategy and action plan - in the form of message and means of delivery for different stakeholders (street corner meetings, ward level consultations, workshops/seminars, individual/collective meetings, presentations to institutions, mass media – print and electronic, other publicity materials – display hoardings, pamphlets, fliers etc) and sequence of events. Develop strategies to promote participation of all the primary stakeholders in the project, promote sustainability and development of local institutions. The draft communication strategy must be discussed in a workshop with key stakeholders and feedback received suitably incorporated in the final version. This strategy and action plan should group the interventions, identifying clearly, items that would be included in the capacity building plan activities that would be undertaken by facilitating agencies at the village level activities that would be undertaken using mass media development and production of IEC materials.

6.5 The consultant will also prepare the draft terms of reference for the actual implementation of the communication strategy, to be carried out subsequently with the help of local NGOs or other institutions. Action plan formulated should include budgeted costs for the proposed activities, tools and outline of communication materials.

While preparing the communication strategy, the consultant will consider the following elements:

- Initial communication will be targeted to key decision makers in the state governments to build a supportive environment for sector reforms
- Communication needs will vary depending on the stage of project (Initial, pre-planning, planning, implementation, and post implementation phases).
- Much of the operational communication to village communities will be in the form of capacity building (likely to be delivered by support agencies, NGOs, CBOs) and IEC campaigns.

There are excellent communication practices developed in Bank assisted projects (Karnataka, Kerala, Maharashtra, Uttarakhand, Andhra Pradesh and Punjab) and other states. Similarly good IEC materials have been prepared by these projects, UNICEF and GOI. The consultant is expected to collect these best practices, readily available IEC materials and synthesize them for easy adaptation by the project states.

The consultant should consider Gender and vulnerability analysis to develop a detailed understanding of the issues involved. The main issue is to ensure access for these groups to services and decision making process. The study should develop strategies to enhance the participation of these groups in the implementation of the water and sanitation sector services.

7. Disclosure workshops

The consultant will hold consultations with stakeholders as a means to elicit explicitly the views of the community, beneficiary groups and women on their participation at all stages of the project. The findings of the draft report will be discussed with the primary stakeholders in the field to get their feedback. The findings of the final draft report will be discussed in a stakeholder workshop. All consultations should be properly documented and submitted to the client with the final report.

8. Methodology (Suggested)

The consultant team will identify about 70 Gram Panchayats/ villages/ habitations spread equally over the three regions and duly representing the different agro-climatic, socio-economic and RWSS scenario. These GPs would form the focal points around which other stakeholders can be mapped. The methodology adopted in selecting the GPs for the proposed study will be agreed with the client. Study approach will chiefly be based on participatory approaches. Some of the participatory tools to be used are PRA, sustainability monitoring exercise, women group interaction, etc. The data/information required for the study needs to be collected through:

- Desk review of policies, regulations, guidelines and Government Orders related to the social aspects of the project.
- Structured interviews with key informants.
- Meetings with concerned officials, VWSCs, PRI members, staff of line departments, consultants, NGOs etc.
- Stakeholders workshops at different levels (village, Mandal, district and state and national level)

The data collected should be computerized so that it could be used for integration into the proposed spatial knowledge base and the monitoring and evaluation system. The emphasis would be on generation of information rather than collection of information.

9. Schedule of Deliverables

Inception report: Inception report will describe proposed approach, methodology, sampling framework for conducting the study, formats for field surveys, schedule of field work and procedures proposed to be adopted for data collection. In addition, it will briefly describe how social issues will be identified and include methodology for public consultations and identification of various stakeholder groups. The Inception Report will be submitted within two weeks of signing of contract.

Number of copies: 5 copies of the report and electronic version (on 5 CD- ROMs).

Intermediate report: This will describe the methodology adopted, progress achieved, summary of current recommendations and a table of contents and outline of SA report with description of each section.

Number of copies: 10 and electronic version. The Interim Report is due within eight weeks of signing of contract.

Draft final report will be submitted within eleven weeks after signing of the contract. The reports should be clear, logical and readable. It will include an executive summary of not more than 10 pages. The consultant will also submit any additional material that was collected as part of the project that may be of use to the proposed project. An electronic version of the reports will also be submitted (e.g. in MS word format) for dissemination and discussion purposes. This report should be presented in a workshop that will be organized by the client. The comments and suggestions given in this workshop, and those given by GOAP and the World Bank will be addressed and incorporated in the final report.

