Structure of operations document

Pre-operationalization Activities

01. IDENTIFICATION OF NODAL AGENCY & ESTABLISHMENT OF TASK FORCE
02. FINALISATION OF UMTA FUNCTIONS & STRUCTURE
03. PROCESS FOR ENACTMENT OF UMTA BILL

Operationalization Activities

04. OPERATIONALISATION OF UMTA
05. OPERATIONALISATION OF UMTA FUNCTION
06. ADMINISTRATION & RECRUITMENT PROCESS
PURPOSE & APPLICATION OF OPERATIONAL DOCUMENT
Purpose and application of operational document

To help city understand the background and rationale for setting up of UMTA & UTF

Provides guidelines and procedures for streamlining the establishment process of UMTA and UTF

To help cities in deciding functions & structure of UMTA & UTF based on their requirements

Covers all options - operations documents may be customised by cities which intend to set up UMTA
IDENTIFICATION OF NODAL AGENCY AND ESTABLISHMENT OF TASK FORCE
Guidelines for selection of Nodal agency

- First step in initiating the establishment process of UMTA and UTF is to appoint a **Nodal Agency**
- The Nodal Agency’s primary function shall be to facilitate the setting-up of UMTA.
- Provides common platform for bringing together different stakeholders from city/state/national to form the UMTA.
- Nodal Agency must be in a position to **coordinate with all stakeholders from the local, state, and central government agencies and departments** dealing with urban transport.
- Since transport is a state subject and extensive co-ordination is required with various levels of the government, **Nodal Agency should be formed at the state level**

**Diagram: Functions of Nodal Agency**

- Commissioning of task force
- Coordinate with state agencies (other than transport)
- Carrying out legislative procedures related to UMTA bill
- Have discussions with various stakeholders
- Overall facilitator for setting UMTA
- Ensuring proper functioning of task force
- Coordinate with various central agencies, such as AAI, NHAI
Guidelines for establishment of Task Force

- Group of officials having experience in various urban transport activities would be required to finalise design and structure of UMTA & UTF
- Task force would be a specialised unit, which proficiently undertakes all the planning and management required for the setting up process
- Task force to undertake mainly pre-operationalization activities for the UMTA and UTF

**Functions of the Task Force**

- **Finalization of UMTA structure**
  Finalize the geographical coverage, institutional arrangement, composition of board, specification of functions, organisational structure, after a thorough review of the existing urban transport system in the urban mobility area

- **Stakeholder Consultation**
  Organize stakeholder consultations for finalization of draft UMTA Bill, including all relevant stakeholders at city, state and national levels

- **Assistance in Enactment of UMTA Bill**
  Work alongside the state’s legal department and provide them with all necessary support in passing the legislation for enactment of the UMTA Bill

- **Organizing initial Board meetings**
  Assist in the preparation of invitation letters/notices to board members for participation in UMTA's initial meetings, and any assistance required in organizing meetings
Composition of Task Force

- Task force will be constituted by the Nodal Agency
- Task force would be group of officials with functional expertise in the areas under the purview of the UMTA and UTF, and have domain expertise in the urban transport sector.
- Must have representatives from relevant departments at the local, state and national levels.

- State Urban Development Department
- State Transport Department
- State Road Transport Undertakings
- City Bus Transport / Bus Rapid Transit (BRT) / Special Purpose Vehicle (SPV)
- City Metro Rail Corporation
- Metropolitan Development Authority
- City Municipal Corporations
- State Police Department
- Public Works Department
- State Finance Department
- Planning Authorities / Committees
- Indian Railways
- National Highway Authority of India
Finalization of UMTA Functions and Structure
Deciding geographical coverage of UMTA

- Based on existing constitutional structure of million plus cities, an urban area could fall under any one of the following four categories shown below:

  - State Capital Urban Area with one major Municipal Area, e.g. Hyderabad, Bhopal, Jaipur etc.
  - State Capital Urban Area with more than one major Municipal Area, e.g. Ahmedabad and Gandhinagar Municipal Corporations, etc.
  - Non-State Capital Urban Area with one major Municipal Area, e.g. Kanpur, Jabalpur, etc.
  - Non-State Capital Urban Area with more than one major Municipal Area, e.g. Pimpri Chinchwad/Pune, and Kochi, etc.

