



Er. A.K. Gupta

Additional Director

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अपर निदेशक

बी.टेक(सिविल), एम.पी.(ट्रान्सपोर्ट प्लानिंग), पीजीसीपीएम,एफआईई,
एफआईटीपी, एफआईडब्ल्यूडब्ल्यूए, एफआईडब्ल्यूई, एमयूआईटी

No.URC/24/ 2159 /201 7-18
To,

Regional Centre for Urban & Environmental Studies, Lucknow
Ministry of Housing and Urban Affairs, Government of India

क्षेत्रीय नगर एवं पर्यावरण अध्ययन केन्द्र, लखनऊ

आवास एवं शहरी कार्य मंत्रालय, भारत सरकार

Date : 02 / 02 / 2018

Shri Jagan Shah

Director

National Institute of Urban Affairs,

First Floor, Core 4 B,

India Habitat Centre,

Lodhi Road,

New Delhi-110003

Subject: - Study on Urban Management in Uttar Pradesh Sanitation, Septage and Waste Water

Dear Shri Shah,

This refers to the research study on **Urban Sanitation, Septage and Waste Water Management** in selected towns of Uttar Pradesh. We are thankful to NIUA, New Delhi for entrusting the study to us. The study will be of paramount importance for policy implications and operational view points as it will suggest road map, action plan and strategies for improving urban sanitation and effective management of septage, faecal sludge and waste water in the state of Uttar Pradesh. We give our consent for the conduct of the study and also accept the terms and conditions as laid down in the MOU.

Please find attached duly signed and sealed MOU. The study will commence from January 1, 2018 and will be completed within the stipulated time.

With regards,

Yours sincerely,


(A.K. Gupta)

Date: 30/01/2018

To,
Er. A. K. Gupta
Additional Director
Regional centre for Urban and Environmental Studies,
Adjacent Registrar's Office,
University of Lucknow
Lucknow (U.P.)- 226007

Sub: Consultancy for undertaking a study on urban sanitation, septage and waste water management in Uttar Pradesh

Dear Mr. A.K. Gupta

I am pleased to inform you that it has been decided to award to you the consultancy work relating to study on urban sanitation, septage and waste water management in Uttar Pradesh as per the enclosed ToR. The terms and conditions for this award of work are as given below:

1. The term of this contract is for 7 months which comes into effect on 1st Jan, 2018 and will remain in force until 31st July 2018.
2. Any amendment to this agreement shall be in writing and by mutual consent through an exchange of correspondence between the NIUA and consultant.
3. You will be responsible for the delivery of activities outlined in the Terms of Reference (ToR) (attached with this letter)
4. NIUA will facilitate activities necessary to achieve the required deliverables outlined in the ToR.
5. All knowledge products prepared under SCBP shall be the property of NIUA. No part of the knowledge product may be produced in any form (electronic or mechanical) without permission of NIUA. Information (text and data) from the knowledge products can be quoted, provided the source is acknowledged.
6. All knowledge products shall have the SCBP and NIUA logo on it along with the partner organisation's logo.

Payment

7. NIUA shall pay you a Total amount of **INR 15,05,680** for undertaking this research work
8. Payments will be made upon receipt of request for payment and invoices. Payment will be made separately for consultancy charges and for reimbursements.
9. The terms and conditions for the release of payments are as follows:
 - 20% of the Consultancy charges at the time of signing the contract.
 - 20% of the Consultancy charges upon submission of Fact sheets/ city briefs and its acceptance by NIUA
 - 15% of the Consultancy charges upon submission of Interim report and its acceptance by NIUA

(Er. A. K. Gupta)

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Regional Centre for Urban & Environmental Studies,
Ministry of Housing and Urban Affairs, Government of India
Adj. Registrar's Office, Lucknow University Campus,
Lucknow-226007