All the reports mentioned above should be prepared in single spacing, Times New Roman, font size 12 and adequately supported with visuals and graphs.

Final report: Draft report would be revised and finalized as per comments from the client, Bank, and the feedback from the field level consultations.

The final report will necessarily include the following:

- Baseline information and monitoring indicators
- Stakeholder Analysis and Impact Assessments.
- Gender Impact Assessments
- Institutional Assessment along with the SWOT analysis. of the PRIs relative to Institutional arrangements for participation and project management
- Identification of risks which might affect success of the project
- Plans for securing lands –
 - --Generic framework for RAP and IPP as appropriate
- Capacity Building Assessments, Strategy and Action Plan

- IEC
- Model contract documents for deploying consultants/ support organizations during implementation.

Number of copies: 20 and electronic version (on 20 CD-ROMs). The Final Report is due within fourteen weeks after signing of contract.

10. Data, services and facilities to be provided by the client:

Uttar Pradesh State and GOI through their designated representatives:

- Would provide available data and information that would be relevant to the study including draft project concept note, size, scope, and detailed implementation plans.
- Would provide all necessary and reasonable support to the consultant to collect secondary data, such as issuing authorization letters. The Consultant will be responsible for any translation of documents and for processing of data. The Clients will designate an officer to act as the main liaison officer and participate in the study
- Would help identify contacts in the project areas and facilitate consultation with agencies, affected groups, potential project beneficiaries and others. The consultant would be responsible for contacting the individuals identified and synthesize and analyze the information available;
- Would make available copies of World Bank Operational Policies (Section 5 above) and any other available document(s) relevant to the study.

May designate/depute a team of professionals (client’s organization professionals) to work with the consultants’ team.

11. List of Key Professional Positions whose CV and Experience would be evaluated

Key Person	Specialization	Experience	No	Man months
Social Development Specialist - Team Leader	An Engineer or Post Graduate or MBA with professional expertise in conducting social assessments, particularly in agriculture and rural development projects. Proven experience of conducting PRA/PLAs as well as working with women, SCs and STs and the poor and remote communities is essential. Working with Government agencies, PRIs and international agencies is desirable.	7-10 years	1	4
Community Development Specialist	Post Graduate, with experience of designing and implementing community participation component in development projects and managing social safeguard activities such as resettlement, tribal development etc.	5-10 years	1	4
Gender Specialist	Post Graduate, with experience of conducting gender assessments and incorporating gender into development projects	5 years	1	4
Communication Specialist	Post Graduate, with experience of designing and implementing IEC programs in social sector	5-10 years	1	4
Social Marketing	MBA with HRD specialization with experience of	5-10 years	1	4

Specialist (preferably a woman)	addressing gender issues and organizing stakeholder consultations			
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Key staff's input of **20** person months is estimated for the study.

12. Required Qualifications of the Consultant

- Experience in conducting similar studies in India particularly in rural water and sanitation programs. Familiarity of having worked in selected state is an advantage.
- Strong capacity and experience in organizing and planning survey logistics, data management and statistics.
- Demonstrated knowledge and skills in both quantitative and qualitative surveys and assessments especially using participatory and consultative techniques and tools.

13. The Outputs of the Consultants will be the following:

The study should be completed within 14 weeks from the date of commissioning of the study. PSU should provide comments at each stage of Report preparation within one week of submission of the report and the consultant should address these at each stage of report preparation. The following are the benchmarks from the date of commissioning of the study:

Benchmarks (Reports)	Time Schedule (weeks)	
	for each stage / report	from date of commissioning
Stage 1 - Inception report	2 week	2 week
Completion of Stage 2 and Intermediate Status Report	6 weeks	8 weeks
Completion of Stage 3 , 4 and Draft Final Report	3 weeks	11 weeks
Completion of Stage 4 and Final Report	3 weeks	14 weeks

14. Management of the Study

The consultant will report to the Principal Secretary, Rural Development, Govt. of Uttar Pradesh and Director, SPMU, Uttar Pradesh. The consultancy firm is responsible for all logistics, including but not limited to supplies, printing of instruments, translations, computers, and so forth. The State Government will not provide logistical support for the study team.

