

12-11-09

CHANGE MANAGEMENT UNIT (CMU)

NOTE

The Brain Storming Session as suggested by DFID India will be held on 18/11/09 at Barasat Circuit House. The programme will start sharply at 10-00 a.m. and will continue upto 5-00 p.m. For better coordinating and to make the programme successful the following arrangements have been made:

- Logistic Support for organizing the Brain Storming Session and conducting the presentation.
 - Shri Jayanta Kr Chakrabarti, OD Expert, Shri Gopal Sarkar, Engineering Expert, Shri Şaibal Thakurta, Urban Planner, will supervise the programme.
 - Shri Lokenath Das, Shri Tanmoy Ganguly, Shri Sabyasachi Majumder, Shri Subir Dutta and Mrs Debika Bandyopadhyay will give the necessary assistance.
- 2) Tea/Coffee/Lunch/Tiffin arrangements Shri Tapas Guha Thakurata and Shri Arun Kr Halder will supervise the whole issue. Shri Sabyasachi Majumder, Shri Lokenath Das and Shri Samir Pal will assist them
- Arrangement of transportation for all the Experts & Staff and for DFID team from Hotel to Barasat Circuit House will be looked after by Dr Sujay Mitra and Shri Saikat Sengupta. Shri Manojit Dutta and Shri Goutam Hazra will assist them.

All the Experts are requested kindly to attend the Brain Storming Session of CMU on 18/11/09 at Barasat Circuit House. A copy of the tentative programme as suggested by DFID India is also enclosed.

(Kallol Kr Mukherjee)
Project Manager, CMU, KUSP

Encl: As stated above.

To:

1) Municipal Finance Expert, CMU, KUSP

2) Engineering Expert, CMU, KUSP

3) OD Expert, CMU, KUSP

4) Urban Planner, CMU, KUSP

Health Expert, CMU, KUSP

- 6) Procurement Consultant, CMU, KUSP
- 7) Poverty Monitoring Expert, CMU, KUSP
- 8) Shri T K Mitra, Consultant, CMU, KUSP
- 9) Economist, CMU, KUSP
- 10) Internal Audit Officer & FA, CMU, KUSP
- 11) Accounts Officer, CMU, KUSP
- 12) IT Expert, CMU, KUSP
- 13) Computer Programmer, CMU, KUSP

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Project Manager, CMU, KUSP

Copy for kind perusal of:

(1) Project Director, CMU, KUSP

Project Manager, CMU, KUSP

Project Director

From:

Abhijit Ray [as-ray@dfid.gov.uk]

Sent:

Tuesday, November 10, 2009 4:54 PM

To:

Project Director, CMU; kuspcmu@vsnl.net

Subject: Proposed agenda for W/S

Dear Mr.Saha/Mr.Mukherjee,

Please see enclosed the draft agenda for our one-day brainstorming/workshop with a set of notes at the end for presenters. I understand that a venue has been fixed at Barasat (Circuit House?). Looking at available time, we were wondering if it is possible to move this venue somewhere more closer wherein we can start earlier (and have some more time for discussions), but I leave the decision to you. Alternatively, it will be good if we can start from KUSP office at 9.30 am instead of 10.00 am and start our schedule 30 min earlier - again I leave the decision on this to you.

Abhijit

Abhijit Sankar Ray | Infrastructure and Urban Adviser | DFID India, British High Commission | B-28 Tara Crescent, Qutab Institutional Area | New Delhi 110016 | Tel: +91 (0)11 4279 3482 or +91 (0)11 2652 9123 | Fax: +91 (0)11 2652 9296 | http://www.dfid.gov.uk/Where-we-work/Asia-South/India/

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WHITHER KUSP? Determining the Forward Agenda for KUSP (Graduation Strategy), 18 Nov 2009

Workshop Objective: At completion of this workshop, participants will have developed a common <u>Vision</u> (upto 2011 and beyond 2011), and agreed to a common <u>Future Agenda</u> for KUSP programme.

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Time	Agenda	Lead Person for the Session
10.00 am	Departure from KUSP Office	
11.00 am – 11.05 am	Background to the Workshop An introduction to workshop objectives	Mr.Bharat Saha
11.05 am - 11.10 am	Introduction to the Day's Proceedings	Mr.Abhijit Ray
11.10 am – 11.40 pm	Whither KUSP? Developing a common vision for KUSP – what does it mean to the CMU team?	Mr.A.Bandyopadhyay Mr.Bharat Saha Mr.Abhijit Ray
11.40 pm – 11.50 pm	Tea Break (+ informal team building exercises)	DFID
11.50 am - 12.50 pm (15 min combined presentation; 10 min comments; 25 min discussions; 10 min wrap up & timelines)	Planning and Finance Functions – Presentation and Way Ahead 1. Accounting reforms 2. Planning reforms 3. Budgeting reforms	Mr.S.Thakurala Mr.Atanu S.Mukhopadhyay Mr.Abhijit Ray Ms.Ashufta Alam
12.50 pm - 01.00 pm	Informal Team Building Exercise	DFID
01.00 pm – 01.45 pm	Working Lunch – Discussions on Communicating KUSP Effectively	Mr.A.Bandyopadhyay Mr.Bharat Saha Mr.K.Mukherjee Ms.D.Menezes Mr.Shantanu Das Ms.Bidisha Pillai
01.45 pm – 02.30 pm (5 min presentation; 10 min comments; 25 min discussions; 5 min wrap up & imelines)	Innovative/Challenge Fund Presentation and Way Ahead	Mr.Saikat Sengupta Mr.Soumen Bagchi
02.30 - 03.15 pm	Environment and Climate Risk	Mr.Haldar
5 min presentation; 10 min comments; 15 min discussions; 5	Reduction – Presentation and Way Ahead (with Working Tea)	Mr.Abhijit Ray Ms.Ashufta Alam
min wrap up & imelines)	Break-away Group: West Bengal Municipal Development Fund	Mr.Dasgupta Mr.K.Mukherjee Mr.Soumen Bagchi
03.15 pm – 03.25 pm	Tea Break (+ informal team building exercises)	DFID
03.25 pm – 04.10 pm 10 min presentation; 10 min comments; 20 min discussions; 5 min wrap up & imelines)	West Bengal Urban Poverty Eradication Mission – Presentation and Way Ahead	Mr.K.Mukherjee Mr.S.Mitra Mr.Abhijit Ray
04.10 pm – 05.00 pm	Way Ahead – Agreeing a Common Strategy (and Agenda)	Mr.Bharat Saha Mr.Alapan

Time	Agenda .	Lead Person for the Session
	What strategic and programmatic interventions are required over next 15 months to take KUSP towards agreed Vision? Timelines and responsibilities for achieving these will be finalised and agreed.	Bandyopadhyay Mr.Abhijit Ray
05.00 pm	Reflections on the Workshop	Ms.Debbie Menezes
05.15 pm	Departure for KUSP	

Note: CMU presenters have to make a three-slide presentation (max) on the following:

Slide 1 – original vision and achievements so far Slide 2 – challenges and concerns Slide 3 – way forward

Comments indicate to comments from Secretary MAD (Mr.A.Bandyopadhyay) and DFID on expectations/actions - the time will be split equally between the Secretary and DFID.



KOLKATA URBAN SERVICES FOR THE POOR

Bharat Chandra Saha, IAS
Project Director

Date...11.11.09

Memo No. CMU - 338/2006/1943 (40)

Sub: Work Plan (2009 - December 2010).

Sir/Madam,

You are aware that we have entered into last year of KUSP Program which will end in December

2010. Any unspent money after December 2010 will lapse.

In view of this, we have undertaken a program to assess how the KUSP related works can be completed within the time frame and expenditure booked so that no fund lapses and no expenditure remain unpaid. It may please be noted that value of work, which is executed at field but not billed for and paid within December 2010, shall have to be borne by the ULBs from their own fund. To avoid such situation, effort should be taken by the ULB to book all expenditure positively within December 2010.

Two formats (enclosed), which were earlier sent to ULBs vide this office No CMU – 338/2006/1525 (40) dated 24.09.2009.for submitting to CMU after filling in the same, are further enclosed. It transpires that many of the ULBs have not sent the formats to CMU. The formats which have been received by CMU also do not appear to have been properly filled in. In order to assess month wise expenditure, timely completion of the work, a meeting has been arranged on 26th and 27th of November 2009. The venue and time of the said meetings are enclosed.

You are requested to kindly make it convenient to attend the meeting with concerned officials of your ULB with filled in formats for discussion on the above subject. It may be mentioned that in order to complete all works and book the expenditure within December 2010, co-ordination of all concerned is necessary.

In case the ULBs face any difficulty in filling the enclosed formats, the following officials of CMU may please be contacted.

1. Sri Jayanta Chakroborty for Capacity Building

2. Sri G.C Sirkar for SLIF & IMIF

3. Dr. Shibani Goswami for Support to Health

4. Dr. Sujoy Mitra & Sri Saikat Sengupta for Economic Development

Thanking You Yours faithfully

(Bharat Chandra Saha I.A.S.)

Project Director, CMU

Encl: 1. Two formats
2. Venue & time



Copy along with enclosures forwarded to:

1. The Secretary, Municipal Affairs Department - for kind information

Project Director, CMU

Copy to

1. Project Manager, CMU

2. Engineering Expert, CMU

3. OD Expert, CMU

A. Health Expert, CMU

5. Poverty Monitoring Expert, CMU

6. Economist, CMU

with a request to please attend the meeting

Project Director, CMU

Venue: SUDA Conference Hall (2nd Floor)

Sl. No.	Name of ULB		Date of meeting	Time of meeting
1	Baranagar			
2	Barasat			
3	Barrackpore			
4	Dum Dum			
5	Kamarhati] }		11.00 a.m. to 1.30 p.m.
6	Madhyamgram		26.11.2009	11100 01111
7	North Barrackpore			
8	North Dum Dum			
9	Rajarhat Gopalpur			
10	Titagarh)		
1	Chandannagar M.C.	1		
2	Baruipur			
3	Bhadreswar			
4	Halisahar			
5	Hooghly Chinsurah	7 \		2.30 p.m. to 5.00 p.m.
6	Kanchrapara	7/	26.11.2009	2.30 p.m. to 3.00 p.m.
7	Naihati			
8	Pujali			
9	Rishra			
10	Uluberia	7/		
1	Bally			
2	Bansberia			
3	Bidhannagar	\dashv		
4	Budge Budge	\dashv		
5	Howrah M.C.	-		
		1	27.11.2009	11.00 a.m. to 1.30 p.m
6	Khardah	+1		
7	Maheshtala	+1		7-7-1
8	New Barrackpore Panihati	\dashv		
9		\dashv		
10	South Dum Dum	1		
1	Baidyabati	1		
2	Bhatpara			
3	Champdany			
4	Garulia			
5	Gayeshpur	_ }	07 11 0000	2.30 p.m. to 5.00 p.m
6	Serampore		27.11.2009	pint to bid pin
7	Kalyani			
8	Konnagar			
	Konnagar Rajpur Sonarpur			

FORMAT 1 FOR SLIF AND INTRA MUNICIPAL INFRASTRUCTURE WORKS FOR 2009-11

NAME OF THE URBAN LOCAL BODY:

DATE OF REPORT:

	7620									20		
	ation of		Total	cyb.					Total Exp.			
	finaliz	Veek)	48					/eek)	48			
ı lakn	after (Rs)	(Within Week)	36					(Within Week)	36			
Amount: Ks. in lakh	enditure aft tender (Rs)	(W)	24					(Wi	24			
IIIOUII	f expe		12						12			
C	Booking of expenditure after finalization of tender (Rs)	Already	pooked					Already	pooked			
	agree nt ntion ceipt &FS	3	7					3	00			
	Tender/agree ment finalisation after receipt of AA&FS	Week (v)	1					Week (V)	9			
	iciary Ition to osited ate of anction.	c (v)	2					(%)		,		
- Land	Beneficiary contribution to be deposited from date of Tech. Sanction.	Week (V)	1					Week (v)		N.A.		
17.1.1.2	DPR to be submitted within cut off date 15.10.09.											
Voluna	AA&FS received up to date of report (Rs)											
	Value of DPR submitted (Rs)											
	Project title	Name of Slum	under SLIF		2	•	TOTAL	Name of work under Intra	Municipal Infrastructure Fund	2		TOTAL
	SI. No.	н				112		п				
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Signature of the Mayor/Chairperson

FORMAT 2 FOR 'CAPACITY BUILDING", "ECONOMIC DEVELOPMENT" AND "HEALTH" WORKS FOR 2009-11

NAME OF THE URBAN LOCAL BODY:

DATE OF REPORT:

Fotal Total Exp. Exp. Total Exp. Booking of expenditure after receipt of AA&FS Amount: Rs in lakh 48 48 48 (Within Week) (Within Week) (Within Week) 36 36 36 (Rs) 24 24 24 7 12 12 Already booked booked booked Already Already Issue of work order after receipt of AA 4 4 Week (v) Week (v) Week (v) 2 7 N within cut off Value of DPR date 15.10.09 submitted to be (Rs) upto date Value of AA&FS of report received (Rs) submitted Value of DPR (Rs) TOTAL TOTAL TOTAL Capacity Building Development Project Title Economic Health 20 Si. III

Signature of the Mayor/Chairperson



CHANGE MANAGEMENT UNIT (CMU)

NOTE

Please find enclosed the minutes of the meeting held during the visit of DFID team to KUSP in October 2009. As desired, I like to request you kindly give your valued opinion on the points raised by DFID in their minutes. Earliest reply from your end is solicited.

(Kollol Kr. Mukherjee) Project Manager, CMU

Encl: As stated.

Copy to:

- 1. Project Director, CMU
- 2. Engineering Expert, CMU
- 3. Municipal Finance Expert, CMU
- 4. OD Expert, CMU
- 5. Urban Planner, CMU
- 6. Health Expert, CMU
- 7. Shri Arun Kr. Halder, Procurement Expert, CMU
- 8. Poverty Monitoring Expert, CMU
- 9. Shri T.K. Mitra, Consultant CMU
- 10. Economist, CMU
- 11. Internal Audit Officer & Financial Adviser, CMU
- 12. Accounts Officer, CMU
- 13. IT Expert, CMU
- 14. Computer Programmer, CMU

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Project Manager, CMU

Copy forwarded for kind perusal to:

Project Director, CMU

Project Manager, CMU

Project Director

From:

Abhijit Ray [as-ray@dfid.gov.uk]

Sent:

Wednesday, November 11, 2009 11:25 AM

To:

Project Director, CMU; kuspcmu@vsnl.net

Subject: Meeting Minutes for Oct meetings

Dear Mr.Saha/Mr.Mukherjee,

Please find enclosed the draft minutes of meetings held during our last visit to KUSP in end-Oct. Please let me know if there is something you wish to change/amend/add, and I will accordingly finalise this.

Regards, Abhijit

Abhijit Sankar Ray | Infrastructure and Urban Adviser | DFID India, British High Commission | B-28 Tara Crescent, Qutab Institutional Area | New Delhi 110016 | Tel: +91 (0)11 4279 3482 or +91 (0)11 2652 9123 | Fax: +91 (0)11 2652 9296 | http://www.dfid.gov.uk/Where-we-work/Asia-South/India/

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The road to Copenhagen: the UK Government's ambition for a global deal on climate change. Find out more at http://www.actoncopenhagen.gov.uk and about DFID's work at http://www.dfid.gov.uk/climate.

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Minute

Reference: Back to Office Report (KUSP) 22-23 Oct 2009

To: Debbie Menezes

From:

Abhijit Ray

Ext:

3482

Date:

24 March 2009

Ian Shapiro

Anjali Sablok Soumen Bagchi Shantanu Das Agnes Rozario

Jaydeep Biswas

BACK TO OFFICE REPORT: Visit to Change Management Unit (CMU) Kolkata Urban Services for the Poor (KUSP) Programme on 12 March 2009

1. Soumen Bagchi and I visited Kolkata Urban Services for the Poor (KUSP) programme in Kolkata on 22 and 23 October 2009, with Agnes Rozario and Debbie Menezes joining in on 23 October. Discussions were held with the Change Management Unit (CMU) including the Project Director (PD) KUSP and the Secretary Municipal Administration GoWB. Both days were spent extensively deliberating on the exit strategy for KUSP focusing on sustainability mechanisms. Key discussions points are outlined below.

Meetings on 22 October 2009

- 2. Discussions on 22nd were kicked off with a one-to-one session with Mr.Bharat Saha, PD KUSP. His key concern related to inter-component fund moderation. He indicated that KUSP is likely to underspend budgets of some programme subcomponents by end of project (EoP) and has already overspent/likely to overspend in few. He enquired possibility of allowing inter-component moderation wherein overall programme budget remains the same but additional demand can be met. [Action: Anjali to advise TTL about possibility of doing this, and if possible, the process for the same by 12 Nov. Follow-up Action: Abhijit to advise PD on the possibility of the same based on feedback from task team and Programme Manager West Bengal].
- 3. It was agreed to hold the 2009/2010 KUSP Annual Review in the first or second week of January 2010. [Action: Anjali to confirm dates and advise concerned DFID and CMU staff by 16 Nov].

- 4. After meeting the Project Director and Project Manager, discussions were held with sector experts. Resource mobilisation in ULBs was identified as a key constraint. Soumen shared a copy of draft ToR for a TA supported consultancy to develop a strategy for improved resource mobilisation in ULBs, and implementation of same in 10 ULBs. [Action: Soumen to finalise the ToR based on KUSP feedback by 13 Nov. Anjali to liaise with CAPAS and start procurement process in the w/s 16 Nov].
- 5. While most KMA ULBs have migrated to DEAS, many ULBs have still not institutionalised use of computers for this purpose. Discussions were held if any incentives/penalties could be introduced. Other alternatives discussed include (i) as a short-term measure, minor proportion of state grants to ULBs could be attached to generating the ULBs balance sheet from the system software (*purohishab*); and (ii) an immediate measure could be to provide some cash incentives to the municipalities to generate the first balance sheet from the software. [Action: Soumen/Abhijit to follow up with KUSP by 18 Nov].
- 6. The future of <u>Assistant Finance Consultants</u> (AFCs), presently managed through KUSP Program Fund, was discussed. Their role in sustainability of public financial management reforms is critical. Discussions were held if they can be merged into Government Service. [Action: Abhijit to follow up with PD KUSP and Secretary MAD by 18 Nov].
- 7. During the last visit in August, DFID agreed to develop the terms of reference for the study on Enhancing Revenue Mobilisation Capacity of the Municipalities. During this visit, the TORs were shared with the Project Director and the Project Manager. The PD and the PM are expected to get back to DFID with their comments. DFID plans to commence the study by end November 2009. [Action: Soumen to follow up and finalise ToR by 16 Nov].
- 8. The presently weak linkage between five-year resource planning exercises (Draft Development Plans), Annual Development Plans and municipal budgeting was discussed. Linkages are weak primarily due to (i) delays in preparation of ADPs (should be ready before budget cycle), and (ii) inability of ADPs to adequately influence budget exercises. The possibility of linking state devolution to ULBs based on their ability to prepare ADPs on time and link these to municipal budgets was discussed. [Action: Soumen to follow up with PD KUSP and Secretary MAD by 18 Nov].
- 9. The representative of <u>Jamsetji Tata Trust (JTT)</u> informed us that a MoU between the Trust and CMU has been signed; the first tranche of Rs.5.4 crores has also been released. Discussions were also held with CMU and I/CF Fund Managers. Key issues identified for I/CF included (i) need to institutionalise I/CF post KUSP-period, (ii) under-spending in I/CF, (iii) weak communications of I/CF products/success stories, and (iv) increase scope of work of I/CF.
- 10. On <u>I/CF institutionalisation</u>, discussions with CMU and JTT ranged on the possibility of setting up I/CF as a legal entity (Society), positioned within the Municipal Affairs Department. The possibility of attracting other private players to contribute to the I/CF corpus as JTT has done was explored, and it was agreed that a half-day workshop for 3-4 key players (Aziz Premji Trust, etc.) could be undertaken in Kolkata to explore future potential. [Action: Soumen to follow up with PD KUSP and Secretary MAD by 18 Nov]. Discussions on this were also held with Mr.Arnab Roy later in the day. He opined that I/CF could be set up as an

independent legal entity (Society/Trust) with a separate fund account – he gave examples of CMU and SUDA existing in the same modality allowing substantial linkage with MAD as well as considerable decision making autonomy. [Action: Soumen to follow up with PD KUSP and Secretary MAD by 18 Nov]

- 11. On improving <u>I/CF communications</u>, a number of suggestions came up including (i) preparation of a 10-minute film focusing on success stories, (ii) documentation of the Fund and its success, and (iii) state/national workshop sharing its good practices. [Action: Shantanu to follow up with CMU by 18 Nov].
- 12. On the environment-front, CMU advised DFID team that Energy Audit studies have been finalised for Chandannagore and Kalyani, wherein the former has started implementing recommendations. Studies have also been initiated for four ULBs Naihati, Kamarhati, Baranagar and Bali. The State of Environment (SoE) report is due for completion in Mar 2010. Four ULBs have submitted their report while the Howrah report is already final. The report is facing problems in 14 ULBs where KUSP is organising individual workshops to motivate the ULBs in taking up this study/sharing relevant information. Discussions were also held on a possible TA component for raising awareness on climate change among urban managers in West Bengal. DFID agreed to this in-principal and will send a draft ToR to CMU for approval. [Action: Abhijit to share the draft ToR with CMU by 18 Nov. Agnes to follow up with CMU on ULB energy audit studies and implementation of its recommendations].
- 13. CMU has initiated work on the <u>Procurement Manual</u>. A copy of its status (one-pager) was shared. DFID requested CMU to share the draft Manual with DFID team, which was agreed to. CMU also informed DFID of sharing this manual with urban managers on a regional basis four workshops are presently planned (Barrackpore, Madhyamgram, Tarakeshwar and Chandannagore). [Action: CMU to share draft version of the procurement manual by end-November. Anjali & Agnes to follow up with CMU on this].
- 14. CMU has re-initiated work on the Howrah Rejuvenation Development Plan (HRDP). Bengal Engineering College was awarded a 9-month consultancy in Aug 2009 to prepare a detailed land use and infrastructure DPR based on recommendations of the original study. In parallel, the Economic Department of Kolkata University has been awarded a 6-month contract to develop a long-term strategic financing plan. Inception Reports of both studies have been recently submitted. DFID made a request for sharing these reports. CMU also informed that intensive discussions with Howrah Municipal Corporation and Panchayat Samiti are being planned to discussions options on zoning regulations and development control. In addition, consultancy assignments for preparation of DPR on (i) Port Development, (ii) North-South Corridor Development, and (iii) KMDA TT Master Plan will be shortly assigned. CMU also informed DFID that the HRDP Committee will be revived shortly to allow key decisions to be taken. [Action: CMU to share draft Inception Reports submitted with DFID. Abhijit to follow-up on this overall component].
- 15. On preparation of DDPs, CMU informed that 49 non-KMA DDPs have been approved; 28 are under consideration while 8 have not yet been submitted. Concerns were also raised on Second Generation DDPs. With second generation DDPs scheduled for a 2012 approval and KUSP closing down in 2011, the future of this exercise was determined as a key concern, alongwith linkage of DDPs and ADPs with municipal budget. It was agreed that in the upcoming KUSP workshop, various

alternatives to sustain the DDP exercise would be discussed. [Action: Abhijit to follow-up during workshop (18 Nov)].

