

ASIAN DEVELOPMENT BANK

TA 7055-IND: Capacity Development of National Capital Region Planning Board (NCRPB) –
Package 1 (Components A and C)

Human Resource Management Plan

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ACRONYMS

AD	Assistant Director
ADB	Asian Development Bank
DPC	Departmental Promotion Committee
DoPT	Department of Personnel and Training
DPR	Detailed Project Report
ERP	Enterprise Resource Planning
F&AO	Accounts & Finance Officer
HR	Human Resource
HRD	Human Resource Development
HUDCO	Housing and Urban Development Finance Corporation
IDFC	International Development Finance Corporation
IAS	Indian Administrative Service
JBIC	Japan Bank of International Cooperation
JD	Joint Director
IL& FS	Infrastructure Leasing and Finance Services
MIS	Management Information System
MoU	Memorandum of Understanding
M & E	Monitoring & Evaluation
MS	Member Secretary
MoUD	Ministry of Urban Development
NCRPB	National Capital Region Planning Board
NCT	National Capital Territory
NCR	National Capital Region
PMC	Project Management and Coordination
PFC	Project Finance Corporation
TA	Technical Assistance
UP	Uttar Pradesh

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1 Introduction

NCRPB is planning to expand its project planning, development and financing activities. Regional Plan 2021 estimates that the investment required to implement the plan will be about Rs. 3,00,000 crore. Apparently, its project planning, development and financing activities need to be expanded for implementation of the Regional Plan 2021. Moving in this direction, NCRPB is planning to support Rs. 15,000 crore of projects under the Eleventh Five Year Plan ending in 2012. This requires effective and efficient organisational performance¹. Organisational performance is contingent upon:

- i. Matching of human resources – the staff – with activities to be carried out for implementation of the plan; and
- ii. Organisational culture

Matching of human resources with the activity mix entails that the knowledge and skills as also the attitudes of the staff at all levels must be in conformity with the functions required to be performed. Mismatch between the competence of the staff and the organisational mission gives rise to performance discrepancies that could be at (a) an individual level, (ii) group level, and (iii) organisational level. Matching the human resources with activity mix does not only mean having right type of functionaries in the organisation but also to have right number of accomplished staff. Organisational culture constitutes another important variable for organisational performance. A host of factors are instrumental in determination of organisational culture. These include rights and responsibilities, codes of behaviour, value system, rituals, power and power relationships and leadership. These accompanied by organisational rules and their enforcement create organisational culture. Besides these, organisational performance is also impacted by the external environment within which an organisation works.

Part I of the Report on Human Resource Gap Analysis has identified human resource gaps in NCRPB on the basis of staffing in relation to its existing functions and organisational structure for performance of the existing functions also in relation to anticipated functions flowing from especially from the scenario perceived in its Business Plan. Human resource gap has been identified under two different options. Option I contains analysis of human resource gap under the traditional system of creation of posts and recruitment on the created new positions. Option II, on the other hand, is based on minimal recruitment and outsourcing of the required expertise as and when needed. Option II has been especially suggested in view of constraints on creation of substantial number of positions in the contemporary regime of right sizing of government departments and public organisations.

This report (Part II) deals with Human Resource Management and Development Plan. It, therefore, discusses human resource management with respect to (i) human resource planning, (ii) recruitment, (iii) promotion, (iv) human resource development, (v) performance management, and (vi) institutional incentives.

1.1 Human Resource Planning

Human resource planning, also called workforce planning connotes the initiative for having “the right number of people with the right skills, experiences, and competencies in the right jobs at the right time.” This simplistic definition of human resource planning provides a framework for making staffing decisions on the basis of organisation’s mission, strategic plan, budgetary resources, and a set of desired workforce competencies. The process of workforce planning involves analysis of present workforce competencies; identification of competencies needed in the future; comparison of the present workforce to future needs for

¹ While the term ‘effective’ means achieving the intended organisational goals, ‘efficient’ connotes use of relatively fewer resources in accomplishment of organisational goals

identifying competency gaps and surpluses; preparation of plans for building the workforce needed in the future; and an evaluation process to assure that the workforce competency model remains valid and that the objectives are being met. This process is simple in outline but depends on rigorous and comprehensive analysis of the organisation's work, workforce, and strategic direction. Human resource planning thus provides strategic basis for making human resource decisions. It allows an organisation to anticipate change rather than being surprised by events. It also provides strategic methods for addressing present and anticipated workforce issues.

Human resource planning involves forecasting the human resources needs of an organisation and planning the necessary steps for meeting these needs. Human resource planning is thus the first basic step that an organisation is required to take for management of its human resources. In order to be meaningful, planning for human resources has to be linked to strategic objectives and mandated functions of the NCRPB. In Part I of this report, human resource needs have been identified by taking into account (i) the functions mandated for the NCR under the NCRPB Act, 1985, (ii) gaps in the existing organisational structure for performing the mandated functions, and (iii) the business plan for the NCR.

These three factors have been taken into account to identify the human resource gap for the NCRPB. In order to address the human resource gaps, 25 new positions have been proposed to fill this gap under Option I. The largest gap of 12 is in the Planning Wing of the NCRPB. As the PMC is virtually non-existent, the total number of staff suggested for giving a proper shape and capability to PMC is six. In Finance Wing, the proposed number of positions is five. Nine positions are proposed for the support staff. NCRPB needs to plan for recruitment of the suggested additional staff. However, all these positions need not be filled up in one go; it needs to plan recruitment in stages because the additional positions would be needed according to scaling up in the Board's activities as visualised and suggested in the Business Plan. The expected scaling up of NCRPB activities and operations and the staffing requirement for these are depicted in Annex I. This suggests that planning for recruitment on the proposed positions will have to be in phases as mentioned in Table 1 given below.