15. Review Committee to Monitor Consultants Work

The Principal Secretary will be the chairperson of the review committee comprising members from the field of engineering, community development and finance. The committee may also seek comments and inputs on the consultants work from the World Bank staff and other experts as appropriate.

16. Terms of Payment

- 10% of the contract value on submission and acceptance of the inception report.
- 30% of the contract value on submission and acceptance of intermediate status report.
- 40% of the contract value on submission and acceptance of draft final report.
- 20% of the contract value on submission of final report.

State Project Management Unit (SPMU), Uttar Pradesh
(State Water and Sanitation Mission, Uttar Pradesh)
Terms of Reference for Study on
Environment Assessment and Environment Management Framework

1. Background

The National Rural Drinking Water Programme (NRDWP) of the Government of India emphasizes the involvement of Panchayati Raj Institutions (PRIs) and communities in planning, implementing and managing drinking water supply schemes. State is incentivized to hand over management of their schemes to PRIs. Funds for sustainability of schemes are provided on a 100% central share basis. A separate component of support activities to fund Information Education and Communications (IEC), Human Resources Development (HRD), Management Information Systems (MIS), Water Quality Monitoring and Surveillance and other support activities has been introduced. Recently, as part of the NRDWP, the state departments responsible for drinking water supply and sanitation have prepared their long term strategic plan (2011-2022) for ensuring drinking water security to all rural households. The strategic plans aim to cover 90% of households with piped water and at least 80% of households with tap connections during this period. This forward looking strategy supports the creation of an enabling environment for the Panchayati Raj Institutions and local communities to manage rural drinking water sources and systems. The strategy emphasizes achieving water security through decentralized governance with oversight and regulation, participatory planning and implementation of sources and schemes. Capacity building programs will be required for communities to monitor and prudently use their water resources. Sustainable service delivery mechanisms are a central feature of the program, with State institutions or Zilla Panchayats implementing and managing large multi-village schemes, delivering bulk water to villages in water stressed areas, and GPs implementing and managing in-village and intra-Panchayat schemes. The strategy highlights source sustainability measures, water quality safety, monitoring and surveillance, service agreements with operators, convergence of different development programs, and building professional capacity at all levels.

In terms of piped water coverage, Uttar Pradesh also face constraints in institutional and technical capacity at the state, district, block and GP levels for implementing sustainable rural water supply projects. The constraints are in terms of institutional capacity for involving communities and Panchayats in planning, implementing and managing their own drinking water supply schemes, and technical capacity of the State Rural Water Supply Departments for supporting and implementing the decentralization program. Also, operations and maintenance of existing schemes is not satisfactory, resulting in non-functionality of many schemes. Further, the States face issues of water quality affected habitations that require supply of water from distant safe sources.

Key Elements of the RWSS Program for Lagging States

The RWSS Program will be a separate component of NRDWP focusing on Uttar Pradesh with different allocation criteria and funding components, but implemented within the framework of NRDWP, supporting the following key elements of the reform program:

- Placing GPs and communities in the central role, supported by higher levels of PRIs, the State government and the local non-governmental and private sector, for facilitating, planning, implementing, monitoring and providing a range of O&M back-up services.
- Using sustainable, community or local government managed models for intra-GP RWSS schemes and using State-PRI partnership models for multi-GP schemes.
- Putting water resources security as a core theme of the new model, including increased community management of scarce resources.
- Moving the RWSS sector to recovery of atleast 50% O&M and replacement costs and initiating contribution to capital costs keeping affordability and inclusiveness in mind. .
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- Integrating water supply and sanitation, with effective sanitation promotion programs for achieving “clean villages”.
- Establishing M&E systems with independent reviews and social audits.

The Government of India had approached the World Bank for assistance on a National Project for Uttar Pradesh. The project will bring about positive health and environmental benefits through supply of 'safe' drinking water and creation of sanitary conditions in the village. The project will have programmes related to improved water quality monitoring, health and hygiene education as well as ground water recharge for water supply source protection. Several environmental mitigation measures will be included in the project design and the project is expected to have a net positive effect on the environment. The project itself is not expected to cause any adverse environmental impacts. However, some key environmental concerns related to the project are:

- Water Quantity Issues
- Availability of 'safe' drinking water, specially in the summer months
- Management of solid and liquid waste management and so on.

