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Government of India  
Ministry of Housing and Urban Affairs  
(SBM & PHE Division)

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Nirman Bhawan, New Delhi

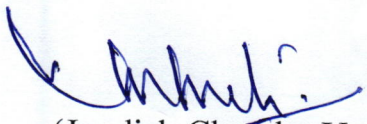
Dated: 06<sup>th</sup> June, 2022

Office Memorandum

**Subject: Minutes of the First Meeting of Project Steering Committee for MoHUA-UNDP Sustainable Dry Waste and Plastic Waste Management Project- regarding.**

The undersigned is directed to forward herewith the Minutes of the first Meeting of Project Steering Committee (PSC) for MoHUA-UNDP Sustainable Dry Waste and Plastic Waste Management Project, which was held under the Chairpersonship of JS (SBM), MoHUA on 4<sup>th</sup> May, 2022, for necessary action.

Encls: as above

  
(Jagdish Chandra Upreti)  
Under Secretary (PHE)  
Phone No. 23063058

To  
All as per list of participants

**Minutes of First Meeting of Project Steering Committee for MoHUA-UNDP  
Sustainable Dry Waste and Plastic Waste Management Project**

Date : 4<sup>th</sup> May, 2022

Venue : Room No. 417-C, Nirman Bhawan, New Delhi

The first Project Steering Committee (PSC) meeting for MoHUA-UNDP Plastic Waste Management (PWM) programme was held on May 4, 2022. The meeting was Chaired by National Mission Director and Joint Secretary (SBM-U) MoHUA and co-chaired by Deputy Resident Representative, UNDP. The List of Participants attended the PSC meeting are enclosed as Annexure- I and the Agenda are enclosed as Annexure- II.

**1. Opening remarks:**

- a. The Chair highlighted two significant components for achieving the objectives of SBM-U 2.0. The first component is sustaining the outcomes achieved in SBM-U 1.0. The second phase is to ensure garbage free cities. Inter alia, the achievement of the goals of SBM-U 2.0 would include effective and sustainable management of waste, behaviour change pertaining to source segregation coupled with efficient door-to-door collection, operationalizing material recovery facilities (MRF) in each city, and the right technology to ensure optimum capacity utilization of MRFs. The Chair also mentioned that the activities to be undertaken by UNDP should be aligned to the objectives of SBM-U 2.0.
- b. The Co-Chair shared that the steering and reviewing role of the PSC is a valuable input for the plastics work, as well to align UNDP's work with the Ministry's vision for the sector. He shared that UNDP is playing the role of mobilizing resources and implementing activities on the ground as direct implementation model.
- c. Mr. Ashish Chaturvedi, Head- Energy, Environment & Resilience, UNDP, shared that the PSC will strengthen the quality assurance function for the Plastic Waste Management programme.
- d. Mr. Shailesh Kumar, Executive Engineer shared SDMC's (Now MCD) experience of partnering with UNDP for establishment of a flagship Material Recovery Facility (MRF) at Dwarka. The facility has a current capacity of 5 MT and can be scaled to 10 MT.

**2. Key Decisions:**

- a. The Terms of Reference of the PSC and its constitution was approved, with the recommendation that representatives from related Ministries like MoEFCC and Niti Aayog may be requested to participate in specific PSC meetings as guest invitees depending on the PSC agenda. The Terms of Reference of the PSC have been amended accordingly and enclosed as Annexure III.
- b. The broad coverage and activities of the Plastic Waste Management programme were presented, including the project annual work plan, project delivery, budget, risks and challenges. UNDP reiterated its commitment to develop and scale technology initiatives like Smart Swachhta Kendras.
- c. The PSC approved the Annual Work Plan (AWP), project delivery and the budget. The risks assessment was also endorsed.

