



सत्यमेव जयते

**Jawaharlal Nehru National Urban Renewal Mission  
(JnNURM)**

**Toolkit for Comprehensive Capacity Building Programme**

**Ministry of Urban Development  
Government of India  
April, 2013**

## **Acronyms**

1. ATIs : Administrative Training Institutes
2. A&OE : Administrative and Other Expense
3. CoE : Centre of Excellence
4. CDP : City Development Plan
5. DPR : Detailed Project Report
6. GIS : Geographic Information System
7. IEC : Information, Education and Communication
8. JnNURM : Jawaharlal Nehru National Urban Renewal Mission
9. MoUD : Ministry of Urban Development
10. NIUA : National Institute of Urban Affairs
11. PMES : Project Monitoring and Evaluation System
12. PMU : Project Management Unit
13. PIU : Project Implementation Unit
14. RCUES : Regional Centre for Urban and Environmental Studies
15. SLNA : State Level Nodal Agency
16. TCPO : Town and Country Planning Organization
17. ULB : Urban Local Body
18. UT : Union Territory

**Content**

Section I: Introduction to Capacity Building Toolkit..... 1

Section I: Approach and Principles for Comprehensive Capacity Building Programme ..... 2

Section II: Vision, Mission and objectives of Comprehensive Capacity Building Programme 4

Section III: Admissible components..... 5

Section IV: Implementation structure, proposal submission, appraisal, approval and  
release of funds..... 21

Section V: Annexures ..... 24

Annexure 1a: Checklist for preparing CB Plan (State and City) ..... 24

Annexure 1b: Model Capacity Building Plan..... 25

Annexure 2: Suggested list of cities for establishing 50 RPMC..... 27

Annexure 3: Terms of Reference for City RPMC..... 28

Annexure 4: Terms of Reference, State RPMC ..... 33

Annexure 5: The model format for proposal submission by ATI..... 39

Annexure 6: Application form for internship..... 40

Annexure 7: Performance criteria/benchmark..... 41

## Section I: Introduction to Capacity Building Toolkit

The guidelines for Comprehensive Capacity Building Programme (CCBP) outlined the need for an integrated and targeted support to ULBs to proactively plan, implement and monitor capacity building activities. To support Urban Local Bodies (ULBs) to execute capacity building programmes as per the Comprehensive Capacity Building Programme guidelines, MoUD has prepared this toolkit. The toolkit provides detailed guidelines and step by step method for to plan, implement and monitor capacity building programmes for ULBs, States and the Ministry of Urban Development (MoUD).

This toolkit is the revised version of the earlier Capacity Building toolkit developed during March 2012. This is a living document and requires modifications from time to time based on the experiences of the implementation of activities.

This toolkit is divided into five parts:

- |              |   |
|--------------|---|
| Section I:   | Provides an introduction, Mission Directorate's approach and principles to Comprehensive capacity Building Programme; |
| Section II:  | Provides the Vision, Mission and objectives of Comprehensive Capacity Building Programme;                             |
| Section III: | Provides the admissible components and allocation of funds for various activities;                                    |
| Section IV:  | Provides procedures for CB proposal submission, appraisal, sanctioning and release of funds                           |
| Section V:   | Provides the list of Annexures  |

## Section I: Approach and Principles for Comprehensive Capacity Building Programme

### Introduction

The implementation of Phase-I of JnNURM has led to creation of a large number of assets and induced many urban reforms across the country. Evaluation exercises undertaken by various appointed committees and agencies have unanimously pointed to the large capacity gap plaguing urban local bodies as the primary impediment to speedy implementation of projects and reforms under the Mission. The report on the Mid-term Appraisal of the Eleventh Five Year Plan (2010) stated that more emphasis should be given on proactive assistance to cities and states to build their “soft infrastructure” and identified governance, financing, planning, professionalization of service delivery and accelerating the development of local capacity and knowledge as key building blocks to strengthen the urban sector reforms process and improve capacities for management and local governance. The High Powered Expert Committee has also recommended a strong programme of capacity creation and training which should include creation of institution and human resource capacity at all base levels particularly in the smaller ULBs. A committee under the Chairmanship of Shri. Arun Maira, Member, Planning Commission also recommends necessity to build adequate capacity in urban Local Bodies. Various States mid-term appraisals and experience of JnNURM have also brought to fore the need to strengthen the ULBs in terms of their urban governance both at State level and at urban local body level.

The weak financial base of most ULBs renders them incapable in deriving and leveraging funds from the market. The reforms agenda was pushed by JnNURM with the very intention of strengthening resources and improving capacities of city governments to undertake developmental activities and improved levels of basic services. The inability to achieve these reforms, therefore, has directly affected the level of services in most cities and towns, which remain far from adequate despite interventions by GoI. Derogatory outcomes of the low capacity in ULBs include poor asset management, weak overall governance and substandard city/ urban planning. As the GT report points out, there is minimum involvement of the ULBs in preparation of CDPs and DPRs due to lack of in-house capacity.