To contribute to the environmental sustainability of the project, an 'Environmental Assessment' (EA) Study is required as per the World Bank's safeguards policies. The study will collect and analyze information regarding the environmental issues related to the project in the State in the first phase on sample and finally prepare an Environmental Management Framework (EMF) to be integrated in the overall project. The aim of the EA/EMF study is to analyze the existing environmental issues related to rural water supply and sanitation and ensure that these inadequacies are addressed or mitigated in the project design.

2. Objectives of the Study

The key objective of the study is to undertake and prepare a state-specific Environmental Assessment/Environment Management Framework (EA/EMF) Report with a view to identify the critical environmental concerns in the RWSS sector and address them as an integral part of project design.

The specific objective includes:

1. To assess the existing status of environment in the state and to identify threats and issues which have effect on RWSS sector.
2. To identify the environmental issues associated with implementation of RWSS schemes (single village & multi village schemes) and develop environmental codes of practices that need to be followed during various stages such as planning, construction and operation and maintenance.
3. To identify generic environmental issues that are beyond the scope of RWSS schemes, but related to the sector and recommend remedial measures to address them as part of the project.
4. To identify household and environmental sanitation issues as well as to make an assessment of pollution level with regard to water supply and its usages & propose appropriate sanitation technology options.
5. To prepare an Environment Management Framework including well-defined performance indicators for addressing the identified issues, through the various activities/tasks under the proposed project, and strategy for its implementation to achieve sustainable sources for water supply schemes and environmental sanitation benefits.

3. Scope of Works

The specific tasks of the study are to:

1. Conduct an analysis of the environmental status and issues in the program area (28 districts in Eastern Uttar Pradesh) for the state
2. Identify the potential environmental impacts of the range of activities to be undertaken through the state projects, review the effectiveness of environmental management through the program systems
3. Assess the country and state policy, legal and regulatory requirements relevant to the WSS program, the performance of the program in this context, and identify provisions to ensure compliance
4. Review of the existing capacity and institutional arrangements for environmental management in the program
5. Develop an Environmental Management Framework for the state.

The tasks in detail are as follows:

3.1 Analysis of Environmental Status and Issues

It is necessary to conduct a review of the proposed project in 28 districts of Eastern Uttar Pradesh to understand the natural resource conditions (including natural habitats and physical cultural resources) as well as the vulnerability to the likely environmental impacts of activities to be supported under proposed project. To this end the Consultant will do the following:

- i. Collect and compile district/block level data on water resources and water quality for assessing the availability of safe drinking water from surface/groundwater sources. In addition to presenting the present status, the consultant shall undertake a trend analysis

such as depleting spring & gadhera sources, declining ground water tables, degrading water quality and drying of surface sources such as Naulas etc. in various districts/blocks. District level maps need to be prepared by categorizing the water sources into district categories such as safe for drinking, safe with treatment and unsafe for drinking purpose.

- ii. Examine the extent and possible cause of chemical and biological contamination of drinking water sources (district level) and propose mitigation plan for the same. Wherever applicable the consultant should also identify any policy/regulatory measures that may be required to protect the water resources from further contamination. The consultant shall also recommend various cost effective treatment options for contaminations that are very common in the state. The Consultant should collect information from secondary sources to examine possible point and non-point sources of contamination. The water quality hotspots need to be clearly identified for each district.
- iii. Assess adequacy of current water quality monitoring programs and institutional capacity in the State, and provide recommendations for enhancing these as well as disseminating water quality information to the rural public.
- iv. Assess household and environmental sanitation issues, including personal hygiene, health, household environment and sanitation issues. Collected information on major diseases and their causes, and assess how these can be reduced through various project interventions. Assess need for personal health and hygiene programs;
- v. Assess environmental sanitation issues pertaining to the rural areas, including need for pavement of internal village roads and properly design network of sullage and water drains.