Table 1: Human Resource Recruitment Planning

Sections/Wings	Recruitment			
	Till 2010	2010 -12	After 2012	Total
1. Legal Advisor	1	-	-	1
1. Planning	-	Joint Director, (Planning) - 1 Deputy Director - 5	Deputy Director, (Project Planning) - 1 Asstt. Director - 5	12
2. Finance	Deputy Director, (Internal Audit) - 1	Joint Director, Finance – 1 Asstt Director, Finance - 1	Accounts Assistants 2	5
3. PMC	Joint Director - 1	Deputy Director - 3	Asst Director - 2	6
4. Administration	-	Asstt. Director, MIS, ERP- 1	-	1
Total	3	12	19	25

1.2 Rationale for Phasing

1.2.1 Phase I (Till 2010)

Activities and operations of the NCRPB form the basis for human resource planning and recruitment in stages. By the end of this year (2009), NCRPB would need to fill up all the positions that are presently vacant. HR gap analysis has shown that presently NCRPB has three conspicuous gaps that need to be addressed upfront before 2010. These are mentioned below:

1. NCRPB does not have internal financial control through a system of internal audit.
2. The Board does not have legal expertise so that it is not in a position to ensure compliance of the State Governments with provisos in the NCRPB Act 1985.
3. Project Management and Coordination Wing is too weak to augment the number of projects for financing and implementation of the Regional Plan 2021.

NCRPB, therefore, need to plan for recruitment on these positions such that these positions are filled up before the end of the year 2010.

In the second stage from 2010-12 that coincides with the medium term strategy suggested in the Business Plan, NCRPB would need to strengthen its Planning, Finance, PMC and administration functions. Planning Wing would need to be strengthened by acquiring skills in Project Planning that is weak at the moment. Due to lack of skill in this area, NCRPB has not been in a position to expeditiously get the Sub-Regional Plan prepared by the participating states. For effective plan implementation Sub-Regional Plans would need to be disaggregated into Project Plans. Formulation of Project Plans will also help PMC of NCRPB in augmenting the development of projects. Hence the position of Joint Director, Project Planning would need to be filled up during this period (2010-12).

1.2.2 Phase II (2010 – 2012)

Regional Plan 2021 is due for review in the year 2010. As the next Census is to be held only in 2011, Census data would not be available for the proposed review of the Regional Plan. Census data for the 2011 Census, hopefully, will be available only towards the end of 2012. Effective plan review will, therefore, begin only after the availability of Census data. NCRPB will, therefore, have to augment the number of planners in its Planning Wing for Plan review. Recruitment of the proposed additional Deputy Directors will, therefore, have to be completed by the end of 2012.

In the sphere of financing of plan implementation, the Business Plan visualises and suggests a number of interventions by the NCRPB. These are mentioned below:

- Implement the ERP and GIS systems;
- Sanction assistance to projects appraised under the framework developed under the ADB TA;
- Supplement NCRPB resources by sourcing long-tenor funds from other multilaterals such as World Bank, KfW and JBIC;
- Diversify the lending product offerings;
- Memorandum of Understanding (MoU) with other lenders such as PFC, HUDCO, IDFC, IL&FS and REC for co-financing projects in the region; and
- NCRPB should provide services towards project supervision post financial closure.

These have important implications for augmentation of staff. Staffing proposed for NCRPB for bridging the human resource gap in the existing situation and in anticipation of scaling up its activities is contained in Annex 1. A summary of Annex I is tabulated in Table 1 above. In order to effectively address the suggested interventions, NCRPB would need to strengthen

its finance function. It would need to fill up the suggested position of Joint Director who will provide oversight and professional advice for sound financial management system comprising accounting, financial reporting, internal controls, and external audit and budgeting and will also ensure that the benchmarks established for each and every segment of financial management are achieved or even exceeded. S/he will contribute to credit appraisal, risk assessment, loan approvals and disbursement, loans monitoring and recovery and resource mobilization and ensure that the benchmarks and long and short term targets are established and achieved for each and every segment of investments, loans and advances.

Gap analysis has indicated that presently too many aspects of finance function are concentrated at the desk of the present Finance and Accounts Officer (F&AO). It has also revealed that of the present couple of Assistant Directors (AD), one is in fact a Drawing and Disbursing official. An additional position of AD is, therefore, proposed to assist the F&AO. This position as well would need to be filled up during this period (2010-12).

Project Management and Coordination being the main spring of NCRPB for implementation of the Regional Plan, it would need to be further strengthened. Project appraisal activity is expected to pick up during this phase (2010-12). NCRPB would, therefore, need to have expertise in evaluation of detailed project reports (DPRs), appraisal of projects and monitoring and evaluation (M & E) of project implementation. Three positions of Deputy Directors are proposed to strengthen these functions and for enabling the Board to perform in-house appraisal of projects instead of outsourcing this functions as at present. These positions would need to be filled up during this phase.

The process for implementation of MIS/ERP systems is expected to be complete in this phase itself. A functionary having the requisite skills in this will, therefore, have to be positioned for maintenance and upkeep of the system as also for additions of additional fields whenever required. S/he will also be instrumental in putting the system in use and give on-the-job training to the NCRPB functionaries in operating the system. The position of Assistant Director, MIS/ERP will, therefore, have to be filled up in this phase (2010-12).

According to the rationale given above for human resource planning, recruitment of 12 new positions would have to be made in the second phase.

1.2.3 Phase III (after 2012)

After 2012, NCRPB is expected to get transformed into a financial intermediary and would be in a position to conceptualise, develop, structure and finance a wide range of infrastructure projects. It should be also in a position to take up large projects having inter-state spread and create special purpose vehicle for implementation such projects. In terms of staffing, NCRPB would be required to plan recruitment of the remaining staff out of a total of 34 additional positions suggested for it. In Planning Wing, it would have to recruit the position of Deputy Director, Project Planning who will assist the JD in the expanded regime of project planning and development. It would also make recruitments on the five additional positions of Assistant Directors as mentioned in Annex I. For the Finance Wing, NCRPB should plan to go for recruitment of Assistants, two in number. Expanded activities of PMC require the NCRPB to recruit the staff on the positions of the suggested couple of additional Assistant Directors. Expanded activities and hence the increased number of managerial staff will require additional support staff. Hence, NCRPB would need to put in place all the suggested nine positions of support staff in this phase.

Under Option II, recruitment of only ten additional staff will be needed. These are mentioned below:

1. Law Officer;
2. DD (water Supply and Sanitation);
3. DD (Roads and Transport)

4. DD (Economic Planning);
5. Joint Director (Finance);
6. DD (Internal Audit, budgeting and Accounts);
7. Joint Director (Projects);
8. DD (Monitoring and Evaluation);
9. AD (Projects)
10. AD (Information Technology)

Whereas positions of (i) Law Officer, DD (Internal Audit, budgeting and Accounts), and (iii) Joint Director (Projects) will have to be recruited before the end of 2010, other positions will be filled up in Phase II (after 2012). This is contingent on NCRPB's transformation as a financial intermediary. If this fails to actualise, NCRPB will continue to function with the existing staff.

