

## **Section 7. Terms of Reference**

1.1 Assam has approximately 1980 km of navigable waterways of which the most important for transport purposes are the Brahmaputra and Barak Rivers. The Brahmaputra River with a length of 891 Km between the Bangladesh Border (Dhubri) and Sadiya, was declared National Waterway no. 2 by the Government of India in 1988, the development of its navigation infrastructure thereafter being the responsibility of the Inland Waterways Authority of India (IWAI). However, while IWAI is responsible for the navigation 'fairway' it does not own the water resources or have responsibility for operating water transport services. Landside activities such as riparian land-use development are regulated by State or local governments.

1.2 The Brahmaputra, running through the heart of the state, provides a vital link for both urban and rural ferry services which are the single most important transport mode for many sections of the population, especially rural households in Assam. These ferry services are provided by the Directorate of Inland Waterway Transport Assam (DIWTA), and by country boat operators – typically small independent and informal private businesses. In addition to the 97 ferry service routes designated by the Directorate of IWT, there are numerous routes licensed by the local (village) and district councils. Other users of the river include the Central Inland Water Corporation Limited (a Government of India Undertaking transporting cargo and operating some terminals on the rivers in the Eastern India & North-Eastern India and on the Indo-Bangladesh protocol routes), Border Security Forces, tourist organizations and private operators. Navigation on the Barak River (152 km) is minimal at present, which is declared as National Waterway 16 under the National Waterways Bill along with another 9 (nine) rivers in Assam.

1.3 The DIWTA established in 1958 and part of the Assam Transport Department is currently responsible for developing, maintaining and regulating IWT services in the state. It also operates and maintains many of the passenger transport services, ferry terminals and navigation aids on both Brahmaputra and Barak Rivers. Headquartered in Guwahati, it has three divisional offices in Guwahati, Dibrugarh and Silchar; five sub-divisional offices in Guwahati, Goalpara, Jorhat, Dibrugarh and Hailakandi; and three commercial offices at Guwahati, Goalpara and Dibrugarh. It also has a Crew Training Centre at Guwahati. DIWTA currently has a total of about 3475 regular staff.

1.4 The ferry service as a whole is characterized by an aging and poorly equipped fleet. Most demand is now met by the informal sector operating traditional country boats without supporting infrastructure. Terminal facilities and navigational aids are insufficient. Most ferry terminals consist of no more than improvised moorings on the bank of the river, which require relocation with changing river conditions, often over substantial distances. In the absence of bank protection the main ferry terminals in or close to the urban centres (provided with steel pontoon that improves access) also often require relocation. The cargo sector is small partly because of market circumstances, partly because of connectivity problems and partly because the navigation standards provided do not permit reliable year round use by large modern vessels that can deliver competitive advantage over other transport modes

### ***2. Objective(s) of the Assignment***

The Government of Assam wishes to transform the quality of inland water transport services

and integrate high quality passenger, cargo and vehicle ferry services into Assam's wider transport network. To facilitate this new approach, the Government plans to create a more supportive institutional framework. . While the precise allocation of functions and staff has not been finalised the broad intention is that:

- the high level sector strategy and policy will be the responsibility of the Department of Transport;
- the safety, environmental and economic regulation of the sector (shipping, ports, shipbuilding) will be carried out by an independent inland waterways transport regulatory authority (RA) to be established as a statutory authority and at arm's length from either the Department of Transport or industry operators, and which shall be competitively neutral as between private and public participants in the industry;
- the operational and commercial functions of the government's shipping operations and terminal services is proposed to be vested in two new corporations, the Assam Inland Water Transport Corporation Limited (AIWTCL)(indicative name) and the Assam Inland Ports Corporation Ltd (AIPCL)(indicative name) respectively, the latter providing terminals and terminal services on a common-user basis. The two new corporations will be constituted under the Companies Act (2013).
- the DIWTA will retain a number of residual and other functions to be defined and developed during the study to ensure continuing employment for existing DIWTA staff not absorbed into the other entities An enabling Statute to underpin establishment of the RA, is currently being drafted by the National Law University and Judicial Academy, Assam.

### ***3. Scope of Services, Tasks (Components) and Expected Deliverables***

3.1. The broad scope of service include:

**A.** Review, analyze and advise the most appropriate allocation of roles, functions, assets and staff among the current and planned institutions involved in the IWT sector in Assam (including but not limited to those described in Para 2) and any additional amendments and additions to the draft legislation establishing the RA to optimize its effectiveness and promote the sound development of inland waterway transport in Assam.

**B.** Comprehensively review the resource and process needs of a successful RA and provide institutional plans, regulatory schedules, processes and management systems that will ensure the capacity of the RA to perform its new roles in regard to IWT sector regulation; and

**C.** Assist each of AIWTCL and AIPCL to develop a company Business Plan (and a reproducible business planning methodology) to guide each company through the initial period of independent operation.

**D.** Review, analyze and recommend the residual and other functions to be retained by DIWTA including possible development of new sector functions that will ensure a productive role and employment of those staff not required by the new entities for their efficient operation.