All cities would define the jurisdiction of UMTA in their respective Acts.
Geographical Coverage for UMTA is proposed to be a superset of the planning area

- Geographical coverage for UMTA should include the planning area considered in preparation of the land-use plan/master plan for the city/metropolitan area.

- Necessary to facilitate integration between the land use plan, and comprehensive mobility plan.

- UMTA’s jurisdiction is recommended to extend beyond the planning area.

- This will enable UMTA to achieve the important objective of promoting development of systems for seamless public transport access beyond an urban area.

Seamless connectivity beyond an urban area is important, as is connectivity within the urban area
Guidelines for deciding Governing Board structure

- UMTA Board envisaged to be an independent decision-making body with **adequate representation from all the relevant urban transport stakeholders** in a city.
- Board composition shall depend on the **city characteristics**.
- Board includes **government and non-governmental representation** as well as the administrative and elected representatives for fair representation of all interest-groups.

The Board shall comprise the following:

- **Chairperson** – shall have the deciding/casting vote
- **Core Members** – shall be present at all Board meetings, shall have voting right
- **Special Invitees** – shall be invited only in case the agenda of the meeting concerns their department, shall not have voting right
- **Essential Invitees** – shall be mandatorily invited to all Board meetings, shall not have voting right
PROPOSED GOVERNING BOARD FOR UMTA

Members:

• Development Authority
• Municipal Corporation
• Finance Department
• Transport Department
• PWD/ R&BD
• State Road Transport Corporation
• Directorate of Town & Country Planning
• SPV for Bus Transport
• Police Department
• Urban Development/ Municipal Administration Department
• Metro Rail Corporation
• Planning Committee
• Water Supply & Sewerage Department

Special Invitees:

• Ministry of Urban Development
• Indian Railways
• National Highways Authority of India
• Airports Authority of India
• Inland Waterways Authority of India
• State Pollution Control Board
• Department of Public Relations
• Port Trust/ Authority
• Irrigation Department
• Island Development Authority

Essential Invitees:

• Representatives from civil society/ beneficiaries
• Corporate Governance Experts
• Cyclists/ Pedestrian welfare groups
• Traffic & transportation experts
• Law & finance expert
• Representatives from relevant academic institutions
The organizational structure that UMTA would adopt needs to be finalized. Considering the varied functions envisaged for UMTA, the organizational structure has been divided into six dedicated divisions.

**Transport Planning Division**
- Preparation of Comprehensive Mobility Plan and integration with land use plan
- Preparation of multiyear program

**Public Transport Management Division**
- Contract public transport
- Assist in licensing public transport
- Monitor & regulate fee & charges
- Traffic Safety

**Traffic Management Division**
- Prepare standards & guidelines
- Review projects
- Oversee development & operation of Systems & Facilities

**Fund Management Division**
- Management of UTF
- Audit of UTF expenditure
- Treasury functions

**Corporate Service Division**
- Administrative & HR matters
- IT, Communications
- Preparation of Reports

**Policy & Technical Support Division**
- Assist & advise government
- Guidelines for implementation of policy
- Research
**Options for Functions of UMTA**

**Option I – Undertaking Integrated Planning & Coordination Functions Only**

- Take prime role in transport planning, integration of plans, strategies and programing for multi-modal transportation, etc.
- Coordination during planning, implementation and O&M stages
- Carry out functions, which no one currently performing such as integration of various transport services etc.

