

VOLUME 3 – ANNEXURES/ APPENDICES

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Chapter 1. - Project Overview

No Annexures

Chapter 2. - Introduction

No Annexures

Chapter 3. - Institutional and Governance Framework for Project Implementation

A 3.1 Model Template for Project Participation Agreement

Kerala Solid Waste Management Project

Participation Agreement

Participation Agreement (this “**Agreement**”) between Suchitwa Mission (“**SM**”) and ___ (the “**Participating Urban Local Body-ULB**”) (collectively the “**Parties**” and individually a “**Party**”) dated the date of signature by the Party signing this Agreement last.

WHEREAS (A) The Government of Kerala (“**GoK**”) is implementing the Kerala Solid Waste Management Project (“**KSWMP**”) to strengthen the institutional and service delivery systems for solid waste management (“**SWM**”) in Kerala.

(B) As part of KSWMP, the Government has mandated SM to use funds of a loan from International Bank for Reconstruction and Development (“**IBRD**”) to finance three types of activities in support urban local bodies with whom it enters into a participation agreement:

(i) provision of grants, each for the financing of the urban local bodies’ projects (each a “**Sub-project**”) for the improvement of solid waste management capacities and

systems, whose availability is linked to eligibility criteria to be met by the ULB.

(ii) provision of technical assistance and implementation of capacity building activities to help urban local bodies improve solid waste management and achieve the conditions and performance level to which the availability of funds under those grants is subjected; and

(iii) development of regional solid waste management facilities which serve more than one ULB, in each case on behalf of and on delegation from the cluster of urban local bodies benefiting from such facility.

(C) To carry out its mandate under the KSWMP, SM has established the following implementation arrangement: a state project management unit (“**SPMU**”) in Thiruvananthapuram and a district project management unit (each a “**DPMU**”) in each district in Kerala, co-located with the district team of SM, to act as the administrative interface for urban local bodies. The DPMU of the district of the Participating ULB has designated a specific

co-ordinator for the interactions between the Participating ULB and the DPMU staff and the consultants supporting the implementation of the KSWMP.

(D) The Participating ULB wishes to enter into a participation agreement with SM and become a participating ULB under KSWMP.

(E) Prior to the signature of this Agreement, the Participating ULB has constituted a Project Implementation Unit ("**PIU**") under the Secretary (executive head) of the Participating ULB, comprising a SWM Engineer, a Finance/Accounts Officer and 1 or 2 junior level technical staff, as needed, responsible for handling SWM services in the Participating ULB. Participating ULB will be required to submit the PIU notification to SPMU at the time of signing this Agreement.

NOW, THEREFORE, the Parties agree as follow:

1. (a) The KSWMP project implementation manual ("**PIM**"), a copy of which is attached to this Agreement as Annexure 2, is incorporated to this Agreement by reference and constitutes an integral part of it with the same effect as if the provisions of the PIM were repeated in extenso in this Agreement.

(b) In the event of any conflict between the provisions of the PIM and those of this Agreement, the provisions of the PIM shall prevail.

(c) In the event, provisions of the PIM are amended by SM with written approval of the Bank during project implementation, provisions of this Agreement may also need to be amended through an addendum adopted by the ULB's council.

Allocation of Grants

2. SM extends to the Participating ULB a Basic Grant and Incentive Grant (each a "Grant" and collectively the "Grants") of a maximum aggregate amount of [___](termed "Grant Allocation Ceiling" or GAC), whose proceeds shall be used by the Participating ULB for the financing of the Participating ULB's activities as per the guidelines and procedures specified in the PIM, which the Participating ULB shall complete not later than September 30, 2026. The GAC is subject to change at the end of Year 4 of project implementation (December 2024) based upon the participating ULB's implementation performance and grant reallocation procedure outlined in the PIM.

3. The Grants include: a basic grant ("**Basic Grant**") representing 40% of the GAC, and an incentive grant ("**Incentive Grant**") aggregating to 60% of the GAC.

4. The Grants shall be allocated to the Participating ULB upon meeting the eligibility criteria for each grant, as follows:

(a) The Basic Grant would be allocated on signing of this Participation Agreement before December 31, 2022.

(b) The Incentive Grants would be allocated on meeting the eligibility criteria as follows which shall be verified by the Independent Verification Agency ("IVA") as per the PIM:

(i) 40% of GAC assigned to the Incentive Grant would be allocated on meeting all the following three criteria prior to December 31, 2024 unless otherwise agreed by GoK.

- i. the Participating ULB has prepared a SWM plan for climate-smart and disaster-resilient SWM (“*SWMP*”) with technical assistance described in Paragraphs 11 and 12 below, which has been approved by SM;
 - ii. the Participating ULB has issued SWM by-laws that incorporate the principles of Kerala’s Integrated Solid Waste Management Strategy 2020;
 - iii. the Participating ULB has confirmed access to/use of facility for safe disposal of waste, as per national SWM rules 2016 and other national regulations;
- (ii) 5% of the GAC assigned to the Incentive Grant shall be allocated per eligibility criteria, when the Participating ULB meets the following eligibility criteria prior to December 31, 2024 unless otherwise agreed by GoK.
- i. hiring of top-level staff in accordance with the structure approved by GoK which can be found at [refer to GoK document];
 - ii. signing of performance-based contract(s) for the Participating ULB’s solid waste collection and transportation services;
 - iii. development and adoption of a plan for user charges and operation and maintenance budgeting; and

- iv. implementation of monitoring and evaluation including a grievance redressal mechanism.

Utilization of Allocated Grants for expenditure on eligible Sub-projects

5. The Participating ULB shall utilise each Grant towards expenditure on eligible Sub-project activities. Eligible Sub-project activities for each Grant are as follows:
- (a) The expenditures eligible for a Sub-project to be financed under the Basic Grant shall be selected by the Participating ULB among the Track I activities, listed in more detail in the PIM, which includes, among others:
 - (i) expansion of the coverage of decentralized biodegradable waste management systems (generator and community level),
 - (ii) upgrade of existing material collection facilities or resource recovery facilities,
 - (iii) closure or remediation of existing dumpsites and development of incremental disposal cells as interim facility,
 - (iv) routine public space cleaning/sanitization and other waste management activities related to COVID19 like procurement of protective gears and equipment for sanitation workers,
 - (v) financial support (including viability gap funding) to existing women self-help groups engaged in ongoing waste collection services, and

(vi) operation and maintenance support for tipping fee for regional disposal facilities.

(b) The expenditures eligible for a Sub-project to be financed under the Incentive Grants shall be selected by the Participating ULB among the Track II activities, listed in more detail in the PIM, which includes, among others:

(i) establishment or strengthening of primary waste collection and transportation systems, and

(ii) development of new waste management or processing facilities and new material recovery facilities or recycling facilities for non-biodegradable waste.

6. Each Sub-project shall be included in the ULB annual development plan and shall be approved by its District Planning Committee as part of government's annual planning approval process.

7. The Participating ULB shall comply with the following obligations related to the implementation of each of its Sub-projects:

(a) carry out its Sub-project with due diligence and efficiency and in accordance with sound technical, economic, financial, managerial, environmental and social standards and practices satisfactory to IBRD, including in accordance with the provisions of the "Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants", dated October 15, 2006 and revised in January 2011 and as of July 1, 2016,

applicable to recipients of loan proceeds other than the borrower, referred to in the PIM;

(b) provide, promptly as needed, the resources required for its Sub-project, including priority for allocation of Project funds to sub projects under progress before taking up new subprojects; maintain policies and procedures adequate to enable it to monitor and evaluate in accordance with indicators acceptable to IBRD,;

(c) (i) maintain a financial management system and prepare required financial statements in accordance with consistently applied accounting standards acceptable to IBRD, both in a manner adequate to reflect the operations, resources and expenditures related to the Sub-project; and (ii) have such financial statements audited by independent auditors acceptable to IBRD, in accordance with consistently applied auditing standards acceptable to IBRD, and promptly furnish the audited statements to the GoK, SM and IBRD;

(d) Ensure the resources allocated and released for the subprojects are used only for eligible expenditures and such resources are spent to reflect reasonable utilisation levels expected by GoK, SM & IBRD as specified in PIM.

(e) enable the GOK, SM and IBRD to inspect the Sub-project, its operation and any relevant records and documents; and

- (f) prepare and furnish to GOK, SM and IBRD all such information as the GoK, SM or IBRD shall reasonably request relating to the foregoing.
8. Without limitation to the provisions of Paragraph 10 of this Agreement, the Participating ULB shall comply with the following additional obligations, related to the implementation of its Sub-projects:
- (a) comply with the national SWM rules 2016, technical guidelines and operational procedures laid out in the PIM for planning, designing and implementing SWM investment Sub-projects (including climate and disaster resilience);
 - (b) for each Sub-project, prepare an environment and social impact assessment, an environmental and social management plan, and other safeguards management documents in accordance with the provisions of the ESMF;
 - (c) procure the goods, works and services for implementing Sub-projects to be financed out of the Grant in accordance with the provisions of the “World Bank Procurement Regulations for IPF Borrowers”, dated July 2016, revised November 2017 and August 2018 referred to in the PIM;
 - (d) adopt the financial management systems for planning, budgeting, reporting and auditing, as outlined in PIM;
 - (e) report quarterly on the progress of the key activities under this Agreement and their results as per the

monitoring and reporting systems described in the PIM; and

- (f) provide access to its records and Sub-projects to the SPMU/DPMU staff and their authorized consultants to periodically verify compliance of the Participating ULB with its obligations under this Agreement.

Disbursements

9. After incurring expenditure on Sub projects, the Participating ULB shall submit the bills to GoK’s relevant treasury offices as per the existing procedures under annual development plan. treasury offices will disburse the allocated grants directly to vendors, contractors or suppliers of the Participating ULB against these bills, subject to compliance with Annual Triggers as listed in Paragraph 10.

Compliance, default, suspension of grants and refund

10. SM will carry out an annual verification of compliance of the Participating ULB with its obligations under this Agreement for the preceding four quarters of expenditure. The ULBs would be required to comply with five Annual Triggers (ATs), including compliance with (a) Environmental and Social Safeguards systems as per ESMF; (b) external statutory audit annually; (c) procurement systems as per PIM, (d) technical guidelines in PIM & national/state regulations, and (e) eligible investment menu.
11. The verification of compliance with ATs will trigger approval of expenditures for the preceding four quarters and disbursement of grants for the next FY. Upon failure to meet

the ATs, SM may, in addition to requiring the Participating ULB to take the necessary corrective actions, may:

- (a) obtain a refund of all or any part of the amount of the Grants disbursed
- (b) suspend or terminate Sub-project(s) which are not in compliance with this Agreement
- (c) suspend or terminate disbursement of all or part of the undisbursed grants

Technical Assistance and Capacity Building

- 12. Through a technical support team of consultants (“*TSC*”) recruited by SM on the basis of terms of reference further detailed in the PIM and assigned to the Participating ULB upon signing of this Agreement, SM shall provide end-to-end specialized technical support to the Participating ULB for the preparation and implementation of its SWMP and the implementation of key institutional, policy and financial reforms to ensure long-term sustainability of SWM services.
- 13. The participating ULB shall prepare city-wide SWMP with the technical assistance of assigned TSC, based on an integrated service delivery approach for improving the SWM services and shall identify the infrastructure and service delivery interventions across the entire value chain including at-source waste segregation, at-source treatment (if possible), primary collection and transportation, processing, recycling and safe disposal of residual waste at engineered landfill. The SWMP shall also include:

- (a) a financial sustainability plan to ensure adequate cost recovery mechanisms and budgetary allocations required for operations and maintenance of the SWM facilities to be constructed or upgraded by the Participating ULB
- (b) an environment and social impact assessment based on stakeholder consultation and community engagement discussions, as further detailed in the ESMF.

- 14. To implement the SWMP, the Participating ULB will be assisted by TSC in the following areas: (i) annual financial planning, budgeting and reporting, (ii) investment specific activities including planning, design, procurement, and implementation, and (iii) preparation of all technical documents including climate and disaster resilience, environment and social impact assessment, contract management and implementation supervision.
- 15. The TSC will report to the Participating ULB for implementing their terms of reference and will be administratively supervised by the DPMU.
- 16. Participating ULB will nominate municipal staff and other local level service providers and stakeholders to participate in the SWM skill development program to be conducted by SM, as further described in the PIM.

Development of Regional Solid Waste Management Facilities

- 17. SM will identify Regional Facilities to be developed for treatment, processing and safe disposal of solid waste including municipal waste, construction & demolition waste and bio-medical waste, which would be able to service more

than one ULB (collectively the “**Interested ULBs**”) (collectively, the “**Regional Facilities**” and individually a “**Regional Facility**”) and shall develop and contribute to the financing of the Regional Facilities on behalf of and through delegation from the Interested ULBs.

18. To facilitate the coordination among Interested ULBs, the Participating ULB shall enter into an intermunicipal agreement for each of the Regional Facilities among all Interested ULBs, describing the cost sharing arrangements among the parties to the intermunicipal agreement, and pursuant to which:

- (a) The Participating ULB shall designate and authorize SM to coordinate amongst the Interested ULBs and implement the Regional Facility, in which the Participating ULB is one of the Interested ULBs; and
- (b) The Participating ULB shall grant SM’s responsibility over the implementation of the Regional Facility including planning, procurement of technical consultants, work contractors and operators, design, implementation, management and monitoring.

19. The Participating ULB shall support SM in its implementation of Regional Facilities in which the Participating ULB is one of the Interested ULBs, as follows:

- (a) the Participating ULB shall authorise the collection and transport of waste to such Regional Facilities as per the quantities agreed in the intermunicipal agreement;
- (b) the Participating ULB shall pay the tipping charges and/or other fees determined by SM through due process

and approved by GoK, for the services provided by Regional Facilities to the Participating ULB;

- (c) the Participating ULB shall abide by rules applicable to the participation in Regional Facilities, including the setting up of payment security mechanisms and the authorisation to assign grants for the participating ULB towards meeting the payment obligations of the Participating ULB.
- (d) The Participating ULB shall adhere to the terms and conditions of the intermunicipal agreement that will be signed amongst all Interested ULBs for Regional Facilities.

20. The Participating ULB shall, throughout the term of this Agreement:

- (a) implement all SWM related- policies that GoK may adopt for effective SWM or for the implementation of KSWMP (such as user charge policy, public private partnership policy, regional waste facilities policy, etc.);
- (b) implement the revisions to the GoK Annual Planning Guidelines of that promote multi-year plans for priority infrastructure and maximise allocation of resources for solid waste management; and
- (c) co-operation with and facilitate the activities of vendors and consultants appointed by SM to contribute to the implementation of the KSWMP.

21. This Agreement shall come into force upon its signature by the Party signing it last, and shall terminate on December 31,

2026, unless further extended or earlier terminated by signed written agreement between the Parties.

22. This Agreement shall not be amended, terminated or extended without prior written approval of GoK.

Signed by:

For the Participating ULB	For Suchitwa Mission
Name:	Name:
Signatory authorized by council	Project Director
Date:	Date:

Annexure 1: Council Resolution of the Participating ULB deciding to participate in KSWMP and execute and deliver the Participation Agreement

Annexure 2: KSWMP Project Implementation Manual

A 3.2 Institutional Responsibility Matrix



Responsibility
matrix.xlsx

The excel sheet will be attached separately for any reference with respect to the project activities.

A 3.3 Model Template for Terms of Reference for Project Management Consultant (PMC)

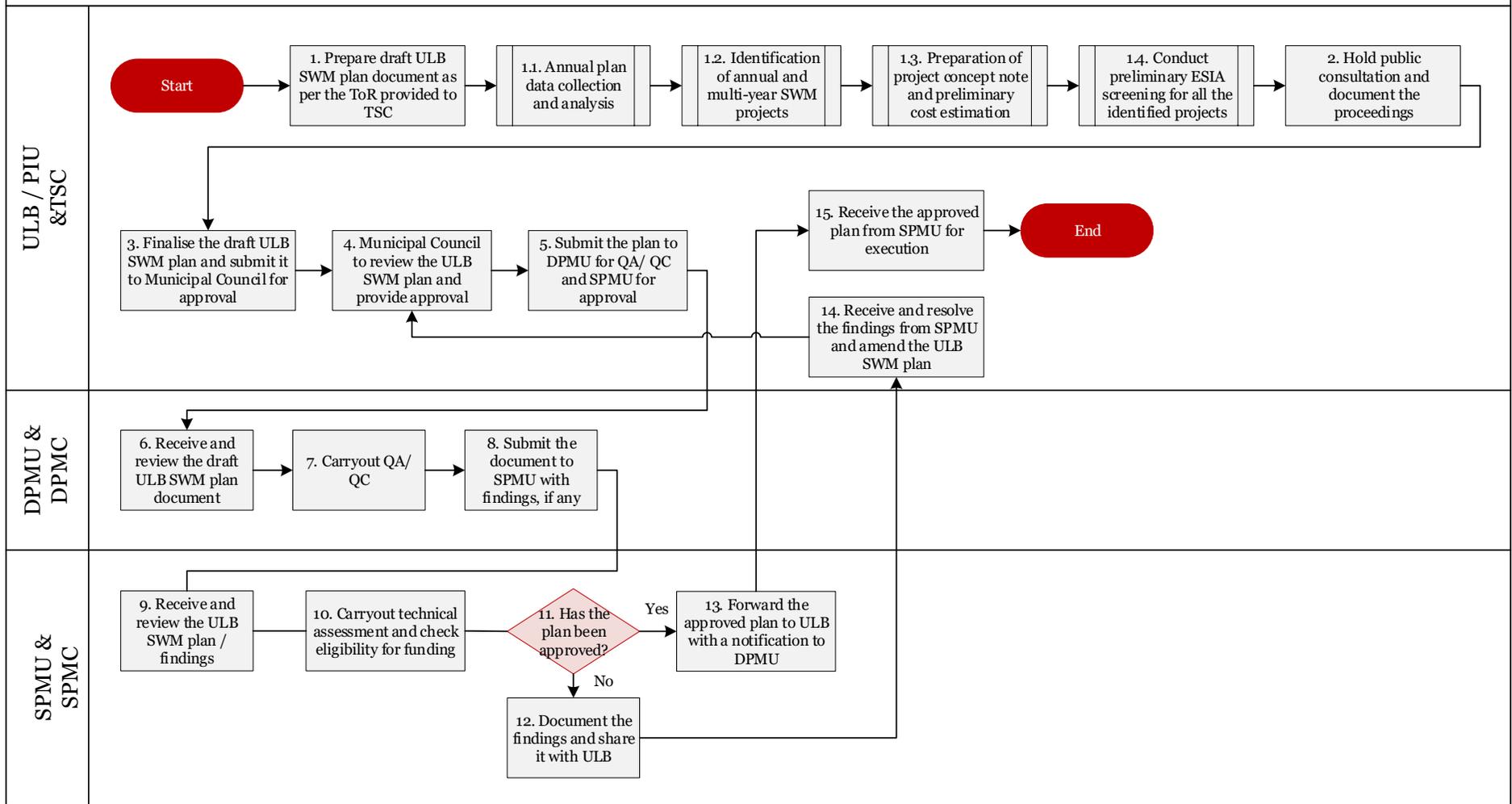
To be included

A 3.4 Model Template for Terms of Reference for Technical Support Consultant (TSC)

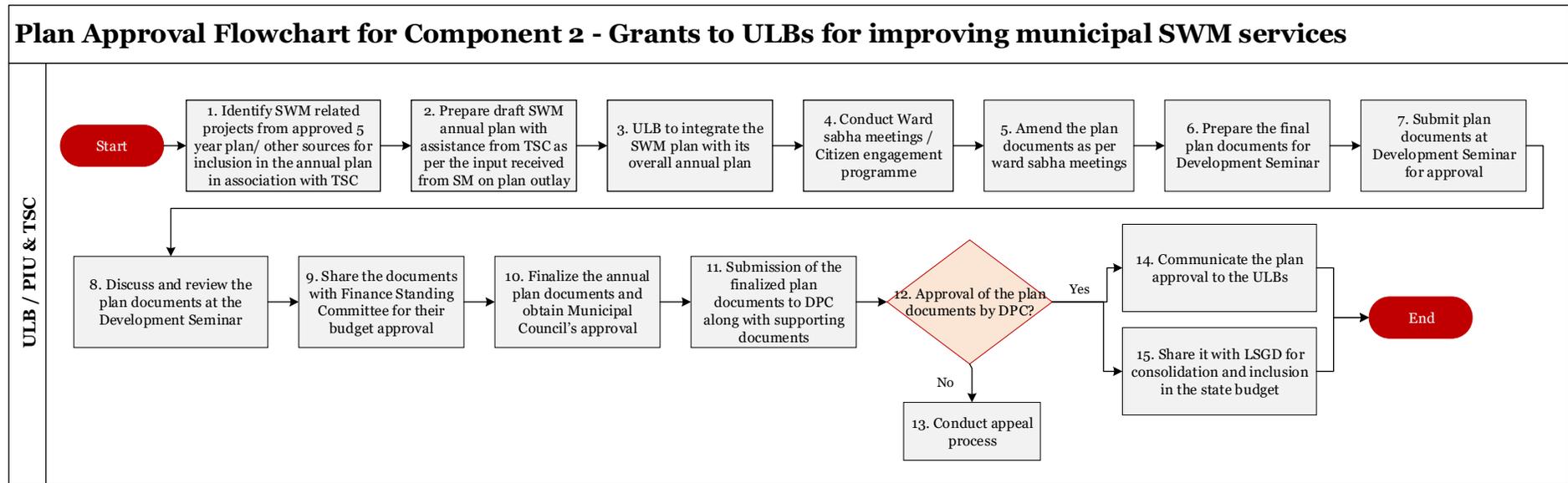
To be included

A 3.5 Flow Chart for SWM Plan (as referred to in section 3.5 (a) of the PIM)

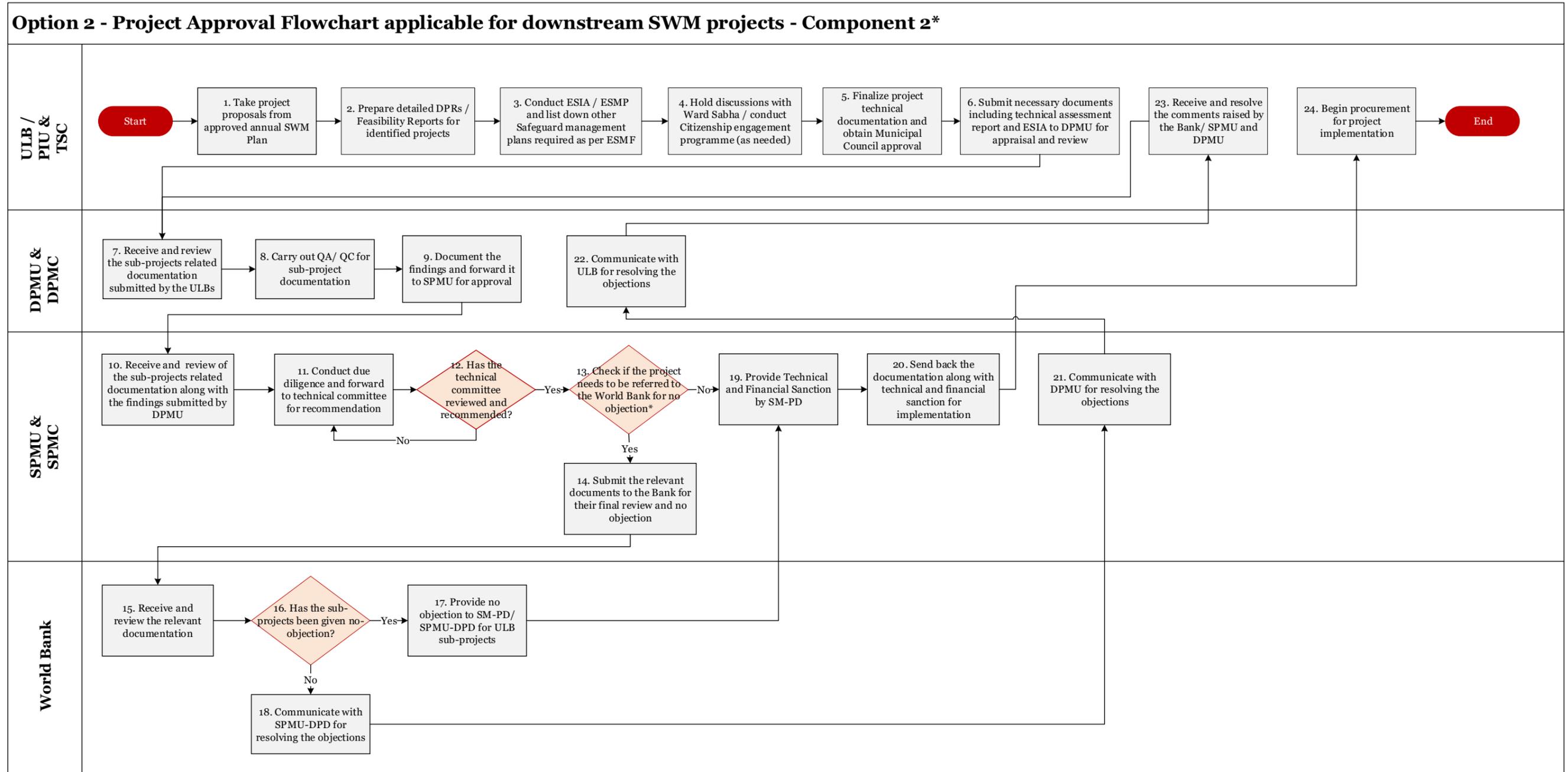
ULB SWM Plan Approval Flowchart for Component 2



A 3.6 Flow Chart for SWM Annual Plan (as referred to in section 3.5 (b) of the PIM)



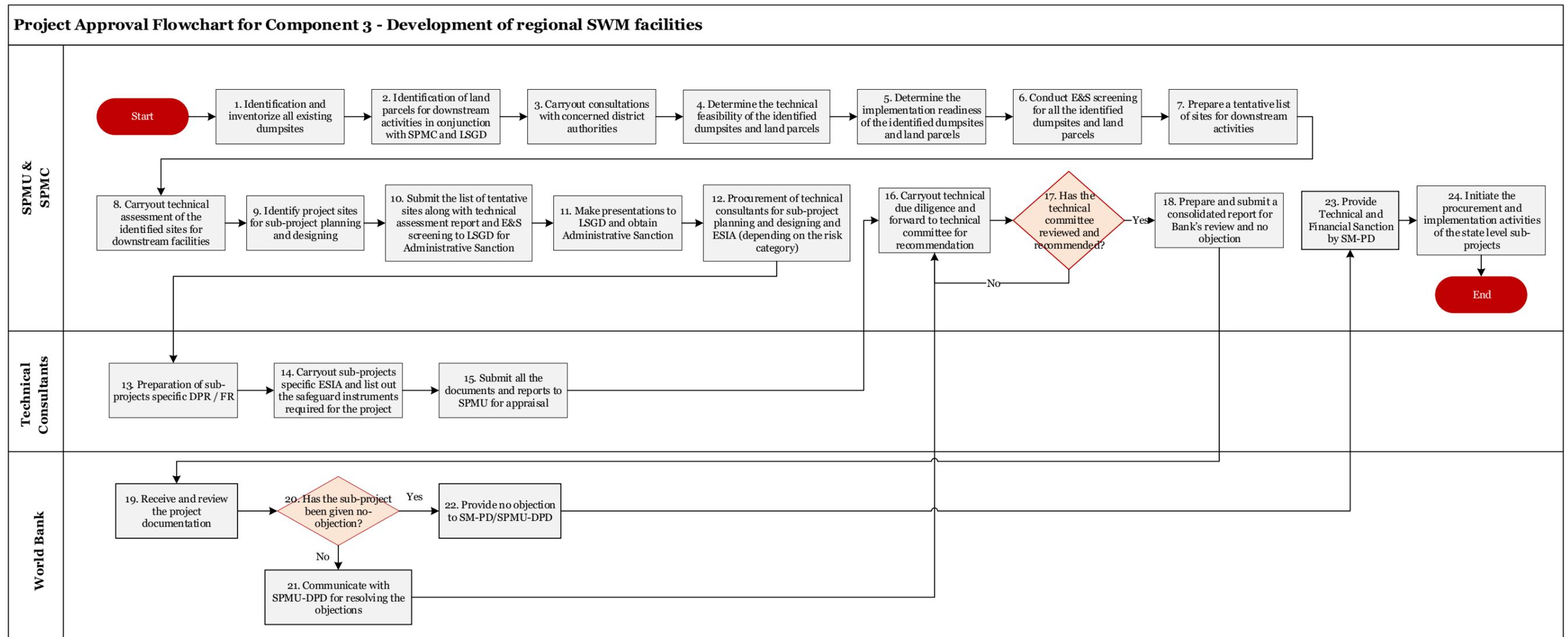
A 3.7 Project Process Flow and Approval flowchart for Component 2 sub-projects



* The process flow does not apply to procurement of bins, trucks or any equipment for SWM

* Refer Volume I - Section 3.7 of PIM, ESMF document and Volume II - Procurement Manual of the PIM

A 3.8 Project Process Flow and Approval flowchart for Component 3 sub-projects



* Refer Volume I - Section 3.7 of PIM, ESMF document and Volume II - Procurement Manual of the PIM

A 3.9 Scheme cycle for preparation, implementation and O&M of SWM plan, sub-projects and regional landfill

ULB level - Scheme Cycle for Preparation of SWMP; sub-project preparation, implementation and exit program: Social Management Actions
- Cumulative duration 17 months

	Output	Social Management Activities	Duration and Timeline	Implementation Responsibility	Data Source for the Project website
	UPDATED TDF - SMF and RPF	(i) Organise Free Prior Informed consultation in tribal habitations (ii) Organise stakeholder workshop and collect, analyse and incorporate the feedback from key stakeholders in TDF-SMF and RPF (iii) Conduct KIIs for building a baseline of generators and service providers in the sampled ULBs. (iii) Build a gender baseline of female workers in solid waste management in the ULBs; (iv) Update the TDF-SMF and RPF for re-disclosure	With 30 days of TSC mobilization		Mobile App - baseline , Record key feedback. Photo, numbers of participants, disaggregated data on social profile and women. Upload minutes of each FGD and Consultation through MIS
A	5 year Solid Waste Management Plan Preparation		3 months		
1	Interdisciplinary Cohesive team	(i) Workshop on orientation on broad contours of the project, implementation mechanism, roles and responsibilities, gender sensitization, for TSC and PMC. (ii) Workshop on Tribal Development Framework - Social Management Framework and Resettlement Policy Framework for TSC and PMC (iii) Skills on participatory planning	Within 15 days	SPMU – Social Development Specialist (SDS), Gender Specialist (GS) and Communication Specialist (CS)	Upload Proceedings with photographs on the two workshops
2	Awareness generated	(i) State-wide information dissemination on objectives and scope of the project – Electronic and print media and social media platforms Launch Broadcast	By end of 30 days	SMPU – CS and Public Information Centre	Upload FAQ brochure, reports with photographs, number of participants and disaggregated data on social profile and

	Output	Social Management Activities	Duration and Timeline	Implementation Responsibility	Data Source for the Project website
		Hoardings, Website, banners. (ii)ULB-wide information dissemination on objectives and scope of the project – Workshops (iii) Develop Brochure on FAQs on broad features of project, rules of engagement, roles and responsibilities of implementing partners, Grievance Management Mechanism, helpline services on GBV and distribute in workshops (demystification and clarifications)			women on each event
3	Orientation program conducted	(i) Information dissemination on meetings: location, time, contact persons – electronic and print media. (ii) Focus Group Discussion (FGD) at ULB to follow-up on information about the project, roles and responsibilities of implementing partners, duties and responsibilities of ULB members and beneficiaries; Grievance management Mechanism and GBV helpline services	By end of 45 days	SPMU – SDS, GS and CS TSC –CS and SDS	Upload all forms of announcement through MIS Mobile App -Record key feedback. Photo, numbers of participants, disaggregated data on social profile and women. Upload minutes of each FGD through MIS
4	Developed partnership with ULBs and citizens	(i) Workshop to disseminate information on Service benchmarks (ii) Workshop to educate benefits on source segregation plan (iii) Workshop to build awareness on proposed facilities (iv) Workshop to build awareness on development of disposal cells as interim disposal facilities	By end of 60 days	TSC –CS and SDS	Mobile App -Record key feedback. Photo, numbers of participants, disaggregated data on social profile and women. Upload minutes of each FGD through MIS
5		(i) FGDs with citizens to inform and prepare them on	By end of 60	SPMU – SDS, GS,	Mobile App -Record key

	Output	Social Management Activities	Duration and Timeline	Implementation Responsibility	Data Source for the Project website
		technology based systems of solid waste management (ii) FGDs with citizens to inform and prepare them of rules of engagement on S/W management and punitive measures	days	and CS TSC – CS and SDS	feedback. Photo, numbers of participants, disaggregated data on social profile and women. Upload minutes of each FGD through MIS
6	ULB indicates commitment	(i) Sign the by-laws and MoU	By end of 15 days	SPMU – SDS and Technical team	Upload the final document through MIS on Suchitwa Mission Website and ULB’s website
7	ULB level Solid waste Management Committee formed	(i) Number of councilors and women and scheduled caste, tribe and religion representation (ii) Workshop on orientation on roles and responsibilities	By end of 30 days	SPMU – SDS, GS, TSC – SDS and GS	Upload the final document through MIS on Suchitwa Mission Website and ULB’s website
8	Assessment of current practices of management of S/W	(i) FGD with ULB members and Committee to collate information on source segregation practices, number and nature of facilities, land available at each facility, number of labour employed directly or through Harita Karma Sena/Kudumbasree/contractor (disaggregated data)	By end of 45 days	SPMU – SDS, GS, TSC – SDS and GS and Labour welfare officer	Mobile App -Record key feedback. Photo, numbers of participants, disaggregated data on social profile and women. Upload minutes of each FGD and report through MIS
9	Prepared Draft Plan	(i) Workshop to share the report on current practices with ULB members; identification and location of sub-projects; land estimate for identified sub-project; budget. (ii) Draft Plan disclosed on ULB web-site for feedback to be submitted within 15 days of disclosure. (iii) Workshops organized for ULB committee	By end of 60 days	TSC – technical and multi-disciplinary team	Mobile App -Record key feedback. Photo, numbers of participants, disaggregated data on social profile and women. Upload minutes of each FGD and report through MIS

	Output	Social Management Activities	Duration and Timeline	Implementation Responsibility	Data Source for the Project website
		members disseminate information on draft Plan in their respective wards for feedback			
10	Finalised Plan	(i) Address the feedback to the extent feasible and finalize the plan and redisclose	By end of 85 days	TSC – Technical team	Upload the final 5 year SWMP Plan on ULB websites
11	Capacity Building of Interdisciplinary project team and ULB members.	(i) Training Need Assessment and (ii) Training Calendar on TDF-SMF and RPF for implementing partners	By end of 45 days	SPMU – SDS, GS, and CS	Upload the report and training Calendar through MIS
12	GRM system implemented	(i) Set up the GRM system – toll-free number with detailed backend system and augment the web-based system	By end of 75 days	SPMU - SDS	MIS to integrate system for data collated at one source.
14	Systematizing annual cleanliness surveys and disclosing the results publicly – Annual exercise			SPMU – technical team	Upload annual report through the MIS.
B	Pre-Planning Phase: Prioritization of Sub-Projects		1 Month		

	Output	Social Management Activities	Duration and Timeline	Implementation Responsibility	Data Source for the Project website
1	Information disseminated of sub-projects included in the 5 Year SWM Plan	<ul style="list-style-type: none"> (i) Awareness generation on project's goal, (ii) Awareness building of roles and responsibilities of implementing partners and obligation of the community. (iii) Awareness on GRM (iv) Free Prior Informed Consultation with Tribal on project. (v) Distribute pamphlets on the list of sub-projects included in SMM Plan, roles and responsibilities and GRM systems. (vi) Focus Group discussion carried out with different social groups of generators on awareness to select sub-projects; inform about the exclusion criteria; 	15 days	TSC – Social Development Specialist (SDS) and Communication Specialist (CS)	Mobile App - Record key feedback. Photo, numbers of participants disaggregated data. Upload minutes of each FGD through MIS
2	Prioritized Sub-Projects	<ul style="list-style-type: none"> (i) Apply screening criteria to sub-projects (Social and Tribal Screening Format: data on vulnerable groups including women, informal workers and tribal communities) (ii) Collect data on status of land – use and ownership – identified for prioritized sub-projects (iii) Map stakeholders – generators and service providers (iv) FGDs with social groups to inform stakeholders on prioritized list. (v) Display the list of prioritized sub-projects in ULB offices, GRM system and helpline for GBV. 	Second quarter	TSC – SDS with field facilitator	Upload the screening report and data on land through MIS Mobile App - Record key feedback. Photo, numbers of participants disaggregated data. Mobile App – upload photographs of the prioritized sub-projects.
3	Required action	<ul style="list-style-type: none"> (i) FGD on orientation on participatory planning 	Second	TSC – multi-	Upload report through MIS

	Output	Social Management Activities	Duration and Timeline	Implementation Responsibility	Data Source for the Project website
	plans identified	(ii) Tribal Development Plan (iii) Livelihood Action Plan for adversely affected people and business development plan for service providers (iv) Labour influx Management Plan (v) Preventive gender based violence (vi) Host community management Plan	quarter	disciplinary team SDS, Gender Specialist (GS), Livelihood Specialist (LS), and Labour welfare specialist.	
2	Behaviour Change programs initiated	(i) FGDs to identify waste generators – low, medium, high. (ii) FGD to identify good practices of waste management at source (iii) FGD to identify culturally compatible tools of communication (iv) Categorise waste generators as low, medium, high	By end of the month	TSC – Communication Specialist (CS)	Record key feedback. Photo, numbers of participants disaggregated data. Upload report on categorization of waste generators through MIS
C 1	Planning for prioritized sub-projects – develop action plans to include in DPR		3 Months		
1.1	Baseline Surveys completed	(i) Baseline ¹ survey of beneficiaries (generator and service provider) of the selected sub-project (ii) Baseline ² survey of host population at the location of sub-project (iii) Baseline of labour for each sub-project	By end of 30 days	TSC – SDS,GS and LS	Mobile App – upload survey data and photograph
1.2	Consultation	(i) Training on plan preparation	By end of 40	TSC – SD, GS; LS	Mobile App – Record key

¹Socio-Economic; skill mapping and livelihood mapping of including of service provider - Rag pickers, Kudumbasree Workers, Women Workers. Socio-economic of generators of HH and Institutions.