- d. It was shared with the PSC that at the time of inception of the programme, a project document (ProDoc) was approved by the Department of Economic Affairs (DEA) in the Local Project Appraisal Committee (LPAC) meeting, held on May 15, 2019. In the LPAC meeting, DEA requested MoHUA to play a pro-active role in the selection of appropriate cities and also ensuring mobilization of sufficient funds by leveraging funds provided by private companies. This has been recorded in the LPAC meeting minutes. The project document needs to be amended to incorporate subsequent developments in the project and integrate implementation experiences. The amendments presented before the PSC are enclosed as Annexure IV. The Chair requested that the original and amended ProDoc be shared with the Ministry for its review. Subsequently, the documents were shared with the Ministry officials and the proposed amendments have been approved.
- e. Further, with the permission of the Chair, the agenda item of digitization of 2,000 MRFs was presented to the PSC to seek guidance on the way forward. It was emphasised by the Chair that due diligence of the potential service providers will be required before proceeding with the proposal and all the proposal must ensure the convergence with existing SBM-U 2.0 MIS. UNDP team will present the roll out plans for digitization of MRFs to MoHUA which needs to be implemented at the earliest.
- f. Guest invitees from the Recykal team presented the digital tools for developing Smart Swachhta Kendras. The various features and benefits to various stakeholders including the waste pickers were shared before the PSC. The Chair and Director (SBM) suggested that the development of Smart Swachhta Kendra should be undertaken in a phased manner. The selection of cities to be undertaken in consultation with the Ministry.
- g. The Chair requested UNDP to design a document basis the already functional MRFs of UNDP. This documentation should encompass the following aspects:
- i. Factors to be considered while planning a Material Recovery Facility for different population categories of cities
  - ii. Operationalization of a facility with respect to financing, project management, safety measures, dos and don'ts, forward-backward linkages, exit plan etc.
  - iii. The model of plastic waste management in a city should include the following 5 dimensions:
    1. Infrastructure
    2. Social inclusion of waste pickers
    3. Digitization
    4. IEC and Capacity building
    5. Sustainability (including financial) of the model

UNDP was requested to share a timeline and implementation plan for finalizing the documentation. It was agreed that a workshop would be organized to deliberate on the outline and contents of the document.

- h. The Chair requested UNDP to support it in running a national campaign on source segregation and waste management. The campaign should be developed with an innovative approach that creates sensitization across the country and has a strong monitoring component to measure the impact of the campaign. The campaign should include dedicated *Swachh Talk* series only on plastics and segregation. UNDP to put dedicated 2-3 resources for conceptualizing and designing the national campaign.

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## **Annexure I: PSC Participants**

### **Participants from Ministry of Housing and Urban Affairs:**

1. Ms. Roopa Mishra, Joint Secretary (SBM) & National Mission Director (Chairperson of the Project Steering Committee)
2. Mr. Binay Kumar Jha, Director (SBM)

### **Participant from Urban Local Body:**

1. Mr. Shailesh Kumar, Executive Engineer, South Delhi Municipal Corporation (Now MCD)

### **Participants from UNDP India:**

1. Mr. Dennis Curry, Deputy Resident Representative (Co-Chair of the Project Steering Committee)
2. Mr. Ashish Chaturvedi, Head – Energy, Environment & Resilience
3. Ms. Saloni Goel, Head – Circular Economy & Plastic Waste Management
4. Mr. Srikrishna Balachandran, Project Manager, Plastic Waste Management
5. Ms. Smera Chawla, Project Officer – Strategy & Alliances, Plastic Waste Management (Note Taker)