- 16. On e-governance rollout status in KMA ULBs, CMU informed that 36 ULBs have installed server and software and trail run is being carried out, while remaining four are likely to complete this by Jan 2010. For the central server, civil works have been completed and interiors are presently being done. By Mar 2010, this will be full functional.
- 17. On expansion of CLTS scheme, CMU informed that the process of scaling up of the Kalyani best practice to five ULBs have been held up due to procurement problems. These are likely to be sorted out by end-November. [Action: Abhijit to follow-up by 18 Nov].
- 18. On <u>capacity building activities</u>, the key concern remained on sustainability of the reform actions. To address this, it was proposed to undertake stronger dissemination and sharing of best practices under KUSP programme. Existing capacities within CMU, and present poor motivation levels within CMU, was also identified, and it was agreed to have a KUSP <u>brainstorming exercise/ workshop</u> to address this issue. [Action: Abhijit to follow up by 18 Nov].
- 19. A stock taking of all the projects funded through <u>West Bengal Municipal Development Fund (WBMDF)</u> was undertaken. Two old and one issues were identified as being critical requiring immediate attention:
 - i. Portfolio management creating pipeline of projects identified from DDPs continues to remain an issue (identified during 2008-09 AR). There has been inadequate project development support from the Project Development Consultant in designing larger trans- municipal infrastructure projects. [Action: Soumen to follow-up with CMU on this by end-Nov.]
 - ii. The issue pertaining to payment of the success fee to the PDC, identified during the last visit in August, has been agreed in principle by the Secretary, Urban Development. Delay in reconstitution of the Trust has delayed the payment to the PDC. This issue was raised with the Secretary, MA and he advised the PD to sort out the issue at the earliest to avoid further delay in implementation. [Action: PD KUSP and Managing Trustee, WBMDF Trust to take necessary action to reconstitute the Trust and make the due payment to the PDC].
 - iii. Potential role of World Bank and other partner donors to augment the WBMDF trust fund was also taken up. [Action: Soumen to follow-up by 18 Nov].
- 20. Later discussions were held with Arnab Roy, Commissioner KMC and earlier PD KUSP, along with CMU representatives. He opined that WBMDF could target at the following:
 - Work out a substantial proportion of the corpus for lending purposes and exclusively use the remaining as a credit enhancement tool;
 - ii. Develop a strong pipeline of larger/intra-municipal projects for funding; and

- iii. Get on-board a panel of external PDCs who can provide inputs in identifying, developing and commissioning projects, while the internal PDC can have the responsibility of financial assessments of these projects – this will require a cost-sharing arrangement to be worked out.
- 21. CMU reported that the West Bengal Urban Poverty Eradication Mission (WBUPEM) had its first Executive Committee (EC) meeting in May 2009. At the EC meeting, an institutional set-up was agreed for taking forward WBUPEM activities. A district-level nodal officer District Municipal Development Officer (DMDO) will be selected for each district (already identified and most in place) and a District Committee will be set up under this position. Positions of Poverty Monitoring Officer, Data Operator and a Peon have been created to support the DMDO; personnel have been identified and are likely to be positioned by end-2009. Additionally CMU had made a request for creation of two additional positions Management Information Systems (MIS) Officer and Social Development Officer who would also lead work on UPA Cells in ULBs and report directly to the DMDO these are under consideration. The District Committee will include district representatives from concerned state Departments. Discussions with a number of these state departments have already started and some of these have shared action plans which are presently in various stages of implementation:
 - Department of Mass Education has shared a 3-month Action Plan on how ULBs can contribute towards its agenda.
 - ii. Backward Class Department has identified one district officer who is coordinating tasks directly with DMDO.
 - iii. Social Welfare Department: discussions on ULBs supporting storage of ICDS material – some ULBs have already taken action, the remaining are being mobilised by KUSP to assist in the same.
 - iv. School Education Department: agreed for construction of latrines/provision of toilets in all schools. This initiative is being led by both DMDOs and individual ULBs. For Sarva Shiksha Kendras, ULBs preparing a proposal for clubbing of these Kendras on a zonal basis and submit the same initial discussions on this concept have already been undertaken successfully.
 - v. Minorities Department: Minority Sub-Plans to be prepared by each ULB and submit to the Department for approval focusing on school/madrasa, credit linkages, women self help groups, burial ground renovation, training, etc. A Minority Fund is being set up with equal contributions by Municipal Affairs Department and Minorities Department. This will look at providing water supply to all minority areas, construction of community halls, burial grounds, etc. 43 ULBs have submitted proposals for accessing funds of which five have been sanctioned.
- 22. Other activities being undertaken through WBUPEM include:
 - i. A 90-day action plan targeting the 100 poorest families in each ULB ensuring they access all central and state development programmes. Around 15 ULBs have identified target beneficiaries, done beneficiary surveys and started implementation of the action plan. Another 60 ULBs have taken up this effort.

- ii. All ULBs have undertaken land requirement studies as part of efforts to access Basic Service for the Poor scheme under JNNURM. These proposals have been submitted to the District Land Revenue Officers for approval.
- iii. SUDA is being supported through provision of demand-driven training covering areas of project accounting (for SHGs), Councillor training, training on the JNNURM seven-point charter, DMDO training.
- iv. No action was reported on finalisation of policy note on land tenure reforms, as well as finalisation of the West Bengal Urban Sanitation Strategy. [Action: Abhijit to follow-up with PD KUSP and Secretary MAD].
- 23. KUSP CMU had also proposed creation of five inter-departmental task force to take forward the WBUPEM agenda, which although approved by EC has not yet seen the light of the day. [Action: Abhijit to follow-up with PD KUSP].
- 24. Discussions on 23rd were kicked off with a meeting with CMU and Joint Director SUDA the nodal officer from GoWB for the implementation of SJSRY on potential of converging KUSP activities with Swarna Jayanti Shahari Rozgar Yojana (SJSRY). She proposed the following areas of potential support:
 - i. Additional funding for the CDSs over and above the fund provided under the SJSRY of Rs.25000 per group of 15-16 members. Not more than 5-6 members could be covered with the funding currently earmarked for CDSs. The proposal is for I/CF being linked to thereby strengthening the SJSRY Corpus (presently Rs.68 crore) allowing additional loan access to SHGs. To contain risks, SUDA proposed that only those SHGs with past record of timely repayment of loans would be able to access the supplement Corpus.
 - ii. Conduct a market linkage study/ survey which would help identify markets for the products by CDSs and thrift and credit groups created under the SJSRY both at the district and ULB level. This could be done through supporting Livelihood Experts at the ULB level. Currently, this is being done by the District Municipal Development Officer at the district level and Poverty Monitoring Officer at the state level who lack the capacity. The proposal is for KUSP to support provisioning of a ULB-level Livelihood Expert to undertake required market linkage study/survey.
 - iii. The third proposal was for KUSP assistance to identify/develop haat local market areas in ULBs. Currently, this is being done at the district level by the Self-Help Department and accessibility for individual CDSs have been very limited. DFID could identify selected ULBs where support for creating necessary infrastructure could be provided.
 - iv. Urban Development Department, GoWB has provided 13 katha land to SUDA to create a centralised marketing outlet for internal trading among purchasers and CDS sellers. The fourth proposal was for DFID to consider providing support for skill development of CDSs and capacity building for trading and marketing of products.
 - v. The Urban Wage Employment Programme is run through neighbourhood groups (NHGs), neighbourhood committees (NHCs) and CDSs originally classified based on the 1997 BPL survey. In light of the 2009 BPL surveys

- being finalised for 124 out of 127 ULBs, NHGs and NHCs are likely to undergo substantial restructuring. The proposal is for KUSP to provide capacity building support to new/restructured NHGs and NHCs.
- vi. For SJSRY related capacity building, Government of India has identified national/regional training centres including RCUES Lucknow for West Bengal. This is a big constraint due to lack of West Bengal knowledge and field expertise among RCUES staff, who mostly depend on SUDA and CMU staff to undertake training. The proposal is for KUSP support to develop a Faculty Support to SJSRY for continuous capacity building.
- vii. The new Planning Commission estimates for urban BPL in West Bengal is 35 lakh against GoWB estimates of 50 lakh. Considering that CDS funding is allocated centrally based on Planning Commission estimates, GoWB is falling short of CDS targeting around 15 lakh urban BPL. The proposal is for KUSP to provide support for setting up/capacity building of CDSs to cater to the 'additional' demand.
- viii. The last proposal was relating to KUSP providing equipment purchase/support to CDSs, wherein CDS groups can be trained for improved office management. This would allow CDS groups to manage Ward Committee offices which are presently facing an acute shortage on this regard. This proposal was to support all 306 CDSs across West Bengal, wherein the request was for DFID to support equipment procurement only for KMA based CDSs, while the non-KMA based CDSs would be supported by SUDA.
- 25. <u>DFID</u> agreed to support the training and capacity building activity to create an <u>Expert Body</u> to identify and develop market linkages and build capacity for internal trading for SJSRY products. DFID mentioned that it will discuss internally on the issues of providing support to enhance the corpus of the CDSs and the nitty-gritty of supporting the creation of infrastructure for the local market- haat in the municipalities. DFID agreed to help develop the concept note for these support to SJSRY. [Action: Soumen will prepare the concept note and share with the team and CMU by 14 Nov. Action: SUDA will submit a formal proposal for DFID's consideration].
- 26. <u>Discussions on GIS</u> revealed that considerable progress has been made on the software front wherein customisation of software is complete and test run is scheduled for December 2009. Nine agencies have been empanelled to assist in ground truthing studies/surveys, and 32 ULBs have already selected agencies.
- 27. <u>Discussions on e-governance</u> revealed that data entry/migration has started in most ULBs and at present focus is on cleaning 'errors' of the customised software (under testing at ULBs); CMU has set up a Expert Committee of advisors to facilitate this activity. By end-November 2009, two modules will be ready for roll-out including trade license, and birth and death certificates. Financial Accounting System module is likely to be rolled out by January 2010.



16.11.09

CHANGE MANAGEMENT UNIT (CMU)

NOTE

One-day brainstorming session / workshop on the activities of KUSP will be held at Barasat Circuit House on 18th November 2009. In that workshop Secretary, MA Deptt., Representative of DFID and the Experts of CMU will remain present. The workshop will start at 10.00 a.m. and may continue up to 5.00 p.m. The draft Agenda for the workshop is enclosed for your kind perusal. All the experts of CMU are hereby requested kindly to remain present in the brainstorming session / workshop and participate to make the endeavour successful.

az

(Kollol Kr. Mukherjee) Project Manager, CMU

Encl: As stated.

Copy to:

1. Engineering Expert, CMU

2. Municipal Finance Expert, CMU

3. OD Expert, CMU

4. Urban Planner, CMU

5/ Health Expert, CMU

6. Shri Arun Kr. Halder, Procurement Expert, CMU

7. Poverty Monitoring Expert, CMU

8. Shri T.K. Mitra, Consultant CMU

9. Economist, CMU

10. Internal Audit Officer & Financial Adviser, CMU

11. Accounts Officer, CMU

12. IT Expert, CMU

13. Computer Programmer, CMU

Re-

Project Manager, CMU

Copy forwarded for kind perusal to:

Project Director, CMU

Project Manager, CMU

Project Director

From:

Abhijit Ray [as-ray@dfid.gov.uk]

Sent:

Tuesday, November 10, 2009 4:54 PM

To:

Project Director, CMU; kuspcmu@vsnl.net

Subject: Proposed agenda for W/S

Dear Mr. Saha/Mr. Mukherjee,

268 11/11

Please see enclosed the draft agenda for our one-day brainstorming/workshop with a set of notes at the end for presenters. I understand that a venue has been fixed at Barasat (Circuit House?). Looking at available time, we were wondering if it is possible to move this venue somewhere more closer wherein we can start earlier (and have some more time for discussions), but I leave the decision to you. Alternatively, it will be good if we can start from KUSP office at 9.30 am instead of 10.00 am and start our schedule 30 min earlier - again I leave the decision on this to you.

Abhijit

Abhijit Sankar Ray | Infrastructure and Urban Adviser | DFID India, British High Commission | B-28 Tara Crescent, Qutab Institutional Area | New Delhi 110016 | Tel: +91 (0)11 4279 3482 or +91 (0)11 2652 9296 | http://www.dfid.gov.uk/Where-we-work/Asia-South/India/

DFID, the Department for International Development: leading the UK Government's fight against world poverty. Find out more at http://www.dfid.gov.uk.

The road to Copenhagen: the UK Government's ambition for a global deal on climate change. Find out more at http://www.actoncopenhagen.gov.uk and about DFID's work at http://www.dfid.gov.uk/climate.

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WHITHER KUSP?

Determining the Forward Agenda for KUSP (Graduation Strategy), 18 Nov 2009

Workshop Objective: At completion of this workshop, participants will have developed a common <u>Vision</u> (upto 2011 and beyond 2011), and agreed to a common <u>Future Agenda</u> for KUSP programme.

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Time	Agenda	Lead Person for the Session
-10.00 am	Departure from KUSP Office	
11.00 am – 11.05 am	Background to the Workshop An introduction to workshop objectives	Mr.Bharat Saha
11.05 am - 11.10 am	Introduction to the Day's Proceedings	Mr.Abhijit Ray
11.10 am – 11.40 pm	Whither KUSP? Developing a common vision for KUSP – what does it mean to the CMU team?	Mr.A.Bandyopadhyay Mr.Bharat Saha Mr.Abhijit Ray
11.40 pm – 11.50 pm	Tea Break (+ informal team building exercises)	DFID
11.50 am - 12.50 pm (15 min combined presentation; 10 min comments; 25 min discussions; 10 min wrap up & timelines)	Planning and Finance Functions – Presentation and Way Ahead 1. Accounting reforms 2. Planning reforms 3. Budgeting reforms	Mr.S.Thakurala Mr.Atanu S.Mukhopadhyay Mr.Abhijit Ray Ms.Ashufta Alam
12.50 pm - 01.00 pm	Informal Team Building Exercise	DFID
01.00 pm – 01.45 pm	Working Lunch – Discussions on Communicating KUSP Effectively	Mr.A.Bandyopadhyay Mr.Bharat Saha Mr.K.Mukherjee Ms.D.Menezes Mr.Shantanu Das Ms.Bidisha Pillai
01.45 pm – 02.30 pm (5 min presentation; 10 min comments; 25 min discussions; 5 min wrap up & cimelines)	Innovative/Challenge Fund – Presentation and Way Ahead	Mr.Saikat Sengupta Mr.Soumen Bagchi
02.30 – 03.15 pm (5 min presentation; 10 min comments; 15 min discussions; 5	Environment and Climate Risk Reduction – Presentation and Way Ahead (with Working Tea)	Mr.Haldar Mr.Abhijit Ray Ms.Ashufta Alam
min wrap up & timelines)	Break-away Group: West Bengal Municipal Development Fund	Mr.Dasgupta Mr.K.Mukherjee Mr.Soumen Bagchi
03.15 pm – 03.25 pm	Tea Break (+ informal team building exercises)	DFID
03.25 pm – 04.10 pm 10 min presentation; 10 min comments; 20 min discussions; 5 min wrap up & imelines)	West Bengal Urban Poverty Eradication Mission – Presentation and Way Ahead	Mr.K.Mukherjee Mr.S.Mitra Mr.Abhijit Ray
04.10 pm – 05.00 pm	Way Ahead – Agreeing a Common Strategy (and Agenda)	Mr.Bharat Saha Mr.Alapan

Time	Agenda	Lead Person for the Session
	What strategic and programmatic interventions are required over next 15 months to take KUSP towards agreed Vision? Timelines and responsibilities for achieving these will be finalised and agreed.	Bandyopadhyay Mr.Abhijit Ray
05.00 pm	Reflections on the Workshop	Ms.Debbie Menezes
05.15 pm	Departure for KUSP	

Note: CMU presenters have to make a three-slide presentation (max) on the following:

Slide 1 - original vision and achievements so far

Slide 2 - challenges and concerns

Slide 3 - way forward

Comments indicate to comments from Secretary MAD (Mr.A.Bandyopadhyay) and DFID on expectations/actions – the time will be split equally between the Secretary and DFID.

Memo No. CMU-14/2002(Pt.VIII)/1959

From : Dr. Kallol Kr. Mukherjee Project Manager, CMU

To: The Chairman

Kalyani Municipality

P.O. Kalyani

Dist. Nadia, Pin. 741235

Sub: Visit of DFID Team at Kalyani Municipality on 17.11.2009

Sir,

A DFID Team of about 7 (seven) members along with CMU officials will be visiting Kalyani Municipality on 17.11.2009. Their tour programme is as below:

- 1. Reach Kalyani Municipal Office: 11.00 A.M.
- Visit to Kongarnagar slum and discussion with CDS members, BWMC members and slum dwellers: 11.00 A.M. to 12.00 noon
- 3. Visit to CLTS site: 12.15 P.M. to 1.15 P.M.
- 4. Back to Kalyani Municipal Office for discussion and working lunch: 1.30 P.M. to 2.15 P.M.
- 5. Leave Kalyani: 2.15 P.M.

You are requested to please make necessary arrangement for the visit. Arrangement for working lunch for about 12 persons may also kindly be made.

Thanking you,

Yours faithfully,

Date: 13.11.2009

(Dr. Kallol Kr. Mukherjee) Project Manager, CMU

Copy to:

1. Project Director, CMU

Engineering Expert, CMU
 Health Expert, CMU
 They are requested to please attend the visit.

4. Sri Shantanu Das, State Representative, DFID

5. Economist, CMU – will accompany the DFID team from Kolkata during the visit of Kalyani and Titagarh.

Project Manager, CMU



15-10-09

CHANGE MANAGEMENT UNIT (CMU)

NOTE

Shri Abhijit Shankar Roy, Urban Adviser and Dr Soumen Bagchi, Economic Adviser, DFID (India), will visit CMU office on 22nd and 23rd October'09. During the visit they will interact with all the Experts of CMU. DFID has already sent the points of discussion to CMU, which were circulated to the Experts of CMU with request to submit their comments/views on this issue.

Project Director, CMU, desires to hold a discussion with the Experts to get detail feedback from them. All the Experts and Officers of CMU are requested to remain present in the discussion with PD at his chamber at 4-30 p.m. on 15/10/09 along with their suggestions.

(Kallol Kr Mukherjee) Project Manager, CMU, KUSP

To:

- 1. Municipal Finance Expert, CMU, KUSP
- 2. Engineering Expert, CMU, KUSP
- 3. OD Expert, CMU, KUSP
- 4. Urban Planner, CMU, KUSP
- 6. Health Expert, CMU, KUSP
- 6. Procurement Consultant, CMU, KUSP
- 7. Poverty Monitoring Expert, CMU, KUSP
- 8. Shri T K Mitra, Consultant, CMU, KUSP
- 9. Economist, CMU, KUSP
- 10. Internal Audit Officer & FA, CMU, KUSP
- 11. Accounts Officer, CMU, KUSP
- 12. IT Expert, CMU, KUSP
- 13. Computer Programmer, CMU, KUSP

Copy for kind perusal of:

(1) Project Director, CMU, KUSP

Ru. 15/10/09.

Project Manager, CMU, KUSP

ku. 15/10/09.

Project Manager, CMU, KUSP

Dr. Kallol Kr. Mukherjee

WBCS (Exe)

Project Manager

October 5, 2009

No.CMU-13/2002(Pt-II)/1569

NOTICE

Shri Abhijit Shankar Roy, Urban Adviser, DFID has informed that DFID has organised a Tele Conference on 8th October 2009 at 12-00 noon with Project Director, CMU. In that conference the other team members of DFID will also remain present. The discussion of the conference will be held on the information sent by Shri Abhijit Shankar Roy, Dr Soumen Bagchi and Smt. Anjali Sablok. The copy of the e-mail from them is attached. The Experts are being requested to prepare a report of their relevant portion mentioned in the queries of DFID team and to submit the same before PD with a copy to the undersigned within 6th October 2009. They are also being requested to remain present at the chamber of PD on 8th October 09 at 12-00 noon to render necessary assistance to PD for the Tele Conference.

Cooperation from the experts is solicited.

Ri.

(Kallol Kr Mukherjee) Project Manager, CMU, KUSP

Copy to:

- 1. Municipal Finance Expert, CMU, KUSP
- 2. Financial Adviser, CMU, KUSP
- 3. Engineering Expert, CMU, KUSP
- 4. OD Expert, CMU, KUSP
- 5. Urban Planner, CMU, KUSP
- 16. Health Expert, CMU, KUSP
- 7. Shri Arun Kr Halder, Procurement Expert, CMU, KUSP
- 8. Poverty Monitoring Expert, CMU, KUSP
- 9. Shri T K Mitra, Consultant, CMU, KUSP
- 10. Economist, CMU, KUSP
- 11. Internal Audit Officer, CMU, KUSP
- 12. Accounts Officer, CMU, KUSP
- 13. IT Expert, CMU, KUSP
- 14. Computer Programmer, CMU, KUSP

Ri)

Project Manager, CMU, KUSP

Copy forwarded for kind information to:

1) Project Director, CMU, KUSP - For favour of his kind perusal.

W.

Project Manager, CMU, KUSP

Project Director

From: Project Director, CMU [kuspcmu@gmail.com]

Sent: Wednesday, September 30, 2009 11:27 AM

To: Project Director, CMU

Subject: Fwd: Areas for discussions during next meeting

----- Forwarded message -----

From: Abhijit Ray <as-ray@dfid.gov.uk>

Date: Fri, Sep 25, 2009 at 9:30 AM

Subject: Areas for discussions during next meeting To: "Project Director, CMU" <kuspcmu@gmail.com>

Dear Mr. Saha.

As discussed, I am sending below a (rather) long list of broad areas/activities I would like to discuss with you in details when we meet next.