1.3 Recruitment

Recruitment in the NCRPB is regulated by the National Capital Region Planning Board Recruitment and Promotion Rules, 2006 (hereafter to be called the Rules). The Rules are framed by the Board by exercising the powers conferred to it under Section 37 of the National Capital Region Planning Board Act, 1985. After the Rules are framed, the same is required to be approved by the Central Government. Powers for creation of posts and appointing persons on the posts, however, do not vest with the NCRPB; it lies with the Personnel Group. This is chaired by the Secretary, Union Ministry of Urban Development; the Member Secretary, NCRPB is the Convener of the Group. Composition of the Group is contained in Annex II. This Group has the jurisdiction to select the personnel for appointment on positions the maximum pay scale of which is more than Rs. 15,200 (the Fifth Pay Commission Scale). Appointment of the selected persons is, however, made after it is approved by the Chairman of the NCRPB who is the Minister of Urban Development.

Selection and appointment on positions with a pay scale equal to or less than Rs. 15,200 is made by the Member Secretary of the NCRPB. For this there is a Selection Committee chaired by the Member Secretary, NCRPB. Director, Accounts and Finance)/Chief Regional Planner is one of the members of this Committee depending on the nature of post. The Member Secretary nominates a subject expert from outside the NCRPB as an expert.

1.3.1 Method of Recruitment

The Member Secretary (MS) provides the much needed leadership to the NCRPB in pursuance of its goals and objectives. The incumbent to the position of MS belongs to the India Administrative Service (IAS) and generally s/he holds the position of Additional Secretary in the Central Government. The Indian Administrative Service is managed by the Department of Personnel and Training (DoPT), Government of India. The position of MS is, therefore, filled in by the DoPT. But as the incumbent is empanelled to become the Secretary, her/his tenure at the NCRPB is generally quite short lived. Since the formation of the NCR, ten Member Secretaries have served it in the past. An analysis of their stay indicates that three of them had a tenure of only a few months (varying from 8 to 11 months). Four of them had tenure of less than a couple of years (varying from a year and ten months to a year and three months) Only a couple of them could serve the Board for more than three years. A brief stay of MS at the NCRPB is too insufficient to settle down and have the required perspective of regional planning, development, and financing in an inter-state jurisdiction.

The tenure of the MS, therefore, needs to be longer, preferably not less than three years. This in the present practice of posting from the IAS and that too of the rank of Additional Secretary does not seem to be feasible. Ways and means will have to be found to give the incumbent a longer tenure of service.

All the positions in the NCRPB up to the position of Deputy Director barring the positions of the Member Secretary and the Director, Administration and Finance are filled on the basis of selection through transfer on deputation in the case of government employees, or on promotion in the case of internal candidates or on contract in the case of candidates from the open market. Recruitment Rules provide for absorption of appointees selected initially through deputation or on contract subject to meritorious performance of the appointees. Such a provision enables the NCRPB to retain the talent. This also provides continuity in discharge of functions. The position of Director, Administration and Finance is filled up exclusively on deputation from the central government pool of functionaries. The Board would need to consider the existing practice for recruitment on this position. The method of recruitment for this position through promotion of internal candidates, if included in the Recruitment Rules, as in the case of positions in Planning Section, would open up an opportunity for the internal candidates for further vertical movement right up to this position of Director. Also, the practice of filling up the positions on deputation is becoming complex as the Central Government discourages such practice as matter of rule.

The methods of recruitment on the positions of Assistant Director, Planning, Administration, and Finance are different. In the Planning section, this position is filled up either through direct recruitment or through promotion of internal candidates. This serves as the entry point for talented candidates from outside and also provides an opportunity for meritorious internal candidates to get promoted. Recruitment on the position of Assistant Director in Administration and Finance is discussed below in the section dealing with promotion.

1.3.2 Recruitment of Short-Term Vacancies

Short term vacancies in the NCRPB arise due to proceeding on leave by the regular incumbents for 45 days and more or because of their appointment elsewhere on deputation or due to study leave granted to them for less than a year. Such short term vacancies are filled up through ad-hoc promotion given to the senior most employees who are otherwise eligible for promotion according to the Rules issued by the DoPT from time to time. Promotion on leave vacancy does not give the employee any claim for regular appointment/promotion.

1.3.3 Streamlining Recruitment Plan

Recruitment on various positions is made according to a Recruitment Plan prepared by the NCRPB. This plan, once prepared by the NCRPB, needs administrative approval of the Ministry of Urban Development (MoUD). Once it is approved by the MoUD, it then goes to the Union Ministry of Finance (MoF) for financial approval. If administrative approval of the MoUD takes a long time, which is generally the case many often, the position to be filled up lapses because of another Rule of the Department of Personnel and Administrative Reform which provides that if the positions are not filled up for 12 months, these are deemed to have lapsed. NCRPB has been facing this problem many often. As mentioned in Part I of the Report, quite a few positions have lapsed on this account. NCRPB, therefore, needs to streamline the process in consultation with MoUD. Since the proposed new positions amount to creation of new positions at appropriate time, approvals from MoUD and MoF will have to be expedited.

1.3.4 Recruitment Rules

Non-availability of staff according to the eligibility Rules prescribed in the Recruitment Rules of NCRPB required looking into the eligibility Rules of other similar organization and compare it with the ones prescribes for Planners in similar organizations. Recruitment Rules (RRs) of the Town and Country Planning Organisation, Government of India, Delhi Development Authority, and the Model Recruitment Rules prepared by the Institute of Town Planners, India (ITPI) were collected and looked into. There is not found to be much divergence in these Rules except that the requirement of 55% of marks in the RR of NCRPB is not provided for in RRs of other organisations mentioned above. Also some of the positions in Planning Wing of NCRPB are in nature of hardcore technical expertises (such as JD Water Supply/Sewerage/ Solid

Waste/; DD Power, DD, GIS, AD Transport) that are not provided for in the RR of other originations. In view of this, it is advisable to re-visit the RR of the NCRPB for rationalising it.