कोर 4-बी, भारत पर्यावास केन्द्र, लोधी रोड, नई दिल्ली-110003, भारत

Core 4-B, India Habitat Centre, Lodhi Road, New Delhi - 110003, India

Tel: 91-11-24643284, 24658639, 24617517, 24617543 • Fax: 91-11-24617513

E-mail: niua@niua.org • Website: www.niua.org

TRB

Date: 30/01/2018

To,
Er. A. K. Gupta
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Adjacent Registrar's Office,
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E-mail: niua@niua.org • Website: www.niua.org

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- 15% of the Consultancy charges upon submission of draft final report and its acceptance by NIUA.
- 30% of the Consultancy charges and institutional charges upon submission of final report and PP and its acceptance by NIUA.
- Reimbursement of 100% actual travel and meeting costs (if any), laboratory testing and others on submission of actual bills and invoice once every 2 months and its acceptance by NIUA.

Termination

10. NIUA shall have the right to terminate the contract at a 15-day notice in writing for performance not being in accordance with the ToR. In the event of termination of the agreement for non-submission of report, you shall be liable to refund to NIUA the amount proportionate to the tasks remaining to be performed, out of the amount received; of the advance payment of the contract

Arbitration

11. Any differences between Parties concerning the interpretation and/or application of this agreement or matters arising out of or connected with this agreement shall be settled amicably through consultations or negotiations failing which the parties agree to refer the disputes/difference, if any, to an Arbitrator mutually agreed upon and appointed by the parties under the Arbitration and Conciliation Act, 1996 or its statutory amendments thereof. The venue of arbitration shall be at Delhi alone.

Liability

12. NIUA shall not be liable for any damages or compensation payable at law in respect of or in consequence of any accident or injury to any member of staff or other person in the employ of the Partner organisation or in relation to the violation of any right of third parties, including but limited to copyrights. By the act of signature of this consultancy agreement, the partner organisation agrees that NIUA is indemnified and kept indemnified against all such damages and compensation and against all claims, proceedings, costs, charges and expenses whatsoever in respect thereof or in relation thereto. Insurance cover against such liability is the Partner Organisation's responsibility.
13. The partner organisation shall indemnify NIUA against all losses and claims in respect of injuries or damage to any person or material or physical damage to any property or to other (intellectual) rights to third parties whatsoever which may arise out of or in consequence of the execution of the project and against all claims, proceedings, damages costs, charges and expenses whatsoever in respect thereto. The partner organisation is responsible for insuring its own liability.

 (Er. A. K. Gupta).
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 Regional Centre for Urban & Environmental Studies,
 Ministry of Housing and Urban Affairs, Government of India
 Adj. Registrar's Office, Lucknow University Campus
 Lucknow-226007



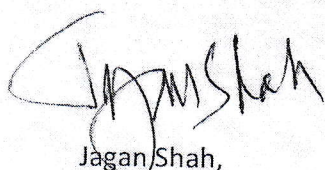
Timeline

S. No.	Deliverable	Content	Time of submission
1.	Factsheet / City Brief (2-4 pages) for each city	Inception Report and work plan Sanitation, septage and waste water situation assessment of the city, major issues and recommendations. Institutional and programmatic landscape of urban sanitation in the state and in the 3-4 towns studied. Draft Report Structure to be shared with NIUA for approval.	28 February, 2018
2.	Interim Report	Town wise sections for each town - for the 5 Key Research Questions of Section 2 of the ToR. Conclusions, Key Findings, Recommendations Final Report Structure/Table of Contents	30 April, 2018
3.	Draft Final Report	Town wise findings and recommendations. A state level perspective of urban sanitation, wastewater, sewerage and septage situation and recommendations that are useful at state level.	30 June, 2018
4.	Final Report and PP	Final Report with an Executive Summary Power point	31 July, 2018

If this award of work along with the terms and conditions as mentioned hereinabove are acceptable to you, please sign a scanned copy of this letter in token of acceptance of the contents of this award letter along with the ToR and send the same to us for our record.