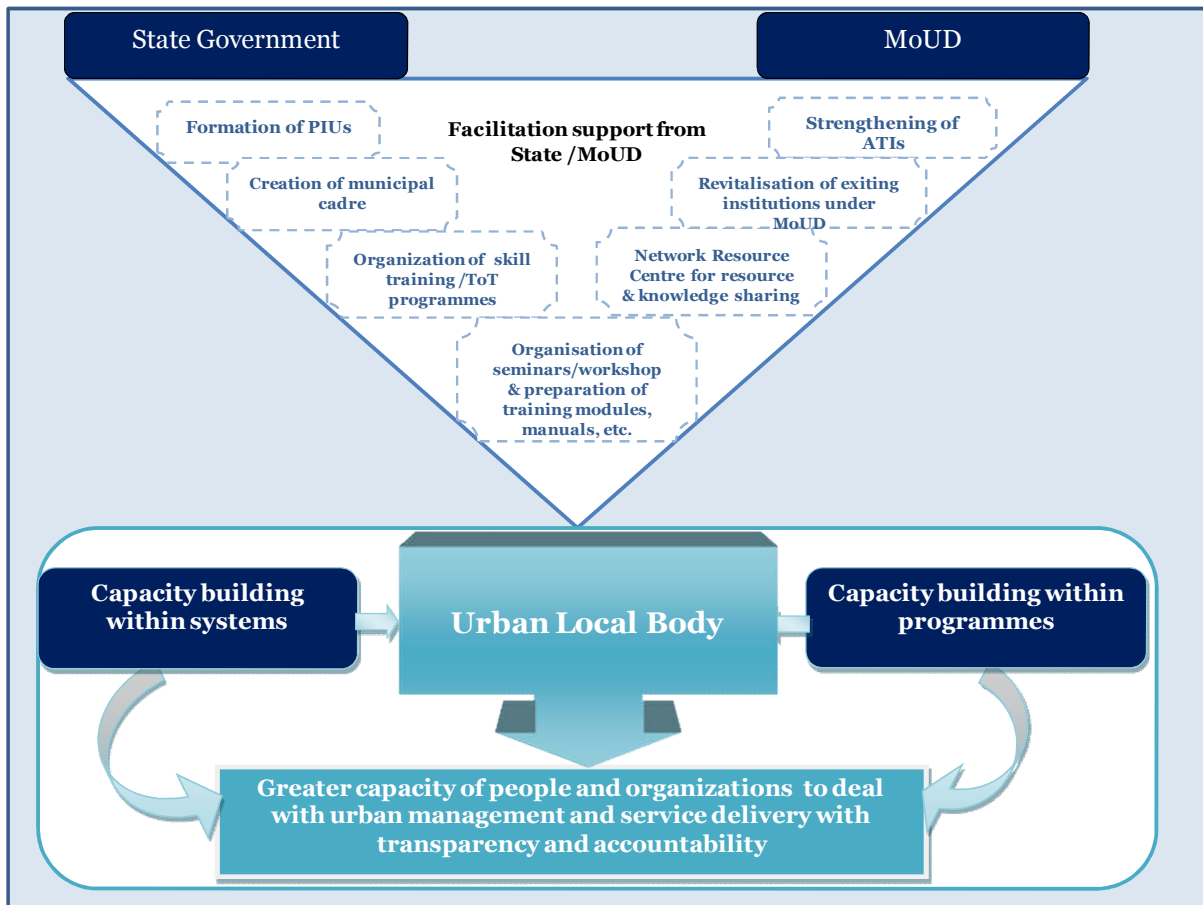
The dire need for capacity building as the key to improve governance and service delivery has been reiterated by the Arun Maira Committee, the Ramachandran Committee as well as the High Powered Expert Committee on Urban Infrastructure and Services (HPEC). Creation of a separate division for capacity building at the central level, a specialised urban management cell at the State level, Reform and Performance Management Cell (RPMC) at centre, State and large cities, establishment of municipal cadre, provisions for lateral hiring into the cadre based on skill-sets, think tank initiatives in urban policy, support for strengthening ATIs and State institutes for urban studies, creation of a network of institutions are some of the collective recommendations that have been stressed upon by these Committees for addressing the capacity gap in the urban management sector.

In order to address the gaps that have led to less than optimal outcomes in JnNURM-1, Capacity Building efforts need to be strengthened within the ULBs for improving service delivery and governance. Hence, MoUD has prepared the CB toolkit to support States and ULBs to plan and implement capacity building programmes.

## The approach

Taking a cue from the above recommendations, MoUD adopts a far –reaching approach to capacity building for urban sector which is depicted below:

**Figure I: Approach for Urban Capacity Building Programme**



The approach has laid primary emphasis of capacity building of the ULB to perform their responsibilities effectively and efficiently with supporting interventions from State and MoUD.

The capacity building efforts at ULBs level focuses to enhance the institutional capacities for improved service delivery. At State and MoUD levels, the efforts should focus on creating an enabling environment at ULB level to improve governance and service delivery functions and more importantly to implement JnNURM activities. Building of networks with different actors at national and international levels is a major area of focus to strengthen resource and knowledge management gaps at supply and demand side.

## Section II: Vision, Mission and objectives of Comprehensive Capacity Building Programme

### **Vision:**

To equip and empower Urban Local Bodies (ULBs) to discharge their functions in line with 74th Constitutional Amendment Act (CAA).

### **Mission:**

ULBs shall be equipped and empowered by building capacities in terms of human resources, infrastructure, procedures and systems to effectively deliver basic services to the citizen

### **Objectives**

The objectives of Comprehensive Capacity Building Programme are to create an enabling environment for capacity building of ULBs through the right mix of policy and implementation supports in the areas of organisational development, human resource development, strategic planning, technology improvements, and resource mobilization capacities. This will ensure equity, inclusiveness and responsiveness of ULB officials and elected representatives. The specific objectives are to help ULBs/States to:

- i. Effectively function as institutions of local governance as per 74<sup>th</sup> CAA,
- ii. Develop capacities in the areas of procurement, project development, project management, operation and maintenance, financial management, budgeting and accounting,
- iii. To achieve the benchmarks of reforms on urban management and renewal,
- iv. To promote urban planning and sustainable urban habitats in the cities,
- v. To provide support for the creation of municipal cadre in States,
- vi. To create an enabling environment for stakeholder consultations and participation in service delivery,
- vii. To promote the use of Information Communication Technologies and robust information systems through e-governance,
- viii. To support States to strengthen the supply side training and capacity building institutions, especially State Training Institutes to meet the higher level capacity building and human resource needs of ULBs,
- ix. Strengthen the capacities of ULBs to mainstream gender in all activities and promote gender budgeting, and
- x. Develop Centres of Excellence for urban management.

### **Duration**

The programme will run concurrently with 12<sup>th</sup> Five Year Plan. The duration would be five years beginning from 2012. An evaluation of the experience of implementation of the programme would be undertaken after two years and if necessary, the programme calibrated suitably.