Key Concerns:

- 1. Slowdown in pace of works due to Lok Sabha elections and municipal elections, KUSP has lost a lot of pace in terms of activities. With your leadership we are now hoping that the pace will pick up. This is a concern for following two reasons: (a) in the new logframe agreed with Mr.Roy, we are looking at total slum infrastructure beneficiaries increasing to 1.0 million from 0.6 million during the last annual review; (b) on account of revised DDPs coming in by Sep and new works starting off, Mr.Roy had estimated very high spends for the October-December period. I have asked Anjali to share these figures with you and she will be sending you details shortly. If we are unable to spend the agreed amounts, or achieve pre-determined targets (atleast to some proximity) especially towards the end of the Programme, there is likely to be an opinion within the office to cut down on KUSP programme budgets for the next year, a situation which I wish to avoid.
- 2. <u>Sustainability of reforms</u> with only 1.5 years remaining, our focus for this Annual Review will be on sustainability of key reform measures undertaken by KUSP and its key institutions (WBMDF, I/CF, CMU itself, WBUPEM, etc.). Some key policy documents that were awaiting approval almost a year back (Urban Sanitation Strategy, for example) are still pending approval and this is likely to become a cause of concern.
- 3. <u>Underspending in some areas</u> I/CF and livelihoods are two key areas where underspending is damaging to the success of these initiatives. We need to discuss how to address this issue before the 2009 Annual Review.

Key activities:

- 1. Social and environment audit I had handed over a copy of the ToR for your information. Based on my earlier discussions with Mr.A.Roy, we had agreed to start this exercise in September. However, I understand that you want to review this once. I am also enclosing a soft copy of the ToR for information. By all means, I would like this exercise to start before November. As you are aware, JNNURM is also looking to promote the concept of social audit of its project components. I feel getting an early start on this will benefit both KUSP and West Bengal.
- 2. Decision on WBMDF based on reporting by Dr.Bagchi (Back to Office Report being sent shortly by Anjali), we are looking at some inputs from your end to take a final call on the fate of the WBMDF fund managers. I hope we resolve this issues soon.
- 3. Complete implementation of DEAS this still remains a concern in non-KMA ULBs, and based on feedback and advise received from CMU in the earlier Annual Review, we are expecting this to be completely managed before the next Annual Review.

DOPS

1) with

- 1. Implementation of e-governance in KMA ULBs again, during the last Annual Review, we were advised that by 31 Mar 2009, this component would be completely rolled off. I am hoping to this component go live before the Dec/Jan Annual Review.
- 5. Citizens report card we need to start the next phase of CRC. Mr.Roy had earlier suggested that this round of CRC could look at all (46) ULBs in the state (barring Kolkata MC). He also suggested that this round should also look at building capacities of West Bengal NGOs to undertake such exercises. DFID is in the process of preparing the ToR for this exercise. The contracting will be done by CMU once we have agreed to the ToR. I am hoping that we can get the CRC exercise started off before December 2009.
- 6. Improving outreach of livelihood agency another key concern area, we had agreed with Mr.A.Roy that the livelihood agency will link up with SJSRY SHGs and increase focus on training of thrift and credit groups. This remains an area of concern as we are not aware of any progress in this area.
- 7. ULB Procurement Manual I was told that CMU has identified a new procurement expert who will take this forward.
- 8. Communications Mr.Roy had requested for TA support for employment of a full time communications consultant seated within CMU. I had agreed to this and had requested Mr.Roy to identify an individual so that I could contract him/her. I now await your opinion/guidance on this. As agreed earlier, I am more than happy to fund a position for 12 months based in CMU but you/your team will need to prepare a ToR for this position clearly highlighting what he/she will be required to do and what his/her key outputs will be.
- 9. <u>State of environment report</u> I have my own concerns on the use of this report. Unfortunately, with this report taking eons to be finalised all potential opportunities within KUSP to utilise this data now seem to have gone. We will now need to look at alternative uses of this report.
- 10. <u>Tata Dorabji Trust fund</u> I am still unaware of the actual position of Tata Dorabji Trust Fund potential support to I/CF and want to discuss this with you.
 - 11. Lesson sharing workshop I am keen to host a lesson sharing workshop for all urban programmes of DFID (WB, MP and Bihar) sometime around Jan 2010. While it makes sense to have KUSP host this workshop, still I wanted to discuss this with you before I started work on this.
 - 12. Climate change as discussed earlier with Mr.A.Bandhopadhyay, I think KUSP should start thinking more seriously on this issue. Again MoUD has already drafted its national strategy (Sustainable Habitats Mission) in response to NAPCC's recommendations but this is awaiting approval. I feel we have a good opportunity here to test a few ideas and feed into national policy. Apart from the training impact assessment study, I am already in touch with ICLEI for a short visit to KUSP CMU to help you create a roadmap on what needs to be done next. I want to discuss and finalise the start dates for this. I also share Mr.Bandhopadhyay's concerns on lack of knowledge on climate change in the urban context towards this, I am happy to have a workshop towards end-October, which can be organised by ICLEI itself. Again, I look forward to your thoughts on this. This workshop will not only help create awareness about climate change in the urban context among key stakeholders, but also help prepare a roadmap that CMU/MAD can take forward over the next 1-3 years. And lastly, I wanted to have a cross-DFID urban programmes workshop to discuss climate change in end-Nov my intentions are to host this workshop either in Bhopal or some other place will be good to have your views on this.

I think the above give a lot of food for thought for our next round of discussions/deliberations. I am also happy to talk to you over phone on any/all of the above issues in the following week preceding my visit to Kolkata on 7th/8th. You can always reach me on 98181-98601.

Regards, Abhijit

Abhijit Sankar Ray | Infrastructure and Urban Adviser | DFID India, British High Commission | B-28 Tara Crescent, Qutab Institutional Area | New Delhi 110016 | Tel: +91 (0)11 4279 3482 or +91 (0)11 2652 9123 | Fax: +91 (0)11 2652 9296 | http://www.dfid.gov.uk/Where-we-work/Asia-South/India/

DFID, the Department for International Development: leading the UK Government's fight against world poverty. Find out more at http://www.dfid.gov.uk.

30-Sep-09

The road to Copenhagen: the UK Government's ambition for a global deal on climate change. Find out more at http://www.actoncopenhagen.gov.uk and about DFID's work at http://www.dfid.gov.uk/climate.

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PROJECT TITLE	KOLKATA URBAN SERVICI	CES FOR THE POOR (KUSP) PROGRAMME	SP) PROGRAMME		
GOAL	Indicator	Baseline/2004	Dec 2009	Mar 2011	
Reduced Poverty in West	Human development	0.69		9.0	GoWB) is due to publish its
Bengal	index	Source			next Human Development
		West Bengal Human Dev	West Bengal Human Development Report, Government of West Bengal (GoWB)	of West Bengal (GoWB)	Report in 2010-11. No intermediate milestones are
	Indicator	Baseline/2004	Dec 2009	Mar 2011	therefore indicated. However,
	Proportion of urban poor population	KMA - 17 Non-KMA - 35	KMA - 13.5 Non-KMA - 31	1 Non-KMA - 27	Annual Review by assessing improvement in access to
		Source			health services, access to
		State Urban Development Au Household Survey (2009-10)	State Urban Development Authority Household Survey (2004, 2011) & KUSP Household Survey (2009-10)	:004, 2011) & KUSP	in income generation as
	Indicator	Baseline/2004	Dec 2009	Mar 2011	
	Proportion of the poor, disaggregated by social	Not Available	Livelihood – 20 Tenure – 5	to Livelihood – 40 Tenure – 20	
	groups, reporting	Source			
	opportunities and security of tenure.	KUSP Household Survey, Assessment Study, 2011	KUSP Household Survey, 2009-10; KUSP Social Audit, 2009-10; KUSP Impact Assessment Study, 2011	:009-10; KUSP Impact	

Bodoria	Indicator	Baseline/2004		Dec 2009	Mar 2011	Assumptions
TON TON		Not Available		50	70	Political support for sustained
Improved Quality of Life for	_	0.0000000000000000000000000000000000000				noverty reduction and land
2.4 million poor people in	reporting satisfaction on	Source				tenure reforms continues to
target slums of Kolkata Metropolitan Area (KMA)	urban local body (ULB) decision making and functioning	Citizen Report Can	Citizen Report Card 2009-10; KUSP Impact Assessment Study, 2011	oact Assessment Stu	dy, 2011	be favourable and policy regime remains stable
	Indicator	Baseline/2004	2008	Dec 2009	Mar 2011	Effective leadership
	Proportion of target stum	Not Available	37	09	80	continues at KUSP
	dwellers reporting	Source				
	improvement in access and coverage to basic services disaggregated by social groups	100	Citizen Report Card 2007-08; Citizen Report Card 2009-10; KUSP Household Survey, 2009-10; KUSP Impact Assessment Study, 2011	sport Card 2009-10; nent Study, 2011	KUSP Household	GoWB/ULBs support citizens' feedback and social audit mechanisms
	Indicator	Baseline/2004		Dec 2009	Mar 2011	

		Household expenditure	(awaiting inputs from KUSP)		+15% from baseline	+25% from baseline	Expenditure indicator serves as a proxy indicator for income indicator.
			Source				
			KUSP Household	Survey, 2009-10; KI	KUSP Household Survey, 2009-10; KUSP Impact Assessment Study, 2011	ent Study, 2011	
INPUTS (£)	0	DFID (£)	Govt (£)	Other (£)	Total (£)	DFID SHARE (%)	
	-	102.1			102.1	100	
INPUTS (HR)		DFID (FTEs)					
	0	0.65 FTEs					
· · · · · · · · · · · · · · · · · · ·	7	Urban Advisor - 0.25					
	Ш	Economic Advisor - 0.10					
	ω ∢	Social Development Advisor - 0.05					
	<u>a</u>	Project Officer (B2) - 0.15					
	0	Deputy Program Manager					
	1	- (WB) 0.05					
	<u>a</u>	Project Officer WB (C1) -					
は、一般の一般の一般の	0	0.05					

OUTPUT 1	Indicator	Baseline/2006-07 Dec 2008	Dec 2008	Dec 2009	Mar 2011	Assumptions
Improved Urban Planning	Aggregated own source	18,654	22,385 (20%)	25,183 (35%)	27,981 (50%)	Sustained political will for
and Governance in KMA	revenue collection of KMA	Source				decentralisation
urban local bodies (ULBS)	ULDS (RS. LAKII)	Municipal Affairs Department, GoWB	partment, GoWB			
	Indicator	Baseline/2004	4	Dec 2009	Mar 2011	Effective coordination with
	Number of ULBs in which e-governance system fully opertionalised, including municipal GIS with satisfied slum customers	E-governance: 0 Municipal GIS: 0 Satisfaction levels: N.A.		E-governance: 41 KMA Municipal GIS: 15 Satisfaction levels: 60	E-governance: 41 KMA + 5 non- KMA Municipal GIS: 41 KMA Satisfaction	concerned line ministries and support organisations. Capacities are effectively built at the U.B. level to

¹ Figures in parentheses denote percentage increase from baseline.

Source Annual Reports, Change Management Unit (CMU) KUSP, GoWB; Citizen Report Card 2009-10; KUSP Impact Assessment Study 2011 Annual Reports, Change Management Unit (CMU) KUSP, GoWB; Citizen Report Card 2009-10; KUSP Impact Assessment Study 2011 Annual Report Card 2009-10; KUSP						levels: 85	effectively undertake a poverty mainstreamed
GHTING Indicator Annual Reports, Change Management Unit (CMU) KUSP, GoWB; Citizen Report GHTING Indicator Baseline/2004 KUSP Impact Assessment Study 2011 Proportion of ULB Not Available expend on proportion of OEM: Not Available poor service delivery and related operation and maintenance (OEM) and proportion of OEM costs of revenue Spend: 15 Spend: 25 Spend: 25 Municipal Affairs & Urban Development Department, GoWB; Annual Reports of revenue ULBs Municipal Affairs & Other (£) Other (£) Total (£) DFID SHARE (%)			Source				development agenda
GHTING Indicator Baseline/2004 Spend: 15 Spend: 25 Spend: 25 Proportion of ULB expenditure spent on proportion service delivery and related operation and maintenance (O&M) and proportion of O&M costs of revenue Source Municipal Affairs & Urban Development Department, GoWB; Annual Reports of ULBs Annual Reports of DFID (FTEs) DFID (FTEs) DFID (FTEs) DFID (FTEs)			Annual Reports, C Card 2009-10; KU	hange Management SP Impact Assessm	Unit (CMU) KUSP, Gent Study 2011	oWB; Citizen Report	
Proportion of ULB Not Available Spend: 15 Spend: 25 Spend: 25 Proportion of ULB Spend: 25 O&M: 70 O&M:	IMPACT WEIGHTING	Indicator	Baseline/2004		Dec 2009	Mar 2011	
related operation and maintenance (O&M) and proportion of O&M costs of revenue DFID (FTEs) Source Municipal Affairs & Urban Development Department, GoWB; Annual Reports of ULBs Other (£) Total (£) DFID (FTEs)	40%	Proportion of ULB expenditure spent on pro-	Not Available	Spend: 15 O&M: N.A.	Spend: 25 O&M: 55	Spend: 25 O&M: 70	
maintenance (O&M) and municipal Affairs & Urban Development Department, GoWB; Annual Reports of proportion of O&M costs met proportion of O&M costs of revenue DFID (£) DFID (FTEs)		poor service delivery and	Source				RISK RATING
DFID (£) Govt (£) Other (£) Total (£) DFID (FTEs)		related Operation and maintenance (O&M) and proportion of O&M costs met through own sources of revenite	Municipal Affairs & ULBs	Urban Developmen	t Department, GoWB;	Annual Reports of	Medium
	INPUTS (£)	DFID (£)	Govt (£)	Other (£)	Total (£)	DFID SHARE (%)	
	INPUTS (HR)	DFID (FTEs)					

OUTPUT 2	Indicator	Baseline/2004	Dec 2008	Mar 2010	Mar 2011	Assumptions
nedul of screen according	Number of slum dwellers	0	0.5 million	1.0 million	2.4 million	KUSP ouidelines are
basic services in target	accessing all basic	Satisfaction:	Satisfaction:	Satisfaction:	Satisfaction:	effectively in place to
slums and convergence	services (matching NSDP	Water - N.A.	Water - 45%	Water - 65%	Water - 80%	institutionalise programme
with national programmes	guidelines) and proportion	Drainage - N.A.	Drainage - 23%	Drainage - 55%	Drainage - 80%	process decision making
	or satisfaction of Oalvi	Sanitation - N.A.	Sanitation - 26%	Sanitation - 55%	Sanitation - 80%	
		Roads - N.A.	Roads - 40%	Roads - 65%	Roads - 80%	
		Source				
		Citizen Report Card 200 Assessment Study 2011	1 2007-08; Citizen Rel 2011	Citizen Report Card 2007-08; Citizen Report Card 2009-10; KUSP Impact Assessment Study 2011	JSP Impact	
*	Indicator	Baseline/2004		Dec 2009	Mar 2011	
	Number of households	N.A.		3,000	7,000	

IMPACT WEIGHTING Indicator 40% Proportion of target s dwellers reporting Honorary Health Wo Health Wo	through coordinated Mission approach Indicator Proportion of target slum	West Bengal Urbar				
ACT WEIGHTING	of target slum)	Poverty Eradication	West Bengal Urban Poverty Eradication Mission (WBUPEM) Annual Reports	Annual Reports	address issues of land
	of target slum	Baseline/2004	Dec 2008	Dec 2009	Mar 2011	provision faraeting
contact for RCH and immunization purpos	dwellers reporting Honorary Health Workers (HHW) as first point of contact for RCH and	Not Available	65	75	06	informal settlements Positive ULB-civil society interactions towards achieving KUSP reform agenda
		Source				RISK RATING
		Annual Reports, Ch Survey 2009-10; KU	Annual Reports, Change Management Unit, KUSP, GoWB; KUSP Household Survey 2009-10; KUSP Impact Assessment Study 2011	nit, KUSP, GoWB; K ent Study 2011	USP Household	Medium
INPUTS (£) DFID (£)		Govt (£)	Other (£)	Total (£)	DFID SHARE (%)	
INPUTS (HR) DFID (FTES)	(\$					

OUTPUT 3	Indicator	Baseline/2004	Dec 2008	Dec 2009	Mar 2011	Assumptions
Economic Development	Number of poor accessing	0	75,000	100,000	150,000	Ownership of LED initiatives
Promoted	Innovative/Challenge	Source				by ULBs
	income have increased	I/CF Fund Managers, KUSP	rs, KUSP			
	Indicator	Baseline/2004	Dec 2008	Dec 2009	Mar 2011	
	Number of poor youth trained and proportion of	0	Number trained: 800	Number trained: 1800	Number trained: 3000	GoWB is committed to livelihood and economic
	these provided work		Placement: 75	Placement: 80	Placement: 80	development of the boor
	placements	Source				
		Livelihood Promotion Agency, CMU	on Agency, CMU			

IMPACT WEIGHTING	Indicator	Baseline/2004	Dec 2008	Dec 2009	Mar 2011	
15%	Number of self help groups (SHGs) mobilised and proportion of these	SHGs: Not available Linkages: 0%	SHGs: 17,400 Linkages: 30%	SHGs: 50,000 Linkages: 30%	SHGs: 100,000 Linkages: 30%	
	linked to banks	Source				RISK RATING
		Annual Reports, Cl 2009-10; KUSP Im	Annual Reports, Change Management Unit, KUSP, GoWB; KUSP Social Audit 2009-10; KUSP Impact Assessment Study 2011	nit, KUSP, GoWB; K Jy 2011	USP Social Audit	
INPUTS (£)	DFID (£)	Govt (£)	Other (£)	Total (£)	DFID SHARE (%)	
INPUTS (HR)	DFID (FTEs)					

OUTPUT 4	Indicator	Baseline/FY 2008	Sep 2009	Jan 2010	June 2010	Assumptions
Service delivery mechanisms improved in	Property tax demand, coverage ratio and	Demand: Rs. 478.7 crore	Demand: Rs. 490 crore	Demand: Rs. 500 crore	Demand: Rs. 600 crore	Stable political situation allows reform agenda to
Kolkata Municipal Corporation (KMC)	demand collection ratio (DCR)	Coverage ratio: 65% DCR: 58%	Coverage ratio: 71% DCR: 72%	Coverage ratio: 75% DCR: 78%	Coverage ratio: 78% Ratio: 84%	continue
		Source				
		KMC Annual Reports; JNNURM MIS	JUNURM MIS			
	Indicator	Baseline/2008	Sep 2009	Jan 2010	May 2010	
	Time taken for approval of	20 days	10 days	7 days	7 days	
	application for mulation of domestic property	Source				
		Citizens' charter/ exit surveys	surveys			
IMPACT WEIGHTING	Indicator	Baseline/Apr 2008	Sep 2009	Jan 2010	May 2010	11
5%	Proportion of KMC	25%		35%		
	expenditure on pro-poor	Source				RISK RATING

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	service delivery	KMC balance sh	KMC balance sheet; KMC Annual Report; JNNURM MIS	ort; JNNURM MIS		Medium
NPUTS (£)	DFID (£)	Govt (£)	Other (£)	Total (£)	DFID SHARE (%)	-
MPITS (HR)	DFID (FTEs)					

TERMS OF REFERENCE

Piloting Social and Environmental Audits for Kolkata Urban Services for the Poor (KUSP) Programme

1. Background and Objectives

The Kolkata Urban Services for the Poor Programme (KUSP) is strengthening urban governance, basic services and livelihoods opportunities across 41 urban local bodies (ULBs) in the Kolkata Metropolitan Area (KMA) (excluding Kolkata Municipal Corporation). Apart from supporting infrastructure improvements at the slum, ward, municipality and trans-municipal levels, KUSP looks at organisation strengthening of KMA ULBs and state agencies; supporting reforms at state and ULB level to improve service delivery; supporting process of economic planning and visioning at ULB level; and supporting possible enterprise development activities. Some of the KUSP activities have now been rolled out to the remaining 85 ULBs in the State. It is now intended to carry out a social and environmental audit of KUSP interventions, especially those which have led to direct improvements of slum communities and below poverty line population.

The overall goal of this exercise is to create awareness on and institutionalise social and environmental auditing across all ULBs in West Bengal.

The objective of this exercise is to:

- establish a social and environmental audit methodology and framework to strengthen community voice in determining and implementing poverty reduction strategies in urban slum;
- pilot social and environmental audits in two ULBs where KUSP interventions have been completed;
- iii. draw out lessons and assess the scope to scale up social and environmental audits as an accountability tool for urban programmes in West Bengal;
- iv. develop and refine locally relevant tools for result-based management for use of the local administration;
- identify sustainability mechanisms for undertaking locally-led social and environmental audits in ULBs:
- vi. undertake in-depth training exercises in the pilot ULBs to institutionalise the methodology;
- vii. undertake sensitisation, knowledge sharing and lessons sharing exercises with remaining KMA ULBs as well as for locally based non government organisations (NGOs)/civil society organisations (CSOs); and

viii. strengthen the evidence-based process of community empowerment.

2. Scope of Work

The consultants will work closely with the KUSP CMU team to develop the social and environmental audit framework and undertake audits across two KMA ULBs. It is expected that the consultant will tie-up with local NGO(s)/CSO(s) to undertake the exercise. This will allow capacity building of local institutions to undertake similar exercises in the future.

The scope of work will include the following amongst others:

- Develop the social and environmental audit framework and the action plan for its implementation along with the KUSP CMU team.
- This will involve raising awareness with the KUSP CMU team and the two identified ULBs on the concept of locally-led social audit and environmental audit, its implementation and lessons of best practice emerging from other states/countries.
- Select two KMA ULBs for participation in this audit exercise in discussion with the KUSP CMU team.
- Select a suitable sample of KUSP interventions in the two identified pilot ULBs for which social and environmental audits will be carried out.
- Create awareness on social audits across the participating/ slum communities in the two sample ULBs.
- Work closely with the existing community groups and organisations of the poor (e.g. SHGs, NHG, etc.) across the slums throughout the audit exercise.
- Along with KUSP CMU team, concerned ULBs, community groups and organisations of the poor, and the communities themselves, develop a sustainability mechanism for undertaking locally-led social and environmental audits, and the roadmap for implementing the same.
- Build skills (capacities) within the community to carry out social and environmental audit, and suggest linkages between audit findings to annual decision making exercises of ULBs.
- Identify, develop and refine locally relevant tools for result-based management for use of local organisations and the local administration, as well as identify and develop mechanisms to create linkages between audit findings and citizen report card studies.
- Draw out lessons for KUSP on social and environmental audits and their implementation, and assess scope to scale it up across urban areas in West Bengal.

- Undertake in-depth training of pilot NGOs with the aim to institutionalise the audit approach in development programmes.
- Undertake sensitisation, knowledge sharing and lessons sharing exercises based on the pilot findings for remaining KMA ULBs, and locally based NGOs/CSOs.
- Undertake necessary documentation (including photo documentation) of the entire exercise clearly highlighting lessons learnt.
- Identify mechanisms for sustainable communication of social and environmental audit findings, especially to the community at large.