### **Guest Invitee from Recykal**

1. Mr. Abhay Deshpande, Founder & CEO
2. Ms. Ekta Narain, Co-Founder & Vice President

**Annexure II: PSC Agenda**

<b>S. No</b>	<b>Action Items</b>	<b>Timing</b>
1	Welcome and introduction	2 mins
2	Constitution and vision of the PSC by Mr. Ashish Chaturvedi, Head – Environment, Energy and Resilience, UNDP India	3 mins
3	Opening Remarks by Chair and Co-Chair: <ul style="list-style-type: none"><li>▪ Ms. Roopa Mishra IAS, Joint Secretary (SBM) &amp; National Mission Director, Ministry of Housing and Urban Affairs</li><li>▪ Mr. Dennis Curry, Deputy Resident Representative, UNDP India</li></ul>	10 mins
4	<u>Agenda for discussion and decision</u> <ul style="list-style-type: none"><li>▪ Presentation on UNDP PWM Project (covering project annual workplan, project delivery, budget, risks, and challenges)</li><li>▪ Project document (ProDoc) and proposed amendments</li><li>▪ Any other point with the permission from Chair</li></ul>	30 mins
5	Way forward & Closing Remarks	5 mins
6	75 Cities Smart Swachhta Kendra Proposal (Presentation by Guest Invitee - Recykal)	10 mins

**Terms of Reference (ToR)  
Project Steering Committee (PSC) of  
Sustainable Dry Waste and Plastic Waste Management Project**

**Objective:** Establishment, operation, and demonstration of sustainable plastic waste management models with a focus on technology, governance, social inclusion and awareness, to strengthen the dry waste management ecosystem in India

**I. Background**

All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on established monitoring and evaluation metrics and high-level implementation issues to ensure quality delivery of results. The Project Steering Committee is the most senior, dedicated oversight body for a UNDP 'Development Project', which is defined as an instrument where UNDP "Delivers outputs where UNDP has accountability for design, oversight and quality assurance of the entire project."

The Sustainable Dry Waste and Plastic Waste Management Project is currently being executed under the Direct Implementation Modality (DIM) of UNDP India. A Local Project Appraisal Committee (LPAC) approval has been effected for this initiative by Department of Economic Affairs (DEA), Ministry of Finance vide letter F. No. 11/1/2018-UN dated 22nd May 2019. At that juncture, the Ministry of Housing & Urban Affairs (MoHUA) has been requested to oversee the implementation and further scale up of the project. A Memorandum of Understanding (MoU) to this effect has been entered into between MoHUA and UNDP on 6th December 2021. Further to this, a Project Steering Committee (PSC) is being constituted comprising MoHUA, UNDP India and other key stakeholders.

**II. Duties and Responsibilities**

The two prominent roles of the Project Steering Committee are as follows:

1. **High-level oversight of the project** This is the primary function of the Project Steering Committee (PSC). The PSC reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, monitoring missions' reports, evaluations, risk logs, quality assessments, and the combined delivery report. The PSC is the main body responsible for taking corrective actions as needed to ensure the project achieves the desired results. And its function includes oversight of annual (and as-needed) assessments of any major risks to the programme or project, and related decisions/agreements on any management actions or remedial measures to address them effectively.

The PSC also carries the role of quality assurance of the project taking decisions informed by, among other inputs, the project quality assessment. In this role the PSC is supported by the quality assurer, whose function is to assess the quality of the project against the corporate standard criteria. This function is performed by a UNDP programme or monitoring and evaluation officer to maintain independence from the project manager regardless of the project 's implementation modality.

The PSC reviews updates to the project risk log.