### Section III: Admissible components

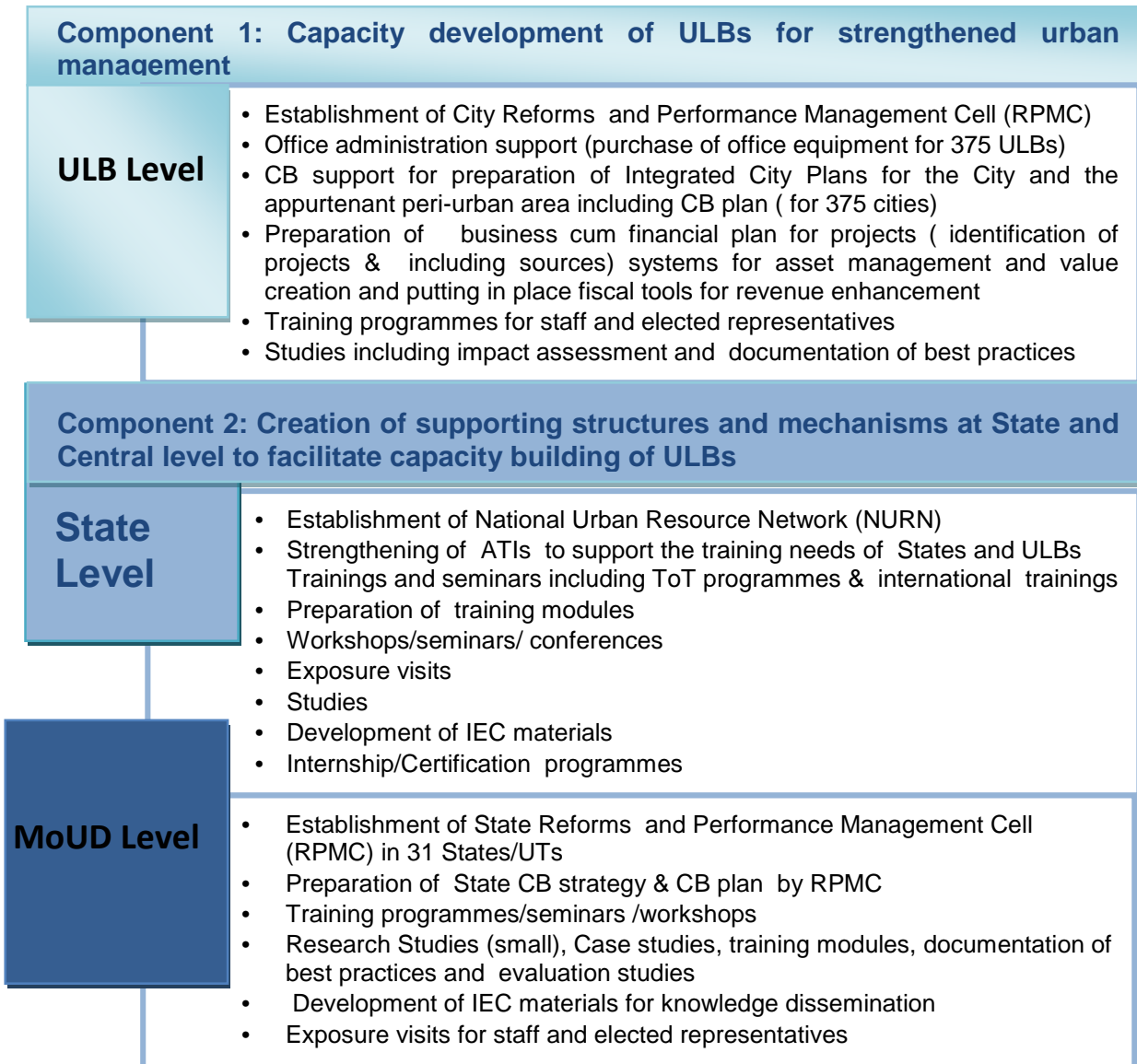
The Capacity Building (CB) programme has two components:

- Component one deals with capacity development of ULBs for strengthened urban management, and
- Component two deals with creation of supporting structures and mechanisms at State and Central level to facilitate capacity building of ULBs.

The activities and the maximum financial support proposed for each of the activities proposed are given in the table below and the details of the same are given in the following pages.

Preparation of CB plan is a prerequisite to access CB funds under JnNURM. The ULBs have to prepare a four year city CB Plan with yearly targets (physical and financial) and submit the same to State. Based on the city CB plans, the State then prepare a State level CB strategy and CB plan under the overall supervision of State Steering Committee. The CB plan then will be submitted to MoUD for approval after the review by the State Level Sanctioning Committee. The Steering Committee established at State level will be responsible for the overall coordination, implementation and monitoring of CB activities of the State. The model CB plan and check list are at **Annexure 1**.

Only the States /UTS and cities can access funds under this programme. The training institutions/agencies can access funds only for activities which are initiated by MoUD through EoI/RfP. The activities proposed under each component are as follows:





## Component 1: Capacity development of ULBs for strengthened urban management

### I. Strengthening Institutional structures and planning process at ULB Level

#### 1. Establishment of Reforms and Performance Management Cell (RPMC) in 375 cities

##### a. Criteria for the selection of cities

To enhance the capacity of ULBs to plan, implement and monitor capacity building programmes, reforms & projects, it is proposed to establish RPMC with adequate human resource support in cities/towns. The RPMC will be established in 375 cities\*\*/towns (including Class 1 and small and medium towns) and provide support for a period of four years. The RPMCs in 325\* towns will be selected on the basis of population in the following order of priority:

Sl. No	States as per urban population share	Number of towns to establish RPMC
1	More than 30%	15 per state
2	Less than 30%	10 per state

The 375 cities/towns will be “demonstration cities” wherein enablement activities for urban management will be carried out by the RPMC. For remaining cities/towns, the State RPMC provides similar handholding support.