1.3.5 Procurement of Services

As mentioned earlier, in view of constraints and complexities in creation of new positions at a scale suggested in Option I, NCRPB would have Option II under which it will go for minimal recruitment; it will procure services of experts from the market as and when required by it either for performing its mandated planning functions or for project development. Procurement of service will require it to streamline the system of procurement. NCRPB will procure services of either the individual consultants or the professional institutions. For procuring these, it will have to empanel the individual experts and the institutions by inviting an Expression of Interest (EoI). Having empanelled them, it will go for Request for Proposal (RfP) for obtaining detailed proposal – both technical and financial – for procuring the services.

Whereas procurement of services for performing its planning functions (preparation of Functional Plans, Sub-Regional Plans, Master Plans, Project Plans) will be through the procedure mentioned above, procurement of experts for project development will have to be pursued within the context of Project Development Fund suggested in the Business Plan for the NCRPB. Basic steps and procedures for procurement under this framework is already suggested in the Project Appraisal Processes and Procedures Toolkit, Volume II. This is contained in Annex III of this Report as well.

Procurement of services will have to be paid for by the NCRPB whenever it goes for procurement. Though there are standard procurement Guidelines of ADB and the World Bank, it would be advisable for the Board to have its own Procurement Guidelines. It would therefore develop its own Procurement Guidelines by customising the ADB Procurement Guidelines² according to the practices and procedures currently in vogue for procurement by the Government of India.

1.4 Promotion

1.4.1 Promotion through Departmental Promotion Committee

The National Capital Region Planning Board Recruitment and Promotion Rules, 2006 provides for promotion of employees of the NCRPB. For this, the MS constitutes a Departmental Promotion Committee (DPC). Creation of DPC and hence the promotion of employees is, however, subject to availability of vacant positions in the NCRPB. The 2006 Rules lay down that integrity constitutes the main criteria for the employees to be considered for departmental promotion. For promotion by the DPC, Annual Confidential Report (written as part of performance evaluation of each and every employee on an annual basis) of the aspirants is assigned 40 per cent marks. Another 40 per cent is assigned to the skills required for the post or to the performance in the Departmental examination. The remaining 20 per cent is given for performance in the interview. DPC looks into the Confidential Reports and evaluates the performance of the employees for promotion. Evaluation criteria are thus based on skills, competence and performance, not on seniority.

.Apart from Departmental Promotion Scheme, there are alternate channels for promotion as well. This in the case of technical (planning) staff is known as the Assessment Scheme. For non-technical (staff working in finance and administration sections including the support staff), NCRPB, following the Central Government practice, has adopted a Career Progression Scheme for promotion. These practices provide alternative opportunity to the NCRPB officials and staff for promotion.

² Asian Development Bank, Guidelines on *The Use of Consultants by Asian Development Bank and Its Borrowers*, February, 2007.

1.4.2 Assessment Scheme

NCRPB follows the Central Government practice for promotion of technical staff in the Council of Scientific and Industrial Research (CSIR). In the case of NCRPB, Assessment Scheme as an alternative channel for promotion is provided for in the Recruitment Rules and Assessment Scheme for NCR Planning Board Staff, 1997. These Rules are operative since 15th March, 1997. Known as the Assessment Scheme, the performance and conduct of technical staff (right up to the lowest positions of Planning Assistant and Draughtsman) are evaluated. Eligibility for promotion under Assessment Scheme is not based on availability of vacant positions. It is based on the prescribed number of years of service rendered to the NCRPB. A technical staff becomes eligible for promotion in the 7th, 8th and 9th years of her/his service. For availing of this scheme, s/he is required to submit a report on the work done by her/him during the entire period of her/his tenure in the last seven years. This is evaluated by an Expert Assessment Committee created by the MS. The Expert Committee has representation of government functionaries and also the experts of the subject. Under the Assessment Scheme, 50 per cent weight is given to the Annual Confidential Reports and Performance Appraisal based on Self-Assessment Reports and another 50 per cent weight is assigned to performance in the interview. The minimum threshold percentage of marks is 75 per cent.

Assessment based promotion is different from a DPC based promotion; in the former, the staff getting promotion is simply given the next higher grade. S/he carries her/his existing substantive post. The substantive post occupied by her/him is deemed to have been vacated only after the staff concerned quits the organisation. Assessment to a higher grade does not necessarily imply higher perks that usually go with the next higher position occupied by the staff. It also does not necessarily result in change of work pattern or higher supervisory status. Assessment scheme results only in up-gradation of pay scale. Nature of work to be performed by her/him continues to be the same. Nevertheless, the incumbent concerned gets an opportunity to enhance her/his pay and allowances.

1.4.3 Career Progression Scheme

Following the practice in the Central Government, NCRPB has adopted a Career Progression Scheme for non-technical staff working in administration and finance including the support staff such as Assistants, Stenographers, and clerical staff. This provides that if a non-technical member of the staff does not get promotion through DPC for 12 years, s/he is given the next grade of pay. This scheme can be availed by the staff twice in the total tenure of service. The second up-gradation in pay is given after rendering the service of another 12 years. The Sixth Pay Commission appointed by the Government of India has recommended reducing the number of years from 12 to ten years. The Central Government has accepted this suggestion. This means that during the entire tenure of service of 30 years, a staff can avail of the career progression scheme thrice. Compared to the Assessment Scheme applicable for the technical staff, the career progression scheme for the non-technical staff still takes a little longer time for getting the next grade.

1.5 Performance Management

Performance management is a mechanism profitably used by organisations for accomplishment of organisational goals. This is done by aligning individual objectives of the employees in their existing work situations with objectives of the organisation. Also, performance management tries to develop skills of the staff to achieve their capability. NCRPB being a public organisation that follows the central government practices, performance management is limited to performance evaluation of the officials and the staff in the form of Confidential Report on an annual basis. However, this is not done against any pre-determined performance standards and goals. The existing practice of performance evaluations without any relationships with performance bench marks would need to be reconsidered.

The Sixth Central Pay Commission (SCPC) has suggested a mechanism of Performance Related Incentive Scheme (PRIS) for performance management. Profit not being an objective of public organisations, performance is defined by SCPC as “the ability of the Government to acquire resources and to put these resources to their most efficient use (input-output relationship) and to achieve the desired outputs and outcome goals (output-outcome relationship). It is the shift from inputs-process emphasis (efficiency) to results, social goals and outcomes effectiveness). Performance can, in the final analysis, only be viewed in terms of the final deliverables to the user/stakeholder.” The Commission recommends performance based pecuniary benefit (PRIS), over and above the regular salary, for the Government employees. This is to be payable taking into account the performance of the employee during the period under consideration. It is based on the principle of differential reward for differential performance. This incentive will be payable out of the savings made due to better performance of employee(s) during the period in consideration. It has recommended fifty percent of the organizational savings to be used for the PRI schemes. This is suggested to be in the range of 5-15% of the the basic pay.