3. Expected Outputs and Deliverables

The key outputs for the consultants will be:

- Week 1.5 submission of inception report including a broad outline of the proposed social and environmental audit framework, action plan for implementation, revised timelines for the activities, initial stakeholder assessment, selection of two KMA ULBs for participation in the audit exercise, best practices from other states/ countries, among others. The consultant will make a detailed presentation on the report;
- Week 2 draft social and environmental audit framework and action plan for implementation – based on feedback of KUSP CMU and DFID, the draft final framework will be prepared.
- Week 3, 4 & 5 undertaking the audit exercise in pilot ULBs and indepth training of pilot ULB staff.
- Week 6 documentation of the audit exercise critically examining the lessons learnt from the emerging from the two pilots. This should include findings on locally relevant tools for result-based management, potential linkages between audit findings and citizen report card studies, right to information, etc., including a detailed photo documentation of the entire exercise.
- Week 7 draft final report outlining the roadmap for scaling up the exercise across all KUSP KMA ULBs. This report should also include the final social and environmental audit framework/methodologies for ULBs, and a strategy for sustainable communication of audit findings, among others.
- Week 7 presentation of draft final report to all key stakeholders (workshop). Undertake sensitisation, knowledge sharing and lessons sharing exercises for all non-pilot KMA ULBs and locally based NGOs/CBOs.
- Week 8 finalisation of final report based on comments received.

4. Team and Level of Effort

The assignment will be for a maximum of 60 days over 2009. The Consultants will work closely with the KUSP CMU team. Consultant with past experience of working in West Bengal and in the urban sector experience of undertaking community-led social and environment audit or similar exercises will be preferred. It is expected that the consultant will tie-up with local NGO(s)/CSO(s) to undertake the exercise. This will allow capacity building of local institutions to undertake similar exercises in the future.

Consultants demonstrating (i) past experience of working in West Bengal and/or in the urban sector, (ii) majority of Bengali-speaking team members, and (iii) past experience of working on similar assignments will be preferred.

5. Contractual Arrangements

The Consultant will report to Arnab Roy at KUSP CMU Office.

The DFID Social Development Adviser (Gita Sabharwal) and the Urban Development Specialist (Abhijit Ray) will be the DFID points of contact. The DFID Programme Officer (Anjali Sablok) will be the point of contact for all contractual issues.

Unless specifically mentioned in this ToR, the Consultant will be responsible for all logistical arrangements. The formal contractual arrangements will be set out in a separate document.

Project Director

From: Project Director, CMU [kuspcmu@gmail.com]

Sent: Wednesday, September 30, 2009 11:28 AM

To: Project Director, CMU
Subject: Fwd: Draft Final Report

----- Forwarded message -----

From: Abhijit Ray <as-ray@dfid.gov.uk>

Date: Fri, Sep 25, 2009 at 2:25 PM Subject: RE: Draft Final Report

To: Abhijit Ray <as-ray@dfid.gov.uk>, "Project Director, CMU" <kuspcmu@gmail.com>

Cc: Anjali Sablok < A-Sablok@dfid.gov.uk>

Dear Mr.Saha/KAllol Babu,

Enclosed is the copy of Anjali's and Soumen's back to office report. Specific tasks for action are either highlighted by underlining or marked in bold text.

Abhijit

Abhijit Sankar Ray | Infrastructure and Urban Adviser | DFID India, British High Commission | B-28 Tara Crescent, Qutab Institutional Area | New Delhi 110016 | Tel: +91 (0)11 4279 3482 or +91 (0)11 2652 9123 | Fax: +91 (0)11 2652 9296 | http://www.dfid.gov.uk/Where-we-work/Asia-South/India/

From: Abhijit Ray

Sent: 24 September 2009 22:27 **To:** 'Project Director, CMU'

Cc: Anjali Sablok

Subject: RE: Draft Final Report

Dear Mr. Saha/Kallol Babu,

First of all, let me wish you all a very happy Durga Puja festival.

I hope one of you are in receipt of my earlier email (refer below) and were able to forward the document to Mr.A.Bandhopadhyay for his feedback.

I had received a call from CMU today regarding Mr.A.Bandhopadhyay email address but unfortunately I was unable to take the email address down as I was in a meeting at that time. Kallol Babu, can I request you to kindly send the same to me by email.

By tomorrow, Anjali will be sending you the back to office report document of her and Soumen's visit last month.

As discussed earlier, I am sending a follow-up email on the range of key issues that I wish to discuss with you when I visit Kolkata next.

Regards, Abhijit

Abhijit Sankar Ray | Infrastructure and Urban Adviser | DFID India, British High Commission | B-28 Tara

30-Sep-09

escent, Qutab Institutional Area | New Delhi 110016 | Tel: +91 (0)11 4279 3482 or +91 (0)11 2652 9123 | Fax: +91 (0)11 2652 9296 | http://www.dfid.gov.uk/Where-wc-work/Asia-South/India/

From: Abhijit Ray

Sent: 23 September 2009 16:46

To: 'Project Director, CMU'

Cc: 'gjha@ipeglobal.com'; Anjali Sablok Subject: FW: Draft Final Report

Dear Mr.Saha/Kallol Babu,

It was good to meet you last week. As discussed, the consultants have submitted their draft final report. I am forwarding a copy of the same to you for feedback from you and your team. I would also like Mr.A.Bandhopadhyay to have a look at this and if his time permits, give a feedback on the same. Unfortunately, I dont have his new email address and request you to forward the same to him.

I am targetting to send send you the detailed email along with Soumen Bagchi and Anjali Sablok's back to office report (to which I had referred to in our meeting) before end of business tomorrow.

A line in confirmation of receipt of this email will be highly appreciated.

Best wishes. Abhiiit

From: Sidhartha Patnaik [mailto:spatnaik@ipeglobal.com]

Sent: 23 September 2009 16:34 To: Abhijit Ray; Anjali Sablok Cc: Gangadhar Jha; Ashwajit Singh Subject: Draft Final Report

Dear Anjali and Abhijit,

Please find the draft final report of Training Impact Assessment for trainings conducted under KUSP

With regards, Sidhartha

Senior Program Manager (Urban)

Infrastructure Professionals Enterprise Pvt Ltd A-10, Second Floor, Green Park Main, New Delhi 110 016 Phone: (+91-11) 40755900, 26969533

Mobile: (+91-11)9818144327 Fax: (+91-11) 26969478

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30-Sep-09

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The road to Copenhagen: the UK Government's ambition for a global deal on climate change. Find out more at http://www.actoncopenhagen.gov.uk and about DFID's work at http://www.dfid.gov.uk/climate.

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Minute

Reference: BTOR 20-21 August 2009

To: Abhijit Ray

From:

Soumen Bagchi

Ext:

3304

Date:

21 August 2009

Anjali Sablok

Debbie Menezes Shantanu Das Agnes Rozario

Jaya Singh Verma

lan Shapiro

BTOR - Visit to Kolkata- Meeting with CMU- KUSP Officer and Commissioner and Jt. Commissioner, KMC 20- 21 August 2009

1. I visited Kolkata on 20- 21st August 2009 and met (i) Dr. Kallol Mukherjee, Project Manager, KUSP (ii) Mr. S.Dasgupta, Managing Trustee, WBMDF; (iii) Commissioner, KMC and (iv) Jt. Commissioner, KMC with the key objectives of (i) reviewing the progress of the WBMDF, (ii) reviewing the progress of the Innovative Challenge Fund (ICF) particularly w.r.t its post- KUSP sustainability; (iii) discuss the issues raised by the independent auditor recruited by the DFID and agree an Action Plan to address those and (iv) discuss and agree the tasks and indicators under the output 4 relating to KMC- post merger with KUSP.

20 August - Discussions with KUSP officials

- I. Progress on WBMDF
- Update on WBMDF was separately provided by Mr.S. Dasgupta, Managing Trustee, WBMDF and Mr. S. Bhattacharya, Financial Advisor, KUSP and Sudip Datta, Vice President, ILFS- the PDC.
 - (i) The PDC could initiate a total of 21 intra- municipal projects compared to a target of 20 of which 6 have already reached financial closure. Compared to a target of 20 intra- municipal projects, PDC could initiate just 2 and both are in conceptualisation stage and will take some more time to reach financial closure. Progress in terms of PPP projects has been quite significant. 5 PPP projects have been initiated compared to a target of 3, of which 2 have already reached financial closure with one pending approval from WBMDF and other two expected to be finalised by October 2009. Absolutely no progress in terms of initiating credit- enhancement projects compared to a target of 8 in the year.
 - (ii) However, according to the Managing Trustee, the Project Manager and the acting Project Director, the PDC has failed to manage relationship with the

NOT PROTECTIVELY MARKED

- GOWB. According to them, they did not provide enough technical support to the MDF till date in terms of conceptualising, designing or implementation of projects undertaken by the MDF. The PDC is expected to provide continuous necessary support to MDF in identifying, conceptualising, designing, financial closure and implementation of commercially viable urban infrastructure projects in the state in WB through ensuring permanent placement of at least 2 consultants in MDF office.
- (iii) Managing Trustee seems to be not at all satisfied with the support provided by the PDC, similar views were also expressed by the Project Manager, the acting Project Director and the Financial Advisor. Based on a note prepared by the Managing Trustee, the Principal Secretary, Urban Development has already declined to pay the success fee at the rate charged by the PDC. The acting PD has however, provided a way forward to sort out the issue by identifying the payment modalities.
- (iv) The MDF strongly feels that though the targets for the PDC have been largely achieved, PDC involvement in them has been insignificant. However, DFID review reveals that there has been a disjoint between the expectation of the MDF and the role played by the PDC. The PDC focussed more on structuring larger PPP projects where the success fees would have been more, while MDF wanted to ensure support to smaller municipalities to create assets which would help enhance revenues (non-tax) in the long-run.
- (v) The acting PD wanted these discussions to be noted by DFID and a letter sent to him. The acting PD proposes to fore-close the current contract and make it open for competition for more than one similar consultancy firms on a case-tocase basis. [Action- CMU- KUSP has to prepare a report and send it to DFID identifying the grounds of foreclosing the contract with the PDC].
- 3. The PDC raised the following issues during the presentation-
 - (i) They strongly feel that the targets in the agreement are quite ambitious and need modification.
 - (ii) As per the requirement of DFID, bringing in convergence with JNNURM/ BSUP projects is even more time consuming.
 - (iii) PPP projects and trans- municipal projects are difficult to design due to more stakeholders involved in the process and need more commitment on the part of WBMDF.
 - (iv) In recent months, projects that were earlier identified and designed are becoming difficult to implement for the problems in land acquisition.
 - (v) Lack of documentation of land with municipalities leading to delay in project implementation even after completion of design.
 - (vi) Delayed payments from CMU- KUSP of the success fees pertaining to the projects that have reached financial closure. PDC mentioned that they have been only paid the retainer fee of Rs.0.1 million/ month. CMU- KUSP mentioned that there is a need to have more clarity on the cost of the project in the Agreement. According to CMU KUSP, PDC has been charging the success fee on the total cost of the project despite their involvement in certain segments of project development.

II. Audit Findings and Future Course of Action

- 4. Anjali and I had long discussions on the audit observations with the Financial Advisor and the Program Manager, CMU- KUSP. The discussions particularly focussed on the performance part of it rather than getting into too many details of the transactions audit. It was observed that the CA firm did not share the draft audit report with CMU- KUSP before sharing it with DFID.
- 5. It was decided that DFID will consolidate and comments on the audit observations and send it to the Project Manager and the Financial Advisor, CMU- KUSP as early as possible. [Action It was decided that CMU- KUSP will revert back to DFID with their replies on audit observations]. Couple of major audit observations and necessary action already taken by CMU- KUSP are given below-
- 6. As per the agreement between GoWB and DFID, existing supporting agencies are expected to take over the roles and responsibilities of the CMU- KUSP by the end of the project. To ensure this, Hon'ble Minister, Urban Development has already taken necessary action towards this end, which are-
 - (i) It is decided that the Director, Local Bodies will be given the additional charge as the Project Director, KUSP. This will ensure better coordination between the activities of the DLB and KUSP.
 - (ii) Simultaneously, strengthening of the DLB has also been initiated through involving their officers in various training programs organised under KUSP.
 - (iii) Additional posts have already been created in State Urban Development Agency (SUDA) and Municipal Engineering Department (MED). Proposals to create additional posts in ILGUS are also under consideration.
 - (iv) Financial Advisor, SUDA is already working in close association with CMU- KUSP. Moreover, Poverty Consultant and the Economist in CMU-KUSP are also involved in SUDA's day- to- day activities.
 - (v) CMU- KUSP has been asked to prepare a Report on the actions taken on the consultants' report submitted on the OD and HR issues. [Action-CMU- KUSP to prepare the ATR and send to DFID]
 - (vi) On the audit observation on adjustment of the mobilisation advance, the FA informed that it will be adjusted over the 2 year during 2009-10 and 2010-11 period.
 - (vii) On the audit observation on GOWB's contribution to the WBMDF, the FA mentioned that this should have been captured on a financial year basis rather than on calendar year basis to get a clear picture. [Action- Anjali to send the comments on the audit report to the CA identifying this lacuna].
 - (viii) On substantially falling short of targeted spending under economic development and ICF component, there was a proposal from the Project Manager to use this fund through SUDA to bring in convergence with the SJSRY. DFID has asked for a detailed proposal towards this end to be sent to the TTL for his consideration [Action- CMU- KUSP with due support from DFID].

(ix) On the audit observation on creation of an Audit Committee, the FA and the PM mentioned that they have substantial third party checks and balances in place for all activities under the program and does not feel the necessity of an Audit Committee.

III. Accounting Reforms and Revenue Enhancement Measures in ULBs

- 7. The FA informed that 62 of the 85 non- KMA ULBs have prepared their opening balance sheet.
- 8. All the ULBs (KMA as well as non- KMAs) now have Online Accounting System based on a software called purchishab.
- 9. On the proposed study on enhancing revenue mobilisation capacity of weaker ULBs and strengthening their internal audit capacity, it was suggested that it would be better to focus on some of the comparatively better ULBs, which have the capacity to design viable infrastructure projects. [Action- Soumen will prepare the TORs and share with the team and KUSP. CMU- KUSP will identify the ULBs]

IV. Innovative/ Challenge Fund

- 10. ICF Fund Manager's contract has been renewed till the end of the project. The renewal was made after they were selected through a fair and transparent procurement process. They have a target of 40 projects to initiate per year through the NGOs and CBOs. The CMU- KUSP seem to be satisfied with the performance of the Fund Manager, particularly in rolling out the initiatives to the non- KMA ULBs.
- 11. The Fund Managers developed a brilliant documentary on the ICF capturing the details of the initiative and how it has changed the lives of the urban poor in WB. DFID suggested ways of improving the documentary. [Action- the Fund Manager has been asked to be in touch with Shantanu to give it a final shape and prepare for a presentation in DFID in late October 2009].
- 12. DFID requested the Fund Manager to have more (1) awareness workshops; (2) one-to-one interactions and (3) capacity building workshops for the NGOs and the CBOs to increase the coverage of ICF till the end of the project and bring in more convergence with the Tata Dorabji Trust Fund initiatives and Gol SJSRY initiative. This may need more manpower for the Fund Manager. [Action-KUSP to take a call on amending the contract to hire more field level executives]
- 13. GoWB is planning to create a corpus of funds (from all prospective donors as well as GoWB) from various sources to facilitate sustainability and effectiveness of ICF beyond the tenure of the project. GOWB is planning to take it through a TRUST mode.

V. General points of discussions with KUSP-CMU

- 14. CMU- KUSP requested for additional funds to support activities identified for the Kolkata Municipal Corporation. This was earlier mentioned in the letter from the Project Director and Principal Secretary MA & UD in reply to the letter from DFID. We need to give a clear direction to this as CMU- KUSP is confident of spending the remaining amount during the tenure of the project.
- 15. CMU- KUSP requested for additional technical inputs from DFID to help them prepare the proposal to be submitted to DFID to bring in convergence of initiative under Swarna Jayanti Shahari Rozgar Yojana (SJSRY) and the economic

- development and ICF component under KUSP. CMU- KUSP suggested that this fund could be routed through SUDA to bring in this convergence.
- 16. SUDA has already completed the first phase of slum household survey and is in the process of initiating the 2nd phase to complete the survey to provide it a 100% coverage. Under such circumstances, I propose that we should provide support to enhance the scope as per our requirements rather than initiating a fresh one.
- 17. GoWB needs to immediately identify a replacement to Mr. Arnab Roy, erstwhile Special Secretary, Municipal Administration to represent the WBMDF Trust. This is to protect the interests of the ULBs, particularly the smaller ones and facilitate them to access MDF funds. This will also avoid capture of WBMDF funds by larger urban projects of commercial nature. Mr. Arnab Roy has already made a submission in this regard.
- 18. The KUSP Project Team was conveyed that DFID is planning to have the AR sometime during early December and exact dates will be communicated them shortly.



CHANGE MANAGEMENT UNIT

Dr. Kallol Kr. Mukherjee WBCS (Exe) Project Manager

No.CMU-14/2002(Pt-U)11)/1709

October 21, 2009

NOTICE

DFID team will visit CMU office on 22nd and 23rd October'09. The team will comprise of Shri Abhijit Shankar Roy, Dr Soumen Bagchi, Shri Shantanu Das, Smt. Anjali Sablok and Smt. Debbie Menezes.

During the visit DFID team will discuss with the Experts and Officials of CMU, I/CF Fund Management Team and WBMDF Trust regarding the progress of the work of CMU and WBMDF Trust. The detailed programme is given below:

22nd October'09

10.00 am -

10.30 am: Abhijit (ASR) and Soumen (SB) meeting with Mr.B.Saha (BS) and Mr.K.Mukherjee (KM)

10.30 am -

11.00 am: ASR and SB meeting with the entire CMU team to bring them upto date on latest thinking

11.00 am -

11.30 am: Discussion on WBMDF - ASR and SB meeting with BS, KM and Mr.Dasgupta

11.30 am -

1.30 pm: Discussion on WBMDF - PDC team joins above meeting

1.30 pm -

2.00 pm: Working lunch and discussions with SB and KM on WBMDF, I/CF and livelihoods.

2.00 pm -

3.00 pm: ASR and SB engage with the I/CF selection committee. Will Soma (representing Dorabji Tata Trust be here? If she is, please ask her to join us for the working lunch? Also I am assuming that the selection committee meeting starts at 2pm; if this starts earlier, please let me know and we will cut down on something in the morning half).

3.00 pm -

4.30 pm: ASR and SB engage with KM, Sudeshna (I/CF Fund Management team) and SUDA representative in charge of SJSRY scheme.

23 October'09

9.30 am -

11.00 am: ASR, SB and Agnes Rozario (AR) discussion with BS, KM and Mr.Arnab Roy (Mr.Roy has confirmed his availability over phone - from 9.30 am to 10.30 am - but request you to follow up with him). Focus on sustainability of institutions (CMU, WBUPEM, WBMDF and I/CF) and exit strategy of KUSP.

11.00 am -

01.00 pm: ASR, SB and AR engage specifically on e-governance, climate change, communications, social audit, and citizen report card.

CMU - A REGISTERED SOCIETY UNDER MUNICIPAL AFFAIRS DEPTT., GOVT. OF WEST BENGAL ILGUS BHAVAN, HC - BLOCK, SECTOR - III, SALT LAKE, KOLKATA - 700 106 PH.: 033-2337 7315 (Direct), 2337 8723 / 6226 (Extn. 102), FAX: 033-2337 7318 / 6229 E-mail: kuspcmu@vsnl.net, Website: www.changekolkata.org



(01.0 pm -

4.00 pm: ASR and SB to engage with the Power Department, GoWB; AR will go back to BDHC)

4.30pm -

5.30 pm - Meeting with Mr.Alapan Bandhopadhyay - I had sent an email to Mr.Alapan Bandhopadhyay but he has not responded. Could you please liaise with him for this meeting. We are happy to meet him anytime after 4.00 pm. Our flight is at 8.50 pm so we would like to spend at least an hour with him discussing various issues.

PD desires that:

- The experts and officials of CMU may remain present with all the latest progress reports of their work during the discussion with DFID team to assist PD.
- Trust Manager of WBMDF and PDC team may also remain present in the meeting of DFID at the scheduled time.
- Necessary arrangements for the meeting at the SUDA Conference Hall (10-30 a.m. to 11-00 a.m.) and the chamber of PD may be arranged by Shri Lokenath Das. He is also requested kindly to make necessary arrangement for projector so that the presentation which will be placed before DFID team by PD and Trustee Manager, WBMDF.
- PE and Shri Lokenath Das are also requested kindly to make the arrangement of working lunch for the DFID team.
- Trustee Manager, WBMDF, is also requested to inform the PDC team so that they may remain present at the discussion with DFID team at 11-00 a.m. on 22nd October'09 along with the reports.
- Fund Manager and the Team Leader of I/CF are also requested to remain present during the discussion with DFID team.
- All the experts/officials of Trustee Manager of WBMDF, I/CF Management Team are requested to contact with the undersigned for any clarification of the programme. It will also be highly appreciated if a copy of the report for the meeting is sent to the undersigned in advance so that the coordination from the end of Project Manager can be conducted to achieve fruitful discussion with PD.
- Economist, CMU, is requested kindly to inform Ms Soma, the representative of Tata Trust so that she could be available for the meeting at the schedule time.

All the Experts/Officials of CMU, WBMDFT, PDC, I/CF Management Team are requested kindly to render all sorts of cooperation in this regard.

(Kallol Kr Mukherjee) Project Manager, CMU, KUSP



Copy to:

- 1. Shri S Dasgupta, Trustee Manager, WBMDF
- 2. Municipal Finance Expert, CMU, KUSP
- 3. Financial Adviser, CMU, KUSP
- 4. Engineering Expert, CMU, KUSP
- 5. OD Expert, CMU, KUSP
- 6. / Urban Planner, CMU, KUSP
- Y. Health Expert, CMU, KUSP
- 8. Shri Arun Kr Halder, Procurement Expert, CMU, KUSP
- 9. Poverty Monitoring Expert, CMU, KUSP
- 10. Shri T K Mitra, Consultant, CMU, KUSP
- 11. Economist, CMU, KUSP
- 12. Sri Tapas Ghatak, GIS Adviser, KUSP
- 13. Internal Audit Officer, CMU, KUSP
- 14. Accounts Officer, CMU, KUSP
- 15. IT Expert, CMU, KUSP
- 16. Computer Programmer, CMU, KUSP
- 17. I/CF Fund Manager Team, KUSP
- 18. Shri Lokenath Das, CMU, KUSP

Ry. 2/10/04

Project Manager, CMU, KUSP

Copy forwarded for kind information to:

- 1) Project Director, CMU, KUSP
- 2) Director, SUDA

ky. 2/10/09.