²Social profile of host population

	Output	Social Management Activities	Duration and Timeline	Implementation Responsibility	Data Source for the Project website
	with target groups initiated	(ii) FGD with target group to develop identified action plans (iii) Reinforce information about the goal of the project and GRM system and help line services for GBV	days	and Labour welfare specialist	feedback. Photo, numbers of participants disaggregated data. Upload minutes of each FGD through MIS
1.3	Training plans prepared	(i) TNA - Finalise training plan for skill development, gender sensitization, behavior change for management of waste, technical training for management of waste, labour management, (ii) Finalise resource people to deliver training (iii) Social management Training Calendar Uploaded in CB module	By end of 40 days	TSC - GS; SDS, Labour welfare specialist, CS; LS;	Upload report through MIS
1.4	Prepared Draft Action Plan including budget for identified actions	(i) tribal development action plan (ii) Livelihood Action Plan for adversely affected people and Business development plan for service providers for performance based contracts. (iii) Labour Influx management Plan ³ (iv) Preventive gender- based violence hotspots, resource group to address GBV	By end of 60 days	TSC – SDS, GS, LS and Labour welfare specialist	Upload draft report through MIS
1.5	Consultation on draft action plan undertaken	(i) Provide information on draft action plan to the target group (ii) FGD with each target group on action plan	By end of 75 days	TSC – SDS, GS; LS and Labour welfare specialist	Mobile App – Record key feedback. Photo, numbers of participants disaggregated data. Upload minutes of each FGD through MIS
1.6	Finalised draft Action Plan and	(i) Provide information on draft action plan to the target group	By end of 85 days	TSC – SDS, GS, LS and Labour	Mobile App – Record key feedback. Photo, numbers of

³ Collect data on host community where more than 10 labour is employed for sub-project and prepare a plan (refer tool)

	Output	Social Management Activities	Duration and Timeline	Implementation Responsibility	Data Source for the Project website
	budget included in DPR	(ii) FGD with each target group on action plan, endorsement of plans and service provider to sign performance based contracts and (iii) Reinforce information on GRM and GBV helpline service and service providers.		welfare specialist	participants disaggregated data. Upload minutes of each FGD through MIS. Upload final action plans
C2	Planning for Behaviour Communication and change				
2.1	Action plan including budget for BCC	(i) Identify and list motivational activities for high and moderate waste generators. (ii) List medium of communication for different social group	End of 30 days	TSC – CS	Upload the plan through MIS
2.2	at HH level	(i) Plan for exposure visit to good practices	End of 45 days	TSC – CS	Upload the plan through MIS
2.3	included in DPR	(i) FGDs to map motivators from community	End of 60 days	TSC – SDS	Mobile App – Record key feedback. Photo, numbers of participants disaggregated data. Upload minutes of each FGD through MIS.
3.4		(i) Finalise action plan and submit to Agency to prepare communication material for BCC	End of 80 days	TSC – CS SDS, GS	Upload the plan through MIS
D	Implementation phase: Action Plans		6 Months		
1	Livelihood for affected people and Entrepreneurial activities for service provider initiated	(i) Organize Skill upgradation training (ii) Disburse entitlements as per plan (ii) Establish credit linkage (iii) Establish market linkages (iv) Establish linkages with Government Programs (v) Reinforce information on the GRM and GBV	By end of 30 days	TSC – LS and GS	Mobile app – record all types of skill development training, photographs, key feedback and upload feedback report from participants through MIS. Upload report on credit secured with documents through MIS

	Output	Social Management Activities	Duration and Timeline	Implementation Responsibility	Data Source for the Project website
					Upload report on trading or sale of products through MIS
2		(i) Assess the maturity of the activity	By end of 120 days	TSC – LS and GS	Upload assessment report
3.		(i) develop action plan for sustainability of activity (ii) Implement sustainability plan	By end of 170 days month 6	TSC – LS and GS	Upload sustainability report
4	Activities of Tribal Development Plan initiated	(i) FGD to inform tribal about the time line to implement the plan (ii) Support implementation of activities approved by tribal community	Throughout the six month period	TSC – SDS, CS, LS, GS	Mobile App – Record key feedback. Photo, numbers of participants disaggregated data. Upload minutes of each FGD through MIS. Upload monthly progress report through MIS
5	Preventive Gender BV Action Plan implemented	(i) Gender sensitization program with all implementing partners and beneficiaries (ii) Display information on Internal Complaint Committee in ULB (iii) Distribute Brochures on ICC, service providers, and helpline service	By end 60 days	TSC – GS and SDS	Mobile App - Record key feedback. Photo, numbers of participants disaggregated data. Upload minutes of each program through MIS. Upload pictures of displayed information
6	Labour Influx management Plan	(i) Orientation program on code of conduct for labour (ii) Disseminate information to host population on labour. (iii) Implement mitigation measures (iv) Disseminate information on GRM to labour	Throughout the six month period	TSC – labour welfare officer and SDS	Mobile App - Record key feedback. Photo, numbers of participants disaggregated data. Upload minutes of each program through MIS.

	Output	Social Management Activities	Duration and Timeline	Implementation Responsibility	Data Source for the Project website
7	Host Community Management Plan implemented	(i) FGDs with host community to inform them on the nature of activity, duration of activity, and start and finish date of activities (ii) Provide brochures on GRM, service provider for GBV. (iv) Orientation program on gender sensitization (v) Any other infrastructure/ facilities/ utilities for host communities	Throughout the six month period	TSC – SDS, GS	Mobile App - Record key feedback. Photo, numbers of participants disaggregated data. Upload minutes of each program through MIS.
8	Behavior Communication Change	(i) Coordinate technical skill on waste management at source. (ii) Organize street programs to facilitate community leaders every two months (iii) Organise events to facilitate those adopted good practice to management of waste at source every month (iv) Organise refresher training every two months	Throughout the 6 month period	TSC –CS	Mobile App - Record key feedback. Photo, numbers of participants disaggregated data. Upload minutes of each program through MIS.
9	Exit Strategy formalised	(i) Develop a draft strategy to inform the beneficiaries (generators, service providers, host and labour) (ii) FGDs with beneficiaries for feedback on each sub-project and action plan to finalize the exit strategy	By end of 120 days	TSC - SDS	Upload the draft strategy through MIS
10	Social Audit conducted	(i) Select and commission a Social Audit Agency (ii) Organise Ward level Meetings and FGDs to implement the social audit tool (ii) Analyse inclusion across social profile, gender – voice, agency, resource, participation, transparency, accountability, effectiveness of grievance management, livelihood management, partnership	By end of 150 days	Third party	Mobile App - - Record key feedback. Photo, numbers of participants disaggregated data. Upload minutes of each program through MIS

	Output	Social Management Activities	Duration and Timeline	Implementation Responsibility	Data Source for the Project website
		with host population (iii) Organise meetings with ULBs and implementing partners to share findings. (iv) Organise workshop to agree on agreed action. (v) Disclose Social Audit Findings on ULB website			
E	Post Implementation Monitoring and Exit		4 Months		
1	Implementation of social audit agreed action	(i) Review the progress of implementation of agreed action	By end of 60 days	Third party	Internal Monitoring report to be uploaded through MIS
2	Display progress of implementation of action plans	(ii) Display score card on a scale of 1-10 of the performance of action plans on ULB website and public domain (iii) Disseminate information of good practices through street programs	By end of 80 days	TSC – CS and SDS	Mobile App – photographs of events, numbers of participants with disaggregated data. Upload reports on the program through MIS
3	Social Audit	(i) Follow-up on the action plan (ii) Organise workshop on findings from the social audit (iii) final report uploaded on ULB’s website	By end of 100 days	Third party	Uploads reports through MIS.
4	Implement the exit strategy	(i) Distribute brochure on exit strategy; (ii) FGDs to inform the community using different media tools on date of withdrawal from the project area	By end of 100 days	TSC – Multi-disciplinary team	Mobile App – photographs of events, numbers of participants with disaggregated data. Upload reports on the program through MIS

REGIONAL LANDFILLS (NEW): SOCIAL MANAGEMENT SCHEME CYCLE					
S.No	Output	Social Management Activity	Timelines	Data Source	Responsibility

A					
Planning Phase 3 months					
1.	Communication campaign initiated	(i) Identify host settlements along the sub-project (ii) Identify ULBs utilising the sub-project (iii) Information dissemination on regional land fill, the agreements, technical information, source of waste generated for the destination, roles and responsibilities, duties and obligations, grievance management- use electronic and print media, workshops.	01 month	Upload report from secondary data and reports from workshops	SPMU – Communication Specialist (CS), Social Development Specialist (SDS) and Technical experts
	Selection of site finalised	(i) Apply the screening criteria to exclude areas near tribal habitations; (ii) Minimize adverse impacts	By end of 30 days of month 3	Upload reports through MIS.	SMPU - SDS
2	Initiated Step one for partnership development with host community	(i) Disseminate information on the technical design of the regional landfill through models, electronic media (iii) Focus group discussion at host settlement to identify resistance and cause of resistance to the regional landfill. (iv) Preliminary need assessment of host population	By end of 60 days of month 3	Upload reports through MIS. Mobile App - Record key feedback. Photo, numbers of participants, disaggregated data on social profile and women. Upload minutes of each FGD through MIS	SPMU – CS and SDS

3	Land requirement finalised	(i) Assess utilization and ownership of land identified for regional landfill	0-2 months	Report to upload through MIS system	SPMU – SDS
4		(i) Identification of private land parcels for acquisition under Right to fair compensation and land acquisition and resettlement and rehabilitation Act 2013 (RFCTLARR Act)	0-3 months	Report to upload through MIS system	SPMU – SDS
5		(i) Submit proposal for Land acquisition	By end of month 3	Upload the proposal through MIS system	SPMU – SDS
Design Phase – 7 months					
1	Assessed adverse impact	(i) Identify any HH dependent on government land identified for land fill (ii) Identify all HH lose livelihood	By end of 30 days of month 6	Mobile App – record baseline; photographs of affected HH and upload report through MIS	SPMU – SDS
2	Land Acquisition initiated	(i) Coordinate with Revenue Department to complete the acquisition of land. (ii) Review the SIA report.	By end of 6 month	Upload data on the RFCTLAR&R e-Tool	SPMU – SDS
3	Actions on Land Transfer finalised	(i) Coordinate with relevant line department to transfer the land	By end of 6 month	Upload monthly progress report	SPMU – SDS

4	Encumbrance free land provided	(i) Submit the details of encumbrance free land to the technical design team	By end of 7 month	Upload the report through MIS	SPMU - SDS
5	Step two for partnership development with host community	(i) Information dissemination on the final design of the Land fill – electronic and print media, (ii) FGDs with host community, brochures. (iii) Meeting once in two months in host settlement (iv) Finalise investment plans	By end of 150 days of month 7	Upload reports of campaign Mobile App – record consultation; photographs participants with disaggregated data on social profile and women and upload report through MIS	SMPU – CS and SDS
6	Labour Influx management plan prepared	(i) Assess the source of labour and number of labour to be employed (ii) Assess the likely impact on host community (iii) Develop an indicative labour influx management plan	By end of 140 days of month 7	Upload reports	SPMU - SDS
Implementation Phase - 5					
1.	Livelihood restoration of affected people initiated	Coordinate with TSC to implement the livelihood restoration program for the project affected people	On-going	Upload report on livelihood restoration program	SPMU - SDS

2.	Last step of partnership development with host community	(i) Display information on progress of works at each host village (ii) Monthly meeting with host population (iii) Implementation and monitoring of report	On-going	Upload report on livelihood restoration program	SPMU – SDS and CS
3.	Capacity building on labour management completed	Training of Contractors on Labour laws	Within one month of mobilisation of contractor	Upload report through MIS	SPMU – SDS
4.	Progress reported on implementation of Labour influx management plan	Monitor implementation of labour influx management plan	For the entire contract period	Upload reports through MIS	SPMU – SDS

A 3.10 G.O for technical sanction of SWM projects of LSGIs

ADDITIONAL AGENDA		
Addn. Item	Issuance of Technical Sanction for waste management projects of LSGIs	
No. 1	Resolved to streamline the process of issuance of Technical Sanction to Waste management projects taken up by the LSGIs earmarking <i>Development Fund, Other grants, State Sponsored Funds, Central Sponsored Funds, CSR Funds etc</i> under annual plan as mentioned below;	
Decision		
	Sl. No	Project Category
	I	<p>Projects for Solid Waste Management facilities at Source with approved unit cost <i>Projects involving procurement of Household leve/Small Units- Solid Waste Management plants with approved unit cost (Eg:- various Composting Units, Portable Biogas plants etc.)</i></p>
		TS issuing authority
		<p>For projects involving financial support from Plan fund of Suchitwa Mission</p> <p>i. Project cost up to 20 Lakhs- District Suchitwa Mission</p> <p>ii. Project cost above 20 Lakhs - State Suchitwa Mission</p> <p>For project which doesn't involve financial support from Plan fund of Suchitwa Mission</p> <p>All projects (including centrally sponsored schemes) – District Suchitwa Mission</p>

	II	<p>Projects for common solid waste treatment facilities and infrastructure</p> <p>a.) Projects for Solid Waste which require technical expertise such as <i>Dumpsite reclamation/ remediation, Setting up of Sanitary landfill facilities, construction up-gradation and modification of Centralized Bio-degradable Waste Treatment plants such as Composting Plants and Biomethanation Plants (With or without energy production),anyprojects which doesn't have Government/ Suchitwa Mission approved specification or standards</i></p>	All projects – State Suchitwa Mission
		<p>b.) Projects for solid waste management which are purely civil construction innature like <i>setting up Material Collection Facility (MCF), Resource Recovery Facility (RRF) and Plastic Shredding/Recycling units including machineries, Decentralized ((Institutional/Community level) Bio-degradable Waste Treatment plants such as Composting Units,Bio-methanation/ Biogas Plants</i></p>	<p>i. Projects involving civil construction only - LSGD Engineering wing as per prevailing norms of TS</p> <p>ii. Projects involving mechanical/ electrical works such as Plastic Shredding/Recycling etc – District Level Technical Committee convened by LSGD Engineering Wing including members from Suchitwa Mission, PWD Mechanical/ Electrical Wing, Kerala State Pollution Control Board</p>
	III	<p>Projects for Liquid waste management</p> <p><i>Projects for setting up Effluent/Sewage Treatment Plants in Markets, Hospitals, Slaughter Houses, and other institutions, Community level Waste Water Treatment Plants(without sewerage system),</i></p>	State Suchitwa Mission –All projects

	<i>Package Septage Treatment Plants</i>	
IV	Projects for Construction/Modernization of Crematoriums	<ul style="list-style-type: none"> i. Projects involving civil construction only - LSGD Engineering wing as per prevailing norms of TS ii. Projects involving mechanical/ electrical works – State Level/District Level Technical Committee convened by LSGD Engineering Wing formed at respective TS powers including members from, Suchitwa Mission, PWD Mechanical/ Electrical Wing, Kerala State Pollution Control Board
V	Projects for Construction/Modernization of Slaughter Houses, Setting up of Slaughter waste rendering plants etc	<ul style="list-style-type: none"> i. Projects already obtained sanctioned/ approval – State Suchitwa Mission ii. KIIFB Projects – IMPACT Kerala
<p>Suchitwa Mission shall be responsible for preparing technical details/guidelines, specifications, model estimates, designs, unit costs for waste management devices/systems forming part of waste management projects.</p> <p>Technical sanctions shall be issued by the respective authorities mentioned in the above table based on each category of projects undertaken in waste management sector by the LSGIs.</p> <p>It is also decided to issue Technical Sanction to the projects undertaken by the Government Department institutions which are not handed over to LSGIs as the procedure detailed above.</p>		

Chapter 4. Technical Assistance and Capacity Building

A 4.1 Training Needs Assessment

Survey Plan

While conducting surveys for training needs assessment, the surveyors shall attach a survey plan to the formal survey letter for interviewees.

- It outlines how and to whom to administer survey.
- It contains the considerations involved with administering the survey.
- It describes the relevant groups to which this survey is being administered.
- It includes
 - Background
 - Objectives

- Schedule
- Survey team
- Methodology (data collection & analysis)

The document provides an understanding to the interviewees regarding the objectives, purpose and desired outcomes of the survey in connection with the training need assessment.

Survey Methods

Data collection and analysis are essential parts of needs assessment, the survey methods describe the methods for conducting the surveys. The following table describes the various survey methods and when to use each method of survey.

Table 1: Modes of survey

Method	Concept	When to use
Structured Interview	<ul style="list-style-type: none"> • Quantitative research method • Each interviewee is presented with the same questions • The choice of answers to the questions is often fixed (close-ended) In advance • Open ended questions can also be included 	When there is same fixed set of inputs required from comparably larger number of respondents
Semi-Structured Interview	<ul style="list-style-type: none"> • More general questions or topics can be asked • New questions can be brought up during the interview 	When you know little about the topic or area When the training is about something complicated

Method	Concept	When to use
Observation	<ul style="list-style-type: none"> • Observations of working environment • Observations of performance of personnel 	
Questionnaire Survey*	<ul style="list-style-type: none"> • A survey instruments • Series of fixed questions can be asked • This helps to statistically analyse the responses 	Have to know much about your topic first Combine with other processes to encourage response
Focus Group Discussion	<ul style="list-style-type: none"> • Qualitative research method to obtain in depth information or ideas • With a relatively small meetings convened for specific purpose • Free & spontaneous talk 	When the training is impacted by team work when there is not much time for other methods
Workshop	<ul style="list-style-type: none"> • An Educational seminar or series of meetings emphasizing interaction and exchanged of information • Discussion on verification of identified staff training needs 	

Sampling Methods:

Sampling methods helps to understand the filtering process getting the relevant groups as interviewee. The following table describes the generally used sampling methods.

Method	Concept
Random Sampling	<ul style="list-style-type: none"> • Form of probability sampling • Each member of population has an equal and know chance of getting selected • In case of very large population, it is difficult or impossible to identify every member
Systematic Sampling	<ul style="list-style-type: none"> • Used instead of random sampling • After the required sample size has been calculated, every Nth Record is selected from a list of the target population on members

Method	Concept
	<ul style="list-style-type: none"> The advantage of this method is simplicity
Stratified Sampling	<ul style="list-style-type: none"> Commonly used and preferred over random sampling because it reduced sampling error A stratum is a subset of the population that shares at least one common characteristic The surveyors identify the relevant stratum

The following table provides indicative sample selection criteria for conducting interviews for the KSMWP training needs assessment.

Category	Selection criteria	Number of Samples
1. ULB staff	<ul style="list-style-type: none"> Samples separately from Corporations and Municipalities Samples from all cadres and departments 	15% of the total staff
2. Elected Representatives in ULBs	<ul style="list-style-type: none"> Representatives of all committees to be considered Representations from various political background to be considered 	15 % of the total representatives
3. Staff of Govt Departments	<ul style="list-style-type: none"> Samples from all relevant departments and selected designations 	15% of the total relevant staff
4. TA providers/ Specialised Agencies/Experts	<ul style="list-style-type: none"> TA providers – at least 7 district TA consultants Specialised Agencies in the state and national level agencies (with Kerala context experience) Experts – State Level/ National Level 	15% At least 10% agencies in the state At least 3 national level agencies At least 5 State level experts At least 2 National level Experts
5. Private sector/ NGO	<ul style="list-style-type: none"> Private sector service providers in local bodies Representations from all districts 	At least 10 % representation
6. C&T staff	<ul style="list-style-type: none"> Representations from HKS, Kudumbasree and other SHGs Representations from all districts Representations from dropped out staff 	At least 15% of the total engaged staff

In addition to the interviews, online based surveys and feedback system will be used to seek opinion on training needs and current training status from all the local body level/government department staff (probable trainees).

Creating a Questionnaire

- Consider the type, content, wording, and order of the questions
- Two types of Questions can be asked
 - Closed-ended questions: It limits respondents' answers to the survey
 - By either a pre-existing set of dichotomous answers, such as yes/no
 - Multiple choice with an option
 - Ranking scale questions is called the scale question
 - Open ended questions: Respondents are encouraged to explain their answers and reactions to the question with a sentence, a paragraph, or even a page or more, depending on the survey.

Indicative Data Collection Areas

The following paragraphs provides the indicative⁴ list of details to be collected during TNA surveys/interactions. For each of the listed aspects, questions may be either closed ended or open ended based on the nature of response desired.

PART 1 : General Questions

⁴ The list is not exhaustive and shall be modified to suit the nature of jobs/interviewee/department etc.

1. Age group
2. Experience with the organization/overall experience
3. Designation
4. Awareness about the TNA program

PART 2: SWM Related Questions

1. Rate the SWM practices in the ULB
2. What are the merits/demerits of the current SWM system
3. Reasons for inefficient SWM system (list reasons to pick from)
4. Reasons for efficient SWM system (list reasons to pick from)

PART 3: TNA related Aspects

1. Review of original job description – availability of written job descriptions, review of PMS reports, interaction with ULB heads and elected officials etc.
2. Review of current qualifications
3. Details of mandatory trainings received
 - a. Frequency of training
 - b. Number of mandatory trainings
 - c. Mode of trainings
 - d. Topics of training
 - e. Nature of training assessments/certifications – verbal feedback, written tests, no feedback etc.
 - f. Nature of trainers of current trainings
4. Details of optional training
 - a. Availability of optional training
 - b. Mode of request for optional training
 - c. Frequency of optional trainings
 - d. Preferred areas for optional trainings
5. Barriers in conducting trainings (list reasons like no management initiation, lack of funds, willingness of trainees, availability of experts etc.)

6. Drivers of conducting training (career opportunity, linked bonuses/incentives, growth of organization, efficient job delivery etc.)
7. Mode of evaluation of training efficacy by the organization
8. Current mode of training needs assessment (list survey, interactions, individual requests, performance review appraisal etc.)
9. Required competencies for the assigned role (list technical know-how, managerial skills, interpersonal skills, behavior skills, innovation skills, communication skills, marketing skills etc.)
10. Possession of required competencies (Rate above skills as poor/fair, average/good/excellent)
11. Suggest desired trainings and preferred mode of trainings

A 4.2 Social Management Related Training

The broad contours of capacity building requirements under social management can be summarised into categories, themes and target group/participants:

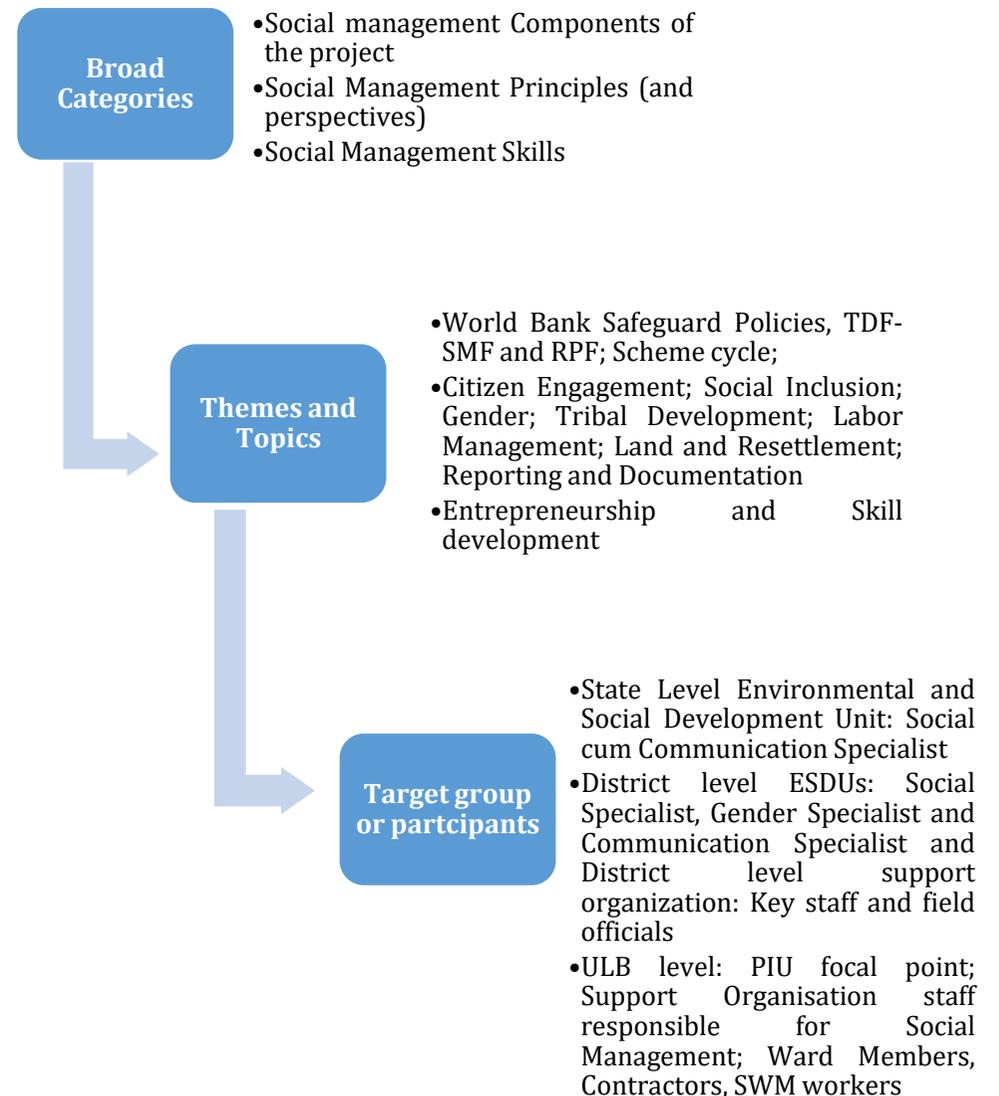


Figure 1: Broad contours of capacity building requirements

Phase-wise capacity requirements

Table 2: Phase-wise Capacity Requirements

Phase	Capacities required
Pre-planning	<ul style="list-style-type: none"> • Social Management Principles and themes • Social Safeguards • Social Baseline
Planning	<ul style="list-style-type: none"> • Participatory Planning <ul style="list-style-type: none"> ○ Facilitation of meetings ○ Effective Communication ○ Use of data for developing inclusive plans • Social Inclusion (inclusion of marginal and women’s voices in the plan) • Gender responsive budgeting and Actions • Labour Management • Leadership Development • Develop Grievance Redressal (including GBV response) • Develop Social Audit Toolkit • Process Documentation
Implementation	<ul style="list-style-type: none"> • Process of decision making and information sharing for transparency • Transparency in decision making & information sharing • Conflict resolution • Strengthening leadership at local level • Importance of community monitoring • Tools for community monitoring & its facilitation • Conducting community monitoring and following up on social issues emerging from the process • Oversee Grievances Redressal Mechanisms (including GBV response) • Administer Social Audit • Labour rights, security and opportunities • Documentation, success stories, lessons • Entrepreneurship and Skill development

Phase	Capacities required
O&M	<ul style="list-style-type: none">• Closing the feedback loop• Mentorship for site specific support• Peer learning to upscale or replicate good practices• Virtual engagements• Support for entrepreneurship and hands on support for application of skills trainings received

Chapter 5. - IEC and Awareness Generation

No annexures

Chapter 6. - Management system for incentive grants to ULBs

A 6.1 Grant Allocation Ceiling for ULBs

S. No.	District	ULB	Status	2011 Population	2021 Projections	Share of the ULB in Component 2 outlay based on 2011 Census Population			
						in Fund available to all ULBs	in earmarked Fund for municipalities only	in Overall outlay for Component 2	Rs Crores
						80%	20%		
1	Thiruvananthapuram	Thiruvananthapuram	MC	968990	1012595	12.71%	0.00%	10.2%	114.2
2	Kozhikkode	Kozhikkode	MC	609224	636640	7.99%	0.00%	6.4%	71.8
3	Ernakulam	Kochi	MC	602046	629139	7.89%	0.00%	6.3%	70.9
4	Kollam	Kollam	MC	388288	405761	5.09%	0.00%	4.1%	45.7
5	Thrissur	Thrissur	MC	315957	330176	4.14%	0.00%	3.3%	37.2
6	Kannur	Kannur	MC	232486	242948	3.05%	0.00%	2.4%	27.4
7	Alappuzha	Alappuzha	M	180856	188995	2.37%	4.01%	2.7%	30.3
8	Alappuzha	Chengannur	M	23456	24512	0.31%	0.52%	0.4%	3.9
9	Alappuzha	Cherthala	M	45827	47890	0.60%	1.02%	0.7%	7.7
10	Alappuzha	Harippad	M	30977	32371	0.41%	0.69%	0.5%	5.2
11	Alappuzha	Kayamkulam	M	68634	71723	0.90%	1.52%	1.0%	11.5
12	Alappuzha	Mavelikkara	M	27556	28797	0.36%	0.61%	0.4%	4.6
13	Ernakulam	Aluva	M	22428	23438	0.29%	0.50%	0.3%	3.8
14	Ernakulam	Angamali	M	33391	34894	0.44%	0.74%	0.5%	5.6
15	Ernakulam	Eloor	M	25297	26436	0.33%	0.56%	0.4%	4.2
16	Ernakulam	Kalamasserry	M	71038	74235	0.93%	1.58%	1.1%	11.9
17	Ernakulam	Koothattukulam	M	17253	18030	0.23%	0.38%	0.3%	2.9
18	Ernakulam	Kothamangalam	M	38837	40585	0.51%	0.86%	0.6%	6.5

S. No.	District	ULB	Status	2011 Population	2021 Projections	Share of the ULB in Component 2 outlay based on 2011 Census Population				
						in Fund available to all ULBs	in earmarked municipalities only	Fund for	in Overall outlay for Component 2	Rs Crores
						80%	20%			
19	Ernakulam	Maradu	M	44704	46716	0.59%	0.99%	0.7%	7.5	
20	Ernakulam	Muvattupuzha	M	30397	31765	0.40%	0.67%	0.5%	5.1	
21	Ernakulam	North Paravur	M	31493	32911	0.41%	0.70%	0.5%	5.3	
22	Ernakulam	Perumbavoor	M	28105	29370	0.37%	0.62%	0.4%	4.7	
23	Ernakulam	Piravom	M	29105	30415	0.38%	0.65%	0.4%	4.9	
24	Ernakulam	Thrikkakara	M	65984	68954	0.87%	1.46%	1.0%	11.1	
25	Ernakulam	Thripunnithura	M	92522	96686	1.21%	2.05%	1.4%	15.5	
26	Idukki	Kattappana	M	42646	44566	0.56%	0.95%	0.6%	7.1	
27	Idukki	Thodupuzha	M	52025	54367	0.68%	1.15%	0.8%	8.7	
28	Kannur	Anthur	M	28218	29488	0.37%	0.63%	0.4%	4.7	
29	Kannur	Iritty	M	40369	42186	0.53%	0.90%	0.6%	6.8	
30	Kannur	Kuthuparambu	M	32405	33864	0.42%	0.72%	0.5%	5.4	
31	Kannur	Mattannur	M	47196	49320	0.62%	1.05%	0.7%	7.9	
32	Kannur	Panoor	M	57730	60328	0.76%	1.28%	0.9%	9.7	
33	Kannur	Payyannur	M	72311	75565	0.95%	1.60%	1.1%	12.1	
34	Kannur	Sreekandapuram	M	33489	34997	0.44%	0.74%	0.5%	5.6	
35	Kannur	Thalasserry	M	92864	97043	1.22%	2.06%	1.4%	15.6	
36	Kannur	Thaliparambu	M	44247	46239	0.58%	0.98%	0.7%	7.4	
37	Kasargod	Kanhangad	M	73536	76846	0.96%	1.63%	1.1%	12.3	
38	Kasargod	Kasaragod	M	54015	56446	0.71%	1.20%	0.8%	9.1	
39	Kasargod	Nileswaram	M	39752	41541	0.52%	0.88%	0.6%	6.7	
40	Kollam	Karunagappally	M	47483	49620	0.62%	1.05%	0.7%	8.0	

S. No.	District	ULB	Status	2011 Population	2021 Projections	Share of the ULB in Component 2 outlay based on 2011 Census Population				
						in Fund available to all ULBs	in earmarked municipalities only	Fund for	in Overall outlay for Component 2	Rs Crores
						80%	20%			
41	Kollam	Kottarakkara	M	30055	31408	0.39%	0.67%	0.4%	5.0	
42	Kollam	Paravur	M	37189	38863	0.49%	0.82%	0.6%	6.2	
43	Kollam	Punalur	M	46659	48759	0.61%	1.03%	0.7%	7.8	
44	Kottayam	Changanasserry	M	56049	58572	0.73%	1.24%	0.8%	9.4	
45	Kottayam	Erattupetta	M	34245	35787	0.45%	0.76%	0.5%	5.7	
46	Kottayam	Ettumanoor	M	51129	53430	0.67%	1.13%	0.8%	8.6	
47	Kottayam	Kottayam	M	138283	144506	1.81%	3.07%	2.1%	23.2	
48	Kottayam	Pala	M	22056	23049	0.29%	0.49%	0.3%	3.7	
49	Kottayam	Vaikom	M	23245	24292	0.30%	0.52%	0.3%	3.9	
50	Kozhikkode	Faroke	M	54074	56508	0.71%	1.20%	0.8%	9.1	
51	Kozhikkode	Koduvally	M	48687	50878	0.64%	1.08%	0.7%	8.2	
52	Kozhikkode	Koyilandy	M	71929	75166	0.94%	1.60%	1.1%	12.1	
53	Kozhikkode	Mukkam	M	40670	42501	0.53%	0.90%	0.6%	6.8	
54	Kozhikkode	Payyoli	M	49470	51697	0.65%	1.10%	0.7%	8.3	
55	Kozhikkode	Ramanattukara	M	35937	37555	0.47%	0.80%	0.5%	6.0	
56	Kozhikkode	Vadakara	M	80356	83973	1.05%	1.78%	1.2%	13.5	
57	Malappuram	Kondotty	M	59256	61923	0.78%	1.31%	0.9%	9.9	
58	Malappuram	Kottakkal	M	48342	50518	0.63%	1.07%	0.7%	8.1	
59	Malappuram	Malappuram	M	68088	71152	0.89%	1.51%	1.0%	11.4	
60	Malappuram	Manjeri	M	97102	101472	1.27%	2.15%	1.4%	16.3	
61	Malappuram	Nilambur	M	46342	48428	0.61%	1.03%	0.7%	7.8	
62	Malappuram	Parappanangadi	M	71239	74445	0.93%	1.58%	1.1%	11.9	

S. No.	District	ULB	Status	2011 Population	2021 Projections	Share of the ULB in Component 2 outlay based on 2011 Census Population				
						in Fund available to all ULBs	in earmarked municipalities only	Fund for	Overall outlay for Component 2	Rs Crores
						80%	20%			
63	Malappuram	Perinthalmanna	M	49723	51961	0.65%	1.10%	0.7%	8.3	
64	Malappuram	Ponnani	M	90491	94564	1.19%	2.01%	1.4%	15.2	
65	Malappuram	Thanoor	M	69534	72664	0.91%	1.54%	1.0%	11.7	
66	Malappuram	Thiroom	M	56058	58581	0.74%	1.24%	0.8%	9.4	
67	Malappuram	Thirurangadi	M	56632	59181	0.74%	1.26%	0.8%	9.5	
68	Malappuram	Valancherry	M	44437	46437	0.58%	0.99%	0.7%	7.4	
69	Palakkad	Cherpulasserry	M	39919	41716	0.52%	0.89%	0.6%	6.7	
70	Palakkad	Chittur-Thathamangalam	M	32480	33942	0.43%	0.72%	0.5%	5.4	
71	Palakkad	Mannarkad	M	31902	33338	0.42%	0.71%	0.5%	5.3	
72	Palakkad	Ottappalam	M	53792	56213	0.71%	1.19%	0.8%	9.0	
73	Palakkad	Palakkad	M	131019	136915	1.72%	2.91%	2.0%	22.0	
74	Palakkad	Pattambi	M	28632	29921	0.38%	0.64%	0.4%	4.8	
75	Palakkad	Shornur	M	43528	45487	0.57%	0.97%	0.6%	7.3	
76	Pathanamthitta	Adoor	M	29165	30478	0.38%	0.65%	0.4%	4.9	
77	Pathanamthitta	Pandalam	M	45497	47545	0.60%	1.01%	0.7%	7.6	
78	Pathanamthitta	Pathanamthitta	M	37545	39235	0.49%	0.83%	0.6%	6.3	
79	Pathanamthitta	Thiruvalla	M	52883	55263	0.69%	1.17%	0.8%	8.9	
80	Thiruvananthapuram	Attingal	M	37382	39065	0.49%	0.83%	0.6%	6.3	
81	Thiruvananthapuram	Nedumangadu	M	60161	62869	0.79%	1.33%	0.9%	10.1	
82	Thiruvananthapuram	Neyyattinkara	M	70840	74028	0.93%	1.57%	1.1%	11.9	
83	Thiruvananthapuram	Varkala	M	40048	41851	0.53%	0.89%	0.6%	6.7	

S. No.	District	ULB	Status	2011 Population	2021 Projections	Share of the ULB in Component 2 outlay based on 2011 Census Population				
						in Fund available to all ULBs	in earmarked municipalities only	Fund for	Overall outlay for Component 2	Rs Crores
						80%	20%			
84	Thrissur	Chalakkudy	M	49481	51708	0.65%	1.10%	0.7%	8.3	
85	Thrissur	Chavakkad	M	39095	40855	0.51%	0.87%	0.6%	6.6	
86	Thrissur	Guruvayur	M	70012	73163	0.92%	1.55%	1.0%	11.7	
87	Thrissur	Irinjalakkuda	M	60507	63230	0.79%	1.34%	0.9%	10.1	
88	Thrissur	Kodungalloor	M	71244	74450	0.93%	1.58%	1.1%	11.9	
89	Thrissur	Kunnamkulam	M	54071	56505	0.71%	1.20%	0.8%	9.1	
90	Thrissur	Vadakkancherry	M	61341	64102	0.80%	1.36%	0.9%	10.3	
91	Wayanad	Kalpetta	M	31580	33002	0.41%	0.70%	0.5%	5.3	
92	Wayanad	Mananthavadi	M	47974	50133	0.63%	1.06%	0.7%	8.0	
93	Wayanad	Sulthanbathery	M	45417	47461	0.60%	1.01%	0.7%	7.6	
		Total Population of only municipalities		45,08,938						
		Total Population of all ULBs		76,25,929						

A 6.2 Detailed Eligibility Criteria for Incentive Grants

(a) (1) The Participating ULB has prepared a multi-year city-wide plan for climate-smart and disaster-resilient SWM (“SWMP”) which has been approved by SM.[Update from other sections of the PIM if further details are available]

The plan will be prepared taking into account existing participatory planning approach of GOK. An appropriate working group or task force with the involvement of all stakeholders (including specifically the elected representatives, community and informal sector) will oversee the planning process from the beginning. The SWM Plan should include:

- i. Waste estimate from the ULB based on historical data and sample surveys, covering different categories and generators; with geographical breakup within the ULB
- ii. Waste flow for different streams through which waste is collected, transported, treated, recycled, disposed and unscientifically dumped
- iii. Proposed scope for implementing decentralised waste management among different types of generators and at different geographies in the ULB
- iv. Estimate the ULB responsibility for handling residual waste
- v. Document existing participants in SWM in the ULB including generators, community based organisations, rag pickers, recyclers, aggregators of waste, private sector, ULB, other State level agencies etc
- vi. Existing infrastructure, manpower, vehicles and equipment for SWM
- vii. Stats of SWM in adjoining gram panchayats and the benefits of developing cluster level facilities considering waste from gram panchayats
- viii. Inventory of land available considering existing facilities, existing dumpsites and potential land locations (private and public, both within the ULB and outside the ULB)
- ix. Proposed SWM plan for the ULB considering decentralised waste management at source by the generators, waste minimisation activities, recycling, community level treatment and processing, city level treatment and processing, regional or cluster level landfill and other facilities. The proposal should be in line with the National Solid Waste Management Rules 2016 and the GoK SWM policy.
- x. Identified ULB responsibilities to participate in regional or cluster level facilities
- xi. Prepared capital investment plan for phase-wise expansion of SWM services in the ULB; estimate operations and maintenance costs for different facilities; various categories of waste
- xii. Proposed plan for integrating informal sector, community based organisations and private sector stakeholders in SWM
- xiii. Developed a communications plan to disseminate and seek feedback from stakeholders on the SWM plan

- xiv. Developed environmental and social safeguards plan
- xv. Developed an organisational development plan for establishing/ strengthening a financially and operationally sustainable SWM department in the ULB
- xvi. Identified staff to be deployed including permanent staff on the role of ULB and contractual staff
- xvii. Proposed outsourcing arrangements for various activities and facilities and the relevant contracting terms including performance standards and linking payments with performance
- xviii. Based on estimated operating costs and capital replacements, propose user charges for different categories of generators, waste and service levels.
- xix. Prepared phased implementation plan and propose a procurement plan
- xx. Proposed Monitoring and Evaluation (M & E) systems in the ULB including Grievance Redressal Mechanism, periodic citizen surveys, waste flow tracking, MIS system at the ULB level and integration of M & E system with state-wide systems.