**Option II – Rationalising Functions**

- Take away functions of some agencies to avoid overlapping such as regulatory, financing, O&M, etc.
- Rationalize urban transport functions to bring them together in logical groups.

**Option III – Carry Out All Urban Transport Functions**

- Carry out all urban transport functions similar to Singapore model.
Evolving approach: AHS has been proposed to operationalize UMTA functions.

**Option I:** Integrate planning & coordination functions

**Option II:** Take overlapping functions of some agencies

**Option III:** Carry out all urban transport functions

Difficulty to operationalise:
- Low
- Medium
- High

Increase in functions:
- Low
- Medium
- High

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PROCESS FOR ENACTMENT OF UMTA BILL
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The task force would undertake the following activities for enactment of UMTA Bill.

**Pre-Drafting Stage**

Prior to drafting the UMTA legislation, the task force shall organize consultations with all the concerned stakeholders for discussions on matters pertaining to UMTA including necessity for the proposed legislation; Background of the legislation; Background material – generic legislation provided by MoUD, etc.

**Development of Draft Legislation**

• Customizing the generic UMTA legislation, the task force would prepare the city specific legislation, broadly including UMTA’s structure, geographical coverage, institutional arrangement, powers and functions, and funding sources.
• Circulate the draft legislation to all concerned stakeholders for their review and suggestions, update the draft legislation.

**Development of Note for State Government’s consideration**

• The task force shall develop a note and refer the same for approval from the State’s Minister of Urban Development/Transport.
• Note would include need, scope, and objectives of the proposed legislation, and a copy of the draft of the proposed legislation.

**Enactment Stage**

After approval by the concerned Minister, the task force would:
• Send the note to the Cabinet, incorporate any changes suggested by the Cabinet
• Send the legislation to the State’s Legislative Assembly
The bill shall be put down for introduction in the Vidhan Sabha and thereafter, published in the State Gazette by the Vidhan Sabha Secretariat
Amendments may be made to the Bill, and it would be circulated for public opinion, and finally, the Act would be passed and published in Gazette of India Extraordinary.
OPERATIONALIZATION OF UMTA
ENGAGEMENT OF CONSULTANT FOR HANDHOLDING SUPPORT

- In order to establish/operationalize UMTA and UTF, cities would need to engage a consultant for providing handholding support.

- MoUD has empaneled seven consultants who will be available for providing handholding support for setting up of UMTA.

- Cities may choose to hire the services of the empaneled consultants or may choose to procure consultants by themselves.

- Draft Terms of Reference for engaging consultants for handholding support have been prepared and are available with MoUD.

- The consultants hired by the cities may use the Generic Operations Documents for setting up and operationalizing UMTA & UTF being prepared by the MoUD, and prepare city-specific documents.

- In some cities, the UMTA and/or UTF may be existing and the required services would be to provide handholding assistance in operationalizing and strengthening the same.

- In some other cases, scope of services would additionally require review and “validating” or “updating” the draft legislation and manuals specific to the assigned urban area.

List of Empaneled Consultants

1. Deloitte
2. IDFC
3. E&Y
4. LASA
5. CRISIL
6. RITES
7. UMTC
DEVELOPMENT OF ORGANIZATION
Each of the UMTA divisions will be headed by a Director and Director will report to the CEO.

Each Director will be supported by 2-3 staffs depending on the activities performed by the divisions.

Organizational structure and the number of staff proposed in the operations documents considers that most of the functions of UMTA.

Organizational strength would depend on number of functions performed in-house v/s outsourced (CMP preparation, UTF functions, IT functions etc.)

Indicative staff requirement based on the activities performed internally and outsourced, is provided.

Job description covering educational qualifications, roles & responsibilities etc. have been specified in the document.