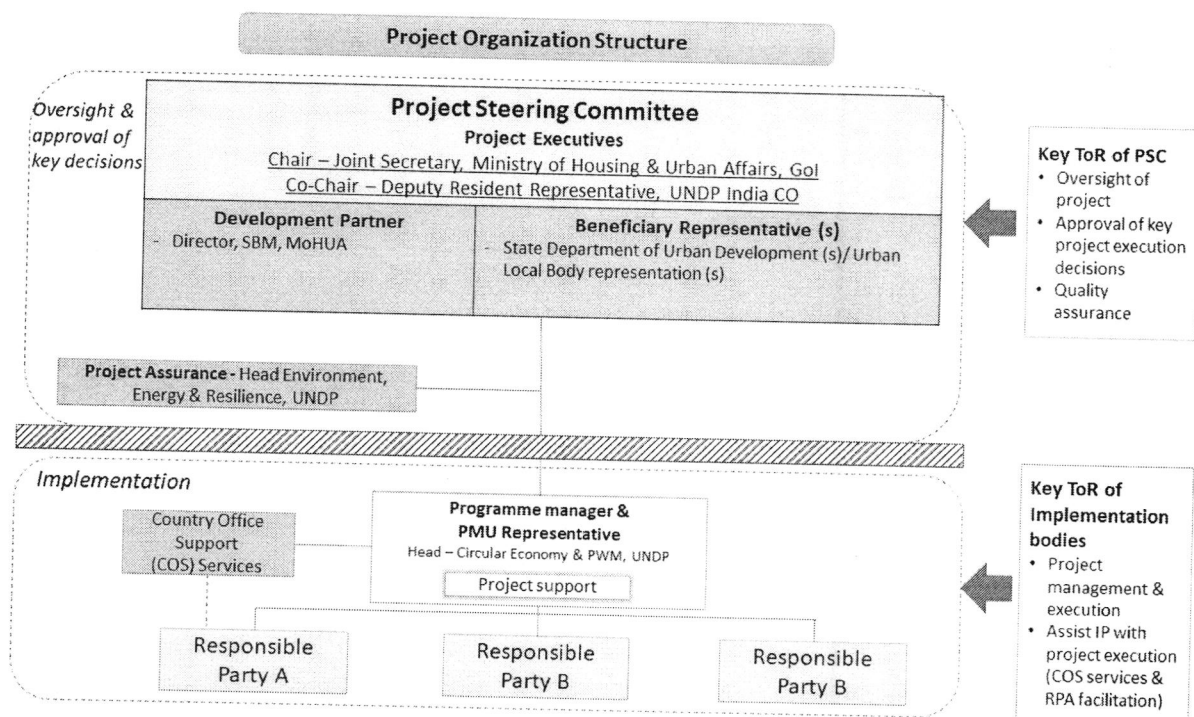
2. **Approval of key project execution decisions** The PSC has an equally important, secondary role in approving certain adjustments above provided tolerance levels, including substantive programmatic revisions, budget revisions, requests for suspension or extension and other major changes

The PSC is responsible for making management decisions by consensus when required, including the approval of project plans and revisions, and the project manager's tolerances. The PSC approves annual work plans and reviews updates to the project risk log.

Within the overall governance and management arrangements of the project, the role of the PSC as regards these two key functions ('High-level oversight of the project' and 'Approval of key project execution decisions') is distinct from the roles of entities involved in the implementation of the project, namely the implementing partner (IP), responsibilities parties, service providers and project staff.

The diagram below outlines the main entities involved (and their respective responsibilities) in the 'oversight/approval of key execution decisions' layer and the 'implementation' layer of the project structure.

**Diagram 1 – Project Organization Structure vis-à-vis oversight & approval and implementation roles**



In order to ensure UNDP's ultimate accountability, the PSC decisions should be made in accordance with the Quality Standards for Programming that shall ensure management for development results, best value money, fairness, integrity, transparency and effective national and international competition. An effective PSC needs credible data, evidence, quality assurance and reporting to aid decision. The PSC also needs to be accountable to protect against conflicts of interest and fraud.

Specific responsibilities of the PSC include the following:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints, and promote gender equality and social inclusion (LNOB) in the project implementation.
- Review project performance based on monitoring, evaluation and reporting, including standard quality assurance checks, progress reports, risk logs, spot checks/audit reports and the combined delivery report;
- Address any high-level project issues as raised by the project manager and project assurance;
- Provide guidance on emerging and/or pressing project risks and agree on possible mitigation and management actions to address specific risks (including ensuring compliance with UNDP's Social and Environmental Standards, Fraud/corruption, Sexual Exploitation and Abuse and Sexual Harassment);

- Agree or decide on project manager's tolerances as required, within the parameters set by and the donor, and provide direction and decisions for exceptional situations when the project manager's tolerances are exceeded;
- Advise on major and minor amendments to the project within the parameters set by UNDP and the donor;
- Agree or decide on a project suspension or cancellation, if required;
- Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Receive and address project level grievance, including overseeing whatever specific compliance and stakeholder response (or grievance) mechanisms have been put in place so that individuals and communities potentially affected by the project have access to effective mechanisms and procedures for raising concerns about the social and environmental performance of the project.