The ULB level SWM plan will be approved by Suchitwa Mission to ensure a) consistency with State SWM policy, b) alignment with regional or cluster level facilities being planned by Suchitwa Mission, c) adequacy of financing arrangements, d) land availability, e) environmental and social safeguards and f) procurement norms.

(a) (2) the Participating ULB has issued SWM by-laws that incorporate the principles of Kerala's Integrated Solid Waste Management Strategy 2020.

The SWM bye law will operationalize the GoK SWM policy at the ULB, and it would include:

- i. Adopt the hybrid waste management approach. The bye laws will promote decentralised waste management at source by the generators. The bye laws will also acknowledge ULB responsibility for door to door collection of residual segregated waste from the generators
- ii. The bye laws will acknowledge the role of GoK in developing regional or cluster level landfills and acknowledge the responsibility of ULB to deliver waste to such regional or cluster landfills to which it is made part of.
- iii. The bye laws will acknowledge the role of GoK in promoting other clusters or regional treatment and processing facilities; and remediation of dumpsites in the ULB which are of size greater than [] acres.
- iv. The bye laws will acknowledge the responsibility of the ULB to make available remedied land from dumpsite for waste treatment and processing facilities; and for temporary storage of waste
- v. The bye laws will adopt model organisation structure proposed for SWM department by GoK and the staffing norms
- vi. The bye laws will enable levy of user charges or surcharge on property tax or any other tax/charge for revenue collection for SWM as proposed by GoK, with appropriate differentiation for different categories of generators; frequency of waste collection; and extent of waste treated at source by the generators themselves

vii. The bye laws will set out performance standards for collection and transportation of waste which have to be adhered to by any agency or person appointed for the purpose

(a) (3) the Participating ULB has confirmed access to/use of facility for safe disposal of waste, as per national SWM rules 2016 and other national regulations:

ULB has identified land for a city level landfill of size at least []⁵ acres

- i. ULB has identified an existing dumpsite of size at least [] acres that can be remedied for use as a disposal facility
- ii. The ULB has been included as a participant in any regional or cluster landfill facility of GoK or Suchitwa Mission for which land is in possession of Suchitwa Mission and ESMF criteria for the site have been met.
- iii. The ULB has been included as a contributor to any Waste to Energy Plant of GoK for which a contract is in force

“Identified” means Land is in the possession of the agency authorised to construct the facility; and has satisfied requirements under ESMF. Declaration from appropriate agency of GoK is necessary to determine that a ULB has been included as a participant or a contributor.

(b) the Participating ULB has hired top-level staff in accordance with the structure approved by GoK:

ULB has appointed staff for the post of Environment Engineer, finance and MIS. Appointed includes deputation from GoK departments; appointment in the roles of ULB through direct appointment; hired by

⁵Size based on population of ULB

GoK in any local body cadre and posted in ULB; or hired by ULB on contract.

(c) the Participating ULB has signed one or more performance-based contracts for the Participating ULB’s solid waste collection and transportation services:

Performance based contracts would mean the agreements require HKS or the agency to meet the performance standards for collection and transportation of waste as per the byelaw. The performance standards would include a) frequency of waste collection, both bio degradable and non-bio degradable, b) responsibility to ensuring segregation of waste by generators, c) door to door collection, d) responsibility for segregated transport to destination identified by the ULB, e) collection and reporting of information related to generators and waste flow. The contracts will also materially link revenue payable/ collectible by HKS or agency(ies) to actual performance achieved. The agreements would list responsibilities for provision of equipment/ vehicles/ tools/ material etc for collection and transportation. Payment obligations of the ULB including payment period and interest for delays beyond the payment period will also be specified. Such performance agreement should be signed covering at least [50%] of the geographical area of the ULB.

(d) the Participating ULB develops a plan for user charges and operation and maintenance budgeting.

Introduced a system for levying of user charges or surcharge on property tax or other sources of revenue proposed by GoK for Solid Waste Management, of at-least Rs xx per month per household: A minimum monthly user charge of [] per household shall be leviable for collection of both bio degradable and non-

biodegradable waste from the premises of the generator. Appropriate discounts may be levied in case of voluntary decentralised waste management by the generator with or without equipment provided by ULB. Discounts/ exemption for poor households may be specified with clear objective criteria. For generators with responsibility for waste management at source as per National SWM Rules, in case of default in performing such responsibilities, the additional user charge leviable will also be specified. User charges will be specified for various categories of households, institutions and commercial establishments.

System (planning and budgeting) for operation and maintenance expenditure for SWM: This would include a) separate income and expenditure statement for SWM within the ULB accounting and budgeting systems with allocation of overheads and shared costs to SWM based on objective criteria, b) preparation of annual budget for SWM with separate costs and revenues covering the entire SWM chain, c) allocation of subsidy from the general budget to the SWM budget if required; and actual funds transfer periodically, d) transfer of tied funds for SWM from State and Central Government sources to the SWM budget heads and e) preparation of income and expenditure statements for SWM either as a part of the financial reporting of the ULB or separately.

(e) the Participating ULB implements monitoring and evaluation including a grievance redressal mechanism

Monitoring and Evaluation (M&E) system would include the following:
(a) Grievance Redressal Mechanism with web based, mobile internet based, telephone based, and physical access to lodge grievances; to

track and report resolution; verify redressal; and escalation, (b) MIS for SWM consistent with state-wide MIS and necessary hardware and licenses to operationalize the MIS, (c) periodic citizen surveys not exceeding yearly, to assess citizen feedback and receive suggestions for improvement and (d) waste flow tracking with quantity of waste, waste categories, seasonal fluctuations, waste flow through different streams of handling; with categorisation based on type of waste; type of generator and geography. The M&E system would be available for use by respective stakeholder such as ULB officials, citizens, State level stakeholders etc.

A 6.3 Detailed Verification Methodology for verifying the compliance of ULBs in meeting the Eligibility Criteria

SM to insert after finalization

A 6.4 Model Template for Terms of Reference for Independent Verification Agency

Government of Kerala Terms of Reference for Hiring an Independent Verification Agency Kerala Solid Waste Management Project (KSWMP)

Background

The Kerala Solid Waste Management Project (KSWMP) aims to strengthen the institutional and service delivery systems for municipal solid waste management (SWM) in Kerala. It includes all 93 ULBs in Kerala and consists of the following components.

1. **Component 1: Institutional development, capacity building and project management.**
2. **Component 2: Support to ULBs for SWM.** The component will support the participating ULBs for improving their SWM infrastructure and systems, mainly on (a) primary collection and transportation systems for solid waste (b) source segregation and treatment for BDW at decentralized level, (c) Rehabilitation of the existing MCFs/RRFs and development of new integrated MRFs, (d) development of BDW management facilities, (e) closure/remediation of existing dumpsites and development of disposal cells as interim disposal facility, (f) public space cleaning, sanitization, waste removal activities as well as cleaning and sanitization of government offices, hospitals, community level waste recycling/processing facilities, (g) protective gears, equipment, masks, chemicals, disinfectants etc. for sanitation and waste management workers, (h) operations and maintenance payments for performance-based contracts and tipping fee for

regional disposal and (i) implementation of environment and social risk mitigation actions.

3. **Component 3: Development of regional SWM facilities.** This component will finance regional processing and recycling facilities; transfer stations and regional sanitary landfills for municipal solid waste disposal; and closure/remediation of existing waste dumpsites.
4. **Component 2. Support to ULBs for SWM is a performance-based incentive grant.** Each ULB will receive 40% of the funds earmarked for it unconditionally; and the remaining 60% when it meets defined eligibility criteria. The verification of eligibility criteria will be done by an independent verification agency (IVA). This Terms of Reference is for the selection of the Independent Verification Agency.

Scope of Work

The IVA will conduct quarterly evaluation of up to 93 ULBs to determine if they have met one or more eligibility criteria for incentive grants given in Table 1. The eligibility criteria is a one-time check, and once a ULB meets a criteria the ULB will not be checked for the same criteria again during the duration of the project.

The scope of work includes a) finalization of verification protocol, b) orientation for ULB staff, c) developing a web based platform for administration of verification, d) quarterly verification and e) annual review and revision of verification protocol.

The validation will be done

1. on a quarterly basis
2. only for those the ULBs that notify that they have met one or more criteria and request verification, and
3. only for those criteria which are covered in the ULB notification

The verification will be carried out based on the documentary proof of compliance provided by ULBs to Suchitwa Mission (which is the nodal implementing agency for the project). The IVA will conduct the evaluation each quarter and provide a certification covering

1. Assessment report for each ULB for each criteria for which verification was sought List of ULBs covered in the project
2. An overall summary of status of ULBs meeting eligibility criteria including
 - a. ULBs eligible to participate in incentive grant (based on procedural requirements of the project which will be verified by Suchitwa Mission)
 - b. List of ULBs that sought verification of meeting eligibility criteria and the criteria for which they sought the verification
 - c. ULB wise and criteria wise assessment of IVA on whether the criteria has been met

The quarterly reports will be conducted for a period of four years (16 quarterly assessments in total). Each quarterly report will be completed and the certification will be issued by the IVA by the last day of the quarter (or any other date to be specified upfront by Suchitwa Mission).

Eligibility Criteria

The eligibility criteria to be verified is provided below.

[Reproduce Criteria from Step 2 of PIM Grant Manual below]

The detailed Eligibility Criteria is as follows:

[Reproduce Criteria from Annexure A6.2]

A draft verification protocol is included in the PIM – Grant Manual in Annexure A6.3.

[Reproduce Criteria from Annexure A6.3]

Methodology

- i. 93 ULBs in Kerala would be covered.
- ii. The IVA would review the verification protocol provided in the PIM and suggest modifications that may be needed to operationalize the methodology after obtaining feedback from stakeholders. A final verification protocol would be approved by Suchitwa Mission.
- iii. The verification will conform strictly to the verification protocol and the IVA's task includes sufficient detailing of the methodology to avoid subjectivity in verification.

- iv. The verification would be based on documentation to be submitted by the ULBs; and field verification as specified in the verification protocol in the PIM.
- v. The IVA will establish a verification timetable consistent with the PIM for each year; and consistent with the annual planning cycle for the project. The results of verification will determine the incentive grants the ULBs are eligible to receive, and therefore the size of the annual plan they can prepare; and thus, is a critical step for the ULB. The verification timetable will include deadline for submission of document by ULBs (specified as days before end of the quarter). Documentation received after the deadline be verified in the next quarter.
- vi. The IVA will establish a web-based platform covering a) workflow of verification, b) sharing documentation both by ULB and by IVA and c) online feedback or request for corrections by ULBs on IVA findings.
- vii. The IVA will carry out an orientation program for all the ULBs either and also develop web-based orientation modules.
- viii. The IVA will maintain a helpdesk to provide clarifications to the ULBs on verification methodology. This need not be a full-time helpdesk and can function based on request through the web-based platform.
- ix. The IVA will conduct a feedback session on verification for each ULB. This can be carried out through web-based platforms and need not be face-to-face.
- x. Each year the IVA may recommend modifications to the verification protocol based on the findings during verification and

feedback from stakeholders. The revisions will be consistent with the project design and project agreements. Suchitwa Mission has the final authority for revision of PIM irrespective of the recommendations of the IVA.

Reports, Deliverables, Payment, Tenure and Reporting

a. Reports and Deliverables

- I. Inception Report and final Verification Protocol
- II. Orientation for all 93 ULBs
- III. Web based platform for verification workflow, documentation and feedback
- IV. 16 quarterly verification reports
- V. 3 annual reports and 1 final report at the end of fourth year

b. Report Format

- I. The consultants shall prepare all reports in English and complete digital files in a format and manner acceptable to the Client and the World Bank.

Payment Schedule

S. No.	Payment Milestones	Payment as % of the contract value
1.	Mobilisation Advance (within 10 days of contract finalisation)	5%

S. No.	Payment Milestones	Payment as % of the contract value
2.	Inception report and verification protocol	5%
3.	Quarterly verification reports 1-4 and 13-16	4% each
4.	Quarterly verification reports 5-12	6% each
5.	Annual reports (total number of annual reports -3), Final Report	2.5% each

In case of poor/non-performance of services, the consultant may be requested to make changes in the key staff positions deployed by them at that moment to ensure delivery of scope of work and agreed work plan.

c. **Period of Performance:** The Consultant will support the client for an initial period of 4 years.

d. Reporting Structure

- I. The consultants will report to the Project Director at SPMU, Suchitwa Mission.
- II. The SPMU and DPMUs will assist the IVA to arrange and organize all the required meetings for data collection, stakeholder consultations or any other meetings required.

Data, local services and facilities to be provided by the client

- a. The ULB would make available the following to the IVA:
 - I. Documents necessary for verification as per verification protocol
 - II. Additional documents sought by IVA
 - III. Access to documents, facilities, contract and personnel during field visit for verification or for online interactions
- b. No permanent office space will be provided by Suchitwa Mission since this is not anticipated to be a full time activity.
- c. Suchitwa Mission will provide logistics for trainings and field visits, except for actual travel, stay and boarding of IVA staff.

Firm’s experience and list of key positions for the assignment

- a. The Firm must demonstrate strong prior experience of working on similar assignments for performance verification or reform progress evaluation in the urban sector. SWM sector experience will be preferred. **The firm and the team members will not be permitted to provide any services in solid waste management to the ULBs or any service to Suchitwa Mission for the duration of the project.**
- b. The firm must demonstrate their ability to work in Kerala and to carryout assessments within the quarterly timetable for all the ULBs.

Team Composition

- a. None of the positions are full time deployment. The position of the Team Leader will be evaluated. On selection the IVA will provide CVs meeting the requirements of Accounting Analyst

and M&E expert for approval by Suchitwa Mission. The IVA will deploy verification staff as per requirement. It is clarified that payment is not linked to person months of deployment.

1. Team leader (SWM Expert – CV will be evaluated)

- i. Master's degree in Civil Engineering with experience in urban infrastructure and strong background in municipal solid waste management is required.
- ii. A minimum of 10 years of project management experience in urban infrastructure projects is required. At least 5 year of experience of working as a Team Leader in assignments focusing on solid waste management and other service delivery functions of ULBs.
- iii. Regional experience of working in Kerala will be preferred.
- iv. Has in-depth knowledge of prevailing national and state level SWM policies, regulations and strategies.
- v. Must have skills in communicating with authorities and other stakeholders.
- vi. Has demonstrated capabilities in report writing.

2. Accounting Analyst (Not evaluated)

- i. Master's degree in commerce/ business studies/business administration with specialization in finance/accounts.
- ii. A minimum of 7 years of experience in financial management with an in-depth financial knowledge of local governments.

- iii. Sectoral experience in SWM and working with local governments in India or other South Asian countries in the past will be preferred.
- iv. Fluency in reading and speaking in Malayalam is preferred.
- v. Experience of working in large multilateral funded projects such as WB, ADB, among others will be preferred.
- vi. Experience of handling similar projects at the local government level.
- vii. Good understanding of public financial management and international best practices in accounting and auditing at the local government level.
- viii. Skills in communicating with authorities and other stakeholders.
- ix. Excellent IT / computer skills including accounting software and MS Office (Word, Excel, Power point etc) are required.

3. Monitoring and Evaluation expert (Not evaluated)

- i. Master's degree in economics/statistics or equivalent is required.
- ii. A minimum of 12 years of experience in M&E of infrastructure projects is required. Experience of working with state and local government agencies in India and other South Asian countries will be preferred
- iii. Experience in participatory M&E system in multilateral projects is highly preferred.

- iv. Experience of handling software applications and database.
- v. Possesses strong quantitative skills and proven ability to carry out surveys/analysis of large datasets is required.
- vi. Has experience of handling similar projects at the local government level.

vii. Regional language speaking, reading and writing skills will be preferred

4. Verification staff (positions as per requirement, not evaluated)

A 6.5 List of Eligible Expenditures and Classification of Track 1 and Track 2 projects

Eligible Expenditure	Category
1. Decentralised Waste management at generator level	
Households (bio waste management, segregation bins etc)	Track 1
Institutions/ Markets	Track 1
2. Collection and Transportation	
Vehicles and Equipment	Track 2
Secondary bins	Track 2
Secondary storage facilities	Track 2
3. Processing	
Rehabilitating existing facilities – MCF/ RRF/ Community Composting, Composting	Track 1
New Community composting facilities*	Track 2
New - MCF/ RRF*	Track 2
City level composting	Track 2
Temporary storage facilities*	Track 2
Dumpsites rehabilitation and development of incremental disposal cells	Track 1
Secondary transportation (assuming average transportation distance of 60 kms)	Track 2
4. Covid related expenditure	
Hiring of personnel or firm or expenditure to carry out a) IEC, b) technical assistance, c) social outreach, d) workshops and consultation, e) citizen surveys or f) planning.	Track 1
Public cleaning, sanitization and hygiene activities	Track 1
Support for protective gears and equipment to provide safe working conditions for waste management workers	Track 1
Livelihood support and wages to sanitation and waste management workers including women SHGs	Track 1
5. O & M subsidy	
Payments under performance-based collection and transportation contracts	Track 1
Payments for citywide composting facilities operated under a contract	Track 1

Eligible Expenditure	Category
Charges to be paid for participating in shared regional facilities including tipping fees to cluster facilities and regional landfills	Track 1
Charges for secondary transportation to regional landfills	Track 1

Technical conditions to be met to incur expenditure

Track I – Signing of Participation Agreement

Track II – Meeting Eligibility Criteria (a) (3) – “confirmed access to/use of facility for safe disposal of waste, as per national SWM rules 2016 and other national regulations”

Note: * If these facilities do not generate waste for final disposal, they may be classified for the particular ULB as Track 1

A 6.6 Format for ULBs formal requisition to SPMU requesting to initiate verification exercise

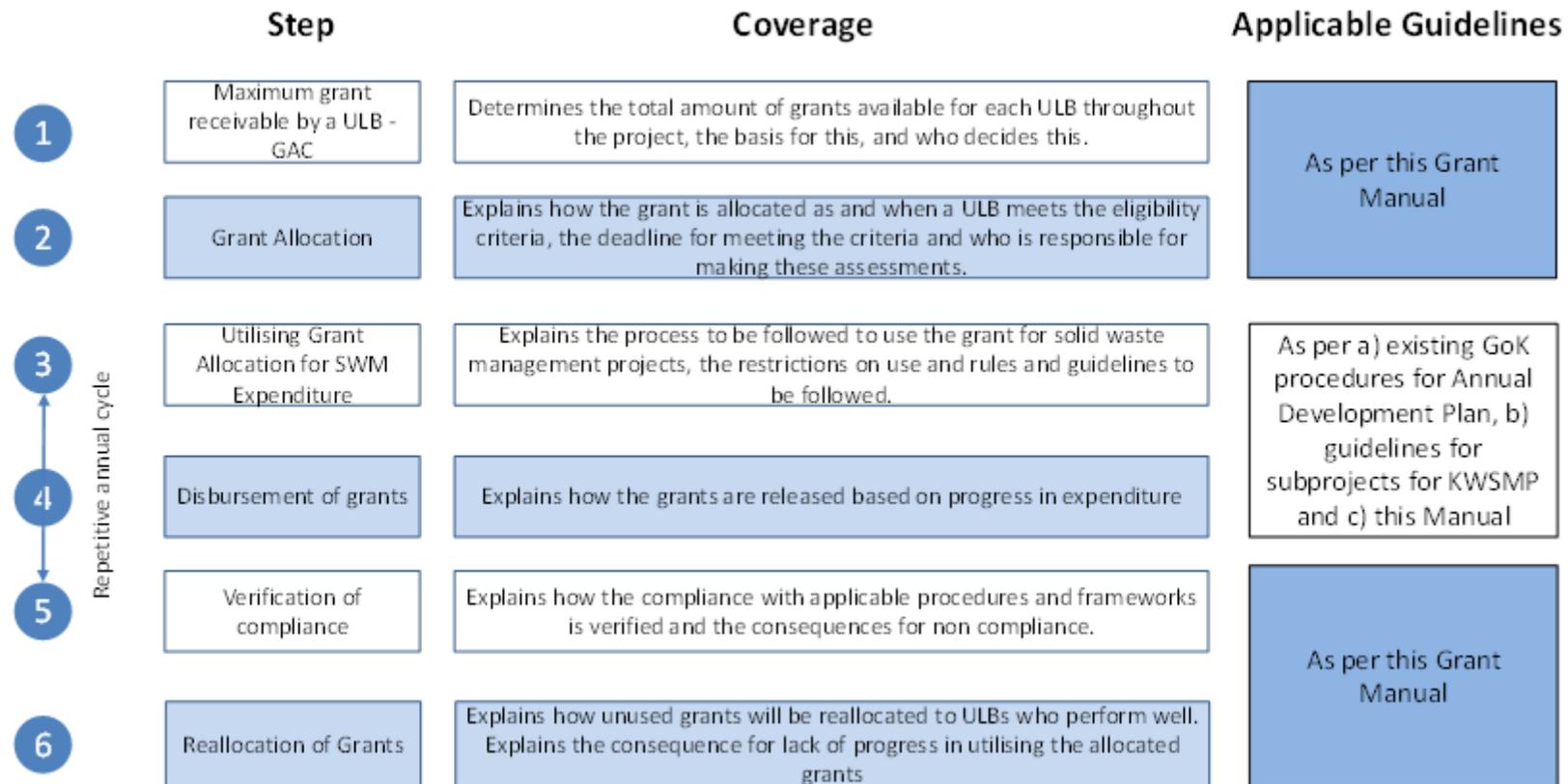
To be developed by SPMU

A 6.7 Step by Step guide for Grant Administration

Step by Step guide for Grant Administration

- 1) The administration of Grants to ULBs under component 2 consists of the following steps. An overview is presented below and latter sections describe each of these steps in further detail.

Figure 2: Grant administration



Step 1: Division of the outlay for Component 2 among the participating ULBs – “Grant Allocation Ceiling”. The total outlay for Component 2 will be divided among all the 93 ULBs in Kerala (municipal corporations and municipalities). The grants will be allocated to ULBs on a per-capita basis (with a differentiation between 6 municipal corporation and 87 municipalities). This will be the maximum grant a ULB can receive (Grant Allocation Ceiling or GAC) during the Project. ULBs will be informed on their GAC for the project period right at the beginning of the project, so that they can undertake a multi-year investment planning exercise to prepare city-wide 5-year SWM plans. GAC is subject to revision at the end of 2nd year and 4th year based on progress.

Step 2: Allocation of grant to ULBs based on progress – “Grant Allocation”. 40% of GAC (Basic Grant) is allocated to the ULB once it agrees to participate in the Project by signing the Participation Agreement (within two years of Effectiveness of the Project). The remaining 60% of GAC(Incentive Grants) will be allocated in parts as and when the ULB meets certain specified eligibility criteria. The eligibility criteria will have to be met by the ULBs by the end of fourth year, after which the respective share of the Incentive Grants will lapse.

Step 3: Utilising allocated grants for SWM expenditure – Annual “Expenditure Cycle.” Once a ULB signs the Participation Agreement, it will receive technical assistance under Component 1 to develop a multiyear SWM Masterplan. Subprojects will be identified as a part of the SWM Masterplan.

- a) Each year, the ULB will propose an SWM component as a part of Annual Development Plan (an existing practice). This SWM

component will be based on the subprojects identified in the SWM Masterplan, the ULB’s GAC, Grant Allocation and the technical readiness.

- b) Following the current practice, the SWM component of the Annual Development Plan will be approved by the District Planning Committee. After this approval, the ULB will design, procure and implement the subprojects. While developing subprojects, the ULB will follow i) the rules for eligible expenditure, ii) technical guidelines for subprojects, iii) environmental and social safeguards and iv) procurement systems all of which are specified under the Project. Further the ULB will also adhere to fiduciary requirements specified under the Project. Each subproject will follow procedure for technical and administrative sanction which has been tailored to KSWMP subprojects based on existing practices.
- c) The ULB will submit periodic reports to the implementing agency.
- d) The ULB will take corrective actions to redress any non-compliance identified by implementing agency during verification process (Annual Triggers) described below.

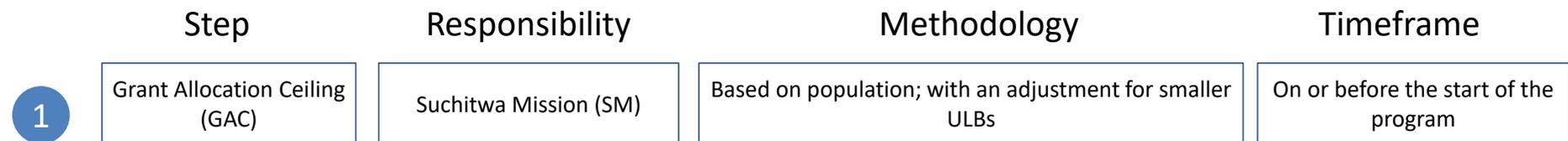
Step4: Release of grants against actual expenditure – **“Disbursement.”** The Kerala State treasury system and existing local government financial management systems will be used for releasing grant funds to the ULBs. In line with current practice, disbursement will not mean the actual/physical flow of cash to ULB. Once expenditures are incurred at ULB level, the documentation required for payments will be transmitted to the treasury by the ULB and the payments will be processed at the

treasury level. Payments will be made to the contractors, vendors or suppliers directly by the treasury. Any non-compliance in expenditure identified in the Annual Trigger review will be adjusted in the disbursement for the following year. This approach of “post disbursement” review avoids delays in disbursements yet ensures ULB’s accountability.

Step 5: Verification of compliance of ULB with Project guidelines – **“Annual Triggers.”** In the last quarter of each financial year, an assessment of whether a ULB has complied with the applicable guidelines will be carried out (covering expenditure in the previous four quarters). Depending on the nature of non-compliance with ATs, corrective actions will be specified by the implementing agency. This may include suspension of the whole or part of the Annual Plan proposed for the next FY, recovery of non-compliant expenditure, suspension of disbursements in part of full etc. These corrective actions will not affect disbursements in the current financial year but will be applicable for the next financial year. The ULB may rectify the non-compliance and to that extent, suspension of subproject implementation or disbursements may be restored.

Step 1 - Grant Allocation Ceiling

Figure 3 – Overview of Step 1 – Grant Allocation Ceiling



Step 6: Adjustment of Grant Allocation and Expenditure limits - **“Reallocation.”** ULBs need to sign the Participation Agreement to join the Project on or before 31st December 2022. Further, the eligibility criteria for Incentive Grants have to be met on or before 31st March 2025. If these deadlines are not met, the respective GAC of those ULBs will lapse. Thus, at the end of the second year and fourth year of the Project, the lapsed GAC of ULBs that fail to meet these conditions will be reallocated to other ULBs. Further the Grant Allocation will also be revised at the end of the fourth year based on the progress in utilization.

- 2) The Grant Manual is organised in these six steps. The procedures for Steps 1,2,5 and 6 are defined only in this Grant Manual. Steps 3 and 4 are aligned with GoK procedures and KWSMP subproject guidelines. Accordingly, the Grant Manual describes these steps and refers to the respective GoK and KWSMP guidelines for further details and have to be read in conjunction.
- 3) Steps, 3, 4 and 5 constitute the annual expenditure cycle and repeat every year.

- 4) The total outlay for Component 2 will be divided among all urban local bodies in Kerala as on Effectiveness Date (87 municipalities and 6 municipal corporations as on 31st July 2020). 80% of the outlay for component 2 will be divided among all ULBs in proportion to their population. The remaining 20% will be divided only among municipalities in proportion to their population. The amount thus arrived at for each ULB will be the “Grant Allocation Ceiling” (GAC). It is the maximum ceiling that a ULB will be getting as grants for the whole duration of the project if they meet all eligibility criteria. The GAC will consist of an unconditional Basic Grant (BG) of 40% of the GAC; and Incentive Grants (IG) of remaining 60% of the GAC.
- 5) The GAC for all ULBs will be determined on or before the Effectiveness Date based on the population of ULBs as per Census 2011. Adjustments will be made for any changes in the ULB

boundary since Census 2011. Suchitwa Mission will be responsible for a) publishing the list of ULBs covered by KSWMP, b) finalising the applicable population figures as per Census 2011 and c) calculating the GAC for each ULB. SPMU will amend the PIM with list of ULBs and their respective GAC and intimate ULBs of their GAC.

- 6) Full or part of GAC of ULBs that did not meet the deadline for signing the PA or achieving Eligibility Criteria will lapse. For other ULBs, the GAC may be increased at the end of 2nd year and at the end of 4th year, reallocating lapsed GAC from ULBs. The applicable procedures for the reallocation are described in Step 6.
- 7) A list of ULBs in Kerala, their population as per Census 2011 and their GAC is provided in Annexure A.6.1 in Volume 3. This is for illustration and this will be updated by Suchitwa Mission on or before the Effectiveness Date.

Table 3 - Responsibility Matrix for Step 1 – Grant Allocation Ceiling

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
2.1.1	Participating ULBs	All municipalities and municipal corporations in Kerala prior as on Effectiveness Date.	As per GoK classification		On or before Effectiveness Date	SM	SM	-
2.1.2	Size of Component 2 in INR	As per Project Agreement. Converted to INR as per Reserve Bank of India (RBI) Reference Rate within 30 days prior to Effectiveness Date.	RBI Reference Rate for US\$	https://fbil.org.in/secure/rates?op=reference&mq=0	On or before Effectiveness Date	SM	SM	-

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
2.1.3	Division of component 2 among participating ULBs	80% of component 2 to be divided among all ULBs in proportion to their population. 20% of component 2 to be divided only among municipalities in proportion to their population.	As per 2011 Census. Adjustments to be made for any changes in boundaries since 2011.	Census 2011	On or before Effectiveness Date	SPMU	SM	-
2.1.4	Intimation of Grant Allocation Ceiling calculated as above to all ULBs	Full list of ULBs and their respective GAC will be appended to the PIM. The GAC of each ULB will also be included in its Participation Agreement	Grant Allocation Ceiling for each ULB	Annexure A.6.1	On or before Effectiveness Date	SPMU	SPMU	-

Step 2 - Grant Allocation

Figure 4 – Overview of Step 2 – Grant Allocation

Step	Responsibility	Methodology	Timeframe
2	Grant Allocation – Basic Grant	ULB and SM sign Participation Agreement	40% of GAC allocated to the ULB on signing of Participation Agreement.
	Grant Allocation – Incentive Grant	ULB meets criteria. Verified by IVA appointed by SM	40% of GAC allocated to the ULB on meeting Eligibility Criterion “a”
		ULB meets criteria. Verified by IVA appointed by SM	5% of GAC allocated per eligibility criteria “b” to “e”
			On or before 31/12/2022
			On or before 31/03/2025. ULB can request verification during any quarter
			On or before 31/03/2025. ULB can request verification during any quarter

8) **“Grant Allocation”** (GA) is the part of GAC that has actually been allocated to the ULB at any point of time, based on the criteria that the ULB has met. GA determines the maximum disbursement a ULB can receive in a year for the expenditure that it has incurred in the Project. A ULB’s GA will increase gradually as it meets various criteria (listed below) up to its GAC.

9) The Basic Grant (40% of GAC) would be allocated to a ULB on signing of Participation Agreement. **The format for Participation**

11) Table 4 below. **These criteria are further detailed in** Annexure A.6.2 in Volume 3. The last date for meeting criteria “a” to “e” is 31st March 2025 after which the part of GAC corresponding to the

Agreement is provided in Annexure A.3.1 in Volume 3. The last date for signing of the Participation Agreement is December 31, 2022 after which the entire GAC of those ULBs that did not sign the Participation Agreement would lapse.

10) The Incentive Grants would be allocated on meeting the eligibility criteria “a” to “e” in

criteria not met would lapse. If Criteria (a) (3) is not met by 31st March 2025, the entire Incentive Grants would lapse.

Table 4 – “Eligibility criteria” for Grant Allocation

Grant Allocation	Eligibility Criteria
Basic Grant (40%)	The Basic Grant (40% of GAC) would be allocated to a ULB on signing of Participation Agreement
Incentive Grants (40%)	(a) 40% of GAC would be allocated when the Participating ULB meets <u>all</u> of the following: (1) has prepared a multi-year city-wide plan for climate-smart and disaster-resilient SWM (“ SWMP ”) which has been approved by SM; (2) has issued SWM by-laws that incorporate the principles of Kerala’s Integrated Solid Waste Management Strategy 2020; (3) has confirmed access to/use of facility for safe disposal of waste, as per national SWM rules 2016 and other national regulations.
Incentive Grants (20%)	5% each of the GAC shall be allocated when the Participating ULB meets each of the following criteria: (b) hired top-level staff in accordance with the structure approved by GoK. (c) signed one or more performance-based contracts for the Participating ULB’s solid waste collection and transportation services; (d) developed a plan for user charges and operation and maintenance budgeting; and (e) implemented monitoring and evaluation including a grievance redressal mechanism.

- 12) Within one month of Effectiveness Date, the SPMU will develop detailed verification methodology (to be approved by SM) for verifying if a ULB has met the Eligibility Criteria. The verification methodology will become a part of the Grant Manual (Annexure A.6.3 in Volume 3).
- 13) The SPMU will appoint an Independent Verification Agency based on the Terms of Reference provided in A.6.4 in Volume 3.
- 14) Once ULBs have signed the PA, ULBs can submit documentary proof of meeting eligibility criteria to Suchitwa Mission at any time during a financial year (till 31st March 2025) for validation, and SPMU will direct the IVA to conduct quarterly validation exercises to determine if ULBs have met Eligibility Criteria (some or all). The IVA will complete the validation by the last day of the next quarter, and in case of the last quarter of a financial year, by the last day of February. For the last quarter of validation, i.e. quarter ending March 31, 2025, SM may permit validation to be completed by the first fortnight of April 2025 as an exception. Thus ULBs can continuously increase their overall Grant Allocation. Once the validation exercise is completed by the IVA, SPMU will review the results and SM will decide on Incentive Grant Allocation to the ULBs. SPMU will intimate the respective ULBs of the results of

verification and will also maintain and publish an updated list of all ULBs with their GAC and current Grant Allocation.

- 15) The Eligibility Criteria require a one-time check, and once the criteria are met, will not be checked again during the duration of the project. The validation will be done on a quarterly basis upon notification by the ULB that one or more criteria have been met. It is possible, but not likely given the type of grant conditions included, that once a criterion has been achieved and Allocation has been increased for a ULB, in future years the ULB does not maintain the criterion (e.g. the established GRM system may become dysfunctional. ULB may stop collecting user charges; the identified and agreed landfill may not be developed, etc). Under this system, and to ensure predictability in allocations, it will not be prudent and/or possible to claw back the Allocation already made or expenditure incurred. This is an acceptable risk in the interest of keeping the grants simple, ensure multi-year planning of expenditures and to avoid repayments/ clearances. During Mid Term Review of KSWMP, this system will be reviewed and if need be adjusted.
- 16) Any revisions to the Eligibility Criteria will require prior concurrence of World Bank.

Table 5: Responsibility Matrix for Step 2 – Grant Allocation

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
2.2.1	Draft Participation Agreement	Included as part of PIM	As per format in PIM - Grant Manual	Annexure A.3.1 in Volume 3	On or before Effectiveness Date	SPMU	SPMU	PMC

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
2.2.2	Signing of Participation Agreement	ULB, with the approval of the council, will sign the Participation Agreement with Suchitwa Mission	As per format in PIM - Grant Manual	Annexure A.3.1 in Volume 3	On or before December 31, 2022	ULB and SM	Municipal Council	NA
2.2.3	Basic Grant	On signing of the Participation Agreement, 40% of GAC will be allocated as Basic Grant (BG)	NA	NA	On signing of Participation Agreement	SPMU	SPMU	NA
2.2.4	Eligibility Criteria for Incentive Grants	40% of GAC would be allocated on meeting Eligibility Criteria "a" and 5% of the GAC shall be allocated per eligibility criteria "b" to "e"	As per criteria listed in PIM - Grant Manual	Annexure A.6.2 in Volume 3	NA	SPMU	SM	NA
2.2.5	Verification Protocol for Eligibility Criteria	Suchitwa Mission will develop detailed verification criteria including documentation requirements that the ULBs must meet to demonstrate achievement of eligibility criteria	PIM Grant Manual	Annexure A.6.3 in Volume 3	Within one month of Effectiveness Date	SPMU	SM	PMC
2.2.6	Appointment of Independent Verification Agency (IVA)	As per ToR in Grant Manual following procurement guidelines	ToR for IVA in Grant Manual	Annexure A.6.4 in Volume 3	Appointment to be completed within three months of Effectiveness Date	SPMU	SM	NA

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
2.2.7	Request for verification of Eligibility Criteria to SM	ULB will intimate its achievement of Eligibility Criteria and request verification by IVA	NA	NA	Prior to the last day of any quarter. Deadline for meeting Eligibility Criteria is 31st March 2025.	ULB	ULB	TSC
2.2.8	Verification of achievement of Eligibility Criteria	The IVA will verify that the Eligibility Criteria has been achieved in accordance with the requirements set out in Grant Manual. The IVA will communicate its validation/rejection to SPMU with reasons	NA	NA	On or before the last day of the succeeding quarter; on or before the last day of February for the last quarter of any FY	IVA	NA	NA
2.2.9	Incentive Grants Allocation	Based on the report of the IVA, SPMU will determine the Grant Allocation to the ULB corresponding to the Eligibility Criteria that have been met. SM will approve the Grant Allocation	NA	NA	On or before the last day of the succeeding quarter; on or before the last day of February for	SPMU	SM	PMC

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
					the last quarter of any FY			
2.2.10	Intimation of Incentive Grants Allocation	Each ULB that requested a verification will be intimated by the SPMU on the results of the verification, and the revised Grant Allocation, if any. An updated list of all ULBs with their GAC and Grant Allocation will be maintained by SPMU	ULB wise Grant Allocation	will be available at Annexure A.6.1.	On a running basis	SPMU	SPMU	PMC
2.2.11	Revisions to Eligibility Criteria, if any	SM may recommend revisions to the Eligibility Criteria. Any such revision will require prior concurrence of World Bank.	NA	NA	NA	SM	WB	PMC

Illustration of Grant Allocation

17) **Sample ULB 1** signs the Participation Agreement on 19th June 2021, within six months of Effectiveness Date (assumed as 31st December 2020). It meets all the Eligibility Criteria before

31st March 2025. Therefore its Grant Allocation at the end the four year period is 100% of the GAC.

