



Department of Tourism,  
Government of Uttar Pradesh

**Uttar Pradesh**

**Pro-poor Tourism Development Project**

**Project Operational Manual**

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## Preface

This Project Operational Manual (POM) for the Uttar Pradesh Pro-poor Tourism Development Project (the project) describes the procedures to be followed by various project agencies in the course of the project implementation, disclosure and reporting requirements.

The procedures described in this Manual are based on the requirements of the applicable legislation governing the project and various guidelines issued by the World Bank for projects financed by the Bank.

Its main objective is to guide officials at the State Project Coordination Unit, the Implementing Entities and the Technical Support Units as well as any other concerned agency or individual in performing their expected roles and responsibilities under the project.

It complements and must be used along with the Project Procurement Manual and the Project Financial Management Manual.

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## Abbreviations

ADA	Agra Development Authority
CAAA	Controller of Aid, Accounts and Audit
CPD	Chief Project Director
CQS	Selection based on Consultants' Qualification
DA	Development Authority
DC	Direct Contracting
DoF	Department of Forests, GoUP
DoT	Department of Tourism, GoUP
DPR	Detailed Project Report
E&S	Environment and Social
EC	Empowered Committee
EoI	Expression of Interest
ESIA	Environment and Social Impact Assessment
ESMF	Environment and Social Management Framework
FC	Finance Controller
GIS	Geographical Information System
GoI	Government of India
GoUP	Government of Uttar Pradesh
GRC	Grievance Redressal Cell
IA	Implementing Agency
ICB	International Competitive Bidding
IE	Implementing Entity(ies)
IFB	Invitation for Bids
IFR	Interim Financial Reporting
MoC	Ministry of Culture
MVDA	Mathura Vrindavan Development Authority
NCB	National Competitive Bidding
O&M	Operation and Maintenance
PAD	Project Appraisal Document
PAN	Permanent Account Number
PC	Project Coordinator
PD	Project Director
PDO	Project Development Objective
PFM	Project Financial Management Manual
PMIS	Project Monitoring and Information System
POM	Project Operational Manual
PPM	Project Procurement Manual
PPP	Public Private Partnership
RfP	Request for Proposal
SBD	Standard Bidding Documents
SC	Steering Committee
SPCU	State Project Coordination Unit
SSS	Single Source Selection
ToR	Terms of Reference
TSU	Technical Support Unit

UNDB	United Nations Development Business
UP	Uttar Pradesh
UPPPTDP	Uttar Pradesh Pro-poor Tourism Development Project
UPTDC	Uttar Pradesh Tourism Development Corporation Limited
WMF	World Monument Fund



## 1 Introduction

### 1.1 About this Manual

This **Project Operational Manual (POM)** for the **Uttar Pradesh Pro-Poor Tourism Development Project (the project)** guides the state **Department of Tourism (DoT)**, Government of Uttar Pradesh (GoUP), the main implementing agency, as well as implementing entities, concerned government agencies, individuals and partners in the Project's implementation. This Manual provides the project's implementation arrangements, institutional and individual responsibilities, aspects pertaining to procurement and financial management, safeguards, project monitoring, reporting and disclosure.

This Manual is part of and complements a set of manuals prepared to guide project implementation, which also includes the **Project Financial Management Manual (PFM)** and the **Project Procurement Manual (PPM)**. Specific aspects related to the project's financial management and procurement, discussed in brief in this Manual, are covered in greater detail in the PFM and PPM.

### 1.2 Principles Guiding Actions

This Manual is offered as a guide for all project implementing agencies and partners to ensure that the project strives for positive development outcomes in the activities and investments it supports, through the application of the highest standards, technical excellence, and transparency during its implementation.

To this end, it is paramount that the project implementing agency, implementing entities and partners follow good project management principles when implementing the project, including:

- ✓ **Development value:** The goal of all project works and activities is to deliver its development value to its target areas and communities.
- ✓ **Technical excellence:** Ensure the highest standards of quality in all subproject aspects—from their design to execution and later operation.
- ✓ **Shared accountability:** Create commitment to a shared vision of project outcomes.
- ✓ **Stakeholder partnership:** Establish connections with concerned stakeholders based on leadership, trust, and credibility.
- ✓ **Proactivity:** Take a proactive approach to timely identifying and resolving project challenges.
- ✓ **Risk management:** Enable informed tradeoffs between project risks and potential rewards.

- ✓ **Time management:** Value time—both stakeholders’ and the task team’s—when making project execution decisions and managing meetings.
- ✓ **Cost efficiency:** Calibrate resource use and project management costs with project needs and expected returns.

### 1.3 Adoption and Amendment

This Manual became effective from the time it was reviewed and approved by the World Bank, dated November 11, 2015.

As the project implementation progresses, circumstances may arise requiring changes to certain sections of this Manual. Minor changes may be carried out with the approval of the Chief Project Director (CPD) or his/her designee. Major proposed modifications will be placed before the Steering Committee (SC) by the Project Director using **Form 1–Format for proposing changes to manuals** (see Annex 2). All modifications will be made after obtaining prior written consent from the World Bank.

The current updated version has been reviewed and approved by the World Bank, dated September 25, 2017.

## 2 About the Project

### 2.1 Project Overview

The Uttar Pradesh Pro-Poor Tourism Development Project was prepared and is being implemented by the DoT, GoUP, with advisory, technical and financial assistance from the Bank. The project aims to unlock the potential of UP's unique heritage through pro-poor tourism development for inclusive growth and poverty reduction in asset-rich, but low-income areas in the state.

The Project Development Objective is to increase tourism-related benefits for local communities in the project target areas through:

- a) Providing basic tourist infrastructure and facilities to enhance tourists' experience and thereby extend their stay and increase their expenditure in the selected destinations, while also enhancing living conditions for local communities;
- b) Increasing the proportion of tourist expenditure that benefits the local economy;
- c) Enhancing tourism governance and systems in the selected destinations and at state level;
- d) Supporting the participation of local communities and entrepreneurs in the tourism value chain.

The project has been informed by the lessons learned from the World Bank's accumulated experience in urban revitalization, cultural heritage and tourism development, as well as by thorough analyses and studies of the target areas, destinations, assets and people the project aims to support. The analyses and studies include (i) complete profiles of all target areas, (ii) a GIS-based inventory of their natural and cultural assets, (iii) a value chain analysis of local enterprises and tourism economy, (iv) a sample survey of street vending in Agra, and (v) mapping and assessments of the creative economy in all target areas.

In this initial phase, the project extends to two target areas in UP, important for the state's tourism sector, namely, Agra and the Braj region. Within these target areas, the project covers five destinations, namely:

- Agra
- Mathura, Vrindavan, Barsana, and Govardhan in the Braj region.

In a potential follow up project phase, project activities may be extended to secondary and tertiary attractions within Agra and the larger *parikrama* route in the Braj region, as well as other key destinations in the state along the Buddhist Circuit.

**Table 1** provides key information regarding the project to date.

**Table 1: Key project information to date**

<b>Name of the project</b>	<b>Uttar Pradesh Pro-Poor Tourism Development Project</b>
Government Order	No. 2784/41-2013-09Yo/13 dated 1 <sup>st</sup> Oct 2013 No. 75/3054/41-14-99 Yo/2013 dated 13 <sup>th</sup> Dec 2014
Implementing Agency	Department of Tourism, Government of Uttar Pradesh
Implementing Entities	Agra Development Authority (ADA) Mathura–Vrindavan Development Authority (MVDA) Others may be identified as project progresses
World Bank Project ID	P146936
Total Project Cost	₹ 370 Crores (US\$ 57Mn)
World Bank share	₹ 259 Crores (US\$ 40 Mn)
GoUP share	₹ 111 Crores (US\$ 17 Mn)
Project Budget Head	5452-80-104-04-24 - UPPPTDP - capital outlay on tourism-general-promotion and publicity-04-Pro-Poor Tourism Development Project in Agra-Braj region -large scale construction
Important web links	Project website - < <a href="http://uptourism.gov.in/">http://uptourism.gov.in/</a> > World Bank website - < <a href="http://www.worldbank.org">www.worldbank.org</a> > World Bank URL for the project - < <a href="http://www.worldbank.org/projects/P146936?lang=en">http://www.worldbank.org/projects/P146936?lang=en</a> > DoT, GoUP - < <a href="http://www.uptourism.gov.in">www.uptourism.gov.in</a> > Aid, Accounts & Audit Division, Ministry of Finance, Government of India –< <a href="http://www.aaad.gov.in">www.aaad.gov.in</a> > Financial Handbook, GoUP–< <a href="http://budget.up.nic.in/finhand1.htm">http://budget.up.nic.in/finhand1.htm</a> >
Key Project Documents	<ul style="list-style-type: none"> <li>• Loan Agreement</li> <li>• Project Agreement</li> <li>• World Bank Project Appraisal Document</li> <li>• Project Operational Manual</li> <li>• Project Financial Management Manual</li> <li>• Project Procurement Manual</li> <li>• Project Environmental and Social Management Framework</li> <li>• Resettlement Policy Framework</li> <li>• Procurement Plan</li> <li>• Government Order on GouP Counterpart Funding</li> <li>• MoU signed with Implementing Entities</li> </ul>
Important legislation governing the project	<ul style="list-style-type: none"> <li>• GoUP Financial Handbook (Vol I to Vol VIII)</li> <li>• UP Budget Manual</li> <li>• UP Urban Planning and Development Act, 1973</li> <li>• The UP Special Area Development Authorities Act, 1986</li> <li>• Ancient Monuments and Archaeological Sites and Remains Act, 1958 (Amended 2010)</li> <li>• Ancient Monuments Protection Act, 1904</li> <li>• The Antiquities and Art Treasures Act, 1972</li> <li>• UP Ancient and Historical Monuments and Archaeological Sites &amp; Remains Preservation Act, 1956</li> <li>• UP Model Regulations and Byelaws for Conservation of Heritage Sites (UP Urban Planning and Development Act, 1973)</li> </ul>

	<ul style="list-style-type: none"> <li>• Operational Guidelines for the Implementation of the World Heritage Convention, 2013</li> <li>• National Tourism Policy, 2002</li> <li>• National Tourism Policy, 1998</li> <li>• Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013</li> <li>• Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014</li> <li>• Code of Conduct for Safe and Honourable Tourism, 2010</li> <li>• Environmental (Protection) Act, 1986</li> <li>• Environment Impact Assessment Notification, 2006</li> <li>• The Forest Conservation Act, 1927, The Forest (Conservation) Act, 1980, The Forest (Conservation) Rules, 1981, The Forest (Conservation) Rules, 2003</li> <li>• Wild Life (Protection) Act, 1972</li> <li>• National Forest Policy, 1952, National Forest Policy (Revised), 1988</li> <li>• Water (Prevention and Control of Pollution) Act, 1974</li> <li>• Air (Prevention and Control of Pollution) Act, 1981</li> <li>• Central Motor Vehicle Act, 1988, Central Motor Vehicle Rules, 1989, Central Motor Vehicles (Amendment) Rules, 2013, Central Motor Vehicles (Amendment Rules), 2014</li> <li>• Seventy Third Constitution Amendment Act, 1992</li> <li>• Seventy Fourth Constitution Amendment Act, 1992</li> <li>• Right to Information Act, 2005</li> <li>• Prevention of Corruption Act, 1988</li> <li>• UP Development Authorities Finance and Accounts Manual</li> <li>• All other Central and State Acts as applicable to the project</li> </ul>
ESMF Safeguards applicable	<ul style="list-style-type: none"> <li>• OP/BP 4.01 Environmental Assessment</li> <li>• OP/BP 4.11 Physical Cultural Resources</li> <li>• OP/BP 4.12 Involuntary Resettlement</li> <li>• OP/BP 4.04 Natural Habitats</li> </ul>

### 3 Project Institutional and Implementation Arrangements

The project's institutional and implementation arrangements are based on standard practices in Uttar Pradesh for externally aided projects, which include the use of an Empowered Committee and a Steering Committee at state level.

A State Project Coordination Unit (SPCU) in the DoT in Lucknow is being staffed. Implementation at the destination level is the responsibility of the existing Development Authorities: the Agra Development Authority (ADA) and the Mathura--Vrindavan Development Authority (MVDA), supported by Technical Support Units (TSU), as shown below.

At the state level, the project will be implemented through the following agencies and structure:

#### 3.1 Empowered Committee (EC)

The EC provides high-level policy advice and intergovernmental coordination at state level. The EC comprises of the following key state government officials from departments directly related to the project:

- **Chairman** - Chief Secretary, GoUP
- **Members**
  - Principal Secretary/Secretary, Finance
  - Principal Secretary/Secretary, Planning
  - Principal Secretary/Secretary, Public Works Department
  - Principal Secretary/Secretary, Law
  - Principal Secretary/Secretary, Forests
  - Principal Secretary/Secretary, Dept. of Externally Aided Projects
  - Principal Secretary/Secretary, Culture
  - Principal Secretary/Secretary, Vocational Training
  - Principal Secretary/Secretary, Infrastructure and Industrial Development
- **Special Invitees** – Divisional Commissioner of Agra, who is responsible for Agra and the Braj region
- **Member/Convenor** – Principal Secretary/Secretary, Tourism/Director General, Tourism

The primary responsibilities of the EC are inter alia to:

- Provide overall high-level policy guidance to the project and exercise oversight regarding the overall impact of project investments and activities at state level.
- Review the Annual Project Budget, ensuring that the counterpart funding from GoUP is allocated to the SPCU in a timely manner.
- Ensure the necessary coordination with central level ministries and agencies.
- Ensure the adequate interdepartmental coordination amongst various concerned state departments and resolve all interdepartmental issues which impede Project implementation progress

- Decide on policy and other high-level policy matters referred to it by the Steering Committee from time to time.
- Review overall project progress from time to time.

The Chairman and all EC members and special invitees being ex-officio members, in the event of their transfer or changes due to other reasons, the newly appointed officer of the respective departments will become the member of EC.

### 3.2 Steering Committee (SC)

The SC provides administrative guidance and ensures that critical aspects related to, for instance, budgeting, contracting and inter-governmental approvals, are addressed in a timely manner during project implementation.

The SC comprises of the following members:

- **Chairman** - Principal Secretary/Secretary, Tourism
- **Members**
  - Secretary/Special Secretary, Finance
  - Secretary/Special Secretary, Externally Aided Projects
  - Secretary/Special Secretary, Culture
  - Director, Directorate of Cultural Affairs
  - Director, State Archaeology Directorate
- **Member/Coordinator**– Project Director (SPCU)

The primary responsibilities of the SC are inter alia to:

- Provide administrative guidance to the Project to ensure that all approvals, clearance and No Objection Certificates (NOCs) sought by the SPCU for any concerned subprojects are provided by the relevant government departments/agencies.
- Carry out review of Project activities of critical issues and advise on relevant operational matters and documents placed by the SPCU before the SC, as required.
- Ensure that critical aspects related to, for instance, counterpart budgeting and inter-governmental approvals, are addressed in a timely manner during Project implementation.
- Review Project progress including execution timelines and budget compliance and submit its report to the EC and the World Bank, as and when necessary.
- Review and approve major changes to Project manuals and other documents, as and when necessary.
- Refer policy matters for the consideration and approval by the EC, as and when necessary.

The Chairman and all SC members being ex-officio members, in the event of their transfer or changes due to other reasons, newly appointed officers of the respective departments will become the members of the SC.



### 3.3 Evaluation Committee

The Evaluation Committee is a group of designated professionals established for independent review and evaluation of procurement under the project. Its main role is to evaluate bids/proposals and recommend the most appropriate supplier or service provider based on quality, price, references, proven experience, and other qualifications, as per specific procurement requirements. In case of complex subprojects, reputable experts may be engaged to support the review of technical proposals.

The Evaluation Committee comprises inter alia of the following members:

- Finance Controller, DoT, Lucknow
- Project Director, SPCU, Lucknow
- Procurement Specialist, SPCU, Lucknow
- Financial Management Specialist, SPCU Lucknow
- Urban Development Planner/ Heritage Conservation Specialist, SPCU Lucknow
- Any other specialists as per the assignment scope and complexity

The primary responsibilities of the Evaluation Committee are inter alia to<sup>1</sup>:

- Compare and evaluate various bids/proposals/quotations received and determine whether bids/proposals/quotations received are satisfactory.
- Check whether the bids/proposals have been properly submitted by the bidder taking into consideration all GoUP and the Bank requirements.
- Identify and engage technical experts depending on the type of procurement for the purpose of evaluation of bids/proposals. Such advice from the experts will be specific and will be in writing.
- Identify/select the most appropriate supplier/contractor/consultant.
- Prepare Bid Evaluation Report (BER) for approval by the competent authorities based on the value of the procurement. The recommendation for award will be signed by all the members.
- Provide any inputs that may be considered for improving the quality of procurement by the project.
- Submit evaluation reports and seek the Bank and others approval, as required.

### 3.4 Department of Tourism (DoT), GoUP

The DoT is the agency responsible for overall project preparation, management, coordination and accountability of implementation. The DoT is supported by the SPCU in Lucknow, and TSUs housed in the Development Authorities in selected destinations.

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<sup>1</sup> Detailed responsibilities of the Evaluation Committee are given in the PPM.