Additional responsibilities of the PSC can include, but are not limited to, the following:

- Ensure coordination between the various donors and government-funded projects and programmes;
- Report to relevant inter-ministerial bodies or higher-level oversight bodies;
- Ensure coordination with multiple government agencies and their participation in project activities;
- Track and monitor co-financing for this project;
- Act as an informal consultation mechanism for stakeholders;
- Review the final project report package during an end-of-project review meeting to discuss lessons learned and opportunities for scaling up;
- Providing guidance or reporting protocols to technical committees or sub-bodies reporting to the PSC)

### III. Composition of the PSC

#### 1. Project Executive & Chair of the Project Steering Committee:

**Chair:** Swachh Bharat Mission (U) – MoHUA represented by the Joint Secretary (SBM) will provide the strategic guidance and support in project planning and implementation.

**Co-Chair:** United Nations Development Program represented by Deputy Resident Representative shall ensure the responsibility and accountability of project implementation under this Direct implementation Modality (DIM). As the project executive, UNDP has the fiduciary accountability, responsibility for effective implementation of the project.

#### 2. Beneficiary Representative (s):

They shall represent the interests of those groups of stakeholders who will ultimately benefit from the project. Their primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. Beneficiary representatives shall include representatives from State Department of Urban Development (s)/ Urban Local Body (s) etc.

#### 3. Project Assurance Representative:

Project assurance representative (independent from PMU) is responsible for carrying out objective and independent project oversight and monitoring functions. Project assurance representative from UNDP shall perform the role of quality assurance and support the PSC & PMU by carrying out objective and independent project oversight and monitoring functions, including applying UNDP's social and environmental management system to ensure the SES are applied through the project cycle. The role will be played by Head – Environment, Energy & Resilience, UNDP



#### 4. Project Management Unit:

The Project Management Unit (PMU) represented by Head- Circular Economy& PWM, UNDP will be responsible for the day-to-day planning and implementation of project activities and will be based out of UNDP Country Office in New Delhi. The team will work under the guidance of the PSC and in close coordination with the donor on all matters related to project implementation and will coordinate with the decentralized state/regional teams. The regional teams will be put in place and will work in close coordination with key agencies of the local government and agencies of selected cities under the states. Necessary support staff will be provided as required at the State/Regional Units.

#### Other Special Invitees and government agencies may include:

5. **Responsible parties & Implementation Partners:** The project shall be implemented with the support of implementation partners/ service providers that will be responsible for planning, implementation, operation and management for sustainable operation of Smart Swachhta Kendras and conducting IEC activities. In this it will draw on the significant experiences from current operations and partnerships in urban areas across the cities in the country. The project will further form partnerships for working in new geographies and with new, innovative technologies in the field of plastic waste management. The project will ensure identification, orientation and support to the implementation partners to be engaged in implementation of project initiatives. In addition, technical Consultants will be engaged for technical inputs related to plastic waste management and supporting in capacity building, technical monitoring, documentation, and dissemination of project learning.
6. **State Governments:** The project through the selected agencies in every city will build partnerships with the city municipal corporations, state pollution control boards, and related state departments. State governments will also play a role here in guiding and steering the project activities for better recycling facilities.
7. **Ministry of Environment, Forest & Climate Change (Central/State Pollution Control Board):** provide the requisite guidance and clearance to operate the facility as per Solid Waste Management (SWM)Rules, Plastic Waste Management (PWM)Rules, Extended Producer Responsibility (EPR) guidelines and all other applicable local regulations.
8. **NITI Aayog:** helping UNDP strengthen coordination with multiple stakeholders including pollution control boards, urban development departments, recyclers, CSOs, waste management agencies etc.
9. **Registered recycler:** having facility authorized under the respective state pollution control board for processing the respective material and also issue the requisite documentation on a timely basis in accordance with existing rules and regulations.
10. **Others:** Researchers, circular economy experts, representatives from industry bodies/associations, recycler bodies/associations, CSOs, technology experts and other associated experts.