Table 6 – Status of achievement of Eligibility Criteria for Sample ULB 1

Assumptions for the ULB	Share of GAC	Deadline	Date of verification	Deadline Met	Grant Allocation (% of GAC)
Basic Grant - Participation Agreement Signed	40%	31-Dec-22	19-Jun-21	Yes	40%

Assumptions for the ULB	Share of GAC	Deadline	Date of verification	Deadline Met	Grant Allocation (% of GAC)
Eligibility Criteria "a" achieved	40%	31-Mar-25	09-Oct-23	Yes	40%
Eligibility Criteria "b" achieved	5%	31-Mar-25	19-Dec-21	Yes	5%
Eligibility Criteria "c" achieved	5%	31-Mar-25	27-Aug-21	Yes	5%
Eligibility Criteria "d" achieved	5%	31-Mar-25	02-May-22	Yes	5%
Eligibility Criteria "e" achieved	5%	31-Mar-25	30-May-23	Yes	5%
				Total	100%

18) The quarterly progress of the ULB is summarised in

19) Table 7 below. It signs the participation agreement in the first quarter of FY 2022 and receives Basic Grant allocation of 40%. It meets eligibility criteria "c" and "b" in the second and third quarter respectively and

thus receives an additional 10% Grant Allocation. At the end of the FY2022, it has a Grant Allocation of 50%. It receives another 5% in FY 2023. In the first quarter of FY 2024 it meets criteria "e" and meets criteria "a" in the third quarter of FY 2024. Thus, on 9th October 2023, it receives its full Grant Allocation of 100% of GAC.

Table 7 – Quarterly progress

As on last day of the quarter (% of GAC)	FY 2022	FY2023	FY2024	FY2025
Q1 ending June 30 th	40.0%	55.0%	60.0%	100.0%
Q2 ending September 30 th	45.0%	55.0%	60.0%	100.0%
Q3 ending December 31 st	50.0%	55.0%	100.0%	100.0%
Q4 ending March 31 st	50.0%	55.0%	100.0%	100.0%

20) **Sample ULB 2** signs the Participation Agreement early, within two months of Effectiveness Date. However, it is able to meet only criteria "b", "d" and "e" by the deadline of 31st March 2025. Therefore, 45% of its GAC lapses and it receives a Grant Allocation

of only 55% of its GAC. However, since it has not met Criteria (a) (3), it will not be able to use the Incentive Grants and therefore the 15% Incentive Grant will remain unused.

Table 8 – Status of achievement of eligibility criteria for Sample ULB 2

Assumptions for the ULB	Share of GAC	Deadline	Date of verification	Deadline Met	Grant Allocation (% of GAC)
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Assumptions for the ULB	Share of GAC	Deadline	Date verification of	Deadline Met	Grant Allocation (% of GAC)
Basic Grant - Participation Agreement Signed	40%	31-Dec-22	22-Feb-21	Yes	40%
Eligibility Criteria "a" achieved	40%	31-Mar-25	NA	No	0%
Eligibility Criteria "b" achieved	5%	31-Mar-25	11-Oct-21	Yes	5%
Eligibility Criteria "c" achieved	5%	31-Mar-25	NA	No	0%
Eligibility Criteria "d" achieved	5%	31-Mar-25	27-Dec-21	Yes	5%
Eligibility Criteria "e" achieved	5%	31-Mar-25	27-Sep-22	Yes	5%
Total					55%

21) The quarterly progress of the ULB is summarised in

22) Table 9 below. It signs the participation agreement and receives Basic Grant allocation of 40% very early in the project. It meets two more eligibility criteria "b" and "d" in the same year and thus receives an additional 10% Grant Allocation. At the end of the financial year 2022, it has a Grant Allocation of 50%. It receives another 5% on 27th September 2022. Thereafter it does not meet any of the remaining criteria. Thus between 27th September 2022 and 31st March 2025, its Grant Allocation does not increase. At the

end of the deadline for meeting the eligibility criteria (31st March 2025) it receives a Grant Allocation of only 55% of the GAC. The remaining 45% corresponding to eligibility criteria "a" and "c" lapse. Further, since the ULB has not met Eligibility Criteria "a", it is not be able to utilise its Incentive Grant as it does not have access to a disposal facility. This is described in Step 3 under Eligible Expenditure.

Table 9 – Quarterly progress

As on last day of the quarter (% of GAC)	FY 2022	FY2023	FY2024	FY2025
Q1 ending June 30th	40.0%	50.0%	55.0%	55.0%
Q2 ending September 30th	40.0%	55.0%	55.0%	55.0%
Q3 ending December 31st	50.0%	55.0%	55.0%	55.0%
Q4 ending March 31st	50.0%	55.0%	55.0%	55.0%

Step 3 - Annual Expenditure Cycle

Figure 5 – Overview of Step 3 – Expenditure Cycle

	Step	Responsibility	Methodology	Timeframe
3	Expenditure – SWM component in Annual Development Plan	ULB will propose annual development plan with SWM component	ULB will propose SWM sub projects in its Annual Development Plan following existing procedures. DPC will approve Annual Development Plan.	As per calendar for annual development plan
	Expenditure - Sub project implementation	ULB with support from TSC will implement Sub projects	ULB will design, procure and implement sub projects following guidelines and conditions listed in PIM	After approval of annual development plan. Multi year implementation permitted.

23) The project will follow the GoK’s current system of annual planning, budgeting and disbursement that is being used for providing fiscal transfers to the local governments under the current planning guidelines. Prior to beginning of each fiscal year, the ULBs will identify the investment sub-projects from their SWM Plan to be taken up for implementation in that year and include their proposed capital expenditures under the Annual Development Plan. After approval of the Annual Development Plan by the District Planning Committee, the ULB can design, procure and implement sub projects following guidelines and conditions listed in this PUM. KSWMP has developed additional guidelines specific to the project and SWM sector which will be followed by the ULBs. The KWSMP guidelines include a) Eligible Expenditure and Expenditure Limits; b) technical guidelines & national/state regulations for SWM subprojects; c) Environmental and Social

Safeguards systems as per ESMF; d) external statutory audit; and e) procurement systems as per project procurement manual.

24) **Eligible Expenditure and Expenditure Limits:**

25) “**Eligible Expenditure**” will be segregated into Track 1 (T1) and Track 2 (T2) activities. Track 1 activities will be funded by Basic Grant only and will comprise of investments which do not require land and/or access to disposal facility. These can be initiated by the ULBs immediately on signing of the Participation Agreement. These include a) expanding the coverage of decentralized BDW management systems (generator and community level), b) upgrading the existing MCFs/RRFs, c) closure remediation of existing dumpsites and development of incremental disposal cells as interim facility, d) routine public space cleaning/sanitization and other waste management activities related to COVID-19 like

procurement of protective gears, and equipment for sanitation workers, financial support to existing women SHGs engaged for ongoing waste collection services and e) O&M payments for tipping fee or secondary transportation for regional disposal facilities. Track 2 (T2) activities will be funded by Incentive Grant only and **comprise investment subprojects which will generate waste that would require a final disposal facility.** These can be taken up only after Eligibility Criteria (a) (3) - "confirmed access to/use of facility for safe disposal of waste, as per national SWM rules 2016 and other national regulations" has been achieved. These include a) establishing/strengthening primary waste collection and transportation systems, b) developing new waste management/processing facilities and c) new MRFs/recycling facilities for NBDW. The investments will be picked by ULBs from this menu as part of city SWM plans. The list of Eligible Expenditure for Track I and Track II is provided in Annexure A.6.5 in Volume 3. **Suchitwa Mission will have the responsibility for updating the list of Eligible Expenditure with prior approval from World Bank to include new expenditure items.**

- 26) **"Expenditure Limit"** defines the limit up to which Grant Allocation will be disbursed against Eligible Expenditure incurred. The
- 28) Table 10, the ULB has signed the Participation Agreement on 4th Feb 2021. Therefore it can receive disbursements against Eligible Expenditure in Track 1 projects from 4th Feb 2021 onwards. The limit for Track 1 expenditure will be Rs 1.73 Crores, equal to its Basic Grant. It has also achieved Eligibility Criteria b, c, d and e in FY2022 itself and therefore has an Incentive Grant Allocation of

Table 10 – Illustration 1 of Expenditure Limit

Expenditure Limit for Track 1 projects will be equal to the Basic Grant Allocation till date. The Expenditure Limit for Track 2 projects will be the Incentive Grant Allocation till date, provided Eligibility Criteria "a" "3" has been achieved. If not, Expenditure Limit for Track 2 projects will be nil. This is since, at present, all identified Track 2 expenditure also require that the Eligibility Criteria "a" "3" to be met. Therefore, even if one or more of Eligibility Criteria "b" to "e" have been met and corresponding Grant Allocation has been made, the ULB will not be able to take up Track 2 projects without meeting Criteria "a" "3". **In future, it may be possible that the technical requirements for taking up a Track 2 project are different (e.g access to a facility outside the State) and in such cases, Track 2 expenditure could be taken up once any Incentive Grant Allocation is received without waiting for meeting Eligibility Criteria "a" "3".** The Expenditure Limits will be notified by SPMU continuously on verification of Eligibility Criteria and Grant Allocation to ensure that disbursements can be made up to the latest Grant Allocation for any ULB.

27) **Illustration 1:** In the example in

20% at the end of FY2022. However, since it achieves Eligibility Criteria "a" "3" only on 3rd Nov 2024, its Expenditure Limit for Track 2 is activated only in FY2025. Thus, till 3rd Nov 2024 when the Expenditure Limit for Track 2 is activated, the ULB is eligible to receive disbursements only for Eligible Expenditure in Track 1 projects.

Assumptions for the ULB	Share of GAC	Deadline	Date of verification	Deadline Met	Grant Allocation (% of GAC)
Basic Grant - Participation Agreement Signed	40%	31-Dec-22	04-Feb-21	Yes	40%
Eligibility Criteria "a" achieved	40%	31-Mar-25	03-Nov-24	Yes	40%
Eligibility Criteria "b" achieved	5%	31-Mar-25	13-Oct-21	Yes	5%
Eligibility Criteria "c" achieved	5%	31-Mar-25	08-Aug-21	Yes	5%
Eligibility Criteria "d" achieved	5%	31-Mar-25	20-Aug-21	Yes	5%
Eligibility Criteria "e" achieved	5%	31-Mar-25	17-Feb-22	Yes	5%
				Total	100%

Expenditure Limit in Rs Cr at end of FY		FY 2022	FY2023	FY2024	FY2025	FY2026	FY2027
Track 1		1.73	1.73	1.73	1.73	1.73	1.73
Track 2		0.00	0.00	0.00	2.59	2.59	2.59

29) Illustration 2: In the example in

30) Table 11 below, the ULB does not meet Eligibility Criteria "a" "3" by the deadline of 31st March 2025. Therefore it receives only Basic Grant Allocation and therefore can only incur expenditure in Track

1 projects. Its expenditure limit for Track 2 projects does not get activated, even though it has met Eligibility Criteria b, c, d and e, and therefore will eventually lapse.

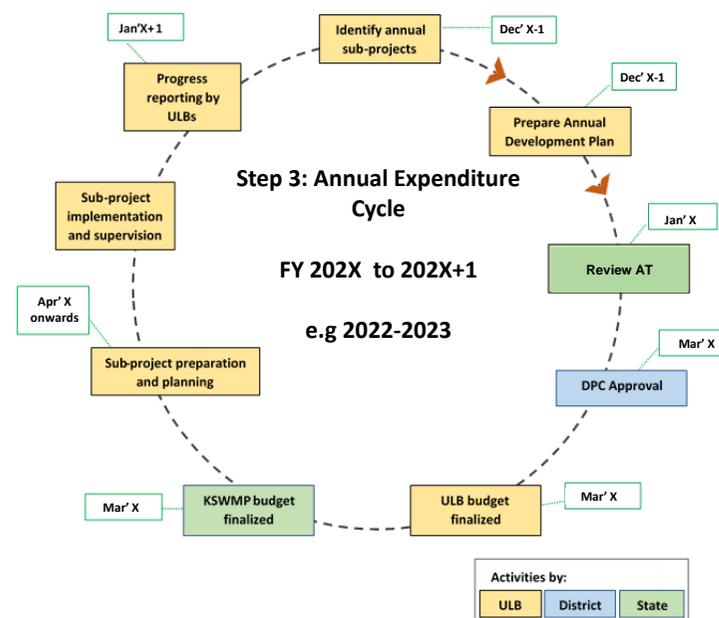
Table 11 – Illustration 2 of Expenditure Limit

Assumptions for the ULB	Share of GAC	Deadline	Date of verification	Deadline Met	Grant Allocation (% of GAC)
Basic Grant - Participation Agreement Signed	40%	31-Dec-22	13-Jun-21	Yes	40%
Eligibility Criteria "a" achieved	40%	31-Mar-25	27-Aug-25	No	0%
Eligibility Criteria "b" achieved	5%	31-Mar-25	01-Aug-22	Yes	5%

Eligibility Criteria "c" achieved	5%	31-Mar-25	22-Dec-22	Yes	5%		
Eligibility Criteria "d" achieved	5%	31-Mar-25	17-Feb-22	Yes	5%		
Eligibility Criteria "e" achieved	5%	31-Mar-25	30-Nov-22	Yes	5%		
					Total	60%	
Expenditure Limit in Rs Cr at end of FY		FY 2022	FY2023	FY2024	FY2025	FY2026	FY2027
Track 1		3.00	3.00	3.00	3.00	3.00	3.00
Track 2		0.00	0.00	0.00	0.00	0.00	0.00

31) **City level SWM Investment Planning:** Each ULB will prepare a city-level SWM plan (SWMP) in the beginning of the project, as per the national guidelines, state level SWM strategy and the detailed stepwise guidance provided in the PIM. Detailed guidelines for the preparation of SWMP are part of [Section 8.1 of PIM]. After approval of the plan by SM, the SWMP will provide inputs to the Annual Development Plan process of the ULBs.

32) **“Annual Expenditure Cycle”:** The Annual Expenditure Cycle is illustrated in Figure 6. This cycle repeats every year. Based on the approved SWMP, the ULB will identify SWM subprojects and include them in the SWM subcomponent of the Annual Development Plan. In the initial years of the project, the SWMP may not have been prepared and approved, and therefore ULBs can propose subprojects identified following current annual development plan process. Once the SWM Plan has been approved, subprojects are expected to be identified out of the approved SWM Plan. The subprojects can be proposed for multi-year approval and therefore the annual development plan will also include phasing of expenditure of a subproject over multiple years. The size of the



SWM subcomponent will be guided by the Grant Allocation and Expenditure Limit prevailing at the time of approval. However, this is not a limiting factor. DPC, in anticipation of the ULB meeting

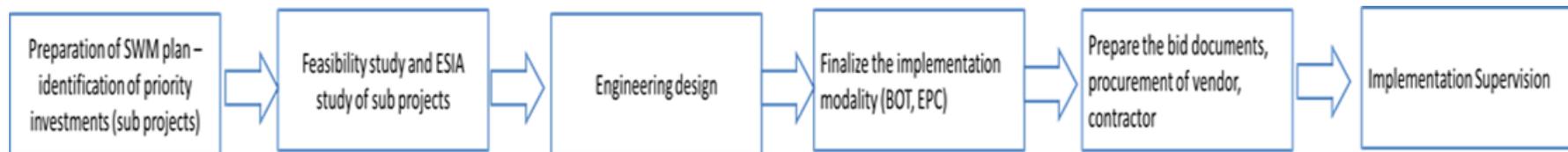
additional Eligibility Criteria during the financial year, can approve subprojects in excess of prevailing Expenditure Limits. However disbursement of grant will be dependent on meeting the Eligibility Criteria, securing the higher Grant Allocation and Expenditure Limit. Therefore, even though a higher Annual Development Plan outlay may have been approved, the ULB has the responsibility to phase the actual expenditure after achieving the additional Eligibility Criteria and securing the Grant Allocation and Expenditure Limits. The Annual Development Plan may be approved provisionally or in part, depending on the outcome of review of “Annual Triggers” and if any non-compliance has been observed. This is explained in further detail under Step 5.

33) While approving the Annual Development Plan, DPC will also ensure that all subprojects have funds fully tied up, either exclusively from KSWMP (preferably) or from other committed source of funds; and that KWSMP funds are not spread partially across many subprojects that may lead to incomplete projects. The

DPC will also give preference to allocating KWSMP funds for multiyear projects carried over from previous years before approving new subprojects.

34) **Sub-project planning, design and implementation:** Once the Development Plan is approved by the DPC, the ULB will be primarily responsible for planning, design and implementation of the sub-projects approved in the Annual Development Plan. It will receive adequate technical assistance for design and implementation supervision by the DPMUs through dedicated district level TSCs financed under component 1. The ULBs will also have the option of delegating this responsibility to SM for complex investments or where a group of ULBs and local Governments plan to collaborate for a cluster/regional approach for waste treatment/disposal. Even if the implementation responsibility is delegated to Suchitwa Mission, the responsibility for meeting all “Annual Triggers” (Step 5) will continue to rest with the ULBs.

Figure 7: Sub projects – Planning to Implementation



35) The overview of subproject workflow is presented below **Error! Reference source not found.** and the detailed workflow is presented in Annexure A.3.7 and Annexure A.3.8 in Volume 3. For each sub-project, the ULB will be required to undertake (i) feasibility assessment of the various alternative technical solutions including climate and disaster resilience, environment and social risk

screening and financial sustainability assessment, (ii) firm up the preliminary engineering designs and implementation modality (DBOT, EPC etc.), and (iii) environment and social impact assessment and management plan preparation. Technical procedures, frameworks and guidelines are

laid out in the PIM for planning, designing and implementing SWM investment sub-projects and also to prepare and implement ESIA/ESMP and other safeguards management plans required as per ESMF [Volume 2 of the PIM and Section AA ESMF]. The TSCs will support the ULBs in undertaking all the technical work for sub-project preparation including planning, preparation of engineering designs and safeguards instruments etc. For the procurement and contract management, the ULBs will be required to comply with the project procurement manual.

36) The detailed procedures for technical review and approval will be detailed out in Annexure A.3.2, according to the size, level of complexity, risk, etc. of the different sub-projects. Accordingly, the ULBs will be required to submit the necessary documents to DPMU for their initial review, who will then submit to SPMU for final review and approval. For the sub-project activities which require the Bank’s prior review and no-objection, SPMU will coordinate the process of submitting the required documents to the Bank and

seek no-objection before authorizing the ULBs to proceed with implementation.

37) Once the technical approvals and clearances have been obtained from SPMU on the DPR/ESIA and other technical documents, the TSC will also support ULBs in undertaking the procurement process, engaging the works contractor and supervising the sub-project implementation. TSCs will assist the ULBs in awareness generation, community mobilization and stakeholder engagement activities, and in preparing periodic physical and financial progress reports.

38) Irrespective of the size of Grant Allocation; Expenditure Limits; or the size of the Annual Development Plan approved, Grants will be disbursed only against actual expenditure incurred on subprojects (subject to compliance with Annual Triggers discussed in Step 5 below).

39) The responsibility matrix for the Expenditure Cycle is illustrated in **Error! Reference source not found.** below.

Table 12: Responsibility Matrix for Step 3 – Expenditure Cycle (update based on subproject flowchart of PwC)

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
2.3.1	Eligible Expenditure	“Eligible Expenditure” will be segregated into Track 1 (T1) and Track 2 (T2) activities. Suchitwa Mission will update the list of Eligible Expenditure with prior approval from World	List of Eligible Expenditure, Classification of Track 1 and Track 2 projects	Annexure A.6.5 in Volume 3	On or before Effectiveness date. Updated at least once every quarter	SPMU	SM, WB	PMC

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
		Bank to include new expenditure items.						
2.3.2	Expenditure Limits	ULB can incur expenditure on Track1 and Track 2 projects. The Basic Grant can be utilised only for Track 1 projects and Incentive Grant can only be used for Track 2 projects. SPMU will notify the limit to which ULB can take up expenditure based on the Eligibility Criteria met and the requirements for Track 1 and Track 2 projects. At present, all identified Track 2 expenditure also require that the Eligibility Criteria "a" "3" is met. Therefore, even if one or more of Eligibility Criteria "b" to "e" have been met and corresponding Grant Allocation has been received, the ULB will not be able to take up Track 2 projects without meeting Criteria "a" "3".	NA	NA	Continuously on verification of Eligibility Criteria and Grant Allocation; and a consolidated list on the last day of February to facilitate annual development plan	SPMU	SPMU	PMC

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
2.3.3	Annual Development Plan	Based on existing guidelines annual development plan and procedures, the ULB will identify SWM subprojects and include them in the Annual Development Plan. The expenditure limits determined by SPMU will guide, but not limit, the overall size of the SWM subprojects in the Annual Development Plan.	GoK Annual Development Plan guidelines.	Annexure 3.6	Annual Development Plan cycle	ULB	Municipal Council	TSC
			<i>Solid Waste Management Plan of the ULB</i>	Section Error! Reference source not found. of the PIM	NA	NA	NA	NA
2.3.4	Approval of Annual Development Plan	The Annual Development Plan will be approved by DPC and/or GoK as per existing procedures and guidelines. The DPMU may provide inputs to the DPC and/or GoK on whether the subprojects proposed are part of Eligible Expenditure;	NA	NA	As per GoK guidelines	DPC	DPC	DPMU

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
		and on Expenditure Limits and status of “Annual Triggers”.						
2.3.5	Preparation of subprojects and submission to DPMU for approval	The ULB with the support of TSC will prepare subprojects. It will follow the relevant KSWMP guidelines and procedures in subproject preparation. The TSC will support the ULB in identifying projects that require prior approval and submit the same to DPMU for approval	Subproject preparation guidelines	Volume 2 of PIM and ESMF	As per GoK guidelines	ULB	Municipal Council	TSC
2.3.6	Technical and financial sanction for subprojects	The ULBs will be required to submit the necessary documents to DPMU for their initial review, who will then submit to SPMU for final review and approval. For the sub-project activities, which require the Bank’s prior review and no-	PIM	Refer Responsibility Matrix-Grant tab in provided in Annexure A.3.2 in Volume 3 of the PIM	As per GoK guidelines and PIM	DPMU, SPMU, World Bank	DPMU, SPMU, World Bank	PMC

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
		objection, SPMU will coordinate the process of submitting the required documents to the Bank and seek no-objection before authorizing the ULBs to proceed with implementation		(Activity No. C2.G.3.4)				
2.3.7	Procurement and Implementation of subprojects	The ULB will follow all relevant guidelines and procedures in procurement and in implementation of subprojects, including reporting to DPMU	PIM	Refer Responsibility Matrix-Grant tab in provided in Annexure A.3.2 in Volume 3 of the PIM (Activity No. C2.G.3.4)	As per PIM	ULB	Municipal Council	TSC
2.3.8	Progress and Compliance reporting	The ULB will submit periodic physical, financial progress reports, Grant Utilisation reports and other compliance requirements.	PIM	Refer Responsibility Matrix-Grant tab in provided in Annexure A.3.2 in Volume 3 of the PIM	As per PIM	ULB	NA	TSC

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
				(Activity No. C2.G.3.4)				

Illustration of Expenditure Cycle

40) The Expenditure Cycle is illustrated in **Error! Reference source not found.** below for a ULB of population approximately 40,000.

41) The ULB receives an initial GAC of Rs 6.99 crores which is increased to Rs 7.36 crores at the end of second year due to reallocation (Step 6 discussed later). It does not meet Eligibility Criteria "b" and therefore 5% of its GAC lapses after the fourth year. The GAC reduces to Rs 6.99 Crores (SI No 1).

42) **SWM Plan outlay:** The total value of the SWM plan is Rs 8.36 crores (SI No 3) which is higher than the initial GAC, the revised GAC and the final GAC. Therefore, some part of the SWM plan

outlay will have to dropped by the ULB during implementation. Moreover, the value of Track 1 projects identified by the ULB is 45% of the total SWM plan outlay, whereas the limit for Track 1 expenditure is 40% (equal to Basic Grant). Therefore the ULB will also have to choose less subprojects from Track 1 during annual development plan.

43) **Year ending March 31, 2022:** At the beginning of the year, the ULB does not have a Grant Allocation (it signs the participation agreement only on 17TH May 2022). Therefore, even though it has planned an outlay of Rs 0.75 crores for FY 20222 in its SWM Plan, it has not proposed any SWM component in its annual development plan for FY 2022.

Table 13: Illustration of Expenditure Cycle (Tale continues in next page)

Assumptions for the ULB	Share of GAC	Deadline	Date of verification	Deadline Met	Grant Allocation (% of GAC)
Basic Grant - Participation Agreement Signed	40%	31-Dec-22	17-May-22	Yes	40%
Eligibility Criteria "a" achieved	40%	31-Mar-25	08-May-24	Yes	40%
Eligibility Criteria "b" achieved	5%	31-Mar-25	24-Aug-25	No	0%
Eligibility Criteria "c" achieved	5%	31-Mar-25	30-Oct-22	Yes	5%

Eligibility Criteria "d" achieved	5%	31-Mar-25	08-Oct-22	Yes		5%	
Eligibility Criteria "e" achieved	5%	31-Mar-25	13-Jan-24	Yes		5%	
				Total		95%	
Summary (All values are cumulative till end of FY in Rs Cr)	End of Project	31-Mar-22	31-Mar-23	31-Mar-24	31-Mar-25	31-Mar-26	31-Mar-27
1. Grant Allocation Ceiling	6.99	6.69	7.36	7.36	7.36	6.99	6.99
2. SWM Plan Outlay							
<i>Track 1</i>	3.76	0.75	1.76	2.17	2.84	3.26	3.76
<i>Track 2</i>	4.60	-	-	1.05	3.35	4.60	4.60
Total Value of the SWM Plan	8.36	0.75	1.76	3.22	6.19	7.86	8.36
3. Grant Allocation (Actual)							
	6.99	-	3.68	4.05	6.99	6.99	6.99
4. Expenditure Limit (Limited by Grant Allocation)							
<i>Track 1</i>	2.94	-	2.94	2.94	2.94	2.94	2.94
<i>Track 2</i>	4.05	-	-	-	4.05	4.05	4.05
Total Expenditure Limit	6.99	-	2.94	2.94	6.99	6.99	6.99
5. Approved Annual Development Plan							
<i>Track 1</i>	2.94	-	1.76	2.17	2.84	2.94	2.94
<i>Track 2</i>	4.05	-	-	-	3.35	4.05	4.05
Total Annual Development Plan	6.99	-	1.76	2.17	6.19	6.99	6.99
6. Actual Expenditure							
<i>Track 1</i>	2.92	-	1.52	1.95	2.66	2.85	2.92
<i>Track 2</i>	3.95	-	-	-	2.68	3.61	3.95
Total Annual Expenditure	6.87	-	1.52	1.95	5.34	6.46	6.87

Note: Figures may not match exactly due to rounding off

44) **Year ending March 31, 2023:** Even by March 2022, the ULB has not signed the Participation Agreement or met any Eligibility Criteria. Therefore its Grant Allocation during the preparation of Annual Development Plan is nil. However, this is not a limiting factor in planning. The ULB anticipates that it would receive Grant Allocation of Rs 1.76 crores during FY 2023 (and corresponding Expenditure Limit) and therefore has proposed an Annual Development Plan for the same amount. This will require a reworking of the phasing in its SWM plan to be within the anticipated Grant Allocation and Expenditure Limits. Thus, even though by FY 2023, the ULB had planned a cumulative expenditure of 3.68 crores in its SWM Plan, it is able to take up only the Track 1 projects in FY 2023. During the year, it has signed the Participation Agreement and has also met Eligibility Criteria “c” and “d” thus receiving a total Grant Allocation of 50% at the end of the year, equivalent to Rs 3.68 crores, higher than the size of its Annual Development Plan. However its disbursement will be limited to actual expenditure which is only Rs 1.52 crores. The ULB cannot take up Track 2 projects since it has not yet met Eligibility Criteria “a” even at the end of FY 2023. Thus, at the end of FY 2023, even though it has a Grant Allocation of Rs 3.68 crores, it is able to take up expenditure only in Track 1 projects (Rs 1.76 crores); and also can receive disbursement only to the extent of actual expenditure (Rs 1.52 crores).

45) **FY 2024:** Similarly, it is able to anticipate an additional Grant Allocation of 5% during FY 2024 and is therefore able to propose a small increment in its Annual Development Plan (From Rs 1.76 crores to Rs 2.17 crores, an increase of 0.41 crores only). Actual Expenditure increases to Rs 1.75 crores (cumulative).

46) **FY 2025:** It anticipates that it would meet criteria “a” during the year and therefore proposes a sharp increase in annual development plan to reach a cumulative value of Rs 6.19 crores. It meets Eligibility Criteria “a” in May 2024 itself and is therefore able to increase its actual expenditure also to Rs 5.43 crores at the end of the year. Since it does not meet Eligibility Criteria “b” 5% of its GAC lapses at the end of FY 2025.

47) **FY 2025 and FY 2026:** The ULB repeats this expenditure cycle. At the end of the project, it has received a Grant Allocation of Rs 6.99 crores, proposed annual development plan of Rs 6.99 crores but has incurred actual expenditure of only Rs 6.87 crores. The ULB has lost 5% of its GAC and has also underutilised the actual Grant Allocation. Moreover, the ratio of Track 1 projects implemented as compared to SWM plan is 77.6%. For Track 2 projects this is 85.9%. This is since in the its SWM Plan outlay, it had proposed a share of 45% for Track 1 projects which does not adhere to the condition that only Basic Grants of 40% can be used for Track 1 projects. Thus, during implementation, it had to reduce the relative allocation to Track 1.

Step 4 - Disbursements

Figure 8 – Overview of Step 4 – Disbursements

4	Step	Responsibility	Methodology	Timeframe
	Disbursement of grants against expenditure	Directly by GoK	GoK will disburse allocated grants directly in the form of payment of bills to vendors, suppliers and contractors	On submission of bills by ULB to GoK

48) The Kerala State treasury system and existing local government financial management systems will be used for disbursing grants to the ULBs. In line with existing grants mechanisms, disbursement will not mean the actual/physical flow of cash to ULBs. Payments to contractors, vendors or suppliers will be made directly through the existing treasury mechanisms. The procedures will be as follows:

- a) After incurring expenditure, ULBs will submit the bills and supporting documents to DPMU
- b) The DPMU will confirm that the cumulative disbursements to the ULB will be within the Disbursement Limit for the ULB set in Step 5 (which is the Expenditure Limit less outstanding non-compliance with “Annual Triggers”).
- c) The DPMU will forward the verified documentation to the Treasury and request the Treasury to release funds to the contractors, vendors and suppliers. The payments will be processed at the treasury level.

49) As per KSWMP design, once a subproject is approved under Annual Development Plan and the detailed subproject design is approved by SPMU, the ULB is responsible for implementation and for compliance with all the guidelines. This approach needs to ensure that disbursement is quick once a ULB incurs expenditure, and is not unduly delayed due to verifications, compliance checks etc. Therefore, the review of the compliance of the sub-project with annual triggers (whether safeguards have been met, procurement guidelines have been followed etc.) will be on post disbursement basis (part of the “Annual Trigger” review in Step 5). This will ensure that payment to contractors, vendors and suppliers are quick for approved subprojects; and that any non-compliance attributable to the ULB does not introduce delays.

50) The responsibility matrix for the Disbursements is illustrated in **Error! Reference source not found.** below.

Table 14: Responsibility Matrix for Step 4 – Disbursements

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
2.4.1	Submission of validated bills to DPMU	The ULB, with support from TSC, will submit validated bills to DPMU for processing payment.	GoK Annual Development Plan guidelines.	Annexure A 3.6	Annual Development Plan cycle	ULB	NA	TSC
2.4.2	Disbursement	Treasury will make payments directly to the vendors, suppliers and contractors of the ULB as per DPMU certification, up to the Disbursement Limit for the ULB (see 2.5.3 below for Disbursement Limit)	Disbursement Limit	Refer to Grant tab of the Responsibility Matrix provided in Annexure A.3.2	As per existing GoK procedures for disbursement of grants	DPMU, District Treasury	District Treasury	PMC

51) The Disbursement mechanism is illustrated in **Error! Reference source not found.** below for a sample ULB.

Table 15: Disbursement - Illustration 1

Rs Crores	31-Mar-22	31-Mar-23	31-Mar-24	31-Mar-25	31-Mar-26	31-Mar-27
1. Overall expenditure limit	6.51	17.90	17.90	17.90	21.16	21.16
2. Actual Expenditure in current FY	1.65	0.49	5.16	6.20	5.48	0.62
3. Cumulative expenditure till end of current FY	1.65	2.14	7.30	13.50	18.99	19.61
4. Cumulative disbursement at beginning of FY	0.00	1.65	1.65	6.69	12.14	16.60
5. Actual expenditure pending disbursement (3-4)	1.65	0.49	5.65	6.81	6.85	3.01
6. Outstanding non-compliance at end of FY (as determined in Step 5)	0.00	0.60	0.61	1.37	2.39	2.00
7. Net disbursement for the FY (5-6)	1.65	0.00	5.04	5.44	4.46	1.00

Rs Crores	31-Mar-22	31-Mar-23	31-Mar-24	31-Mar-25	31-Mar-26	31-Mar-27
8. Cumulative disbursement at end of FY	1.65	1.65	6.69	12.14	16.60	17.60

Note: Figures may not match exactly due to rounding off

52) The ULB incurs an expenditure of Rs 1.65 crores in FY 2022. The expenditure is within the expenditure limit of Rs 6.51 crores. Since this is the first year, there are no outstanding non compliances from previous years and there is no adjustment. Thus, the entire expenditure incurred is disbursed in the year. In January 2022, the Annual Trigger review (as per Step 5) determines a non-compliance in FY 2022 expenditure of Rs 0.92 crores (not shown in the illustration). As per the “post disbursement” principle, this is flagged for correction in the following year (FY 2023) and is not deducted from FY 2022 disbursements, and in any case most the payments for FY 2022 may have already been made by the time Annual Trigger review takes place.

53) In FY 2023, incremental expenditure is Rs 0.49 Crores. Out of the total non-compliance from previous year of Rs 0.92 crores, the ULB is able to resolve Rs 0.32 crores through corrective action (not shown in the illustration). There is an outstanding non-compliance of Rs 0.6 crores (Step 6). This will be first set off from the actual

expenditure. Since the actual expenditure is only Rs 0.49 crores, there is no disbursement possible in FY 2023 even though the ULB has incurred expenditure. The ULB had the freedom to calibrate its expenditure during FY 2023 voluntarily (even though it had adequate Grant Allocation and Expenditure Limit) and incur them only after it has redressed outstanding non compliance. It failed to address non compliance from January 2022 (when it was identified) till March 2023, and therefore is unable to secure disbursements for expenditure incurred by it.

54) Its outstanding non compliance continues to increase and even at the end of the project (Rs 2 crores), it has not corrected non compliance and therefore its disbursement at the end of the project is lower than its expenditure by Rs 2.01 crores (Step 8). Further, it may also have to refund any additional non compliance discovered in January 2027.

55) A different scenario is illustrated in **Error! Reference source not found.** below.

Table 16: Disbursement - Illustration 2

Rs Crores	31-Mar-22	31-Mar-23	31-Mar-24	31-Mar-25	31-Mar-26	31-Mar-27
1. Overall expenditure limit	4.85	5.33	13.33	13.33	15.76	15.76
2. Actual Expenditure in current FY	1.23	0.55	3.29	4.91	3.91	0.67

Rs Crores	31-Mar-22	31-Mar-23	31-Mar-24	31-Mar-25	31-Mar-26	31-Mar-27
3. Cumulative expenditure till end of current FY	1.23	1.78	5.07	9.98	13.89	14.56
4. Cumulative disbursement at beginning of FY	0.00	1.23	1.41	4.91	8.52	13.29
5. Actual expenditure pending disbursement (3-4)	1.23	0.55	3.66	5.07	5.37	1.27
6. Outstanding non-compliance at end of FY (as determined in Step 5)	0.00	0.37	0.16	1.46	0.60	0.00
7. Net disbursement for the FY (5-6)	1.23	0.18	3.50	3.61	4.77	1.27
8. Cumulative disbursement at end of FY	1.23	1.41	4.91	8.52	13.29	14.56

Note: Figures may not match exactly due to rounding off

56) The ULB is able to reduce outstanding non compliance in FY 2024 as compared to FY 2023. Thus it is able to recover some of the withheld disbursements of FY 2023. As a result, its disbursement in the year FY 2024 is higher than the expenditure incurred in the same year. The difference pertains to withheld disbursements of the previous year. Similarly in FY 2026 and FY 2027 it reduces outstanding non compliance and its disbursement is higher than the expenditure.

57) It may be noted that in both illustrations, only the status at the end of financial year is being discussed. However, at the beginning of

the FY, the incremental Disbursement Limit may be zero or almost zero, since a) Grant Allocations may not have been achieved and the resulting Expenditure Limit may be lower; b) expenditure has not yet been incurred; and c) outstanding non compliance at the beginning of the FY may also be higher. The SPMU will continuously notify the Expenditure Limit and Disbursement Limit throughout the year as and when there is an additional Grant Allocation or correction of non compliance.

Step 5 – Verification of Compliance

Figure 9 – Overview of Step 5 – Verification of Compliance

5

Step	Responsibility	Methodology	Timeframe
Verification of compliance	DPMU and SM	DPMU will verify if the ULB is compliant with subproject guidelines and overall conditions	During the last quarter of each FY covering preceding 4 quarters of expenditure
Corrective action	SM	SM may recover disbursed grants in part or full; or until correction may suspend disbursements in part or full; or may suspend sub project(s);	From April 1 of following financial year

58) The verification of “Annual Triggers” (AT) involves two steps – a) DPMU verifying the compliance of the ULB in the last quarter of a financial year and b) corrective actions by the ULB in the next year.

59) “Annual Triggers:” The ULB, as the agency responsible for subprojects, needs to demonstrate compliance with the following conditions for the expenditure incurred.

- a) For each Sub-project, the ULB shall undertake an environment and social impact assessment and prepare and implement an environmental and social management plan and other safeguards management documents in accordance with the provisions of the ESMF (including stakeholder consultations, surveys, investigations, primary data collection and any other necessary field work as necessary to comply with the provisions of the PIM and the ESMF);
- b) The ULB will have received an unqualified or qualified audit opinion from KSAD which does not indicate observations that indicate pervasive financial management weaknesses and/or a pervasive lack of integrity of the financial statements, [for the financial year within two years of the period of review, i.e. for review during FY 2023, report for FY 2021 or FY 2022.]

c) The ULB shall have procured the goods, works and services for implementing Sub-projects to be financed out of the Grant in accordance with the provisions of the Project Procurement Manual, part of the PIM.

d) The ULB shall have complied with the national SWM rules 2016, technical guidelines and operational procedures laid out in the PIM for planning, designing and implementing SWM investment Sub-projects (including climate and disaster resilience);

e) Each sub project is part of the Eligible Expenditure described in **Annexure A.6.5**

60) Beginning each January, the DPMU will verify the compliance of ULBs with AT for the expenditure incurred since the previous review. Usually, this review will cover the first three quarters of the current FY and the last quarter of the previous FY. DPMU will carry out the review of the ATs for the ULBs in their respective districts and submit the report to SPMU. During the same period, in parallel, the annual development plan will also be in preparation. Approval of the Annual Development Plan for the ULB will depend on whether the ULB has complied materially with the ATs. Depending on the nature of non-compliance, the remedial

actions to be carried out in the next FY may be one or more of the following:

- a) In case of ULB failing to receive an audit report as above, entire disbursement in next FY will be suspended until an acceptable audit is provided.
 - b) If no corrective action is possible, expenditure incurred (related to the non compliance) will be declared ineligible and will not be financed by KSWMP. In such a case the expenditure incurred will have to be met by non KSWMP sources, and the ULB may have to propose other subprojects (which are not under implementation already) to utilise its Grant Allocation.
 - c) Part of annual plan for next FY, equal to the amounts which are non-compliant, will remain suspended, until corrective action has been taken by the ULB.
 - d) Disbursement in the next FY may be suspended to the extent of non compliant expenditure, till the non compliance is rectified.
 - e) Specific subprojects related to non compliance, may be suspended in part or full, until corrective actions are taken.
- 61) Based on the review of DPMU, the SPMU will determine the extent of non compliance, the corrective actions to be taken by the ULB and the extent to which subprojects and/or disbursement will remain suspended until corrective actions are completed. This will be approved by SM. The DPMU will accordingly notify the Disbursement Limit for the ULB for the next FY. The Disbursement Limit for the next FY will be equal to the prevailing Expenditure Limit for the ULB less outstanding non compliance related to all expenditure till period of review, i.e based on review of AT carried out during January-February 2023, the Disbursement Limit will be

set for FY 2024 (2023-24). The Disbursement Limit at the start of FY 2024 will be the Expenditure Limit at the start of FY 2024 (i.e. April 2023) less the outstanding non compliance related to expenditure incurred till December 2022. The Disbursement Limit will not be separately set for Track 1 and Track 2 projects during the implementation period; and will be reconciled once at the end of the Project. It may be noted that Expenditure Limit is regularly set separately for Track 1 and Track 2 projects.