### 3.5 State Project Coordination Unit (SPCU)

The SPCU is the core of the project implementation structure at state level. The SPCU is housed at the DoT in Lucknow.

The SPCU comprises of the following officials and members:

- **Chief Project Director** – Director General, Tourism
- **Additional Chief Project Director** – MD, Tourism Corporation or as designated by GoUP
- **Project Director** – Deputy Director General, DoT
- **Finance Controller** – Finance Controller, DoT
- **Project Coordinator** – Project Management Specialist
- **Specialists** from various fields competitively hired on a contract basis as consultants, including *inter alia* the following:
  - Procurement Specialist
  - Financial Management Specialist
  - Environment Specialist
  - Social Development Specialist
  - Civil Engineer
  - Monitoring and Evaluation Specialist
  - Urban Development Planner/ Landscape / Heritage Conservation Specialist

The primary responsibilities of the SPCU are *inter alia* to:

- Ensure all project resource use, monitoring, and reporting functions are in compliance with defined state and central governments as well as the Bank fiduciary, safeguard and accountability processes and standards.
- Prepare the project's Annual Procurement Plan, Annual Work Plan, Annual Budget and related documents and submit them to the Bank, EC and SC for approval, as required.
- Prepare quarterly procurement progress reports and interim financial reports and submit to the Bank.
- Procure contracts as per agreed procedures and monitor their execution for timely completion and achievement of outcomes.
- Lay down procurement processes and approvals, to be followed in the project including IEs, and seek approval of SC and EC when required.
- Coordinate and facilitate annual/periodic audit of the project activities at all levels.
- Ensure adequate staffing and organize internal training to IEs, TSUs and project personnel whenever found necessary.
- Support, through resource transfer and technical advice, the IEs and TSUs, and review their performance.
- Conduct regular review meetings with all IEs and TSUs to monitor project progress both physical as well as financial.
- Monitor and ensure the evaluation of the project outputs, outcomes, and impacts.
- Perform an intensive review of the quality, benchmarks, timeline and performance of the project.

- Publish material for communication (outreach), promotion and training.
- Prepare and submit various progress reports, exception reports to the government, the Bank and other agencies periodically, as required.
- Prepare documentation for the implementation support missions, and all other aspects of project implementation.

The Chief Project Director (CPD), Project Director (PD), and Finance Controller, being ex-officio members of the SPCU, in the event of their transfer or changes due to other reasons, the newly appointed officers will become the members of SPCU.

The responsibilities of various SPCU officials and specialists are given in

## Annex 4 – Minimum Scope of Work and Responsibilities of SPCU

While the DoT through the SPCU manages the majority of project activities centrally, the following agencies and structures support implementation at the destination level.

### 3.6 Implementing Entities (IE)

The following IEs have been initially identified:

- Agra Development Authority (ADA),
- Mathura--Vrindavan Development Authority (MVDA),

Each Development Authority is headed by a Vice-chairman and works under the monitoring and supervision of the Divisional Commissioner.

In addition, other agencies, such as the Archaeological Survey of India, may be identified for implementation purposes as the project implementation advances in special cases in which project activities fall into their regulated areas. As per the Bank requirements, the Bank's prior approval will be required before any agency is added as an implementing entity. This approval will be based on a procurement/financial management risk assessment of the concerned agency and the agreement on the funds flow and compliance requirements. Once this is completed, the agency can receive project funds and incur expenses.

The primary responsibilities of IEs are inter alia to:

- Procure contracts assigned to them, as per agreed procedures and subject to the delegation of procurement powers (**See Section 3 of the PPM for procurement powers**).
- Support SPCU in procurement of other contracts, sign and implement contracts based on the Annual/Revised Procurement Plans.
- Coordinate closely with the respective local authorities and relevant sector agencies in planning and monitoring the execution of subprojects and activities to be undertaken at the destination level.
- Coordinate the project activities with other non-project initiatives to ensure synergies and to avoid overlaps.
- Mobilize and provide reliable, timely and relevant information to concerned agencies and citizens at destination level.
- Supervise the execution of works and implementation of activities in its target destination(s) following all compliance and procedures under the project.
- Ensure adequate operation and maintenance of the works and activities financed by the project.

The roles and responsibilities of the various IEs are given in a MoU signed between the DoT and each implementing entity.

### 3.7 Technical Support Units (TSU)

The IEs are supported by a TSU comprised of competitively selected experienced professionals. The TSUs work under the guidance of the SPCU. They are housed in the respective Development Authority and report directly to the Divisional Commissioner and the Vice-chairman, as required, as well as the Project Director at the SPCU.

TSUs will be located in Agra and Mathura-Vrindavan and comprise of specialists competitively hired by the SPCU, depending on the activities to be carried out by each IE under the project. If follow on phases of the project are implemented in additional destinations, additional TSUs may be set up, as per the project's requirements.

The TSU core team members to be hired on a full time basis will be specialists in the areas of, inter alia, civil engineering and safeguards.

Any of the above may be designated as a Team Manager based on her/his project management experience.

Other specialists may be hired, as and when required, throughout Project implementation, according to subprojects' scope of work and status of implementation. Some possible areas may include:

- Local Economic Development/Business Development
- Contract management
- Accounting
- M&E/MIS

The TSUs' primary task is to directly support the IEs through on-the-job technical support and training. The TSU primary responsibilities are inter alia to:

- Function as the branch office for the project in its main target destinations and areas.
- Assist the IE in preparing necessary proposals/work schedules under the project.
- Assist the IE in placing the proposals before the DC/VC and subsequently forward them to the SPCU for approval.
- Assist the IE in all subproject preparatory activities.
- Assist the IE in furnishing the necessary inputs to the SPCU for preparing the Annual Procurement Plan, the Annual Budget and the Quarterly Consolidated Work Plan.
- Provide technical assistance in (a) preparing specifications and terms of reference for engaging suppliers/contractors and consultants for various subproject activities; (b) packaging; (c) technical evaluations of bids and proposals as required; (d) quality assurance of deliveries made by suppliers/contractors and consultants; (e) technical disputes, if any in the contracts; (f) any other technical support required in procuring and implementing contracts etc.
- Prepare and submit periodic progress reports to the SPCU.
- Participate in review meetings of the SPCU.
- Bring to the attention of the SPCU any matters hindering the progress of the Project implementation and obtain directions on further course of action.
- Collect and furnish all information that the SPCU may seek from time to time.

- Coordinate and facilitate annual/periodic audit at IE level.
- Assist the IE in maintaining project accounts and in project financial reporting.
- Submit monthly activity reports of the TSU activities to the SPCU.
- Assist the IE in outreach and coordination with local stakeholders and agencies.
- Ensure quick response to project beneficiaries or affected communities.

In the absence of adequate personnel at TSU level, the SPCU will take charge of assisting the IEs in the day to day implementation of the project.

### **3.8 Project Personnel**

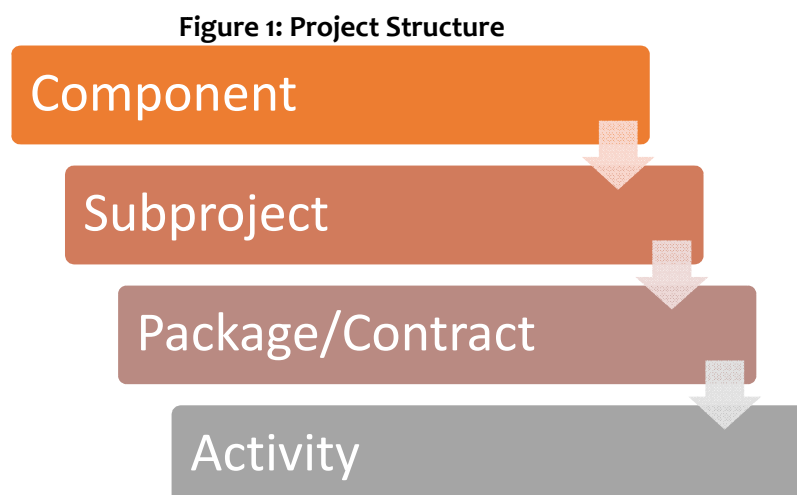
Project personnel include a combination of employees of the DoT, GoUP, employees of the IEs, staff employed on a contract basis and competitively hired/qualified individual consultants. The Civil Service Regulations of the GoUP will govern conditions of service, remuneration and all other staff matters for employees of DoT and IEs. Staff employed on contract and individual consultants will be governed by the individual contracts entered into with them by the project. The project personnel will be engaged by the project following the Bank Guidelines for selection and employment of consultants.

## 4 Project Structure and Coding

Project structure refers to the grouping of project activities into various levels. The grouping has been defined based on the conclusions of the background studies and discussions between the Bank, project personnel, and other stakeholders.

### 4.1 Project Structure

A 5-tier structure has been adopted for the project. Figure 1 shows the project structure.



Component is as defined in the Project Appraisal Document. Subprojects are identified under each component during the preparation of the Annual Procurement Plan. Individual packages/contracts to be awarded under each subproject and activities under each contract are identified in the quarterly project planning exercise.

### 4.2 Project Coding

In order to clearly identify the project structure and for expenditure tracking and control, a coding system has been assigned to the project structure. Under the coding system, each level in the project structure is assigned a code. This avoids duplication of items. The codes assigned to different levels of the project structure are shown in **Table 2**.

**Table 2: Project Coding**

Level	Code	Length	Numbering logic	Example
Component	Numeric	1	Fixed	1 stands for Component 1
Subproject	Numeric	2	Running number under each subcomponent	1-05 stands for the fifth subproject under subcomponent 1
Implementing Entity	Alpha	3 or 4	Fixed code for each IE	ADA – Agra Development Authority
Package/contract	Numeric	2	Running number for each IE	08 stands for the eighth contract being awarded by the IE

Level	Code	Length	Numbering logic	Example
Activity	Numeric	2	Running number under each contract	

The codes assigned to various implementing agencies are:

- ✓ Department of Tourism – **DOT**
- ✓ State Project Coordination Unit – **SPCU**
- ✓ Technical Support Unit – **TSU**
- ✓ Agra Development Authority – **ADA**
- ✓ Mathura--Vrindavan Development Authority – **MVDA**

Contract is the lowest level for the purpose of tracking project expenditure. Therefore, a contract code 1-SPCU-01-001 will indicate an item of expenditure taking place for component 1, at SPCU, Subproject 01, and contract 001. Hence 1SPCU01001 will be first contract number, the second contract number will be 1SPCU01002, and so on. For contracts managed at the IE level, the IEs will accordingly maintain their contracts. MVDA's second contract in component 2, first subproject will be 2MVDA01002. In this way, the last given contract number represents the number of contracts at a particular IE.

For the purpose of work planning discussed later in this Manual, activities are identified under each contract. Activity codes are suffixed to the contract code to identify each activity under a particular contract.



## 5 Project Components and Subprojects

### 5.1 Component 1: Destination Planning and Governance

Component 1: *Destination Planning and Governance* aims to test new approaches and establish the institutional structures, policies and coordination mechanisms necessary for bringing together the public and private sectors and local communities for effective destination-level tourism planning and governance by providing a combination of advisory, technical and financing support in the following areas:

- (a) The formulation of destination-level tourism development plans for selected destinations. A key focus of Component 1 is to contribute to the necessary paradigm shift from ad-hoc, monument- and theme-park-centric and isolated tourism investments, towards destination-level, multi-sectoral tourism planning and management. Under Component 1, the project will support the preparation of destination-level tourism development plans for certain destinations that are multi-sectoral from design to implementation, and which consider heritage assets and their local communities in a wider, context-based and inclusive manner. The plans will cover, inter alia: (i) a long-term vision for tourism development in the destination; (ii) strategic areas of investments such as accessibility, basic services for communities, creative industries, heritage stewardship and interpretation; (iii) identification of new tourist products; (iv) tourism governance and financing; and (v) visitors flows, information and monitoring.
- (b) Support to the refinement of branding and promotion strategies for the target destinations. As seen through the preparatory work, tourism promotional efforts in Uttar Pradesh tend to focus on individual assets rather than promoting destinations at large, isolating assets from their broader contexts and histories and representing a lost opportunity for longer tourist stays and greater expenditure. Under Component 1, the project will continue to advise DoT on its branding and promotion strategies with a focus on retelling the stories and histories of the project destinations in a more comprehensive, accurate and contextual manner.
- (c) The strengthening of public, private and community institutions involved in the tourism sector for coordinated destination management. Currently, a lack of well-defined role assignment and coordination has led to inadequate management and promotion of heritage assets as tourist products, as well as unsustainable destination growth. Component 1 will equip local and state authorities with the tools and contemporary approaches to coordinate with the private sector and communities for improved destination management.
- (d) The improvement of the state visitor information systems. The preparatory work showed the absence of systems for accurate data collection and market analysis relating to tourist visitation. Rather, multiple systems and diverse, uncoordinated data sources provide differing measurements of single

indicators, preventing the state authorities and the private sector from developing tourism strategies and products that are rooted in the ground reality and market intelligence. The project will provide the Department of Tourism with the tools necessary to develop and put in place a simple but functional system for optimal understanding, measurement and planning of tourist investments and growth with pro-poor linkages.

- (e) Support to public-private dialogue. To facilitate productive private sector participation across the project, the existing public, private and community dialogue established during project preparation will be strengthened through the integrated tourism development planning process as well as subprojects management. This process will seek out and pool knowledge from various public, private and community stakeholders while ensuring that private sector participation is leveraged through, for instance, investments in shared management and/or promotion of tourist products, new business development around tourist areas, and the provision of tourism and hospitality-related training to government officials and communities.
- (f) Training of individuals and groups employed in the tourism sector. To ensure that the project investments in hardware are sustainable, associated training programs will be provided for hotel, restaurant, street vendors and other tourism-related staff and entrepreneurs in the project target areas, to create pools of employable tourism and hospitality personnel as well as to establish better standards of customer service to improve the overall tourist experience. Activities will place emphasis on building knowledge and skills and therefore maximizing income generation opportunities, particularly among women and youth.

**Table 3: Subprojects proposed under Component 1**

<b>Location</b>	<b>Activity</b>	<b>Proposed implementation period</b>
<b>All locations</b>	Support to public-private dialogue	Y1 and throughout
	Institutional strengthening	Y1 and throughout
	Improvement of visitor information system	Y1 and throughout
	Training in hospitality	Y2 and throughout
<b>Agra</b>	Tourism Development Plan	Y2-3
	Branding and promotion	Y1 and throughout
<b>Braj region</b>	Branding and promotion	Y2 and throughout

## 5.2 Component 2: Tourist Products Development and Management

Component 2: *Tourist Products Development and Management* aims to enhance the tourist experience while contributing to improving local living conditions and livelihood opportunities by transforming existing tourist “attractions” into tourist “products” that incorporate local communities both physically and economically. Activities under this component include advisory, technical and financing support in the following areas:

- (a) The enhancement of existing attractions and their surroundings. Many monuments and sites, even if well preserved, lack basic elements of a tourism product and thus potential to increase their visitation. The project will invest particularly in enhancing the surroundings of main monuments and sites, through for instance, crowd management, general landscaping, basic illumination of visitor areas to improve security and safety, paving and drainage, and provision of public amenities at selected monuments and sites and in their immediate surroundings.
- (b) The provision of interpretation and information. A lack of accurate information and interpretation at even the most visited sites (e.g., Taj Mahal) leaves visitors largely with limited exposure and contextual knowledge. The project will invest in the creation of networks of visitor/cultural venues for the provision of information to contextualize and orient tourists in each destination; improved and standardized signage; and the development of high-quality, multilingual interpretation materials.
- (c) The development/rehabilitation and diversification of destination-level products and activities. The preparatory studies and multiple site visits confirmed that—despite the presence of unique and a large amount of assets—destination-level activities are extremely limited, giving tourists no incentives to stay longer and spend more in each place. The project will invest in developing activities that are deeply rooted in their assets and communities and, as such, that contribute to the broader branding and storytelling of the destination as a whole. Investments under this component include, inter alia, the creation of Centers for Living Traditions, and the revitalization and/or development of themed walking routes through local communities.
- (d) The provision of facilities and services for tourists and local communities alike. Findings from background studies demonstrated how existing services in and around many tourist attractions are insufficient to support the communities residing there, let alone the visiting pilgrims and tourists, with major implications for the locals and assets. One example is the Agra riverfront, which in many sections is used as a public toilet area, given the lack of sanitation facilities in most nearby neighborhoods. As such, the project will provide basic facilities, such as toilets<sup>2</sup>, solid waste bins and other public amenities in and around selected tourist areas for the benefit of the local populations and the visiting tourists alike.
- (e) The improvement of access to main sites and tourist products and their adjacent communities. While the project will not invest in large-scale infrastructure and roads, investments under this component include improvements to existing “last mile” access routes in selected locations to

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<sup>2</sup> Rather than embarking on large-scale sanitation investments, the project will complement existing schemes and projects already working to improve sanitation in certain areas, such as Swachh Bharat Abhiyan (the Clean India campaign), by targeting households that have not been served under such schemes.

improve safety; the addition or repositioning of pedestrian walkways; the development of traffic management plans to reduce time spent moving around destinations; pedestrianization of road areas near sacred sites to reduce noise and pollution and facilitate pedestrian access; and improvement of parking facilities.