#### Composition of the Project Steering Committee:

S. No	Title	Official Designation	Organization
1	Chair	Joint Secretary (SBM) and National Mission Director (Swachh Bharat Mission- Urban)	Ministry of Housing & Urban Affairs
2	Co-Chair	Deputy Resident Representative	United Nations Development Program
3	Development Partner	Director (Swachh Bharat Mission – Urban)	Ministry of Housing & Urban Affairs
4	Beneficiary Representative (s)	Designated Official (s)	State Department of Urban Development (s)/ Urban Local Body (s)
5	Project Assurance Representative	Head - Environment, Energy and Resilience	United Nations Development Program
6	PMU Representative	Head – Circular Economy& Plastic Waste Management	United Nations Development Program

#### **IV. Standard PSC Protocols**

The PSC must meet one time annually at a minimum. It is recommended that the timing of board meetings be agreed upon in advance and corresponds to key project reporting or work planning milestones. This PSC will meet twice annually according to this provisional schedule in the LPAC approval.

PSC members cannot receive remuneration from project funds for their participation in the PSC meeting. However, it is allowable for PSC members to be reimbursed from project funds for certain reasonable, qualified expenses related to travel or lodging to attend board meetings. Such protocols are outlined in this ToR and the benefits are applicable to all eligible PSC members.

PSC must have rules for quorum and documentation/minuting of PSC decisions. All PSC decisions and minutes should be kept by the project management unit and UNDP. Guidelines on decisions taken in between PSC meetings or virtually should be clearly elaborated in the Terms of Reference (ToR) of the PSC.

#### **V. Standard Outputs of PSC Meetings**

In its oversight function, the PSC will review and assess the following project-related evidence at each meeting:

- Assessment of project progress to date against project output indicators (as documented in the project document results framework)
- Approval/review of annual work plans
- Assessment of the relevant Monitoring & Evaluation mechanisms, including all evaluations including audit reports and field checks
- Review and assessment of the Project Risk Log (with updating/amendments as needed)
- Assessment of project spending, based on a review of the combined delivery report
- Review of required resources versus available funding and steps taken to reduce funding gap identified at the project design stage

This will be in addition to the review and approval of any required project execution decisions.

The output of every PSC should be a written record (minutes) that captures the agenda and issues discussed and the agreed upon action items and decisions. Each report should clearly document the members attending the meeting (as well as all participants in the meeting) and the modality used to agree on a certain action or decision (whether formal agreement or no-objection or other mechanism). All records of PSC meetings should be documented and kept by UNDP in their quality assurance function.