- Each of the four distinct modules has specific task requirements and deliverables. But they are interrelated in contributing towards the overarching objective of the assignment, which is to help create an institutional framework through which the Government of Assam may pursue its IWT development goals in the most efficient and effective way. Consultants should

note that so far as the substantive IWT development strategy is concerned, a separate consultancy is being commissioned to prepare an Integrated IWT Development Plan for the government that will translate these development goals into specific physical and spatial development projects and initiatives. Consultants undertaking the Institutional Strengthening and Business Planning (ISBP) assignment, should coordinate with the Consultants undertaking the Integrated Strategy Development Plan (ISDP), to ensure alignment of the business plan, demand and supply forecasts, investment plan etc.

- In complying with the Terms of Reference the Consultant is to advise on good international practices relevant to the tasks to be undertaken. The Consultant will therefore need to compare the existing institutional structure with international practices in the organization of the inland waterway sector, using a small number of nominated ‘comparator’ countries (3-4 countries) where there is an active IWT sector involving both freight and ferry/passenger vessel activity. In doing so the Consultant is not required to provide compendia of international practice but concentrate on conveying concise, specific and accurate structural information and insights relevant to the questions posed by the Terms of Reference.

## **MODULE A: SECTOR INSTITUTIONAL STRUCTURE**

The institutional and governance structure of Assam’s IWT sector will create the enabling environment in which the water transport industry operates in terms of the effectiveness of sector organization, the market freedoms which it permits, the regulatory requirements it imposes, and the responsiveness with which the government fulfils its functions. In this regard the Consultant shall undertake the following tasks:

A (i) *Familiarization*: Gain a good understanding of the IWT sector in Assam and consult closely with the relevant Assam policy makers and institutions to fully understand the current organization of the IWT sector in the State, the plans and ideas of decision-makers with regard to options for re-organizing the allocation of functions between different institutions, and the statutes and company documentation being drafted for new entities.

A (ii) *Functional Mapping*: Develop and agree with stakeholders a detailed functional map, or matrix, of all functions that currently contribute or could contribute to the good governance and successful development of IWT in Assam, identifying which institutions are currently responsible for which functions:

- The relevant functions should include (but may not necessarily be restricted to): multi-modal transport strategy; transport policy development (including transport safety and sustainability aspects), advice and administration; water resources management; promotion of IWT services and incentivizing low carbon transport, IWT regulatory functions (separating technical, economic, safety, environmental and social regulation); IWT infrastructure provision, maintenance and financing (fairways, bank stabilization and management etc., navigation aids, terminals and jetties in urban and rural areas etc., river dredging); IWT transport operations (freight and passenger shipping operations, port and stevedoring operations; connecting modes; support services (e.g. vessel repairs, tug services, warehousing, etc.); ensuring effective environmental health and safety (EHS) management, upholding of labour health and safety standards; monitoring and evaluation, grievance management and citizen feedback systems.

- Relevant institutions should include (but may not necessarily be restricted to): specific ministries or authorities/directorates of ministries of the Government of India; relevant departments and directorates of the Government of Assam (GoA) including planned new entities; urban and rural local government authorities; state or locally-owned enterprises; private companies in various IWT industry sub-sectors.

A (iii) *Institutional appraisal*: Review as well as evaluate the overall existing and planned institutional structure, functional allocations, accountability mechanism and institutional effectiveness. Pinpoint any overlaps, omissions or uncertainties. Identify areas where there is lack of clarity or any potential conflicts of interest within and between roles that may hamper development of the sector. Compare the existing situation with international practices in the comparator countries.

A (iv) *Role of public and private sectors*: Analyze the respective roles of public and private sectors in the industry in Assam and whether this is optimal or could be improved with regard to key roles or sharing of risks in the promotion, planning, financing, land assembly, IWT infrastructure provision and maintenance, waterway transport services, and other elements of a successful IWT industry. Compare the existing situation with international practices in the comparator countries. Assess the scope for creating a better balance of private and public sector roles and/or for introducing competitive and other market mechanisms for developing the IWT industry and improving waterborne transport services. The role of the public sector should also include providing an enabling environment for the participation of the private sector.

A (v) *Institutional restructuring*: Complementary to the planned new institutional structure, propose detailed allocation (or reallocation) of specific roles or detailed functions where this can be argued to meet Assam's IWT development goals in an efficient and effective manner.

A (vi) Propose specifically how the current activities, organizational units, physical assets and human resources that fall within the responsibility of DIWTA would be most appropriately allocated among the Department of Transport, the proposed RA, and the two public operating companies, AIWTCL and AIPCL. For staff not necessary to meet the efficient operational requirements of the four proposed entities, assess the structure and composition of the residual workforce in terms of age, education and skills. Taking account of this profile, and potential retirements over the next few years, investigate the opportunities for deployment of surplus labour to ancillary activities within inland water transport generally or in other parts of the public sector. Identify what training or retraining needs to be provided to make this possible and effective.

A (vii) *Legal and regulatory*: Review the draft legislation to underpin establishment of the RA currently being drafted by the National Law University and Judicial Academy, Assam against international good practices. Propose any further amendments and additions to this founding legislation if such further measures would improve the institutional structure and development prospects of the IWT industry in Assam.