Accordingly, NCRPB would need to adopt a meaningful performance management practice based on output/outcome definitions with strategic performance indicators (SPI)), performance measurement (PMS) and data tracking (MIS) by following the steps mentioned below:

1. **Determine and establish the parameters for achieving the desired results:** The parameters would need to be derived from the strategic plan of the NCRPB for (a) planning, and (b) financing. Parameters for setting organisational goal and also performance measurement of the NCRPB would need to be established. These for setting planning goals will have to be in relation to preparation of (i) Functional Plans, (ii) Sub-Regional Plans, (iii) Master Plans, and (iv) Project Plans within specified time horizon and with specified phasing of plan proposals. These would help identify prioritised plan proposals and the phases in which these are to be implemented. Such a scheme of things will provide the basis for measurement of performance of the technical (Planning) wing of the NCRPB. Once these parameters for planning wing are established, these could form the basis for establishment of performance goals for individual staff working in the Planning Wing of NCRPB. The benchmark to be arrived in such manner will make performance evaluation much more meaningful.

On the financing side, the parameters for establishing performance goals would need to be perceived in terms of (i) project development, (ii) project appraisal, (iii) number and type of projects funded by it, (iv) project monitoring and implementation. These parameters would help in measuring organisational performance of PMC and finance wings of the Board. These, in turn, would need to be disaggregated at the individual staff level for performance evaluation of individual staff. Performance management of administrative staff as well would need to be perceived by developing the parameters for performance and performance evaluation. Performance targets would need to be decided in terms of processing of file, file management, secretarial assistance, and management of correspondence.

2. **Put in Place a Process for performance planning of officials and staff:** The heads of the planning, finance, project management, and administration will have to set performance plans for the members of the teams. This will have to be in relation to the benchmarks established for the NCRPB at the organisational level. Performance plan will serve as a meaningful basis for measurement of performance.
3. **Put in place a framework of performance measurement and appraisal:** Head of the team would assess the progress made toward achieving predetermined goals by formally documenting performance and delivering the feedback. This will lead to gaining of insights into performance problems as a gap between the desired and actual result.

The steps for performance management mentioned above will provide better and objective basis for useful performance appraisal for identifying the performance improvement zone. The present ADB TA envisages putting in place a formal MIS/ ERP system for effective planning and plan implementations. This will have a data base for officials and staff of the NCRPB. Performance targets and achievements could be usefully put into the MIS by creating an appropriate field in the database.

2 Human Resource Development

Human resource development initiatives are presently quite weak. This is limited to occasional study visits under specific projects. NCRPB would need to have training as a capacity development initiative of its staff on a sustainable basis. This requires mainstreaming training into its normal activities. Presently, training is sporadic and not yet organised on a sustainable basis. The present state of training in NCRPB, outcome of TNA conducted in it and the steps required for mainstreaming training in it are discussed in greater detail in the Report on Training Needs Assessment and Strategic Training Plan prepared and submitted under the present ADB TA. These are very briefly mentioned below.

1. NCRPB would need to create a training fund to be used for training of its staff on a regular basis. Based on the Report on training prepared under this ADB TA, it should prepare a Training Plan. Training fund would come handy in conducting of training courses out of this Training Plan.
2. The NCRPB would need to identify one of its functionaries for managing training on a sustainable basis. With a view to minimise the need for recruitment of additional staff for this, NCRPB should entrust the responsibility of managing training and HRD related initiatives to the existing Deputy Director of Administration. He will ensure that the Strategic Training Plan contained in this report is implemented by negotiating the conducting of training courses with the potential training institutions identified in this Strategic Training Plan.
3. The HRD Manager will require knowledge and skills for implementing the Strategic Training Plan and human resource management. He will have to undergo training for trainer for acquiring skills in various aspects of conducting and management of training.

HRD Manager will perform the following functions:

- To play a crucial role in training by planning, delivery and evaluation of capacity building training and HRD initiatives in the NCRPB;
- To be responsible for all day-to-day operational matters relating to implementation, management and evaluation of training to be conducted by different training institutions;
- To modify the Strategic Training Plan on the basis of feedback to be received from the review and evaluation of the training courses conducted by the training institutions;
- Conduct training needs assessment after the Strategic Training Plan is fully implemented;
- To identify new training institutions if needed;
- To arrange and facilitate visits to the good practices in regional planning, project financing and plan implementation elsewhere in the country;
- To prepare a new training plan on the basis of fresh assessment of training needs of the NCRPB functionaries; and
- To arrange for training of the NCRPB staff and officials on induction, on promotion, and on transfer from one section to another.

2.1 Institutional Incentives

Benefit of pension, promotion opportunities in the form of Assessment and Career Progression Schemes, medical aid in the form of empanelled hospitals for the treatment of

staff, pay revision in the wake of Pay Commission constituted by the Central Government from time to time and congenial working conditions constitute impressive institutional incentives for the staff of NCRPB. These provide incentives to the employees to perform. This is also evident from the absence of any rudiment of trade union movement in the organisation. However, these being in place for a very long time as part of the service conditions, the impact of these on the motivation of the staff to perform are at most indirect. There is need also for incentive structures that could directly impact the motivation to perform.

With this end in view, it would be advisable for the NCRPB to introduce awarding of commendation certificates to the best performers. For this it should choose the best performer each year on the basis of performance appraisal discussed above. S/he should be awarded a commendation certificate with a token cash award in a function to be especially organised for this consisting of the entire employee of the NCRPB. Presentation of award in this manner will have tremendous motivating effect on other employees. Award of commendation certificate could also be assigned a weight for the purpose of scoring for promotion under the aegis of the DPC.