**Table 4: Subprojects proposed under Component 2**

Location	Activity	Proposed implementation period
Agra	Revitalization of Kachhpura and Mehtab Bagh area	Ongoing-Y3
	Revitalization of Shahjahan Park and walkway between Taj Mahal and Agra Fort	Ongoing-Y3
	Riverfront development and basic service provision from Ram Bagh to Mehtab Bagh (DPR preparation)	Y1
	Visitor Centre and parking rehabilitation at West Gate of Taj	Ongoing-Y3
	Taj East Drain Improvement (construction of sewerage treatment plant in Kachhpura)	Y1-Y3
	Signage improvements	Y1-Y5
Braj region	Area-based improvement of Banke Bihari temple area	Ongoing-Y3
	Revitalization of kunds along the parikrama	Y2-Y5
	Development of a Centre for Living Traditions	Y1-Y4

### 5.3 Component 3: Support to Local Economic Development

Component 3: *Support to Local Economic Development* aims to improve the linkages of those involved in the productive and creative economies with the tourism value chain. “Creative economy” refers to the production of any locally made, traditional or contemporary goods, including crafts, foods, art, toys, clothing, furniture, etc. Those working in the creative economy, or crafts in particular, largely belong to the poorest groups of society. “Productive economy” under the project refers to the provision of other goods and services by local providers, e.g., food and beverage, accommodation. Component 3 supports local economic development by providing advisory and technical assistance and financing in the following areas:

- (a) Mapping of local productive and creative industries and support to business development and tourism service providers. The background mapping and assessment on the artisanal sector will be expanded to cover other creative and productive sectors in the project target areas, e.g., music, fashion, accommodation. This subcomponent will provide upfront support to identification of business development and support services required as a basis for local investment and financing at project target destinations. It may also finance sub-sector value chain studies and destination economic development as part of the tourism development planning process.
- (b) The provision of training, information, tools and infrastructure for business development, production and marketing within the tourism value chain. As

shown in the assessment of the artisanal sector, there is a shortage of basic information on training and market opportunities for artisans and creative entrepreneurs to link to the tourism value chain in the target areas. In addition, working conditions are often unsafe, unhealthy, unsanitary and uncomfortable. This subcomponent will support the improvement of working conditions at individual workshops or the establishment of shared work spaces and/or incubators with the necessary basic infrastructure and tools for safe and efficient production and learning. Moreover, such improved work spaces coupled with training will potentially serve as direct points of sale to tourists, increasing direct earnings and reducing reliance on middle men.

- (c) Enhancement and/or diversification of skills. The project will support artisans, artists, craftspeople and laborers and tourism-related service providers in areas such as quality and efficiency of production to facilitate linkages with the tourism value chain.
- (d) Branding and promotion of locally produced goods linked to tourism products. This subcomponent will develop branding and promotion strategies at the destination level by, for instance, developing labeling systems, marks of authenticity, etc.

**Table 5: Subprojects proposed under Component 3**

Location	Activity	Proposed implementation period
All locations	In-depth mapping of local creative and productive industries	Y1
	Support and promotion of local creative and productive industry	Y1 and throughout

## 5.4 Component 4: Project Management

Component 4: *Project Management* aims to provide the necessary technical, advisory and financial support for the adequate implementation, management and coordination of the project through:

- (a) The establishment and operation of a State Project Coordination Unit (SPCU) in Lucknow and TSUs at destinations level. The SPCU works under the overall guidance of the Principal Secretary/Secretary, Department of Tourism, is chaired by a full-time Project Director from the Department of Tourism GoUP, and comprises Department of Tourism officials and specialists from the fields of, inter alia, procurement, financial management, civil engineering, environment, social development, monitoring and evaluation and landscape/heritage conservation. Based on the specific requirements of each implementing entity at destination level, competitively selected technical specialists in fields such as safeguards and civil engineering will provide direct support and training as TSUs.

- (b) Project monitoring and information system. Under this subcomponent, project progress and impacts will be assessed through a simple but functional system capable of capturing, in a timely and reliable manner, measurements against baseline data relating to, for instance, the number of visitors to a selected destination, the proportion of those visitors staying overnight in a destination, the average daily expenditure of tourists in a destination and the average length of stay or tourists overnighing in a destination.
- (c) Project communication. As part of the tourism development plans to be developed under Component 1, a comprehensive communication strategy for each project target area will be developed. The communication strategy is centered on efficient and effective usage and adoption of methods (media, paper, etc.) suited to the local context, logistics, and human resources available.

**Table 6: Subprojects proposed under Component 4**

Location	Activity	Proposed implementation period
<b>Lucknow and all target destinations</b>	Establishment and operation of SPCU	Ongoing and throughout
	Hiring of relevant technical specialists for TSUs	Ongoing and throughout
	Development of Project Monitoring and Information System and M&E system	Y1 (system in place) and throughout (data monitoring)

## 5.5 Project Estimated Financial Outlays

The breakdown of estimated financial outlays for the project by component and subcomponent as laid down in the PAD is given in **Error! Reference source not found..** These outlays are estimates and may change as detailed project reports and specifications are prepared during the project implementation.

**Table 6: Project estimated financial outlays**

Component	Amount in USD Mn		Percentage of total project cost
	WB	GoUP	
<b>1 – Destination Planning and Governance</b>	2.45	1.05	6.14
<b>2 – Tourist Products Development and Management</b>	25.06	10.74	62.81
<b>3 – Support to Local Economic Development</b>	9.24	3.96	23.16
<b>4 – Project Management</b>	3.15	1.35	7.89
<b>Grand Total</b>	<b>40.00</b>	<b>17.00</b>	<b>100%</b>

Note: Rate of USD has been calculated @ Rs 65 per USD.

## 6 Project Implementation Planning

### 6.1 Annual Procurement Plan

The Annual Procurement Plan is the main document governing the implementation of subprojects and activities under the project for the financial year. The Annual Procurement Plan is also the basis for the quarterly planning exercise. Preparation of the Annual Procurement Plan and its format is discussed in detail in **Section 3.10 and 3.11 of the PPM**. The Procurement Plan will be updated at least annually and can be modified as and when required subject to the necessary approvals by the Bank and others.

### 6.2 Annual Project Budget

The Annual Project Budget shows the amount of expenditure that can be incurred under the project in the financial year. The Annual Project Budget is closely linked to the Annual Procurement Plan. Preparation of the Annual Project Budget and its format is discussed in detail in **Section 6.2 to 6.5 of the PFM**.

### 6.3 Project Work Planning

The project implementation follows a quarterly planning cycle. The quarterly planning cycle will operate within the approved Annual Procurement Plan and the Annual Project Budget. The activities, timelines and responsibilities for quarterly project work planning are given in **Table 7**.

**Table 7: Quarterly Project Work Planning Calendar**

Activity	Responsibility	When	Remarks
Discussion on proposed activities for next quarter	SPCU and IEs/TSUs	<ul style="list-style-type: none"> <li>• End Feb for Apr-Jun quarter</li> <li>• End May for Jul-Sep quarter</li> <li>• End Aug for Oct-Dec quarter</li> <li>• End Nov for Jan-Mar quarter</li> </ul>	
Preparation of Project Work Plan for next quarter	IEs/TSUs	<ul style="list-style-type: none"> <li>• 5<sup>th</sup> Mar for Apr-Jun quarter</li> <li>• 5<sup>th</sup> Jun for Jul-Sep quarter</li> <li>• 5<sup>th</sup> Sep for Oct-Dec quarter</li> <li>• 5<sup>th</sup> Dec for Jan-Mar quarter</li> </ul>	
Preparation of Consolidated Project Work Plan for the next quarter	SPCU	<ul style="list-style-type: none"> <li>• 15<sup>th</sup> Mar for Apr-Jun quarter</li> <li>• 15<sup>th</sup> Jun for Jul-Sep quarter</li> <li>• 15<sup>th</sup> Sep for Oct-Dec quarter</li> <li>• 15<sup>th</sup> Dec for Jan-Mar quarter</li> </ul>	
Approval of the Consolidated Project Work Plan for the next quarter	SC	<ul style="list-style-type: none"> <li>• 25<sup>th</sup> Mar for Apr-Jun quarter</li> <li>• 25<sup>th</sup> Jun for Jul-Sep quarter</li> <li>• 25<sup>th</sup> Sep for Oct-Dec quarter</li> <li>• 25<sup>th</sup> Dec for Jan-Mar quarter</li> </ul>	With or without modifications

The Project Work Plan will be drafted by each IE/TSU in Form 3–Quarterly Project Work Plan, and submitted to the SPCU for review, approval and consolidation. The

Consolidated Project Work Plan will be prepared by the SPCU in Form 4–Consolidated Quarterly Project Work Plan.

During the quarterly project work planning exercise, there might arise a need to include new packages/contracts that are not present in the Annual Procurement Plan. Proposal for new packages/contracts will be placed before the SPCU for approval. On approval, the Annual Procurement Plan will be revised to include such approved packages/contracts. The revised Procurement Plan will be sent to the Bank for its final review and approval.



## 7 Project Implementation

### 7.1 Project Operating Arrangements

Each IE (with TSU and SPCU support) will implement the subprojects assigned to it in the Annual Procurement Plan. On completion of the procurement process by the SPCU or by the IE directly as the case may be, the IE will enter into a contract with the selected contractor/supplier/consultant and issue a work order for commencement of the work. The Contracts will be executed in accordance with the Quarterly Project Work Plan. Project execution will be carried out by the IEs in accordance with the laws applicable in the State of Uttar Pradesh. All financial transactions will be carried out in accordance with the PFM and the GoUP Financial Handbook (Vol. I to VIII).

The Vice Chairman of the DA or the Head of Office in case the IE is a department will take necessary administrative decisions for smooth project implementation in consultation with the TSU and SPCU. If the issue involves a policy matter, the TSU may request the SPCU to place the matter before the SC for decision.

### 7.2 Institutional Responsibilities

An overview of the institutional responsibilities for project implementation is shown in **Table 8**.

**Table 8: Overview of institutional responsibilities in project implementation<sup>3</sup>**

Activity <sup>4</sup>	Responsibility
DPR preparation	SPCU hires consultants who prepare DPRs with inputs from IEs.
Bid document preparation	IE prepares and SPCU approves
Issue of Invitation for Bids (IFB)	SPCU issues IFB, with IE as contract signatory and contract management authority
Pre-bid conference, minutes of meeting, addenda etc.	SPCU through a joint committee of SPCU and IE (Evaluation Committee)
Opening of bids, evaluation report with recommendations	SPCU through a joint committee of SPCU and IE (Evaluation Committee)
Contract document preparation	SPCU/IE <sup>5</sup> prepares the contract <sup>6</sup> after approval of the evaluation report as per schedule of financial powers
Contract award	SPCU/IE <sup>7</sup> signs the contract

<sup>3</sup> Where the IE is other than a DA (i.e., DoF), the responsibilities of the DA apply to the Department/Institution identified as the IE.

<sup>4</sup> In all applicable cases of prior review (detailed in the PPM), the documents will be sent to the Bank for approval.

<sup>5</sup> SPCU acts as an implementing entity as well. There would be contracts which SPCU may originate (for example DPR preparation, specific studies etc.).

<sup>6</sup> In selection of consultants, this stage would also include negotiation of the contract.

<sup>7</sup> SPCU acts as an implementing entity as well and originates contracts (for example, DPR preparation, studies etc.).

Activity <sup>4</sup>	Responsibility
Contract management, quality management and payments	SPCU/IE supervises contract execution and also releases contractor payments. Third party monitoring if provided in the contract. SPCU monitors timely execution of contracts through IE.
Dispute resolution	SPCU supported by IE
Operation and Maintenance of assets created under the project	MoU between (i) SPCU and IE, or (ii) the institution to whom the asset is transferred, if different from IE.

### 7.3 Project Financial Arrangements

Project fund flow arrangements, expenditure approval and payment approval powers assigned to project personnel, project accounting arrangements, disbursement and release procedures, submission of interim financial reports, audit and other aspects related to finance, accounting and audit are covered in detail in the PFM.

### 7.4 Project Procurement Arrangements

Procurement takes place at two levels in the project – at the SPCU and at the IE. Procurement powers, methods of procurement, procurement procedures, bidding documents to be used and other aspects related to procurement are covered in detail in the PPM at the relevant places.

### 7.5 Project Documentation

#### Documents to be maintained

The following project documentation must be organized and maintained at various levels of the project under the categories prescribed, and be accessible by the project personnel and the Bank, when required.

#### At the DoT/SPCU

##### **Project Overall**

- ✓ Project Loan Agreement
- ✓ Project Appraisal Document
- ✓ State Government Orders/Circulars applicable to the project
- ✓ Guidelines applicable to the project

##### **Project Procurement**

- ✓ Annual/Revised Procurement Plans
- ✓ All DPRs
- ✓ All Notices
- ✓ All EoIs, RfPs, IFBs, bid documents, proposal documents, evaluation reports and draft contracts
- ✓ Prior review observations and clearances

- ✓ Bid evaluation reports
- ✓ Agenda papers and minutes of Evaluation Committee meetings
- ✓ Quarterly Procurement Progress Reports

### **Project Finance**

- ✓ Annual Project Budget
- ✓ Government Orders for all counterpart and budgetary releases
- ✓ Release Orders for releases to IEs
- ✓ Interim Financial Reports from IEs
- ✓ Payment vouchers
- ✓ Project Financial Statements – IE and Consolidated
- ✓ Quarterly IFRs submitted to the Bank
- ✓ Claim statements
- ✓ Project Audit Reports
- ✓ Audit replies

### **Project Implementation**

- ✓ Quarterly Project Work Plans (IE/detailed and SPCU/Consolidated)
- ✓ World Bank Aide Memoires, no objections and other key correspondences
- ✓ Monitoring and Evaluation Reports
- ✓ Study reports
- ✓ Progress reports received from IEs
- ✓ Communication reports, news clips and alike

### **Contracts<sup>8</sup>** – *separate file for each contract managed by the SPCU*

- ✓ EoI, RfP, Technical and Financial proposal of consultants, approved Bid Evaluation Reports, minutes of negotiations, as applicable
- ✓ Contractor/ consultant particulars such as Registration Certificate, Permanent Account Number (PAN) Card, etc.
- ✓ Contract – Draft and final
- ✓ Work Order
- ✓ Running Account Bills/Other Bills
- ✓ Final Bills
- ✓ Payment details
- ✓ Completion certificates
- ✓ Release orders for Earnest Money and Security deposits
- ✓ Complaints and dispute documentation, if any

### **Project Correspondence**

- ✓ Correspondence with state government
- ✓ Correspondence with IEs and TSUs
- ✓ Correspondence with the Bank
- ✓ Correspondence with external agencies
- ✓ Correspondence with partners
- ✓ Correspondence with beneficiaries

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<sup>8</sup> Contracts include Goods, Works, Services, and Consultancy contracts

- ✓ Other correspondence

**Project Meetings**

- ✓ Agenda papers and minutes of EC meetings
- ✓ Agenda papers and minutes of SC meetings
- ✓ Agenda papers and minutes of project review meetings
- ✓ Agenda papers and minutes of World Bank Missions
- ✓ Minutes of all other meetings related to the project

**Manuals – maintained as bound books**

- ✓ Project Operational Manual
- ✓ Project Financial Management Manual
- ✓ Project Procurement Manual
- ✓ Standard bidding documents to be used
- ✓ Any other manual developed under the project

**At each IE/TSU****Project Overall**

- ✓ Project Appraisal Document
- ✓ State Government Orders/Circulars applicable to the project
- ✓ Guidelines applicable to the project

**Project Procurement – related to the IE**

- ✓ Annual/Revised Procurement Plans
- ✓ Relevant DPRs
- ✓ All DPRs
- ✓ All Notices
- ✓ All EoIs, RfPs, IFBs, bid documents, proposal documents, evaluation reports, and draft contracts
- ✓ Bid evaluation reports
- ✓ Quarterly Procurement Progress Reports

**Project Finance**

- ✓ Release Orders for amounts received from SPCU
- ✓ Payment vouchers
- ✓ Project Financial Statements – IE level
- ✓ Interim Financial Reports sent to SPCU
- ✓ Audit report of the IE
- ✓ Audit replies

**Project Implementation**

- ✓ Quarterly Project Work Plans
- ✓ Progress reports submitted to SPCU
- ✓ Inspection reports

**Contracts<sup>9</sup>** – *separate file for each contract managed by the IE*

- ✓ EoI, RfP, Technical and Financial proposal of consultants, approved Bid Evaluation Reports, minutes of negotiations, as applicable
- ✓ Contractor/ consultant particulars such as Registration Certificate, PAN Card etc.
- ✓ Contract – Draft and final
- ✓ Work Order
- ✓ Running Account Bills/Other Bills
- ✓ Final Bills
- ✓ Payment details
- ✓ Completion certificates
- ✓ Release orders for Earnest Money and Security deposits
- ✓ Complaints and dispute documentation, if any

**Project Correspondence**

- ✓ Inter-departmental and correspondence with local agencies
- ✓ Correspondence with SPCU
- ✓ Correspondence with external agencies
- ✓ Correspondence with partners
- ✓ Correspondence with beneficiaries
- ✓ Other correspondence

**Project Meetings**

- ✓ Agenda papers and minutes of TSU/IE meetings
- ✓ Agenda papers and minutes of project review meetings
- ✓ Minutes of all other meetings related to the project

**Manuals** – *maintained as bound books*

- ✓ Project Operational Manual
- ✓ Project Financial Management Manual
- ✓ Project Procurement Manual
- ✓ Standard bidding documents to be used
- ✓ Any other manual developed under the project

**Maintenance of Files**

Project documentation will be maintained in one or more physical files based on the volume. All project related files will be titled as follows:

<b>Uttar Pradesh Pro-poor Tourism Development Project</b>	
<<Name of the file>>	<<File No.>>, <<Volume xx>>

**Numbering of Files**

Files will be numbered following the structure given below:

<b>UPPPTDP/&lt;&lt;IE Code&gt;&gt;/&lt;&lt;Category<sup>10</sup>&gt;&gt;/&lt;&lt;File no. &amp; Volume no.&gt;&gt;</b>
--

<sup>9</sup> Contracts include Goods, Works, Non-consulting services and Consultancy contracts

### **Maintenance of Registers**

All applicable registers with respect to receipt and utilization of materials, execution and monitoring of works, services and consultancies and other transactions as prescribed in the Financial Handbook (Vol I to VIII) will be maintained at the SPCU and the IE. Certain specific registers to be maintained under this project are detailed in the PFM at the appropriate places.