Project Manager, CMU, KUSP



CHANGE MANAGEMENT UNIT (CMU)

NOTE

Recently DFID has sent the Action Points from the Brain Storming Exercise & Workshop of Kolkata Urban Services for the Poor which was held at Barasat on 18th November'09 a copy of which is enclosed. All the Experts of CMU are requested kindly to give their specific views against the Action Points.

This may be extremely urgent, as we have to submit our observation before DFID at the time of Annual Review which will be held in the mid week of January 2010.

(Kallol Kr Mukherjee)
Project Manager, CMU, KUSP

Encl: As stated above.

To:

- (1) Project Director, CMU, KUSP
- (2) Municipal Finance Expert & FA, CMU, KUSP
- (3) Engineering Expert, CMU, KUSP
- (4) OD Expert, CMU, KUSP
- (5) Urban Planner, CMU, KUSP
- (6) Health Expert, CMU, KUSP
- (7) Procurement Expert, CMU, KUSP
- (8) Poverty Monitoring Expert, CMU, KUSP
- (9) Shri T K Mitra, Consultant, CMU, KUSP
- (10) Economist, CMU, KUSP
- (11) Accounts Officer, CMU, KUSP
- (12) IT Expert, CMU, KUSP
- (13) Computer Programmer, CMU, KUSP



Leading the British Government's fight against world poverty

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Mr.Bharat Chandra Saha, IAS
Project Director
Change Management Unit
Kolkata Urban Services for the Poor (KUSP)
Programme

Kolkata



British High Commission B28 Tara Crescent Qutab Institutional Area New Delhi, 110 016

Tel:

011-42793482

Email:

as-ray@dfid.gov.uk

7 December 2009

Action Points from Brainstorming Exercise and Workshop on Kolkata Urban Services for the Poor (KUSP) Graduation Strategy held in Barasat on 18 November 2009

Dear Mr. Saha.

At the outset, let me express our appreciation for the Change Management Unit (CMU) successfully organising the above-mentioned brainstorming exercise and workshop on KUSP Graduation Strategy, and thank you for inviting us to be a part of the discussions. The high quality of deliberations and participation clearly emphasises the commitment that your team has in taking KUSP towards its logical conclusion, and we are happy to extend all necessary support to achieve this.

We are also deeply thankful to the Secretary, Municipal Affairs Department (MAD), Government of West Bengal, for taking time out of his busy schedule to attend this event. We value his leadership, steering and innovative suggestions that greatly enhanced the success of this event.

I am setting out below a list of key action points agreed between CMU and DFID:

- 1. KUSP Exit. CMU will lead and coordinate on developing and delivering the planned exit of KUSP. Each CMU sector advisor will develop a work plan for his/her sector highlighting key activities to be completed till March 2011 with defined timelines. The work plan should focus on two critical aspects: (i) prioritisation of activities and costed plans for their completion by March 2011, and (ii) outlining a set of interventions (policy/institutional, administrative, financial, economic, etc.) to ensure KUSP reforms sustainability beyond March 2011. Work plans of each sector advisor should be finalised and agreed with DFID on/before the 2009 Annual Review (AR) exercise scheduled in the second week of January 2010. [Action: Project Director, KUSP]
- 2. Sustainability of institutions. CMU will develop specific proposals with actions for sustainability of key institutions beyond March 2011, namely (i) Change Management Unit, (ii) West Bengal Municipal Development Fund, (iii) West Bengal Urban Poverty Eradication Mission (WBUPEM), and (iv) Innovative/Challenge Fund (I/CF), and finalise these with DFID during the upcoming AR (Jan 2010). [Action: Project



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- Director KUSP] This will require effective inter-departmental coordination, and the Secretary MAD agreed to provide required support of the Municipal Affairs Department in taking these forward. [Action: Project Director KUSP to keep Secretary MAD updated on progress]
- 3. Innovative/Challenge Fund. Consider if I/CF could be set up as a separate legal entity under the Municipal Affairs Department, with a broadening of its scope (both sectors and activities). The concerned CMU Advisor will look into the viability of this. [Action: I/CF lead in CMU by Dec 2009 to feed into AR exercise (Jan 2010)]. I/CF will also look to communicate more progressively with its clients to ensure greater participation from civil society organisations/municipal bodies. [Action: I/CF lead in CMU]

Commending CMU's success in getting additional corpus funding from Jamsetji Tata Trust, DFID suggested that I/CF should explore possibility of attracting additional corpus contributions from similar institutions as part of its sustainability initiative. A half-day workshop for potential contributors was suggested. [Action: DFID to get in touch with potential contributors and fix up dates for workshop by Jan 2010; led by the concerned DFID Advisor working in collaboration with Project Director KUSP and concerned Advisor]

- 4. Geographic Information System (GIS) reforms. In response to CMU's suggestion (supported by the Secretary MAD) to cease work on GIS reforms under KUSP, DFID agreed to consider this request subject to the following: (i) interests of contractors working on this aspect would be suitably protected, and (ii) all work done so far would be handed over to Kolkata Metropolitan Development Authority (KMDA) to help them meet the reform criteria for accessing Jawaharlal Nehru National Urban Renewal Mission (JNNURM) with a clear understanding and agreement on this between KUSP and KMDA. [Action: (i) Project Director KUSP to initiate necessary action for agreeing with KMDA and consultants; (ii) DFID Task Team Leader (TTL) to formally communicate same to KUSP through a separate communiqué by 15 Dec]
- Information technology. Responding to CMU's request to DFID for technical support on information technology, DFID agreed to provide the same. [Action: Project Director KUSP to submit a terms of reference for the required support by Dec 2009]
- 6. Re-appropriation of funds. In order to take forward activities under KUSP, CMU requested for DFID approval on re-appropriation of programme funds. DFID asked CMU to submit a budget for all activities under KUSP expected till March 2011 to allow an understanding of where additional expenditures or savings are expected. [Action: Project Director KUSP to submit the budget by Dec 2009 followed by discussions during the AR]. DFID clarified that re-appropriation of funds within subcomponents outlined in the Project Memorandum required CMU to formally inform DFID, but that any re-appropriation of funding between components would require a process of formal approvals and agreement between GoWB and DFID.
- 7. DFID clarified that funding for all programme activities would cease on 31 March 2011, and CMU would need to plan its activities accordingly.
- 8. Communicating KUSP. With KUSP drawing to a close, CMU and DFID agreed for the need for stronger communication. DFID particularly mentioned that effectively communicating KUSP would feed into its West Bengal Graduation Strategy targeting stakeholders in West Bengal, Government of India, DFID worldwide and the UK public. It was agreed that DFID would lead the communications agenda in collaboration with CMU. [Action: DFID Advisor to prepare an initial communication

note and share with CMU by 23 Dec 2009 and finalise the same along with an action plan and the terms of reference (ToR) during the AR (Jan 2010)]

- 9. Results and Evaluation. As KUSP draws to a close, DFID and CMU agreed for the urgent need to capture and communicate KUSP results effectively. Apart on ongoing exercises to assess impacts/results of KUSP, it was agreed that DFID would lead a holistic evaluation exercise for KUSP in collaboration with CMU. It was felt that a strong results demonstration would also feed into effective communications. Both the above action points were supported by the Secretary, MAD. [Action: DFID TTL to share a concept note on results/evaluation along with a draft terms of reference (ToR) during the AR (Jan 2010)].
- 10 Climate change. Four key thrust areas were agreed including (i) completion of State of Environment report by March 2010 [Action: CMU Advisor concerned], (ii) creating awareness among urban managers in West Bengal on climate change implications and brainstorming on potential areas of action [Action: DFID TTL to share draft ToR with CMU by 15 Dec 2009], (iii) completing energy audit studies, and focusing on implementation of recommendations, in target ULBs [Action: CMU Advisor concerned by Mar 2010], and (iv) considering how development guidelines on rainwater harvesting, slum infrastructure, etc., could be climate proofed [Action: CMU Advisor concerned by AR (Jan 2010)].
- 11. West Bengal Municipal Development Fund. It was agreed that WBMDF mandate has a potential to be further broadened, supported by a larger corpus allowing ULBs-to draw upon funds for larger projects. [Action: WBMDF Trustee/Fund Managers to advice on potential options by 07 December]. The potential role of other donors for augmenting WBMDF was also discussed. [Action: DFID Advisor and TTL to discuss with AsDB, World Bank, etc., to see potential demand by 07 Dec and inform WBMDF/CMU of discussion findings at AR (Jan 2010)]. Thereafter, a separate brainstorming cum workshop involving CMU/WBMDF, Secretary MAD, Secretary Urban Development Department and DFID could be organised to discuss actual modalities on how to further broaden/strengthen WBMDF. [Action: DFID Advisor concerned to follow-up: at AR (Jan 2010) and if all parties are agreeable, fix up a date for discussions].
- 12. Other technical areas. A number of key areas were identified, which concerned CMU Advisors would integrate as part of their work plan including (i) e-governance implementation and increasing citizen centricity, (ii) sustainability of accounting reforms including possibility of setting up a dedicated cell within MAD, (iii) second generation Draft Development Plan (DDP) preparation and public disclosure of action taken on first generation DDPs, (iv) stronger monitoring, (v) linking DDP and Annual Development Plan (ADP) preparation with municipal budget document and devolution of funds, (vi) stronger role of Bustee Works Management Committee (BWMC), (vii) having Community Development Society (CDS) in all ULBs, (viii) sustainability of 3x3 matrix for selection of slums, (ix) urbanisation strategy for Kolkata Metropolitan Area, (x) procurement reforms, (xi) strengthening linkages with health improvement initiatives in urban areas, (xii) capacity building of Directorate of Local Bodies (DLB) and State Urban Development Authority (SUDA) among others. [Action: CMU Advisors concerned and Project Director by AR (Jan 2010)].

Yours sincerely,

Abhijit Sankar Ray

Urban Advisor & DFID Task Team Leader on KUSP

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NOTE

CHANGE MANAGEMENT UNIT (CMU)

A copy of the Aide Memoire of the last Annual Review held in January, 2009 is enclosed. DFID has requested us to report the progress against the action points/recommendations. Besides this, they have also urged us to make necessary arrangement so that the following reports/claims may be made available to them at the earliest:

- Up-dated status of Fund Managers for WBMDF, Livelihood funds, I/C F and the Procurement Manual;
- FA Claim for the month of July, 2009 (should reach DFID by 15th August, 2009);
- 3) Sharing of internal audit report for the financial year 2008-09.

All Experts of CMU are requested to kindly take necessary action so that the Report returns and action points against the recommendations of the Aide Memoire may be sent to DFID at the earliest. Sincere co-operation from all the Experts is earnestly solicited.

(Kallol Kr. Mukherjee) Project Manager, CMU, KUSP.

Encl: As stated.

Copy for favour of kind perusal to:

Secretary, Municipal Affairs Department.

kw. 12/08/09.

Project Manager, CMU, KUSP.

Copy for necessary action to:

- Financial Adviser, CMU.
- Municipal Finance Expert.
- 3. Consultant, CMU.
- 4. Engineering Expert 1.
- 5. Shri A.K. Halder.
- Health Expert, CMU.
- 7. O.D. & E.D. Expert, CMU.
- 8. Urban Planner, CMU.
- 9. Internal Audit Officer, CMU.
- 10. Economist, CMU.
- 11. Accounts Officer, CMU.
- 12. I.T. Expert, CMU.
- 13. Shri Tapas Ghatak, GIS Adviser, CMU.
- 14. Computer Programmer, CMU.

RW. 12/08/09.

Project Manager, CMU, KUSP.

12.08.2009

Project Director

From:

Anjali Sablok [A-Sablok@dfid.gov.uk]

Sent:

Wednesday, August 12, 2009 12:19 PM

To:

Anjali Sablok; dr; kuspcmu@vsnl.net

Cc:

Abhijit Ray

Subject: UPDATE on KUSP activities

Dear Dr Mukherjee,

Good morning.

Attached is the Aide Memoire of the last Annual Review held in January this year. You are requested to report progress against the action points/recommendations.

Let us have the updated on the status of Fund Managers for WBMDF, Livelihood funds and I/CF and the procurement manual.

The FA claim for the month of July now falls due. Please ensure that it reaches DFID by 15 August.

We are having our fortnightly meeting this afternoon to discuss the Audit Report. I will share the recommendations/action points of the report for your necessary action by end of this week.

When Abhijit, Agnes and I visited last in June, Arnab had promised to share the internal audit report for the fy 2008-09 by end of June. I have still not received the report as yet. You are requested to share the same with us urgently.

Is the new PD in post now. Grateful if you could share his email ID and the mobile no with us to start our interactions with him.

Lastly for your information Soumen, myself and hopefully Abhijit are planning to visit Kolkata on 20-21 August. We will be discussion all the above listed points and other issues which I may have forgotten to mention in the email.

Regards,

DFID, the Department for International Development: leading the British Government's fight against world poverty. Find out more about the major global poverty challenges and get the facts on what DFID is doing to fight them: http://www.dfid.gov.uk
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Aide Memoire: Kolkata Urban Services for the Poor (KUSP) Programme Annual Review 2008-09, January 12-14, 2009

The 2008-09 annual review of KUSP Programme was held from 12 January to 14 January 2009. The review was done by DFID and Government of West Bengal (GoWB).

The DFID team consisted of Stephen Young (Senior Programme Manager and Senior Infrastructure Advisor), Debbie Menezes (Programme Manager - West Bengal), Abhijit Sankar Ray (Task Team Leader and Urban Advisor), Gita Sabharwal (Social Development Advisor), Soumen Baghchi (Economic Advisor) and Shantanu Das (State Representative - West Bengal). GoWB was represented by Arnab Roy (Project Director, Change Management Unit) and his team.

The review team split into two groups for field visits. On 12 January, one group visited Chakdha, a non-Kolkata Metropolitan Area (KMA) Municipality. On 13 January, four KMAs were covered between the two groups including Kalyani, Bansberia, Baranagar and Khardah. The review team interacted with the elected and appointed representatives of these ULBs, as well as community groups and slum residents of slums where slum infrastructure development and innovative/challenge fund (I/CF) in initiatives are underway.

On 14 January, CMU made a presentation on the overall progress of KUSP Programme in the last one year. The Project Director also advised the DFID team on the strategies for the next year. Key learning from site visits was also shared by DFID team with the Project Director, and focused discussions on how to overcome key issues were undertaken and agreed with. The DFID team thereafter met Pawan Aggarwal, Secretary, Municipal Affairs, GoWB for a wrap-up session and also to discuss the merger of Kolkata Environment Improvement Project (KEIP) Capacity Building Component (CBC) into the KUSP Programme from 01 April 2009. Concerns such as sustainability of KUSP reforms, organisation development of Support Organisations and greater buy-in into the JNNURM programme were discussed.

During the review, the team also met Ashok Bhattacharya, Hon'ble Minister, Urban Development, GoWB and discussed key areas and strategies for future interventions with him. The Hon'ble Minister informed the DFID team that Dankuni – a new municipality had been identified by GoWB and added to the KMA. It was agreed to include Dankuni within the ambit of KUSP.

The team would like to profusely thank Arnab Ray and his team at CMU for their support, hospitality and hard work put in during the review.

This Aide Memoire has been structured into the following sections:

- 1. Discussions with Minister, Urban Development
- 2. Discussions with Secretary, Municipal Affairs Department and Project Director, Change Management Unit
- 3. Urban Planning and Governance
- 4. Improved Access to Basic Services by the Poor
- 5. Promotion of Economic Development

Part 1: Discussions with the Minister, Urban Development, Government of West Bengal

On the whole, it was observed that <u>KUSP Programme</u> has done well in the past year and is on-track to achieve its objectives.

The success of the participatory planning approach propagated through the Draft Development Plan (DDP) preparation process has resulted in KMA urban local bodies (ULBs) managing to adopt a citizens'-centric approach to reforms and investment commitments, as well as access the £6 billion Jawaharlal Nehru National Urban Renewal Mission (JNNURM). The focus now is to spread this success to all non-KMA ULBs.

To further access JNNURM, GoWB is soon to amend the West Bengal Municipalities Act, 1993 to include creation of Area Sabhas and preparation of Public Disclosure Act.

To support ULBs to effectively carry out functions envisaged under the Constitution (74th Amendment) Act 1992, further underscored by the KUSP Programme activities, GoWB is considering setting up an Urban Planner cadre and an Assistant Finance Cadre. The requisition for Urban Planner cadre is presently with the Department of Finance, GoWB and approval is expected soon, while the Assistant Finance Officer Cadre will take another 9-12 months to get approved. DFID team requested the Minister to consider creation of an Information Technology (IT) Assistant Cadre.

The KMA has been supplemented by creation of a new municipality – Dankuni. It was agreed to include Dankuni within the ambit of KUSP and start work on DEAS and preparation of DDPs on a priority basis.

GoWB is actively focusing on preparation of a strategy on strengthening tenure security of the poor. Towards this, a Committee headed by the Chief Secretary, GoWB has been constituted.

Climate change concerns are also fast emerging as a priority area of GoWB, especially since the poor are more vulnerable to climate change impacts. Towards this, KUSP needs to look at various mechanisms to reduce indoor pollution (adoption of smokeless *chulhas*, etc.) as well as outdoor pollution including through effective energy audits and follow-ups, disaster mitigation strategies, and more effective communication with citizens especially the poor, towards which having a Communication Strategy is critical.

Part 2: Discussions with Secretary, Municipal Affairs Department, Government of West Bengal and Project Director, Change Management Unit

The Secretary informed the DFID team of the following recent initiatives of GoWB to take KUSP Programme reforms beyond KMA ULBs as well as ensure sustainability of the reform initiative.

- 1. Extension of services of Municipal Service Commission for selection of municipal cadre staff from Kolkata Municipal Corporation (KMC) alone to all ULBs in West Bengal.
- 2. Two new cadres presently in pipeline including Urban Planner cadre and Assistant Finance Officer cadre.

- 3. Setting up of an Accounting Cell under Municipal Affairs Department (MAD) in pipeline in advanced stages, and the concerned Government Order expected soon. The Cell will review implementation of DEAS in all ULBs in West Bengal, improve audit functions, and sustain these initiatives beyond KUSP. It will be staffed by Finance Officers from various ULBs and deputations from the concerned State cadre(s). He also indicated possibilities of setting up a Planning Cell on similar lines.
- 4. Increasing focus of GoWB on initiating municipal e-governance in non-KMA ULBs. MAD is in negotiations with a potential private sector entity for setting up of a public private partnership (PPP) enterprise wherein MAD will lease out the software and space within ULBs to the private sector partner who will provide the necessary hardware and human resources to operate the system.

The DFID team also discussed the modus operandi for subsuming the Kolkata Environment Improvement Project (KEIP) – Capacity Building Component (CBC) within the KUSP Programme from 01 April 2009 to 31 December 2010. It was agreed to host a joint meeting with Commissioner, Kolkata Municipal Corporation in February/March 2009 to chalk out the details for this partnership.

Part 3: Urban Planning and Governance

Monitoring and Evaluation

Present systems of monitoring and evaluation, including impact evaluation are structurally weak and need strengthening to allow more informed decision making at the ULB and State level. CMU has developed a software for a poverty data bank as part of its function of strengthening UPE Cell – the software has been supplied to all KMA ULBs.

Recommendation(s):

- 1. CMU needs to initiate independent **social audits** in all KMA ULBs to assess and demonstrate social, economic, and environmental benefits and limitations of KUSP Programme interventions. It is suggested that a pilot be done in two ULBs by July 2009 to test the methodology developed, and thereon roll out the initiative to remaining KMA ULBs by 2009-2010. ULBs should eventually look to institutionalise social bookkeeping and prepare a bi-annual social audit document/report.
- 2. Performance monitoring still remains weak within ULBs. Piloting of performance management system in two ULBs to help employees deliver on the state goals in line with Citizens Charters has still not been initiated. It is recommended that this be taken up by CMU on urgent basis. It is suggested that the new formats distributed by Department for Local Bodies (DLB) to all ULBs towards 'Inspection of ULBs' can be modified to include additional performance monitoring items (including those prescribed by the Ministry of Urban Development, Government of India through its 'Standardised Service Level Benchmarks' and 'Handbook of Service Level Benchmarks' for ULBs) and further linked to the egovernance system.
- 3. CMU needs to initiate a **training impact assessment** (TIA) study to evaluate effectiveness of training exercises conducted under KUSP Programme. The TIA will be based on findings of the training needs assessment (TNA) exercise, the end-of-training evaluation responses, and critically the post-training responses (for training undertaken 6 months to 1.5 years before).

Increasing Slum Coverage and Linkage with JNNURM

It is understood that provision of slum infrastructure services in KMA ULBs will cover around 30% of the total slum population. Support received under JNNURM is likely to support another 40% of the total slum population in KMA ULBs, leaving a gap of around 30% slum population who are not likely to receive any support for improving basic services.

Recommendation(s):

There is a need for better linkage between KUSP Programme and JNNURM-sponsored programmes targeting slum infrastructure improvement. It is recommended that CMU may look at targeting greater number of slums by realigning some of the cost items of KUSP FA where savings are being noted, especially from trans-municipal infrastructure budgets, towards slum infrastructure spending. CMU will need to take prior approval of DFID on re-alignment of spending heads.

Municipal E-Governance including Grievance Redressal

Municipal e-governance is on track to be operational in all KMA ULBs and Siliguri by 31 March 2009, while a PPP modality is being negotiated for non-KMA ULBs. All 15 e-governance modules have been tested in Barrackpore Municipality and suggestions received have been reported to WIPRO for its appropriate incorporation as well as implementation. Progress in setting up municipal GIS systems has also been made with Senes Consultants being appointed for this component. CMU has shortlisted seven survey agencies and the list has been circulated to 21 ULBs (three districts are being covered in the first phase) and these ULBs are expected to finalise survey agencies by 31 January 2009. However, NRSA has not yet delivered aerial survey maps and are awaiting departmental clearance. Till the e-governance system is up and running, some ULBs have set up independent grievance redressal systems.

Recommendation(s):

- 1. The proposed PPP modality for non-KMA ULBs should ensure that the final output available is in harmony with outputs for KMA ULBs.
- 2. Grievance redressal should be effectively linked to right for information (RTI) wherein a half-yearly progress report on grievances addressed should be made public by all ULBs. A similar progress report on applications for building permission, water connections, and land related/mutation applications should be made public on a quarterly basis. These reports should be made available on respective ULB websites.
- 3. Key summary points of DDPs and ADPs, especially the list of priority projects considered by ADPs and reasons for de-prioritising project(s), if any, should be put up on the MAD and KUSP Programme website.
- Citizen report card findings should be hosted on CMU and DLB websites.