Thanks

Regards



Jagan Shah,
Director

Encl: Terms of Reference

 (Er. A. K. Gupta)
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Regional Centre for Urban & Environmental Studies,
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A Study of Urban Sanitation, Septage and Waste Water Management in Uttar Pradesh

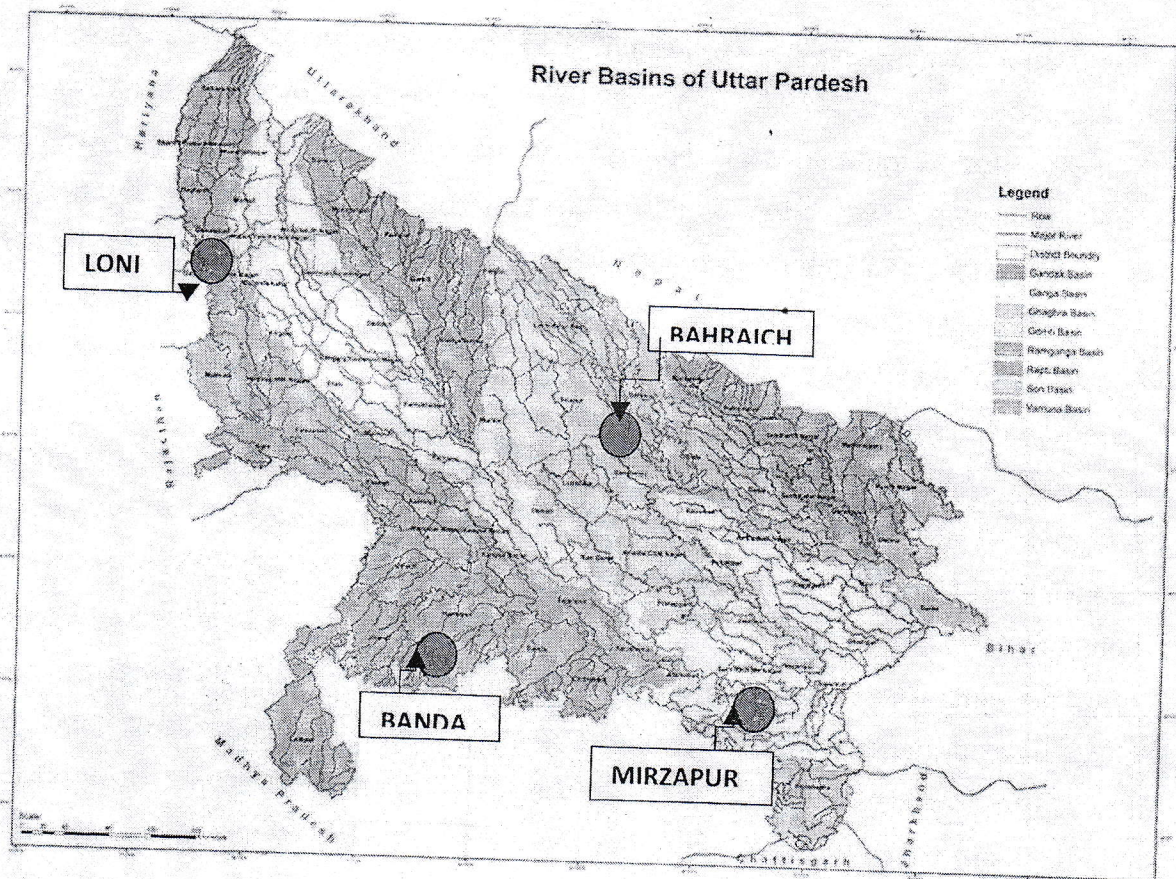
Rationale of Study:

Providing environmentally safe sanitation to the people is a challenging task. The challenges that urban sanitation sector faces mainly relate to the low priority accorded to it by the municipal governments. Inadequate sanitation has a great environmental economic and health impacts in India. In order to minimize these impacts, Government of India has under taken several measures including increased investment in urban sanitation, policy initiatives, regulations, and public campaigns to improve sanitary conditions in the country. Ministry of Urban Development, Government of India, launched Swachh Bharat Mission in October, 2014 with a view to eliminate open defecation and improving the sanitary conditions in urban areas. The Mission has been implemented in all statutory towns for the period of 2014 to 2019. According to Census 2011, India's urban population is 377 million or 31 percent of the total population. These numbers are expected to increase to 600 million by 2031. The Census 2011 also showed that in 4,041 statutory towns, close to eight million households do not have access to toilets and defecate in the open (7.90 million). Weak sanitation has significant health costs and untreated sewage from cities is the single biggest source of water resource pollution in India. This indicates both the scale of the challenge ahead of the Indian cities and the huge costs incurred from not addressing them.

India's bigger cities have large, centralized sewerage systems with vast underground pipelines, pumping stations and huge treatment plants. These systems are expensive to build and even more expensive to operate, as they require continuous power, a large amount of water, skilled operators and extensive electro-mechanical maintenance. Currently on-site pit latrines, septic tanks and other such systems account for a substantial proportion of toilets in urban India – over 45 percent of urban Indian households depend on onsite facilities (Census 2011) and this proportion is increasing. Thus, while the containment of human waste will be largely achieved under SBM, its treatment still poses a huge challenge. In the absence of adequate safe and sustainable sanitation, many Indian cities are already

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We propose to select four towns for the purpose of the present study. These towns are **Bahraich (Eastern Uttar Pradesh)**, **Loni (Western Uttar Pradesh)**, **Banda (Bundelkhand)**, and **Mirzapur (Eastern Uttar Pradesh)**. Mirzapur (Ganga), and Banda (Ken Betwa) are situated at the bank of rivers while Ghaghra passes from Bahraich district. All the towns are Nagar Palika Parishads and covered under AMRUT. The brief description of the selected town is being examined in order to under the current sanitation conditions in the proposed towns under the study.

Bahraich is located in eastern tarai region of Uttar Pradesh. The town has urban population of 1,86,241 people with 30,061 households as per census, 2011. There are 9 zones in the town. The coverage of latrines was reported to be 87 percent, however, there is no sewerage system and sewage treatment plant. Thus, there is huge gap of infrastructure for management of waste water and faecal sludge. Loni is situated in Ghaziabad district and has urban population of 512,296 persons, spread in 14 zones. There are 91,138 households. The coverage of latrines (individual or community) was reported to be 99.94 percent with sewerage network coverage of 5.10 percent. There is sewerage network of 22.5 k.m, with sewerage treatment plant of 30 MLD with treatment efficiency of 50 percent. Banda is situated in

- To review the municipal norms, provisions and institutional arrangements relating to septage, waste water, faecal sludge management including collection, emptying of tanks, transportation, treatment, and disposal, role of faecal sludge operators and their operational structures;
- To study the technological options for management of waste water, faecal sludge, septage and also to examine the affordability and equity issues in sanitation services;
- To examine the scope of Faecal Sludge Treatment Plant and its sustainable functioning in the selected towns;
- To examine the problems and challenges in management of sanitation, septage and waste water including faecal sludge urban centres in general and slums in particular;
- To study financial mechanism and suitable business models for septage, waste water and faecal sludge management in Uttar Pradesh;
- To suggest policy measures, action plan and strategies for sustainable urban sanitation, septage, faecal sludge and waste water management in Uttar Pradesh.

Research Methodology:

The proposed study will be empirical in nature and based on mainly primary data collected through field survey. Besides, the study will be analytical in its approach as it will envisage critical review of the pertinent literature on waste water management, septage and faecal sludge management. DPRs, CDPs and Plans under JNNURM, UIDSSMT, IHSDP, JICA, World Bank, ADB, UNDP as well as reports technical notes, SLIP, SAAP and DPRS under AMRUT, SBM, Namami Gange etc. will be critically reviewed to get insight on the alternative waste water disposal and management. We will also analyse the annual budgets, financial documents and municipal budgets of the concerned ULBs to review the urban sanitation and sewerage management. The field survey will be conducted in four towns viz. **Bahraich, Loni, Banda and Mirzapur** in the