- 62) During the next FY, the ULB may rectify the non-compliance in ATs of previous years, and to that extent, the access to the Grant Allocation or part thereof may be restored. Thus, the ULB will be able to incur expenditure up to its Grant Allocation less any unrestored suspended amount. Suspended amounts can be restored during the financial year without waiting for the next review of AT in January.
- 63) In case no corrective action is possible, the respective non compliant expenditure will be declared ineligible. However, since disbursement would have already been made, the ULB will need to a) refund the disbursements (in case Grant Allocation has been fully disbursed) or b) incur expenditure on another eligible subproject with its own source of funds to adjust the disbursements already made. Effectively, to avoid a refund, the ULB will need to incur equivalent expenditure on a new subproject out of other source of funds.
- 64) The DPMU or SPMU do not restrict the phasing of projects by the ULB within a FY once the annual development plan has been approved by the DPC. They would only limit the disbursements to below the prevailing Disbursement Limit for the ULB. Therefore, it is the responsibility of the ULB to continuously track its progress

in corrective actions and limit the actual expenditure below the Disbursement Limit. Until the Disbursement Limit is restored or enhanced adequately, disbursements will not be carried out even if expenditure has been incurred by ULB on approved subprojects.

65) The DPMU will notify the Disbursement Limit prior to the last day of February for the next FY; and immediately during the year in case of restorations/ enhancements.

66) The PMC will support the DPMU and SPMU; and the TSC will support the ULB in compliance and corrective actions.

67) The responsibility matrix for Step 5 – Verification of Compliance is summarised in **Error! Reference source not found.** below.

Table 17: Responsibility Matrix for Step 5 – Verification of compliance

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
2.5.1	Verification of Compliance	DPMU will verify the compliance of subprojects and expenditure with the project guidelines and frameworks. It is clarified that this review will not be required prior to disbursement and will be carried out in January of each year. The ULB will continue to remain responsible for compliance even though grants may have been disbursed prior to the compliance review.	ATs	Annexure A.6.3.	Starting January of each year to cover expenditure incurred in the last quarter of previous FY and the first three quarters of current FY	DPMU	NA	PMC
2.5.2	Determination of non-compliance and corrective actions to be	Based on the review of DPMU, SPMU will a) notify the non-compliance, b) corrective actions to be taken by ULB and c) recovery or suspension (in	NA	NA	Prior to last day of February	SPMU	SM	PMC

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
	taken by ULB	part or full) of subproject(s) and/or disbursement in next FY till corrective actions are taken by ULB.						
2.5.3	Notification of disbursement limit	The DPMU will notify the revised disbursement limit for every ULB for the next FY taking into account the non-compliance. The disbursement limit will be the Expenditure Limit (sum of Track I and Track II) less the amounts to be recovered (or) amounts suspended as per Step 2.5.2.	NA	NA	Prior to last day of February	DPMU	SPMU	PMC
2.5.4	Corrective action	The ULB can take corrective action anytime to address the non-compliance issues notified by the SPMU.	Based on corrective actions stipulated by SPMU	NA	Anytime during the year	ULB	NA	TSC
2.5.5	Restoration of disbursement limits	DPMU will verify the corrective action reported by ULB and on material compliance, it will recommend the restoration of suspended disbursement(s) or subproject(s) . SM will decide on restoration based on the report of DPMU. The DPMU will notify the revised disbursement limits for the ULB. No disbursement shall be made to the ULB in excess of the Disbursement Limit thus set	NA	NA	Anytime during the year	SPMU	SM	TSC

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
		and revised. If expenditure has been incurred beyond Disbursement Limit, disbursement will remain pending till the Disbursement Limits are restored adequately.						
2.5.6	Recovery	On completion of the project, if any non-compliance issues are outstanding or cannot be corrected, the DPMU will identify the amounts of disbursement corresponding to such non-compliance that have already been made. SM will recover such amounts from the ULB.	NA	NA	On completion of project	DPMU	SM	PMC

Illustration – Verification of non compliance

68) **Error! Reference source not found.** illustrates verification of non-compliance and corrective actions by ULB and the adjustments in disbursements (as part of Step 4).

Table 18: Illustration – Verification of compliance

Rs Crores	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	FY 2027	End of Project
1. Expenditure Limit	0.00	2.94	2.94	6.99	6.99	6.99	6.99
2. Total Annual Expenditure	0.00	1.52	0.43	4.18	0.58	0.21	Cumulative 6.93
3. Non Compliance of current FY to be addressed in next	0.00	1.17	0.23	3.73	0.17	0.14	Cumulative 5.44

Rs Crores	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	FY 2027	End of Project
FY							
4. Redressal in current FY of non-compliance in previous years	0.00	0.00	0.49	0.66	1.58	1.45	Cumulative 4.19
5. Outstanding non-compliance of previous years	0.00	0.00	0.68	0.25	2.40	1.12	NA
6. Actual Disbursement	0.00	1.52	0.00	4.37	0.00	0.00	Cumulative 5.89
7. Outstanding non-compliance at end of Project							1.25
8. Non-compliance already recovered through under disbursement							1.04
9. Eligible Disbursement (2-7)							5.68
10. Excess disbursement to be recovered (6-9)							0.21

Note: Figures may not match exactly due to rounding off

69) In FY 2022, the ULB does not incur any expenditure and therefore there is no non-compliance with ATs.

70) In FY 2023, the ULB incurs an expenditure of Rs 1.52 crores (SI No 2). This is fully disbursed during the year (SL no 6) without waiting to check compliance as per “post disbursement principle”. In January 2023, the review of AT commences and identifies non compliance of Rs 1.17 crores (SI No 3). This will have to be corrected by the ULB in the next FY and thus the Disbursement Limit of the ULB stands reduced by Rs 1.17 crores.

71) In FY 2024, the ULB incurs an expenditure of Rs 0.43 Cr. However, it has an outstanding non compliance of Rs 1.17 crores already and therefore it is not eligible for any disbursement. During the course of the year it is able to correct Rs 0.49 crores of non-compliance (SI No 4) but it is still not adequate to restore the Disbursement Limit. During January 2024, further non compliance of Rs 0.23 crores is

identified for correction in FY 2025. The non-compliance can be corrected and therefore no subproject is suspended.

72) During FY 2025, it incurs annual expenditure of Rs 4.18 crores. It corrects Rs 0.66 Crores of non-compliance during the year. The outstanding non compliance related to previous years is now Rs 0.25 Crores (SI No 5). This outstanding amount is considered while making disbursement in Step 4. The disbursement during the year (SL No 6) is Rs 4.37 crores. This equals the cumulative expenditure till end of FY2025(SI No 2) less the outstanding non compliance at end of FY2025(SI No 5) less the cumulative disbursement till FY2024 (SI No 6).

73) There is an additional non compliance during the year of Rs 3.73 crores (SI No 3). This is not corrected fully in the next two years (SI no 5); Further since the actual expenditure is only Rs 0.48 crores and Rs 0.21 crores in the next two years, there is no disbursement

in FY 2026 and FY 2027 after adjusting the outstanding non compliance.

74) At the end of the project implementation period, the ULB has a net non-compliance of Rs 1.25 crores (SI No 7, i.e. SI No 5 of FY2027 + SI No 3 of FY2027). Out of this Rs 1.04 crores has been recovered in the form of reduction in disbursements compared to actual expenditure (SI No 2 – SI No 6). An additional Rs 0.21 crores needs to be deducted or corrected, but since the implementation period

is complete, no corrective action is possible. The ULB will be required to refund Rs 0.21 Crores.

Step 6 - Reallocation

75) The Participation Agreement needs to be signed before December 31, 2022. The Eligibility Criteria can be met in any of the Years 1, Year 2, Year 3 or up to 31st March 2025 (end of Year 4). Under-utilised funds would be reallocated after these deadlines.

Figure 10 – Overview of Step 6 - Reallocation

Step	Responsibility	Methodology	Timeframe
6 Reallocation of Grants	SM	GAC of ULBs that did not sign PA will be redistributed among other ULBs	January 1, 2023
		GAC and Grant Allocation of ULBs that did not meet all eligibility criteria or did not incur atleast 50% expenditure will be reduced and reallocated to ULBs that have met all eligibility criteria.	April 1, 2025
		Grant Allocation (after reallocation as above) will be limited to two times cumulative expenditure	April 1, 2025

76) **Reallocation at the end of second year:** The SPMU will reallocate unutilised GAC on expiry of deadline for signing of participation agreement (31st December 2022). The unutilised GAC from those ULBs which did not sign the participation agreement will be reallocated among the ULBs that have signed the participation agreement. The reallocation will follow the same methodology as the original allocation, i.e. 80% of the amounts will be distributed among all ULBs in proportion to the population. 20% of the

amounts will be distributed among the municipalities only in proportion to their population.

77) **Reallocation at the end of fourth year:** There may be two reasons for non-utilisation: a) a ULB has not utilised its Grant Allocation due to low spending and b) a ULB has not met all criteria and therefore its Grant Allocation is less than its Grant Allocation Ceiling.

78) **Revision of expenditure limits due to under-utilisation:** The project ensures a great level of flexibility in utilisation of funds and timing of compliance with the eligibility criteria. However, this must be balanced with the need to ensure that funds are absorbed and utilised where they can have a meaningful impact. Hence, by December 31st of the fourth year of the Project (after the 3rd quarter of the FY), the Grant Allocations already made to the ULBs will be reviewed against actual expenditure incurred. The reallocation will impact Grant Allocation and Expenditure Limits in the two final years of the program (5th and 6th). After the reallocation at end of Year 4, the Grant Allocation for the ULB will be fixed for the remaining project period. Thus, the Grant Allocation Ceiling and Grant Allocation will become one and the same from this point of time.

79) The Grant Allocation will be reduced for those ULBs whose expenditure is less than 50% of current Grant Allocation. This is a reasonable limit since the Basic Grant (40% of GAC) was easily accessible to the ULB by just signing the Participation Agreement. The revised Grant Allocation for such ULBs will be twice the expenditure incurred. A minimum Grant Allocation of 66% of current Grant Allocation or the value of contracts awarded will be assured.

80) There will be no reduction in Grant Allocation for ULBs with at least 50% expenditure utilisation. As an example, if a ULB has incurred 45% of its Grant Allocation, its revised Grant Allocation will be 90%. If a ULB has incurred only 25% of its Grant Allocation, its revised Grant Allocation will be 66%. If a ULB has incurred 70% of its Grant Allocation, there will be no reduction in its Grant Allocation and it will stay at 100%. The Expenditure Limits for

Track 1 and Track 2 will be adjusted to reflect contracts entered into.

81) **Reallocation of lapsed Grant Allocation from ULBs that have not met Eligibility Criteria:** GAC not yet allocated because some Eligibility Criteria have not been met will lapse. The respective ULB will not be able to meet these criteria in Year 5 or Year 6. Further, if the ULB did not meet Eligibility Criteria “a” “3”, it would not have been able to incur expenditure in Track 2 and this unutilised Grant Allocation will also lapse.

82) **Reallocation:** Surplus funds arising out of reduction in Expenditure Limit and lapse of GAC as above will be pooled and reallocated among the fully eligible ULBs for expenditure from year 5. Fully eligible ULBs are those that have met all criteria for basic grant and incentive grant as on March 31, 2025 (i.e. their Grant Allocation is equal to their Grant Allocation Ceiling) and have at least incurred expenditure of at least 50% of Grant Allocation. The reduced or lapsed amounts will be reallocated among the fully eligible ULBs pro rata to their population, subject to a cap of twice their current expenditure under the project. The reallocation will follow the same methodology as the original allocation, i.e. 80% of the amounts will be distributed among all ULBs in proportion to the population. 20% of the amounts will be distributed among the municipalities only in proportion to their population. A ULB that has met all criteria for basic grant and incentive grant, and whose expenditure is 80% of its Grant Allocation, could have a revised Grant Allocation of up to 160% of its current Grant Allocation, provided surpluses exist for reallocation.

83) This reallocation exercise is iterative. Some Eligible ULBs may not be able to absorb all the potential reallocation if their current

expenditure is low and the cap of two times current expenditure becomes applicable. Therefore such sums will have to be reallocated to other ULBs who have met the Eligibility Criteria and have potential for expenditure. Any unallocated grants remaining

after the iterative reallocation exercise will be transferred to other components of the project.

84) The responsibility matrix for this Step is provided in Table 19

Table 19 - Responsibility Matrix for Step 6 – Reallocation

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
2.6.1	Reallocation of unutilised GAC	The SM will reallocate unutilised GAC on expiry of deadline for signing of participation agreement. The unutilised GAC from those ULBs which did not sign the participation agreement will be reallocated among the ULBs that have signed the participation agreement. The reallocation will follow the same methodology as the original allocation, i.e. 80% of the amounts will be distributed among all ULBs in proportion to the population. 20% of the amounts will be distributed among the municipalities only in proportion to their population	Allocation formula for GAC	2.1	On expiry of deadline for signing of participation agreement (31st December 2022)	SPMU	SM	PMC
2.6.2	Adjusted expenditure limits	On completion of four years of the project, the expenditure limit will be revised taking into account the actual progress in implementation. ULBs whose cumulative expenditure is less than 50% of Grant Allocation will have a reduction in	NA	NA	On expiry of deadline for meeting all eligibility criteria (31st March 2025)	SPMU	SM	PMC

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
		expenditure limit. The revised expenditure limit will be equal to the value of expenditure contracted or twice the actual expenditure till date whichever is higher. The Grant Allocation and GAC will also stand reduced and will be equal to the revised expenditure limit.						
2.6.3	Expiry of unallocated GAC	The unallocated GAC of those ULBs that have not met all the eligibility criteria for incentive grants will expire on 31st March 2025.	NA	NA	31st March 2025	NA	NA	NA
2.6.4	Reallocation of unutilised Grant Allocation Ceiling and expenditure limits	The SM will reallocate surplus funds arising out of 2.6.2 AND 2.6.3. These funds will be reallocated to those ULBs that have met all the eligibility criteria for incentive grants. The reallocation will follow the same methodology as the original allocation, i.e. 80% of the amounts will be distributed among all ULBs in proportion to the population. 20% of the amounts will be distributed among the municipalities only in	Allocation formula for GAC	2.1	On expiry of deadline for meeting all eligibility criteria (31st March 2025)	SPMU	SM	PMC

Sl.No.	Sub -activity	Methodology	Reference Documents	Link for Reference	Timeframe	Responsibility	Decision Making	Support
		proportion to their population. The Grant Allocation for the ULB will stand revised after this reallocation. The ceiling for the revised Grant Allocation will be equal to twice the cumulative expenditure so far. Any surplus funds that cannot be reallocated due to this ceiling will be transferred to other components.						

Illustration

86) Table 21 below illustrate the overall reallocation exercise. By December 31, 2022, ULB A and ULB B have signed the Participation Agreement while some others have not. Therefore an additional GAC of Rs 0.75 crores is reallocated to ULB A and Rs 7.09 Crores to ULB B (assumption). By the end of Year 4 (March 31,2025), ULB A has achieved all the Eligibility Criteria, while ULB

Table 20 – Illustration of Step 6 - Reallocation

Rs Crores	FY 2022	FY2023	FY2024	FY2025	FY2026	FY2027
Example A						
Grant Allocation Ceiling for the ULB (Rs Cr)	7.49	8.24	8.24	8.24	9.74	9.74
Reallocation		0.75			1.50	
Example B						
Grant Allocation Ceiling for the ULB (Rs Cr)	70.93	78.02	78.02	78.02	31.21	31.21
Reallocation		7.09			-46.81	

85) The examples in

B and some others have not. Therefore ULB A is eligible to receive another reallocation which is Rs 1.50 crores (assumption). As a result of both reallocations, the GAC of ULB A has increased from Rs 7.49 crores initially to Rs 9.74 crores. However, the unallocated GAC of Rs 46.81 crores of ULB B lapses after FY2025 and is reallocated to other ULBs (including ULB A).

87) In Examples 1, 2 and 3 below the reallocation at the end of Year 4 is illustrated.

88) In Example 1, the entire GAC of the ULB has been allocated. Its expenditure is 78% of Grant Allocation and therefore there is no reduction in expenditure limit. Therefore it is able to absorb the entire potential for reallocation (Rs 1.94 crores) and increase its GAC to Rs 12.58 crores.

89) In Example 2, the ULB has not met the Eligibility Criteria “a” “3”. Therefore, it was not able to undertake any expenditure in Track 2 even though it may have met some Eligibility Criteria “b” to “e”. On 31st March 2025, the entire Incentive Grant lapses for the ULB; and its GAC reduces to 3.9 Crores, i.e. the Basic Grant amount. Therefore it is not eligible to receive reallocated amounts from

other ULBs also. Its actual expenditure is Rs 3.60 crores which is higher than 50% of the Expenditure Limit and therefore there is no reduction.

90) In Example 3, the ULB has met all Eligibility Criteria and therefore is eligible to receive an additional allocation of Rs 1.52 crores. However, its progress in expenditure is slow (Sl No 9) and it has incurred actual expenditure of only Rs 3.88 crores (46%). Therefore there is a reduction in its Expenditure Limit to Rs 7.77 Crores (twice current expenditure). For the same reason, the potential increase in GAC due to reallocation also cannot be absorbed. Thus, due to poor implementation, not only is it foregoing the addition to its GAC, its existing Expenditure Limit is also getting reduced.

Table 21 – Illustration of Step 6 - Reallocation

Rs Crores	Example 1	Example 2	Example 3
A. Reallocation of unutilised Grant Allocation from other ULBs			
GAC for the ULB at end of Year 4	10.64	9.75	8.37
1. Basic Grant at end of Year 4	4.26	3.90	3.35
2. Incentive Grant at end of FY (if criteria “a” “3” not achieved this is nil)	6.39	0.00	5.02
3. Total Grant Allocation at the end of FY	10.64	3.90	8.37
4. Reallocation from ULBs that have not met all Eligibility Criteria	1.94	0.00	1.52
5. Revised Basic Grant (Potential)	5.03	3.90	3.96
6. Revised Incentive Grant (Potential)	7.55	0.00	5.94
7. Revised Total Grant (Potential, before check of actual expenditure) (3 + 4)	12.58	3.90	9.90
B. Revised Expenditure Limit			
8. 66% of Grant Allocation before reallocation	7.10	2.60	5.58

Rs Crores	Example 1	Example 2	Example 3
9. Cumulative Expenditure at end of FY	8.36	3.60	3.88
10. Two times cumulative expenditure at end of FY	16.71	7.20	7.77
11. Value of contracts awarded at end of FY	9.58	3.51	7.54
C. Revised Grant Allocation	12.58	3.90	7.77
D. Revised Expenditure Limit			
12. Floor (Maximum of 8 or 11)	9.58	3.51	7.54
13. Ceiling (Minimum of 10 or C)	12.58	3.90	7.77
Revised Expenditure Limit (higher of 12 and 13)	12.58	3.90	7.77
Track 1 (Existing Expenditure Limit is preserved in case of reduction)	5.03	3.90	3.35
Track 2 (Remaining, if any, allocated to Track 2)	7.55	0.00	4.42

Chapter 7. - Technical guidelines for SWM sub-projects

A 7.1 List of field surveys to be carried out for various types of investments

Survey I: Proforma for data collection

Proforma for data collection for the purpose ascertaining the current status of SWM & gaps in service delivery

Name of the City	
Name of the District	

A. CITY PROFILE

a. Area of municipal limit _____ Sq. Km;

b. Population: _____

Population	1991	2001	2011	Current Population
Decadal growth	%	%	%	

c. No. of wards: _____

No. of municipal wards	No. of sanitation wards

d. Ward-wise area & population (please attach statement)

e. Ward-wise No. of slums settlements & slum population (please attach statement)

Give details of:

- Annual Festivals/events
- Floating Population

f. Details of Households, shops, offices, schools etc. in the city

Type of property	No. of units	Approximate quantity of Waste generated per day
Households		
Shops and workshops		
Offices and institutions		
Industries		
Vegetables markets		
Fruits markets		
Meats markets		
Fish markets		
No. of hospitals		
No. of nursing homes		
No. of beds in the hospitals/nursing homes		
No. of path laboratories		
Total no. of hotels		
No. of beds in the hotels		
No. of restaurants		
Parks and gardens		
Others		
Total		

g. Main industries and Main tourist and pilgrimage spots in the city in the city (attach list)

h. Estimated Waste generation rate: (Per capita MSW generated in grams per day) and basis of estimation

- If waste quantification study is done in recent past, give such details
- Physical/chemical composition if available

Special information

- Covid treatment centers – First level / Secondary & Tertiary levels

i. Rainfall and climate

Annual rainfall	Minimum temperature	Maximum temperature

j. Water table in the area

k. No. of drains / streams in the city

B. INSTITUTIONAL PROFILE OF THE CITY

a. Organizational chart of the local Government body (please attach)

b. Organizational chart of SWM department (please attach)

c. Manpower details (sanitary worker and drivers)

Type of sanitation workers/drivers	No. of permanent sanitation workers/drivers	no of temporary sanitary workers /drivers	sanitation workers on contract/drivers
Street sweepers			

Type of sanitation workers/drivers	No. of permanent sanitation workers/drivers	no of temporary sanitary workers /drivers	sanitation workers on contract/drivers
Drain cleaners			
Transportation Staff			
Engaged in Treatment of waste			
Engaged for Disposal of waste			
Driving of vehicles			

d. Supervisory staff deployed

Designation	Nos.
Lowest level supervisor	
Sanitary inspector	
Chief sanitary inspector	
Environmental/ civil engineer	
Health officer	
Director	
Total	

e. Tools given to sanitary workers for Street sweeping, surface drain cleaning, etc. and the frequency of replacing tools.

C. PRESENT SCENARIO OF SOLID WASTE MANAGEMENT PRACTICES

a. Segregation and Storage of waste at source

1.	Whether households, shops and establishment keep set of three domestic, trade, institutional bins at the Source of waste generation for storage of segregated biodegradable, non-biodegradable and domestic hazardous wastes? If yes; What percentage of population stores the waste at source?	<u>Yes / No</u> (%)
2.	What percentage of population throws the waste on streets, open spaces, etc.	(%)
3.	Whether there is a system of segregation of recyclable waste at source? If yes; What percentages of households/shops/establishments keep separate bins for storage of biodegradable (wet food waste), dry non- biodegradable (recyclable) waste and domestic hazardous waste at source?	<u>Yes / No</u>
4	Give details of existing system of storage and segregation of waste at source at the household level,(including slums) shops, establishments and in the vegetable, fruit, meat or fish market	
5	Give details of MCF /RRF/Material Recovery Facility: nos. of facility, area, capacity, equipment if any.	

b. Primary collection of waste

1.	Has the municipality introduced any system of door to door collection of waste from households, shops and establishments? If yes, the no. of wards and percentage of population covered through Door to door collection system?	<u>Yes / No</u> (%)
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2.	Whether any private sector/ NGO /CBO/Resident welfare association is involved in D2D collection ? If yes, give full details on a separate sheet	<u>Yes / No</u>
3.	Mention the system of waste collection adopted in the City for collection of household waste, commercial waste, market waste, bio-medical waste, construction waste. (Attach a sheet mentioning the above details)	

c. Street sweeping (Manual/Mechanised)

i. Overall road /street length of the city.

Length of concrete/ asphalts roads in KM	Length of non-metal led roads in KM	Total road length that need to be covered in street sweeping operations

ii. Divide the above road length in 3 parts

- High density road length _____ Km.
- Medium density road length _____ Km.
- Low density road length _____ Km.

iii. Give list of main roads of the city in the following table:

Name of the Road	Length	Width	Whether it has divider?	Ward

vi. Status of cleaning the streets.

Daily	Alternate day	Twice a week	Once a week	Occasionally
%	%	%	%	%

vii. No. of handcarts/ tricycles/ donkey carts with the SWM department.

viii. Whether each sweeper is given independent handcart.

ix. Whether the handcarts are containerized or are traditional necessitating unloading the waste on the ground?

x. Duty hour of the street sweeping

xi. Type of brooms given – Long handled or short handled?

xii. What maximum distance the sweeper has to walk with his handcart to unload the waste at the waste storage

xiii. Whether street sweeping is done on all the days of the Year, including Sundays and public holidays.

If not, on which days no work is done? _____

xiv. Whether private sector/NGO is involved in this activity?

If yes give full details.

xv. No. of Mechanised Sweeping Machines.

d. Waste storage depot

i. Whether the city has secondary waste storage System (dust bin)

ii. If yes, give ward-details in a separate table as under:

viii. Show all waste storage sites on the city map

e. Transportation of waste

i. No., type and age of vehicles utilized for Transportation of waste. (Attach statement)

Type of vehicles	No. of vehicles	Volume of each vehicle in MT/ capacity to lift containers.	Age of the vehicle

ii. No. of trips made by each type of vehicle in one shift

iii. No. of drivers deployed

iv. No. of shifts in which transportation activity is carried out.

First shift	Second shift	Third shift
..... MT MT MT

v. Quantity of waste transported each day.

vi. How the quantity of waste transported is measured?

By weight (through Weigh Bridge), volume, or visual estimate?

vii. Whether the waste collected from the door step is transported directly to waste processing site?

viii. If no, whether door step collected waste is mixed with street sweepings during transportation of waste ?

ix. What are the average distance the vehicle has to travel to reach the processing /disposal site?

x. Whether transportation of waste is carried out on all the days of the year including Fridays /Sundays and public holidays.

xi. Whether there is any arrangement for transportation of bio-medical waste, hotel waste, construction and demolition (C&D) waste separately.

If yes, give details for each on a separate page.

xii. Whether private sector is involved in this activity?

Yes/No

If yes, give details.

xiii. Give existing Route map for transportation of waste.

f. Processing of waste.

i. Whether any processing of solid waste is being done? (such as vermi composting/microbial composting/Biomethanation/RDF/waste to energy)

Yes/No

If yes, give details.

Quantity of waste treated each day

ii. Technology/ technologies adopted

iii. Area of the processing site(in acres/hectors)

v. Distance of the processing sites in KM from

- City center
- Boundary of the city
- Nearest residential area
- Nearest water body

- Nearest airport (if within 20 km)

- Historical / religious place (if within 1 km)

vi. Whether private sector/NGO is involved in this activity?

If yes, give details.

g. Disposal of waste

i. How many municipal solid waste disposal sites (dumpsites) are available with the local body. Give details as under:

Name of dumpsite/ landfill site	Whether open dump Or sanitary landfill	Distance from The city centre.	Distance from nearest city boundary	Area in hectare	Distance from habitation, water body, Airport, historical monument, Imp. Religious place (if within 1 km)	Since when in use? / dump	Expected life of landfill site

ii. Whether the waste deposited of at the landfill site is spread on day to day basis?

Yes/No

iii. Whether the waste deposited of at the landfill site is covered with inert material on day to day basis?

Yes/No

iv. What are the equipment available at the landfill Site for spreading/compacting/covering the waste?

(Give more details about scientifically operated or haphazard dumping in low lying areas, daily soil coverage provided or not, availability of weigh bridge facility, buffer zone, road facilities, status of authorization by State Pollution Control Board etc.)

iv. Does the municipality have separate arrangement for collection, transportation and disposal of bio-medical waste?
If yes, give details.

Yes/No

h. Disposal of dead animals

i. How does the municipality dispose dead animals?

ii. Whether private sector/NGO/ contractor is involved in this activity?

Yes/No

If yes, give details.

Note:

(1) Attach map of ULB showing the wards/Circle/zonal offices and locations of the centralized treatment/ disposal facilities/MCF/RRF/MRF.

(2) Circle/Ward maps showing the location of secondary collection points/transfer points/ community level treatment centers.

D. FINANCIAL ASPECTS (GIVE DETAILS ON SEPARATE SHEETS)

- a. Give details of the annual revenue & capital budget of the local body in last three years.
- b. Give details of the allocation of funds for SWM (such as street sweeping, primary collection Secondary storage, transportation, processing and disposal of waste including Staff salaries) in the budget during last three years.
- c. Give details of the amount actually spent on providing SWM (such as street sweeping, primary collection secondary storage, transportation, processing and disposal of waste during last 3 years. This should include salary of sanitation staff, supervisors, drivers, vehicle maintenance, petrol, diesel, etc. used for SWM department.)
- d. Whether the user charges are levied from the beneficiaries?
If yes give the detailed structure of levy of user fees from Residential,
Commercial, Institutional premises and revenue realized from Tax/user
fee/sale of compost/recyclables/plastic for road work etc.

E. HEALTH ASPECTS (GIVE DETAILS ON SEPARATE SHEETS)

- a. Whether any protective gears such as uniforms, shoes, masks and gloves, etc. are given to sanitary workers.
If yes, give details.
- b. Whether sanitary workers are subjected to periodical medical check.
If yes, give details.
- c. Whether any medical allowance or free medical service is given to sanitary workers. If yes, give details.

F. LEGAL ASPECTS

Whether local government has framed Bye-laws for regulating

solid waste management in the city? If yes, give details separately.

G. SPECIAL PROBLEM

Give details of special problems if any faced by the local government in Solid Waste Management separately.

H. SPECIAL EFFORTS MADE

Give details of special efforts, if any, made by the local government to improve solid waste Management practices such as:

1) Community/Resident Associations/NGO/Private Participation – Current level of Involvement

- Informal sector activities in collection of recyclables
- involvement of generators (RAs, Merchants union) , NGO’s and private parties in the solid waste management activities
- Primary collection through SHG/Kudumbashree/HKS etc./Secondary collection contracts/ PPP in waste treatment & disposal
- Waste minimization programmes – Waste reduction, reuse, recover.
- IEC & awareness programmes being conducted

2) MIS, Monitoring & Redressal of complaint

I. Whether management information system / monitoring mechanism is in place? If yes, give details separately.

Yes/No

J. Whether any fines are levied for littering of waste on the streets and for non-adherence to bye-laws? If yes, give details separately.

Yes/No

Date:

Signature of Head of the Organization

Survey II: Waste Quantification & Characterization

(1) Sample surveys for estimation of quantity of solid waste generated; and sampling & analysis of solid waste for physical & chemical characterization

The survey involves selection of representative samples from the inventory of waste generation sources (Table 1) and measurement of per capita waste generation from households and per unit waste generation by other sources. The total waste generated in the city is to be computed on the basis of measured per capita waste generation at household level and waste generated per from non-domestic sources.

To assess the physical & chemical characteristics of the MSW, on-site physical analysis and lab testing for chemical parameters need to be carried out. Physical analysis may be carried out for samples drawn from representative households and non-residential premises (collection points) and from disposal site/sites. The sampling of the waste at the disposal site need to be carried out to understand the characteristics of the waste reaching the dumpsite/landfill after undergoing separation of recyclables /combustibles at source/MCF/RRF/MRF or any secondary stages of storage and transportation and processing of waste at processing facilities if any.

Details of these surveys to be undertaken and method of arriving at the results are given below.

Inventory of Sources of Waste Generation: Detailed inventory of waste generating sources such as no. of households, shops, hotels, restaurants, schools, colleges, offices, markets etc in the city based on property records maintained by Municipality for different

zones/wards/ roads etc may be prepared.

Inventory of Roads& Lanes (Width, length, type) & Drains (Primary, Secondary, Tertiary) may also be made separately.

Sampling of waste:

- Major groups of waste generators shall be identified (Ref Table 1) and samples selected to represent households and non-domestic establishments as per details given in the note below. For assessing the quantity of waste generated from such sources
- Street sweeping waste may be assessed on the basis of sweepings collected per unit length of roads under different categories
- The quantity of construction waste assessment may be based on waste generated per unit area of construction.

The field surveys shall be carried out to arrive at the waste generation rates per unit by identifying representative samples from sub-groups. Minimum of 100 samples/100000 population may be drawn from all categories of waste generators in proportion to anticipated quantity of waste generation While doing so, care should be taken to cover inner-city, medium density and low density areas and different socio economic housing areas. The Municipal authorities will be consulted to finalize the locations of field surveys.

Household Sampling: To determine waste generation at households/domestic sources, LIG, MIG, HIG spread across the city will be selected considering socio-economic aspects. To have a fair

representation of the group, a minimum 25 samples will be selected in each group of households. It should also be ensured that the samples are well spread over inner city, medium density area and fringe area covering different housing typologies of high-rise, independent units and scattered low-density housing.

Non-domestic Source Sampling: In case of other sources such as commercial establishments, hotels, markets, institutions, etc. field reconnaissance surveys may be carried out to assess and to understand the waste generation trends of the establishments. The sources are then sub-categorized based on capacity and nature/quantity of waste generation so as to have a fair coverage of representative units. A minimum of 5 samples should be selected from each sub-group and sample surveys may be carried out.

Direct measurement of waste generated daily shall be adopted to estimate the quantity of waste generated from each representative source. The total quantity of waste generated is then computed on the basis of the measured per capita or per unit waste generation rates for each of the above groups of waste generators. Services of experienced field investigators should be utilized after prior briefing regarding the study to be undertaken and modalities of waste collection from selected sample sources/households. Relevant information on the number of family members and method of waste disposal may be collected from households. In case of non-domestic waste generators, relevant information such as capacity of community halls, number of beds in hospitals, number of rooms in hotels, lodges, etc. shall be collected. A pre-designed data format should be used for this purpose.

The households to be interviewed or surveyed should be visited a day before the weighing process as briefed below:

- (i) A day before the sampling survey, each of the selected households should be given a labeled sampling bag and requested to deposit all the waste generated on the next day during 24 hours in the bag for collection on the day after in the morning;
- (ii) On the day of sampling, the survey team should collect the waste in a collection vehicle from each of the identified sample households around 07:00 hours in the morning and a fresh sample bag with label may be handed over to the household for the next day's sampling. The same procedure may be followed for 7 consecutive days of sampling. Samples from commercial establishment may be collected by using the same methodology. However those sources generating large quantities of waste, which cannot be carried in bags; may be assessed by weighing the waste generated onsite suitably; and
- (iii) For all categories, quantification survey shall be done for **seven consecutive days** in order to capture the generation trends for the entire week including weekends.

The collected samples in each bag may be weighed and the data recorded in the data sheet containing the particulars of the sampling unit.

Table 22: Waste Generating Sources

Sources	Category	Total No. of Units
1. Households	Resident population	
	LIG	
	MIG	
2. Hotels and Restaurants	HIG	
	Large	
	Medium	
	Small	
Sub-Total		
3. Commercial Establishments	Large	
	Medium	
	Small	
4. Markets (List the no of stalls/shops)	Large	
	Large	
	Medium	
	Small	
	Medium	

Sources	Category	Total No. of Units
	Small	
Sub-Total		
5. Offices and Institutions	Large	
	Medium	
	Small	
6 Hospitals & Health care institutions (No of beds) - generation /bed (only non bio-medical waste)		
7.Town halls, Community halls	Large	
	Medium	
	Small	
8. Slaughter Houses (based on number of large animals /small animals slaughtered)	Large	
9. Street sweeping		

Separately indicate the C&D waste generated -

Table 2: Physical Characteristics

Waste characterisation as under may not be done separately for each sample but all samples drawn from a particular category of waste generator may be mixed and weighed first and then may be physically segregated into waste types and weighed separately and recorded. This will give an idea of waste generated by 'x' number of households

of particular category having 'y' population and divide by no of persons in those households to arrive at per capita waste generation rate and its composition.

Similar exercise may be done to determine the waste generation rate and composition in non-residential premises.