A (viii) Taking account of the very large number of private ferry operators throughout Assam, some operating informally in rural and remote areas, identify and evaluate measures which the GoA might adopt to encourage and incentivize the registration of all ferry

operators. Although new regulations would contain penalty provisions for noncompliance, it is intended actively to encourage registration and compliance if possible through positive incentives. Consultants should review successful international practices in this regard, and may consider measures such as financial support of vessel safety and environmental improvements, insurance coverage, social payments to operators, training support and any other measures that might be identified to support the formal operational development of the industry. The advantages and disadvantages of the measures should be identified along with their potential effectiveness, assessment of public costs likely to be involved, and for recommended measures, a more detailed implementation plan to be formulated.

## **MODULE B: DETAILED ORGANIZATION, MANAGEMENT AND PROCESS PLAN AND DRAFT REGULATIONS FOR THE REGULATORY AUTHORITY**

The task of the Consultant in Module B is to prepare a detailed and comprehensive blueprint for the various activities and regulatory processes to be administered by the RA. The Consultant shall, in close consultation with the Transport Department GoA and DIWTA undertake the following tasks:

B (i) *RA regulatory objectives*: Review the regulatory objectives of the proposed RA to ensure they capture and articulate the essence of the sector vision that will inspire the organization. In this regard it is vital that the overall regulatory framework shall be underpinned by public policy objectives to develop the IWT industry in a way that is safe, environmentally friendly, encourages competition, economically sustainable, is responsive to public interests, and is competitively neutral as between the private and public participants in the industry.

B (ii) *Functions*: Specify comprehensively, with details, the safety, environmental and economic regulatory functions (and sub-functions) that the RA will need to perform and define its scope of the RA's authority in dealing with higher and lower levels of government or other ministries/Agencies.

B (iii) *Accountability*: Although the RA will be independent it will need to be accountable. Accordingly, define the reporting and accountability framework, which should include operational and financial performance parameters along with reporting requirements of Transport Department. Also develop a public transparency and reporting framework, along with a system of dealing with complaints about the administration and quality of service or conduct of the IWT sector.

B (iv) *Organization structure*: Based on the above objectives and functions, recommend an organization structure designed to encourage the RA to be agile, innovative and effective in discharging its regulatory functions whilst also being practical, cost-efficient, and consistent with any administrative requirements of the GoA. The structure should identify the main central and line divisions and the organizational sub-divisions through to operational units. Investigate if any decentralization is warranted to properly discharge the new set of functions for the RA and if so recommend an appropriate level of decentralization including number and location of decentralised offices (if necessary) -

B (v) *Regulatory administration and processes*: Propose in detail the licensing, regulatory and compliance documents along with processes, management systems, manuals and

procedures for the RA to discharge each of the main regulatory functions enabled by its statute and how they shall apply to shipping operators (passenger and freight services), terminal operators, the shipbuilding industry and other industry players. These should also include but not be limited to policy, licensing, safety, social, environmental standards, inspection and audit processes, fixing tariff fee, key performance indicators including guidelines for fixing penalty for AIWTCL/ AIPCL and private operators. Areas of regulation may include certification of vessels, training and licensing of crews, route licensing, navigation aids, safety regulations and enforcement, emergency response systems, environmental regulations and enforcement, administrative or licensing fees and charges, and other relevant matters. This should take account of examples of applicable best practices from comparator countries. Such regulatory processes should be practical and effective while advancing sustainable environmental and social development of the IWT sector in Assam. The recommendations should recognize the likely different requirements and approaches for passenger, freight, and joint passenger/freight operations and particular challenges with regard to hazardous cargoes. Prepare drafts of such new regulations that rectify any shortcomings in the current documents/regulations.

B (vi) *Consultative processes*. It will be necessary for RA to be outward looking, ready to consult with and be responsive to the views of the many public and private sector stakeholders and levels of government. Consultants should recommend an approach to creating an enduring mechanism for stakeholder consultation and input, while maintaining the independence of its deliberations and determinations in executing regulatory functions.

B (vii) Prepare an Interim Report which (a) reviews and analyses the current situation in Assam with regard to the matters investigated under tasks B (i) to B (vi); (b) reviews international practices in regard to those matters in the comparator countries; and (c) makes appropriate recommendations on those matters and under each of the headings of tasks B (i) to B (vi).

B (viii) *Human Resources*: Analyse and classify the competencies and numbers of staff necessary for the RA to perform the defined regulatory functions and on a rational basis recommend a staffing plan - including description of key responsibilities and minimum qualifications - by function, qualifications and grade. Identify gaps evident in current staff resources and how these might be filled by training, recruitment or contractual means. Identify core-training needs and recommend appropriate training programs. This could include twinning arrangements with other internationally established maritime/ waterways institutes, and making the necessary twinning arrangements as required. In consultation with Department of Transport/DIWTA, identify and recommend contours of a new training facility (including for vessel crew, river pilots, emergency response and river patrol teams) including physical capacity, faculty needed and course curriculum.