##### Note:

1. Under Class 1 town category, preference will be given to towns with population of less than 3 lakhs,
2. 65 cities covered under UIG of JnNURM will not be eligible to apply for RPMC
3. \*A tentative list has been prepared by MoUD for 50 cities (**Annexure 2**), **out of the above 375 demonstration cities**. The primary focus of RPMC in these 50 cities will be to strengthen the financial and economic viability of ULBs.

The States should take necessary steps on a priority basis to establish RPMC in the selected ULBs. This is to help the ULBs to undertake / initiate all necessary preparatory work for the implementation of urban development schemes/programmes and related activities.

The RPMCs will be established in a phased manner as indicated below:

	No. of RPMCs to be established	No. Of RPMCs to receive funding support
Year 1*	107	107
Year 2	107	214
Year 3	81	295
Year 4	80	375
<b>Total</b>	<b>375</b>	

\* 2013-14

\*\* City will include its peri urban areas, including areas notified as semi-urban area in the Town and Country Planning Act.

## b. Composition of RPMC

The RPMC will comprise specialists from any of the urban management areas such as municipal accounting, financial planning, urban planning, water & sanitation, roads & bridges, PPP, environmental planning, capacity building, social development and e-governance. An indicative list of specialists that can be selected for the RPMC is given below:

i.	Team Leader/Urban Planner	vi.	Urban Infrastructure Expert
ii.	Municipal Finance Specialist	vii.	SWM Specialist
iii.	Procurement specialist	viii.	Social Development Specialist
iv.	Capacity building/Institutional strengthening specialist	ix.	Environmental specialist
v.	IT cum monitoring and evaluation specialist	x.	PPP specialist

The above mentioned skill sets are only suggestive; the ULBs shall assess their requirement for composition of RPMC based on their existing staffing pattern and the workload. The professionals shall be hired from the open market on contractual basis. MoUD under this programme will support six positions including that of team leader.

The RPMC shall work as a close team, in coordination with the ULB staff and share work programs, implementation issues, and outcomes. The RPMC shall report to the administrative head of the ULB (Municipal Commissioner, Chief Municipal Officer, etc. as the case may be).

## c. Roles and Responsibilities of RPMC

The RPMC is meant to be a technical unit supplementing and enhancing the existing skill mix of the ULB. RPMC is expected to work in tandem with the existing staff with primary focus on strengthening capacity building programmes. The RPMC shall assist the ULB in carrying out the following activities:

- Capacity need assessment and preparation of city Capacity Building Plan,
- Plan, implement and monitor capacity building programmes, projects and reforms,
- CB support for preparation of Integrated City Plans for the City and the appurtenant peri-urban area (commonly called the "Local Planning Area"). CB for preparation of Detailed Project Reports for the sectoral projects such as for water supply, sanitation, city transport, city roads etc. In this regard, Pooled Finance mechanisms will be explored for funding of preparation of DPRs and implementation of projects on the analogy of projects undertaken by TNUIDF,
- CB support for preparation of financial plans and putting in place fiscal tools for revenue enhancement through different instrumentalities such as land leveraging, tax collection etc.,
- Monitor projects, reform and capacity building activities in coordination with other departments including parastatals,
- Provide knowledge inputs and dissemination on latest technology on implementation of infrastructure projects, PPP and financial management,
- Engaging and managing service providers and external experts for implementation of projects, reforms and capacity building activities,
- Technical support to explore alternative long term municipal finance options available for financing urban infrastructure in cities and leveraging JnNURM funds,
- Advice on innovative financing and financial management strategies, where ever appropriate.
- Any other related activities as decided by the administrative head of the ULB.

Additional responsibilities of 50 RPMCs:

- Identify and plan for enhancing the technical and managerial capacity for selected financial reforms such as accounting, budgeting, expenditure management, internal controls, revenue mobilization including improvements in property tax administration, asset management and asset valuation,
- Review the current financial status of city and suggest measures to make them more creditworthy,
- Explore alternate long-term municipal finance options available for financing urban infrastructure in cities and leveraging with the JNNURM/UIDSSMT funds,
- Assess ULBs institutional conditions and develop individual action plans for the implementation of financial reforms,
- Enhance financial viability by improving revenue streams and exploring potential mechanisms for raising debt capital for projects,
- Provide guidelines for fiscal strengthening and Capital Investment Planning including assessment of financial viability of investment plans, etc.;
- Develop systems and their internalization, for example, financial and managerial manuals for ULB's, policy reviews, constitution of decision making bodies, logistics,
- Provide regular feedback (e.g. written reports) to the PMU/State RPMC. This would be done through collection of information, occasional studies / reviews / surveys & assessing the outcomes of interventions etc.,
- Develop IEC materials in local languages; and assist in undertaking sector specific research studies,
- Submit aggregate quarterly reports to the PMU/ State RPMC on the progress of reforms, financial disbursements, and other relevant indicators and final report upon the conclusion of the project,
- Consolidate annual work plans, release budgets and monitor project expenditures at all levels.

Detailed roles and responsibilities of individual specialists are given in the Terms of Reference at **Annexure 3**.

#### **d. Procurement Process**

The ULBs as per their requirements can hire professionals from the list mentioned at item no. (b) above. MoUD will provide financial support for a maximum of **six professionals** for 325 ULBs and **five positions** for 50 ULBs\*. ULBs should hire the specialists from open market after following due procedure based on concerned State procurement processes and rules and must ensure consistency with Terms of Reference.

*\*Cities selected under the project 'Capacity building for Economic and financial Viability of Cities'.*

#### **e. Terms of Engagement**

The engagement of the professionals will be for a period not exceeding four years, to be reviewed annually based on performance, outputs and desired impacts. The employment will be governed by the procurement process of the State government.