**Annexure IV: ProDoc Amendments**

S.No.	Existing Project Document Detail	Proposed Amendment	Rationale	Remarks by PSC
1	The proposed engagement with Hindustan Coca Cola Beverages Pvt. Ltd. (HCCBPL) and Hindustan Unilever Ltd., through which project will be mainly financed, builds on the extensive experience of UNDP in the country on a diverse range of aspects including ecological restoration, water management, institution building, capacity development and community mobilization.	Instead of with Hindustan Coca Cola Beverages Pvt. Ltd. (HCCBPL) and Hindustan Unilever Ltd. The term “donor” to be used.	UNDP over the time has entered into partnership with Coca Cola Foundation, HDFC is through CAF (Charities Aid Foundation), Nayara is through CTSI (CSR trust for SDGs in India). Donor is the generic term used in UNDP.	PSC approved
2	Other brand owners may join in future in scaling the project model approach.	UNDP may enter into partnerships with, but not limited to, government agencies, private sector entities, multilateral and bilateral entities for future scaling of the project.	UNDP can engage with other players in the sector for scaling up the project in the country and not limit to just brand owners. Brand owners is used as per PWM Rules and defined as “a person or company who sells any commodity under a registered brand label”.	PSC approved
3	NGOs & Civil Society Organizations (CSOs) to effectively manage, enhance and maintain facilities for plastic waste recycling at selected cities.	NGOs & Civil Society Organizations (CSOs), SHGs will be onboarded as implementation partner through Responsible Party Agreement. All other partners for implementation will be onboarded through Professional contracts as “service providers” which shall include private entities. Letter of intent is signed in case of government entities.	With the changing landscape of EPR, focus on recycler linkages and meeting tonnage target, having private and similar entities as service provider along with NGOs gives wider outreach and coverage to the project.	PSC approved
4	The project identified below mentioned risks – <ul style="list-style-type: none"> <li>• State and provincial governments none or low cooperation</li> <li>• Backend recyclers not much interested</li> <li>• Lack of cooperation of waste pickers</li> </ul>	Over the time with on ground experiences certain other risks have been identified. This may be categorized as <ul style="list-style-type: none"> <li>• Operational</li> <li>• Institutional</li> <li>• Occupational</li> <li>• Financial</li> </ul>	Changes in policy landscape, learnings from on ground implementation.	PSC approved

5	Governance and Management Arrangements - The overall proposed project governance and implementation structure, Organization Structure, Roles and Responsibilities.	Updating the entire Governance and Management Arrangement section with reference to newly constituted Project Steering Committee (PSC).	As per the terms of reference approved by the Chair and Co-Chair.	PSC approved  (UNDP to update ToR and include MoEFCC and NITI Aayog as guest invitees)
6	Economically sustainable model for collection, segregation and transport demonstrated and established.	Procurement of Vehicles – Based on a need analysis vehicle to be procured for ULBs to enhance collection and transportation of plastic/dry waste to Swachhta Kendra. The role for UNDP is to procure the vehicle and to handover it to the ULB.	Transportation vehicle if it is procured will enhance the collection of waste.	PSC approved
7	Setting up of Swachhta Kendras	Including civil, mechanical, electrical and machinery installation at Swachhta Kendra (MRF) on need basis.	Provision in the project to include civil, mechanical, electrical and machinery installation at Swachhta Kendra based on the requirements from ULBs and project donors.	PSC approved
8	End date of Project – June 2024	End date of Project – December 2024 and possible extension as per financing agreements signed with the donors.	The end date of HCCB project has been extended to December 2024. (HUL - October 2023, HCCB - December 2024, Nayara - December 2024, CCIF - December 2023)	While the PSC has approved the amendment, the Chair has recommended to align the end date with SBM 2.0, which is December 2026.
9	Plastic Waste Management	Extending the project to manage dry waste along with plastic.	MRFs cater to requirements of ULBs which means the MRFs or Swachhta Kendras also collect & process dry waste. However, the focus of the project is plastic.	PSC approved
10	Location of project - Project will be in 50 cities in 19 states.	Project is scalable PAN India	Plastic waste is a country level problem that needs to be managed. The project is scalable and replicable PAN India with support from ULBs.	PSC approved
11	Total resources (budget) required & mobilized was USD 22.77 million (Contribution in cash USD 17.90 million, Contribution in kind USD 4.87 million)	Total resources (budget) required & mobilized has increased to USD 29.58 million (Contribution in cash USD 24.71 million, Contribution in kind USD 4.87 million)	UNDP over the time has entered into new partnerships with CCIF, HDFC through CAF (Charities Aid Foundation), Nayara Energy through CTSI (CSR trust for SDGs in India)	PSC approved