(4) Final Report and presentation : Sixth Month

Budget Estimates

(i) Personnel

Position	Number of Persons	Emoluments	Duration	Amount Required
Project Director	1	Hon.	6 Months	Rs. 40,000/
Research Officer	2	Rs. 20,000/ P.M.	6 Months	Rs. 2,40,000/
Urban Planner	1	Rs. 30,000	6 Months	Rs. 1, 80,000
Research Investigators	8	Rs 15,000/P.M.	2 Months	Rs. 2,40, ,000/
Total				Rs. 7,00,000/

(ii) Travel, T. A. And D. A. To field staff

Rs. 1,80 ,000/

(iii) Data Processing

: Rs. 60,,000/

(iv) Stationery and Printing

: Rs. 40,000/

(V) Laboratory Testing

: Rs. 1,80,000/

Total

Rs. 11,60,000/

Institutional Charges @ 10 Percent

Rs . 1,16,000/

GST Charges @ 18 Percent

Rs. 2, 29,680/

Grand Total

Rs . 15,05680/

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Ministry of Housing and Urban Affairs, Government of India
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Lucknow-226007

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S.No.	Name	Area of Expertise	Educational Background	Brief of Experience of working with City Government in India/ International Experience
1.	Er. A.K. Gupta	Water supply & Sanitation Urban Planning, GIS, Urban Transport, Road, Municipal Finance, Drainage, Municipal, Urban Development and Land Laws, Housing etc	<ol style="list-style-type: none"> 1. DPREM, (Real Estate) IIRE Pune, 2011 2. PGCPM, (Project Management) IGNOU NEW DELHI, 2011 3. School of Planning and Architecture, New Delhi, India, Master of Planning with specialization in Transport Planning, 1988 4. B.Tech, Civil Engineering, Kanpur University, 1986 	<p>Has been with the Regional Centre for Urban & Environmental Studies Lucknow (RCUES) since 2014. He is currently the Additional Director of the Centre. He is a B.Tech in Civil Engineering from HBTI Kanpur and possesses a Master's Degree in Planning from School of Planning and Architecture New Delhi. He also holds a Postgraduate Diploma in Construction Management and Real Estate. He has to his credit a rich experience of more than 28 years as Head of Department in various Government Organizations at both National and State Level. He has served as Executive Engineer, Chief Engineer and Chief Architect Planner in Municipal corporation/Development Authority of Uttar Pradesh. He served as the Director (PMU) for a prestigious project of urban development under JnNURM (A centrally sponsored scheme of Government of India) and various Schemes related to GAP/YAP. He has been instrumental in conceptualization of various State Govt. schemes like Adarsh Nagar Yojna, SamagraVikasYojna etc. and associated with World Bank. During his association with Ministry of Railway in Raii Land</p>

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TWS

S.No.	Name	Area of Expertise	Educational Background	Brief of Experience of working with City Government in India/ International Experience
				Development Authority as a Board Member of RLDA, he was responsible for leading the team on Formulation of guidelines leasing of the land, GCC, SCC and various rules and regulation w.r.t. to Land, Manpower and asset monetization on Railway Land. He has also conceptualized various projects on Public Private Partnership, BOOT and other models for commercial development of Railway Land.
2.	Dr. Anjuli Mishra	Urban Administration and Management, Urban Poverty Alleviation Strategy	Ph.D.	Has been with the Regional Centre for Urban & Environmental Studies Lucknow (RCUES) since 1988. She is currently the Joint Director of the Centre. She is a Doctorate in Environmental Psychology from Lucknow University and holds a Master's Degree in Psychology from Lucknow University. She has a vast experience of more than 28 years in the field of Urban Administration and Development. During her stint with the Centre she has published many reports and Modules of extraordinary value.
3.	Dr. Rajeev Narayan	Urban Poverty Alleviation, PPP, DEAS, SWM, Social Audit	Ph. D	Has been with the Regional Centre for Urban & Environmental Studies Lucknow (RCUES) since 1988. He is currently the Deputy Director of the Centre. He is a Doctorate in Public Administration from the University of Lucknow. He has a vast experience of more than