B (ix) *Information and data*: The RA shall become the nodal agency for maintaining IWT statistics in Assam. Specify in detail the physical, technical and economic information about the status and performance of IWT in Assam that the RA should capture and monitor in order to properly regulate and monitor the sector. Advise on the methods (including standard industry returns or special surveys) in order to populate this information resource.

B (x) *Financial*: Provide RA organizational cost projections for an initial 5 year period based on the above recommendations. Analyse the financial and state budget requirements of RA

under its recommended role and configuration, and requirements for budget formation, allocation, authorization, controls and audit.

### **MODULE C: BUSINESS PLANS FOR AIWTCL and AIPCL**

The two companies are to be established as separate Government Companies under the Companies Act 2013. Their first Boards will be appointed by the GoA through the DoT. Some of their initial employees will be drawn from employees willing to be transferred under deputation from the DIWTA or other departments of the GoA subject to maintenance of service terms and conditions. Other positions that cannot be filled in this way will be sourced on the open market. It is therefore likely that majority of the management and staff in the initial years of AIWTCL and AIPCL will be ex-government employees unfamiliar with the more commercial culture and management obligations of company structures.

The task of the Consultant in Module C is therefore to assist each of AIWTCL and AIPCL to develop their first Business Plans, covering a period of five years of operations, by means of a properly documented replicable process that will enable the Corporations to update on a rolling annual basis. The Consultant shall undertake the following tasks.

C (i) *Companies' objectives*: Taking account of the sector objectives of the shareholder (GoA), the technical conditions and market, environment of IWT in Assam (including potential regional markets), capture and articulate the essence of each corporation's vision, and the specific mission and business objectives that each should pursue in support of that vision. It should be noted that AIPCL would provide ports facilities and services on a common user basis and without favouring any particular user or company, public or private.

C (ii) *Current performance appraisal*: for the existing ferry and terminal services currently operated by DIWTA (those that will be transferred to AIWTCL and AIPCL), assess and, if possible benchmark the efficiency and effectiveness of the operations against reasonable comparator operations internationally, to identify changes in operational practices and/or asset investments that would improve safety and service and or financial efficiency. Identify the institutional, management or industrial issues that constrain improved performance. Pinpoint the opportunities for improvement when these activities fall under the responsibility of the new companies.

C (iii) *Market appraisal*: Undertake a quantitative and qualitative appraisal, including surveys of existing and potential users, of the scale and value of existing and potential IWT markets, suitably segmented by service type, location, and identifying other key user characteristics such as age, gender, freight, accompanying vehicles, journey purpose, access mode etc. Assess markets needs for shipping services and port facilities and identify gaps between market requirements and existing services in terms of specific attributes of service availability, service levels and service quality relative to fees. Assess competitive threats and opportunities. Note that the market appraisal should be a common resource for developing each of the two Business Plans, but each company will have its own commercial interests and the reactions of each company to market prospects may reasonably differ.

*Note that a Transport Master Plan for Assam is being developed under the ISDP, and the plans referenced under ISBP should be consistent.*

C (iv) *Market and revenue projections*: Establish realistic and segmented service and revenue

plans for each Corporation each year of the 5-year business planning period derived from the market appraisal together with proposed pricing strategies and identify key issues and critical actions which underpin these targets. Prepare a marketing plan for each company, to help secure their required revenue streams. For example, identify the customers to be targeted for passenger, freight and vehicle ferry services. For realistic projections, conduct market surveys for verification. Such appraisal should recognize the imperative of each company to be financially stable and sustainable from its income sources, which may include:

- transport income sources such as tariffs and charges for transport, port services or associated services;
- income from associated business opportunities such as property development initiatives at terminals;
- income from contracts with State or local governments to operate loss-making but socially valuable services;
- income from the IWAI for services performed on behalf of IWAI in matters relating to, for example, maintenance of navigation for which IWAI has prime responsibility;
- payment from governments for performing particular services of general industry benefit such as navigation or meteorological information services;
- Financial grants (if any).

C (v) *Functions & Organization structure*: Based on the objectives established in C(i) – ‘Company’s Objectives’, specify the functions of the proposed organisations & in detail. On the basis of the functions and the planned markets, service activities, propose market-focused organization structures for AIWTCL and AIPCL. The structures should identify the main divisions and sub-divisions of the businesses through to operational units, including local offices and options to handle operations through period based contracts with experienced and qualified third party service providers. The Consultant should also prepare manuals and documents defining the processes, procedures and management systems required for the effective functioning of AIWTCL and AIPCL.

C (vi) *Operating, Environmental and Safety Plans*: Recommend management processes and draft the safety, environmental and operating plans or manuals for managing the different activities in a way that reliably meets market needs and is safe for passengers, employees, other river users and the general public and which is consistent with the recommended regulations of the RA developed in Module B. The Consultant’s advice should be based on Assam’s specific circumstances but capturing applicable best practices of companies providing a similar range of ferry and related services in other countries.

C (vii) *Social Assessment for Institutional Restructuring of AIWTCL*: Institutional restructuring assignments involving review, analysis and development of roles, functional and staff among current and envisaged institution will be carried out. These restructuring processes are expected to cause some labor, social issues that would be associated with restructuring processes. The consultant will undertake an assessment of social and economic impacts prior to these restructuring. The key purpose will be to assess potential downstream impacts of these institutional restructuring reforms and proposes appropriate recommendations.