Parameter	Collection point	Disposal site
	% to total weight	
Bulk Density, kg/cu.m		
Paper, Card board		
Plastic –Recyclable		
Plastic –Non recyclable		
Rubber & Leather, Rags		
Wood		
Glass		
Metals		
Ceramic &Inerts		
Ash & Fine Earth		
Compostable Organic Matter		
Domestic Hazardous (Batteries/Pesticides/Medicines etc)		
Sanitary waste		
Others (Pl. specify)		
Total		

Table 3: Chemical Characteristics

Parameter	Unit	Average Value	
		Collection. Points	Disposal Site
pH (1:10 Aq. Extract)	-		
Moisture Content	%		
Carbon as C	%		
Nitrogen as N	%		
Volatile Matter	%		
Ash Content	%		
Calorific Value	Kcal/Kg		
C/N Ratio			

Note: A separate sample of mixed waste of households and commercial areas about 5 kg each may be prepared for chemical analysis

Collection and transportation of waste: Vehicle weighing

Table 4: Assessment of waste transported daily

Type of vehicle	Capacity (volume)	Average weight/trip (volume density)	No of trips/day	Total waste transported/day

Survey III: Data collection to facilitate designing sanitary landfills, closure of dumpsites, bioremediation of dumpsites and setting up waste treatment facilities

I. Field data/information to be collected & surveys to be carried out for Sanitary Landfill Project

1. Data collection from the ULB's participating in the RSLF/SLF
 - a. waste generated (daily and annually)
 - b. waste collected
 - c. waste projection for 20-25 years (Secondary data)
2. Selection of a site based on the Site selection criteria given in the manual /SWM Rules 2016 (Secondary data)
3. Data collection of potential site (Secondary data)
 - a. Ownership of the land/plot
 - b. Topographic maps

- c. Soil maps
- d. Land use plans
- e. Water use plans
- f. Flood plain maps
- g. Aerial/satellite photos
- h. Ground water maps
- i. Rainfall data
- j. Wind data
- k. Seismic data
- l. Road maps
4. Site investigations of the probable sites (2-3 No.)(Primary data- Minimum requirements as given in the PIM)
 - a. Soil investigation
 - b. Topography – contour survey of the site
 - c. Hydrogeological investigation

- d. Environmental Investigation
 - e. Traffic Investigation
 - f. Waste and leachate investigation
5. Environmental Impact Assessment
 6. Environmental and Social Impact Assessment
 7. Tribal Development Framework-Social Management Framework
 8. Discussion with all stakeholders – Public participation
 9. Public Hearing

II. Field data/information to be collected & surveys to be carried out for closure of dumpsite project

1. Investigation of site proposed for Closure – (Primary data- Minimum requirements as given in the PIM)
 - a. Soil investigation
 - b. Topography – contour survey of the site
 - c. Hydrogeological investigation
 - d. Environmental Investigation
 - e. Traffic Investigation
 - f. Waste and leachate investigation
2. Environmental Impact Assessment
3. Environmental and Social Impact Assessment

III. Field data/information to be collected & surveys to be carried out for dumpsite remediation project

1. Make a list of all the dumpsites in the ULB/Cluster (Secondary data)
2. Carry out assessment of the dump sites as per the format given at Annexure A.9.1 in Volume 3 (Secondary data)
3. Undertake rapid risk assessment based on technical, environmental and social criteria based on the dumpsite data collected as per the format in Annexure A.9.2 in Volume 3 (Secondary data)

4. Carry out field visits to all dumpsites for local verification
5. Undertake detailed investigation and field surveys of dumpsites (as mentioned in 9.3.1.1 of the PIM)
6. Carry out the ESIA
7. Prepare the ESMP, RAP and TDP

IV. Field data/information to be collected & surveys to be carried out for MSW treatment projects

1. Selection of a site based on the site selection criteria given in the manual (Secondary data)
2. Data collection of potential site (Secondary data)
 - a. Ownership of the land/plot
 - b. Topographic maps
 - c. Soil maps
 - d. Land use plans
 - e. Water use plans
 - f. Flood plain maps
 - g. Aerial/satellite photos
 - h. Ground water maps
 - i. Rainfall data
 - j. Wind data
 - k. Seismic data
3. Site investigations of the probable sites (2-3 No.) (Primary data- Minimum requirements as given in the PIM)
 - a. Soil investigation
 - b. Topography – contour survey of the site
 - c. Hydrogeological investigation
 - d. Environmental Investigation
 - e. Traffic Investigation

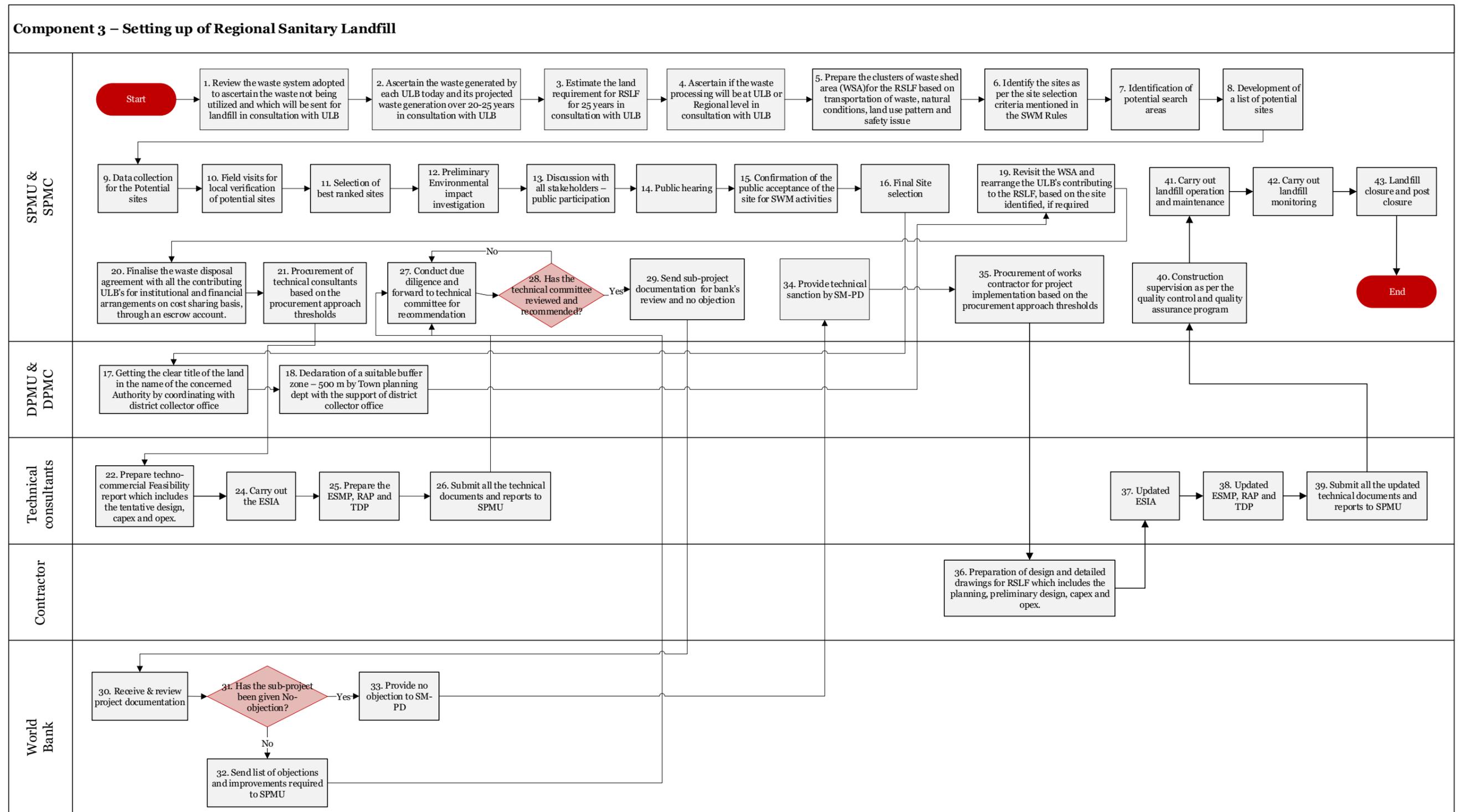
- f. Waste and leachate investigation
- 3. Environmental Impact Assessment
- 4. Environmental and Social Impact Assessment
- 5. Tribal Development Framework-Social Management Framework
- 6. Discussion with all stakeholders – Public participation
- 7. Public Hearing

Chapter 8 – Operational Framework for ULB level Investments

No Annexures

Chapter 9– Operational Procedures to undertake regional SWM sub-projects

A 9.1 Project Process Flow Chart for Sanitary Landfills



A 9.2 Checklist for screening of dumpsites for potential landfill/processing facility

	Name of the contact person from ULB - phone number and email address	
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No.	Item	Norm	Information
1	Land ownership (including that required for approach road) (in line with revenue records) (supporting data to be provided as annex)		
2	Name of the location of site and Map of the site (include as an annex)		
3	GPS coordinates of site		
4	Is there a Pollution Control Board permit for dumping/SWM activity?		
5	Is there a notified no development zone or buffer or green belt around the dump?		
6	Possible area to be kept as buffer green belt around (within / outside the site for purchase)		
	Site Selection Criteria - give distances, wherever applicable		
7	Groundwater (m below liner bottom)	2m	
8	Private water sources (well etc.)- distance from site boundary (to be adjudged based on approx. distances during screening exercise)	100 m (river)	
		200 m (pond)	
		30 m (local canal)	
9	Env. Sensitive Areas/ Wetlands	Not Permitted	
10	Site having Rare and Endangered Species	Not Permitted	
11	Site should not be within Protected/ Reserve Forests	Not Permitted	
12	Residential Development within prescribed buffer zone of 200 m	Not Permitted	
13	Perennial Stream within site	Not Permitted	
14	Airport	20 km	

No.	Item	Norm	Information
15	Distance to the nearest village in the predominant wind (m) direction		
16	Flood prone site		
17	Accessibility - Road access for heavy vehicles		
	i. Starting point of the access road		
	ii. length and width of the access road		
	iii. Current condition of the access road (visual assessment)		

Site Description			
18	Is the site flat / sloping to nearby land uses?		
19	Soil base - soft soil/murum, soft rock etc		
20	Direction of leachate flow out of the site, if any		
21	Other uses within the dumpsite (recycling yard, compost pad etc)		
22	Boundary conditions - walls / fence / what land uses along boundary		
23	Year since the dump site is existing		
24	Is the dumping Operation Ongoing?		
25	Any underground utility / gas line etc near the site		
26	Existing power supply, water supply, electric poles going through/over/in the site etc		
27	Are there pools of leachate, rat and fly infestations, domestic animals roaming freely, odours, dust, vermin, and birds, waste being burnt at dumpsites or families of scavengers picking through		

	the wastes?		
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Geography and Climatic aspects			
28	Average annual rainfall		
29	Duration of rainfall (xx month to yy month)		
30	Whether any incidents of flooding reported at site /other hazards		
	i. No		
	ii. Very Rare		
	iii. Sometimes		
	iv. Frequent		
31	Any geological fault		
Waste characteristics			
32	Characteristics of the dumps, such as the height and area, characteristics of solid waste based on visual inspection and degree of compaction (subjective), and any details of variability of wastes within the site.		
33	Type of waste (MSW/HW) (subjective assessment based on visual inspection)		
	i. 100% MSW		
	ii. 75% MSW +25% (domestic and/ or biomedical/ HW/EW)		
	iii. 50% MSW +50% (domestic and/ or biomedical /HW/EW)		
	iv. > 50% (domestic and/ or biomedical /HW/EW)		

34	Expected waste contamination (visual check of ground water, littering, dust pollution, Smell/odour, Is the ground water being used for drinking purpose)		
35	How much quantum of fresh waste is dumped every day?		
General Information			
36	Any reported Environmental and health impacts of the existing dump (from ULB eg.- media report or complaint)		
37	Any ongoing litigation or disputes related to site usage		
38	Potential for “mining” decomposed organic materials (compost) from the existing dumps (By visual inspection)		
39	Presence of ragpickers and approx. how many? Male/Female and age group		
40	Number of sensitive receptors close to dumpsite (approx. 200 m which is buffer zone criteria) (mention distance to closest residence, social profile of the people, school, religious structure, wetland, forest, river, canal, eco-sensitive area, well, lake/pond)		
41	Available open / clean space in the dump yard which can be used to develop a treatment facility till such time the dump is cleaned, and land is recovered (percentage of land available for use)		
42	Space / covered shed (which may be renovated to house segregation & storage facility)		
43	Estimated time for dumpsite capping/ mining/ remediation. Does it fall within the project lifetime?		
44	Possible Range of solutions: rehabilitate existing open dumps through landfill mining where the resource recovery might serve as a source of energy, recycle and reuse of metals, plastic and glass ware, use of compost as fertilizer for agriculture and as a cover material for future landfills, etc.		

45	Is dumpsite remediation likely to benefit in regaining a suitable site for an engineered landfill cell or for setting up any other waste management facility? If yes, what could be set up?		
46	Likely area of the site which can be salvaged for future use More than 70%, 50-70%, 30-50%, Less than 30%		
Upstream linkages required			
47	Stop the waste coming to the site or delineate a sperate area for proper processing of waste.		
48	Intention of anchor ULB (where the site is located) to allow the facility to be used as a regional facility, with other ULBs falling in the cluster, on a cost sharing basis.		
Downstream Linkages required			
49	Off-take of all the products coming out of the biomining - Plastic & RDF - cement factories, soil/bio-earth - farmers or gardens, inert - SLF/closure		
50	Any wastewater treatment facility whether available within 10 km where leachate can be transported for treatment.		
Other information			
	Name of the person collecting data, phone number and email address		
	Date		

A 9.3 Rapid Risk Assessment Form for Proposed Dumpsites

S. No.	Parameter		Attribute weightage	0.0 – 0.25	0.25 – 0.5	0.5 – 0.75	0.75 – 1.0	ULB Name	ULB Score
				0.25	0.5	0.75	1		
1	Groundwater (m below liner bottom)	2	50	Should meet	Should meet	Should meet	Should meet		
2	Private water sources (well etc.)- distance from site boundary (to be adjudged based on approx. distances during screening exercise)	100 m (river)/	50	Should meet	Should meet	Should meet	Should meet		
		200 m (pond)/	50	Should meet	Should meet	Should meet	Should meet		
		30 m (canal)	50	Should meet	Should meet	Should meet	Should meet		
3	Env. Sensitive Areas/ Wetlands	Not Permitted	50	Should meet	Should meet	Should meet	Should meet		
4	Site having Rare and Endangered Species	Not Permitted	50	Should meet	Should meet	Should meet	Should meet		
5	Site should not be within Protected/ Reserve Forests	Not Permitted	50	Should meet	Should meet	Should meet	Should meet		
6	Residential Development within prescribed buffer zone of 200 m	Not Permitted	50	Should meet	Should meet	Should meet	Should meet		
7	Perennial Stream within site	Not Permitted	50	Should meet	Should meet	Should meet	Should meet		
8	Airport	20 km	50	More than 20 km away	Between 15 to 20 km	Between 12 to 15 km	Between 10 to 12 km		
9	Distance to the nearest village in the predominant wind (m) direction		20	> 1000	500 – 1000	200 – 500	< 200		
10	Flood prone site		30	No	very rarely	sometimes	yes		

S. No.	Parameter		Attribute weightage	0.0 – 0.25	0.25 – 0.5	0.5 – 0.75	0.75 – 1.0	ULB Name	ULB Score
				0.25	0.5	0.75	1		
11	Accessibility		30	To HMV exists	To HMV exists	To HMV can be made	To HMV can be made		
12	Land ownership (including that required for approach road) verify from revenue records		40	municipal land	Govt land which can be transferred	Private (single ownership)	Private (multiple ownership)		
13	Likely area of the site which can be salvaged for future use		40	More than 70%	50 – 70%	30-50%	<30%		
14	Type of waste (MSW/HW) (subjective assessment based on visual inspection)		40	100% MSW	75% MSW +25% (domestic and/ or biomedical HW)	50% MSW +50% (domestic and/ or biomedical HW)	> 50% (domestic and/ or biomedical HW)		
	Total		700						
	Priority								
	Hazard potential								

A 9.3 Screening Criteria for Regional Landfills (contd.)

Facility/ Component	Screening Criteria, Downstream linkages required and parameters to be assessed during site visit
Regional Landfill	<p>Screening Criteria:</p> <ol style="list-style-type: none"> 1. Land Area/ ownership (by revenue records)/name of location and current use of land (by visual inspection) 2. Nearby land uses (including sensitive features) – give distances 3. Current uses within the site 4. Site Access (for heavy vehicle movement) 5. Density and social profile of settlement along the access (low, medium, high) 6. Does it meet CPHEEO site selection criteria for landfill. 7. Current use of land in periphery of site to meet the buffer zone requirement as notified by CPCB. 8. Whether any incidents of localized flooding observed at site during recent floods. <ul style="list-style-type: none"> • No • Very rarely • Sometimes • Yes <p>Any applicable landuse restrictions – like CRZ? Landuse notification etc.?</p> <ol style="list-style-type: none"> 9. Number of ULBs situated within a radius of 25 and 50 km from site. <ul style="list-style-type: none"> • All within 25 km • Atleast 75% within 25 km and balance between 25 to 50 km • Atleast 50% within 25 km and balance between 25 to 50 km • All between 25 to 50 km 10. Number of people and especially any sensitive populations that could be Impacted by operation of landfill and the duration of exposure (for example old age homes, schools etc.) 11. Social profile of settlement – Tribal/ scheduled caste – that could be impacted by operation of landfill. 12. Number of people working (informally) at landfill site – Male/Female and age group 13. Estimated life of the landfill if municipalities within 25 km radius are included in the landfill <ul style="list-style-type: none"> • 20 • 10 – 20 • 5 – 10 • < 5 14. Estimated life of the landfill if municipalities within 50 km are included (years) <ul style="list-style-type: none"> • 20

Facility/ Component	Screening Criteria, Downstream linkages required and parameters to be assessed during site visit
	<ul style="list-style-type: none"> • 10 – 20 • 5 – 10 • < 5 <p>15. Ground Water Table in the region</p> <p>16. Closest habitation (m)</p> <p>17. Distance to the nearest village in the predominant wind (m)</p> <ul style="list-style-type: none"> • 1000 • 600 – 1000 • 300 – 600 • < 300 <p>18. Crossing of electrical lines (HT line)</p> <p>Location in 100 yr Flood plain or Haz line?</p> <p>CPHEEO</p> <p>Distance to navigable Rivers (<100m?); ponds / lakes waterbodies (200m), non-meandering water channel – 30m, highway, railway, water supply lines – 200m habitations – 500m, earthquake zone: 500m from faultlines/fractures, highway : 200m, airport – 20km, water table (2m to liner), public parks : 300m, Not in any critical / natural habitat area, forests, Well:500m, unstable areas (slip probe/flooding), religious structures – distance?</p> <p>Topography – is the land sloping / flat?</p> <p>Land stability – is it marshy/ loose earth</p> <p>Avoid Military exclusion zones</p> <p>Avoid Mineral quarries</p> <p><u>Upstream linkages required:</u></p> <p>Intention of ULBs falling in the cluster to join regional facility on a cost sharing basis.</p> <p><u>Downstream Linkages required:</u></p> <p>Any wastewater treatment facility whether available within 10 km where leachate can be transported for treatment.</p>

Proposed Criteria for rapid Risk Assessment based on the above information to arrive at a priority list:

S. No.	Attributes		Attribute Weightage	Sensitivity Index			
				0.0 - 0.25	0.25 - 0.5	0.5 - 0.75	0.75 - 1.0
1	Groundwater (m below liner bottom)	2.00	50	Should meet	Should meet	Should meet	Should meet
2	Private and other water sources (well etc.)- distance from site boundary (to be adjudged based on approx. distances during screening exercise)	100 m (river)/	50	Should meet	Should meet	Should meet	Should meet
		200 m (pond)/	50	Should meet	Should meet	Should meet	Should meet
		30 m (local canal)	50	Should meet	Should meet	Should meet	Should meet
3	Env. Sensitive Areas/ Wetlands	Not Permitted	50	Should meet	Should meet	Should meet	Should meet
4	Site having Rare and Endangered Species/ point of migratory species	Not Permitted	50	Should meet	Should meet	Should meet	Should meet
5	Site should not be within Protected/ Reserve Forests	Not Permitted	50	Should meet	Should meet	Should meet	Should meet
6	Residential Development within prescribed buffer zone of 200 m	Not Permitted	50	Should meet	Should meet	Should meet	Should meet
7	Perennial Stream within site	Not Permitted	50	Should meet	Should meet	Should meet	Should meet
8	Airport	20 km	50	More than 20 km away	Between 15 to 20 km	Between 12 to 15 km	Between 10 to 12 km
9.	Estimated life of the landfill if municipalities within 25 km radius are included in the landfill and if within 50 km are included (years)		40	> 20	10 - 20	5 - 10	< 5
10.	Distance to the nearest village		5	> 1000	600 - 1000	300 - 600	< 300

S. No.	Attributes	Attribute Weightage	Sensitivity Index			
			0.0 - 0.25	0.25 - 0.5	0.5 - 0.75	0.75 - 1.0
	in the predominant wind (m)					
11.	Flood prone site	25	No	very rarely	sometimes	yes
12.	Number of ULBs being considered for cluster situated within a radius of 25 and 50 km from site.	20	All within 25 km	At least 75% within 25 km and balance between 25 to 50 km	At least 50% within 25 km and balance between 25 to 50 km	All between 25 to 50 km
13.	Accessibility	20	To HMV	To HMV	To HMV	To HMV
14.	Land ownership	20	municipal land	Govt land which can be transferred	Private (single ownership)	Private (multiple ownership)
15.	Intention of ULBs falling in the cluster to join regional facility on a cost sharing basis	40	Should meet	Should meet	Should meet	Should meet
16	Social profile of settlement - Tribal/SC adjacent to landfill and along the access	40	No	At least 10 km away from the site	At least 15 km away from the site	At least 20 km away from the site

The hazard potential of the site can be evaluated based on the overall score as detailed in Table above. The classification has been done based on the criteria recommended by Ministry of Environment and

Criteria for Prioritizing Based on the Risk Index

S. No.	Risk Index	Hazard Potential	Priority	Remarks
1.	526- 700	High	4	
2.	351 - 525	Moderate	3	
3.	175 - 350	Low	2	

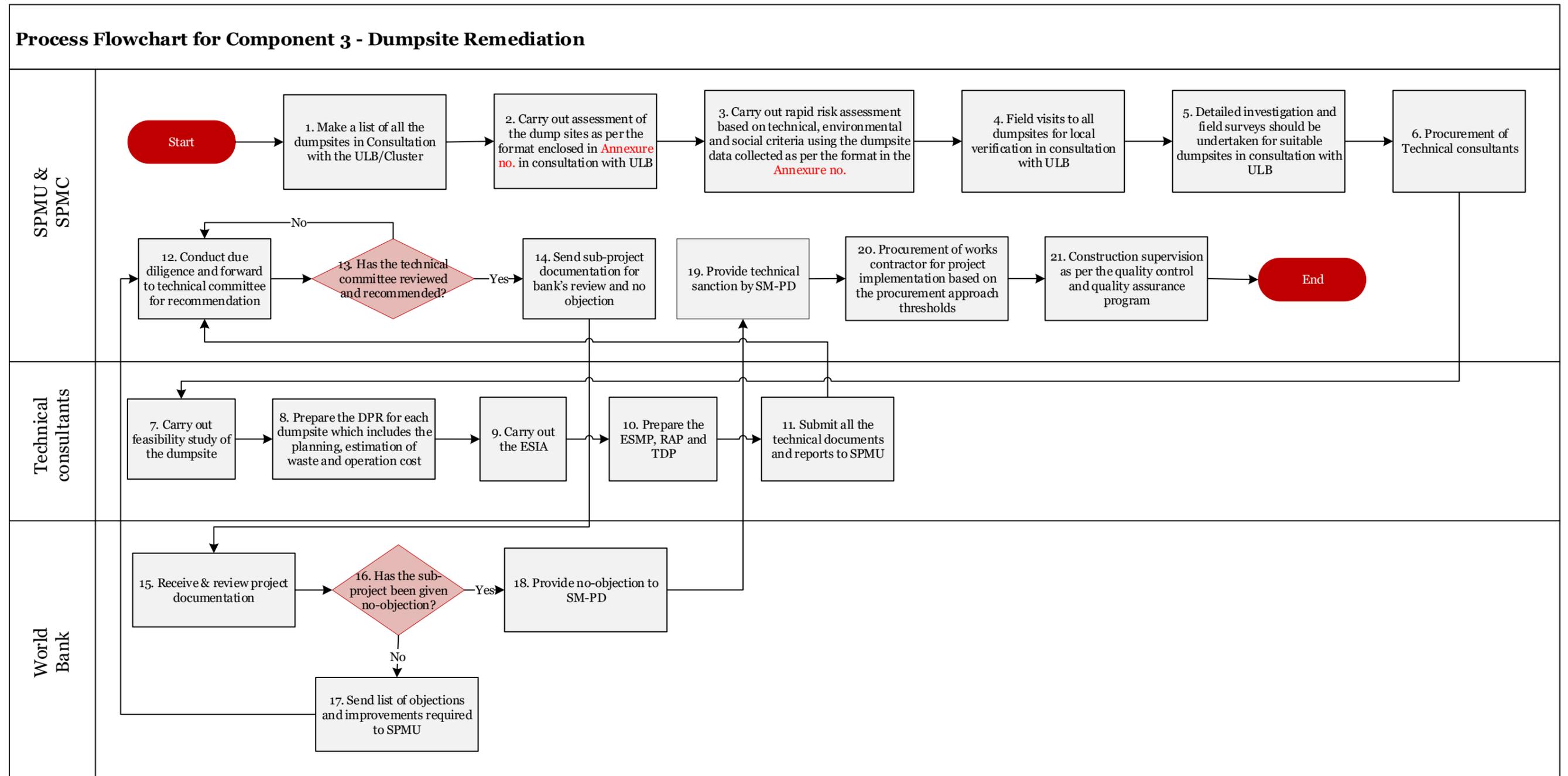
Forests, Government of India, for classification of risk potential of abandoned hazardous waste dumps (MoEF, 1989).

4.	< 175	Very Low	1	
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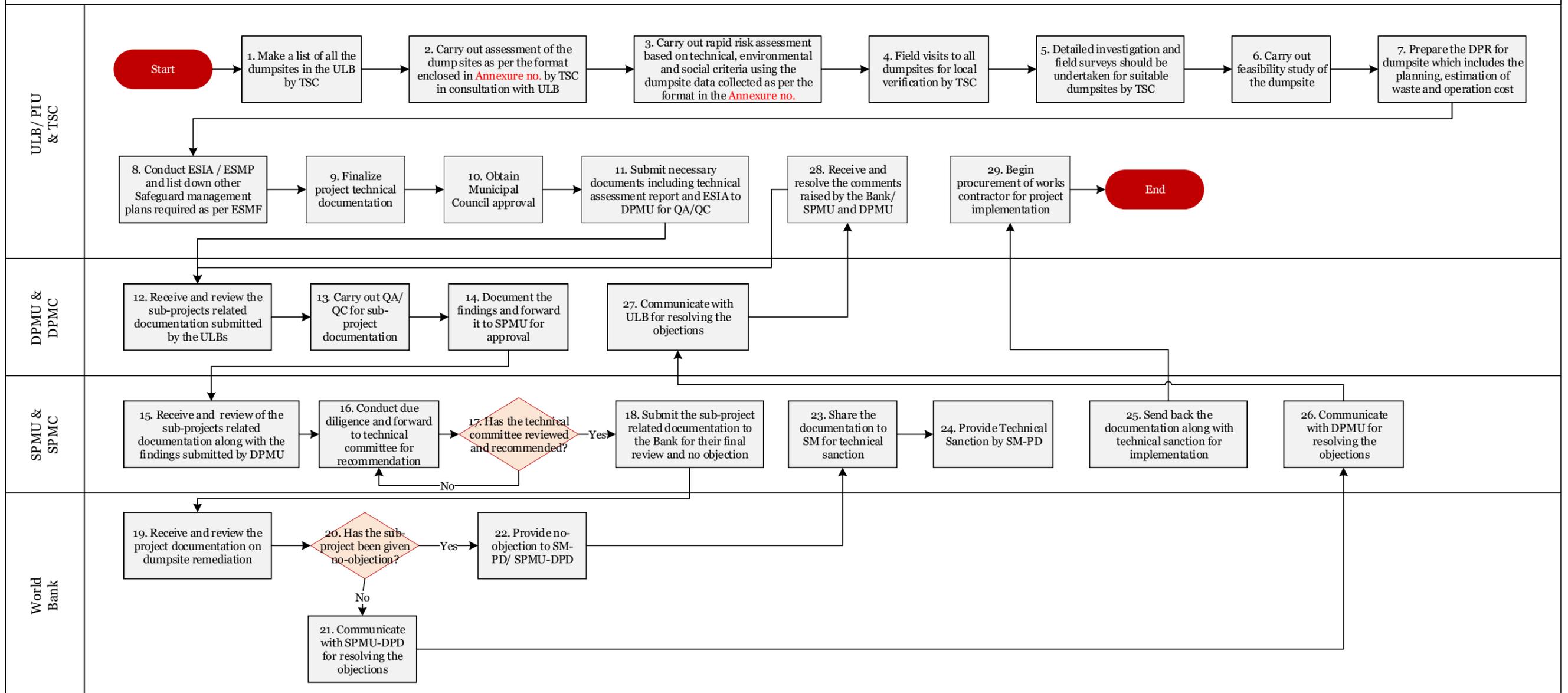
Feasibility Study – After the sites have been identified as to which will be taken for the feasibility stage, the following data will have to be collected from a site:

1. Suitability of site as per CPHEEO criteria
2. Map of the land parcel from municipal records
3. Contour survey of the land
4. Expected quantity of waste from cluster of cities per day basis
5. Ground water analysis – 1 upstream & 2 downstream
6. Hydrogeological data –
7. Soil strata and soil analysis – 2 samples
8. Land Use Plans
9. Water sources in the periphery of 200 m
10. Flood Plain Maps
11. Aerial Photographs/ Satellite Imagery/ Google maps
12. Rainfall Data
13. Wind Map
14. Seismic Data
15. Road Maps
16. Environmental and social check list

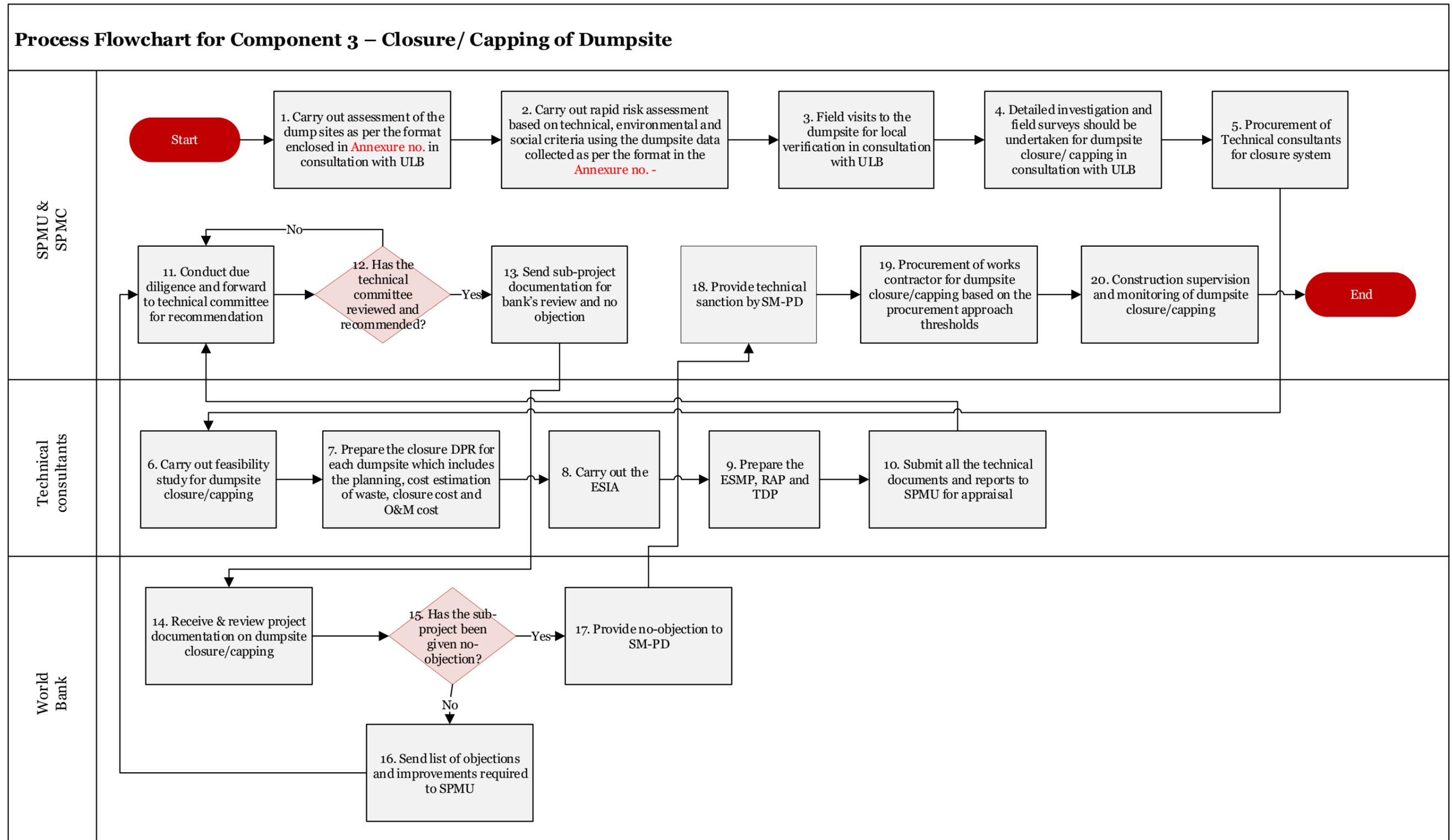
A 9.4 Project Process Flow Chart for Dumpsite Remediation



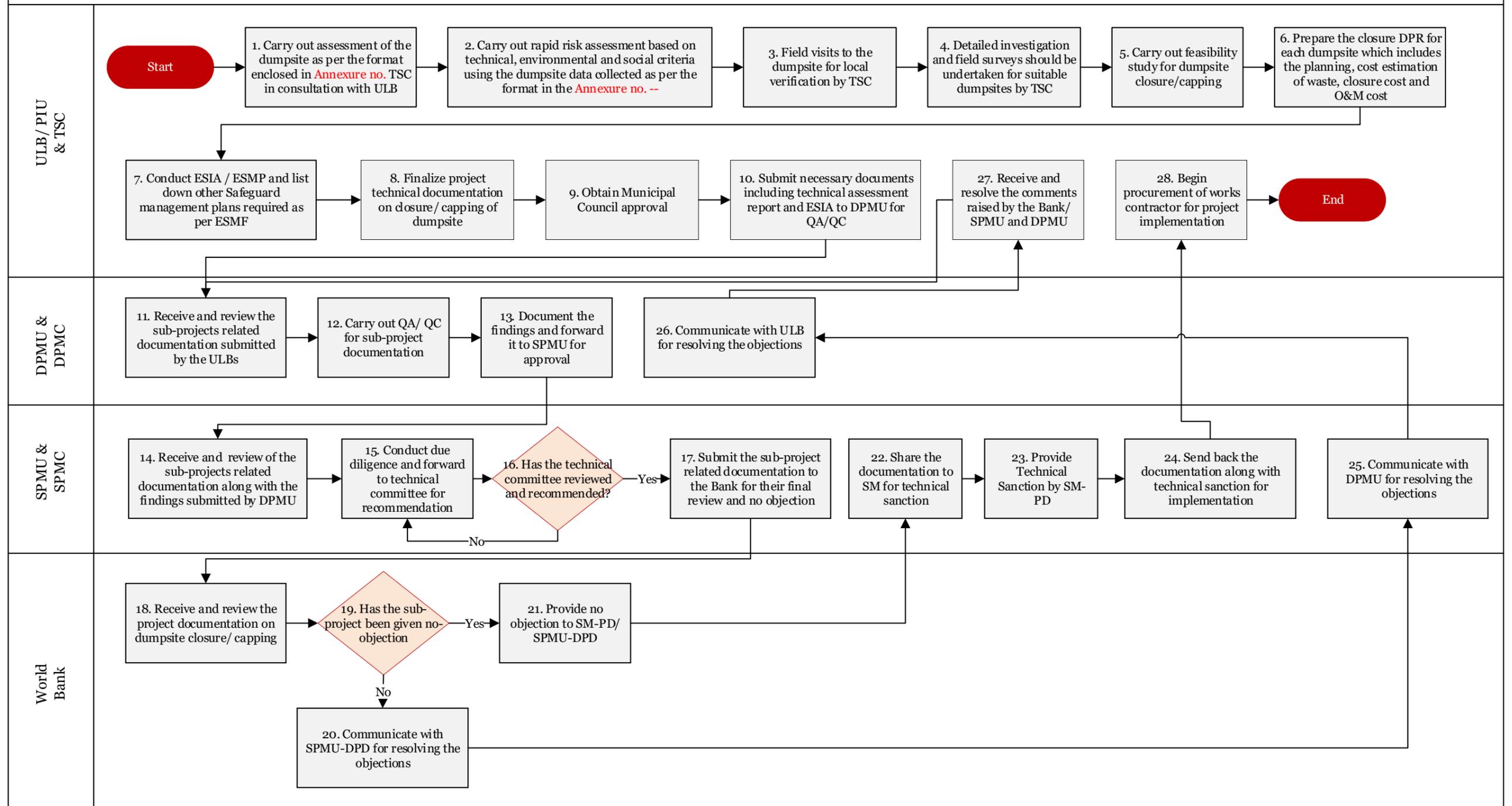
Process flowchart for Component 2 - Dumpsite Remediation



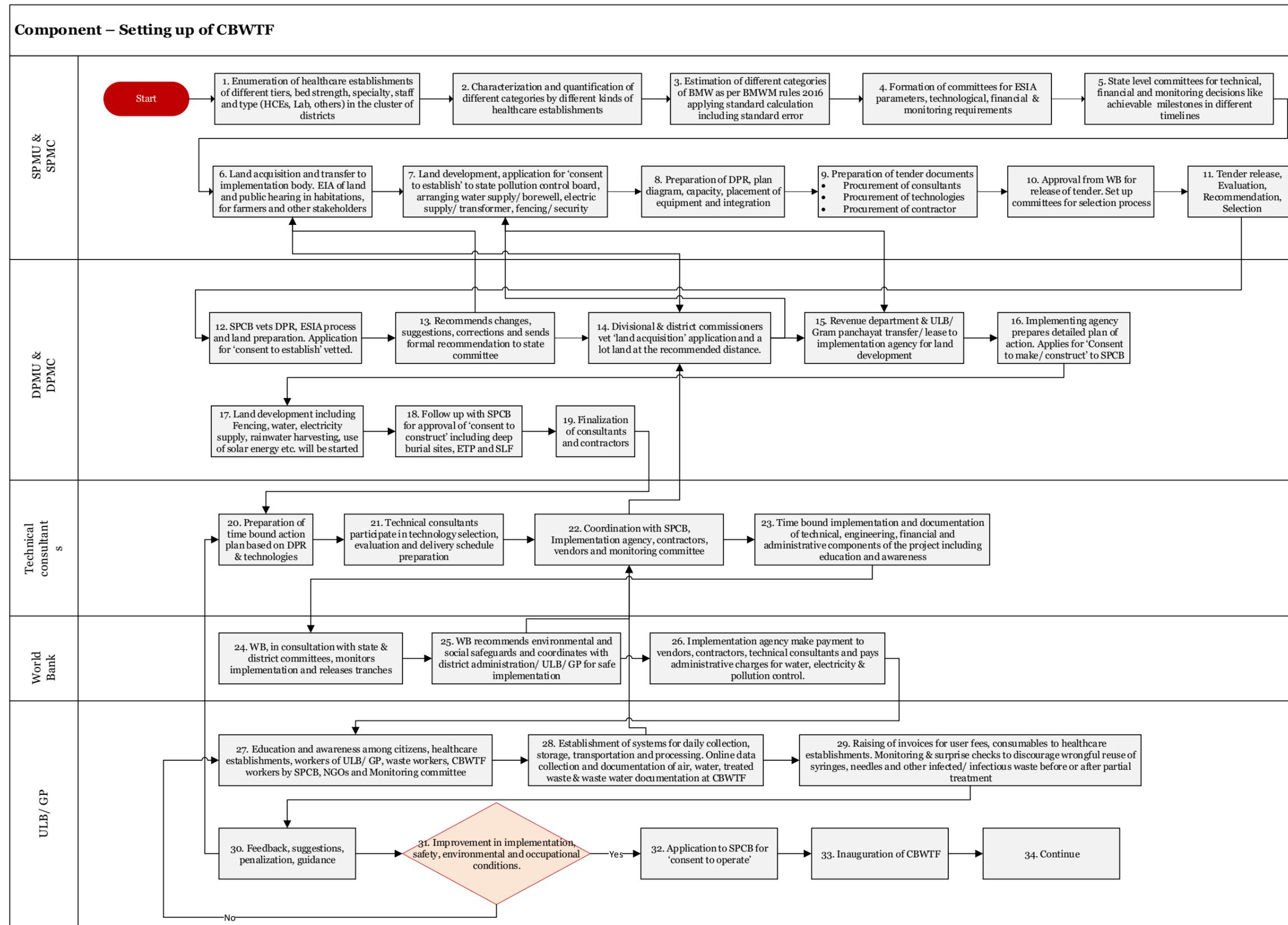
A 9.5 Project Process Flow Chart for Closure/Capping of Dumpsite



Process Flowchart for Component 2 – Closure/ Capping of Dumpsite



A 9.6 Project Process Flow Chart for CBWTF



Chapter 10- Monitoring and Evaluation Framework

A 10.1 Details to be captured by the tools under MIS system

1. Training and Capacity Building Monitoring

The following information are required to be captured to assess progress against plan and for developing future strategy. This also needs to be linked to the social monitoring tool.