Environment and Climate Change

The State of Environment baseline report for Howrah is expected to be submitted by concerned consultants by 31 January 2009. Energy audit studies have been piloted in two ULBs (Kalyani and Chandannagar) and the consultants reports have been

submitted in early January for consideration by respective ULB's Councils. These consultants have been taken on-board as energy saving companies (ESCOs) and five ULBs have expressed their interest in engaging ESCOs. CMU will be supporting these ULBs as and when required.

Recommendations:

- 1. CMU needs to ensure that the Consultant preparing the state of environment report and the metropolitan environmental policy submit key outputs on time.
- 2. CMU needs to follow-up with the two ULBs where energy audit studies have been piloted and ensure that it is rolled out to all ULBs by 2009-2010.
- 3. CMU needs to promote cleaner technologies, especially to reduce indoor pollution through smokeless *chulhas*, etc. All ULBs need to explore the possibility of putting up solar streetlights, especially in slum areas, and CMU needs to support this actively.
- 4. CMU is in the process of preparing guidelines for mid-term revision of DDPs. These guidelines should promote adoption of alternative technologies to reduce pollution and increase energy efficiency of ULBs, as well as inform ULBs on potential risks from climate change.

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PwC has submitted draft OD reports for SOs on which respective SOs have provided their feedback. These were incorporated by PwC and a draft final report has now been submitted for discussions.

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It was observed that a few KMA ULBs have been traditionally weak as a result lagging behind in achieving most KUSP reform components.

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 CMU needs to provide focused support to these ULBs and ensure that some of the inherent weaknesses can be overcome. Critical gaps can also be identified from the OD Study carried for all ULBs.

Unit Area based Property Taxation System

Introduction of unit area based property tax system was put on hold as Kolkata Municipal Corporation is yet to launch this initiative (expected launch in June/July 2009). However, considering the paucity of time available under KUSP Programme, CMU has recently formed a group of experts to discuss the steps required for introduction of the same in non-KMA ULBs.

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- 1. It is recommended that the CMU prompts GoWB on the various steps for ushering in property tax reforms including necessary legislative changes required, role of West Bengal Valuation Board, time frame, etc.
- 2. The unit area based property tax system may be piloted in atleast two KMA ULBs by Jan 2011, and based on learning thereon, rolled out in remaining ULBs.

Howrah Development and Rejuvenation Plan

Comments on the draft final reports submitted by Mott MacDonald have been forwarded and the final reports are expected shortly.

Recommendation(s):

1. It is recommended that the CMU take on the role of further refining the HDRP, and with necessary assistance from local consultants, and implement the same in a step-by-step manner.

West Bengal Municipal Development Fund (WBMDF)

WBMDF was set up in Feb 2008 and became operational in July 2008 with corpus contributions from GoWB, ULBs, Development Authorities, KMDA and DFID. Till now, loans have been approved and disbursed to two projects (Rs.475.08 lakh combined), while three proposals are to be placed before the OMC in Jan 2009 for approval. WBMDF is also exploring the possibility of accessing the capital market through a pooled finance scheme for 7 ULBs.

Recommendation(s):

- 1. Presently, the Fund Managers are more focused towards informing, identifying, preparing and approving projects. Fund Managers need to also focus on portfolio management, creating pipeline of projects based on ULB portfolio assessment, etc.
- 2. A visioning and business planning exercise for WBMDF should be carried out in 2009 to clearly set out the WBMDF's role for the next five years with a two-year mid-term vision.
- 3. The time taken for approval of projects approved so far ranges between 4-5 months. This needs to be cut short to around 2 months to ensure greater interest by ULBs.

Other Key Findings

Strengthening urban planning. DDPs and ADPs (2008-09) have been prepared by all 40 KMA ULBs. In non-KMA ULBs, DDPs of 32 ULBs have been provisionally approved and another 18 ULBs' DDPs are expected to be provisionally approved by 31 Jan. 25 ULBs are expected to complete their DDPs and get approval by March 2009, while the remaining 10 ULBs will take longer.

Strengthening finance functions. All KMA ULBs have migrated to DEAS, while in non-KMA ULBs 15 ULBs have migrated to DEAS and 37 have their opening balance sheets ready. Around 75 non-KMA ULBs are expected to migrate to DEAS by 01 April 2009 while others are likely to achieve this by June 2009. It was agreed that more focus is required on strengthening internal audit functions within ULBs.

West Bengal Urban Poverty Eradication Mission (WBUPEM). The first meeting of Executive Committee of WBUPEM is expected on 27 January 2009. WBUPEM is

expected to subsume all CMU positions at end of KUSP Programme to ensure sustainability of reforms.

Part 4: Improved Access to Basic Services by the Poor

West Bengal Urban Sanitation Strategy (WBUSS)

The draft WBUSS is presently under consideration by MAD and final changes are being undertaken. Consultants involved by MAD on finalising the document made a presentation to the DFID team. The Strategy is expected to be launched in late January. Kalyani Municipality piloted the community linked total sanitation (CLTS) approach and has been recently declared open defecation free (ODF) – the formal announcement will be made by the Hon'ble Minister Urban Development on 27 January 2009.

Recommendations:

- 1. CMU needs to roll-out CLTS approach towards achieving ODF across all ULBs. CMU could look at piloting the approach in two KMA ULBs and two non-KMA ULBs in 2009-10.
- 2. Central government funds available for preparing city sanitation plans could be accessed by CMU to facilitate additional municipal bodies move towards ODF status.

Part 5: Promotion of Economic Development

Innovative/Challenge Fund (I/CF)

Tenure of the original fund manager expired and a new fund manager was appointed in April 2008. Since then, 20 projects have been approved worth Rs.1.34 crores. The I/CF facility was expanded to non-KMA ULBs in 2008, and 12 projects were approved in non-KMA ULBs. Site visits demonstrated that sustainability of I/CF initiatives remains in question after I/CF funding is stopped. Till date around 230,000 people have directly benefited from I/CF.

Recommendations:

1. To promote sustainability, CMU needs to ensure that all I/CF projects have created sustainable institutional structures. To promote this, payment terms mentioned in the contract between CMU and the NGO/CDS should be amended to include a 10% hold back of payments upto 1 year of completion of the project.

Part 6: Update of Expenditure

CMU Expenditure

Expenditure under KUSP has shown an increase over the 2008-2009 period. A summary of spend till 31 January 2009 is given below:

FA Fund Released:

£37.95 million

TA Fund Released:

£2.61 million

Total Expenditure:

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Aide Memoire: Kolkata Urban Services for the Poor (KUSP) Programme Annual Review 2008-09, January 12-14, 2009.

Part 4 : Improved access to basic services by the poor.

Recommendation of DFID

- CMU needs to roll out CLTS approach towards achieving ODF across all ULBs. CMU
 could look at piloting the approach in 2 KMA & 2 Non-KMA ULBs in 2009-10.
 - To roll out CLTS approach CMU has circulated leaflets on CLTS piloted at Kalyani to make the town open defecation free (ODF).
 - In the mean time 2 KMA ULBs (Champdany & Madhyamgram) and 3 Non-KMA
 ULBs (Taherpur, Tarakeshwar & Chakdah) have shown interest in CLTS.
 - Sensitization session conducted in Taherpur, Tarakeshwar, Chakdah and Champdany
 Municipality with the respective Chairpersons, elected representatives and others.
 Representatives from Taherpur and Tarakeshwar also visited Kalyani Municipality
 to witness the programme.
 - The existing resource persons namely Chairman, Kalyani Municipality, AHO,
 Kalyani Municipality, Dr. Kamal Kar, Participatory Development Consultant and
 Health Expert, CMU were involved in the sensitization discussion sessions and field
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 - Proposal of CLTS foundation led by Dr. Kamal Kar is under consideration of DFID/CMU in respect of piloting scale up of CLTS mechanism.
 - After finalization of acceptance of the said proposal further action plan will be drawn.

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Recommendation(s):

Increasing Slum Coverage and Linkage with JNNURM

It is understood that provision of slum infrastructure services in KMA ULBs will cover around 30% of the total slum population. Support received under JNNURM is likely to support another 40% of the total slum population in KMA ULBs, leaving a gap of around 30% slum population who are not likely to receive any support for improving basic services.

Recommendation(s):

There is a need for better linkage between KUSP Programme and JNNURM-sponsored programmes targeting slum infrastructure improvement. It is recommended that CMU may look at targeting greater number of slums by realigning some of the cost items of KUSP FA where savings are being noted, especially from trans-municipal infrastructure budgets, towards slum infrastructure spending. CMU will need to take prior approval of DFID on re-alignment of spending heads.

Municipal E-Governance including Grievance Redressal

Municipal e-governance is on track to be operational in all KMA ULBs and Siliguri by 31 March 2009, while a PPP modality is being negotiated for non-KMA ULBs. All 15 e-governance modules have been tested in Barrackpore Municipality and suggestions received have been reported to WIPRO for its appropriate incorporation as well as implementation. Progress in setting up municipal GIS systems has also been made with Senes Consultants being appointed for this component. CMU has shortlisted seven survey agencies and the list has been circulated to 21 ULBs (three districts are being covered in the first phase) and these ULBs are expected to finalise survey agencies by 31 January 2009. However, NRSA has not yet delivered aerial survey maps and are awaiting departmental clearance. Till the e-governance system is up and running, some ULBs have set up independent grievance redressal systems.

Recommendation(s):

- 1. The proposed PPP modality for non-KMA ULBs should ensure that the final output available is in harmony with outputs for KMA ULBs.
- 2. Grievance redressal should be effectively linked to right for information (RTI) wherein a half-yearly progress report on grievances addressed should be made public by all ULBs. A similar progress report on applications for building permission, water connections, and land related/mutation applications should be made public on a quarterly basis. These reports should be made available on respective ULB websites.
- 3. Key summary points of DDPs and ADPs, especially the list of priority projects considered by ADPs and reasons for de-prioritising project(s), if any, should be put up on the MAD and KUSP Programme website.
- Citizen report card findings should be hosted on CMU and DLB websites.

Environment and Climate Change

The State of Environment baseline report for Howrah is expected to be submitted by concerned consultants by 31 January 2009. Energy audit studies have been piloted in two ULBs (Kalyani and Chandannagar) and the consultants reports have been

training evaluation responses, and critically the post-training responses (for training undertaken 6 months to 1.5 years before).

- 3. Setting up of an Accounting Cell under Municipal Affairs Department (MAD) in pipeline in advanced stages, and the concerned Government Order expected soon. The Cell will review implementation of DEAS in all ULBs in West Bengal, improve audit functions, and sustain these initiatives beyond KUSP. It will be staffed by Finance Officers from various ULBs and deputations from the concerned State cadre(s). He also indicated possibilities of setting up a Planning Cell on similar lines.
- 4. Increasing focus of GoWB on initiating municipal e-governance in non-KMA ULBs. MAD is in negotiations with a potential private sector entity for setting up of a public private partnership (PPP) enterprise wherein MAD will lease out the software and space within ULBs to the private sector partner who will provide the necessary hardware and human resources to operate the system.
- 5. The DFID team also discussed the modus operandi for subsuming the Kolkata Environment Improvement Project (KEIP) Capacity Building Component (CBC) within the KUSP Programme from 01 April 2009 to 31 December 2010. It was agreed to host a joint meeting with Commissioner, Kolkata Municipal Corporation in February/March 2009 to chalk out the details for this partnership. It was also agreed that spending for components pertaining to KEIP CBC will not detract funding from planning KUSP activity funding.

Part 3: Urban Planning and Governance

Monitoring and Evaluation

Present systems of monitoring and evaluation, including impact evaluation are structurally weak and need strengthening to allow more informed decision making at the ULB and State level. CMU has developed a software for a poverty data bank as part of its function of strengthening UPE Cell – the software has been supplied to all KMA ULBs.

Recommendation(s):

- 1. CMU needs to initiate independent **social audits** in all KMA ULBs to assess and demonstrate social, economic, and environmental benefits and limitations of KUSP Programme interventions. It is suggested that a pilot be done in two ULBs by July 2009 to test the methodology developed, and thereon roll out the initiative to remaining KMA ULBs by 2009-2010. ULBs should eventually look to institutionalise social bookkeeping and prepare a bi-annual social audit document/report.
- 2. Performance monitoring still remains weak within ULBs. Piloting of performance management system in two ULBs to help employees deliver on the state goals in line with Citizens Charters has still not been initiated. It is recommended that this be taken up by CMU on urgent basis. It is suggested that the new formats distributed by Department for Local Bodies (DLB) to all ULBs towards 'Inspection of ULBs' can be modified to include additional performance monitoring items (including those prescribed by the Ministry of Urban Development, Government of India through its 'Standardised Service Level Benchmarks' and 'Handbook of Service Level Benchmarks' for ULBs) and further linked to the e-governance system.
- CMU needs to initiate a training impact assessment (TIA) study to evaluate effectiveness of training exercises conducted under KUSP Programme. The TIA will be based on findings of the training needs assessment (TNA) exercise, the end-of-

Part 1: Discussions with the Minister, Urban Development, Government of West Bengal

On the whole, it was observed that <u>KUSP Programme has done well in the past year and is on-track to achieve its objectives</u>.

The success of the participatory planning approach propagated through the Draft Development Plan (DDP) preparation process has resulted in KMA urban local bodies (ULBs) managing to adopt a citizens'-centric approach to reforms and investment commitments, as well as access the £6 billion Jawaharlal Nehru National Urban Renewal Mission (JNNURM). The focus now is to spread this success to all non-KMA ULBs.

To further access JNNURM, GoWB is soon to amend the West Bengal Municipalities Act, 1993 to include creation of Area Sabhas and preparation of Public Disclosure Act.

To support ULBs to effectively carry out functions envisaged under the Constitution (74th Amendment) Act 1992, further underscored by the KUSP Programme activities, GoWB is considering setting up an Urban Planner cadre and an Assistant Finance Cadre. The requisition for Urban Planner cadre is presently with the Department of Finance, GoWB and approval is expected soon, while the Assistant Finance Officer Cadre will take another 9-12 months to get approved. DFID team requested the Minister to consider creation of an Information Technology (IT) Assistant Cadre.

The KMA has been supplemented by creation of a new municipality – Dankuni. It was agreed to include Dankuni within the ambit of KUSP and start work on DEAS and preparation of DDPs on a priority basis.

GoWB is actively focusing on preparation of a strategy on strengthening tenure security of the poor. Towards this, a Committee headed by the Chief Secretary, GoWB has been constituted.

Climate change concerns are also fast emerging as a priority area of GoWB, especially since the poor are more vulnerable to climate change impacts. Towards this, KUSP needs to look at various mechanisms to reduce indoor pollution (adoption of smokeless *chulhas*, etc.) as well as outdoor pollution including through effective energy audits and follow-ups, disaster mitigation strategies, and more effective communication with citizens especially the poor, towards which having a Communication Strategy is critical.

Part 2: Discussions with Secretary, Municipal Affairs Department, Government of West Bengal and Project Director, Change Management Unit

The Secretary informed the DFID team of the following recent initiatives of GoWB to take KUSP Programme reforms beyond KMA ULBs as well as ensure sustainability of the reform initiative.

- 1. Extension of services of Municipal Service Commission for selection of municipal cadre staff from Kolkata Municipal Corporation (KMC) alone to all ULBs in West Bengal.
- 2. Two new cadres presently in pipeline including Urban Planner cadre and Assistant Finance Officer cadre.

Aide Memoire: Kolkata Urban Services for the Poor (KUSP) Programme Annual Review 2008-09, January 12-14, 2009

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The DFID team consisted of Stephen Young (Senior Programme Manager and Senior Infrastructure Advisor), Debbie Menezes (Programme Manager - West Bengal), Abhijit Sankar Ray (Task Team Leader and Urban Advisor), Gita Sabharwal (Social Development Advisor), Soumen Baghchi (Economic Advisor) and Shantanu Das (State Representative - West Bengal). GoWB was represented by Arnab Roy (Project Director, Change Management Unit) and his team.

The review team split into two groups for field visits. On 12 January, one group visited Chakdha, a non-Kolkata Metropolitan Area (KMA) Municipality. On 13 January, four KMAs were covered between the two groups including Kalyani, Bansberia, Baranagar and Khardah. The review team interacted with the elected and appointed representatives of these ULBs, as well as community groups and slum residents of slums where slum infrastructure development and innovative/challenge fund (I/CF) in initiatives are underway.

On 14 January, CMU made a presentation on the overall progress of KUSP Programme in the last one year. The Project Director also advised the DFID team on the strategies for the next year. Key learning from site visits was also shared by DFID team with the Project Director, and focused discussions on how to overcome key issues were undertaken and agreed with. The DFID team thereafter met Pawan Aggarwal, Secretary, Municipal Affairs, GoWB for a wrap-up session and also to discuss the merger of Kolkata Environment Improvement Project (KEIP) Capacity Building Component (CBC) into the KUSP Programme from 01 April 2009. Concerns such as sustainability of KUSP reforms, organisation development of Support Organisations and greater buy-in into the JNNURM programme were discussed.

During the review, the team also met Ashok Bhattacharya, Hon'ble Minister, Urban Development, GoWB and discussed key areas and strategies for future interventions with him. The Hon'ble Minister informed the DFID team that Dankuni – a new municipality had been identified by GoWB and added to the KMA. It was agreed to include Dankuni within the ambit of KUSP.

The team would like to profusely thank Arnab Ray and his team at CMU for their support, hospitality and hard work put in during the review.

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NOTICE

Aide Memoire on the Annual Review of KUSP Programme (2008-09) done by DFID is enclosed. In the Aide Memoire, DFID has proposed action plan on the activities of KUSP. All the Experts of CMU are requested to submit action plans on their respective activities so that we may take necessary steps to reply the queries of DFID. On receipt of the action plans from the Experts, we may prepare a detailed programme.

ky) 09/03/69.

(Kallol Kr. Mukherjee) Project Manager, CMU, KUSP.

Encl: As stated.

Copy for favour of kind information to:

1. Project Director, CMU.

Distribution:

- 1. Financial Adviser, CMU.
- 2. Municipal Finance Expert, CMU.
- 3. Shri T.K.Mitra, Consultant, CMU.
- 4. Engineering Expert-1, CMU.
- 5. Engineering Expert-2, CMU.
- 6. O.D. & E.D. Expert, CMU.
- 7. / Procurement Consultant, CMU.
- 8. Health Expert, CMU.
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 - 14. IT. EXPL

R. 09/03/09

Project Manager, CMU

PM-1/AKM

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Climate change concerns are also fast emerging as a priority area of GoWB, especially since the poor are more vulnerable to climate change impacts. Towards this, KUSP needs to look at various mechanisms to reduce indoor pollution (adoption of smokeless *chulhas*, etc.) as well as outdoor pollution including through effective energy audits and follow-ups, disaster mitigation strategies, and more effective communication with citizens especially the poor, towards which having a Communication Strategy is critical.

Part 2: Discussions with Secretary, Municipal Affairs Department, Government of West Bengal and Project Director, Change Management Unit

The Secretary informed the DFID team of the following recent initiatives of GoWB to take KUSP Programme reforms beyond KMA ULBs as well as ensure sustainability of the reform initiative.

- 1. Extension of services of Municipal Service Commission for selection of municipal cadre staff from Kolkata Municipal Corporation (KMC) alone to all ULBs in West Bengal.
- 2. Two new cadres presently in pipeline including Urban Planner cadre and Assistant Finance Officer cadre.

- 3. Setting up of an Accounting Cell under Municipal Affairs Department (MAD) in pipeline in advanced stages, and the concerned Government Order expected soon. The Cell will review implementation of DEAS in all ULBs in West Bengal, improve audit functions, and sustain these initiatives beyond KUSP. It will be staffed by Finance Officers from various ULBs and deputations from the concerned State cadre(s). He also indicated possibilities of setting up a Planning Cell on similar lines.
- 4. Increasing focus of GoWB on initiating municipal e-governance in non-KMA ULBs. MAD is in negotiations with a potential private sector entity for setting up of a public private partnership (PPP) enterprise wherein MAD will lease out the software and space within ULBs to the private sector partner who will provide the necessary hardware and human resources to operate the system.
- 5. The DFID team also discussed the modus operandi for subsuming the Kolkata Environment Improvement Project (KEIP) Capacity Building Component (CBC) within the KUSP Programme from 01 April 2009 to 31 December 2010. It was agreed to host a joint meeting with Commissioner, Kolkata Municipal Corporation in February/March 2009 to chalk out the details for this partnership. It was also agreed that spending for components pertaining to KEIP CBC will not detract funding from planning KUSP activity funding.

Part 3: Urban Planning and Governance

Monitoring and Evaluation

Present systems of monitoring and evaluation, including impact evaluation are structurally weak and need strengthening to allow more informed decision making at the ULB and State level. CMU has developed a software for a poverty data bank as part of its function of strengthening UPE Cell – the software has been supplied to all KMA ULBs.

Recommendation(s):

- 1. CMU needs to initiate independent **social audits** in all KMA ULBs to assess and demonstrate social, economic, and environmental benefits and limitations of KUSP Programme interventions. It is suggested that a pilot be done in two ULBs by July 2009 to test the methodology developed, and thereon roll out the initiative to remaining KMA ULBs by 2009-2010. ULBs should eventually look to institutionalise social bookkeeping and prepare a bi-annual social audit document/report.
- 2. Performance monitoring still remains weak within ULBs. Piloting of performance management system in two ULBs to help employees deliver on the state goals in line with Citizens Charters has still not been initiated. It is recommended that this be taken up by CMU on urgent basis. It is suggested that the new formats distributed by Department for Local Bodies (DLB) to all ULBs towards 'Inspection of ULBs' can be modified to include additional performance monitoring items (including those prescribed by the Ministry of Urban Development, Government of India through its 'Standardised Service Level Benchmarks' and 'Handbook of Service Level Benchmarks' for ULBs) and further linked to the e-governance system.
- 3. CMU needs to initiate a **training impact assessment** (TIA) study to evaluate effectiveness of training exercises conducted under KUSP Programme. The TIA will be based on findings of the training needs assessment (TNA) exercise, the end-of-

training evaluation responses, and critically the post-training responses (for training undertaken 6 months to 1.5 years before).

Increasing Slum Coverage and Linkage with JNNURM

It is understood that provision of slum infrastructure services in KMA ULBs will cover around 30% of the total slum population. Support received under JNNURM is likely to support another 40% of the total slum population in KMA ULBs, leaving a gap of around 30% slum population who are not likely to receive any support for improving basic services.

Recommendation(s):

There is a need for better linkage between KUSP Programme and JNNURM-sponsored programmes targeting slum infrastructure improvement. It is recommended that CMU may look at targeting greater number of slums by realigning some of the cost items of KUSP FA where savings are being noted, especially from trans-municipal infrastructure budgets, towards slum infrastructure spending. CMU will need to take prior approval of DFID on re-alignment of spending heads.