### **Project Correspondence**

Project correspondence constitutes all official correspondence between external agencies and project personnel. Project correspondence may be in the form of letters or emails. All outgoing project letters will carry a number called the letter number. The letter numbering will follow the following structure:

**UPPPTDP/ <<IE Code>> / <<20xx-xx>> / <<No.>>**

The letter number starts from 001 (one) each financial year.

### **Project Documentation in Electronic Form**

Documents that need to be executed physically such as contracts, work orders, measurement books, bills, letters, minutes of meetings and others will be maintained in physical form in files as described earlier. All other documentation internal to the project such as progress reports, study reports, emails may be maintained electronically. Such documents will also be maintained at a centralized storage under a proper folder structure as prescribed for physical files earlier in this Section.

In the absence of an Electronic Document Management System in place for the project, maintenance of documents only in electronic form is not recommended. Once an Electronic Document Management System is put in place, the PD will notify the type of documents that can be maintained in electronic form only and the manner in which they will be maintained.

## **7.6 Operation and Maintenance of Assets Financed by the Project**

A critical success factor for long-term impact of the project is the operation and maintenance (O&M) of the assets created or rehabilitated under the project. The various tourist products and infrastructure/services created or rehabilitated need to be operated and maintained on a sustainable basis if the objectives of the project are to materialize.

Though a significant portion of the asset creation/rehabilitation under the project is by the DAs, O&M of all such assets may not vest with the DAs in the long term. Certain assets may be required to be handed over to the corporations/ municipalities/ panchayats or government departments or users/communities in future. In order to facilitate the smooth handover of assets to the respective institution/agency/group, the procedure for handover is outlined in this Section.

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<sup>10</sup> Category – project documentation groups as discussed under documents to be maintained.

At the end of each quarter, the Project Director (PD) with the support of the TSU and the Project Coordinator (PC) will prepare a list of assets created and or rehabilitated under the project and place the list of assets before the SC to ensure funds and staff are in place. The list of assets created will be prepared in Form 2– List of Assets created/rehabilitated under UPPPTDP during the quarter-ended<<quarter>>. The list will, in addition to details of the assets, mention the institution that will be responsible for O&M and the approximate annual outgo for O&M. After obtaining the approval of the SC, the PD will forward the list to the concerned DA to enable the DA to handover the asset. The PD will also forward a copy of the list to the respective institution/agency/group to enable them to take over the asset and initiate regular O&M.

O&M of assets created/rehabilitated under the project is the primary responsibility of the DA until, and if, the SC decides to handover the assets to any other institution/agency/group.

The DA or the institution to whom the asset is handed over for O&M may enter into partnerships with local communities for O&M of assets created under the project, when possible. Private sector institutions may also be involved in O&M. Proposals for such partnerships will be placed before the SPCU for approval.

## 7.7 Recording and Control of Project Fixed Assets

Under Component 4 – Project Management, various assets such as furniture, vehicles, computers and so on will be purchased for the use at the Project Offices (in the SPCU or in the IEs/TSUs), and are generally expected to be used over many years. Such assets need to be properly recorded for control and also for properly handing over to the DoT/other departments on completion of the project.

On purchase of such assets, the PD will assign a Fixed Asset Code. The Fixed Asset Code will be assigned centrally at the SPCU for all assets, including assets, if any, purchased at the IEs. The following structure will be followed for the Fixed Asset Code.

UPPPTDP/<<Type Code>>/<<20xx-xx>>/<<Serial No.>>

The Type Codes for common types of assets are given in **Table 9**. New asset types may be required in future. The PD will identify such asset types and assign a three digit alphabetical code for that asset type.

**Table 9: Fixed Asset Type Codes**

Asset Type	Code
Furniture and Fixtures	FNF
Vehicles	VEH
Computers & Accessories	COM
Office equipment	OEQ
Software	SOF

The Fixed Asset Code will be affixed prominently on the physical asset. A Fixed Asset Register will be maintained at the SPCU containing details of all fixed assets purchased under the project. The Fixed Asset Register will be maintained in Form 7 – Fixed Asset Register.

The PD supported by the PC and the Finance Management Specialist of SPCU will conduct a periodic physical verification of all fixed assets at the DoT as well as at the IEs. Discrepancies, if any will be brought to the notice of the CPD.



## 8 Training of Project Personnel

Capacity strengthening of project personnel and concerned officials at all levels is very important for successful implementation of the project. Capacity strengthening will happen at all levels, namely, SPCU, TSU and the IEs. The PC will take steps to organize regular training sessions for the project personnel. Training will be conducted centrally at the SPCU or decentralized at the level of the IEs, as appropriate. The recommended types of training, the target groups and the frequency are given in **Table 10**.

**Table 10: Recommended training**

Focus of training	Coverage	Target group	Duration	Frequency
About the project	Introduction to the project, its objectives, structure, coverage, institutional arrangements, implementation plan, role of various players	All	1 day	Annual
Project Implementation	Implementation structure, roles and responsibilities of agencies, key project personnel, do's and don'ts, project monitoring and reporting, project reviews	SPCU, TSU, IE	1 day	Semi-annual
Project procurement	Procurement planning, methods of procurements and their applicability, procurement & review thresholds, delegation of powers, pre- and post-reviews, bidding documents, evaluation, anti-corruption policies	SPCU, TSU, IE	3 days	Semi-annual
Project contracts management	Entering into contracts, execution, monitoring, types of contracts, precautions, safeguards, payment processing, dispute resolution	SPCU, TSU, IE	3 days	Semi-annual
Project financial management	Fund flows, accounting arrangements at different levels, disbursement/release process, delegation of powers, submission of IFRs, record maintenance, periodic financial reporting, project budgeting, audits	SPCU, TSU, IE	1 day	Semi-annual
Environment and Social Management Framework	Introduction to the ESMF, ESIA, its applicability, detailed procedures, management plans, precautions, reporting	SPCU, TSU, IE	2 days	Semi-annual

Focus of training	Coverage	Target group	Duration	Frequency
Project communication and stakeholder involvement	Project communication strategy, communication at various levels, stakeholder consultations, managing conflicts, internal communication	All	1 day	Annual
Project e-governance	The technology framework for UPPPTDP, demonstrations, do's and don'ts	SPCU, TSU, IE	1 day	Annual
Government rules and regulations	Introduction, important provisions, precautions, administrative procedures, Financial Handbook	SPCU, TSU, IE	1 day	Annual
Destination governance	Introduction, good practices	SPCU, TSU, IE	1 day	Annual
Tourism product development and management	Developing tourist products, O&M of assets created, local economic development through tourism	SPCU, TSU, IE	1 day	Semi-annual
Cultural facilities master planning and management	Developing tourist products, O&M of assets created, local economic development through tourism	SPCU, IE, TSU	1 day	Semi-annual
Public private dialogue and partnerships	Introduction, good practices	SPCU, IE, TSU	1 day	Semi-annual

Specific training proposed will be included in the preparation of the Annual Procurement Plan by the SPCU. Sufficient amount will be provided in the Annual Project Budget (under Component 4) for training and capacity strengthening. The training proposed, the dates, venue, target group etc., will be planned as part of the quarterly project work planning exercise. The Bank may be consulted and requested for help in training if necessary.

## 9 Project Monitoring and Reviews

### 9.1 Project Monitoring and Information System

The SPCU is establishing a Project Monitoring and Information System (PMIS) to be followed by all project personnel. The PMIS outlines how project performance will be monitored against Project Development Objective Indicators as specified in the Project Results Framework in the PAD. Project progress and impacts will be assessed through measurements against baseline data to be finalized during the first year of the project implementation.

The SPCU (through its Monitoring and Evaluation Specialist) along with MIS/M&E/IT specialists at the IEs/TSUs, are responsible for carrying out periodic reviews of the PMIS and ensure all necessary data is captured and properly organized in the same. PMIS reports will be placed before the SC and EC and sent to the Bank, as required. Information from the PMIS will also be placed on the project website and specific targeted sites for broader public information.

### 9.2 Project Reviews and Reporting

The project will follow a system of regular reviews and reporting to ensure it meets its development objectives. The types of reviews, their focus and the information required for the reviews are given in *Table 11*.

**Table 11: Project Reviews**

Type of review	Review by	Frequency	Focus of the review	Information required for the review	Reports if any used for the review	Format of the report
Regular reviews at IE level	Head of Office at IE/TSU level	Day-to-day	To take stock of the progress of individual contracts	Status of various activities	Minutes	Minutes
Monthly implementation review meeting	IE and TSU	Monthly	To review the physical and financial progress of the project at IE level, to initiate corrective action	Status of various contracts, project fund flows, action taken etc.	Monthly Implementation Review Report	MRR1
Monthly project review	PD, PC, FC and SPCU specialists	Monthly	To review the status of the project, sort out implementation issues and guide the IEs in implementation	Status of procurements in progress, contracts under implementation, project fund flows, action taken etc.	Monthly Implementation Review Report	MRR1

Type of review	Review by	Frequency	Focus of the review	Information required for the review	Reports if any used for the review	Format of the report
Bi-monthly project review meeting	SC, SPCU, TSUs and the IEs	Bi-monthly/ As required	To review the status of the entire project, to discuss and sort out implementation issues, to identify any changes required in the work plans	Consolidated project physical and financial progress, implementation issues	Monthly Project Progress Report	MRR2
Quarterly project review meeting	EC, SC, SPCU	Quarterly	To review the project physical and financial progress, to decide on policy matters, to approve quarterly work plans	Project physical and financial status, policy matters for discussion	Quarterly Project Work Plan  Interim Financial Reports	Form 4  IFRs

The Monthly Implementation Review Report is prepared in Form 5–MRR1 – Monthly Implementation Review Report. The Monthly Project Progress Report is prepared in Form 6–MRR2 – Monthly Project Progress Report. Formats of IFRs are given in the PFM.

### 9.3 Monthly Implementation Review Meeting

Each TSU will hold a monthly implementation review meeting at the IE level. The meeting will be held before the 5<sup>th</sup> of every month with the objective of reviewing progress, identifying issues, removing bottlenecks in implementation, if any, and identifying action points. The meeting will be chaired by the Divisional Commissioner or Vice Chairman of the DA and will be attended by all the TSU members, key personnel from the IE and the SPCU. An indicative agenda for the monthly implementation review meeting is as follows:

- i. Review of action taken on previous meeting minutes;
- ii. Review of physical progress of all packages/contracts assigned to the IE;
- iii. Review of procurement activities;
- iv. Review of coordination issues, if any, amongst various agencies involved in Project implementation;
- v. Ascertain reasons for delays, if any, in implementation and issue suitable instructions to the IEs and TSU for speedy implementation;
- vi. Ascertain any high level policy matters affecting project implementation and forward such issues to the SPCU for further guidance;
- vii. Review of the receipt of grants from the DoT under the project;
- viii. Review of the expenditure incurred in the month;

- ix. Take note of the funds requirement for the coming month/period and plan for the same;
- x. Review of the position of submission of IFRs by the IEs;
- xi. Take note of observations of any audit or inspections carried out during the month;
- xii. Review of the position of redress of grievances;
- xiii. Review any other issue, as applied;
- xiv. Approve the monthly progress report to be sent to the SPCU by the IEs.

#### 9.4 Bi-Monthly Project Review Meeting

The SC will hold a bi-monthly project review meeting or when necessary. The meeting will be held before the 10<sup>th</sup> of every other month with the objective of reviewing overall project progress, identifying issues, removing bottlenecks, if any, in implementation and initiating corrective action. The meeting will be chaired by the Chairman of the SC or his/her designee and will be attended by all the members, the SPCU personnel and specialists, representatives from all the IEs and special invitees. An indicative agenda for the monthly project review meeting would be:

- i. Review of action taken against previous meeting minutes;
- ii. Consider, and approve/ratify all matters placed before the SC by the SPCU;
- iii. Approval of Quarterly Project Work Plans once in a quarter;
- iv. Ascertain reasons for delays, if any, in implementation by IEs and issue suitable instructions to the IEs, TSU and SPCU for speedy implementation;
- v. Review of the position of receipt of grants from GoUP;
- vi. Review of the position of submission of claims for reimbursement by the SPCU;
- vii. Ascertain whether any policy matters are affecting project implementation and direct the SPCU to place such matters before the next EC meeting;
- viii. Review of the position of submission of IFRs by the IEs and SPCU;
- ix. Review the status of assets created under the project, their O&M arrangements, and issue necessary instructions to initiate handover of assets to respective agencies in cases where O&M is not supported under the project;
- x. Review of the action taken on agreed points arising out of implementation support missions by the Bank;
- xi. Review of any policy matters referred to the SC by SPCU/IE/TSUs;
  - xii. Review any other issue, as applied;
  - xiii. Approve changes to project manuals and other guidelines affecting the project placed before the SC by the SPCU.

#### 9.5 Quarterly Project Review Meeting

The EC will hold a quarterly project review meeting. The meeting will be held before the 15<sup>th</sup> of every month following the end of the quarter. The meeting will be held with the objective of reviewing overall project progress and performance, identifying policy issues, if any, and initiating corrective action. In addition to the Chairman and the EC members, the meeting will be attended by the SPCU personnel and specialists. An indicative agenda for the quarterly project review meeting would be:

- i. Approval of the Annual Project Budget and the annual report and any changes to these placed before the EC for approval;
- ii. Review of physical progress and financial progress of the project;
- iii. Deliberation and decision on any policy matters affecting the project;
- iv. Approval of any reallocations within the Annual Project Budget;
- v. Review of the position of receipt of grants from GoUP under the project vis-à-vis project activities planned;
- vi. Review of the action taken on agreed points arising out of implementation support missions by the Bank.

Minutes of all monthly and quarterly reviews will be maintained as part of project documentation.

## 9.6 World Bank Implementation Support Missions

The Bank task team will conduct implementation support missions three times a year, every four months. The frequency of missions may be changed based on the performance of the project. The implementation support missions will provide extensive support to the SPCU, IEs, and the TSUs on various aspects of project planning, implementation and monitoring, as required. The missions will also help build capacity of the project personnel.

In the interim period between supervision missions, the Bank task team will also hold periodic virtual supervisions, through video and audio conferences with DoT to discuss implementation progress and issues in a timely fashion. The financial management and procurement specialists of the Bank will also carry out regular visits in the interim between supervision missions, to provide timely and hands-on support to the SPCU and the IEs/TSUs, when requested or needed.

The SPCU's technical specialists will prepare monitoring reports for the subprojects and activities under implementation and planned prior to each implementation support mission. These reports will contain a brief description of the activities implemented/under implementation as well as results, achievements, challenges, lessons learned and proposed improvement measures, if any. The reports will also include the action taken on the action points of the previous *Aide Memoires* of the Bank. The Monthly Progress Report of the last month will be annexed to the monitoring report. The Bank will also review action taken by the SPCU/IEs on audit findings.

## 9.7 Project Audits

The project will be subject to two types of audits:

- Statutory audit for the DoT by the CAG, and for the Development Authorities by chartered accountants
- Internal audit by the SPCU or agencies appointed by the SPCU.

The scope, audit terms of reference, coverage, periodicity and reporting obligations of each type of audit are discussed in detail in **Chapter 10 of the PFM**.

## 10 Environmental and Social Aspects

### 10.1 Environmental and Social Safeguards Applicable to the Project

The core objective of the Environment and Social Safeguards is to prevent as soon as possible and/or mitigate any potential adverse impact on people, their environment and cultural assets during the project implementation. **Table 12** gives an overview of the applicability of the safeguards to the project.