- Training Needs Assessment report for SPMU/ DPMU/ each ULB
- Overall Training Plan for each ULB which would include the list of training to be undertaken, number of batches to be conducted, number of participants to be covered, tentative timeline, category of training (whether related to EMF)
- The following details are to be covered for each training batch
 - Detailed training plan before the training is conducted which would include the actual date on which the training will be conducted, list of persons, their designations, location of training, details of trainer, number of sessions to be conducted, total number of training hours.
 - Learner registration – the details of participants would be captured which would include name of person, father name, age, caste, designation, address, phone number, qualification – This will help in maintaining a learner database
 - Attendance details to be provided
 - Trainer details to be provided
 - Training material to be uploaded
 - Participants feedback to be submitted

- Actual details of the training to be updated – date, time, location, sessions conducted
- Photograph of training to be uploaded

The following outputs should be available:

- TNA Report
- Plan v/s actual with respect to cumulative number of trainings conducted, number of participants (gender disaggregated), total hours of training provided
- Details of each training conducted including – Organisation conducting the training, targeted trainee (particular ULB/ DPMU/ SPMU/others), Details of training (technical, procurement related, field work etc.), no. of participants, no. of hours, list of participants
- Training Feedback Report

2. GRMS

The GRMS system should be accessible through web, mobile app, toll free number and hard copy submission at the ULB. There should be an OTP based system to ensure authenticity. The following information should be captured:

- Name
- Father/Husband Name
- Contact Number
- Email
- ULB/ District

- Landmark
- Grievance type (Individual / Community)
- Service Related to (Name of sector to which the scheme belongs) (should cover SWM, accountability and transparency, GBV, labour management)
- Scheme (Name of schemes being implemented by ULB)
- Date
- Grievance Level (whether related to ULB, District, State)
- Complain details
- Is it a grievance or demand?

The system should have the following features:

- Alerts to concerned authority and complainant
- Escalation facility
- Delegation Facility
- Feedback from complainant before closure

The following output should be available:

- Information of Number of grievances registered and resolved (Number) for any desirable period, including measures of central tendency for redressal time for all grievances
- Timeline for resolving the grievance
- Grievance by nature, source and location

3. Grant Monitoring

The following Information is required to be captured for monitoring of grants for each ULB:

- Name of ULB

- Population of ULB
- Grant Allocation Ceiling (GAC)
- Grant Allocation (GA)
- Eligibility Criteria Compliance against each GA
- Usable Grant Allocation (This will be grant allocation less incentive grant if criteria (a) of incentive grant is not complied with)
- Available Grant Allocation (This will be usable grant allocation less suspended grant allocation)
- Suspended Grant Allocation
- Plan against GA (to be linked with Sulekha)
- Grant Committed (This will be the list of sub-projects being actually implemented against the plan) (to be linked with Sulekha)
- Nature of sub-project (Track 1 /Tack 2) (linked to Sulekha)
- Expense against each sub-project (to be linked with Sankhya)
- Annual Trigger Compliance for each sub-project
- Annual trigger compliance at ULB level
- Suspended Grant Allocation Recouped
- Reallocation of GA

The following output would be there:

- Status on above parameters for all the ULBs in absolute and percentage terms

4. Sub-Project Investment Monitoring

The following information are required to be captured for each ULB and appropriate reporting needs to be done on status of projects. Dashboard is to be developed to enable reporting and decision

making. Some of the information may already be captured as part of the Sulekha Software, hence the tool may only capture the additional information and is integrated with the Sulekha Software. Sub-Project Investment Monitoring would also involve Environment and Social Monitoring and hence needs to be linked with the environment and social management tool. Kindly Refer the section of Environment and Social for the parameters to be monitored.

- Information on 5-year plan (One time) (Component 2)
 - a. Identification of project for 5-year plan
 - b. Timeline for implementation
 - c. Project Concept Note (Yes/No/NA)
 - d. Preliminary Cost Estimate
 - e. Preliminary Feasibility Analysis (Yes/No/NA)
 - f. Date of Ward Sabha in which the project was discussed (Yes/No/NA)
 - g. Preliminary Approval from Municipal Council along with Date (Yes/No/NA)
 - h. Approval from SPMU along with Date (Yes/No/NA)
 - i. Final Approval from Municipal Council along with Date (Yes/No/NA)
- Information on Annual Plan (Component 2)
 - a. Identification of project in Annual Plan – To be linked with the timeline provided in 5-year plan
 - b. Nature of project
 - c. Cost Estimate
 - d. Clearance from TSC (Yes/No/NA)
 - e. Ward Sabha Meeting (number, location, attendance) (Yes/No/NA)
 - f. Development Seminar Approval (Yes/No/NA)
 - g. Finance Standing Committee Approval (Yes/No/NA)
 - h. Municipal Council Approval (Yes/No/NA)
 - i. DPC Approval (Yes/No/NA)
- Information on Annual Plan (Component 3)
 - a. List of existing dump sites
 - b. Identification of land parcel
 - c. Consultancies with district authorities
 - d. Technical feasibility reports
 - e. Implementation readiness report
 - f. Technical assessment
 - g. Approval from LSGD
- Information on Project preparation (Component 2)
 - a. Detailed DPR (Yes/No/NA)
 - b. Cost estimate
 - c. Discussion with ward sabha (Yes/No/NA)
 - d. Implementation readiness assessment (Yes/No/NA)
 - e. Technical risk screening (Yes/No/NA)
 - f. Project Technical Documents (Yes/No/NA)
 - g. Investment Evaluation Matrix
 - h. Category of Investment
 - i. Sub-Project Type (Tack 1/ 2)
 - j. Clearances applicable and obtained (Yes/No/NA)
 - k. Approval by SPMU (Technical and Financial Sanction) (Yes/No/NA)
 - l. Approval by World Bank (Yes/No/NA)
- Project Preparation (Component 3)
 - a. Detailed project report
 - b. Detailed technical feasibility
 - c. Clearances applicable and obtained
 - d. Technical and financial due diligence

- e. Categorization of Sub-project
- f. Detailed cluster planning,
- g. Shortlisting of potential clusters along with waste quantum,
- h. Potential land details with preliminary costings of such cluster-based projects.
- i. Initial screening of such regional projects for feasibility preparations.
- j. Approval from SPMU
- k. Approval from Bank
- Procurement Details (Both Component)
 - a. Invitation for Tender
 - b. Tender Evaluation
 - c. Award of Tender
 - d. Issue of Work Order
 - e. Contract Date
 - f. Commencement Date
 - g. Vendor Name
 - h. Contract Period
 - i. Contract Value
- Technical Details about the sub-project
 - a. Based on the nature of projects, the critical details about the design of the sub-project needs to be captured. Some of the details to be captured are: land ownership details, land area, design capacity, daily waste handling capacity, GIS coordinates, civil construction details, machine capacity, etc. The actual details required to be monitored would vary from sub-project to sub-project and critical details are to be captured which will be monitored during the implementation / construction phase.
- Implementation Details

- a. Monthly reporting from vendor
- b. Monthly monitoring by ULB based on field visit
- c. Details of variance with critical technical details
- d. Variance Approval
- e. Physical Progress photographs
- f. Details of test reports
- g. Construction site restoration, construction waste management
- h. Payment Made (linked with Sankhya)
- i. Work Completion Date
- j. Financial Closure Date
- k. Performance Guarantee Date
- l. Defect Liability Period
- m. Contract Changes/Amendment
- n. Claims/Disputes

5. Operational Monitoring

The following information should be covered, and reporting should be done. Most of the information would be captured through the Smart Garbage Management System and the App on MCF and RRF. Additional tool may be required to be developed for the remaining information. Operational Monitoring would also involve Environment and Social Monitoring. Kindly Refer the section of Environment and Social for the parameters to be monitored.

Salient Features of the City/Ward

- Name of the city / ward
- Area of the city /ward
- Population of the city /ward
- Ward-wise information in regard to:

- Population density in different wards
- No. and details of establishments
 - i. No. of Residential Houses/Apartments/Housing Colonies/Villas
 - ii. shops and Establishments incl. malls and commercial complexes
 - iii. Vegetable/fruit/meat/fish markets
 - iv. Slaughterhouses
 - v. Educational Institutions
 - vi. Theatres / Meeting halls
 - vii. office complexes
 - viii. Temples/Mosques, Churches - Religious centres
 - ix. Hotels & Restaurants, Marriage halls, parks
 - x. Hospitals & Nursing Homes, labs
 - xi. Industries, Large / Medium / Small
 - xii. Slum pockets
 - xiii. C&D
- Road length/width / categories (SH, NH, PWD roads, Panchayat Roads etc.)
- Number of lakes/waterbodies, rivers, distance to forests, other Eco sensitive areas, archeological features, other sensitive areas

Waste Generation Storage and Segregation

- Information:
 - Three bins maintained at each establishment for BDW, NBDW and HW
 - Bins procured by household or given by ULB
 - No. of public storage bins deployed in the ward
- Reporting:

- % of establishment provided adequate storage and segregation facilities
- % of area covered through public storage bins
- % of Wards practicing source segregation of waste
- No. of Waste Hotspot

Treatment at Source for BDW

- Information:
 - No. of establishment wherein treating machinery is installed
 - Type of machinery installed
 - Capacity of machinery installed
 - Waste Processed
 - Compost/biogas Produced
 - Utilisation of compost/biogas generated
 - Support received by waste generators from HKS/service providers
- Reporting:
 - % of establishments undertaking treatment at source
 - % of establishment operating the treatment machines
 - Details from last visit/ survey made by the staff (date of visit, observations, photographs)

Primary Collection (to be captured separately for BDW, NBDW and HW)

- Information
 - Number of establishments being covered for door to door collection
 - Collection from public bins
 - Frequency of collection
 - Frequency of road sweeping

- Quantity of waste collected from different sources at doorstep
- Number of sanitation workers (at each hierarchy including supervisors) deployed in the city for the collection of waste and sweeping streets
- Actual attendance of sanitation workers
- No., type and capacity of vehicles deployed
- Actual availability of vehicles
- Cost of manpower
- Cost of Vehicles and O&M
- Cost of service contracts
- Purchase cost of individual container
- Purchase and maintenance cost of public bin
- Collection of C&D
- Reporting
 - Collection coverage %
 - Variation in Collection frequency
 - Number and location of public bins left uncleared
 - Ward wise allocation of sanitation workers
 - Sweeper/ population ratio in each ward
 - Sweeper/ road length ratio in each ward
 - Sweeper/ supervisor ratio in each ward
 - Short fall in human resources and vehicles
 - Areas left unattended
 - Number of unauthorised waste dumping points in each ward
 - Weight or volume of solid waste collected daily per rupee of collection cost
 - Population served per worker
 - Population served per vehicle
 - Household served per worker
- Average quantity of waste generated per capita - per day in Kg.
- Average quantity of waste produced each day in metric tons (M.T.)
- Seasonal variations in daily waste generation
- Breakup of the quantity of wastes generated per day in Kg or M.T. as per type of establishment
- Average number of carcass removed each day
- Persons/Supervisor
- Rating in Surprise Inspection Reports
- Maintenance of Bulk Waste Storage Sites including C&D sites
- Transport time efficiency
- Improvement in operation of HKS
- Percentage of Informal Waste Pickers formally integrated into Sustainable Livelihoods through Self Help Groups/ Cooperatives/Contractors/NGOs
- Revenue Generated from establishment
-
- Performance of Health Inspector

MCF/RRF Details

- Information
 - Location and Area
 - Capacity
 - Type of Transfer System
 - Mode of unloading and loading
 - Type of Vehicles - Through-In and Out
 - Sources of collection - wards / streets
 - Reception facility
 - Quantum assessment-weigh bridge

- Period of operation
- Segregation facility - Wet / Dry
- Rainwater Drain Facility
- Compound wall & Security & Lighting & Washing
- Waste Received
- Waste Dispatched
- Recovery Made
- Sales Made
- Waste Stock
- Safety and security
- OHS facilities, insurance etc.
- Medical Facilities
- Information on operations outside the ULB area
- Number of Manpower deployed
- Number of Manpower available
- Cost of manpower
- Equipment available
- Equipment operation hours
- Cost of equipment
- Reporting
 - Performance against Performance Indicators in the contract
 - Input Output Ratio
 - Cost Efficiency
 - Capacity Utilisation
 - Cost and Sales Ratio
 - Waste Composition (Physical Characteristics, Chemical Characteristics, Toxic Content)
 - Shortfall in human resources
 - Machine breakdown hours
 - Savings due to reduced disposal cost

- Share of plastic waste being recycled
- Improvement in Women's Groups operations
- Improvement in operation of MCF and RRF
- Percentage of total dry waste (including plastic and domestic hazardous waste) collected is treated/recycled, either by decentralized or centralized processing, quantity of inert and rejects going to the landfill
- Rate of reuse of domestic waste
- Overall solid waste recycling rate
- Recycling of building waste
- Percentage of hazardous material over total waste
- Percentage of reusable material
- Percentage of waste recycled off site

Secondary Transportation

- Information
 - Waste transported
 - Number of Manpower deployed
 - Number of Manpower available
 - Cost of manpower
 - Number of vehicles deployed
 - Number of vehicles available
 - Cost of vehicles including O&M
- Reporting
 - Shortfall in human resources and vehicles
 - Cost per ton

Waste Processing

- Information
 - Number of waste processing sites in the city

- The area of these sites
- The qty. of waste treated at each site
- Total operating hours of the processing plant
- Quantity of waste received at the plant
- Quantity of end products (compost, biogas etc.) produced at the plant
- Quality of end products (compost, biogas etc.) produced at the plant
- Quantity of end products sold and Quantity of end product in stock
- Quantity of reject material
- Number of staff employed (Sex disaggregated data and the of work allotted)
- Characteristic of waste - Physical and chemical
- Number of Manpower deployed
- Number of Manpower available
- Cost of manpower
- Equipment available
- Equipment operation hours
- Cost of equipment
- Reporting
 - Performance against Performance Indicators in the contract
 - Input Output Ratio
 - Cost Efficiency
 - Capacity Utilisation
 - Cost and Sales Ratio
 - Waste Composition (Physical Characteristics, Chemical Characteristics, Toxic Content)
 - Shortfall in human resources
 - Machine breakdown hours

- Savings due to reduced disposal cost
- Waste conversion to energy

Waste Disposal

- Information
 - Number of waste disposal sites in the city and their distances from the centre of the city
 - The area of these sites
 - The qty. of waste disposed of at each site
 - The expected life of each land filled site
 - Number of staff employed (Sex disaggregated data and the of work allotted)
 - Site Topography and Location and Land use
 - Ownership
 - Habitation
 - Hydrology - Ground Water level
 - Flood Control
 - Environmental Assessment
 - Nature of disposal - Open dump, Controlled dump, Engineered land fill, Sanitary landfill
 - Life expectancy - Void space (cubic metre)
 - Leachate and Methane Protection
 - Infrastructure and Machinery
 - Personal and Training
 - Monitoring - Operation and maintenance
 - Economic - Cost Analysis
 - Number of Manpower deployed
 - Number of Manpower available
 - Cost of manpower
 - Equipment available

- Equipment operation hours
- Cost of equipment
- Reporting
 - Waste handled
 - Cost per ton
 - Shortfall in human resources
 - Machine breakdown hours
 - Remaining capacity
 - Improvement in landfill operation
 - Number of dumpsites closed
 - Number of landfills constructed
 - Waste cost per square meter floor area

6. Environment Monitoring Tool

The following information is required to be captured with regard to environment management and the related reporting needs to be undertaken. The information needs to be linked with the Sulekha tool, sub-project investment monitoring tool and operations monitoring tool.

- Information
 - 5-year SWM Plan Stage
 - Environment category as per ESMF
 - Annual Plan Stage
 - Agency (which conducts), Dates - Subproject Screening Stage 1 & 2 as per ESMF
 - Sub-Project Preparation Stage
 - Sub project wise Name, designation and contact details of Environmental Specialists / Engineers at SPMU, DPMU, ULB/PIU, PMC, Contractors

- Agency (which conducts), dates- ESIA / ESMP prepared, approval or clearance status (by ULB, DPMU, SPMU, WB as applicable), disclosure dates, links
- Date of Incorporation of cleared ESMP in bid docs
- Baseline Environmental Data (from SWM Plan & ESIA)- Waste related pollution aspects – on Key Environmental parameters (at least key locations) - Air, Water, Soil, Noise, Fly nuisance, Leachate Generation, Odour Control, Biodiversity, Communities (preferably in forms)
 - List of environment safeguards
- Sub-Project Construction / Implementation Stage
 - Periodic Environmental Monitoring Data during project construction (preferably in forms) preferably in same locations where baseline data has been collected
 - Compliance with Environment Safeguards
- Sub-Project Operation Stage
 - Periodic Environmental Monitoring Data during project operation (preferably in forms) preferably in same locations where baseline data has been collected
 - Compliance with Environment Safeguards
- Reporting
 - Environment category as per ESMF
 - Improvement in Environment over the construction / implementation / operation phase as compared to baseline
 - Weekly, Monthly, Quarterly Monitoring Reports and Annual Audit on Environmental Safeguards compliance by project agencies (preferably in forms)

7. Social Monitoring Tool

The social monitoring tool would consist of the following:

- a. Labour management tool
- b. Land and Rehabilitation tool
- c. App for Sub-Scheme Monitoring on Social Aspects

The above tools would ensure capturing of all the required information and monitoring of all the social aspects through the various stages of the project and sub-project life cycle (preparation, pre-planning, planning, implementation, post implementation). The scheme cycle duly provides the activities to be undertaken, duration and timeline, responsibility and data source. The scheme cycle also needs to be appropriately linked with the Sub-project investment monitoring tool and the SWM operations tool as well as with the Training Management Tool and Grievance Redressal Management Tool. The following provides the indicators which needs to be reported upon based on the information captured in the social monitoring tool.

- RPF
 - Adequacy of entitlements (replacement cost, allowances, income generation grant, etc.) (Number as per Act)
 - Time taken for payment of entitlements (Weeks)
 - Time taken for land acquisition (Weeks)
 - Income patterns (of various type of households including women headed households and other vulnerables) (Increase/ decrease in Income against baseline, %)
 - Land holding status (Increase/ decrease in Income against baseline, %)
 - Changes in occupations (Increase/ decrease in Income against baseline, %)
 - Housing status (area, floor, walls, roof, etc.) (Increase/ decrease in Income against baseline, %)
- Ownership of household assets (Increase/ decrease in Income against baseline, %)
- TDP
 - Participation of scheduled tribes (Number)
 - Job opportunities for scheduled tribes in project (Number)
 - Representation of tribal communicates in various committees (Number)
 - Livelihood assistance to tribal groups (Number)
 - No. of Scheduled tribes owned enterprises/ No. of Scheduled tribe contractors (Number)
- Citizen Engagement
 - Plans and budgets available on Project website, hard copy at ULB offices (Number)
 - Formation or co-option of Ward level committees (Number)
 - Vulnerable representation in committees (as per population) (Number)
 - Number of ward level meetings (Number)
 - Prior information of meetings (mode of communication)
 - location of meetings (Number)
 - Attendance of vulnerable groups in meetings (Number)
 - Separate planning or pre-planning meetings with women and different social – economic sub-groups, (youth, tribals) to ensure representation of all interests and needs in the plan (Number)
 - Documentation of meetings, MoM made available (hard copy and website) (Number)
 - Number of court cases (Number)
 - Social Audit Manual and Pilots conducted (Number)
 - Social Audit Rolled out (Number)
 - Findings of Social Audit used for project review (Number)

- Consumer Surveys coverage (Percentage)
- SBCC
 - Communication Plan developed for pre-planning, planning and implementation stage (regional and ULB level)
 - SBCC and IEC material prepared and archived (Topic wise, stage wise, location wise- Number)
 - Response of communication medium and message reviewed (Qualitative report and capture data from consumer feedback survey)
- Gender
 - Baseline data:
 - Numeric data on all female SWM workers of all 93 ULBs: number of formal workers, number of informal workers
 - Gender disaggregated data of the ULB: sex ratio, women Ward members, women representation in committees
 - Profiling of SWM workers a) demographic, b) socio-economic, c) livelihoods and skills, d) assets and liabilities, e) impacts and issues, f) problems and perceptions, etc.
 - Mapping gender gaps and opportunities for SWM workers
 - Mapping skill building schemes and resources (Number)
 - Number of women received skill upgradation training. (Number)
 - Number of women linked to higher SWM value chain activities and entrepreneurial activities; (Number)
 - % increase in income women SWM workers accessing other SWM verticals (Number)
 - Women Component Plans of ULB: resources leveraged for SWM women workers (increase in budgetary allocation for SWM workers)
 - Issues raised by women covered in Plans (Number)
- GBV:
 - Number of Agency requiring an ICC under the project (Number)
 - Internal Complaints Committee: Number of Agency that have formed ICC (Finalized ToR; List of Members; Orientation Session and First Meeting) (Number)
 - GBV Service provider repository for ULB (Mapping and benchmarking services; Identification of key partners, roles, modalities) (Number)
 - GBV Six monthly report on Dissemination material produces, workshops organized, personnel trained, community members sensitized (Number)
- Labour Management
 - Responsibility Matrix for Labor Management (Number)
 - Developing a Code of Conduct (Number)
 - Systematizing the Code of Conduct (Number)
 - Aligning Sub-contracting processes (Number)
 - Transparency in Contract Specific Terms and Conditions (Number)
 - Labor Influx and Construction Labor Management Plan (Number)
 - Adherence to contract conditions and standards (housing, sanitation, crèches, use of local labor, equal wages to men and women, avoidance of child labor, etc.) (Number)
- Compliance with Social Management (TDF-SMF and RPF).
 - ULB wise CEP prepared
 - ULB wise Communication plan prepared
 - ULB wise GAP prepared (including GBV)
 - ULB wise Vulnerability Action Plan prepared
 - Contractor wise Labor management Plan prepared

- Livelihood Action Plan prepared
- RAP prepared
- RAP
 - Database of eligible PAPs.
 - Issuance of Identity Cards
 - Micro Plan
 - Training to PAP
 - Linkage with financial institution
 - Linkage with government departments, district administration
- Livelihoods programs for ragpickers, HKS, Kudumbashree members, etc.
 - Outreach and Awareness campaigns (number-topic wise)
 - Training (number and participants)
 - Linkage with financial institution (number of individuals linked)
 - Linkage with government departments, district administration run livelihood projects (number of individuals linked)

A 10.2 SWM Field Inputs

(to be filled by contractors/ service providers to the ULBs)

LOG-BOOK FOR QUANTITY OF WASTE TRANSFERRED TO OR FROM TREATMENT FACILITY/ MCF RRF MRF FACILITY/ LANDFILL FACILITY						
ULB Name:						
District:						
Status of Calibration of weighing instrument: Last calibrated on _____						
Date/ Time	Name/ Location of Facility	Incoming from/ Outgoing to (Details of the Facility)	Log Details (weight in tons)			
			Incoming		Outgoing	
			BDW	NBDW	BDW	NBDW
						<i>(for plastic taken from RRF facilities for reuse/ recycle purpose)</i>
<i>(monthly reports generated from the weighing bridge system to be appended to this report)</i>						

INPUT SHEET FOR SERVICE COVERAGE AND COST RECOVERY FROM PAYMENTS FOR SWM SERVICE SUBSCRIPTION						
Name of Subscriber	District	ULB	Ward	Address	Status of Decentralized Treatment	Status of Monthly Fees for SWM services/ Amount Collected

A 10.3 Monthly Progress Report

(To be submitted by each ULB to their respective DPMU)

DISTRICT:	ULB NAME:	PERIOD:	DATE OF REPORTING:
STATUS OF ISSUE OF BY-LAWS, TIMELINES, REMARKS:			
...			
STATUS OF FOR ISSUE OF CITY SWM MASTER PLAN, TIMELINES, REMARKS:			
...			
STATUS OF COMPLIANCE TO ANNUAL TRIGGERS, TIMELINES			
...			
STATUS OF COST RECOVERY SYSTEM AND PLANS FOR ITS EXECUTION:			
STATUS OF SWM SERVICES, WASTE COLLECTION, TRANSPORTATION, TREATMENT AND DISPOSAL			
<i>Report generated by the MIS (Operational Tool) to be attached for quantitative information; ULB to mention Observations, Comments</i>			
STATUS OF GRIEVANCE REDRESSAL			
<i>Report generated by the MIS (GRMS Tool) to be attached for quantitative information; ULB to mention actions planned and timeline for open grievances, reasons for non-compliance if any.</i>			
HUMAN RESOURCE CAPACITY AVAILABLE FOR SWM			
<i>Report generated by the MIS (Operational Tool) to be attached for quantitative information; ULB will provide comments on status of recruitment of SWM Staff including women's groups, against the Annual Staff Requirement Plan for SWM and Hiring Schedule</i>			
SOCIAL SAFEGUARDS PROGRESS			
<i>detailing actions, progress and compliances for each sub-project</i>			
STATUS OF COMPLIANCE OF ELIGIBILITY CRITERIA FOR GRANTS			
S. No.	Description of Eligibility Criteria	Status of Compliance/ Milestone	Timelines for Actions and Compliance
1.			

DETAILS OF PHYSICAL AND FINANCIAL PROGRESS OF SUB-PROJECTS											
<i>Report generated by the MIS (IM Tool) to be attached for quantitative information; ULB will provide, Observations, Comments)</i>											
S. No.	Activity/ Project/ Sub-Project Description	Location/ Ward Name/ Number	PHYSICAL PROGRESS			FINANCIAL PROGRESS					REMARKS
			Target	Status (ongoing/ completed)	Progress in %	Estimated Budget	Expenses Incurred this period	Cumulative Expenses till date	Cumulative Expenses as % of total budget	Balance Fund	
1.											

A 10.4 Quarterly Progress Report

(to be submitted by each DPMU to SPMU)/ CONSOLIDATED PROGRESS REPORT (to be used by SPMU to generate quarterly consolidated progress report)

DISTRICT:	NO. OF ULBs UNDER JURISDICTION:	PERIOD:	DATE OF REPORTING:
ULB TIMELINES FOR: ACCESSING INCENTIVE GRANTS FOR IMPROVING SWM SERVICES, ISSUE OF BY-LAWS, ISSUE OF CITY LEVEL SWM PLANS, CONDUCTING BENEFICIARY SATISFACTION SURVEY etc.			
...			
DETAILS REGARDING ACHIEVEMENT OF ELIGIBILITY CRITERIA			
<i>DPMU to provide information regarding criteria achieved, yet to be achieved, current status, actions planned and timelines, probable timeline for achievement of eligibility criteria</i>			

RESULTS INDICATORS - CURRENT STATUS AS AT END OF QTR				
PDO RESULTS INDICATORS				
Indicator Name	Baseline	Current Status	End of Project Target	Remarks

INTERMEDIATE RESULTS INDICATORS				
Indicator Name	Baseline	Current Status	End of Project Target	Remarks

STATUS OF PROGRESS OF SUB-PROJECTS *(TO BE UPDATED IN THIS REPORT/ TO BE GENERATED BY MIS)*

SOCIAL SAFEGUARDS PROGRESS

detailing actions, progress & compliances for each sub-project; critical issues encountered for each sub-project, to facilitate early detection & support from Bank.

S. No.	Name of the ULB	PHYSICAL PROGRESS			FINANCIAL PROGRESS					Environment & Social Compliance
		Target	Status (ongoing/ completed)	Progress in %	Estimated Budget	Expenses Incurred this period	Cumulative Expenses till date	Cumulative Expenses as % of total budget	Balance Fund	
Component 1										
1.										
2.										
Component 2, Track I Activities										
1.										
2.										
Component 2, Track II Activities										
1.										
2.										

STATUS OF COMPLIANCE OF ANNUAL TRIGGERS:

Note: *Quarterly Consolidated Progress Report to also include the followings reports as enclosure, in addition to this report format:*

- *Quarterly Procurement Report (for all components)*
- *Quarterly Progress Report for Component 3*
- *Training Implementation Report*
- *Quarterly Implementation Report on EMP*

A 10.5 Quarterly Progress Report for Component 3

(to be prepared by PMC for SPMU)

RESULTS MONITORING											
S. No.	Indicator				Status				Details/ Remarks		
1.	Solid waste disposed safely in engineered landfills (in ton per day)										
2.	Number of dumpsites closed										
3.	Number of landfills constructed and operational										
4.	Number of inter-municipal coordination arrangements in place for regional disposal systems										
DETAILS OF SUB-PROJECTS IDENTIFIED BY SPMU:											
SOCIAL SAFEGUARDS PROGRESS:											
<i>detailing actions, progress & compliances for each sub-project; critical issues encountered for each sub-project, to facilitate early detection & support from Bank.</i>											
S. No.	Work Description	PHYSICAL PROGRESS			FINANCIAL PROGRESS					Environment & Social Compliance	REMARKS ⁶
		Target	Status (ongoing/ completed)	Progress in %	Estimated Budget	Expenses Incurred this period	Cumulative Expenses till date	Cumulative Expenses as % of total budget	Balance Fund		
1.											

⁶ Details like status of design of clusters, identification of land parcels for disposal facilities, readiness assessment and screening, hiring of specialized technical consultants for sub-project specific detailed design and ESIA to be mentioned

A 10.6 Format for Quarterly Procurement Report

(To Be Prepared By ULB) / Quarterly Procurement Report For Component 1 & 3 (to be prepared by SPMU)

Sub-Project Wise Details: *(to be generated by MIS (IM Tool))*

Name of the work	Timelines (as scheduled)	Current Status	Estimated Cost of Work	Date of Award of tender	Issue of Work Order	Contract Date	Commencement Date	Vendor Name	Contract Period	Contract Value

Procurement – Planned vs Actual

Description	Annual Procurement Plan	Procurement Completed till Reporting Period	
		For YTD	For CTD
No. of service contracts – Value of services –			
No. of works contracts – Value of works –			
No. of Goods to be procured – Value of goods –			

A 10.7 Format for Site Visit Checklist for Field Level Information and Updates for Component 2/ Component 3 Sub-Projects

(to be filled by officers who conducted site visits) (ULB/ SPMU may add further details to the format as per the requirement)

ULB Name:
Name of Site Officer:
Date of Visit:
Name/ Location of Project visited:
Date of site visit conducted previously for this Project:
PHYSICAL PROGRESS:
Work/ Construction Milestone(s) (if any) completed:
Details of Progress of Work/ Construction:
Details of manpower available: (attendance details for manpower for the day)
Details of machineries at site:
Expected work for the week/ month:
Expected Timelines for the completion of next stage of work:
FINANCIAL PROGRESS:
Date of the last bill submission update for the project:
Expected billing amount for this month/ quarter:

A 10.8 Format for Annual Staff Requirement Plan for SWM And Hiring Schedule for Next Year

(to be prepared by ULB)

Staff Requirement Plan for the period 20xx-20xx		
Date of submission:		
Name of the ULB:		
...		
Details of present capacity of ULB in terms of waste collection, treatment, segregation, disposal:		
...		
Details of present strength of ULB: engineers, experts, SWM workers appointed by ULB:		
...		
% of staff who have attended trainings relevant to their nature of work:		
...		
Details of KSWMP project works under progress which would affect/ increase the waste collection/ treatment/ disposal capacity of the ULB in the upcoming year:		
...		
Staff strength required in the upcoming year:		
...		
Staff Trainings required for the works:		
...		
Annual staff training schedule for the upcoming year:		
...		
Capacity of the ULB:		
Particular	Present Capacity	Expected Capacity (for the upcoming year)
D2D waste C&T		
waste segregation at MCF/		

RRF		
waste treatment		
...(other works)		
Staff strength at the ULB:		
Particular	Present strength	Staff required
ULB office staff		
Site Engineers		
Experts		
Waste collection workforce		
Manpower at waste treatment facilities		
Women worker groups		
... (other staff categories)		

A 10.9 Format for Training Implementation Report

(to be prepared by respective training organisations for submission to SPMU)

Date of Reporting:

Name of the ULB:

(standard report generated from the MIS TCB tool to be attached for the quantitative figures)

Description	No of trainings conducted	Target no. of officials (for different staff categories)	Cumulative progress as at end of Qtr (no. of officials)	Progress during Quarter (no. of officials)

Details of action plans, observations, comments from the training organisation(s), if any:

A 10.10 Formats for EMF And Social Reporting Requirements

(for periodic Implementation Report for EMP; Supervision Report; Safeguard Monitoring Report)

GENERAL FORMAT⁷ FOR MONTHLY IMPLEMENTATION REPORT FOR EMP *(to be prepared by ULB for submission to DPMU)*

Clearances Received:
EMP Implementation Status:
Challenge faced while implementation, if any:
Details of incidences, if any:
No. of incidents (all types and from various project sites, during both Construction and O&M)
Items to flag:

FORMAT FOR MONTHLY SUPERVISION REPORT

Agency wise observation	Date	Issue Description in brief (incl. site details concerned officials' details)	Agreed Action	Status (including escalation)	Remarks / Comments
Project 1: Component wise Subprojects/Activities					

⁷ This is a general format for the EMF and social reporting, mentioning the minimum details which the ULB/ DPMU will be required to provide. Further details regarding EMF/ social requirements specific to the type of project may be added by the ULBs/ DPMUs to the format during the execution stage after discussions with the DPMUs/ SPMUs.

Agency wise observation	Date	Issue Description in brief (incl. site details concerned officials' details)	Agreed Action	Status (including escalation)	Remarks / Comments
DPMU:					
PMC:					
PIU:					
Contractor:					

FORMAT FOR QUARTERLY IMPLEMENTATION REPORT FOR EMP (to be prepared by DPMU for submission to SPMU)

KSWMP - Action Taken Report (ATR) for agreed actions - Month Date- Social Safeguards

Sub-Project	Agreed Actions on E&S Safeguards/ Timeline	Current Status of Social Safeguards /Progress on RAP

KSWMP - ATR for agreed actions - Month Date - Environmental Safeguards

Action	By When	By Whom	Status/ Action Taken

FORMAT FOR SOCIAL SAFEGUARDS MONITORING REPORT

- to be filled by ULB every month, DPMUs every quarter, SPMU every six months
- The three scheme cycles (for Master plan, sub-projects and regional landfills)duly integrated in the action plan of Social Management Specialists

1. Quantitative reporting

S.No	Title	Quarterly Update
1.	Social Management System	
1.1	Baseline	
1.2	Institutional set up for Social management (hiring of specialists and Support organisations)	
1.3	Social management integrated in MIS	
2.	Resettlement Planning Framework	
2.1	Number of entitlements	
2.2	Time taken for payment of entitlements (Weeks)	
2.3	Time taken for land acquisition (Weeks)	
2.4	Income patterns (of various type of households including women headed households and other vulnerable) (Increase/ decrease in Income against baseline, %)	
2.5	Land holding status (Increase/ decrease in Income against baseline, %)	
2.6	Changes in occupations (Increase/ decrease in Income against baseline, %)	
2.7	Housing status (area, floor, walls, roof, etc.) (Increase/ decrease in Income against baseline, %)	
2.8	Ownership of household assets (Increase/ decrease in Income against baseline, %)	
3.	Tribal Development Plan	
3.1	Tribal Population	
3.2	Tribal doing jobs in project (Number)	
3.3	Tribals in various committees (Number)	
3.4	Livelihood assistance to tribals (Number)	

S.No	Title	Quarterly Update
3.5	No. of Tribals owned enterprises/ No. of tribals contractors (Number)	
4.	Citizen Engagement	
4.1	Plans and budgets to be available on Project website, hard copy at ULB offices (Number)	
4.2	Formation or co-option of Ward level committees (Number)	
4.3	Vulnerable representation in committees (as per population) (Number)	
4.4	Number of ward level meetings (Number)	
4.5	Prior information of meetings, location of meetings (Number)	
4.6	Attendance of vulnerable groups in meetings (Number)	
4.7	Separate planning or pre-planning meetings with women and different social - economic sub-groups, (youth, tribals) to ensure representation of all interests and needs in the plan (Number)	
4.8	Documentation of meetings, MoM made available (hard copy and website) (Number)	
4.9	Grievances registered, resolved and average time taken for resolution (Number)	
4.10	Number of court cases (Number)	
4.11	Social Audit Manual developed	
4.12	Social Audit Pilot (Number)	
4.13	Social Audit Rolled out (Number)	ANNUAL
4.14	Consumer Surveys conducted (Number)	ANNUAL
5.	IEC and SBCC	
5.1	PIC formed	
5.2	Communication Plan developed	
5.3	Role and responsibility matrix developed (PIC, experts, firms)	
5.4	SBCC and IEC material prepared and disseminated (Number - print, audio, visual, social media)	
6.	Gender	
6.1	Profiling of SWM workers (Number)	
6.2	Mapping skill building schemes and resources (Number)	
6.3	Number of women received skill upgradation training. (Number)	
6.4	Number of women linked to higher SWM value chain activities and entrepreneurial activities; (Number)	
6.5	% increase in income women SWM workers accessing other SWM verticals (Number)	
6.6	Internal Complaints Committee: Number of Agency requiring an ICC under the project	

S.No	Title	Quarterly Update
	(Number)	
6.7	Internal Complaints Committee: Number of Agency that have formed ICC (Finalized ToR; List of Members; Orientation Session and First Meeting) (Number)	
6.8	GBV Service provider repository for ULB (Mapping and benchmarking services; Identification of key partners, roles, modalities) (Number)	
7.	Labour Management	
7.1	Labor Management software integrated in the MIS which tracks labor compliance ⁸	
7.2	Labor Influx and Construction Labor Management Plans(Number)	
8.	Capacity Development	
8.1	Training plan prepared	
8.2	Number of trainings conducted (Number)	
8.3	Number of personnel trained by program (Number)	
8.4	Achievement of learning objectives - Value and use of trainings (Feedback from participants) (Number)	

2. Qualitative Reporting

S.No.	Title	Link/attach reports
1.	Citizen Engagement	
1.1	Process of ensuring outreach, strengthening local leadership and participation (examples, field notes, success stories)	
1.2	Integrated GRM systems developed: physical, online toll free telephonic, App based with responsibility matrix (SWM service, GBV and labor management), alert, escalation mechanism, tracking, closure protocol	
1.3	GRM includes SWM services, GBV and labor management	
1.4	Social Audit Report and lessons for project review	
1.5	Consumer Surveys Report and lessons for project review	
2.	IEC and SBCC	
2.1	Response of communication medium and message reviewed (Number)	

⁸ Responsibility Matrix for Labor Management; Developing a Code of Conduct; Systematizing the Code of Conduct; Aligning Sub-contracting processes; Transparency in Contract Specific Terms and Conditions; Adherence to contract conditions and standards (housing, sanitation, crèches, use of local labor, equal wages to men and women, avoidance of child labor, etc.)

S.No.	Title	Link/attach reports
3.	Gender	
3.1	Review of Women Component Plans of ULB: resources leveraged for SWM women workers (increase in budgetary allocation for SWM workers)	
3.2	GBV Six monthly report on Dissemination material produces, workshops organized, personnel trained, community members sensitized (Number)	
3.3	GBV Service provider repository for ULB (Mapping and benchmarking services; Identification of key partners, roles, modalities) (Number)	
4.	Capacity Development	
4.1	Training Needs Assessment Report	SPMU (one time)
4.2	Training Reports (process, feedback, outcomes, and lessons)	

FORMAT FOR ANNUAL REPORT OF THE SOCIAL DEVELOPMENT OUTCOMES IN THE PROJECT DISTRICTS

Minimum information to be included in the report is as follows. Other relevant information and observations from their site visits, and other reports may be included in addition to below.