C (viii) *Human Resources Plan*: Analyse, outline and classify the competencies and numbers



of staff that each Corporation will need to employ to provide the defined services at most efficient staff levels consistent with functional needs and local technologies.

Recommend the distributions of employees by functions and grades, and minimum qualifications required to perform each function. It is likely that skills will need to be strengthened in some areas such as commercial management functions. Identify skill gaps and how these might be filled by training of staff transferred from DIWTA, recruitment or contractual means. Identify core-training needs and recommend an appropriate training plan.

C (viii) *Asset Management Plan*: Propose an asset management plan to ensure efficient maintenance and periodic rehabilitation and or replacement of each Corporation's assets, such plans to underpin realistic maintenance cost projections and consistent with an investment plan.

C (ix) *Investment Plan*: Propose a realistic investment plan for each corporation geared to progressively improving assets to meet each of their service and market targets with regard to service availability, service levels and service quality. Investments should be itemised by asset classes: ferries by ferry type/size; other vessel types; port/terminal investments by location; information technology; business systems etc. A realistic plan is one that will maintain adequate prudential ratios taking account of the financial structure of each Corporation and its sources of income (see C (iii)) and for which adequate coverage of debt servicing and repayment obligations can be demonstrated.

C (x) Prepare separate Interim Business Plans for each of AIWTCL and AIPCL as derived from Tasks C (i) to C (ix). Consultants undertaking the Institutional Strengthening and Business Planning assignment, should coordinate with the Consultants undertaking the long term Integrated Strategy Development Plan, to ensure alignment of the interim business plans.

C (xi) *Accounting and Finance Plan*: Assess existing systems for accounting and finance with regard both to financial and management accounting needs of the Corporations in the future. Recommend changes to provide information for making sound business decisions and financial reporting requirements of shareholders.

C(xii) *Financial projections*: Specify, develop and properly document a corporate financial model for each Corporation to generate projected income statements, balance sheets and cash flow statements and financial performance indicators over the 5-year Business Planning period. Data and assumptions are to be set out in a data book and the model constructed so as to be sensitive to market and operational variables. It should be documented so it may be used by the future managements of each Corporation to assess alternative business configurations and to update the rolling Business Plan each year.

C(xiii) *Business Risks*: Identify the main risks to the successful delivery of the Business Plans (these may differ in some respects for each Corporation). Consider regulatory, financing, technical, environment and social, operations, market, competition (e.g. from private ferry operators) and other risks. Quantify the individual and aggregate risks in terms of possible impact on the financial return in the Business Plan. Assess how the risks might be mitigated, including by partnering or joint-venturing with other parties (e.g. IWAI, local governments or private investors) to reduce risk by accessing complementary skills or sharing investments etc.

C(xiv) *Corporate Governance*: Recommend a robust and effective corporate governance structure which would be incorporated in the Articles and Memorandum of Association of each Corporation. Identify applications that could improve the commercial performance and market competitiveness of the Corporations. Recommend key operational and financial performance indicators for management and Board reporting, systems for the required data collection, and propose the contents of a public website that may be used to convey information to the public about each Corporation's activities and performance in a timely and transparent way.

#### **MODULE D: RESIDUAL AND NEW FUNCTIONS OF DIWTA**

The task of the Consultant in module D is to review, analyze and recommend the residual and other functions to be retained by DIWTA including possible development of new sector functions that will ensure a productive role and employment of those staff not required by the new entities for their efficient operation. The Consultant shall:

D (i) Taking account of the consultant's assessed efficient staffing needs of each of the RA, AIWTCL and AIPCL, and the staff who might be available from DIWTA to fill those roles with appropriate training, estimate the numbers of staff likely to remain in DIWTA, their age and skills profile.

D (ii) Identify the residual functions of DIWTA and any other roles relevant to inland waterways that they could usefully assume or perform. This could include work to be carried out on behalf of IWAI or other tasks in river and river transport management that are currently underperformed taking account of the role mapping undertaken in Module A.

D (iii) Assess what training or retraining needs to ensure worthwhile and productive jobs are available for those staff not absorbed by the new entities.

#### ***4. Team Composition & Qualification Requirements for the Experts***

The assignment will require a consulting company or consortium that can demonstrate experience of strategy and management assignments in application to government departments and state-owned enterprises, preferably in the transport and inland waterway transport industries, together with knowledge of the inland waterway system in India and Assam. The following skills shall be represented in the team:

Title	Qualifications/ Experience	Skills	Person-months
<b>KEY EXPERTS</b>			
<b>Project Director-In-Charge</b> <i>(Key Professional)</i>	<ul style="list-style-type: none"> <li>• Master's degree in Economics, Business Administration or Public administration or equivalent</li> <li>• Minimum 15 years' experience in management consultancy operations, delivery and oversight</li> <li>• Should have successfully completed 2 projects of similar nature.</li> </ul>	<ul style="list-style-type: none"> <li>• Taking overall corporate responsibility and accountability of the contractor through effective high-level project leadership, oversight and control, for the adherence to timeline and quality of deliverables in all four Modules</li> </ul>	<b>1 (Indicative)</b>
<b>Project Manager and Public Sector restructuring, management &amp; effectiveness expert</b> <i>(Key Professional)-to be available in Guwahati for majority of time</i>	<ul style="list-style-type: none"> <li>• Master's degree in Economics, Business Administration or Public administration or equivalent.</li> <li>• Minimum 10 years' experience in relevant management consultancy assignments in or for Indian central or state government departments or public service entities</li> </ul>	<ul style="list-style-type: none"> <li>• Excellent day-to-day client liaison, management, reporting and presentational skills</li> <li>• Multi-disciplinary team management, organization and project logistics skills to manage all four modules while leading the specific functional role.</li> <li>• Extensive practical knowledge of India public administration, authorities and public enterprises through restructuring, reform and/or process assignments</li> <li>• Design of effective organization and management structures</li> </ul>	<b>8 (Indicative)</b>
<b>Expert in IWT Industry regulation and administration Internationally</b> (main focus on Modules A, B and D) <i>(Key Professional)</i>	<ul style="list-style-type: none"> <li>• Master's degree or equivalent in Economics, Business Administration, Public administration or IWT Engineering.</li> <li>• Minimum 15 years' experience in the development and implementation of regulation of inland waterway transport systems (shipping, ports, shipbuilding) in a country (ies) where IWT plays a significant transport role</li> </ul>	<ul style="list-style-type: none"> <li>• Ability to work closely with the Project Manager on delivery of Modules A/ B/ D</li> <li>• Practical skills and professional experience in IWT sector policy administration and industry regulation including safety, environmental and economic regulation including both passenger and freight services.</li> <li>• Good English language communication skills, written, oral and presentational</li> </ul>	<b>8(Indicative)</b>
<b>Transport Business Planning and Management consultant (1)</b> <i>(Key Professional)</i>	<ul style="list-style-type: none"> <li>• Master's degree or equivalent in Economics, Business Administration.</li> <li>• Minimum 10 years'</li> </ul>	<ul style="list-style-type: none"> <li>• Ability to work closely with the Project Manager on delivery of Modules C/ D</li> <li>• Good communication skills to interact with all levels and areas</li> </ul>	<b>6(Indicative)</b>

Title	Qualifications/ Experience	Skills	Person-months
	<p>management consulting experience in preparing comprehensive business plans for public sector enterprises and/or private companies preferably in shipping or other transport industry sectors in India.</p>	<p>of existing ferry operations.</p> <ul style="list-style-type: none"> <li>• Drafting of strong evidence-based assessment of existing business and markets and potential markets.</li> <li>• Identification of market, operational, investment and management actions needed to realize commercial objectives</li> <li>• Translation of business vision and mission into practical, detailed and actionable short medium-term business plans</li> </ul>	
<p><b>Expert in IWT passenger, freight and or Ro/Ro operations (vessels and inland ports) internationally</b> (main focus on Module C) (1) <i>(Key Professional)</i></p>	<ul style="list-style-type: none"> <li>• Recognized qualifications and appropriate accreditations in the safe operation and management of passenger/ freight ferries/ports</li> <li>• Minimum 15 years' practical experience in the development, management, marketing, operation and safety of passenger/ freight ferries/terminals</li> </ul>	<ul style="list-style-type: none"> <li>• Ability to work closely with the Regulatory expert on Module B/ D and the Business Planning Specialist on Module C.</li> <li>• Practical skills and professional experience in planning, operating and managing passenger and freight ferries.</li> <li>• Good English language communication skills, written, oral and presentational</li> </ul>	<p><b>8(indicative)</b></p>
<p><b>Financial and management accounting specialist</b> <i>(Key Professional)</i></p>	<ul style="list-style-type: none"> <li>• Master's degree or equivalent in Financial or Management Accounting</li> <li>• Minimum 10 years' experience in the development and implementation of financial and management accounting systems</li> </ul>	<ul style="list-style-type: none"> <li>• Individual ferry service costing and financial performance analysis</li> <li>• Financial modeling and projections for government agencies and companies</li> <li>• Knowledge of both Indian public sector accounting requirements and international accounting standards.</li> </ul>	<p><b>6(indicative)</b></p>
<p><b>HR specialist</b> <i>(Key Professional)</i></p>	<ul style="list-style-type: none"> <li>• Master's degree or equivalent in HR Management</li> <li>• Minimum 10 years' experience in the development and implementation of HR plans in the context of Indian public sector departments and state-owned companies, norms and regulations</li> </ul>	<ul style="list-style-type: none"> <li>• Skills assessment and gap analysis vis-à-vis future role</li> <li>• Specification of detailed management and staffing plans by grade and function and qualifications</li> <li>• Remuneration and benefits analysis</li> <li>• Recruitment planning</li> <li>• Management and occupational training</li> <li>• Training curriculum planning</li> <li>• Organizational Change</li> </ul>	<p><b>6(indicative)</b></p>