## f. Financial Support

The maximum financial support for RPMC personnel will be provided by MoUD is as follows:

Year	Unit cost (Rs. In lakhs)	Year wise funding details			
		Y1* (Rs. In lakhs)	Y2 (Rs. In lakhs)	Y3 (Rs. In lakhs)	Y4 (Rs. In lakhs)
<b>a. Establishment of RPMC</b>					
Staff salary @ Rs.55000 / person/month (for 6 persons only)	3.30/ month	39.60	39.60	39.60	39.60
Supporting cost includes local travel and stationery**	1.65/month	19.80	19.80	19.80	19.80
<b>Total</b>	<b>4.95/month</b>	<b>59.40</b>	<b>59.40</b>	<b>59.40</b>	<b>59.40</b>

\* 2013-14

\*\*Separate budget provisions have been made for the purchase of computer, printer and photo copier for the 375 cities.

## 2. Office administration support to purchase office equipment ( limited to 375 ULBs)

The financial support is for the selected 375 RPMCs to procure office equipments such as one computer, one printer and one photocopier. The maximum support form MoUD will be Rs. 2.00 lakh per ULBs. Procurement process of the concerned States shall be followed for the purchase of equipment.

The support will be provided to 375 cities in a phased manner as indicated below:

	No. of ULBs to be supported
Year 1*	50
Year 2	125
Year 3	100
Year 4	100
<b>Total</b>	<b>375</b>

\*2013--14

**The following activities will be supported by RPMC**

## 3. Preparation of Integrated City Plan, for the City and the appurtenant peri-urban area ( limited to 375 cities selected for establishing RPMCs) including CB plan

The financial support for this activity is to help the ULB to prepare an integrated city development plan and a CB plan. The development plan should be prepared in line with the CDP preparation. The guidelines for CDP preparation, city sanitation plan, city mobility plan, UDPFI are the referring documents for the preparation of Integrated City Plan.

The CB plan should be prepared based on a need assessment of ULBs to perform the assigned roles as brought out in the 74th CAA. The need assessment should be done at two levels: at

individual and organisational level. Based on Capacity Need Assessment (CNA), the ULBs should then prepare a four year city capacity building plan to address the short term and long term capacity building needs. The four year plan should be further divided into annual plan with financial requirements.

The support will be provided to 375 cities in a phased manner as indicated below:

	No. of ULBs
Year 1*	50
Year 2	125
Year 3	100
Year 4	100
<b>Total</b>	<b>375</b>

\*2013-14

The maximum financial support from MoUD will be Rs. 25.00 lakh per ULB. This is a onetime activity and the 375 ULBs selected for establishing RPMCs are eligible to access the fund.

#### **4. Preparation of business cum financial plan for projects, setting up systems for asset management & value creation and putting in place fiscal tools for revenue enhancement. (limited to 375 cities selected for establishing RPMCs)**

The support under this activity is to enhance the capacities of ULBs to:

- i. Identify high priority infrastructure investment projects through a feasibility study and prepare business plans cum financial plans,
- ii. Put in place systems for asset management and value creation,
- iii. Strengthen the implementation of financial and accounting reforms for cities for improved internal controls and asset management,
- iv. Increase the revenue streams through optimizing expenditure cost, re-vamping of fees and licenses under property tax, use of land as a resource for generating additional financial resources and exploring other revenue enhancement measures,
- v. Strengthen integrated financial management links such as improved service costing, budgeting and inter-governmental transfers,
- vi. Enhance the capacities of ULBs by enabling them to mobilise financial resources through municipal bonds and other market instruments,
- vii. Strengthening capacities of ULBs on demand side by improving skills of project development which are bankable, and
- viii. Improve the city level Management Information Systems (MIS) for improved revenue management.

The support will be provided to 375 cities in a phased manner as indicated below:

Year	No. of ULBs
Year 1*	50
Year 2	125
Year 3	100
Year 4	100
<b>Total</b>	<b>375</b>

\*2013-14

The maximum financial support from MoUD will be Rs. 10 lakh per ULB. This is a onetime activity and the 375 ULBs selected for establishing RPMCs are eligible to access the fund.

## II. Human resource development/skill enhancement programmes at ULB level.(Applicable to all ULBs)

From the human resource development perspective of ULBs, the main concerns are inadequate capacity of staff including their inability and unwillingness to adapt to changing needs. The activities proposed under this component try to enhance the capacities of ULBs on areas critical for urban governance and management.

### 1. Training programmes ( residential and non-residential )

ULBs can undertake residential as well as non-residential training programmes for the skill enhancement of ULB staff, elected representatives and parastatal staff. An indicative list of training programmes that can be undertaken by ULBs are as follows:

- i. Training /awareness creation /orientation programmes to ULB staff and elected representatives. Special emphasis should be given on training of women elected representatives,
- ii. Skill development trainings to ULB/parastatal officials to implement urban development schemes and projects of Central and State governments,
- iii. Technical and sectoral training programmes to ULB/ parastatal staff in water supply, solid waste management, roads & bridges, urban transport, sewerage, environment, climate change and any other sector related to urban development and urban management.

### Admissible rates for training programmes

Sl. No.	Head of cost	Rates admissible (Maximum) (in Rs.)
i.	Lodging and boarding ( for residential)	Rs. 1650 per person per day (Rounded off to 1700)
		Rs.2650 per person per day for elected representatives and senior officials(Rounded off to 2700)
ii.	Boarding( non –residential)	Rs.275 per person per day(Rounded off to 300)
iii.	Reading material and trg. Kit	Rs.660 per person(Rounded off to 700)
iv.	Honorarium	Rs.1100 per session
v.	TA for faculty*	Rs.13750 per programme
vi.	Training Hall Charges	Rs.4950 per day(Rounded off to 5000)
vii.	Site Visit/local transportation	Rs. 9900 per programme (Rounded off to 10000)
viii.	Institutional Charges	Rs.5500 per day
ix.	Copier, documentation, internet charges	Rs.3300 per day
x.	Administrative Charges	10% of total

Note: \* This is applicable to the faculty/resource person invited outside from the training institution(s) undertaking the programme.

\*\* A training program is expected to have 30 participants.