3.2 Review of Effectiveness of Environmental Management of Water Supply and Sanitation (WSS) Activities

It is necessary to provide a review of the anticipated individual and cumulative environmental impacts of the activities supported under the proposed National Project and the effectiveness with which these are currently being addressed in the state programs. This analysis will rely primarily on a review of relevant information on environmental management in the state programs on WSS based on field study. The field study will focus especially on multi village or regional water supply schemes, construction/upgrading of RWSS infrastructure in large/peri-urban villages, water treatment plants, sewage treatment plants, interventions increasing energy efficiency, etc.). The sample for the state-specific field study will be representative with respect to water availability and water quality, presence of critical natural habitats, etc. Furthermore, the review will include the extent to which program activities can adversely affect and to what degree do program systems include safeguard measures relevant to the following

- 1.1 Important biodiversity sites
- 1.2 Important cultural resource sites
- 1.3 Natural and critical natural habitats
- 1.4 Physical cultural property
- 1.5 Community and worker safety against potential risks during construction and operations of schemes
- 1.6 Exposure to toxic chemicals and hazardous waste, including polluted industrial areas
- 1.7 Reconstruction or rehabilitation of schemes in natural hazard prone areas
- 1.8 Technically sound environmental engineering practices employed for all schemes to ensure sustainability of water quantity and quality.

The output of this component is a profile of the WSS schemes to be taken up with details on the nature and scale of the activities, remarks and field observations on environmental impact, and, remarks on the effectiveness with which impacts are currently being addressed through the program systems. Activities that pose a risk of potentially significant and irreversible adverse impacts on the environment (classified Category A schemes under IL) will be clearly identified and criteria for exclusion from the program will be developed.

3.3 Analysis of Performance of the Legal, Regulatory and Policy Framework

- i. A review of the relevant policy, legal and regulatory requirements will be undertaken. This task will include an examination of the existing policies, laws and regulations of the Government of India and the State Governments relevant to the WSS program. The review will identify the legal, regulatory and policy bases for environmental management in the WSS program; assess the performance of the program systems in this context; and state clearly the provisions that need to be included in the Environmental Management Framework (see task 3.5) to ensure that the activities supported under the National Project are in compliance with the legal and regulatory requirements of the Government and with the safeguard policy of the World Bank.
- ii. The output from this component is expected to be a detailed, up-to-date listing of all relevant policies as well as legal and regulatory requirements of the Government of India and the State Governments and the relevant safeguard policies of the World Bank specifying the gaps and relevance to the activities undertaken under the proposed National Project for Uttar Pradesh.

3.4 Review of Existing Capacity and Institutional Arrangements on Environmental Safeguards

This will include a review of the existing capacity and institutional arrangements for environmental management and compliance in the program implementing institutions will be undertaken including an identification of a strategy and plan to strengthen the same. The analyses should cover but not be limited to:

- i. Description of existing systems, identification of gaps and recommendations for strengthening the following key organizational dimensions: (i) Authority and capacity of the implementing agency to manage the environmental effects of the program, (ii) Adequacy of staffing and skills with respect to environmental management, (iii) Program coordination systems, (iv) Nature and effectiveness of the monitoring systems for environmental management and compliance. A special focus will be given to the environmental management experience and institutional capacity of the state agencies that is responsible for large water supply schemes in the state.
- ii. Interagency coordination arrangements for environmental management: This will include an analysis of the key partners involved in the WSS sector in the states for (i) Water Availability – (ii) Sanitation and Water Quality (iii) Waste management – (iv) Community Based Organizations.
- iii. The output of this component is an analysis of implementation capacity and experience on environmental safeguards in WSS program in the states with lessons and recommendations for the EMF.

3.5 Development of an Environmental Management Framework (EMF)

Based on the outputs of Tasks 1-4 an EAP should be prepared containing, but not limited to, the components as described below:

- i. *Environmental appraisal procedures*: Detailed procedures and tools - a negative list, a screening tool and mitigation guidelines (or scheme-specific environmental codes of practiceⁱ) need to be developed to ensure that (a) all relevant policy, legal and regulatory requirements are met (b) activities requiring further detailed environmental assessment are identified and go through the same (c) the environmental sustainability of the interventions is enhanced. This section will be informed by the outputs of Tasks 3.1-3.3.
- ii. *Legal, policy and regulatory measures*: This will contain (based on the outputs of Task 3.3) a listing of the legal and regulatory measures to be complied with and a description of any new measures (e.g., new GOs) required ensuring the effectiveness of environmental planning and action.
- iii. *Institutional roles and responsibilities*: This must contain (based on the outputs of Task 3.4) a detailed description of roles and responsibilities within the Program Management Unit in the national and state levels, and within the PRIs and community institutions for implementation of the EMF. It must give a clear picture of roles and responsibilities with respect to screening, environmental assessment, capacity building and monitoring.
- iv. *Capacity building*: This section must include (i) a description of training needs of program staff, PRIs and community institutions at the various levels (ii) description of the training modules and delivery process (iii) description of mentoring through Support Organizations (iv) details of the IEC (Information, Education, Communication) strategy for raising awareness on integrating environmental sustainability in WSS planning.
- v. *Monitoring*: This component needs to have details of (i) the verification requirements for environmental compliance, specifying roles and responsibilities, to ensure that the procedures defined for screening and assessment are effectively applied, (ii) the process of assessing cumulative environmental impacts, (iii) the reporting requirements on the EMF implementation including specification of the performance indicators, and, integration of the performance indicators into the program MIS.
- vi. The output will be an Environmental Management Framework providing detailed recommendations and actions, including actions.

4. Suggested Methodology for the Study

- The consultant will collect the existing information about Environmental issues of RWSS sector, relevant policies/laws/regulations of the Governments of India, in-depth discussions with officials in the various water sector institutions particularly focusing on performance issues [If possible, and subject to data availability, the consultant should preferably use satellite data to map the water resources including water quality for each district on a GIS platform to enable easy identification of safe drinking water supply sources by the implementing agency.]
- Secondary research focusing on a review of EA documents of the relevant Bank supported projects (ii) Field study covering a representative sample of schemes (described above). Additionally, focused discussions will be held with the staff of the relevant sector institutions, PRIs and NGOs.

- The consultant should hold detailed interactions with all the stakeholders such as a UP JAL Nigam/PHED, Departments of Drinking Water/Rural Development, SWSM/PMU, relevant R&D institutions/ organizations in the State, Beneficiaries and Watershed Directorate etc. to collect information regarding environmental issues done by them.
- The environmental issues should be presented in detail, using Charts, Tables and Maps for clarity. Use of pie charts will be especially useful for analyzing the hotspots. The EMP and performance indicators should be presented in a matrix format. The consultants will provide all relevant data/ information in this regard. All assumptions made should be clearly stated along with their justification.
- The consultant will liaise regularly with the World Bank team in Delhi

All the sources of information will be required to be enlisted and validated by support documents. The final outcome of the study should meet the objectives and should cover the scope of the works.

5. Consultations

Using the draft documents as discussion material, the State and National Government will lead consultation workshops in the state and in Delhi (national level) to elicit comments and inputs. The consultation will target key stakeholders including representatives from water sector institutions and local governments (Panchayat Raj Institutions - PRIs) – Water Supply and Sanitation Department (WSSD), Zilla Parishads (ZPs) (district local governments), Block Resource Centres (BRCs), and Gram Panchayats (village local governments), State Water Board), Groundwater Departments and representatives from NGOs, universities and research institutions. The consultant team will incorporate the feedback and concerns raised during the consultation into the documents.

6. Schedule of Deliverables

The study should be completed within 16 weeks from the date of commissioning of the study. The following are the deliverables from the date of commissioning of the study:

Benchmark (Reports)	Time Schedule (Weeks)	
	For each stage/report	From date of commencement
Stage 1 – Inception Report which includes but not limited to study tools, approach and methodology, identification of data requirements, mode of data collection, outline of the final report, field survey format in select, criteria for choosing districts/blocks for field visits in consultation with the state government counterparts and Bank team, list of state institutions & technical experts to meet for consultations and data.	2 weeks	2 weeks

Contd.....

Draft Environment Assessment Report providing an overall state profile specifying the baseline environmental issues and features, and implications for the EMF. The report should also include the environmental management/safeguards analyses based on a representative sample of WSS schemes, policy/regulatory analyses and robust institutional analyses of environmental management in the WSS sector that is relevant to the state.	6 weeks	8 weeks
Draft Final Report includes the above deliverable incorporating changes suggested by the World Bank and state counterparts. The Draft Final Report will also include a draft Environmental Management Framework applicable to the state. This EMF will contain a negative list, mitigation measures, monitoring and evaluation strategies and institutional responsibilities; codes of practice and performance indicators, budgets, among others. All relevant data should be presented in annexures.	6 weeks	14 weeks
Final Report , incorporating comments from National and States Project Units and World Bank on Draft Final Report. The final report should also include the proceedings from the national and state consultations.	2 weeks	16 weeks

7. Data, Services and Facilities for the Study

The State Project Management Unit would coordinate and supervise the study and facilitate interaction and exchange of information between the consultants, concerned state departments and Panchayat Raj Institution (PRIs-GPs, BPs, ZPs). SWSM/SPMU staff may join the consultant team during selected field visits.