Municipal E-Governance including Grievance Redressal

Municipal e-governance is on track to be operational in all KMA ULBs and Siliguri by 31 March 2009, while a PPP modality is being negotiated for non-KMA ULBs. All 15 e-governance modules have been tested in Barrackpore Municipality and suggestions received have been reported to WIPRO for its appropriate incorporation as well as implementation. Progress in setting up municipal GIS systems has also been made with Senes Consultants being appointed for this component. CMU has shortlisted seven survey agencies and the list has been circulated to 21 ULBs (three districts are being covered in the first phase) and these ULBs are expected to finalise survey agencies by 31 January 2009. However, NRSA has not yet delivered aerial survey maps and are awaiting departmental clearance. Till the e-governance system is up and running, some ULBs have set up independent grievance redressal systems.

Recommendation(s):

- 1. The proposed PPP modality for non-KMA ULBs should ensure that the final output available is in harmony with outputs for KMA ULBs.
- 2. Grievance redressal should be effectively linked to right for information (RTI) wherein a half-yearly progress report on grievances addressed should be made public by all ULBs. A similar progress report on applications for building permission, water connections, and land related/mutation applications should be made public on a quarterly basis. These reports should be made available on respective ULB websites.
- 3. Key summary points of DDPs and ADPs, especially the list of priority projects considered by ADPs and reasons for de-prioritising project(s), if any, should be put up on the MAD and KUSP Programme website.
- Citizen report card findings should be hosted on CMU and DLB websites.

Environment and Climate Change

The State of Environment baseline report for Howrah is expected to be submitted by concerned consultants by 31 January 2009. Energy audit studies have been piloted in two ULBs (Kalyani and Chandannagar) and the consultants reports have been

submitted in early January for consideration by respective ULB's Councils. These consultants have been taken on-board as energy saving companies (ESCOs) and five ULBs have expressed their interest in engaging ESCOs. CMU will be supporting these ULBs as and when required.

Recommendations:

- 1. CMU needs to ensure that the Consultant preparing the state of environment report and the metropolitan environmental policy submit key outputs on time.
- 2. CMU needs to follow-up with the two ULBs where energy audit studies have been piloted and ensure that it is rolled out to all ULBs by 2009-2010.
- 3. CMU needs to promote cleaner technologies, especially to reduce indoor pollution through smokeless *chulhas*, etc. All ULBs need to explore the possibility of putting up solar streetlights, especially in slum areas, and CMU needs to support this actively.
- 4. CMU is in the process of preparing guidelines for mid-term revision of DDPs. These guidelines should promote adoption of alternative technologies to reduce pollution and increase energy efficiency of ULBs, as well as inform ULBs on potential risks from climate change.

Organisation Development (OD) of Support Organisations (SOs)

PwC has submitted draft OD reports for SOs on which respective SOs have provided their feedback. These were incorporated by PwC and a draft final report has now been submitted for discussions.

Recommendation(s):

- 1. All SOs will need to demonstrate improved functioning in two/three identified areas by 2009-2010 based on the PwC report findings.
- 2. Mainstreaming of CMU should remain an active consideration during OD of SOs to ensure sustainability of the KUSP Programme reform agenda.

Supporting Weaker ULBs

It was observed that a few KMA ULBs have been traditionally weak as a result lagging behind in achieving most KUSP reform components.

Recommendation(s):

1. CMU needs to provide focused support to these ULBs and ensure that some of the inherent weaknesses can be overcome. Critical gaps can also be identified from the OD Study carried for all ULBs.

Unit Area based Property Taxation System

Introduction of unit area based property tax system was put on hold as Kolkata Municipal Corporation is yet to launch this initiative (expected launch in June/July 2009). However, considering the paucity of time available under KUSP Programme, CMU has recently formed a group of experts to discuss the steps required for introduction of the same in non-KMA ULBs.

Recommendation(s):

- 1. It is recommended that the CMU prompts GoWB on the various steps for ushering in property tax reforms including necessary legislative changes required, role of West Bengal Valuation Board, time frame, etc.
- 2. The unit area based property tax system may be piloted in atleast two KMA ULBs by Jan 2011, and based on learning thereon, rolled out in remaining ULBs.

Howrah Development and Rejuvenation Plan

Comments on the draft final reports submitted by Mott MacDonald have been forwarded and the final reports are expected shortly.

Recommendation(s):

1. It is recommended that the CMU take on the role of further refining the HDRP, and with necessary assistance from local consultants, and implement the same in a step-by-step manner.

West Bengal Municipal Development Fund (WBMDF)

WBMDF was set up in Feb 2008 and became operational in July 2008 with corpus contributions from GoWB, ULBs, Development Authorities, KMDA and DFID. Till now, loans have been approved and disbursed to two projects (Rs.475.08 lakh combined), while three proposals are to be placed before the OMC in Jan 2009 for approval. WBMDF is also exploring the possibility of accessing the capital market through a pooled finance scheme for 7 ULBs.

Recommendation(s):

- 1. Presently, the Fund Managers are more focused towards informing, identifying, preparing and approving projects. Fund Managers need to also focus on portfolio management, creating pipeline of projects based on ULB portfolio assessment, etc.
- 2. A visioning and business planning exercise for WBMDF should be carried out in 2009 to clearly set out the WBMDF's role for the next five years with a two-year mid-term vision.
- 3. The time taken for approval of projects approved so far ranges between 4-5 months. This needs to be cut short to around 2 months to ensure greater interest by ULBs.

Other Key Findings

Strengthening urban planning. DDPs and ADPs (2008-09) have been prepared by all 40 KMA ULBs. In non-KMA ULBs, DDPs of 32 ULBs have been provisionally approved and another 18 ULBs' DDPs are expected to be provisionally approved by 31 Jan. 25 ULBs are expected to complete their DDPs and get approval by March 2009, while the remaining 10 ULBs will take longer.

Strengthening finance functions. All KMA ULBs have migrated to DEAS, while in non-KMA ULBs 15 ULBs have migrated to DEAS and 37 have their opening balance sheets ready. Around 75 non-KMA ULBs are expected to migrate to DEAS by 01 April 2009 while others are likely to achieve this by June 2009. It was agreed that more focus is required on strengthening internal audit functions within ULBs.

West Bengal Urban Poverty Eradication Mission (WBUPEM). The first meeting of Executive Committee of WBUPEM is expected on 27 January 2009. WBUPEM is

expected to subsume all CMU positions at end of KUSP Programme to ensure sustainability of reforms.

Part 4: Improved Access to Basic Services by the Poor

West Bengal Urban Sanitation Strategy (WBUSS)

The draft WBUSS is presently under consideration by MAD and final changes are being undertaken. Consultants involved by MAD on finalising the document made a presentation to the DFID team. The Strategy is expected to be launched in late January. Kalyani Municipality piloted the community linked total sanitation (CLTS) approach and has been recently declared open defecation free (ODF) – the formal announcement will be made by the Hon'ble Minister Urban Development on 27 January 2009.

Recommendations:

- 1. CMU needs to roll-out CLTS approach towards achieving ODF across all ULBs. CMU could look at piloting the approach in two KMA ULBs and two non-KMA ULBs in 2009-10.
- Central government funds available for preparing city sanitation plans could be accessed by CMU to facilitate additional municipal bodies move towards ODF status

Part 5: Promotion of Economic Development

Innovative/Challenge Fund (I/CF)

Tenure of the original fund manager expired and a new fund manager was appointed in April 2008. Since then, 20 projects have been approved worth Rs.1.34 crores. The I/CF facility was expanded to non-KMA ULBs in 2008, and 12 projects were approved in non-KMA ULBs. Site visits demonstrated that sustainability of I/CF initiatives remains in question after I/CF funding is stopped. Till date around 230,000 people have directly benefited from I/CF.

Recommendations:

1. To promote sustainability, CMU needs to ensure that all I/CF projects have created sustainable institutional structures. To promote this, payment terms mentioned in the contract between CMU and the NGO/CDS should be amended to include a 10% hold back of payments upto 1 year of completion of the project.

Part 6: Update of Expenditure

CMU Expenditure

Expenditure under KUSP has shown an increase over the 2008-2009 period. A summary of spend till 31 January 2009 is given below:

FA Fund Released:

£37.95 million

TA Fund Released:

£2.61 million

Total Expenditure:

£40.56 million



KOLKATA URBAN SERVICES FOR THE POOR C H A N G E M A N A G E M E N T UNIT

Arnab Roy, IAS
Project Director

Memo No.CMU-287/2005/2693(40)

January 29, 2007

Sub: Mid term evaluation of Kolkata Urban Services for the Poor programme

Sir/Madam,

The mid term evaluation of Kolkata Urban Services for the Poor programme will be held from 5th February'07 to 31st March'07. DFID India has contracted M/s CRISIL to conduct the external evaluation on their behalf. The external evaluators will be visiting 8 or more ULBs for conducting their evaluation exercise. We do not yet know the detailed dates and programme of the evaluators. We will be informing the same shortly. In the mean time you are requested to kindly keep all records, registers and other matters relating to the mid term evaluation criteria (already communicated to you) ready so that they can be made readily available by you to the external evaluators as and when required.

I will be grateful if you give the priority to this and remain prepared for the evaluation.

Thanking you,

Yours faithfully,

(Arnab Roy)

Project Director, CMU, KUSP

Memo No.CMU-287/2005/2693(40)/1(21)

January 29, 2007

Copy to:

- 1) Principal Secretary, M.A. Dept.
- 2) PS to MIC, M.A. Dept.
- 3) Director of Local Bodies
- 4) Director, SUDA
- 5) Joint Director, ILGUS
- 6) Chief Engineer, MED

Project Director, CMU, KUSP



- 7) Project Manager, CMU
- 8) Engineering Expert (1), CMU
- 9) Engineering Expert (2), CMU
- 10) Municipal Finance Expert, CMU
- 11) OD Expert, CMU
- 12) Urban Planner, CMU
- 13) Poverty Monitoring Expert, CMU
- 14) Consultant (HDRP), CMU
- 15) Procurement Consultant, CMU
- 16) Financial Adviser, CMU
- Health Expert, CMU
 - 18) Economist, CMU
 - 19) IT Expert, CMU
 - 20) Accounts Officer, CMU
 - 21) Internal Audit Officer, CMU

Project Director, CMU, KUSP

Memo No.CMU- 164 2004 (Pt-III) 2382(14)

December 21, 2006

To:

- 1) Project Manager, CMU, KUSP
- 2) Financial Adviser, CMU, KUSP
- 3) Municipal Finance Expert, CMU, KUSP
- 4) Engineering Expert-1, CMU, KUSP
- 5) Engineering Expert-2, CMU, KUSP
- 6) OD Expert, CMU, KUSP
- 7) Urban Planner, CMU, KUSP
- 8) Health Expert, CMU, KUSP
 - 9) Procurement Expert, CMU, KUSP
 - 10) IT Expert, CMU, KUSP
 - 11) Poverty Monitoring Expert, CMU, KUSP
 - 12) Consultant (HDRP), CMU, KUSP
 - 13) Economist, CMU, KUSP
 - 14) Internal Audit Officer, CMU, KUSP

Sir/Madam,

Sub: Aide Memoire: KUSP half-yearly review, 23-24 November 2006

I am placing herewith the Aide Memoire for KUSP Half-Yearly Review, 23rd-24th November 2006. You are requested to take necessary action in your area of work on the points mentioned in the Aide Memoire to comply with the decisions made.

Yours faithfully,

(Arnab Roy)

Project Director, CMU, KUSP

Encl: As stated above.

Aide Memoire: KUSP half-yearly review, 23rd-24th November, 2006

A DFID team visited Kolkata on 23rd and 24th November, for the half-yearly review of the KUSP programme.

On the 23rd of November, the team held a meeting with the CMU, key members of the support agencies and consultants. After CMU's presentation on progress of work, TARU presented their assessment of the QSS process. In the afternoon, the team split into two groups and visited Bhadreshwar Municipality and Howrah Municipal Corporation. Each group met the elected members and officials of the respective ULB, and visited slums where KUSP had funded works.

On the 24th of November, the DFID team had detailed discussions with CMU, DLB, urban planners and SUDA. A wrap-up meeting was held in the afternoon with the Principal Secretary, Municipal Affairs Department and the Project Director of the Change Management Unit.

The DFID team consisted of Chris Chalmers (West Bengal Programme Manager), Debashree Mukherjee (KUSP Task Team Co-ordinator and Urban Adviser), Shouvik Datta (Deputy Programme Manager), Sandhya Kanneganti (Social Development Adviser), Pushpa Subramanyam, (Governance Adviser) and Srinivasan Iyer (Livelihoods Adviser). Andrew Kenningham (Economic Adviser) gave his assessment based on his meeting with CMU officials and visit to Howrah municipality on the 23rd of November.

The team would like to thank Arnab Roy, Project Director, CMU, the CMU officials and staff for their hospitality, enthusiasm and hard work during the review.

This aide memoire has the following sections:

- 1. Discussion with Principal Secretary, Municipal Affairs Department
- 2. Strengthening the ULBs/ 'Governance issues'
- 3. Poverty Issues, including health, sanitation and livelihoods
- 4. Infrastructure Issues
- 5. Economic and Accounting Issues
- 6. Update on Expenditure

Part 1: Discussions with Secretary Municipal Affairs Department

a) Funding Review Indicators: The funding review indicators for the mid term review were discussed in detail. While there has been significant progress on most fronts, two areas of concern are resource mobilisation and sanitation. It was decided that the CMU will, in the next three months, help ULBs put in place a series of measures for improving resource mobilization. These will include, but not be confined to, widening the tax net, identifying new sources, training and sharing of best practices across ULBs. It was also agreed that in the next three months, the Municipal Affairs Department would announce an urban sanitation strategy to incentivise urban communities, particularly those living in poorer settlements, to achieve total sanitation. This strategy will be simultaneously piloted in a few selected ULBs in order to test out different approaches and refine the strategy further.

b) <u>Creation of a cadre of Executive Officers for ULBs:</u> The DFID team reiterated the importance of creating a separate cadre of Executive Officers in the ULBs for sustaining KUSP reforms. It was pointed out that although it does not figure as one of the Funding Review indicators, creation of the cadre is strongly recommended as a milestone that MAD should achieve over the next six months. The Principal Secretary spoke of his recent visit with the Minister UD to Hyderabad. During the visit, they were briefed about the fact that a separate municipal cadre in the state has been able to implement urban reforms and retain the lessons from various innovative programmes in the urban sector. MAD has also obtained more information on the rules that govern the cadre in AP.

- c) Institutional issues arising from the DDP process: The field visits during the review (Bhadreshwar, in particular) revealed that the comprehensive planning process has thrown up staffing issues as a key area for reform. Gaps in key technical positions are a concern for most ULBs. Similarly there is an urgent need to strengthen the system to monitor Accounts and Audit of ULBs to support the accounting reform process. To manage these issues and other support needs of ULBs and to pave the way for an exit strategy for CMU (in mid 2008), the Municipal Affairs Department will consider issuing an order redefining the role of the DLB. On the issue of staffing reforms, the Principal Secretary informed the team that a six-member committee has been set up with the DLB and others. This committee is expected to submit its report by the end of December. The team also noted with satisfaction the increased role of DLB in the roll out of KUSP in the 85 remaining ULBs and the additional personnel sanctioned and positioned in the regional offices. The vacant positions at the Dy. DLB and Assit. DLB levels have been filled, a Systems Administrator to manage the Computer operations has been engaged, and posts of Accounts and Finance Experts and Urban Planners have been sanctioned at the DLB level. However, the strengthening of the DLB is yet to be addressed in full; it should logically follow the proposed executive order clarifying its emerging mandate.
- d) <u>Strengthening ward committees:</u> Under KUSP, 85 ward office buildings were constructed. Further sanctions for these were kept in abeyance, in view of the weak institutional support to the committees resulting in their weak functioning. CMU initiated a review of ward committee functioning in Chandannagar municipality. The Principal Secretary was of the opinion that with the roll out of the e-governance initiative in KUSP ULBs, there is urgent need to finalise the role of ward offices, the ward office structure, justifying office buildings to at least far-off wards in municipalities. The team supports this approach and will appreciate early issue of an executive order clarifying the functions of ward offices. Thereafter, it will be possible to agree to fund further construction in ULBs that effectively delegate functions to the ward level.
- e) Issue of guidelines to streamline functioning of Accounts Committees: Strengthening the Accounts Committees in ULBs is a key strategy under KUSP to improve accountability in the local bodies. All the members of the Accounts committees in KUSP ULBs were given training this year by ILGUS. As part of the training exercise, ILGUS conducted a useful study on the current level of their functioning and the problems they face. CMU has agreed to examine the study and recommend to the M.A. Department issue of appropriate guidelines

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and other ULBs visited earlier i.e., Khardah, New Barrackpore.

for effective functioning of the committees. It is understood that there are no guidelines in the matter until now.

- f) Procurement reform: The recommendations of the procurement consultants (appointed by DFID) are pending with the government for its decision on effecting improvements to the system. It was explained to the Principal Secretary that this was a key concern for DFID across all its programmes, as a measure to ensure value for money. Principal Secretary promised to examine the report and formulate a reform plan.
- g) Incentive fund for 85 ULBs: DFID agreed in principle to support CMU's request for incentive fund to the new 85 ULBs. This support is conditional to CMU's submission of a holistic plan for the remaining ULBs.
- h) <u>Urban Health:</u> Secretary MAD requested for an external 'Urban Health Facilities Perception & Utilisation' Study. This study will look at the Urban health strategy, particularly, the public health set up at ULBs and linkages between ULBs and DHFW. This will also co-ordinate with the work already done and proposed to be done under the World Bank Urban strategy for West Bengal. DFID agreed to support the study. CMU will draw up the draft terms of reference for this.
- i) Poverty Strategy & Action Plan: This was discussed with the Principal Secretary and it was decided that it should be finalised soon and should inform the ULB level poverty reduction initiatives. Along with the listing of the BPL households, slum categorisation may also be taken up in all ULBs on the basis of the data generated by the BPL survey that is underway.
- j) <u>Strengthening of SUDA</u>: The Secretary recognised this as critical need in order to address urban poverty reduction programs. An Executive order to this extent will be issued. He agreed to examine the scope for transferring the urban education issues to SUDA (from DLB) in addition to urban health transferred recently from KMDA.

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Part 2: Strengthening the ULBs-Governance Issues

Progress so far:

1. Strengthening of support organisations (SOs)

i. The ToRs for reengineering work processes and assessing manpower requirements in SOs is yet to be approved. Discussions with Arnab and Swapan on the subject were useful. Arnab agreed that we should separate out reform of DLB as the first priority. To this end, the CMU would suggest to the Government the full range of responsibilities of DLB, to enable-the-Government to consider the issue of an executive order on the subject. This should take into account the potential transfer of a large part of CMU tasks to the DLB with the exit of CMU in 2008. It is remarkable to see the significant level of involvement of DLB already in the roll out of KUSP components in the remaining ULBs.

ii. Based on the findings of the *ongoing Training Needs Assessment of ULBs*, and a review of training institutions available to MAD, a blueprint for reform of *ILGUS* should emerge.

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iii. Strengthening of SUDA has been under discussion for a while now. It was agreed that 3 positions – Social mobilisation coordinator, marketing coordinator & Bank Linkages officer at the SUDA level and 12 positions at DUDA level could be supported under KUSP. In the penultimate year of the program a review of their roles will be done and a decision taken to approach Finance Department for creation of posts. Currently urban health issues are being transferred from KMDA to SUDA. The department may examine the scope for transferring the urban education issues (being managed by DLB) to SUDA. This would institutionally strengthen SUDA to comprehensively address all issues relating to urban poverty and service delivery to the poor.

2. Strengthening governance in ULBs:

- i. The work study to develop standard operating procedures for the core activities of ULBs is being done by the National Productivity Council. NPC reports are being used as technical inputs for the DDP process in ULBs.
- ii. Around 21 ULBs have introduced badges for their employees to enhance accountability. iii. Computers have been provided to most ULBs in the Accounts, UPE cell.
- 3. Standing Committees: These have been established and are functioning in 31 ULBs. CMU/ILGUS have completed one round of training to all the members of the accounts committees in the KUSP ULBs.
- 4. E-Governance: WIPRO has been engaged for a period of five years for rolling out the e-governance initiative. Preparatory work has already commenced to assess the IT preparedness in ULBs. An IT steering committee has been formed and A Systems Administrator (at DLB) and IT co-ordinators for ULBs are being engaged.
- 5. Training and capacity building in ULBs: CMU has engaged an agency for conducting a TNA in ULBs. The report is expected in Jan, 2007. In the meanwhile, ILGUS has organised training for all members of the Accounts Committees, which evoked a lot of interest and provided insights into their functioning. CMU also organised a trend-setting training for all the Chairpersons of KUSP ULBs in urban reforms management at ASCI, Hyderabad.

Observations: It is learnt that the recently appointed Joint Director, ILGUS has since left for another position. Positioning of adequate people in ILGUS is a critical issue, particularly with the expansion of KUSP components across the state. It is also becoming increasingly clear that the CMU resources are stretched to the limit in supporting DLB with the statewide KUSP roll out. Adequately resourcing the DLB also emerges as an immediate priority.

6. Citizens Charters

Citizen Charters are developed and implemented in 32 ULBs, as are the grievance cells. However, the review team did not find any significant steps taken since the last review in setting up monitoring mechanisms in ULBs/CMU/DLB to assess the implementation of the promises in the charter or the grievance redressal structures. It is heartening to note however that the NPC study is tasked to devise systems to best cover this gap.

B. Recommendations:

- 1. Municipal Affairs Department should issue the executive order regarding the revised mandate of DLB, and provide appropriate posts/persons to the Directorate in the next three months to deliver its mandate.
- 2. The TNA study should similarly lead to strengthening of ILGUS by March, 07.
- 3. The executive order delineating the role of the ward committees and the ward office structure should be issued, particularly in connection with the e-governance initiative.
- 4. The report of the six-man committee to look into staffing issues should be expedited while ensuring that the Benchmarking Report of Verulam consultants is also examined as part of the review process.
- 5. Following the quick assessment report by ILGUS, guidelines for effective functioning of the Municipal Accounts Committees should be formulated and issued by MAD in the next couple of months.
- 6. The NPC work study should now be aligned with and work in tandem with the egovernance initiative.

Part 3: Poverty Issues, including health, sanitation and livelihoods

Poverty Strategy & Action Plan:

Progress

Addressing poverty and service delivery to the poor is a key objective of KUSP. ULBs actual expenditures are to reflect increased spending for service delivery to the poor & maintenance of assets in the slums. Adopting a clear Poverty Strategy & Action Plan and strengthening the role of UPE Cell in all ULBs is a critical input towards this end. Draft Poverty Strategy & Action plan is under review. There has been no progress on the positioning of Poverty Coordinators for a cluster of ULBs. Municipal Affairs Department has issued orders regarding the reconstitution and role of the UPE cell recently. Training for TPOs, COs and RCVs is to be taken up. CMU proposes to have a comprehensive discussion with Secretary MAD soon and get appropriate government orders issued.