Training should be undertaken by recognised training institutions of repute. The Steering Committee in the State may empanel training institutes as per desired criteria. **Under this activity, nomination of ULB staff for the training programmes organised by recognised training institutions can also be taken up. Financial support from MoUD for this activity will be within the admissible rates of residential training programme of the toolkit. TA/DA will not be admissible.**

***Note: In case there are no local institutions to undertake training programmes in a State ( especially in NE States), and there is a need to invite the entire resource team from outside the State, the travel and accommodation costs of resource persons on actual basis ( not exceeding Rs. 15000/person) will be provided***

## **2. Exposure visits ( national)**

The objective of this activity is to provide opportunity to the ULB & parastatal personnel and elected representatives to observe, debate and analyse multi-sectoral urban management issues. Under this activity, ULBs can organise state and national level exposure visits.

Travel costs will be admissible as per State Government TA/DA Rules + lump sum allowance per day as decided by the Steering Committee under the chairpersonship of the State Urban Development Department Secretary concerned. The objective is to see that the costs as required are borne under programmes and not imposed on the institutions/States/ULBs being visited.

## **3. Undertaking research studies (small), case studies, best practices, evaluation studies and documentation of best practices**

The ULBs can undertake small research studies, documentation of best practice and impact assessment of projects and schemes on urban development or any other issues related to ULBs mandate on urban management. The specific activities include the following:

- a. Undertaking city level research studies: The research topics can be sector specific or general related to urban development. This include studies on service delivery, sector specific research studies (such as status of SWM, NRW), community participation etc.,
- b. Impact assessment of projects and reforms: ULBs can undertake impact assessment studies on project/reform implementation or any other activities undertaken by the ULBs as per their mandate.
- c. Documentation of best practices: This includes documentation of best practices in projects and reforms implementation and any other best practices on urban local governance.

The maximum financial support from MoUD will be a maximum of Rs.5.00 lakh per study/documentation.

## **4. Developing IEC materials:**

As part of knowledge dissemination and technology transfer, ULBs can develop IEC materials in vernacular language. The maximum support for this activity will be Rs. 5.00 lakhs per ULB per year.

## Component 2: Creation of supporting structures and mechanisms at state and central level to facilitate capacity building programmes of ULBs

### A. Admissible components: State level

#### I. Establishment of State Reform and Performance Management Cell (RPMC)

In order to enhance the capacity of State UD department and State Level Nodal Agency (SLNA) to effectively manage urban development projects and programmes, it is proposed to establish RPMC in 31 States/UTs with adequate human resources. The support from MoUD for the RPMC will be for a period of four years.

The RPMC will be established in a phased manner as indicated below:

	No. of RPMCs to be established	No. Of RPMCs to receive funding support
Year 1*	10	10
Year 2	21	31
Year 3		31
Year 4		31
<b>Total</b>	<b>31</b>	

\*2013-14

#### a. Composition of State RPMC

The State RPMC will comprise of specialists from any of the urban management areas such as municipal accounting, financial planning, urban planning, water & sanitation, roads & bridges, PPP, environmental planning, capacity building, environmental planning, social development and e-governance. An indicative list of specialists that can be selected in the RPMC is given below:

i.	Team Leader/Urban Planner	vi.	Urban Infrastructure Expert
ii.	Municipal Finance Specialist	vii.	SWM Specialist
iii.	Procurement specialist	viii.	Social Development Specialist
iv.	Capacity building/Institutional strengthening specialist	ix.	Environmental specialist
v.	IT cum monitoring and evaluation specialist	x.	PPP specialist

The above mentioned skill sets are only suggestive. The State shall assess their requirement for composition of RPMC based on their existing staffing pattern and the workload. The professionals shall be hired from the open market on contractual basis.

The RPMC would operate as a unit under the overall supervision and guidance of State Steering Committee and will report to Secretary, UD department.



## b. Roles and Responsibilities of State RPMC

The proposed State RPMC is designed to provide the requisite technical and managerial support to UD department/SLNA to effectively coordinate the urban development activities of cities including the planning, implementing and monitoring urban development schemes and projects. The responsibilities of the RPMC shall be:

- To provide handholding support to ULBs (other than 375 where RPMCs have not been established) on urban management and related schemes including JnNURM,
- To consolidate and prepare State CB strategy and CB plan under the guidance of State Level Steering Committee,
- Coordinate and provide technical support to ULBs to undertake capacity need assessment and to prepare City Capacity Building Plan,
- Provide latest technical know - how to ULBs on service delivery and urban governance.
- To provide technical support to ULBs to explore alternative long term municipal finance options available for financing urban infrastructure in cities and leveraging JnNURM funds,
- Advice ULBs on innovative financing and financial management strategies, where appropriate,
- Monitoring the implementation of CB activities under the supervision of the Steering Committee chaired by Principal Secretary, UD department,
- To support UD department to monitor and evaluate the schemes and programmes on urban development,
- Any other related activities as decided by the Steering Committee and Secretary, UD Department.

Detailed roles and responsibilities of individual are given in the Terms of Reference at **Annexure 4**.

## c. Procurement Process

The States/UTs as per their requirements can hire professionals from the indicative list mentioned at item No. (a) above. MoUD will provide financial support for a maximum of six professionals. The State should hire the specialists from open market after following the concerned State procurement processes and rules (in case of UTs, they have to follow GFR, 2005) and must ensure consistency with Terms of Reference.

## d. Terms of Engagement

The engagement of the professionals will be for a period not exceeding four years, to be reviewed annually based on performance, outputs and desired impacts.