**Table 12: Applicability of Environmental and Social Safeguards to the Project**

Safeguard Policy	Applicability	Explanation
<b>OP/BP 4.01 Environmental Assessment</b>	Yes	OP 4.01 is triggered because the project will upgrade or provide basic services and infrastructure in touristic areas and near cultural and natural heritage sites. Impacts envisaged may relate to the execution of these civil works and their impact, broadly defined, on the air, water, soil, ecosystems and human health.
<b>OP/BP 4.11 Physical Cultural Resources</b>	Yes	OP 4.11 is triggered because the project will upgrade or provide basic services and infrastructure as well as promote tourism in communities living and/or working in touristic areas and near cultural and natural heritage sites. Impacts envisaged may relate to (i) the rehabilitation/restoration of cultural properties or cultural landscapes and/or (ii) the execution of civil works in surrounding communities, where lesser known monuments may be present. In addition, the possible discovery of archaeological sites or random findings during the rehabilitation/restoration of cultural landscapes and/or the execution of civil works will require measures to manage chance finds.
<b>OP/BP 4.12 Involuntary Resettlement</b>	Yes	OP 4.12 is triggered as the project will upgrade or provide basic services and infrastructure in touristic areas and near cultural and natural heritage sites in some densely populated or visited areas. Impacts are expected to happen during the execution/construction phase, especially during the improvement of access roads, construction of tourist amenities, provision of basic services (i.e., toilets) to surrounding communities, and upgrading of public spaces/cultural landscapes.
<b>OP/BP 4.04 Natural Habitats</b>	Yes	Some of the project activities may be located in environmentally sensitive areas. OP/BP 4.04 applicability will be determined during project preparation, depending on the exact location of project investments and their potential impact on the natural balance of existing natural habitats.

### 10.2 Environmental and Social Management Framework

To ensure compliance with these Bank and government safeguards policies and their guiding principles, the DoT has developed an Environmental and Social Management

Framework (ESMF) document, which establishes the overarching standards to be met throughout the project implementation. The ESMF also incorporates relevant legal regulations and frameworks of the Government of India and the Government of Uttar Pradesh. The project's ESMF was developed in consultation with local stakeholders during project preparation and factors in the insights and concerns raised by such stakeholders.

The ESMF is a technical guide for the DoT, IEs, and concerned partners at government, private, civil society and expert levels to identify and address the potential environmental and social and cultural concerns or adverse impacts of the project activities and subprojects from their preparation to implementation and operation and maintenance. The ESMF document is available on the project/DoT website.

As subprojects and activities are identified for implementation in the subsequent years, screening will be undertaken for each new subproject by the Environment and Social Specialists of the SPCU, which will determine the applicability of the safeguard policies and magnitude of impact. Based on the screening result, an Environment and Social Impact Assessment will be undertaken. These assessments will establish the specific procedures, management and mitigation measures, if needed, that the project is to meet for the implementation of each identified subproject and activity under the project. The social and environmental screening and any further required safeguards documentation are to be carried out and developed as part of any Detailed Project Report to be prepared under the project.

See the project's ESMF for further information on safeguards under the project.

### **10.3 Compliance with the Environmental and Social Safeguard Policies**

Compliance with the Bank's Environmental and Social Safeguard Policies require a series of steps to be undertaken by the SPCU and by the IEs at various stages of project implementation. The steps for compliance, the applicable checklists, document formats, etc., are presented in detail in the project's ESMF. All safeguard documents prepared for subprojects will be reviewed and cleared by the Bank.

The SPCU and TSUs are the primarily responsible actors for monitoring all subprojects and activities under the project to ensure conformity to the requirements of the ESMF from their planning to implementation. The monitoring will be carried out through documentation review, regular visits and in situ assessments by the environmental, social and heritage specialists of the SPCU and TSUs. Specific environmental, social and cultural heritage safeguard compliance reports will form part of the Monthly Progress Reports for all subprojects. In addition, the SPCU will undertake an annual audit of the applicable social, environmental and/or cultural property management plans on sample basis and will review their status compliance, as provided in the ESMF. Compliance with the ESMF will be one of the items to be covered in all project reviews by the Bank.



## 11 Project Communication

### 11.1 Communication Strategy

The SPCU is developing a Project Communication Strategy for each target area as well as preparing all communication materials to be used in awareness raising events. The Communication Strategy focuses on efficient and effective usage of print and electronic media, bill boards, posters, wall writing, and adoption of any other method suiting local context, logistics, human and financial resources.

The SPCU will assist the PC and PD in coming up with the communication strategy and implementing it. The communication strategy will be translated into specific activities and included in the Quarterly Project Work Plans of the IEs. The Project Monitoring and Information System will periodically evaluate the effectiveness of the implementation of the communication strategy.

### 11.2 Annual Project Report

Before the end of June every year, the PC and PD will prepare an annual report of all project activities for the immediate past financial year. They will place the Annual Project Report before the CPD and later EC for approval. Once approved, they will publish the Annual Project Report on the project/DoT website and send copies of the same to:

- ✓ Various department of the GoUP who are stakeholders in the project
- ✓ Ministry of Tourism, Government of India
- ✓ Department of Economic Affairs, Ministry of Finance, Government of India
- ✓ The World Bank
- ✓ All the Implementing Entities under the project
- ✓ Other departments/institutions/groups as needed.

### 11.3 Project Website<sup>11</sup>

The SPCU will maintain the project website. Links to the project website will be provided from the website of the DoT. The following information will be disclosed on the project website:

- ✓ **General**
  - Project overview
- ✓ **Manuals and Guidelines**
  - Project Operational Manual
  - Project Financial Management Manual
  - Project Procurement Manual
  - Environment and Social Management Framework
  - Project Monitoring and Information System Guidelines
  - Other important guidelines applicable to the project

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<sup>11</sup> Until the project website is set up, the required information will be disclosed on the DoT website.

- ✓ **Procurement related**
  - Invitation for bids for goods and works for all ICB, NCB and shopping contracts
  - Request for EoI for selection/hiring of consulting services
  - Contract awards of goods and works procured following ICB/NCB
  - List of contracts/purchase orders placed following shopping procedure on quarterly basis
  - Short list of consultants
  - Contract award of all consultancy services
  - List of contracts following DC or CQS or SSS on a quarterly basis
  - Monthly financial and physical progress report of all contracts
  - Action taken report on the complaints received on a quarterly basis
  
- ✓ **Project plans and progress**
  - Annual Project Budget
  - Consolidated progress reports
  - Interim Financial Reports
  - Annual audited Project Financial Statements
  - Annual Project Report
  
- ✓ **Project Outcome**
  - Project Monitoring and Information System Reports
  - Study reports
  - Case Studies
  - Photo and video gallery
  
- ✓ **Contact and complaints**
  - Project Directory
  - Contact us link
  - Complaints registration link
  - Bi-annual report on complaints received, action taken and outcomes

The list of information above is not exhaustive. In addition to this, information required under “suomoto” disclosure under the Right to Information Act, 2005 or under any other Statute may be published on the project website. The PD will approve any new type of project related information proposed to be published on the project/DoT website the first time it is published, in consultation with the Bank. Regular updates to information on the project website will be done with the concurrence of the PD.

#### **11.4 Publishing of Information on the UNDB and World Bank Websites**

The PC will send the following information for publishing on the UNDB and World Bank websites:

**UNDB**

- ✓ General Procurement Notice
- ✓ Specific Procurement Notices
- ✓ Invitation for bids for procurement of goods using ICB procedures
- ✓ Request for expression of interest for consulting services with estimated cost more than \$200,000 (INR 1.2 crore)
- ✓ Contract award details of all procurement of goods using ICB procedure
- ✓ Publication of award of all contracts under NCB
- ✓ Contract award details of all consultancy services with estimated cost more than \$200,000 (INR 1.2 crore), and
- ✓ List of contracts placed following SSS or CQS or DC procedures on a quarterly basis.

**World Bank external website**

- ✓ Approved Annual/Revised Procurement Plans
- ✓ General Procurement Notice
- ✓ Publication of award of contracts

Publishing of information pertaining to project procurement on UNDB and the Bank websites is covered in detail in the PPM.

## 11.5 Project Logo

The SPCU will prepare a logo for the project to be used on all project correspondence, reports, files, display boards, website, and all other printed material and other collateral.

## 11.6 Display Boards at Project Offices

All Project Offices, namely, the the SPCU office in Lucknow, and the IE/TSU offices will put up a board in front of the office containing the name of the project, its logo as well as the name, address and contact details of the IE/TSU. The phone number and email for registering grievances will also be mentioned on the board.

Further, all Project Offices will put up a notice board containing details of the packages/contracts under the project being implemented through that office, the contractor, the location, the contract amount and the expenditure incurred. The notice board will be updated on a weekly basis.

## 12 Grievances, Fraud, Corruption and Legal Matters

### 12.1 Grievance Registration

An integrated system to address and resolve grievances is being established with Grievance Redressal Cells (GRCs), with necessary officials and systems at the SPCU as well as at the IEs. Grievances if any, may be registered through the following ways:

- i. Orally, in person at any of the Project Offices
- ii. In written form addressed to any of the project personnel
- iii. Through a toll-free phone line or through direct calls to concerned officials at the Project Offices
- iv. Through email to any of the concerned officials at the Project Offices
- v. Online on the project website

All local contact information and options for complaint registration will be available on project sites and offices on local information boards and on the project website.

All complaints registered will be recorded in a Complaints Register at the Project Office where the complaint is first received. The Complaints Register will be maintained in the format given in **Form 8 – Complaints Register**.

### 12.2 Grievance Redressal

All grievances will be first redressed by the Head of the Office of the IE responsible for the implementation. The IE will proceed to redress the grievance as directed by the TSU. Grievances not resolved at this stage will be reported to the SPCU. The PD will place the grievance for discussion at the next monthly review meeting of the SC and proceed to direct the IEs to redress the grievance as directed by the SC.

The IE will report all critical grievances requiring immediate action to the PD. The PD may after discussion with the CPD direct the concerned project personnel to appropriately redress the grievance.

All procurement related complaints will be addressed at levels higher than the level at which the procurement process was undertaken or the relevant decision was taken. Complaints will also be forwarded to the Bank for information.

The number of grievances received, number redressed and number escalated will be reported as part of the monthly reporting by the IE. The SPCU will prepare a bi-annual report on grievances handled under the project.

### 12.3 Fraud and Corruption

The project is subject to the following fraud and anti-corruption policies:

- ✓ Prevention of Corruption Act, 1988,
- ✓ Project's Legal Agreement,

- ✓ World Bank ‘Guidelines on Preventing and Combating Fraud and Corruption in projects financed by IBRD Loans and IDA Credits and Grants – October 15<sup>th</sup>, 2006 – revised January 2011’ ([http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2011/04/15/000356161\\_20110415011758/Rendered/PDF/611090BR0SecM21Disclosed04113120111.pdf](http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2011/04/15/000356161_20110415011758/Rendered/PDF/611090BR0SecM21Disclosed04113120111.pdf))
- ✓ World Bank Guidelines on Procurement of Goods, Works and Non-Consulting Services under IBRD Loans and IDA Credits and Grants by World Bank Borrowers (January 2011, revised July 2014), ([http://siteresources.worldbank.org/INTPROCUREMENT/Resources/Procurement\\_GLS\\_English\\_Final\\_Jan2011\\_revised\\_July1-2014.pdf](http://siteresources.worldbank.org/INTPROCUREMENT/Resources/Procurement_GLS_English_Final_Jan2011_revised_July1-2014.pdf))
- ✓ World Bank Guidelines on Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers” (January 2011, revised July 2014), ([http://siteresources.worldbank.org/INTPROCUREMENT/Resources/Consultant\\_GLS\\_English\\_Final\\_Jan2011\\_Revised\\_July1\\_2014.pdf](http://siteresources.worldbank.org/INTPROCUREMENT/Resources/Consultant_GLS_English_Final_Jan2011_Revised_July1_2014.pdf))
- ✓ Anti-corruption policies of the GoUP,
- ✓ Provisions of all other Central and State Acts to the extent applicable.

These guidelines among other aspects cover the definition of fraud and corruption, what constitutes fraud and corruption, steps to prevent and combat fraud and corruption, and actions to be taken when fraud and corruption are detected. Project personnel at all levels will ensure that the highest standards of anti-corruption are maintained in all procurement, implementation and financial transactions under the project as envisaged under the applicable policies and guidelines discussed above.

#### 12.4 Legal Matters

The project is governed by all Central and State Acts, Rules and Regulations to the extent applicable. Any legal disputes arising during the project implementation or thereafter are subject to the laws of India.

The project may take expert legal opinion in specific cases. The PD with the approval of the SC is authorized to engage legal experts for legal opinions or for representing the project in legal cases. The PD will report all legal cases relating to the project, their progress and outcomes to the Bank.

#### 12.5 Disciplinary Action and Proceedings

All project personnel are covered by the prevalent GoUP Rules as far as matters relating to disciplinary action are concerned. Arising out of any audit, investigation or complaint, if any misconduct by any project personnel is suspected, the SC may on the matter being brought before it by the PD, or on its own, order an inquiry to be conducted. The inquiry so ordered will be conducted in accordance with procedures prescribed in the relevant Rules and disciplinary action if required will be taken in accordance with such Rules. The PD will report all disciplinary proceedings pertaining to project personnel, their progress and outcomes to the Bank.

## 13 Project Completion

On completion of the project, the SPCU with the support of the IEs and TSUs to ensure the following:

- All subprojects and activities under the project are complete or are formally handed over to identified institutions for completion;
- Assets created under the project have been handed over to the identified institutions/agencies/groups for O&M;
- All outstanding payments on contracts have been made;
- All statutory compliances have been completed both at the level of DoT and the IEs;
- All reimbursement claims have been submitted to the state government, central government and the Bank within four months from the end of the project;
- Project books of account at all levels are closed and duly certified by the auditors as correct and complete;
- All periodic and completion reports have been submitted to the respective authorities;
- All recoveries to be made from project personnel, contractors etc., have been recovered;
- All movable assets have been transferred to the respective departments;
- Project financial statements and reports are up-to-date and complete;
- All project audits are completed and reports submitted;
- All project personnel engaged on contract have been discharged of their duties following proper procedures;
- An end of project evaluation has been conducted and the report has been successfully submitted to the Bank;
- A Project Completion Report has been prepared and submitted covering, at a minimum, the following:
  - Project motivation;
  - Project objectives;
  - Project structure;
  - Activities undertaken under the project;
  - Role of various institutions in project implementation;
  - Project outputs;
  - Project outcomes achieved;
  - Summary of project financials;
  - Key project learnings and stories;
  - Post project arrangements.

## **Annex 1 - Glossary of Terms Used**

### **Activities**

Specific activities identified in order to execute a package/contract.

### **Bank/The Bank**

The World Bank.

### **Circuit/Corridor/Area**

Grouping of destinations covered under the project.

### **Contract**

A specific engagement with an external entity under a Subproject.

### **Package**

A group of Contracts under a Subproject.

### **Project**

Uttar Pradesh Pro-Poor Tourism Development Project.

### **Project Correspondence**

All letters/emails exchanged between external agencies and the project personnel.

### **Project Documentation**

All files, reports, correspondence and other documents pertaining to the project.

### **Project Offices**

Project Offices include the DoT at Lucknow, the SPCU, the Implementing Entity offices, and the TSU offices.

### **Project Operations**

The sum total of all activities undertaken under the project whether under specific contracts or as part of project implementation by the project personnel.

### **Subproject**

A specific activity under a subcomponent comprising of one or more contracts identified as such in the Annual Procurement Plan.