1. Quantitative reporting

S.No	Title	Quarterly Update
1.	Social Management System	
1.1	Baseline	
1.2	Institutional set up for Social management (hiring of specialists and Support organisations)	
1.3	Social management integrated in MIS	
2.	Resettlement Planning Framework	
2.1	Number of entitlements	
2.2	Time taken for payment of entitlements (Weeks)	
2.3	Time taken for land acquisition (Weeks)	
2.4	Income patterns (of various type of households including women headed households and other vulnerable) (Increase/ decrease in Income against baseline, %)	
2.5	Land holding status (Increase/ decrease in Income against baseline, %)	
2.6	Changes in occupations (Increase/ decrease in Income against baseline, %)	
2.7	Housing status (area, floor, walls, roof, etc.) (Increase/ decrease in Income against baseline, %)	
2.8	Ownership of household assets (Increase/ decrease in Income against baseline, %)	
3.	Tribal Development Plan	
3.1	Tribal Population	
3.2	Tribal doing jobs in project (Number)	
3.3	Tribals in various committees (Number)	
3.4	Livelihood assistance to tribals (Number)	
3.5	No. of Tribals owned enterprises/ No. of tribals contractors (Number)	
4.	Citizen Engagement	
4.1	Plans and budgets to be available on Project website, hard copy at ULB offices (Number)	
4.2	Formation or co-option of Ward level committees (Number)	
4.3	Vulnerable representation in committees (as per population) (Number)	

S.No	Title	Quarterly Update
4.4	Number of ward level meetings (Number)	
4.5	Prior information of meetings, location of meetings (Number)	
4.6	Attendance of vulnerable groups in meetings (Number)	
4.7	Separate planning or pre-planning meetings with women and different social – economic sub-groups, (youth, tribals) to ensure representation of all interests and needs in the plan (Number)	
4.8	Documentation of meetings, MoM made available (hard copy and website) (Number)	
4.9	Grievances registered, resolved and average time taken for resolution (Number)	
4.10	Number of court cases (Number)	
4.11	Social Audit Manual developed	
4.12	Social Audit Pilot (Number)	
4.13	Social Audit Rolled out (Number)	ANNUAL
4.14	Consumer Surveys conducted (Number)	ANNUAL
5.	IEC and SBCC	
5.1	PIC formed	
5.2	Communication Plan developed	
5.3	Role and responsibility matrix developed (PIC, experts, firms)	
5.4	SBCC and IEC material prepared and disseminated (Number – print, audio, visual, social media)	
6.	Gender	
6.1	Profiling of SWM workers (Number)	
6.2	Mapping skill building schemes and resources (Number)	
6.3	Number of women received skill upgradation training. (Number)	
6.4	Number of women linked to higher SWM value chain activities and entrepreneurial activities; (Number)	
6.5	% increase in income women SWM workers accessing other SWM verticals (Number)	
6.6	Internal Complaints Committee: Number of Agency requiring an ICC under the project (Number)	
6.7	Internal Complaints Committee: Number of Agency that have formed ICC (Finalized ToR; List of Members; Orientation Session and First Meeting) (Number)	
6.8	GBV Service provider repository for ULB (Mapping and benchmarking services; Identification of key partners, roles, modalities) (Number)	

S.No	Title	Quarterly Update
7.	Labour Management	
7.1	Labor Management software integrated in the MIS which tracks labor compliance ⁹	
7.2	Labor Influx and Construction Labor Management Plans(Number)	
8.	Capacity Development	
8.1	Training plan prepared	
8.2	Number of trainings conducted (Number)	
8.3	Number of personnel trained by program (Number)	
8.4	Achievement of learning objectives - Value and use of trainings (Feedback from participants) (Number)	

2. Qualitative Reporting

S.No.	Title	Link/attach reports
1.	Citizen Engagement	
1.1	Process of ensuring outreach, strengthening local leadership and participation (examples, field notes, success stories)	
1.2	Integrated GRM systems developed: physical, online toll free telephonic, App based with responsibility matrix (SWM service, GBV and labor management), alert, escalation mechanism, tracking, closure protocol	
1.3	GRM includes SWM services, GBV and labor management	
1.4	Social Audit Report and lessons for project review	
1.5	Consumer Surveys Report and lessons for project review	
2.	IEC and SBCC	
2.1	Response of communication medium and message reviewed (Number)	
3.	Gender	
3.1	Review of Women Component Plans of ULB: resources leveraged for SWM women workers (increase in budgetary allocation for SWM workers)	
3.2	GBV Six monthly report on Dissemination material produces, workshops organized, personnel trained, community members sensitized (Number)	

⁹ Responsibility Matrix for Labor Management; Developing a Code of Conduct; Systematizing the Code of Conduct; Aligning Sub-contracting processes; Transparency in Contract Specific Terms and Conditions; Adherence to contract conditions and standards (housing, sanitation, crèches, use of local labor, equal wages to men and women, avoidance of child labor, etc.)

S.No.	Title	Link/attach reports
3.3	GBV Service provider repository for ULB (Mapping and benchmarking services; Identification of key partners, roles, modalities) (Number)	
4.	Capacity Development	
4.1	Training Needs Assessment Report	SPMU (one time)
4.2	Training Reports (process, feedback, outcomes, and lessons)	

Chapter 11 – Financial Management Systems

A 11.1 Format for 6-monthly Interim Unaudited Financial Report (IFR)



Annex 11.1 to
Chapter 11 - IUFR fo

The excel sheet will be attached separately for any reference with respect to the 6-monthly IFR.

A 11.2 Format for Grant Utilization Report (GUR)



Annex 11.2 to
Chapter 11 - Grant L

The excel sheet will be attached separately for any reference with respect to GUR.

A 11.3 Model Template for Terms of Reference for Internal Audit of the Project

Terms of Reference for Internal Audit for Kerala Solid Waste Management Project

1. Background of the Project

The Kerala Solid Waste Management Project (KSWMP), supported by World Bank by an IBRD loan, is designed to address the key institutional, financial, service delivery and infrastructure constraints in the SWM system in Kerala through an integrated service delivery value chain approach. It provides a combination of technical and financial assistance to (i) state level agencies such as LSGD, Suchitwa Mission, SPMU, DPMUs and (ii) to participating ULBs to improve their institutional and financial capacities, and their infrastructure and service delivery systems for SWM. The project will support a hybrid approach of decentralized and centralized solutions to improve SWM service delivery. At the local level, participating ULBs will have a lead role in delivering SWM services including, generator-level waste segregation and treatment, primary collection and transportation, waste processing and recycling. The project will provide technical assistance and incentive grants to ULBs for undertaking key institutional reform actions and investments that are critical to strengthening the ULB's capacity for delivering SWM services. Owing to the demographic and geographic profile of the state, characterized by closely located medium and small-sized ULBs and peri-urban areas with high population density, the project will also support a regional approach for SWM processing and disposal.

2. Project Components

The project provides technical assistance and training activities and investment finance to support creation of new/upgradation of existing SWM infrastructure at ULB and Regional levels through mechanisms more described in the PAD. [refer PAD]. It comprises three components as detailed below:

Component 1: Institutional development, capacity building and project management

The component will provide technical assistance and capacity building at state and local levels for (a) undertaking SWM institutional, financial and policy reforms; (b) planning, designing and implementing investment sub-projects for climate smart and disaster resilient SWM infrastructure and service-provision improvements; (c) organizational development of participating ULBs for inclusive and sustainable SWM service delivery; and (d) awareness generation, gender inclusion and stakeholder engagement. This component will also provide project management, coordination and monitoring support at state, district and local levels. Lastly, this component will provide technical support to LSGD, SM and participating ULBs for (i) developing guidelines and systems for COVID-19 related waste management, sanitization and public hygiene practices to be rolled out across all urban areas, and (ii) carrying out social awareness, sensitization and training programs for key stakeholders and citizens. Key activities include:

- a) Technical Assistance to state agencies for policy reform, strengthening of organisational capacities and institutional

systems including development of rules and regulations, and operational procedures and training.

- b) Technical Assistance to ULBs to strengthen their institutional systems including financial systems and cost recovery mechanisms, establishing mechanisms to partner with various city level agencies for SWM activities, project planning, design and implementation and O&M support.
- c) Training and awareness generation/Information Education Communication support for all agencies for SWM activities.

Component 2: Grant support to ULBs for SWM

The component will provide grants to the participating ULBs for improving their local level SWM systems and capacities, mainly on (a) primary collection and transportation systems for solid waste, including the provision for performance-based contracts with Kudumbashree and HKS women groups as SWM service providers, (b) source segregation and treatment for BDW at decentralized level, (c)

rehabilitation of existing MCFs/RRFs and development of new integrated MRFs, (d) development of BDW management facilities, (f) closure/remediation of existing dumpsites and development of disposal cells as interim disposal facilities, (g) public space cleaning, sanitization, waste removal activities as well as cleaning and sanitization of government offices, hospitals, community level waste recycling and processing facilities (in the context of COVID-19), (h) protective gear, equipment, masks, chemicals, disinfectants etc. for sanitation and waste management workers, (i) operations and maintenance payments for performance-based contracts and tipping fees for regional disposal, and (j) implementation of environment and social risk mitigation actions.

Grants to ULBs will be managed in accordance with a Grant Management Manual [refer GMM] approved by the Bank and GoK. Two types of grants will be provided under this arrangement (i) Basic Grants, available once ULBs sign a Participation Agreement [refer PA] and Incentive Grants available as and when ULBs satisfy a certain threshold criteria/requirement as set out in GMM and shown below:

Grant allocation ceiling	Eligibility Criteria
Basic Grants (40%)	Available once ULBs sign a Participation Agreement
Incentive Grants (40%)	ULBs must have fulfilled all following three conditions: a) Prepared a 5-year city-wide plan for climate-smart and disaster-resilient SWM, which has been approved by SM b) Issued SWM by-laws that incorporate the principles of GoK's new SWM strategy c) Confirmed access to/use of facility for safe disposal of waste
Incentive Grants (20%)	5% grants on fulfilling each of the following four conditions: a) Hired top two-level staff as per SWM org. structure approved by GoK b) Signed performance-based contracts for waste collection and transportation (C&T) services

	c) Plan developed for levying user charges and O&M budgeting d) Implemented M&E including grievance redressal mechanism
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Verification of eligibility criteria and compliance checks will be done periodically based on which the grants will adjusted/readjusted. There will be a separate Independent Verification Agency (IVA) who will provide these services and the Internal auditors, as part of their audit program only need to ensure if these activities are done for the period under audit.

Component 3: Development of regional SWM facilities

This component will finance, inter alia: (a) regional processing and recycling facilities; (b) regional construction and demolition (C&D) waste management facilities; (c) transfer stations and regional sanitary landfills for municipal solid waste disposal; and (d) closure/remediation of existing waste dumpsites and development of incremental disposal cells as interim safe disposal facility. These downstream activities aim at completing the value chain. They will be implemented and managed by SM in compliance with the National SWM Rules 2016 and the guidelines issued by CPCB. In addition, this component will finance the biomedical waste management facilities to expand the state’s capacity to deal with increased volumes of biomedical waste in the context of COVID-19 pandemic.

All activities relating to Component 3 will be done by SPMU in assistance with a Project Management Consultant and project accounts and records relating to these activities will be maintained by SPMU F&A staff. The funds for this activity will be received by the SPMU from GoK through the state’s planning and budgeting process and will

be credited into the account of the SPMU maintained with the treasury with which it is mapped. All expenditure relating to activities under this component will be made from these funds. The SPMU is expected to prepare project accounts and prepare six monthly Interim Financial Reports to the Bank which capture all key details of funds received and spent including necessary expenditure details for the period under report.

3. Accounts and Financial Reporting

The funds from the World Bank will be received on “advance” methods and will be report based. These will be received in accordance with the established procedures of GoI and GoK. There will be physical transfer of funds for Components 1 and 3 into SPMU account and for Component 2, ULBs will receive an annual Letter of Allotment that entitles them spend project monies on eligible activities and projects.

All activities relating to Components 1 & 3 will be carried by SPMU in assistance with a Project Management Consultant and project accounts and records relating to these activities will be maintained by SPMU F&A staff. The funds for this activity will be received by the SPMU from GoK through the state’s planning and budgeting process and will be credited into the account of the SPMU maintained with the treasury with which it is mapped. All expenditure relating to activities under this component will be made from these funds. The SPMU is expected to prepare project accounts and prepare six monthly Interim Financial Reports (IFRs) to the Bank which capture all key details of funds

received and spent including necessary expenditure details for the period under report.

Similarly, the activities relating to Component 2 will be carried by ULBs with assistance from district level Technical Support Consultants. Project accounts and records relating to these activities will be maintained by ULB-PIU F&A staff. ULBs will be required to report the grant utilisation to DPMU and SPMU by means of a Grant Utilisation Report prepared and submitted quarterly. These reports will feed into the IFRs that will be prepared by SPMU for submission to the Bank.

4. Internal Audit Mandate

The FM assessment for the Project revealed “substantial” FM risks to the Project and the Project Appraisal Document has identified key risk mitigation measures that include periodical conduct of the Internal audit of all activities under the Project by the designated Internal Auditors. The mandate is to conduct Internal Audit SPMU, DPMU and ULB-PIUs covering the financial, compliance and performance issues *relating to the Components 1, 2 and 3 activities only* and suggest “corrective action” where necessary. Accordingly, the Project Agreements concluded with the GoK, contain a legal covenant for conduct of periodical Internal Audits as per the Audit Objectives, Scope and Coverage detailed in these ToR for the entire Project.

5. Audit Objectives

Internal audit is independent appraisal activity, of the project operations, financial management systems and accounting records. It is required to provide an assurance to the SM/SPMU and the Bank that the Project’s operations are carried out efficiently and effectively and

that the financial and accounting records are reliable and accurate, and the key risks are properly mitigated/managed.

The overall objectives of the Internal Audit are:

- a) To ascertain and evaluate the adequacy and effectiveness of the financial management and internal control framework established for the project.
- b) To ascertain compliance of the laid down policies, financial norms, state government procedures, guidelines, manuals, etc as applicable to the KSWMP.
- c) To provide SM and SPMU with timely information and recommendations on financial management aspects of the project to enable timely corrective actions, as may deemed necessary.
- d) To express an independent professional opinion on project accounts, Grant Utilisation Reports, IFRs, and the related information including opinion with regard to the efficiency, effectiveness and economy of the program operations.
- e) To play a role in assisting management with fraud related issues, including the prevention, detection and investigation of fraud as part of “bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes

6. Audit Standards

The Internal Audit will be carried out in accordance with the Guidelines of CAG read in conjunction with the “standards on Internal Audit” issued by the ICAI and the International Standards for the Professional Practice of Internal Auditing issued by the Institute of

Internal Auditors. The internal auditor should accordingly evaluate risk exposures relating to the project's governance, operations, and information systems, and plan the scope and coverage and examine the records to provide necessary assurance on financial management systems and records and detect indicators of fraud and corruption and report thereon.

7. Scope & Coverage

The Internal Auditors while preparing their IA plans may limit the scope and coverage to the activities carried on by the auditee institutions under Components 1, 2, and 3 only. The Internal Auditors should pay special attention in assessing whether adequate controls have been established and complied with to ensure:

- a) The Bank funds have been used in accordance with the conditions of the legal agreements and only for the purposes for which the financing was provided.
- b) The GoK funds have been provided and used in accordance with the relevant legal agreements and only for the purposes for which they were provided.
- c) Project assets are adequately safeguarded and used solely for their intended purposes; and
- d) Grants to ULBs have been disbursed in accordance with the Grant Management Guidelines laid down in PIM and all unspent grants are correctly reported to the GoK and the Bank.
- e) All necessary supporting documents, records, and accounts have been kept in respect of all project transactions including expenditures reported via Interim Financial Reports (IFRs).

The audit will cover the activities, funds disbursed, and expenditure incurred and disbursed under all the three components of the Project. The overall scope and coverage will be determined by the Internal Auditors in accordance with the mandate and objectives given above and the risk-based audit requirements. However, in doing so, the following specific issues will be addressed:

- a) An assessment of the adequacy of the project financial management systems, including internal controls. This would include aspects such as adequacy and effectiveness of accounting, financial and operational controls, and any needs for revision; level of compliance with established policies, plans and procedures; reliability of accounting systems, data and financial reports; methods of remedying weak controls or creating controls in areas where they are lacking; verification of assets and liabilities.
- b) Efficiency and timeliness of the funds flow mechanism at the State, SPMU and the ULBs.
- c) Efficiency and timeliness of funds flow mechanisms through the State/District/sub-Treasury account/s of the SPMU/ULBs with whom these Agencies have separate account for the Project. This will include a review of the processes followed in receiving the funds and releasing the payments; in case of ULBs, the review should also include compliance with the conditions (performance criteria) for each release (as laid down in the Grant Management Guidelines section of the PIM) and are in line with the financing agreement and confirmations of the fund transfers will be verified during the audit process;
- d) Whether the accounting for the advances and fund releases are properly recorded in the accounting books and systems in place

for monitoring the receipt of periodic financial reports and follow up on outstanding advances are adequate.

- e) An assessment of compliance with provisions of financing agreements (IDA Project Agreement), especially those relating to procurement, accounting and financial matters.
- f) Goods, works and services financed have been procured in accordance with the Procurement Systems for Goods and Services as laid down in section 12 of the PIM, conditions prescribed in the Project and Financing Agreements (between the Bank and GoK) for the Project; in addition compliance to Procurement Regulations of the Bank (the Bank’s “Procurement Regulations for IPF Borrowers for Procurement in Investment Project Financing – Goods, Works, Non-Consulting Services and Consulting Services” dated July 2016 revised November 2017 and August 2018) also needs to be assessed and reported.

- g) All necessary supporting documents, records, and accounts have been kept in respect of all project activities and that clear linkages exist between accounting records, accounts books and the periodic financial reports (the GURs and IFRs and such other reports).
- h) Adequate records are maintained regarding the assets created and assets acquired by the project, including details of cost, identification, and location of assets, and ensuring that there is a system of physical verifications of assets.
- i) Periodical reconciliations (at least quarterly) of ledger accounts are carried out with treasury statements and treasury reports and that differences if any are accounted with proper authorisation.

The internal auditor is expected to obtain and satisfactorily document sufficient audit evidence to support audit conclusions and audit reporting.

8. Period of Audits and Submission of Reports

Internal audit will be conducted quarterly according to the following schedule:

Period of Audit	Submission of Report to SPMU	Submission of Reports to Audit Committee
Q1 - April-June	End of July	November covering Q1 and Q2
Q2 - July-Sept	End of Oct	
Q3 - Oct-Dec	End of Jan	May covering Q3 and Q4
Q4 – Jan-Mar	End of April	

Upon completion of the audit, the auditors should, not later than 15 days of completion, prepare a detailed list of observations with supporting evidence and number of instances in which deviations

were observed, the risks and control weaknesses identified and the recommendations for the corrective actions. These observations should be discussed with the authorised persons in the Auditee

Institution and agreed with them. Management responses to the audit findings should be obtained including the timeline for remediation (if any) and persons responsible to take the corrective actions.

Internal audit reports with the following key content, should be submitted to the SPMU in accordance with the above schedule and to the Audit Committee through SPMU once every six months. A copy of the report should be transmitted to the Bank for its information.

- a) The objective and scope of the internal audit
- b) A summary of the internal auditing procedures performed including risks identified and sample of transactions chosen for control and substantive audit procedures.
- c) The internal auditor's opinion as to the overall adequacy of the systems of internal control, indicating unambiguously whether that opinion is unqualified, qualified, or adverse.
- d) Detailed internal audit findings, with adequate descriptions of weaknesses identified and the associated business impact and risk. In detailing the findings, the auditors may preferably use the 5-Cs - Condition, Criteria, Cause, Consequence and Corrective Action. The audit observations should be supported by instances and quantified, as far as practicable
- e) Appropriate and reasonable recommendations to address the identified weaknesses.
- f) Management Responses to the audit findings including the timeline for remediation (if any) and persons responsible to take corrective action.

- g) Actions taken on the recommendations made in the previous audit reports.

The Internal Auditors should become familiar with the Project, and with the relevant policies and guidelines of the World Bank (including those relating to disbursements, procurement and financial management and reporting). The auditors would be provided copies of the Project Implementation Plan, Project Appraisal Document (PAD) of the World Bank and the Project Agreements and the relevant World Bank policies and guidelines. In addition, they would also be provided with the GoK's procurement rules and regulations, the treasury code and other policies as may deemed necessary by SPMU in conjunction with the Internal Auditors.

9. Period of Appointment of Auditors

The appointment will be initially for a period of 2 years, but on renewable basis; the performance of the firms will be reviewed at the end of each year and subject to satisfactory level of performance, the extension/reappointment letter will be issued for the second year. At the discretion of the SPMU and subject to necessary consultation with the Bank, the contract may be extended further, by such number of years as deemed fit by SPMU.

10. Firms' Experience, Eligibility and Audit Resources

The criteria to evaluate the eligibility, experience and other qualifications will include the following:

- 10.1. Professional experience of not less than 10 years in conducting internal audits and not less than 3 years in carrying out the project audits funded/supported by bi-lateral or multi-lateral

institutions or audits of the Central/State Schemes as evidenced by list of credentials.

10.2. Reputation of the Firm and provision of an engagement partner with substantial experience in conducting internal audits; the firms must be based in State of Kerala.

10.3. An evaluation of the audit team’s knowledge in government accounting and FMS, skills sets and expertise, usage of appropriate and researched methodology and related tools.

10.4. Availability of adequate number of audit staff and audit supervisors.

10.5. The audit fee including other audit related costs as quoted.

10.6. The ability of the firm to sustain an effective internal audit capability for the duration of the contract.

The list of key audit personnel whose CVs will have to accompany the proposal are listed in the table below.

#	Key Resources	Description of Service/Role	Qualification & Experience	Whether CV will be evaluated
1	Audit Partner	Overall coordination, & planning, and team leadership, reporting, liaison with client	Chartered Accountant with at least 10 years of experience in the area of internal audit planning, execution, and reporting. Additional Experience in government accounting and FM systems.	CV will be evaluated
2	Audit Manager	Responsibility to lead the audit teams in the field, planning and execution of the audits, discussions with SM/SPMU/ULBs and report writing and finalization.	Chartered Accountant with at least 5 years of experience in the area of internal audit planning, execution, and reporting. Additional Experience in government accounting and FM systems. Working knowledge of local language (Malayalam) mandatory.	CV will not be evaluated

#	Key Resources	Description of Service/Role	Qualification & Experience	Whether CV will be evaluated
3	Audit Team Members <i>(Numbers to be provided by Firms as part of their Proposal)</i>	Carry out audit assignments on field – financial, compliance and performance audits	Persons with at least 3 years of experience in the area of internal audit planning, execution, and reporting. Additional Experience in government accounting and FM systems. Experience in Treasury Code, budgets, and financial rules of the Govt. Experience in conducting procurement and performance audits desirable. Working knowledge of local language (Malayalam) mandatory	CV will not be evaluated

A 11.4 Model Template for Terms of Reference for External Audit of the Project

Terms of Reference for the External Audit of the Solid Waste Management Project

1. Background of the Project

The Kerala Solid Waste Management Project (KSWMP), supported by World Bank by an IBRD loan, is designed to address the key institutional, financial, service delivery and infrastructure constraints in the SWM system in Kerala through an integrated service delivery value chain approach. It provides a combination of technical and financial assistance to (i) state level agencies such as LSGD, Suchitwa Mission, SPMU, DPMUs and (ii) to participating ULBs to improve their institutional and financial capacities, and their infrastructure and service delivery systems for SWM. The project will support a hybrid approach of decentralized and centralized solutions to improve SWM service delivery. At the local level, participating ULBs will have a lead role in delivering SWM services including, generator-level waste segregation and treatment, primary collection and transportation, waste processing and recycling. The project will provide technical assistance and incentive grants to ULBs for undertaking key institutional reform actions and investments that are critical to strengthening the ULB's capacity for delivering SWM services. Owing to the demographic and geographic profile of the state, characterized by closely located medium and small-sized ULBs and peri-urban areas with high population density, the project will also support a regional approach for SWM processing and disposal.

2. Project Components

The project provides technical assistance and training activities and investment finance to support creation of new/upgradation of existing SWM infrastructure at ULB and Regional levels through mechanisms more described in the PAD. [refer PAD]. It comprises three components as detailed below:

Component 1: Institutional development, capacity building and project management

The component will provide technical assistance and capacity building at state and local levels for (a) undertaking SWM institutional, financial and policy reforms; (b) planning, designing and implementing investment sub-projects for climate smart and disaster resilient SWM infrastructure and service-provision improvements; (c) organizational development of participating ULBs for inclusive and sustainable SWM service delivery; and (d) awareness generation, gender inclusion and stakeholder engagement. This component will also provide project management, coordination and monitoring support at state, district and local levels. Lastly, this component will provide technical support to LSGD, SM and participating ULBs for (i) developing guidelines and systems for COVID-19 related waste management, sanitization and public hygiene practices to be rolled out across all urban areas, and (ii) carrying out social awareness, sensitization and training programs for key stakeholders and citizens. Key activities include:

- a) Technical Assistance to state agencies for policy reform, strengthening of organisational capacities and institutional

systems including development of rules and regulations, and operational procedures and training.

- b) Technical Assistance to ULBs to strengthen their institutional systems including financial systems and cost recovery mechanisms, establishing mechanisms to partner with various city level agencies for SWM activities, project planning, design and implementation and O&M support.
- c) Training and awareness generation/Information Education Communication support for all agencies for SWM activities.

Component 2: Grant support to ULBs for SWM

The component will provide grants to the participating ULBs for improving their local level SWM systems and capacities, mainly on (a) primary collection and transportation systems for solid waste, including the provision for performance-based contracts with Kudumbashree and HKS women groups as SWM service providers, (b) source segregation and treatment for BDW at decentralized level, (c)

rehabilitation of existing MCFs/RRFs and development of new integrated MRFs, (d) development of BDW management facilities, (f) closure/remediation of existing dumpsites and development of disposal cells as interim disposal facilities, (g) public space cleaning, sanitization, waste removal activities as well as cleaning and sanitization of government offices, hospitals, community level waste recycling and processing facilities (in the context of COVID-19), (h) protective gear, equipment, masks, chemicals, disinfectants etc. for sanitation and waste management workers, (i) operations and maintenance payments for performance-based contracts and tipping fees for regional disposal, and (j) implementation of environment and social risk mitigation actions.

Grants to ULBs will be managed in accordance with a Grant Management Manual [refer GMM] approved by the Bank and GoK. Two types of grants will be provided under this arrangement (i) Basic Grants, available once ULBs sign a Participation Agreement [refer PA] and Incentive Grants available as and when ULBs satisfy a certain threshold criteria/requirement as set out in GMM and shown below:

Grant allocation ceiling	Eligibility Criteria
Basic Grants (40%)	Available once ULBs sign a Participation Agreement
Incentive Grants (40%)	ULBs must have fulfilled all following three conditions: a) Prepared a 5-year city-wide plan for climate-smart and disaster-resilient SWM, which has been approved by SM b) Issued SWM by-laws that incorporate the principles of GoK’s new SWM strategy c) Confirmed access to/use of facility for safe disposal of waste
Incentive Grants (20%)	5% grants on fulfilling each of the following four conditions: a) Hired top two-level staff as per SWM org. structure approved by GoK b) Signed performance-based contracts for waste collection and transportation (C&T) services

	c) Plan developed for levying user charges and O&M budgeting d) Implemented M&E including grievance redressal mechanism
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Verification of eligibility criteria and compliance checks will be done periodically based on which the grants will adjusted/readjusted. There will be a separate Independent Verification Agency (IVA) who will provide these services and the Internal auditors, as part of their audit program only need to ensure if these activities are done for the period under audit.

Component 3: Development of regional SWM facilities

This component will finance, inter alia: (a) regional processing and recycling facilities; (b) regional construction and demolition (C&D) waste management facilities; (c) transfer stations and regional sanitary landfills for municipal solid waste disposal; and (d) closure/remediation of existing waste dumpsites and development of incremental disposal cells as interim safe disposal facility. These downstream activities aim at completing the value chain. They will be implemented and managed by SM in compliance with the National SWM Rules 2016 and the guidelines issued by CPCB. In addition, this component will finance the biomedical waste management facilities to expand the state’s capacity to deal with increased volumes of biomedical waste in the context of COVID-19 pandemic.

All activities relating to Component 3 will be done by SPMU in assistance with a Project Management Consultant and project accounts and records relating to these activities will be maintained by SPMU F&A staff. The funds for this activity will be received by the SPMU from GoK through the state’s planning and budgeting process and will

be credited into the account of the SPMU maintained with the treasury with which it is mapped. All expenditure relating to activities under this component will be made from these funds. The SPMU is expected to prepare project accounts and prepare six monthly Interim Financial Reports to the Bank which capture all key details of funds received and spent including necessary expenditure details for the period under report.

3. Accounts and Financial Reporting

The funds from the World Bank will be received on “advance” methods and will be report based. These will be received in accordance with the established procedures of GoI and GoK. There will be physical transfer of funds for Components 1 and 3 into SPMU account and for Component 2, ULBs will receive an annual Letter of Allotment that entitles them spend project monies on eligible activities and projects.

All activities relating to Components 1 & 3 will be carried by SPMU in assistance with a Project Management Consultant and project accounts and records relating to these activities will be maintained by SPMU F&A staff. The funds for this activity will be received by the SPMU from GoK through the state’s planning and budgeting process and will be credited into the account of the SPMU maintained with the treasury with which it is mapped. All expenditure relating to activities under this component will be made from these funds. The SPMU is expected to prepare project accounts and prepare six monthly Interim Financial Reports (IFRs) to the Bank which capture all key details of funds

received and spent including necessary expenditure details for the period under report.

Similarly, the activities relating to Component 2 will be carried by ULBs with assistance from district level Technical Support Consultants. Project accounts and records relating to these activities will be maintained by ULB-PIU F&A staff. ULBs will be required to report the grant utilisation to DPMU and SPMU by means of a Grant Utilisation Report prepared and submitted quarterly. These reports will feed into the IFRs that will be prepared by SPMU for submission to the Bank.

4. Audit Objective

The essence of the World Bank audit policy is to ensure that the Bank receives adequate independent, professional audit assurance that the proceeds of World Bank loans were used for the purposes intended, that the annual project financial statements are free from material misstatement, and that the terms of the loan agreement were complied with in all material respects.

The objective of the audit of the Project Financial Statement (PFS) is to enable the auditor to express a professional opinion as to whether (1) the PFS present fairly, in all material respects, the sources and applications of project funds for the period under audit examination, (2) the funds were utilized for the purposes for which they were provided, and (3) expenditures shown in the PFS are eligible for financing under the relevant loan or credit agreement. In addition, the auditor will express a professional opinion as to whether the Interim Unaudited Financial Reports (IUFs) submitted by project management may be relied upon to support any applications for withdrawal, and whether adequate supporting documentation has

been maintained thereof including in respect of the annual aggregate of the grants released and utilised by the participating ULBs.

The audit objectives may also be expanded to enable the auditor to express a specific opinion on the design and effectiveness of the internal controls, the compliance with the procurement guidelines of the Bank and/or the effectiveness and efficiency of the grant/loan proceeds of the Bank.

The books of account that provide the basis for preparation of the PFS are established to reflect the financial transactions of the Project and are maintained by the SPMU (for components 1 and 3) and the participating ULBs (for component 2) and other implementing agencies such as KILA.... (for funds released to them under Components 1 and 3).

5. Audit Standards

The audit will be carried out in accordance with the Auditing Standards of the CAG currently in-force. Accordingly, the considerations as to materiality, sample selection, evidence collection and audit procedures to be applied shall be planned and executed. Although the responsibility for preventing irregularity, fraud, or the use of loan proceeds for purposes other than as defined in the legal agreement remains with the borrower, the audit should be planned so as to have a reasonable expectation of detecting material misstatements in the project financial statements.

6. Audit Scope

While Audit Standards and guidelines of the CAG will determine the detailed scope and coverage, in conducting the audit, special attention should be paid to the following:

- a) All Bank funds and the GoK contributions have been used in accordance with the conditions of the relevant legal agreements and only for the purposes for which such financing was provided. For this purpose, a copy of PAD, PIM and relevant legal agreements will be provided to the auditors by SPMU/LSGD.
- b) All necessary supporting documents, records, and accounts have been kept in respect of all project transactions including expenditures reported via Interim Financial Reports (IFRs). Clear linkages should exist between the books of account/ financial records of the project and the financial reports presented to the Bank (IFRs)
- c) The project accounts have been prepared in accordance with Government Accounting Standards in force, consistently applied, to present fairly, in all material respects, the financial situation of the project at the year end and of resources and expenditures for the year ended on that date.
- d) The audit of IFRs submitted to the Bank by SPMU shall form part of the scope and coverage of statutory audit at SPMU by the project auditor and the audit conducted to satisfy the Audit Objective. In particular, the expenditures stated in the IFRs should be tested for their eligibility in accordance with the project agreements and if auditor identifies ineligible expenditures as having been included in the IFRs and the withdrawal applications, the same should be separately noted and reported by the auditor.
- e) At the participating ULB level, the KSAD auditors, will verify the quarterly grant utilisation report and six-monthly financial report on grant releases and utilisation submitted to the SPMU with supporting records of releases and expenditure as part of their

annual certification audit and reconcile these amounts with the actual figures shown in the ULB's financial statements. At the SPMU level, the project auditors will verify the aggregate six-monthly reports prepared by the SPMU for ULBs and reconcile the same with the ULBs audited financial statements as submitted by KSAD auditors. The project auditor will not be expected to conduct any audit or review of expenditures at the local level but will rely on the audit of the annual financial statements of the LGs audited by the LFA.

7. Audit Opinion on Project Financial Statements

The Project Auditor will provide a professional opinion on the Project Financial Statements (PFS), in line with the objectives mentioned earlier. For this purpose, the PFS will include the following:

- a) The IFRs for the second half year which will include the releases and expenditure for the whole year.
- b) Statement of Sources and Uses of Funds
- c) Statement of Uses of funds by project Components/ sub-components
- d) Summary sheet for expenditure by category of expenditure
- e) A consolidated statement showing the aggregate grants and expenditure against those grants of ULBs.

In addition, the PFS would also be accompanied by the following:

- **Reconciliation of Claims to Total Applications of Funds:** The PFS include a reconciliation between expenditure reported as per

the Statement of Sources and Applications of Funds and expenditure claimed from the World Bank.

- **Management Assertion:** The Executive Director of SM and the Deputy Director of SPMU should sign the PFS and provide a written acknowledgement of its responsibility for the preparation and fair presentation of the financial statements and an assertion that project funds have been expended in accordance with the intended purposes as reflected in the financial statements.

8. Audit Report

An audit report on the PFS should be prepared in accordance with the Auditing Standards of the CAG. Accordingly, the following should form part of the Audit Report:

- a) The purpose for which the project financial statements have been prepared.
- b) Responsibility of Management for the financial statements, stating that the management is responsible for the financial statements in accordance with the applicable financial reporting framework,
- c) Responsibility of Auditors, stating that the responsibility of the auditor is to express an opinion based on the audit of the financial statements and describing the scope of audit and audit procedures carried out,
- d) Audit Opinion to clearly state:
 - i. With respect to IFRs, adequate supporting documentation has been maintained to support claims to the Bank.

- ii. Except for ineligible expenditures as detailed in the audit observations, if any, appended to the audit report, expenditures are eligible for financing under the relevant Project Agreements.
- iii. The opinion to unambiguously state whether it is unqualified or qualified and, if the latter, whether it is qualified in certain respects or is adverse or a disclaimer of opinion

e) Emphasis of Matter and Other Matters paragraphs (if any)

The project financial statements and the audit report should be received by the Bank not later than 6 months after the end of the fiscal year. The auditor should also submit two copies of the audited accounts and audit report to the LSGD and SPMU. The audit report is issued without prejudice to CAG's right to incorporate the audit observations in the Report of CAG of India for being laid before Parliament/State or UT Legislature.

9. General

The auditor should be given access to any information relevant for the purposes of conducting the audit. This would normally include all legal documents, correspondence, and any other information associated with the project and deemed necessary by the auditor. The information made available to the auditor should include, but not be limited to, copies of the Bank's Project Appraisal Document, the relevant Legal Agreements, a copy of the Audit Guidelines for the World Bank financed activities, and a copy of the Bank's Financial Management Assessment of the project entity. It is highly desirable that the auditor become familiar with other Bank policy documents, such as OP/BP 10.02, the Bank's internal guidelines on Financial

Management that include financial reporting and auditing requirements for projects financed by the World Bank. The auditor should also be familiar with the Bank's Disbursement Manual. Both documents will be provided by the Project staff to the auditor.

Volume 2 – Procurement Manual for Implementing Agencies

A 12.1 Service Standards for Review and Clearance of Procurement Documents

Table 23: Goods, Works and Non-Consultancy Services

Procurement Documents submitted by ULBs for Prior Review by SPMU	Review and clearance by SPMU (in days)
RFP/RFB/RFQ	Within 7 working days
Technical bid evaluation report	Within 5 working days
Financial bid evaluation report	Within 3 working days
Draft contract	Within 3 working days
Contract amendments	Within 3 working days

Table 24: Consultancy Services

Procurement Documents submitted by ULBs for Prior Review by SPMU	Review and clearance by SPMU (in days)
Request Expression of Interest (REOI) with Terms of Reference (TOR)	With 3 working days
Shortlist of Consultants with draft Request for Proposal (RFP) document	With 5 working days
Technical Evaluation Report (TER)	With 5 working days
Combined Evaluation Report	With 3 working days
Draft contract with minutes of negotiations	With 3 working days
Contract amendments	With 3 working days

A 12.2 Business Standards for Procurement related Complaints

For Procurement is subject to Prior Review by the World Bank

Process step	Responsible Entity	Timeframe
Complaints challenging the terms of prequalification / initial selection documents, request for bids/ request for proposals documents, or any other IA document requesting Bids/Proposals or Applications	Potential Bidders/ Proposers/ Consultants	Complaints shall be submitted at least ten (10) Business Days prior to the deadline for submission of Applications/Bids/Proposals IA shall respond not later than seven (7) Business Days from the date of receipt of complaint.
Notify Applicant/ Bidder/ Proposer/ Consultant of the basis for exclusion from consideration for a contract; rejection of Bid submitted; or intention to award.	IA	The timeframe will be specified in the respective documents governing the procurement process. As a general matter, notification should take place promptly after the IA has made the relevant determination. Upon receipt a Complaint challenging the above determination, the Borrower shall respond to the complainant not later than seven (7) Business Days after the receipt of complaint.
Complaints following transmission of the notification of the intention to award the contract shall be submitted to the IA within the Standstill Period.		Complaints should be submitted within the Standstill Period. The IA shall respond not later than 15 Business Days from the date of receipt of Complaint.
Request for debriefing.	Bidder/ Proposer/ Consultant	Within three (3) Business Days from the receipt of the IA's notification of the intention to award the contract.
Conduct debriefing when requested in a timely manner.	IA	The IA shall hold the debriefing within five (5) Business Days of receipt of the request. For all other requests for debriefing, the IA shall hold debriefing not later than fifteen (15) Business Days from the date of publication of public notice of award of contract.
Acknowledge receipt of Complaint.	IA	Within three (3) Business Days from the date of receipt of the Complaint

Forward complaint to the IA, if Complaint is submitted only to the Bank	Bank	Within three (3) Business Days from the date of receipt of the Complaint
Forward Complaint to the Bank, along with all relevant information and documentation.	IA	As soon as possible after receipt of Complaint

A 12.3 Online Resources for Procurement related activities

1. Latest Published Procurement Plan
<https://projects.worldbank.org/en/projects-operations/project-procurement/P168633>
2. Procurement Regulations for Investment Project Financing (IPF) Borrowers: *August 2018 English*
<http://pubdocs.worldbank.org/en/178331533065871195/Procurement-Regulations.pdf>
3. Standard Procurement Document and Guidance Notes
<https://www.worldbank.org/en/projects-operations/products-and-services/brief/procurement-new-framework#framework>
4. E-Learning on World Bank's New Procurement Framework
<https://wbnpf.procurementinet.org/e-learning-programs>
5. STEP Borrower Videos
<https://wbnpf.procurementinet.org/STEP-Overview>