2.2 National Capital Region Planning and Monitoring Cell

National Capital Region Planning and Monitoring Cells are functioning in the three constituent states and in the NCT of Delhi. The members of the staff working in these Cells are part of the State Governments' own employees who work for the NCRPB. NCRPB reimburses their salaries to the State Governments concerned and to the NCT of Delhi. Functions performed by these Cells as also their functioning have been discussed already in part I of this Report on Human Resource Gap Analysis and Findings. The analysis has revealed that:

- NCR Cells are not playing an active role in planning and development of NCR;
- Even though the Regional Plan 2021 was approved in 2005, the NCR Cells have not yet succeeded in preparation of (i) Sub-Regional Plans, (ii) Master Plans, and (iii) Project Plans;
- They do not offer any assistance to the implementing agencies in project development;
- The very nomenclature of these Cells is misplaced as they hardly have any role in monitoring of projects under implementation. In fact their role in project implementation is minimal;
- They hardly give any feedback to the NCR in matters relating to planning and development.
- Staffing of these Cells are not uniform;
- Staffing of these Cells are quite imbalanced; and
- As the staff belongs to the State Governments that are Constitutionally autonomous levels of Government, the Cells are not at all formally accountable to the NCRPB.

In view of the above, NCRPB would need to devise mechanisms to make them more proactive. It should also have some semblance of uniformity in staffing of these Cells. These are discussed below.

2.3 Staffing

Presently, some of the Cells (Uttar Pradesh and Delhi)are staffed with civil servants as the heads (In U.P. the post is that of Commissioner and is lying vacant for quite some time). In the states of Haryana and Rajasthan, the Cells are headed by a Town Planner. First level of

uniformity, therefore, would need to be in terms of the type of functionary to head these Cells. If the incumbents belonging to civil service (IAS) are made to head these Cells, this will provide to the Cells relatively better clout. S/he can get the things moving in the state administration and the decisions taken by her/him will be received more seriously. This is, however, dependent upon how senior is the civil servant who is to be designated as the head of the NCR Cells. In U.P. the designated head is of the rank of Commissioner who is a very senior official in the state civil service hierarchy. In Delhi, this is of the rank of Additional Secretary, again a very senior position.

Therefore, in order to enable the Cells to give the required drive and leadership in planning and development in the NCR, the NCR Cells should be headed by a civil servant belonging to the Indian Administrative Service and s/he should be not below the rank of Commissioner.

2.4 Transforming the Role of NCR Cells

In order to enable the NCR Cells play much more pro-active role, power of approval would need to be given to these Cells. As these Cells do not have any say in ensuring compliance of the development initiatives in the NCR with the Regional Plan the Cells have become inactive, helpless spectators and passive. They need to be armed with the power to approve; they should have the authority to approve any development initiative within the NCR on the basis of its conformity with the Regional Plan. This will go a long way in giving much needed teeth to the NCR Cells for playing a pro-active role. Power of approval will also impart prestige and glamour to the position that would be instrumental in attracting the civil servants of high calibre for posting as the head of these Cells. In the present situation, there is reluctance to join the NCR Cells as the head.

2.5 Staffing Mix

Every Cell should have a uniform staffing mix. This, in addition to the civil servant mentioned above, should consist of the positions mentioned in Table 2.

Table 2: Suggested Staffing Mix of the NCR Planning and Monitoring Cells

S.N.	Positions	Rajasthan	Uttar Pradesh	Haryana	Delhi	Total
1	Commissioner	1	1	1	1 ^a	4
2	Chief Town Planner	1	1	1	-	3
4	Associate Town Planner	-	1	1	1	3
5	Assistant Town Planner	1	2	2	-	5
6	Junior Engineer	1	1	1	-	3
7	Economic Planner	1	1	1	-	3
8	Planning Assistant	1	1	1	-	3
9	Planning Draughtsman	1	2	2	-	5
10	Research Officer	1	1	1	-	3
11	Research Assistant	1	2	2	-	5
12	Research Investigator	1	3	3	-	7
13	Computer Programmer	1	1	1	-	3

S.N.	Positions	Rajasthan	Uttar Pradesh	Haryana	Delhi	Total
14	Senior Stenographer	1	1	1	1	4
16	Data Entry Operator	1	1	1	-	3
17	Head Clerk Cum Accountant	-	1	1	-	2
18	Assistant	1	1	1	1	4
19	Personal Assistant	1	1	1	-	3
20	Typist	1	1	1	-	3
21	Driver	2	2	2	1	7
22	Ferro Printer	1	1	1	-	3
23	Peon	1	1	1	1	4
24	Total	20 (21)	27(30)	27 (30)	6(5)	80(86)

a: Additional Secretary, Public Works Department, NCT of Delhi

Note: Numbers in parentheses denote the existing sanctioned positions.

The staffing mix suggested in Table 2 is based on the need for enhancing the institutional capability of the NCR Cells for effective (i) planning, (ii) project planning and development, (iii) monitoring of project implementation, and (iv) data collection and up-dating for better informed planning and review. Table 2 shows that the number of staff in the NCR Cells will marginally decrease from the existing 86 sanctioned positions to 80. Simultaneously, with this staffing mix, functions entrusted to the Cells as well will have to be modified as suggested below:

- Approve any development initiative by public, private and any other agency in the NCR part of the state/NCT of Delhi for ensuring its conformity and compliance with the Regional Plan;
- Suggest to the NCRPB for its approval any change required in the land use in the region;
- Preparation of Sub-Regional Plan;
- Preparation of Master Plan for urban centres falling in the NCR;
- Project Planning and Assistance to the implementing agencies in preparation of projects and schemes;
- Monitor project development by the implementing agencies for augmenting the number of projects;
- Forward the projects developed to the NCRPB for financing of projects;
- Monitor project implementation for ensuring effective and efficient implementation; and
- Give feed back to the NCRPB in matters relating to planning and development of projects.

2.6 Streamlining Functioning of NCR Planning and Monitoring Cells

NCRPB would need to streamline the functioning of the NCR Cells by introducing new management systems. This could be done by requiring the NCR Cells to prepare annual work plan in the form of an action plan in the spheres of planning, project planning, and project

development by disaggregating the Regional Plan proposals for their respective areas forming part of the NCR. Once this is done, it should form the basis for review of actual performance of the NCR Cells. Deviation from the planned activities could be taken up with the concerned states through annual review meeting. NCRPB will have to take review meetings with the NCR Cells on a quarterly basis. In order to promote accountability of the NCR Cells, it would be advisable for the NCRPB to have an MoU with the state governments concerned (including the NCT of Delhi). The MoU will specify the activities to be performed by the NCR Cells.

It will be advisable also to have a practice of rewarding the NCR Cells on the basis of performance. For this the NCRPB could independently assess the performance on an annual basis against the action plan prepared by them. Award of best performance in a function consisting of all the members of the staff of NCR Cells, besides motivating them, will also promote collegial relationships amongst them.