### Financial Support

The maximum financial support for RPMC personnel which will be provided by MoUD is as follows:

Year	Unit cost (Rs. In lakh)	Year wise funding details			
		Y1*	Y2	Y3	Y4
<b>Establishment of RPMC</b>					
Staff salary ( for 6 persons) (Rs.55000*6)	3.30/month	39.60	39.60	39.60	39.60
Supporting cost includes local travel and stationary*	1.65/month	19.80	19.80	19.80	19.80
<b>Total</b>	<b>4.95 / month</b>	<b>59.40</b>	<b>59.40</b>	<b>59.40</b>	<b>59.40</b>

\*2013-14

The support will be provided to 31 States and UTs in a phased manner as indicated below:

	<b>No. of State RPMCs to be established</b>	<b>No. Of RPMCs to receive support</b>
Year 1*	10	10
Year 2	21	31
Year 3		31
Year 4		31
<b>Total</b>	<b>31</b>	

\*2013-14

**f. Preparation of CB strategy and CB plan**

The RPMC will support the UD department to prepare an overall State CB strategy and CB Plan. The Strategy and CB plan will be developed by consolidating the city CB plans as well as the CB requirements of the State UD department. This is a onetime activity and the financial support for from MoUD for the preparation of CB plan will be a maximum Rs. 5.00 lakh per State.

**II. Strengthening of State Administrative Training Institutes (ATIs) through establishment of Urban Management Cell (UMC) at ATIs**

As part of strengthening institutional capacity of ATIs to deal effectively with urban management issues, it is proposed to establish an Urban Management Cell (UMC) at State ATIs with adequate manpower support. The UMC will build and maintain meaningful partnerships with ULBs/states and provide support for training and capacity building, research activities, knowledge management and dissemination as per the emerging needs of ULBs and State UD department.

**a. Objective of UMC**

The objectives of UMC are as follows:

- To act as a center for demand driven training, research, knowledge management, advisory and consultancy in the field of urban management and service delivery for ULBs and State government,
- To undertake research and development activities for ULBs to improve their performance in service delivery and governance,
- To take leadership in promoting informed debates on key policy issues on urban management at level,
- To act as a platform for the exchange of information & ideas by documenting best practice in city urban governance and service delivery,
- To provide inputs for capacity building programmes for ULBs and State government with an initial emphasis on long term financial sustainability and asset management of ULBs,
- To strengthen workforce development of ULBs which include education, training and skills development for both staff and elected members, and
- To design and implement leadership development programmes for both senior and emerging leaders.

## b. Role of UMC

The indicative list of activities to be undertaken by UMC is given below. However, they can add more activities as per the requirements of ULBs as well as State UD department.

- **Policy advice and guidance to State government and ULBs** : Advice State government to strengthen ULBs as per 74th CAA, support State/ULB to prepare relevant policies and strategies and plans ( urban policy, State capacity building strategy, City capacity building plan) and any other policy matters policy related to implementation of JnNURM.
- **Planning and development of CB activities:** Plan, design and implement training courses, workshops, seminars and conferences for staff and elected representatives of ULBs and state government,
- **Human resource development:** Design and implement CB activities such as preparation of tailor-made training modules in local language, undertake training programmes for ULB staff, elected representatives and para statal institutions, orgnaise exposure visits, develop appropriate networks for knowledge dissemination . The ATI can develop partnership with other eminent training institutions to provide the support to States and ULBs.
- **Development of innovative methods for training delivery:** Design and implement innovative methods for delivery of training programmes
- **Undertake research for policy analysis /impact assessment studies:** Plan and conduct research studies in the areas of urban management and local governance to enable State and ULBs to take informed decisions.
- **Knowledge management:** Develop knowledge repository on best practices on projects and reforms, technology transfer, data bank on resource institutions/persons, poverty data, programmes/schemes etc.
- **Training of Trainers (ToT):** Identify potential participants and implement ToT programmes.
- **Development CB related toolkits and documents:** Systematisation of experiences and preparation and publication of working papers, policy briefs, fact sheets, good practices, guidelines and manuals on urban management.
- **Foster partnership and networking:** Develop formal and informal arrangements amongst institutions supporting urban local governments and develop a pool of professionals and on local governance and urban management issues. Also, collaborate with national and international institutions for technology transfer and knowledge dissemination.

## c. Composition of UMC

The UMC will be headed by an Urban Planner or a management expert .The indicative list of personnel to be recruited in the UMC is as follows:

1. Head of Urban Cell and Urban Planning Specialist ( Urban Reforms, Institutional strengthening, policy making )
2. Financial management Specialist (Municipal Finance, Budgetary Reforms, Resource Mobilisation )
3. Governance & Change Management Specialist ( Urban Governance, Capacity Building, Social Impact Assessment )
4. Infrastructure Specialist ( from anyone of the following sectors:Urban water supply, SWM, Sewerage and urban transport)
5. Research Associates (Support the experts in research analysis)

#### d. Financing of UMC<sup>1</sup>

Sl.no	Designation	No.of posts	Salary (monthly - Rs. In lakhs)
<b>a.</b>	<b>Administrative</b>		
1.	Head of Urban Cell and Urban Planning Specialist	1	.60
2.	Financial management expert	1	.40
3.	Governance & Change Management Specialist	1	.40
4.	Infrastructure expert	1	.40
5.	Senior Research Associate	2	.25
	<b>Total</b>	<b>6</b>	<b>2.30</b>

The support from MoUD will be for a period of four years. After that, the States may bear the costs of staff recruited in case if they wanted to continue the activity. Apart from the financial support for human resources, MoUD will provide financial support for undertaking activities as per the CB toolkit rates. The capital cost, cost for furniture, cost for creation of new posts and salaries for the existing staff will not be allowed under this activity. In this regard, the standard guidelines of Ministry of Finance, GoI should be strictly adhered to. **The model format for submitting proposal is at Annexure 5.**

#### e. Procurement Process

Selection and recruitment for experts in the UMC shall be undertaken by the ATIs as per the concerned State Government's procurement process (for UTs, they have to follow the GFR, 2005) in consultation with the State UD department.

#### f. Terms of Engagement

The engagement of the professionals will be for a period not exceeding four years, to be reviewed annually based on performance, outputs and desired impacts. The hiring of professionals will be governed by the concerned State government's standard procurement process.