## Annex 2 - Forms

Form 1– Format for proposing changes to manuals

Name of the Manual				Date	
Section and Page Ref	Change proposed	Reasons	Remarks	Action to be taken	Follow up
Prepared by			Approved by		



Form 2– List of Assets created/rehabilitated under UPPPTDP during the quarter-ended<<quarter>>

Particulars	Details
Name of the asset	
Name of the Subproject	
Component, subcomponent, subproject	
IE	
Location	
Beneficiaries	
Description of the asset	
Intended use	
Date of purchase/completion of work	
Contract code	
Particulars of supplier/contractor	
Total expenditure incurred (Rs. in Lakhs) (provide breakdown of expenditure)	
Particulars of O&M to be taken up	
Approximate year-wise expenditure on O&M (Rs. in Lakhs)	
Whether O&M will be funded under the project?	
If yes, amount budgeted for O&M under the project (Rs. in Lakhs)	
If no, responsibility for O&M	
Particulars of SC decision on O&M	
Proposed date of handover of asset	
Date of commencement of O&M period	
Date	

Form 3–Quarterly Project Work Plan

Name of the IE Package/contract, activity	Up to last quarter	Current quarter (in progress)	Next quarter	Next Quarter Subsequent quarter	Estimated cost (Rs.)	Expenditure incurred (Rs.) <sup>12</sup>		
						Up to last quarter	Current quarter	Next quarter (proposed)
<Contract 1>								
<<Activity 1>>								
<<Activity 2>>								
<<Activity 3>>								
<b>Sub-total</b>								
<Contract 2>								
<<Activity 1>>								
<<Activity 2>>								
<<Activity 3>>								
<b>Sub-total</b>								
<b>Grand total</b>								

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<sup>12</sup> Expenditure figures need to be shown up to activity level to the extent available

Form 4–Consolidated Quarterly Project Work Plan

Quarter Package, Activity	Up to last quarter	Current quarter (in progress)	Next quarter	Subsequent quarter	Estimated cost <sup>13</sup> (Rs.)	Expenditure incurred (Rs.) <sup>14</sup>		
						Up to last quarter	Current quarter	Next quarter (proposed)
Component, subcomponent								
<IE 1>								
<Package/contract 1>								
<<Activity 1>>								
<<Activity 2>>								
<<Activity 3>>								
<b>Sub-total</b>								
<Package/contract 2>								
<<Activity 1>>								
<<Activity 2>>								
<<Activity 3>>								
<b>Sub-total</b>								
<b>Grand total</b>								

<sup>13</sup> Contract amount in the case of awarded contracts

<sup>14</sup> Expenditure figures need to be shown up to activity level to the extent available

Form 5–MRR1 – Monthly Implementation Review Report

Name of the IE	Head of the Office	Total value of contracts assigned (Rs.)	Report for the month of	Last review date	Current Report date	Prepared by	Approved by

Section A – Physical status of contracts

Name of the contract	Date of commencement	Name of the contractor	Milestones	Target date	Revised date, if any	Status of the milestone	Reasons for delay, if any	Remarks
<<Contract 1>>			(1)					
			(2)					
			(3)					
<<Contract 2>>			(1)					
			(2)					
			(3)					

Section B – Expenditure incurred

Name of the contract	Name of the contractor	Contract Amount	Expenditure up to last month	Expenditure incurred in current month	Cumulative expenditure	Percentage of target expenditure	Expected expenditure in next month	Remarks
		(Rs.)	(Rs.)	(Rs.)	(Rs.)	(%)	(Rs.)	
<<Contract 1>>								
<<Contract 2>>								

Section C – Implementation readiness<sup>15</sup>

Contract	Estimated Cost (Rs.)	Dates	DPR	Bid document preparation	Bid document approval	Bid notification	Bid evaluation	Contract award	Work commencement	Work completion
<<Contract 1>>		Target								
		Actual								

<sup>15</sup> More columns may be added depending on the readiness activities

<<Contract 2>>	<b>Target</b>								
	<b>Actual</b>								

Section D – Status of clearances

Nature of clearances required	Agency	Target date	Actual date	Issues in clearance, if any	Remarks
<<Name of the Contract>>					
(1)					
(2)					
(3)					
<<Name of the Contract>>					
(1)					
(2)					
(3)					

Section E – Status of ESM Plans

Activities <sup>16</sup>	Responsibility	Target date	Actual date	Issues in completion, if any	Remarks
<<Name of the Contract>>					
(1)					
(2)					
(3)					
<<Name of the Contract>>					
(1)					
(2)					
(3)					

Section F – Grievances handled during the month

Nature of grievance	Grievance raised by	Date of receipt	Steps taken for redressal	Current status	Date of resolution, if resolved	Remarks

<sup>16</sup> Specified in the ESM Plans

Section G – Action taken report on previous IE/TSU meeting proceedings

Subject	Decision of last meeting	Timeline agreed	Responsibility	Action taken/status	Reasons for non-compliance, if any	Remarks

Section H – Issues in implementation

Subject	Nature of the issue	Implication	Contracts affected	Remarks

Form 6–MRR2 – Monthly Project Progress Report

Report for the month of	Report date	Prepared by	Approved by

Section A – Physical status of contracts

Name of the component, subcomponent, subproject, package/contract	Implementing Entity	Date of commencement		Name of the contractor (if awarded)	Contract amount (Rs.)	Date of completion		Status	Reasons for delay, if any	Remarks
		Target	Actual			Target	Actual			

Section B – Expenditure incurred

Name of the component, subcomponent, subproject, package/contract	Contract Amount	Expenditure up to last month	Expenditure incurred in current month	Cumulative expenditure	Percentage of target expenditure	Expected expenditure in next month	Remarks
	(Rs.)	(Rs.)	(Rs.)	(Rs.)	(%)	(Rs.)	

Section C – Status of IE advances

Name of the IE	Opening balance of IE advance	Advance released during the month	Amounts utilized during the month as per accepted IFR	Closing balance of IE advance
	(Rs.)	(Rs.)	(Rs.)	(Rs.)

Section D – Status of expenditure claims received

Component, subcomponent	Budgetary releases up to last month (Rs.)	Amounts released to IEs up to last month (Rs.)	Expenditure incurred (Rs.)		Expenditure claims (IFR) received for (Rs.)	Remarks
			By IEs	By DoT		

Section E – Summary of grievance redressal

Name of the IE	Number of grievances pending resolution at the beginning of the month	Number of grievances received during the month	Number of grievances resolved during the month	Number of grievances pending resolution at the end of the month	Remarks

Section F – Action taken report on previous SC meeting proceedings

Subject	Decision of last meeting	Timeline agreed	Responsibility	Action taken/status	Reasons for non-compliance, if any	Remarks

Section G – Issues in implementation

Subject	Nature of the issue	Implication	Packages/contracts affected	Remarks



Form 7 – Fixed Asset Register

**Section A – Asset particulars**

Description of the Asset:

Fixed Asset Code:

Detailed specifications:

Date of original acquisition/commissioning:

Technical details:

<<Technical details including details such as manufacturer, model no., make and year, insurance details, maintenance arrangements, etc. including details of any improvements to asset>>

**Section B – Possession History**

Date from	Date to	In possession of	Location	Particulars of handover	Doc. Reference	Remarks	Initials
<<Date>>	<<Date>>						
<<Date>>	<<Date>>						
<<Date>>							

**Section C – Particulars of Original Acquisition Cost and Subsequent Additions**

Date	Procurement Plan Ref.	Approval details	Supplier	Voucher Ref.	Amount in Rs.	Remarks	Initials
<<Date>>							
<<Date>>							
<<Date>>							

**Section D – Particulars of Maintenance Expenditure on Asset**

Date	Nature of maintenance	Voucher Ref.	Amount in Rs.	Remarks	Initials
<<Date>>					
<<Date>>					
<<Date>>					

**Section E – Particulars of Loss/Disposal**

Date	Sold to	Sale reference	Disposal value in Rs.	Voucher Ref.	Remarks	Initials
<<Date>>						

**Section F – Physical Verification History**

Date of verification	Verified by	Verification Report Ref.	Asset condition	Verification remarks	Increase/Decrease in value, if any in Rs.	Initials
<<Date>>						
<<Date>>						
<<Date>>						

Form 8 – Complaints Register

No.	Date of complaint	Particulars of the complainant	Mode of complaint	Nature of the complaint	Detailed description	Complaint against	Complaint resolution details	Escalation details	Status	Remarks

## Annex 3 – Relevant Government Orders

GO No. 2784/41-2013-09Yo/13 dated 1st Oct2013

पत्रांक— 2784 / 41—2013—g9यो0 / 13

प्रेषक,

संजीव सरन,  
सचिव,  
उ0प्र0 शासन।

सेवा में,

महानिदेशक,  
पर्यटन, उ0प्र0,  
लखनऊ।

पर्यटन अनुभाग

लखनऊ: दिनांक : अक्टूबर \* , 2013

विषय— प्रो-पुअर टूरिज्म डेवलपमेंट प्रोजेक्ट के सम्बन्ध में।

महोदय,

उपर्युक्त विषय पर अवगत कराना है कि प्रदेश में पर्यटन विकास की असीम सम्भावनाओं तथा पर्यटन विकास के माध्यम से प्रदेश के चिन्हित पर्यटन स्थलों में स्थानीय रोजगार के अवसर सृजित करने तथा स्थानीय लोगों के आर्थिक उत्थान के उद्देश्य से विभाग द्वारा प्रो-पुअर टूरिज्म डेवलपमेंट प्रोजेक्ट का प्रस्ताव किया गया, जिसके अन्तर्गत उत्तर प्रदेश में स्थित दो महत्वपूर्ण पर्यटन स्थलों क्रमशः बुद्धिस्ट सर्किट तथा ब्रज-आगरा कॉरीडोर का चयन किया गया है। इस योजना के मुख्यतः तीन उद्देश्य हैं:-

क- चयनित पर्यटन स्थलों पर आने वाले पर्यटकों की संख्या को बढ़ाकर तीन वर्षों में दोगुना करना।

ख- चयनित पर्यटन स्थलों पर आने वाले पर्यटकों के ठहराव को एक दिन और बढ़ाना।

ग- पर्यटन स्थलों में आने वाले पर्यटकों के व्यय का स्थानीय अर्थ व्यवस्था में योगदान बढ़ाना।

2- उक्त के क्रम में मुझे यह कहने का निर्देश हुआ है कि प्रो-पुअर टूरिज्म डेवलपमेंट प्रोजेक्ट के सम्बन्ध में सम्यक् विचारोपरान्त निर्णोकित बिन्दुओं पर कार्यवाही किये जाने का निर्णय लिया गया है-



(1) वित्त मंत्रालय, भारत सरकार द्वारा जारी की गयी गाइड लाइन्स फार पोजिंग इम्प्लीकेशन एण्ड मॉनीटरिंग ऑफ एक्सटर्नली ऐडेड प्रोजेक्ट्स के अन्तर्गत निर्धारित की गयी प्रक्रिया के अनुसार वाहय सहायता के लिए राज्य सरकार द्वारा आरम्भ में एक प्रीलिमनरी प्रोजेक्ट रिपोर्ट (पी0पी0आर) तैयार की गयी थी, जिसमें प्रस्ताव का उद्देश्य परिभाषित किया गया है। उक्त पी0पी0आर0 राज्य सरकार द्वारा अनुमोदित की जा चुकी है। इस पी0पी0आर0 पर भारत सरकार एवं विश्व बैंक के अनुमोदनोपरान्त एक डिटेल्ड प्रोजेक्ट रिपोर्ट ( डी0पी0आर) तैयार की जायेगी। उक्त डी0पी0आर0 में परियोजना से उत्पन्न होने वाली इकॉनामिक वायविलिटी, सोशल कारस्ट बेनीफिट, इंस्टीट्यूशनल एण्ड आर्गनाइजेशनल एनालिसिस तथा अन्य परिणाम मेजरबल टर्म्स में अंकित किये जायेंगे। इस डी0पी0आर0 को भारत सरकार प्रेषित करने के उपरान्त राज्य सरकार एवं विश्व बैंक के बीच फाइनेन्शियल टर्म्स तथा इम्प्लीमेंटेशन प्रोसीजर्स को चिन्हित किया जायेगा।

(2) उक्त प्रस्तावित प्रो-पुअर टूरिज्म डेवलपमेंट प्रोजेक्ट को भारत सरकार को प्रेषित करने भारत सरकार व विश्व बैंक से उक्त परियोजना स्वीकृत होने के उपरान्त परियोजना के कियान्वयन हेतु विश्व बैंक से परियोजना लागत रू0 2218.32 (\$ 410.8 million) की 70 प्रतिशत धनराशि अर्थात् रू0 1708.40 करोड़ (US \$ 316) लोन प्राप्त करने तथा अवशेष 30 प्रतिशत धनराशि अर्थात् रू0 511.92 करोड़ (US \$ 94.8) का अंशदान राज्य सरकार द्वारा वहन किये जाने की सैद्धान्तिक राहमति दी गई है। कुल परियोजना लागत का कम से कम 85 प्रतिशत भाग परिसम्पत्तियों के सृजन हेतु होना चाहिये। परियोजना की विस्तृत रिपोर्ट (डी0पी0आर0) तैयार होने के उपरान्त उक्त परियोजना को भारत सरकार को प्रेषित किया जायेगा।

(3)- डी0ई0ए0, वित्त मंत्रालय, भारत सरकार के पत्र संख्या- 19/07/ 2013- एफ0बी0-11 दिनांक 12 अगस्त, 2013 के अनुसार भारत सरकार व विश्व बैंक से उक्त परियोजना के स्वीकृत होने के उपरान्त इस परियोजना के कियान्वयन हेतु विश्व बैंक से परियोजना की कुल लागत 300 मिलियन डालर की 70 प्रतिशत



धनराशि लोन प्राप्त करके तथा अवशेष 30 प्रतिशत धनराशि का अंशदान राज्य सरकार द्वारा वहन करते हुये किया जायेगा।

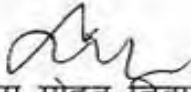
कृपया प्रश्नगत परियोजना के कियान्वयन हेतु यथावश्यक कार्यवाही सुनिश्चित करने का कष्ट करें।

भवदीय,  
  
(संजीव सरन)  
सचिव

संख्या- 2784(1)/41-2013, तददिनोंक

प्रतिलिपि- निम्नलिखित को सूचनार्थ एवं आवश्यक कार्यवाही हेतु प्रेषित:-

- 1- निदेशक, आर्थिक कार्य मामले विभाग, वित्त मंत्रालय, भारत सरकार, नई दिल्ली।
- 2- सचिव, पर्यटन मंत्रालय, भारत सरकार, नई दिल्ली।
- 3- प्रमुख सचिव, वाह्य सहायतित परियोजना विभाग, उ० प्र० शासन।
- 4- गार्ड फाईल

आज्ञा से,  
  
(श्याम मोहन तिवारी)  
अनु सचिव।

प्रेषक,

अमृत अभिजात,  
सचिव,  
उत्तर प्रदेश शासन ।

सेवा में,

✓ महानिदेशक,  
पर्यटन, उ0प्र0,  
लखनऊ ।

पर्यटन अनुभाग

लखनऊ, दिनांक, 13 दिसम्बर, 2014

**विषय-** विश्व बैंक सहायित प्रो-पुअर टूरिज्म डेवलपमेन्ट प्रोजेक्ट की योजना क्रियान्वयन के सम्बन्ध में।

**महोदय,**

उत्तर प्रदेश में पर्यटन विकास की असीम सम्भावनाओं के दृष्टिगत पर्यटन विकास के माध्यम से उत्तर प्रदेश के पर्यटन स्थलों पर स्थानीय रोजगार में वृद्धि करके गरीबी उन्मूलन के लक्ष्य प्राप्त किये जाने के उद्देश्य हेतु उत्तर प्रदेश पर्यटन विभाग द्वारा विश्व बैंक की सहायता से "प्रो-पुअर टूरिज्म डेवलपमेन्ट प्रोजेक्ट" का प्रस्ताव किया गया है, जिसमें विश्व बैंक के सहयोग से पर्यटक स्थलों पर स्थानीय अर्थव्यवस्था के सुदृढीकरण तथा पर्यटन से जुड़े हुए सभी लोगों के आर्थिक विकास विकास होगा।

2- इस परियोजना के अन्तर्गत उत्तर प्रदेश में स्थित दो महत्वपूर्ण पर्यटन क्षेत्रों, यथा- बुद्धिस्ट सर्किट तथा ब्रज-आगरा कॉरीडोर का चयन किया गया है। इस योजना के मुख्य उद्देश्य निम्नवत् हैं:-

- (क) चयनित पर्यटन स्थलों पर विभिन्न मूलभूत पर्यटक अवस्थापना सुविधाओं का सृजन कर पर्यटकों की संख्या को बढ़ाना तथा पर्यटकों के अनुभव को बेहतर बनाकर आने वाले पर्यटकों के ठहराव को बढ़ाना।
- (ख) चयनित क्षेत्रों के टूरिज्म प्रमोशन, ब्रैन्डिंग एवं सुनियोजित प्रचार-प्रसार हेतु विश्व-स्तरीय रणनीति तैयार कर प्रचार-प्रसार करना।
- (ग) पर्यटन स्थलों पर आने वाले पर्यटकों के द्वारा किये जाने वाले व्यय के माध्यम से स्थानीय अर्थव्यवस्था में योगदान बढ़ाना।
- (घ) पर्यटन व्यवसाय के विभिन्न स्तरों पर कार्य करने वाले असंगठित एवं गरीब सेवा-प्रदाताओं को बेहतर दक्षता-विकास/कौशल विकास प्रशिक्षण के माध्यम से पर्यटन व्यवसाय में उनकी हिस्सेदारी को बढ़ावा देना तथा उनकी आय में वृद्धि करना।
- (ङ) स्थानीय हस्तशिल्प कला/हैण्डिक्राफ्ट तथा स्थानीय सोविनियर आदि को बढ़ावा देना तथा इस क्षेत्र से जुड़े हुये असंगठित एवं गरीब लोगों को यथोचित प्रशिक्षण एवं कौशल विकास आदि की सुविधा प्रदान करना।

उपरोक्त परियोजना के क्रियान्वयन हेतु उत्तर प्रदेश शासन द्वारा इस निमित्त शासनादेश सं0-2784/ 41-2013-99यो0/ 13 दिनांक 11-10-13 निर्गत किया गया है।

4- उक्त के कम में मुझे यह कहने का निदेश हुआ है कि प्रो- पुअर परियोजना की समुचित प्लानिंग, सुपरवीजन एवं मॉनीटरिंग हेतु निम्नानुसार त्रि-स्तरीय ढाँचा, गठित किये जाने का निर्णय लिया गया है-