Annexes

Annex 1: Expected Expansion in the Activities of the NCRPB and Human Resource Planning for Recruitment

Stage	Capacity Development Initiatives Needs	Staffing Implication
1. Short Term: Till 2010 (ADB TA will yield \$ 130 million worth of projects)	<ul style="list-style-type: none"> • Strengthening capacity of NCRPB staff in: • Monitoring project preparation; • Project appraisal and structuring; • Improving operational efficiencies in its planning and financing departments through Business Process Re-engineering (BPR); • Designing specifications for tools such as Enterprise Resource Planning (ERP) and Geographical Information • Operationalising Project Development Facility • Diversifying Resource Base through: <ul style="list-style-type: none"> ➤ Tax-free bonds Systems (GIS); ➤ lines of credit from commercial banks; ➤ borrowings from development authorities 	1. DD Audit 2. Legal Advisor 3. JD PMC
2. Medium Term 2010 to 2012	<ul style="list-style-type: none"> • Implement the ERP and GIS systems; • Sanction assistance to projects appraised under the framework developed under the ADB TA • Supplement NCRPB resources by sourcing long-tenor funds from other multilaterals such as World Bank, KfW and JBIC; • Diversify the lending product offerings; • Memorandum of Understanding (MOU) with other lenders such as PFC, HUDCO, IDFC, IL&FS and REC for co-financing projects in the region; • NCRPB should provide services towards project supervision post financial closure • Review of Regional Plan 2021 	Planning: 1. DD (Water Supply & Sanitation, Roads & Transport, Economic Planning, Environment, Master Plan & land Use). Finance: 1. JD Finance 2. AD Finance, Audit & Budgeting PMC: 1. DD (DPR, Project Appraisal, M & E) 2. AD MIS & ERP
Long term Strategy: Beyond 2012	<ul style="list-style-type: none"> • Strengthen its position as a catalyst for investments in infrastructure sector in the region as an intermediary which can conceptualise, develop, structure and finance a wide gamut of infrastructure 	Planning: 1. DD Project Planning 2. AD (Project Planning, Water

Stage	Capacity Development Initiatives Needs	Staffing Implication
	<p>projects in the region;</p> <ul style="list-style-type: none"> Financial closure for a few iconic projects having inter-state jurisdictions where NCRPB's role as a nodal agency would be to set-up dedicated Special Purpose Vehicles (SPV) and arrange seed-capital from key stakeholders; 	<p>Supply & Sanitation, Power & Telecom, Master Plan & land Use, GIS).</p> <p>Finance: 1. Assistants-2</p> <p>PMC: AD(Project Appraisal, M & E)</p> <p>Support Staff: 9 (Personal Secretary 1, Assistant Grade II 4, Steno Grade C 3, Steno Grade D 1)</p>

Annex 2: Composition of Recruitment Rules**NATIONAL CAPITAL REGION PLANNING BOARD**New Delhi, the 8th July 1985

No. K.14011/13/85-NCR-

In exercise of the powers conferred by Section 32 of the National Capital Region Planning Board Act, 1985 the National Capital region Planning Board (hereinafter called the Board) hereby makes the following delegations:

I. Functions, powers, and duties under clauses (b), (c), and (e) of sub-section 2 section22:

To identify individual projects against schemes approved by the Board for funding by the Board, to release instalments for the same and for carrying out a constant review of the progress of the projects, the functions, powers, and duties of the Board are delegated to the following persons in the Group:-

PROJECT SANCTIONING AND MONITORING GROUP

- | | | | |
|------|---|---|----------|
| i. | Secretary, Ministry of Works and Housing | - | Chairman |
| ii. | Secretary (Expenditure) or his representative | - | Member |
| iii. | Advisor, Planning Commission or his representative | - | Member |
| iv. | Joint Secretary in charge of NCR in the Ministry of Works and Housing | - | Member |
| v. | Secretaries -in charge of NCR work in the States and Delhi UT | - | Member |
| vi. | Chief Planner, TCPO, New Delhi | - | Member |
| vii. | Member Secretary, NCR Planning Board | - | Convenor |
| 1) | The Group is empowered to sanction loans and grants for the implementation of sub-regional plans and project plans and for the development of the counter magnet area identified by the Board in accordance with the rules. | | |
| 2) | The Group will also exercise the powers to commission surveys and studies on behalf of the Board. | | |

II. Delegation of functions, powers and duties under section 31 of the Act:

Subject to the limits and conditions mentioned below the Board delegates its powers to create posts and appoint persons against such posts to the following persons in the Group to be called the Personnel Group:-

PERSONNEL GROUP

- | | | | |
|-------|---|---|----------|
| i. | Secretary, Ministry of Works and Housing | - | Chairman |
| ii. | Secretary (Expenditure) or his representative | - | Member |
| iii. | Advisor, Planning Commission or his representative | - | Member |
| iv. | Joint Secretary in charge of NCR in the Ministry of Works and Housing | - | Member |
| v. | Secretaries -in charge of NCR work in the States and Delhi UT | - | Member |
| vi. | Chief Planner, TCPO, New Delhi | - | Member |
| viii. | Member Secretary, NCR Planning Board | - | Convenor |

- a) The Group will have full powers to create posts in the Board.

- b) Selection of personnel for appointment against posts , the maximum of scale of pay of which exceeds Rs. 1600/-will be made by the Group, and appointment of persons selected by the Group will be made after it is approved by the Chairman.
- c) Selection and appointment of posts the maximum scale of pay of which is equal to or less than Rs. 1600/- will be made by the Member Secretary.