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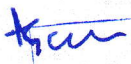
S.No.	Name	Area of Expertise	Educational Background	Brief of Experience of working with City Government in India/ International Experience
				28 years in the field of Urban Administration and Development. He was awarded a fellowship Asian Institute of Technology, Bangkok, Thailand in the year 2002. His core areas of expertise include Public Private Partnership for which he received a formal training at Institute for Public Private Partnership – IP3 of Washington, USA. He has been instrumental in implementing Report Card System in more than 55 Urban Local Bodies in Uttar Pradesh. He has coordinated the Preparation of more than 50 DPR under JNNURM & UIDSSMT Schemes of Govt. of India. He has authored several publications of high standard.
4.	Dr. Alka Singh	Urban Poverty Alleviation and Urban Management	Ph. D	Has Doctorate degree in Public Administration from Lucknow University. She is currently the Deputy Director of the Centre. She is having varied experience of more than 15 years in Academics, Social Development and Urban Sector. She has coordinated various activities related to capacity building of urban functionaries like JNNURM, SJSRY, NULM, AMRUT, Smart Cities Mission, Street Vendors, under the aegis of Ministry of Urban Development and Ministry of Housing & Urban Poverty Alleviation, Government of India. She has

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S.No.	Name	Area of Expertise	Educational Background	Brief of Experience of working with City Government in India/ International Experience
				also coordinated several state specific consultancy assignment related to Solid Waste Management, City Sanitation Plans, implementation of Accounting & GIS based Property Tax Reforms, coordinated & monitored the work of Preparation of Detailed Project Reports under GOI funded schemes for the States of Uttar Pradesh, Madhya Pradesh, Jharkhand & Chhattisgarh. She has been designated as coordinator for implementation of activities under AMRUT. She has also conducted & assisted in conduct of several research studies in the field urban management.
5.	Dr. A. K Singh	Urban Management, Urban Poverty Alleviation and Disaster Management	Ph. D	Has been with the Regional Centre for Urban & Environmental Studies Lucknow (RCUES) since 2006. Currently, he is working as Assistant Director in the Centre. Dr. Singh holds a doctorate degree in Political Science from Lucknow University and has varied experience of research, teaching and training of more than 26 years. He was Member, Working Group on Child Rights for Twelfth Plan, Planning Commission, Government of India, New Delhi in 2012. He is a prolific writer and has to his credit an array of published books, scholarly papers, and reports. He has contributed as

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S.No.	Name	Area of Expertise	Educational Background	Brief of Experience of working with City Government in India/ International Experience
				Consultant and Project Director in various projects and programmes funded by DFID, UNICEF, World Bank, UNDP, UNESCO, UNAIDS and various ministries and departments of Central as well State governments. He received Outstanding Professional Award by American Biographical Institute, California, USA, in 2001, 500 Leaders of Influence, ABI, USA in 2000, and was felicitated by Bharat Jyoti Award and Certificate of Excellence as well as Rajiv Gandhi National Excellence Award by India International Friendship Society, Best Citizen of India Award by International Publishing House, New Delhi, in 2012, Bhojpuri Samman, 2014, U. P. Ratan Award in 2015 and Outstanding Scientist Award in 2016. Dr. Singh is associated with a number of academic institutions, Corporate Houses, reputed Government and Non-government organizations.
6.	Dr. Nasruddin	Urban Poverty Alleviation, Social Mobilization, Urban Management, Smart Cities, AMRUT, RAY Social Audit	Ph. D	Has been with the Regional Centre for Urban & Environmental Studies Lucknow (RCUES) since 2013. Currently, he is working as Assistant Director in the Centre. He completed his master degree in Geography from Aligarh Muslim University and doctoral research in Urban Geography from Department of Geography,