UMTA may comprise a mix of permanent employees & public employees on deputation.
OPERATIONALIZATION OF UMTA’S FUNCTIONS
**INPUTS IN POLICY FORMULATION**

- Assist & provide input to state and local government for development of urban transport policies & strategies

1. Identify basic problems at the city-level
2. Identify respective agency responsible for transport related issues/concerns
3. Refer existing Policies, strategies, standards for urban area
4. Inputs by implementing agencies in consonance with existing policies & strategies
5. Draft Strategies/ Guidelines for urban transport improvement
6. Seek feedback & suggestions from stakeholders & circulate the final inputs

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- State Government
- Nodal Department of UMTA
- National/ State Policies on Urban Transport
- Central govt. agencies like Indian Railways, Airport Authority, CPWD etc.
- Development Authorities
- Public Transport Agencies
- Municipal Corporation/ PWD
- Other relevant agencies
**Preparation of Comprehensive Mobility Plan**

- **Step 1:** Understanding the city
- **Step 2:** Identifying issues and challenges
- **Step 3:** Outlining a vision for the CMP
- **Step 4:** Set objectives and strategic targets
- **Step 5:** Integration with Land Use Plan
- **Step 6:** Predicting future scenarios
- **Step 7:** Ascertaining future funding provisions
- **Step 8:** Designing mobility improvement strategies
- **Step 9:** Prioritizing strategies and programs
- **Step 10:** Developing an implementation program
- **Step 11:** Gaining Approval

- Planning horizon – at least 20 years
- Preparation/ update of CMP is one of the most important functions of UMTA, process for the same is illustrated below
PREPARATION OF CONSOLIDATED MULTI-YEAR PROGRAM

1. Circulate CMP and other guidelines to all concerned agencies.

2. Submission of Draft MYP program by each agency to UMTA.

3. Review MYP for compliance and coordination.

4. Submission of consolidated draft of MYP to state urban development department.


Development Authorities

Public Transport Agencies

Municipal Corporation/ PWD

Other Implementation agencies
CONDUCTING RESEARCH STUDIES

- Research and development is core to a successful, well-strategized and efficient transportation network
- One of the main functions of UMTA is to conduct research and study activities and spread awareness on urban transport, which would be carried out primarily by the Policy and Research Division

UMTA Research Functions

- **Maintenance of Database**
  - Transport projects
  - Existing urban transport infrastructure
  - Public transport routes and services
  - Fare Structures and Licenses

- **Public Transport safety guidelines**
  - Quality of infrastructure
  - Driver training, testing and licensing
  - Registration, testing/certification of vehicles
  - Road accidents
  - Enforcement of traffic rules

- **Performance Indicators**
  - Develop measures and publish performance indicators
  - Conduct workshops for awareness about best practices
ADMINISTRATIVE & RECRUITMENT PROCEDURES
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- Provides broad procedures & guidelines for carrying out day-to-day activities of the UMTA Board & Secretariat.

**ADMINISTRATIVE PROCEDURES**

- **Transparency Policy**
  - Clarity of roles and responsibilities
  - Open process for formulating and reporting policy decisions
  - Transparent and fair procurement
  - Public availability of information
  - Accountability and assurance of integrity

- **Board Procedures**
  - procedures relating to appointment and term of Board members, Board responsibilities, Board meetings and Authority’s committees, resignation, removal, or suspension of Chairperson or other members

- **Committees constituted by the Authority**
  - UMTA may appoint committees consisting of such members or experts whose assistance or advice may be required for any subject relating to the purposes of the Authority

- **Meeting Procedures**: Frequency/ agenda

**RECRUITMENT PROCEDURES**

Broad policies and procedures for appointments, conditions of service, and training, development and performance assessment for Secretariat staff.

- Division of recruitment responsibilities among various levels of staff
- Recruitment policies
- Position Description and person specifications
- Process of recruitment
- Orientation and Induction
- Training and development
- Performance monitoring and review
- Performance award

**PROCUREMENT PROCEDURES**

- Procurement Policy
- Procurement Planning
- Hiring of consultants
- Procurement of works
- Procurement of goods
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