(क) इम्पावर्ड कमेटी- इस कमेटी की संरचना निम्नवत् है:-

पद	अधिकारी का नाम
अध्यक्ष	मुख्य सचिव, उत्तर प्रदेश
उपाध्यक्ष	अवस्थापना एवं औद्योगिक विकास आयुक्त, उ०प्र०
सदस्य	प्रमुख सचिव/सचिव, वित्त
सदस्य	प्रमुख सचिव/सचिव, नियोजन
सदस्य	प्रमुख सचिव/सचिव, लोक निर्माण विभाग
सदस्य	प्रमुख सचिव/सचिव, व्यवसायिक शिक्षा
सदस्य	प्रमुख सचिव/सचिव, न्याय
सदस्य	प्रमुख सचिव/सचिव, वन
सदस्य	प्रमुख सचिव/सचिव, बाह्य सहायतित परियोजना विभाग
सदस्य	प्रमुख सचिव/सचिव, संस्कृति
विशेष आमंत्रि	आयुक्त, आगरा मण्डल, वाराणसी मंडल, गोरखपुर मंडल, देवीपाटन मंडल
सदस्य/संयोजक	प्रमुख सचिव/सचिव, पर्यटन

इम्पावर्ड कमेटी के प्रमुख कार्य:-

- सभी नीतिगत निर्णय इम्पावर्ड कमेटी द्वारा लिये जायेंगे।
- स्टेट प्रोजेक्ट कोआर्डिनेशन यूनिट तथा टेक्निकल सपोर्ट यूनिट्स के गठन तथा स्टाफिंग पैटर्न को निर्धारित करना।
- परियोजना के लिये वार्षिक कार्य योजना तथा वित्तीय प्रस्ताव/बजट आदि को स्वीकृत/समीक्षा करना।
- परियोजना के लिये विशेष सेवाओं एवं विशिष्ट कार्यों हेतु आई०सी०बी०/एन०सी०बी० के आधार पर कन्सलटेन्ट/कन्सल्टिंग फर्म को हायर करने हेतु स्वीकृति प्रदान करना।
- अन्य विषयों पर नीतिगत निर्णय, जो कि स्टीयरिंग कमेटी द्वारा समय-समय पर संदर्भित किये जायें।
- त्रैमासिक प्रगति समीक्षा करना।
- इम्पावर्ड कमेटी के अध्यक्ष एवं सभी सदस्य पदेन होंगे एवं स्थानान्तरण एवं अन्य कारणों से परिवर्तन की दशा में नवनियुक्त अधिकारी स्वतः सदस्य हो जायेंगे।

(ख) स्टीयरिंग कमेटी- इस समिति की संरचना निम्नवत् है:-

पद	अधिकारी का नाम
अध्यक्ष	प्रमुख सचिव/सचिव, पर्यटन विभाग



सदस्य	सचिव/विशेष सचिव, वाह्य सहायतित् परियोजना विभाग
सदस्य	सचिव/विशेष सचिव, वित्त विभाग
सदस्य/संयोजक	महानिदेशक पर्यटन/चीफ प्रोजेक्ट डायरेक्टर

**स्टीयरिंग कमेटी के प्रमुख कार्य:-**

- एस0पी0सी0यू0 के कार्य योजना/प्रस्तावों को परीक्षण कर इम्पावर्ड कमेटी के समक्ष प्रस्तुत करना।
- प्रोजेक्ट की फास्ट-ट्रैक एवं सतत् मानीटरिंग करना।
- इम्पावर्ड कमेटी के निर्णयार्थ कार्य सूची/विषय सूची तैयार कर प्रस्तुत करना।
- मासिक प्रगति की समीक्षा प्रतिमाह करना। स्टीयरिंग कमेटी द्वारा परियोजना के कार्यों की गुणवत्ता, बेंचमार्क्स, टाइमलाइन एवं परफार्मेंन्स आदि की प्रतिमाह गहन समीक्षा की जायेगी और तदनुसार अपनी आख्या एवं संस्तुति इम्पावर्ड कमेटी को प्रस्तुत करना।
- उपरोक्त कार्यों में स्टीयरिंग कमेटी की सहायता हेतु प्रतिष्ठित संस्था को एस0पी0सी0यू0 के माध्यम से योजित करना।
- परियोजना के लिये वित्तीय प्रस्ताव/बजट आदि के परीक्षणोपरान्त एम्पावर्ड कमेटी को स्वीकृति हेतु प्रस्तुत करना।
- स्टीयरिंग कमेटी के अध्यक्ष एवं सभी सदस्य पदेन होंगे एवं स्थानान्तरण एवं अन्य कारणों से परिवर्तन की दशा में नवनियुक्त अधिकारी स्वतः सदस्य हो जायेंगे।

**(ग) स्टेट प्रोजेक्ट कोआर्डिनेशन यूनिट (एस0पी0सी0यू0) :-**

इस कमेटी की संरचना निम्नवत् है:-

अधिकारी का नाम	पद
महानिदेशक पर्यटन	चीफ प्रोजेक्ट डायरेक्टर
प्रतिनियुक्त पर भारतीय प्रशासनिक सेवा के विशेष सचिव स्तर के अधिकारी, जो इकोनॉमिक्स/फाइनेन्स अथवा मैनेजमेन्ट बैकग्राउण्ड के हों अथवा जिसे वाह्य सहायतित् परियोजनाओं में कार्य करने का पूर्व अनुभव हो।	एडिशनल चीफ प्रोजेक्ट डायरेक्टर (एस0पी0सी0डी0)
पर्यटन विभाग के नामित अधिकारी	प्रोजेक्ट डायरेक्टर
वित्त नियंत्रक, पर्यटन विभाग	वित्त नियंत्रक
लेखाकार/कम्प्यूटर ऑपरेटर /आई0टी0 एवं ब्रैन्डिंग विशेषज्ञ/आफिस असिस्टेन्ट/स्टोर कीपर/अन्य सपोर्टिंग स्टाफ	संविदा पर अथवा आउट सोर्सिंग के माध्यम से
विभिन्न क्षेत्रों के विशेषज्ञ (मिरर टीम)	विशेषज्ञ सदस्य-संविदा पर अथवा आउट सोर्सिंग के माध्यम से
उपरोक्त के अतिरिक्त महानिदेशक, पर्यटन/चीफ प्रोजेक्ट डायरेक्टर के द्वारा कार्य की आवश्यकतानुसार अन्य विभागीय अधिकारियों को इसमें योजित किया जा सकेगा।	

**स्टेट प्रोजेक्ट कोआर्डिनेशन यूनिट (एस0पी0सी0यू0) के प्रमुख कार्य:-**

- प्रोजेक्ट के प्रधान सचिवालय अथवा कार्यालय के रूप में एस0पी0सी0यू0 कार्य करेगा। इसका कार्यालय लखनऊ में होगा। एस0पी0सी0यू0 द्वारा कार्यालय के सपोर्टिंग स्टाफ को आउटसोर्सिंग के माध्यम से योजित/अनुबन्धित किया जाएगा।
- इम्पावर्ड कमेटी द्वारा निर्णय लिये जाने हेतु आवश्यक प्रस्ताव/कार्यसूची तैयार कर उपलब्ध कराना।
- परियोजना के लिये विशेष सेवाओं एवं विशिष्ट कार्यों हेतु आई0सी0बी0/एन0सी0बी0 के आधार पर कन्सलटेन्ट/कन्सलटिंग फर्म को हायर किया जाना।
- प्रचार प्रसार एवं प्रशिक्षण सामग्री के प्रकाशन का कार्य करना।
- एस0पी0सी0यू0 के समस्त वार्षिक कार्य योजना/प्रशासनिक/वित्तीय प्रबन्धन की स्टीयरिंग कमेटी के माध्यम से इम्पावर्ड कमेटी के समक्ष प्रस्तुत कर अनुमोदित कराना।
- परियोजना के क्रियान्वयन हेतु क्षेत्रीय स्तर पर स्थापित होने वाले टेक्निकल सपोर्ट यूनिट्स की मासिक प्रगति की समीक्षा करना। परियोजना के कार्यों की गुणवत्ता, बेंचमाक्स, टाइमलाइन एवं परफार्मेंस आदि की प्रतिगाह गहन समीक्षा करना। मॉनीटरिंग हेतु आधुनिक तौर-तरीकों, तकनीक एवं आई0टी0 आदि का प्रयोग करना।
- क्षेत्रीय स्तर पर परियोजना के तकनीकी सलाह/पर्यवेक्षण हेतु टेक्निकल सपोर्ट यूनिट की व्यवस्था हेतु एम्पावर्ड कमेटी से अनुमति प्राप्त करना।
- एस0पी0सी0यू0 की बैठक माह में एक बार अवश्य आहूत की जाएगी तथा आवश्यकता पड़ने पर अतिरिक्त बैठक भी बुलाई जा सकती है।
- एस0पी0सी0यू0 के चीफ प्रोजेक्ट डायरेक्टर एवं सभी सदस्य पदेन होंगे एवं स्थानान्तरण एवं अन्य कारणों से परिवर्तन की दशा में नवनियुक्त अधिकारी स्वतः सदस्य हो जायेंगे।

5- क्षेत्रीय स्तर पर परियोजना के क्रियान्वयन/पर्यवेक्षण हेतु टेक्निकल सपोर्ट यूनिट का गठन आगरा, मथुरा, सारनाथ, कुशीनगर एवं श्रावस्ती में सम्बन्धित मण्डलायुक्त की अध्यक्षता में किया जाना प्रस्तावित है। टी0एस0यू0 के गठन हेतु एम्पावर्ड कमेटी अधिकृत होगी। इस हेतु एस0पी0सी0यू0 द्वारा परियोजना के क्रियान्वयन के समय आवश्यकतानुसार टी0एस0यू0 के गठन का प्रस्ताव स्टीयरिंग कमेटी के माध्यम से एम्पावर्ड कमेटी के अनुमोदनार्थ प्रस्तुत किया जायेगा।

6- इस परियोजना (प्रो-पुअर टूरिज्म डेवलपमेण्ट परियोजना) के एस0पी0सी0यू0 में विश्व बैंक के अपेक्षानुसार निम्नलिखित विशेषज्ञों को परियोजना की आवश्यकतानुसार निर्धारित समय के लिए हायर-बेसिस पर योजित/अनुबन्धित किया जाना प्रस्तावित है:-

क्र0 सं0	कन्सलटेन्ट/एक्सपर्ट का नाम
1	टूरिज्म स्पेशलिस्ट
2	मानिटरिंग एण्ड इवैलुएशन स्पेशलिस्ट

3	प्राइवेट सेक्टर डेवलपमेंट स्पेशलिस्ट
4	इनवायरमेंटल स्पेशलिस्ट
5	सोशल डेवलपमेंट स्पेशलिस्ट
6	फाइनेन्शियल मैनेजमेंट स्पेशलिस्ट
7	डेवलपमेंट प्लानर
8	प्रोक्योरमेंट स्पेशलिस्ट
9	इन्फार्मेशन एण्ड ट्रेनिंग स्पेशलिस्ट
10	आईटी सेक्टर स्पेशलिस्ट

विभिन्न क्षेत्रों के उपरोक्त विशेषज्ञों को विश्व बैंक की गाइडलाइन्स के अनुसार अनुबन्धित किया जायेगा। प्रतिनियुक्ति पर शासनादेश संख्या-जी-1-142/10-2011-204/1999 दिनांक 26.5.2014 के अनुसार ही प्रतिनियुक्ति भत्ता दिया जायेगा। संविदा पर 10,000 ग्रैंड पे+H.R.A.+C.C.A. के कुल योग को नियत करके परिलब्धियाँ अनुमन्य होंगी। EoI/ Bid प्रक्रियाके माध्यम से योजित किये जाने पर उनकी परिलब्धियाँ टेक्निकल बिड एवं फाइनेन्शियल बिड के आधार पर नियमानुसार न्यूनतम दर पर नियत की जायेंगी। उपरोक्त विशेषज्ञों को प्रतिष्ठित कन्सल्टेन्सी फर्मों के माध्यम से अथवा पृथक से विषय-विशेषज्ञ के रूप में योजित किया जा सकेगा। एस0पी0सी0यू0 के अन्य लोअर सपोर्टिंग स्टाफ की परिलब्धियाँ तथा सेवा शर्तें एस0पी0सी0यू0 के द्वारा स्वयं निर्धारित की जाएंगी।

7- इस परियोजना के कार्यों का क्रियान्वयन संबंधित विकास प्राधिकरणों के माध्यम से कराये जाने का निर्णय लिया गया है, जिससे कार्योंपरान्त सृजित परिसम्पत्तियों का दीर्घकालिक अनुरक्षण एवं रख-रखाव सुनिश्चित किया जा सके। उल्लेखनीय है कि वित्त विभाग द्वारा विहित कार्यदायी संस्था के रूप में विकास प्राधिकरणों को चिन्हित नहीं किया गया है। अतः इस परियोजना के अन्तर्गत कार्य कराये जाने हेतु विकास प्राधिकरणों को कार्यदायी संस्था के रूप में नामित करते हुये रु0-10.00 करोड़ से अधिक के कार्य कराये जाने हेतु अधिकृत किया जाता है।

8- योजना के कार्यक्षेत्र में प्रमुखतः आगरा, मथुरा, सारनाथ, कुशीनगर एवं श्रावस्ती सम्मिलित हैं। श्रावस्ती को छोड़कर अन्य स्थलों पर विकास प्राधिकरण/विशेष क्षेत्र विकास प्राधिकरण उपलब्ध हैं, किन्तु श्रावस्ती में कोई विकास प्राधिकरण/विशेष क्षेत्र विकास प्राधिकरण नहीं है। श्रावस्ती में पर्यटन की इन्फ्रास्ट्रक्चर परियोजना के निर्माण के लिये उ0प्र0 आवास विकास परिषद को कंसल्टेशन एजेन्सी के रूप में कार्य करने हेतु चयनित कर लिया जाय। आवास विकास परिषद राज्य सरकार की एक प्रीमियम कंसल्टेशन एजेन्सी है, और बहुत से सरकारी विभागों का डिपॉजिट कार्य पूरी गुणवत्ता के साथ इनके द्वारा किया जा रहा है। अतः यह कार्य आवास विकास परिषद को कंसल्टेशन एजेन्सी के रूप में दिया जाना उचित रहेगा। पर्यटन के कार्यों के लिये डिविजनल कमिश्नर की अध्यक्षता में जो समिति गठित है, वह इन कार्यों की मानीटरिंग आदि करेगी।

9- 300 मिलियन यू0एस0 डालर की इस परियोजना के अन्तर्गत 70 प्रतिशत विश्व बैंक द्वारा 210 मिलियन यू0एस0 डालर का ऋण भारत सरकार से माध्यम से राज्य सरकार को

उपलब्ध कराया जायेगा तथा शेष 30 प्रतिशत 90 मिलियन यू0एस0 डालर के समतुल्य राशि राज्य सरकार द्वारा वहन किया जायेगा।

10- परियोजना हेतु राज्य सरकार के द्वारा विभागीय वार्षिक आय-व्ययक में प्रतिवर्ष आवश्यकतानुसार धनराशि का प्राविधान स्वीकृत किया जायेगा। परियोजना का क्रियान्वयन राज्य सरकार द्वारा नियमित रूप से सुनिश्चित कराया जायेगा तथा परियोजना के अन्तर्गत लोन-फाइनेन्सिंग एवं री-इम्बर्समेन्ट आदि की कार्यवाही विश्व बैंक की गाइड लाइन एवं लोन-एग्रीमेन्ट के अनुसार सुनिश्चित की जायेगी।

कृपया प्रश्नगत योजना के क्रियान्वयन हेतु आवश्यक कार्यवाही सुनिश्चित करने का कष्ट करें।

भवदीय,  
  
(अमृत जीभेजात)  
सचिव।

## Annex 4 – Minimum Scope of Work and Responsibilities of SPCU Officials and Specialists

### Chief Project Director (CPD)

The CPD is responsible for the overall project implementation, compliance and accountability. His/her primary responsibilities are *inter alia* to:

- Take all necessary actions to ensure that the project meets its development objectives in a timely and quality manner as per the Project Appraisal Document and other project documentation.
- Ensure that all statutory requirements are complied with by the project.
- Take necessary steps to ensure that all project personnel perform their assigned responsibilities and their adherence to the POM, PPM, PFM and other applicable guidelines under the project.
- Represent the project with the state government, central government, the Bank and other agencies.
- Carry out the directions of the EC and the SC.
- Coordinate with the FC for funds planning and releases to IEs for smooth project implementation.
- Approve project expenditure, contract award and payments as per the delegation of procurement and financial powers (see PPM and PFM for procurement and financial management powers delegated to the CPD).

### Additional Chief Project Director (ACPD)

The ACPD is responsible for facilitating any hiring, reviews, approvals and coordination required for the project smooth implementation. S/he will directly support the PD and project team on behalf of the CPD, as designated by the latter.

### Project Director (PD)

The PD is an officer of the DoT and is in charge of the day to day project implementation, compliance and monitoring as well as management of its personnel. His/her primary responsibilities are *inter alia* to:

- Review and finalize the Annual Procurement Plan, Quarterly Work Plans and other related documents.
- Ensure all documents and reports to the state government, central government, the Bank, and other agencies are sent in time and coordinate with implementation support missions of the Bank. Ensure that action points agreed with the Bank are acted upon in a timely manner.
- Liaise between the project and government, the Bank, and external agencies on technical issues.
- Issue agenda papers, minutes of project meetings including SC and EC.
- Assign and monitor work of SPCU specialists and TSUs.
- Take immediate action to resolve any complaints received.
- Advise IEs and TSUs in various matters relating to project implementation.