8. The Outputs of the Study will be:

- Inception Report together with the tested check-lists / instruments proposed to be used and the formats of the expected results (3 copies)
- Draft Environment Assessment Report after completing field work (5 copies)
- Draft Final Report 5 copies)
- Final Report (10 copies)
- In addition of the paper copies, the consultants will make available electronic copies (in a CD) of:
 - All reports in MS Word Files.
 - All raw data in tabulated form together will relevant summary tables, in Oracle Database at the time of submission of draft report and revised final report.

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- i. ⁱ Sample examples of guidelines to be prepared are given below: -
 - Guidelines/ECOPs for identification of sources of water supply.
 - Guidelines/ECOPs on protecting surface water supply sources and ensuring sustainability.
 - Guidelines/ECOPs on protecting ground water supply sources and ensuring sustainability.
 - Guidelines/ECOPs on Water Quality Management.
 - Guidelines/ECOPs on selection of Safe Sanitation Technology Options (including drainage) at individual household and community level
 - Guidelines/ECOPs on selection of location for community toilets
 - Guidelines/ECOPs on Safe Sullage Disposal and Organic waste management.
 - Guidelines on Safe Solid Waste Management at individual household and community level.

These guidelines/ECOPs shall be prepared, based on local soil characteristics, hydrogeology and accessibility of water sources, socio cultural environmental etc. The sanitation and environmental related issues guidelines prepared by UNICEF, DANIDA, Rural Development Department, Watershed Management Directorate, etc. will be particularly useful in developing the guidelines for safe sanitation technology options. The “State of Environment Conservation and Pollution Control Board in the state, which should be studied, and WATSAN related issue must be analyzed and incorporated in the Environmental Management Plan.

9. Required Qualifications of the Consultant

- Experience in conducting similar studies in India particularly in rural water and sanitation programs. Familiarity of having worked in selected state is an advantage.
- Strong capacity and experience in organizing and planning survey logistics, data management and statistics.
- Demonstrated knowledge and skills in both quantitative and qualitative surveys and assessments especially using participatory and consultative techniques and tools.

10. Suggested key personnel for this assignment:

- **Team Leader (1):** The Team Leader should have a PhD or Masters with preferable academic background in civil/water/environmental engineering or a relevant social science. He/she should have considerable experience (10 years plus) in undertaking large-scale studies related to rural water and sanitation related fields especially with governments at state and national levels. Knowledge of state-level water quality monitoring and surveillance systems and institutional mechanisms in the RWSS is required.
- **Environment Specialist (1):** The Environment Specialist should be a Post Graduate in Engineering and/ or Environment with at least 8 years of experience in the sector. He/she should have had exposure to the rural water and sanitation programs and can cover the full range of environmental issues of the sector.
- **Research Coordinators (1):** The Research Coordinators should have a Masters degree in statistics, economics or related fields, and have at least 5 years of experience in documentation and qualitative and quantitative research. Experience of managing a team of researchers, analysis of information and data should be demonstrated.

11. Management of the Study

The consultant will report to the Principal Secretary, Rural Development, Govt. of Uttar Pradesh and Director, SPMU, Uttar Pradesh. The consultancy firm is responsible for all

logistics, including but not limited to supplies, printing of instruments, translations, computers, and so forth. The State Government will not provide logistical support for the study team. The consultant team will also liaise closely with the World Bank team.

12. Review Committee to Monitor Consultants Work

The Principal Secretary will be the chairperson of the review committee comprising members from the field of engineering, community development and finance. The committee may also seek comments and inputs on the consultants work from the World Bank staff and other experts as appropriate.

13. Payments

Signing of the contract	10% of the contract value
Acceptance of the Inception report	10% of the contract value
Acceptance of Draft Report	40% of the contract value
Acceptance of the summary of stakeholder consultation meetings and Final Reports	40% of the contract value