III . Delegation of powers under Sub-section 22(2) (a):

The functions, powers and duties of the Board (i) to incur administrative expenses of the Board under clause (a) of Sub-section 2 of section 22, and (ii) to exercise administrative control and to administer the terms and conditions of employment of officers and employees of the Board as stipulated in the regulations , is delegated to the Member Secretary as detailed below:-

S.N.	Nature of Power	Extent of Power
1	Operation of Bank accounts	(a) Power to open accounts for the Board in accordance with the rules. (b) to authorise any employee or employees of the Board to operate the account individually or jointly.
2	Purchase of office furniture and equipment	Full powers for purchase , running and maintenance and repairs of machinery including office furniture and equipments.
3	Purchase of Stationery	Full powers
4	Telephone charges	Full power. Full power to get new telephone connection, payment of rentals, call charges, etc.
5	(a) creation of posts in the Board (b) Selection of candidates for appointment in the Board (c) Appointment in the Board	Full power to be exercised by the Personnel Group. (a) Selection and appointment to posts the maximum of scale of pay of which is more than Rs. 1600/- will be done by the Personnel Group and will be subject to approval by the Chairman. (b) Selection to other posts to be made by the Member Secretary. (a) All appointments to the posts, the maximum of scale of pay of which exceeds Rs. 1600/- will be made in the name of the Board. (b) In respect of others the appointments will be made by the Member Secretary.
6	Purchase and maintenance of staff car/vehicles	Full power for purchase, running, maintenance and repair.
7	Printing charges	Full powers
8	Contingency expenditure	Full power

9	Power to grant conveyance allowances to the employees of the Board	Full power. The rate and condition of the allowance should be the same as are applicable to the Central Government servants.
10	To grant honorarium to persons working in the Board as also persons other than these working in the Board for services rendered by them to the Board	Up to Rs 1000/- in each case.
11	To grant earned leave and other kinds of leave to the staff working in the Board	Full Power
12	Grant of leave salary advance	Full power
13	To sanction advance of T.A. to the staff working in the Board including LTC as applicable under the Government Rules	To the extent admissible under the Central Government Rules.
14	To exercise all powers of controlling officer for travelling allowances bills	Full Power
15	To incur expenditure on entertainment during: (a) Meeting of the Board (b) Meeting of the Group (c) Meetings of the Committee (d) Other official meetings	Full power Full power Subject to a ceiling Rs 2000/- in a quarter Subject to a ceiling of Rs. 1000/- per month. The above ceilings will be subject to relaxation by the Chairman if the circumstance so warrant.
16	To sanction purchase of drawing stationery	Full Power
17	To advertise in news papers and journals	Full power
18	To sanction OTA to eligible staff	Full Power
19	Sanction of permanent advance of imprest	Full Power
20	Grant of advance to employees of the Board for the purchase of bicycle	Full Power
21	To incur expenditure on provision of liveries to peons/ Drivers	Full Power
22	Approval of tour of officers/ employees of the Board	

	i. through entitled class ii. Journey by air or by class higher than the entitled class iii. Reimbursement of actual expenditure of boarding /lodging for officers/employees while on tour in special class subject to ceiling as prescribed in government rules	Full Power Full power Full power
23	Non-interest bearing advance: Festival advance/ Medical advance in special cases/ advances for natural calamities subject to rules as prescribed in GFR 1963, FR/SR and other instructions issued by the Government of India from time to time	Full Power
24	Comprehensive insurance of vehicles	Full Power

Any other administrative expenses of the Board the power to incur which has not been included in the list above shall be incurred by the Member Secretary with the approval of the Chairman of the Board.

M. SHANKAR
 Member Secretary

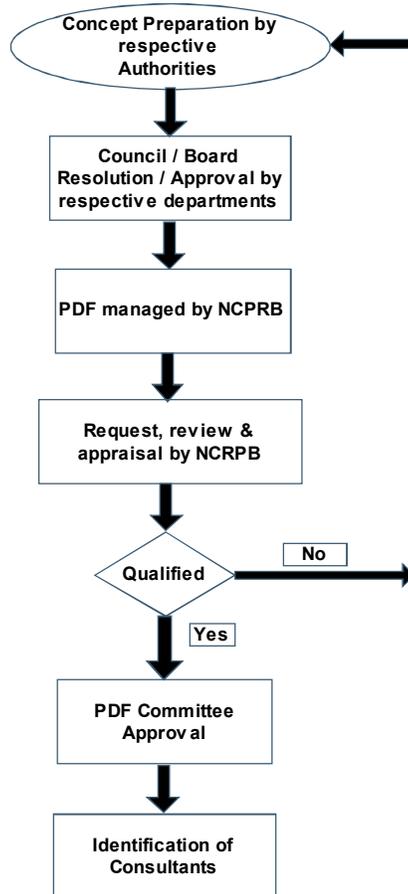
Annex 3: Basic Steps to be followed for Accessing the Project Development Fund

1. For operating the Project Development Fund (PDF), a committee shall be formed by NCRPB which will approve subproject preparation and monitor the progress of the fund. Figure no. 1 illustrates the procedures to be followed for such a fund.

2. **Council / Board Resolution:** Any urban local body / department / agency which has conceived ideas for development of a project in the NCR region, can approach the PDF for technical assistance for preparation of detailed project report / project supervision arrangement.

3. **PDF Appraisal Note:** After receiving the council / board resolution, the fund manager, viz., NCRPB shall check if the project concept is in accordance with the Regional Plan 2021. If yes, the fund manager shall proceed with the details of the project, and prepare an appraisal note for the approval of the committee. The broad parameters which need to be checked are project name, cost estimates, background and scope of work to the consultants.

4. After approval, NCRPB shall proceed with identification of consultants. The process of procuring consultants will follow the approved tender processes followed by the donors of funds. There are specific procurement norms for multilateral agencies, whereas the practice in the state/Gol shall be followed if PDF funds are used from state funds. Detailed terms of reference shall be provided to the consultant, as part of the tender documents. A pre-bid meeting shall be conducted to clarify queries from consultants on various issues in the terms of reference given to them.



2. The consultants shall be selected based on ranges from a least cost selection, quality based selection, and/or, a combination of both.

3. A Least Cost Selection (LCS) is on where consultants are selected on the least financial cost, whereas Quality based Selection (QBS) is the method of selecting consultants purely on quality only without giving any weightage to financial aspects. There is a method which provides weight for both, viz., the Quality and Cost Based Selection (QCBS), which provides weight for both quality of the proposals and financial costs.

4. A Request for Proposal (RFP) will be invited from the consultants. The Terms of Reference (TOR) will form part of the RFP.

5. In order to ensure that views of the executing agency on the concepts and designs are being incorporated, constant review at various stages is required. Therefore, a review committee should be constituted consisting of representatives of all stake holders of the sub-project. The committee should consist of:

- Chairman of the Council / Committee;
- Representatives of the respective ULB / Departments / Statutory Board;
- Engineers/Planners of the respective ULB / Departments / Statutory Board;
- Technical Sanctioning Authority of the project; and
- Representative from NCRPB.