Title	Qualifications/ Experience	Skills	Person-months
		Management	
<b>NON KEY EXPERTS</b>			
<b>Environmental specialist (Other Professional)</b>	<ul style="list-style-type: none"> <li>• Master's degree or equivalent in Environmental Sciences and/or Environmental Management</li> <li>• Minimum 10 years' experience in the development and implementation of Environmental Management Plans meeting Indian and IFI standards with significant practical experience in regard to India's inland waterways</li> </ul>	<ul style="list-style-type: none"> <li>• Identification and recommendation of mitigation measures for environmental problems, and opportunities for environmental improvements and good practices associated with waterways infrastructure, ports/jetties and vessel operations.</li> <li>• Preparation of environmental plans and processes for use in appropriate corporation manuals for Module C and</li> <li>• Advice on specific IWT environmental regulations for module B</li> <li>• Specification of environmental training requirements</li> </ul>	<b>4 (indicative)</b>
<b>Social specialist (Other Professional)</b>	<ul style="list-style-type: none"> <li>• Master's degree or equivalent in appropriate social discipline</li> <li>• Minimum 8 years' experience in addressing social impacts, benefits and dimensions, gender issues, livelihoods etc. preferably with a knowledge of special issues pertaining to riparian communities and livelihoods in India</li> </ul>	<ul style="list-style-type: none"> <li>• Identification and recommendation of opportunities for improving community accessibility and mobility, access to health, education and social services, livelihoods, gender impact and others associated with waterways infrastructure, ports/jetties, vessel operations by private and public operators.</li> <li>• Preparation of corresponding processes and procedures for incorporation in appropriate departmental and corporation manuals</li> <li>• Specification of social training requirements.</li> <li>• Assessing and recommending appropriate and accessible grievance management system.</li> <li>• Assessing and recommending citizen feedback system to enhance quality of services.</li> </ul>	<b>4 (indicative)</b>
<b>Labour expert</b>	<ul style="list-style-type: none"> <li>• Law graduate with expertise on labour laws.</li> <li>• Minimum of 7 years of experience on laws pertaining to construction industry.</li> </ul>	<ul style="list-style-type: none"> <li>• Extending training to contractors on labour laws</li> <li>• Recommending monitoring systems for compliance with labour standards</li> </ul>	
<b>Legal specialist (Other Professional)</b>	<ul style="list-style-type: none"> <li>• LL.M degree</li> <li>• Minimum 10 years' experience practicing in issues of legal review</li> </ul>	<ul style="list-style-type: none"> <li>• Legal review and assessment of relevant laws, statutes and regulations, company-founding documents etc.</li> </ul>	<b>4(indicative)</b>

Title	Qualifications/ Experience	Skills	Person-months
	and analysis and legal drafting pertaining to ministries, departments, PSUs and regulatory bodies in India at central and state levels	<ul style="list-style-type: none"> <li>Drafting necessary and effective legislative and regulatory instruments and amendments, including e.g. licensing forms to reflect proposed sector structure and roles, responsibilities and accountabilities, rights and obligations of relevant entities</li> <li></li> </ul>	
<b>Trainers (Other Professional)</b>	<ul style="list-style-type: none"> <li>Graduates with relevant training qualifications</li> <li>10 years relevant training experience</li> </ul>	Design and delivery of basic and advance training courses in: <ul style="list-style-type: none"> <li>Safety, environmental and economic regulation of IWT</li> <li>Passenger and freight ferry business planning, management and operations</li> <li>Inland port business planning, management and operations</li> </ul>	<b>10 (Indicative)</b>

*Note: All man months mentioned are indicative for the purpose of reference only. Consultants are expected to make their assessments based on the scope of work mentioned.*

#### 5. Duration

The overall duration of the assignment shall be fourteen (14) months.

#### 6. Deliverables

6.1. Apart from the Inception Report, the project deliverables shall be specific to modules and these are shown in Table 1 below. A table of contents of each report or Business Plan should be proposed by Consultants and agreed by the client during the conduct of the assignment. It should be noted that the two separate Business Plans to be provided in Module C should be in the form of the proposed Plan drafts (not a consultant report on the plans), with associated roadmap and timeline and presented in a form that can be reviewed and considered by each company's management and Board for adoption or amendment.

6.2. After submission of Interim Reports the Consultants shall plan and organize two half-day workshops in Guwahati (which workshops may run consecutively), the first on results of Module A and interim outputs of Module B and the second on interim outputs of Module C and D. Similar arrangements are to be made for such workshops after submission of draft Final Report and Draft Final Business Plan and before final versions; The Consultants shall provide high quality visual presentations of the module findings and proposals to relevant transport policy-makers and senior officials and managers in Assam's IWT industry.