- Conduct regular review meetings to monitor project progress.
- Approve project expenditure, contract awards and payments in accordance with powers delegated to him/her (see PPM and PFM for procurement and financial management powers delegated to the PD).
- Review IE/TSU meeting minutes and reports to keep track of the project progress and issues at the destinations and subproject/activity level.
- Exercise the administrative powers vested in him/her under the GoUP laws and regulations.
- Initiate improvements in internal processes and administrative and implement them.
- Conduct quality control of the work of the IEs, SPCU and TSUs specialists and issue instructions in case of non-performance.
- Bring to the notice of the CPD as well as the Bank any issues in project implementation, compliance and accountability, and take action as directed.
- Coordinate with implementation support missions of the Bank.

### **Finance Controller (FC)**

The FC is responsible for all financial management and accounting aspects of the project. He is also responsible to ensure that the necessary internal controls are present and performing. Specific responsibilities of the FC are given in detail in **Section 4.2 of the PFM**.

The CPD, PD and FC are assisted by a pool of specialists at the SPCU. All specialists will report directly to the PD, and will provide outputs by way of monthly reports, technical preparation/supervision, reports, reviews on various documents and other environmental matters related to the project. S/he may also report to the World Bank, as needed.

The overall responsibilities and detailed tasks of the SPCU specialists are as follows:

### **Project Coordinator (PC)**

The Project Coordinator at the SPCU, a technical specialist, directly supports the PD and supports the technical teams at the SPCU and TSUs in the day to day management of the project technical aspects. His/her primary responsibilities are *inter alia* to:

- Coordinate on a daily basis with the project personnel at DoT and at the IEs, the specialists at SPCU and the TSU for effective project planning, implementation and monitoring.
- Assist the PD in carrying out any technical related directions of the EC and the SC.
- Closely monitor the project activities on a regular basis and report any technical issues to the PD for timely action.
- Assist the PD and the FC in project financial management and funds planning for IEs for smooth project implementation.
- Provide technical guidance and support to the project personnel at all levels in performing project activities.
- Organize training to project personnel at various levels, as needed.

- Ensure that all project personnel submit the necessary technical reports as prescribed.
- Regularly review the project progress and advise the PD for initiating necessary action for addressing delays and bottlenecks in project progress.
- Assist the PD and FC in revising the Annual Procurement Plan, Quarterly Work Plans, Annual Budget and other documents and reports.
- Prepare agenda papers, minutes of project meetings.
- Monitor work of IEs, SPCU and TSUs specialists.
- Ensure that all project documentation is maintained as prescribed and is up to date.
- Assist the PD in duly preparing all reports to the state government, central government, the Bank, and other agencies on time.

### **Procurement Specialist**

The Procurement Specialist is primarily responsible to ensure the compliance of all procurement activities under the project with the Bank's Procurement Guidelines and the procurement provisions of the Financing Agreement and the PPM. S/he will also ensure that internal control mechanisms are properly implemented and that the IEs also comply with the procurement arrangements agreed for the project.

Specific tasks are *inter alia*:

- Develop Procurement Plans, update them as necessary and establish a procurement management system for monitoring the progress of procurement activities.
- Draft and arrange the publication of General Procurement Notice, Requests for Expression of Interest and Specific Procurement Notices in accordance with Bank Guidelines and specific requirements of the Loan Agreement.
- Prepare customized bidding documents and request for proposals for consultants services, using the agreed Standard Bidding Documents (SBD). All international biddings will require use of SBDs issued by the World Bank.
- Review bidding documents and requests for proposals to ensure their conformity with the agreed formats and their adequacy for the type of works, goods and consultant services being procured.
- Provide expert advice on strategic procurement decisions such as procurement method, size and composition of lots of goods and or works, delivery schedules, delivery terms, employment of consulting firms and individuals.
- Assist other specialists in the preparation of terms of reference, evaluation criteria and methodology, delivery terms and other technical and commercial conditions to ensure overall consistency within the bidding documents, conformity with prevailing industry standards or local conditions and with current market conditions.
- Initiate the procurement process, and assist the SPCU in the establishment of shortlists for consultants' services.

- Coordinate the timely forwarding of procurement communications and documentation to the Bank, where "no objection" is required and maintain records of such communications.
- Ensure timely response to requests for clarifications by bidders.
- Provide assistance to the Evaluation Committee for the preparation of bid opening, pre-bid meeting and of evaluation reports in the standard formats of the Bank.
- Oversee preparation and finalization of draft contracts documents, and for their submission to the Bank for review and no-objection for prior review cases.
- Ensure the timely distribution of all final procurement and contract documents to interested parties (IEs, Financial Controller, technical staff, and the Bank) as applicable.
- Advise and assist the SPCU and other IEs in key aspects of contract management for goods, works, non-consultancy services and consultant services including: (i) receipt and acceptance of goods and equipment; (ii) variation orders, extensions of time and other contractual matters affecting the cost and/or the duration of the works.
- Oversee the establishment and maintenance of a central procurement filing system in the SPCU, including complete documentation of the procurement process for all contracts.
- Establish and maintain a detailed database of technical specifications, prices and other relevant information of major items procured.
- Establish and maintain a database of suppliers and contractors qualified for procurement of goods, works and non-consulting services under the shopping method.
- Carry out any other procurement and contract management related duties requested by the SPCU.
- Perform such other tasks as the PD may direct from time to time for proper implementation of the project.
- Ensure safe keeping of all procurement related records as per Bank Guidelines for at least two years after completion of the Bank funded project or later time if required.

### **Financial Management Specialist**

The Financial Management Specialist is primarily responsible to handle/provide support in all accounts and financial matters pertaining to the project including financial sanctions, annual budget estimates, ensuring timely release of funds to IEs, monitoring of expenditure re-imburement from the Bank, audit (external/ internal) and audit follow-up. S/he will ensure adherence of all agencies to the Project Financial Management Manual, and will work under the FC of the DoT.

Specific tasks are *inter alia*:

- Assist the project in the preparation and consolidation of annual and revised budget estimates for the project and ensure that activities are budgeted under appropriate budget codes to facilitate generation of financial reports.



- Ensure satisfactory accounts maintenance and update by the IEs, including regular reporting to SPCU.
- Review project costing, expenditures, claims and disbursements and reconcile with information from Client Connection (Bank website).
- Visit subproject locations periodically for the purposes of monitoring, training, review of book-keeping and reporting arrangements. Report to the FC and PD on issues and challenges.
- Monitor expenditure and receipt of IFRs from the IEs and prepare consolidated IFRs and reimbursement claims to be sent to the Controller of Aid, Accounts and Audit (CAAA)/the Bank.
- Monitor adequate staff capacities, skills and resources at the IEs/TSUs for accounting and financial management. Provide/facilitate timely training to the finance staff in the IEs and TSUs.
- Monitor adherence to the POM, PPM, PFM and other applicable guidelines and bring any deviations to the notice of the FC.
- Prepare consolidated Project Financial Statements.
- Prepare various interim financial reports for submission to various authorities and the Bank.
- Manage the internal and statutory audits of the project and follow up on compliance of audit observations.
- Follow up with IEs in getting the accounts/financial statements and statements of expenditure of the project audited in a timely manner.
- Provide training in project financial and accounting matters to the TSU and IE accounting teams from time-to-time.
- Assist the FC in discharging his responsibilities under the project.
- Perform such other tasks as the PD and the FC may direct from time to time for proper implementation of the project.

### **Environment Specialist**

The Environment Specialist is primarily responsible to coordinate the preparation of the ESMF and all related documents for the project and ensure that the Bank standards and safeguards procedures are duly followed.

Specific tasks are *inter alia*:

- Supervise the work and provide advisory and technical support to the IEs and TSUs on aspects pertaining to environment under the project.
- Coordinate with the DoT and IEs at state and local levels, and any expert consultants, provide advice on the environmental aspects to be considered during design and implementation phases of various subprojects to be financed under the project.
- Review the Environmental Assessment Reports and other related documents with regard to their compliance with the ESMF, various environmental issues and the adequacy of management measures and provide necessary guidance in improving the reports prior to forwarding to the Bank for necessary clearance and approval.

- Coordinate with the IEs and provide necessary support in securing regulatory clearances such as Environment, Forest, or consents from UP Pollution Control Board and other agencies.
- Carry out monthly visits to subproject implementation sites to monitor as well as to provide onsite guidance to the IEs and the contractors on the implementation of respective Environmental Management Plans and the ESMF.
- Participate in progress review meetings of the SPCU and provide advice on environmental aspects during implementation.
- Coordinate with the quality auditors and other consultants/ agencies of the project (both at SPCU and at IEs) and ensure that the environmental aspects related to the task of respective agencies are performed in compliance with the ESMF.
- Maintain a data base in a standard form, on the status of various environmental activities of the project (clearances, compliances, Environment Assessment reports, progress reports, etc.) and update the same on a regular basis.
- Prepare and submit monthly progress reports to the PD and quarterly progress reports to the Bank, on all the aspects related to environmental management of the project.
- Function as a nodal-point of contact at the SPCU and for other external agencies, including the Bank, and provide all support on environmental matters for the successful implementation of the project.
- Follow up with the IEs and other agencies in addressing various environmental safeguard actions agreed during the Bank missions from time to time, and provide timely update to the SPCU, other key stakeholders and the Bank.
- Perform such other tasks as the PD may direct from time to time for proper implementation of the project.

### **Social Development Specialist**

The Social Development Specialist main functions and responsibilities are to ensure that social issues and social management activities are mainstreamed into the designs and plans prepared at the individual subproject level. S/he will be responsible for ensuring that the project's ultimate social impacts are achieved as expected, as well as any adverse ones are effectively and timely mitigated or avoided. S/he will look into the social aspects of various project activities and advise the SPCU and the implementing entities in their execution.

Specific tasks are *inter alia*:

- In conjunction with the Environmental Specialist provide necessary guidance and support to the project Field Officers in the preparation and implementation of Social Management Plans (SMP), including Resettlement Action Plan (RAP), where required at the subproject level. The Social Development Specialist will ensure that SMPs prepared at the subproject level conform to the agreed Environmental and Social Management Framework (ESMF), which will be detailed out in the Integrated Social and Environmental Assessment (ISEA) Report to be carried out as part of the project preparation.

- Guide those undertaking ISEA and review the reports prepared by them. SD will ensure that the ISEA and ESMF are prepared in accordance with the World Bank's safeguard policies, Government of India (GoI) and Government of Uttar Pradesh (GoUP) such that these social concerns are minimized and are addressed adequately.
- Ensure that stakeholders' consultations are undertaken during the process of social assessment and preparation of SMPs and they are properly involved in their implementation.
- Undertake monthly field visits, to the subprojects financed under the project, to assess how social issues are being addressed at the subproject level.
- As part of the field visits, hold discussions with the stakeholders including the affected people, if any and other stakeholders and guide them in addressing social issues with particular reference to resettlement and rehabilitation, poor and vulnerable groups and gender development.
- Periodically assess the completeness and appropriateness of the SMPs/RAP implementation at the subproject level.
- Report to the Director of the SPCU any specific issue that needs to be resolved at the project and state level with respect to social issues of the project.
- Determine compliance of the SMPs prepared at the subproject level with the agreed ESMF including R&R policy framework and strategies for the poor and gender development.
- Interact and coordinate within the Tourism and other related agencies, particularly those dealing with development schemes for poor people and women to ensure dovetailing their programs for the benefit of these vulnerable sections.
- Coordinate in preparing information and education material on the project and SMPs (project information, ESMF, R&R policy and development strategies for the poor and gender) in the form of booklets, brochures, pamphlets, posters, videos etc. for wider dissemination among the stakeholders and those interested in project activities
- Develop monitoring and reporting formats to be used by the IEs and subproject offices.
- Prepare regular monitoring reports for the social parameters at the frequencies prescribed in the ESMF of the project.
- Review the monitoring reports prepared at the SPCU and IE levels by the external M&E agency on the planning and implementation of SMPs including RAPs. Based on these reviews:
  - (i) identify deviations, if any, in planning and implementing social management measures;
  - (ii) suggest improvement, if any, in SMPs and their implementation at the subproject level;
  - (iii) identify good practices, in planning, implementation and monitoring of SMPs, at the at the subproject level and document them; and
  - (iv) disseminate good practices to the project functionaries and evolve mechanisms to replicate them.
- Prepare 'case studies' based on the reviews of monitoring reports and sample survey of the selected subprojects and document procedures adopted, problems faced and good practices in planning and implementing SMPs.

- Organize periodical meetings (at subproject and IE levels) with the project staff to review the progress in planning and implementation of SMPs, assess problems and difficulties, if any and suggest corrective measures.
- Assess training needs of the project staff with regard to SMP activities.
- Prepare annual plans for training and capacity building of the project functionaries on social issues associated with the project, ensure implementation in coordination with identified training agencies and extend help to organize training programs.
- Have regular interactions with the World Bank task team on SMPs of the project.
- Any other responsibility assigned by the project with regard to social issues of the project.

### **Civil Engineer**

The Civil Engineer is primarily responsible to support the project in the design, planning and implementation of physical works, and engaging with state sector departments and local agencies for convergence of the project components within the area of spatial, infrastructure, socio-economic and tourism development and heritage management plans.

Specific tasks are *inter alia*:

- Assist in criteria-based identification and prioritization of investment packages in the destination, in the perspective of the Project Development Objective (PDO) and aspirations of the people in the selected destinations under the project.
- Provide technical inputs in supervising and reviewing the plans/DPRs/costing/ /engineering drawings and designs etc., prepared for the selected destinations under the project. The Civil Engineer will work closely with the DAs at each destination on construction-related activities.
- Coordinate with various state departments and parastatals for convergence of project interventions with their development and service delivery plans.
- Support the local implementing entities in convening partnerships with various stakeholders for the preparation of inclusive tourism/area development plans/DPRs for the project investments in the destinations, in the perspective of its city development plans.
- Support the local teams in the implementation of subprojects on the ground and monitoring for quality and impact.
- Have regular interactions with the Bank task team on monitoring of the project.
- Support missions commissioned by the state authorities and the Bank.
- Accomplish other tasks related to project preparation, implementation, monitoring and evaluation as per the needs of the project.
- Perform such other tasks as the PD may direct from time to time for proper implementation of the project.

### **Monitoring and Evaluation Specialist**

The Monitoring and Evaluation Specialist is primarily responsible for the establishment and management of a robust monitoring, research and evaluation system with well-defined

results, milestones and targets for the implementation of the project and its smooth functioning.

Specific tasks are *inter alia*:

- Establishing and managing a Monitoring and Information System with clear-cut goals, outcomes, outputs, inputs, processes, indicators, data needs and sources, and reporting formats and frequency, for effective monitoring, reporting and updating progress of the project.
- Developing a comprehensive baseline of infrastructure provisions, basic services and socio-economic conditions in the target areas and collecting periodic data and information against the baseline to assess and report on the overall development of these areas. Baseline data will be collected through survey and review of existing information.
- Developing the MIS for the project with performance indicators and targets embedded in the system for implementation and tracking.
- Assisting DoT and SPCU/TSUs specialists in overall data collection and monitoring of the project.
- Coordinating closely with DoT and the IEs for data planning, identification of data sources, and collection of data for monitoring purposes.
- Preparing periodic progress reports on the project with the support of SPCU/TSU specialists and in close coordination with the IEs.
- Monitoring and following up progress on various proposals, meetings, reports, working papers etc., with concerned authorities.
- Identifying key issues, lessons learned and best practices in the project implementation and organising research and documentation.
- Organising and conducting mid-term and post-project evaluations of the project.
- Perform such other tasks as the PD may direct from time to time for proper implementation of the project.

### **Urban Development Planner/ Landscape / Heritage Conservation Specialist**

The Urban Development Planner/Landscape/ Heritage Conservation Specialist will be primarily responsible for spatial planning and advising on developing sites and circuits in the project areas as well as identifying opportunities for creating tourist attractions.

Specific tasks are *inter alia*:

- Support project planning and supervision of preparation of DPRs, keeping in view the specific requirements of the area being developed and the intended communities.
- Ensure that the designs, layouts, plans etc., are of acceptable standards.
- Operationalizing the DPR - ensuring connectivity with city wide infrastructure facilities especially in areas of heritage and landscape conservation and urban community assets.
- Activity planning and scheduling to avoid time and cost over runs and monitoring physical progress.

- Design and monitor implementation of integrated development plan, Detailed Project Reports etc., with focus on conservation of landscapes, heritage assets, slum development, and provision of infrastructural facilities to urban poor, etc.
- Assistance to IEs/TSUs in obtaining requisite clearances; detailed planning of implementation; material and supply chain management; quality assurance and benchmarking, etc.
- Advise on issues of sustainability of created assets, and other social and institutional risks at destination level.
- Perform such other tasks as the PD may direct from time to time for proper implementation of the project.