S.No.	Name	Area of Expertise	Educational Background	Brief of Experience of working with City Government in India/ International Experience
				JamiaMilliaIslamia University, New Delhi. He has been associated as Member, Editorial Board, Urban Panorama, RCUES, Lucknow. He has rich experience of about 10 years in the field of development sector, academics and research field. He is credit of several scholarly papers, research reports & training modules on different themes like Women Empowerment, Urban Management, E-Governance, Geographical Information System (GIS) etc. His areas of academic interest include Research & Training, Geographical Information System (GIS), Urban Poverty Alleviation, Urban Management, Social Mobilization and Development, Social Audit, Urban Governance, Environment, Climate Change, Gender Issues etc.
7.	Himanshu Chandra	HFA, RAY, Smart Cities, AMRUT, Urban Planning & GIS	Masters in Planning	Has been with the Regional Centre for Urban & Environmental Studies Lucknow (RCUES) since 2013. Currently, he is working as Assistant Director in the Centre. An Urban and Regional Planner, he obtained his Masters from School of Planning and Architecture, New Delhi. A registered Town Planner with Institute of Town Planner, India (ITPI) with more than Ten years of Urban planning experience across India. Has good


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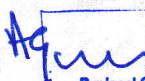
S.No.	Name	Area of Expertise	Educational Background	Brief of Experience of working with City Government in India/ International Experience
				understanding and knowledge of Urban & Regional Planning, SMART cities, Town Planning Schemes, City Development Planning and Master Planning; Transportation Modelling; Public Transport Planning; Developing DPRs, Feasibility Studies; Pre-bid Urban Planning Services. Expertise in application of GIS and GIS Modelling in Infrastructure projects. He has worked on various planning projects like DholeraNavi Mumbai SEZ, Maha Mumbai SEZ, Mumbai Metro II, besides formulating twin city development plan, Development plan and Town Planning Schemes, City Development Plan, Development Plans, Mumbai Metro II, SFPoA& DPR's under RAY, Preparation of Integrated Transportation System Plan, Conducting Traffic Survey, Network creation, Traffic Study and Transport Modelling, Feasibility Report and Project Development, etc
8.	Ajit Kumar Mishra	Social Mobilization, Skills and Urban Poverty Alleviation	MSW Bhoj Open University, Bhopal MBA (HRM) Guru Ghasi Das University, Bilaspur.	Has been with the Regional Centre for Urban & Environmental Studies Lucknow (RCUES) since 2013. Currently, he is working as Assistant Director in the Centre. He holds a Master's in Social Work from Bhoj Open University, Bhopal and possesses a MBA in (HRM) from Guru Ghasi Das University, Bilaspur. He has a


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S.No.	Name	Area of Expertise	Educational Background	Brief of Experience of working with City Government in India/ International Experience
				vast experience of more than 11 years in the field of Social Development and Capacity Building activities.
9.	Zia ulHaque	Urban Planning	Bachelors in Architecture from Government College of Architecture Lucknow.	He is an Urban & Regional Planner from CEPT University Ahmedabad with Bachelors in Architecture from Government college of Architecture Lucknow. He is currently associated with Regional Centre for Urban & Environmental studies Lucknow as Urban planner architect in Project development & Management cell (PDMC AMRUT) for development urban parks & green spaces & urban transport sectors .prior to this he is involved in preparation of SLIP & SAAP for various cities of Uttar Pradesh & CCBP programme .He is also visiting in Masters in urban design programme. Interest areas include urban revitalization & Urban design projects, Tourism planning & Low cost Housing design integrating with cultural landscapes of the surroundings.
100	P Nigam	Civil Engineering	Diploma in civil Engineering Lucknow Polytechnic Uttar Pradesh	He holds a Diploma in Civil Engineering from Lucknow Polytechnic Uttar Pradesh. He has to his credit a rich experience of more than 28 years in various ULBs at State Level.


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