6.4. Proposals should be based on delivery of 2 levels (basic and advance) of 3 separate courses (regulation, shipping and ports operations and management) of 3 days duration each. Basic course conducted 6 times and advance 2 times presented to batches of about

30 staff/course. The actual duration and number of each course can be changed based

**Table 1: Consultant deliverables by module**

<i>Delivery (end month)</i>	<i>MODULE A</i>	<i>MODULE B</i>	<i>MODULE C</i>	<i>MODULE D</i>
	<b>IWT Sector Structure and role mapping</b>	<b>Detailed Plan for the Regulatory Authority (RA)</b>	<b>Business Plans for each of AIWTCL and AIPCL</b>	<b>Residual and possible new functions for DIWTA</b>
1	- Inception Report -			
2				
3	Draft Final Report incl recommended amendments and additions to draft legislation establishing RA			
4	Final Report			
5		Interim Report & Workshop (modules A&B)		Interim Report & Workshop (modules C & D)
6				
7				
8		Recommended drafts of detailed safety, environmental and economic regulations, manuals, processes, roles/responsibilities, staffing structure and capacity requirements; etc	Interim market and revenue projections. Interim investment plan. Recommended drafts of Companies' operating, safety and environmental plans.	
9		Draft Final Report on the Regulatory Authority	Draft Final Business Plans (2 Plans)	Draft Final Report on future functions of DIWTA
10		Workshop (modules A&B)		Workshop (modules C & D)
11		Final Report	Final Business Plans (2 Plans)	Final Report
12	TRAININGS			
13				
14				

6.3. In addition to the deliverables shown in Table 1, the Consultant shall, during the subsequent three months of months 12-14 (or earlier as agreed by the client) provide a specialist **trainer** in each of the areas of IWT regulation, passenger ferry/ cargo operations, and inland port operations to provide a brief course on each subject to batches of managers/staff expected to be employed in the new entities. *Consultant proposals should identify each trainer and make budget allowance for their preparation, boarding & lodging, and delivery of the course in Guwahati.*

on the discussions by client keeping total training days same. The courses should be geared to the needs of the four entities involved taking account of international experience but also related to the specific proposals and recommendations of the Consultant. The course materials/plan provided by the consultant are to be approved by client.

*6.5 The cost of training material, all associated costs and personal equipment's of trainers related to delivery of the training will be borne by the consultant*

**7. Administrative Arrangements**

The ISBP Consultant shall otherwise be responsible for all their own secretarial, clerical, IT, report production and communication expenses.

**8. Confidentiality**

The ISBP Consultant shall keep confidential all commercially sensitive information that they receive, directly or indirectly, from client, contractors or stakeholders. The confidentiality obligations shall not apply to information in the public domain.

**9. Monthly Meetings.**

Monthly meeting will be held for progress review & way forward and it is mandatory for Project Director to attend with relevant team at Guwahati.



Title	Qualifications/ Experience	Skills	Person-months
	<p>management consulting experience in preparing comprehensive business plans for public sector enterprises and/or private companies preferably in shipping or other transport industry sectors in India.</p>	<p>of existing ferry operations.</p> <ul style="list-style-type: none"> <li>• Drafting of strong evidence-based assessment of existing business and markets and potential markets.</li> <li>• Identification of market, operational, investment and management actions needed to realize commercial objectives</li> <li>• Translation of business vision and mission into practical, detailed and actionable short medium-term business plans</li> </ul>	
<p><b>Expert in IWT passenger, freight and or Ro/Ro operations (vessels and inland ports) internationally</b> (main focus on Module C) (1) <i>(Key Professional)</i></p>	<ul style="list-style-type: none"> <li>• Recognized qualifications and appropriate accreditations in the safe operation and management of passenger/ freight ferries/ports</li> <li>• Minimum 15 years' practical experience in the development, management, marketing, operation and safety of passenger/ freight ferries/terminals</li> </ul>	<ul style="list-style-type: none"> <li>• Ability to work closely with the Regulatory expert on Module B/ D and the Business Planning Specialist on Module C.</li> <li>• Practical skills and professional experience in planning, operating and managing passenger and freight ferries.</li> <li>• Good English language communication skills, written, oral and presentational</li> </ul>	<p><b>8(indicative)</b></p>
<p><b>Financial and management accounting specialist</b> <i>(Key Professional)</i></p>	<ul style="list-style-type: none"> <li>• Master's degree or equivalent in Financial or Management Accounting</li> <li>• Minimum 10 years' experience in the development and implementation of financial and management accounting systems</li> </ul>	<ul style="list-style-type: none"> <li>• Individual ferry service costing and financial performance analysis</li> <li>• Financial modeling and projections for government agencies and companies</li> <li>• Knowledge of both Indian public sector accounting requirements and international accounting standards.</li> </ul>	<p><b>6(indicative)</b></p>
<p><b>HR specialist</b> <i>(Key Professional)</i></p>	<ul style="list-style-type: none"> <li>• Master's degree or equivalent in HR Management</li> <li>• Minimum 10 years' experience in the development and implementation of HR plans in the context of Indian public sector departments and state-owned companies, norms and regulations</li> </ul>	<ul style="list-style-type: none"> <li>• Skills assessment and gap analysis vis-à-vis future role</li> <li>• Specification of detailed management and staffing plans by grade and function and qualifications</li> <li>• Remuneration and benefits analysis</li> <li>• Recruitment planning</li> <li>• Management and occupational training</li> <li>• Training curriculum planning</li> <li>• Organizational Change</li> </ul>	<p><b>6(indicative)</b></p>