Recommendation:

- 1. The Poverty Strategy & Action Plan should be finalised and should include strategic, institutional, human & financial resources, capacity building, convergence and other issues. This would inform the ULB level focus on poverty related activities/initiatives. CMU is to take up comprehensive capacity building for the UPE Cell members and facilitate them to develop Poverty Action plan for the ULB. This is to be in line with the DDPs under preparation.
- 2. FR 3: Pro poor spending: It was agreed that a study will be taken up to assess the ULB spending for services to the poor and maintenance of assets in the slums.

2. Poverty Surveys

Progress

The QSS validation study is in progress. TARU made an interesting & useful presentation on the emerging findings. While pointing out the areas of concern, the report indicates that QSS is a unique and significant way of classifying and prioritising slums in urban areas. It is seen as one of the key achievements of KUSP. On completion of the validation Study appropriate strategy is to be developed to addresses the concerns.

The *Urban Economic Census* is completed. Data cleaning by DPD is underway. Meanwhile, the Municipal Affairs Department has initiated BPL Survey in 123 ULBs. SUDA is leading on this. The data is to be compiled at the DUDA level and scored at SUDA level.

Recommendation:

- 1. In addition to the listing of the BPL households, the BPL survey can be utilised for slum categorisation. This may be done in all the non KUSP ULBs in the first instance. In KUSP ULBs this exercise can be taken up after 2008, in view of the recommendations of the QSS Validation Study. Ward, slum and Para details need to be noted during the survey so as to avoid the gaps emerging from the QSS validation study.
- 2. CMU can get a quick study of the quality of data of the urban economic census in a representative sample of 5 ULBs by an independent expert and examine its utility for KUSP activities.

3. Strengthening SUDA:

Progress

Director SUDA gave a presentation on the current role & capacities of SUDA and indicated areas for further strengthening. Apart from facilitating the implementation of SJSRY, ILCS in all 126 ULBs, MLA Area Development fund for KMC/KMA SUDA is the nodal agency for 85 non-mission (JNNURM) ULBs. It is involved in coordinating the preparation of CDSs under the UIDSSMT & IHSDP. A decision has also been taken to transfer to SUDA Urban health programs, including IPP 8, CUDP 3 from KMDA. Municipal Affairs Department proposes to allocate budgets for this to SUDA directly. Details of additional manpower support to SUDA were discussed in a meeting with PD, KUSP, Director SUDA, Financial Officer and Poverty Expert CMU.

Recommendation

Discussed at Part 2.1.iii above

4. CDS Strengthening

Progress

Manuals are under preparation for capacity building and facilitation to CDS. SUDA proposes to restructure the CDS after the BPL Survey with appropriate organic links with the NHGs & NHCs. This is expected to be initiated some time in May 2007. The study by CMU Financial Expert of the accounts of a sample CDSs to assess the financial systems in place, internal lending practices, bank linkages and external borrowings, corpus fund & interest earnings, scope for paying allowance/honorarium to the RCVs, possibility for computerisation of the CDS accounts, advise on capacity building for better financial management etc. has not been taken up yet. Hon'ble Minister UD & Secretary during the visit to APUSP were impressed with the extent of bank linkages to SHG members from urban slums.

Recommendations

- 1. Rationalising the CDS structure may be examined thoroughly. The Govt of Andhra Pradesh has restructured various urban community organizations (NHGs, NHCs, CDS, DUCWA etc) into regular Self Help Groups and is federating them at higher levels. Often it is the same women who are members of different groups. This restructuring reduced confusion on the ground, helped in initiating the processes for higher federations and also made it easy for building bank linkages.
- 2. The contents & language on the draft CDS manuals need simplification. The contents may be reorganised to make 3 manuals Vol.1 aimed at the CDS members on how to form and manage their institutions. This can have a section on frequently asked questions.

Vol. 2 may be for the ULBs, UPE Cell, TPOs etc. on how to facilitate the formation & strengthening of CDS structures. Vol.3 could be a trainer's guidance manual identifying areas & processes for training & capacity building for CDs. These and several other suggestions were made to the draft CDS manuals in a discussion with the Director SUDA & Poverty Expert (CMU).

- 3. An internal evaluation of the CDS financial and accounting systems and other issues mentioned above may be taken up.
- 4. An external evaluation of the community contracting processes, quality, effectiveness, advantages, areas of concern etc may be taken up. Emerging lessons may be incorporated into the next round of contracting work.

5. Gender Strategy

Progress

The DFID Gender Evaluation Study 2005 has identified KUSP as having good potential to deepen gender focus in implementation.

Recommendation

CMU agreed to initiate comprehensive trainings for women public representatives in KUSP ULBs and complete them in a time bound manner. Deptt. Of MA may take a clear view on the discussion note prepared in this context and initiate action on the ground

6. Tenure issues

A tenure policy note, especially in the context of security of tenure for the poor will be prepared. External TA support will be provided for the same.

Health and Sanitation

Progress

- 1. A number of training programmes have been completed. These include training of: trainers and grassroots level health functionaries on re-designed Family Schedule and HMIS, and on STD/HIV/AIDS. A training manual on STD/HIV/AIDS has been developed and circulated to ULBs for training of grassroots functionaries at HAU level.
- 2. A pilot community mobilization for health initiative is in progress in the slums of Kalayni municipality and already 10 slums have been declared free from open defecation by the slum communities. Municipal Affairs Department may recommend to all the ULBs to appraise themselves of the CLTS initiative in Kalyani.
- 3. The refurbishment of sub-centre, provision of computer for health sector of the ULBs and hiring of professionals for CMU to monitor and supervise the health activities of the ULBs is progressing.
- 4. A committee has been formed by the GoWB for development of an urban sanitation strategy linking it to health outcomes.

Recommendation

1. There is a need to prepare an urban health strategy and a road map which would bring out the GoWB's strategy towards total sanitation (complete access to toilets —no open defecation). This is condition for funding (FR5-v). A situation analysis of the current needs in a representative sample of ULBs will be taken up to facilitate the development of Urban Sanitation Strategy.

2. There is a need to link the health implementation under KUSP to the State urban health

strategy.

Livelihoods interventions Local Economic Development

Progress

The Programme logframe commits to ULBs promoting local economic development through the DDP process, by improving service delivery and by facilitating growth through its regulatory and support role. One of the funding review indicators (FR7) specifies inclusion of LED in DDPs.

i) The CMU reports that all 40 ULBs have included LED as a component of their DDP. This meets the formal requirement as per FR7. We await the external quality check of DDPs to

judge how effective the components are likely to be.

ii) At Bhadreshwar ULB visited by the team, the ULB presentation set ambitious targets for poverty reduction, and included activities intended to make its regulatory role more transparent and responsive. Besides, the ULB has demonstrated commitment to solid waste management and has invested in developing commercial infrastructure. The 'quality check' to be done by external experts needs to judge if targets set by the ULB for poverty reduction and LED will be met by activities proposed in the DDP

iii) At Bhadreshwar, the chairman mentioned that the LED component was finalised after a process of consultation with business stakeholders. It is important that this process be repeated at regular intervals and a platform provided to enable ULBs to respond to needs of commercial stakeholders. The ULB Citizens' Charter includes specific commitments with respect to procedures and regulations on zoning, land-use and building plans. A grievance mechanism has been installed. It will be useful to review at an appropriate time how this works.

iv) The ULB staff capabilities in promoting LED remain severely limited. Early recruitment of one poverty expert will help.

Recommendations

1. Need for ULBs to create a live platform for interaction with commercial stakeholders (traders, investors in mfg units, small-medium enterprises).

2. Need to build capacity of ULB on LED so that they can deliver on DDP: including recruitment of poverty expert, exposure to good practices, funding for activities

Promotion of livelihoods

Progress

The programme is committed to provision of livelihood opportunities for the poor. This has taken the form of support to two ULBs for livelihood 'pilot' projects; provision of technical support to ULBs to include livelihoods promotion in their DDPs; financing short-run interventions by ULBs to support income generating activities by the poor in the informal sector. Further, the Innovative Challenge Fund supports several civil society initiatives to promote livelihoods amongst the poor.

1. The livelihoods promotion pilots were briefly reviewed by CMU/DFID and lessons were drawn for further action in terms of support to ULBs for this role. An evaluation of outcomes of the pilot, is underway.

2. CMU will set up a Livelihoods Management Agency (LMA) to provide strategic support to ULBs on livelihoods issues. The LMA will conduct market surveys, detailed subsector analysis, identify potential areas for livelihoods expansion and value addition/retention, and enlist agencies which will provide training and enterprise support. Further, at least 10 ULBs will engage Agencies for Livelihood Support to support livelihoods of the poor. We expect this technical support to improve livelihood options in the medium run. Further, this will build capacity at ULB level and strengthen the incentive to work on livelihood issues.

3. SUDA presented their plans to increase in-house capacity to manage SJSRY. KUSP has aimed at converging its livelihoods component with SJSRY. As a first step, the CMU intends to involve SUDA in the Steering Committee to manage the technical support described above. Once SUDA has its full staff strength in place, it can assume the responsibility of managing the LMA. KUSP aims for convergence with SJSRY at the ULB level too, if ULBs include SJSRY beneficiaries as recipients of technical support from LMA.

Recommendations

- 1. Set up the LMA (technical support arrangement) at an early date; mobilise ULB commitment to livelihood promotion
- 2. Workshop to enable cross learning from Challenge Fund on livelihoods issues
- 3. Strengthen SUDA capacity to manage SJSRY and livelihoods promotion (recruitment of staff, training)

Part 4. Infrastructure

Operation and Maintenance

Funding review indicator MS1- Fully resourced ULB level asset management plans and corresponding local management structures in place and functioning in at least 50% of settlements covered under SIP. Plans to be in place 12 months from completion of construction works for respective projects. Evidence should be provided of implementation of such plans in slum works that took place in the first two years of the programme.

Progress

Bustee Works Management Committees have been set up in slums by all Urban Local Bodies. Most committees have also opened their own accounts. In the slums that were visited, the experience was mixed. In some slums, the Committees have taken responsibility for operation and maintenance, and are also taking the lead on sanitation and other issues, like plantation etc. However, ULBs were of the view that it was more difficult to set up strong BWMCs in slums where work had been undertaken the first year. CMU is releasing SI funds for the current year to ULBs only on the basis of evidence that the BWMCs have been constituted and their accounts opened.

Recommendation

The BWMCs need to be strengthened so that they can be used as leaders for other initiatives such as health, sanitation, education, etc. This will require greater support than the ULBs are, at the moment, able to provide. CMU may consider providing some kind of NGO support to the BWMCs for a limited period, so that they can function as independent community organizations.

Deleted: NGOs as Livelihoods Support Agencies t

Water Quality:

Issue

Water quality testing at different ULBs is done following different sets of procedures. These procedures are not standardised. There is a certain amount of testing being done for surface water, but end of tap testing is rare. Local bodies do not have records of water quality in their jurisdictions.

Recommendation

CMU should, in the next six months, prepare a set of standardised procedures for testing of water quality. This should include periodicity of testing, both of surface water and ground water, as well as end of tap testing at different locations. It would be necessary to follow CPHEEO standards for water quality, but design testing systems based on local needs and conditions. On the basis of these norms, each ULB should prepare an annual water quality management plan. This task may be incorporated in the work being done by CES on environmental guidelines.

Part 5. Economic and Accounting Issues

Resource Mobilisation

Issue

Funding review indicator (FR6): "All ULBs demonstrate increasing financial viability as evidenced by Own source / Total revenue improving by at least 10% by end of year 3".

Progress

Figures for 2005/06 show a disappointing increase in own resources of the 40 KUSP ULBs in aggregate – up just 11.2% in 2005/06 compared to the previous year, and up just 3.0% in 2004/05. With inflation of around 5% per annum and economic growth of at least 8%, an increase of 15% per year should be achieved without significant effort. Progress against the precise ratio specified as Financial Review Indicator was not recorded during the review. Total revenue for all KUSP ULBs is around Rs 1600 million (£ 20 million), or around Rs 160 per capita (assuming population of 10 million). Howrah has begun a general re-valuation of property for taxation – the first since the early 1980s, No progress on unit area tax.

Recommendations: i) In general, there needs to be greater urgency about resource mobilisation if the review indicator is to be met — the most effective approach may be through closer monitoring and direction by Deptt. of MA ii) The Steering Committee on RM needs to be more active. Progress also needed on ToR for promotion of Resource Mobilisation. iii) there should be a regular system of monitoring ULB performance and follow up with poor performers; iv) Deptt. Of MA should monitor those ULBs which have not recently updated their tax-payer list or their valuations; v) CMU / Deptt. Of MA should begin preparation for introduction of the unit area method of property tax — no need to wait for KMC to begin this process. One option would be to begin self assessment in one or more KUSP ULBs – perhaps including Howrah.

Accounting Reforms

ssue

Funding Review indicator 2: "modern accounting systems introduced in 3- ULBs by March 2007. Updated accounts and balance sheets available in at least 30 ULBs by April 2007."

<u>Progress</u>: Progress is being made. 39 opening balances have been drawn up for April 2004 (Howrah is the one exception) - 30 of them authenticated; 13 dummy entries have

Deleted: the new Commissioner commented that the entire machinery for tax collection was not functioning been completed for 2004/05 and 6 for 2005/06. In the roll-out to other ULBs, 75 accounting and finance officers are likely to be appointed for the 85 positions to fill. JIPe has begun work as the agency supporting DLB in roll out.

Municipal Development Fund

<u>Issue</u> How to design a Municipal Development Fund (MDF) to use funds in the KUSP programme for inter-municipal infrastructure.

<u>Progress</u> CMU has prepared a draft design of the MDF, which DFID and US AID / FIRE have commented on. Mr Pradhan, Secretary MAUD, visited TNUDF and attended a workshop organised by GoI and FIRE on pooled funding. KMDC has become the nodal agency for JNNURM funding – which is potentially much greater than funds under the MDF (JNNURM provides Rs 50,000 crore for India over 7 years without any specific limits for individual cities).

Recommendations DFID clarified during the review that two conditions for its support will be as follows:

- i) DFID funds must be used only for basic infrastructure, ie water, sanitation, solid waste, etc <u>not</u> for commercial ventures
- ii) For DFID to support the proposed Fund there must be significant private sector involvement and largely private management control, although policy should remain with the government, as demonstrated in the TNUDF.

Within these constraints, there is scope for the West Bengal design to differ significantly from the TNUDF design.

We recommend that GoWB work with experts (USAID's FIRE project and / or private consultants) to develop a concept note which meets with DFID concerns and CMU preferences. If necessary, a half day brainstorming session to be held. A TNUDF representative could be invited. Private sector involvement could be considered along the lines of JVs formed by WBIDC with ICICI bank and IL&FS. In addition, IFC would be interested in exploring the possibility of investing in the fund.

Part 6: Update on Expenditure

CMU Expenditure

Expenditure under KUSP has shown gradual increase in the second year. A summary of spend from April 2005 to March 2006 is given below (in million pounds):

(i) FA Fund Released: £11,616,963 (ii) TA Fund Released: £ 2,909,657 (iii) Total Expenditure: £14,526,620

Over 90 percent of the expenditure from FA was incurred by ULBs on slum level infrastructure works, DDP preparation, capacity building, support to health sector and incentive fund. A little over 5% of KUSP expenditure is spent on training.

Deleted: IPE and PWC have madbids for the support for the non-KUS ULBs during the roll-out of accountancy reforms.

Deleted: Mr Mukhopadhyay commented that it was a "relief" that this work is being out-sourced. ¶



KOLKATA URBAN SERVICES FOR THE POOR CHANGE MANAGEMENT UNIT

Arnab Roy, IAS
Project Director

Memo. No. CMU-287/2005/2470(33)

Date: 03.01.2007

From: Arnab Roy

Project Director, CMU

To : The Mayor / Chairman

Sub: KUSP Mid Term Funding Review Indicators and action required from ULBs Ref: This office letter no. CMU-287/2005/2268(40) dt. 07.12.2006

Sir / Madam,

Kindly refer to the meeting held on the above subject on 06.12.2006. A Booklet was sent to you under this office above cited letter with a request to fill up some formats and submit to CMU at your earliest. This data is immediately required in connection with Mid-term Funding Review and assessment of corrective measures necessary to be taken.

The duly filled in format may, therefore, kindly be sent to CMU within 10.01.2007. This may kindly be treated urgent.

Yours faithfully,

(Arnab Roy)
Project Director, CMU

Copy to:

- 1. Director of Local Bodies, GoWB
- 2. Chief engineer, MED
- 3. General Secreatary, West Bengal Municipal Association
- 4. Project Manager, CMU
- 5. Financial Adviser, CMU
- 6. Municipal finance Expert, CMU
- 7. Engineering Expert 1, CMU
- 8. Engineering Expert 2, CMU
- 9. OD Expert, CMU
- 10. Urban Planner, CMU
- 11. Health Expert, CMU
- 12. Poverty Monitoring Expert, CMU
- 13. Economist, CMU
- 14. Accounts Officer, CMU

Project Director, CMU

Status on Health component of KUSP during the period May to Sept., 06

The component of Health activities under KUSP in 40 KMA ULBs has also been extended to 22 Non-KMA ULBs.

The status on Health activities is as under:

Activities Tentative Schedule		Present Status			
Training:					
Trainers Training on Redesigned Family Schedule and HMIS by CMU	June, 06	Completed			
Training of grass root level Health functionaries on Re- designed Family Schedule and HMIS	July-Sept., 06	Completed			
Training manual on STD / HIV / AIDS	-	Training manual has already been developed and circulated to the ULBs for conduction of training for grass root level health functionaries at HAU level.			
Training of grass root level health functionaries on STD / HIV / AIDS	AugOct., 06	Completed			
Piloting community mobilization for health initiative	Contd. upto 15 th January, 2007	 Piloting has been initiated in five slums of Kalyani Municipality in phases with effect from January, 2006. Community led total sanitation has been taken as entry point activity. Collective community action in the form of constructing latrine at their own has been ignited by using participatory tools and techniques. Community empowerment is the key ward leading towards 'sense of owning'. Workshop held on 26.05.06 for sharing experience of CLTS where representative from all the ULBs under KUSP attended. Already 10 (ten) slums have been made totally free from open defecation by the slum communities. In turn community moved on to other actions i.e. paving the bases of 70 hand pumps and constructed cemented platform, cleaning up of age old drains. Natural leaders have been emerged from the slum communities who are acting as facilitator in other slums. Moreover, during last flood situation, these natural leaders made latrines for the time being at the makeshift settlement area which addressed public health hazards due to open defecation. Otherwise, it could have been fatal in terms of gastro-enteritis outbreak. Exposure visit of the natural leaders, some of the Health functionaries and some officials Kalyani Municipality are yet to be organized. 			

Activities	Tentative Schedule	It is being dealt by EE-1 and Poverty Expert.				
Recommendation by DFID Review Team during May, 2006 – a draft TOR should be agreed upon at the earliest for development of and Urban Sanitation Strategy linking it with health outcomes						
LE.C. :						
Awareness programme i.e. Group discussion at block level, deployment of folk media, preparation of message board etc. Apr., 06 – Mar. 07		Continuing with the programme.				
Procurement :						
Refurbishment of Sub- Centre (SC)	Upto Mar., 07	Out of 40 KMA & 11 Non-KMA ULBs, AA & FS has been granted for 35 & 7 ULBs respectively.				
Provision of computer for the health sector of the ULBs ULBs Upto Mar., 07						
Hiring of professionals for CMU to monitor & supervise the health activities of the ULBs	-	6 nos. of Doctors, 3 nos. of Nutritionists and 1 Computer Assistant have been selected. Engagement will be completed by 15 th November, 2006.				

Work Plan for the period October, 06 to March, 07 for HHW Programme under Health Component - KUSP

Process for implementation Time Plan	Guideline will be issued by CMU. Re-structuring by ULB		reproductive & child • Training of grass root level functionaries will October – December, to be imparted by trainers (HO / AHO) at HAU level for three days. • Monitoring & supervision of training by CMU.	al Health Programmes. • Trainers training for 1 day by CMU December, 06	ss root level, data • 3 days training at each HAU level by CMU and December, 06 – February, 07 ULB.	ionaries for providing • Orientation of Medical Professionals of 5 ct of knowledge on ULBs. Training of grass root level functionaries by trainers.	ununicable diseases Module be developed and training be imparted. December, 06 – February, 07	objectives, health 1 day training in 5 batches by CMU. December, 06 – January, 07 primary health care.
Brief description of objective			Strengthening of services for reproductive & health and family planning.	Updating knowledge on National Health Programmes. Description of National	Health Programmes at grass root level, data compilation and reporting.	Capacity building of health functionaries for providing support to adolescents in respect of knowledge on physiological, emotional changes, reproductive health, hygiene and sanitation - Piloting at 5 ULBs.	Prevention of vector borne communicable diseases	Re-orientation in KUSP objectives, hea components, community based primary health care.
Work Details	Re-structuring of blocks at ULBs	Training	Training on RCH & Family Planning	On National Health	Programmes	Training on Adolescent care	Training on vector control measures	Re-orientation for PTMOs & Urban Health Improvement
Si.	1.	2.	<u>a</u>	9		(ii)	(A)	(A

Contd. to P-2.

	1 04	March, 0/	anuary, 07.	January, 07.		4, 06	у, 06
		Continue upto March, U.	Continue upto January, 67.	Continue upto January, 07.		January, 06	January, 06
		Group discussion will be organised at block level by the HHW concerned bi-monthly. Will be facilitated by FTS and supervision & monitoring by HO / AHO. No. of participants per group not exceeding 30. Total blocks 4750 - KMA ULBs and 1476 - Non-KMA ULBs.	One show per HAU per year - be organised by the ULB.	2 programmes per HAU per year be organised by ULB.		By ULB.	By ULB.
			•	•			(0.4)
Brief description of objective		Enhancing awareness on different health issues, availability and accessibility of primary health care services. Community participation.	Making every child count. Healthy and fully immunized baby. Sensitising mother / family towards better rearing of child.	Promoting awareness of community on preventive health care, safe behaviour, attitude and practice.		Providing better services. Strengthening of primary health care services.	To computerise health data received from the grass root level health functionaries compilation & preparation of monthly reports.
		• •		•	-	• •	•
Work Details	LE.C.	Group discussion at block level with female and male members of the community.	Baby Show	Awareness through deployment of folk media.	Procurement	Refurbishment of Sub- Centre (SC) for 5 KMA & 4 Non-KMA ULBs	Procurement of Computer for remaining 15 KMA ULBs
		9	a	a	4	9	a