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<sup>1</sup> The salary structure proposed are almost in par with the salary structure of ATIs

## II. Human resource development at State level: Training /Workshops/Seminars and related activities

### 1. Training programme (residential and non-residential)

All States and UTs are eligible to access fund under this activity. States can undertake residential training programmes and awareness classes for the State, parastatals and ULB officials including the elected representatives. The training programmes should be undertaken by recognised training institutions of repute or ATIs or any other State/national level institutions recognised by the state//central government. The Steering Committee in the State may empanel training institutes as per desired criteria. **Under this activity, nomination of staff for the training programmes organised by recognised training institutions can also be taken up. Financial support from MoUD for this activity will be within the admissible rates of residential training programme of the toolkit. TA/DA will not be admissible.**

#### a. Residential Programmes:

Sl. No.	Head of cost	Rates admissible (Maximum) (in Rs.)
1.	Lodging and boarding ( for residential)	Rs. 1650 per person per day (say 1700) Rs.2650 per person per day for elected representatives and senior officials(say 2700)
2.	Boarding( non –residential)	Rs.275 per person per day( Say 300)
3.	Reading material and trg. Kit	Rs.660 per person(say 700)
4.	Honorarium	Rs.1100 per session
5.	TA for faculty*	Rs.13750 per programme
6.	Training Hall Charges	Rs.4950 per day( Say 5000)
7.	Site Visit/local transportation	Rs. 9900 per programme (say 10000)
8.	Institutional Charges	Rs.5500 per day
9.	Copier, documentation, internet charges	Rs.3300 per day
10.	Administrative Charges	10% of total

Note: \* This is applicable to the faculty/resource person invited outside from the training institution(s) undertaking the programme.

\*\* A training program is expected to have 30 participants.

***Note: In case there is no local institutions to undertake training programmes in a State ( especially in NE States), and there is a need to invite the entire resource team from outside the State, the travel and accommodation costs of resource persons on actual basis ( not exceeding Rs. 15000/person) will be provided .***

## 2. Workshops/ Seminars/Consultations

The State can undertake workshops/ Seminars/Consultations. The maximum support from MoUD for the activity is as follows:

Sl.no	Activity	Rs. In lakh
1.	National Workshops	5.00 per event
2.	Regional Workshop	3.00 per event
3.	State level Workshop	2.00 per event

## 3. External Resource Persons/Experts

A maximum of Rs. 50,000 per workshop including travel costs, boarding & lodging and honorarium. Experts could be invited for special programmes such as advisory meetings of Resource Centres, meetings to finalise training modules etc. The list of National, Regional and State level resource persons needs to be finalised by the Resource Centres while formulating programmes. For NER and special category states the fee would be limited to Rs. 75,000.

## 4. Exposure visits ( national)

States can undertake state and national level exposure visits. Travel costs as per State Government TA/DA Rules + lump sum allowance per day as decided by the Programme Oversight Committee under the chairpersonship of the State Government Secretary concerned. The objective is to see that the costs as required are borne under programmes and not imposed on the institutions/States/ULBs being visited.

## 5. Undertaking research Studies (small), Case studies, preparation of training modules, documentation of best practices and evaluation studies

The activities include the following:

- a. Impact assessment of projects and reforms: In order to undertake impact assessment studies, the States/UTs have baseline data. Based on the data, the States/UTs can assess the impacts of projects reform implementation in the city.
- b. Sector specific research studies: Research studies include the level of service delivery, sector specific research studies (such as status of SWM, NRW), community participation etc.
- c. Documentation of best practices on
- d. Preparation of training modules

Maximum of Rs. 5.00 lakhs per studies will be available for items at (a) to (c).

For the preparation of training modules, Rs.50, 000 per modules is the maximum support allowed.

## 6. Developing IEC materials

As part of advocacy and awareness creation the States/UTs can develop IEC materials in vernacular language. The maximum financial support from MoUD will be Rs. 5.00 lakhs per year per State.

## **B. Activities at MoUD level: Admissible components**

The activities will be undertaken by MoUD through EoI/RFP as per GFR 2005 and standard procurement practices.

- 1. Establishment of National Urban Resource Network (NURN):** NURN will facilitate international, national, State and local level networking, cooperation and exchange of tools, approaches, methodologies, and knowledge that can be applied to urban capacity development at city level.
- 2. ToT training programmes:** To fill the gap between the training requirements of ULBs and the limited number of competent institutes to provide the same, MoUD proposes to expand the pool of trainers available within the State Training Institutes (ATIs), ULBs and Parastatal Agencies through ToT programmes.
- 3. Preparation of training modules:** MoUD through qualified institutions (through EoI) will prepare technical as well as project management related training modules. This will be further circulated to ULB and states to undertake training programmes.
- 4. Research Studies:** To get policy directions on urban development and urban management, it is proposed to undertake high quality research studies through eminent research institutions.
- 5. Developing IEC materials:** As part of advocacy and awareness creation, MoUD through qualified institutions (through EoI) will develop IEC materials on urban development issues.
- 6. Organise national and international level training and exposure programmes:** MoUD through qualified institutions (through EoI) will undertake training programmes coupled with international exposure visits. The objective is to impart need based training and capacity building to upgrade the existing skills and sectoral knowledge of urban development officials at the various levels of government. The responsibility of conducting the programmes will be given to an agency(s)/institution(s) and the agency(s)/institution(s) will be selected through the standard procurement practices of MoUD.

### **7. Internship programme for students of urban planning**

In order to provide an opportunity for the planning students to learn the initiatives of government on urban development, it is proposed to initiate an internship programme at MoUD level. It is envisaged that this programme not only will provide professional experience for interns but it will also help MoUD to tap the resources of talented and motivated graduate students to support MoUD's needs. The specific objectives of internship are:

- i. To provide opportunity to graduate students from Planning Institutions to have exposure to MoUD's work on urban development and urban governance ,
- ii. To enhance the educational experiences of the students through practical work experience, and
- iii. To provide MoUD the assistance of qualified students specialised in urban planning to undertake research and documentation activities

#### **Duration and eligibility**

The duration of internships will be between three to six months. Students who are enrolled in a degree programme /masters programme in a planning school.

#### **Tasks and responsibilities: The intern will undertake the following specific tasks:**

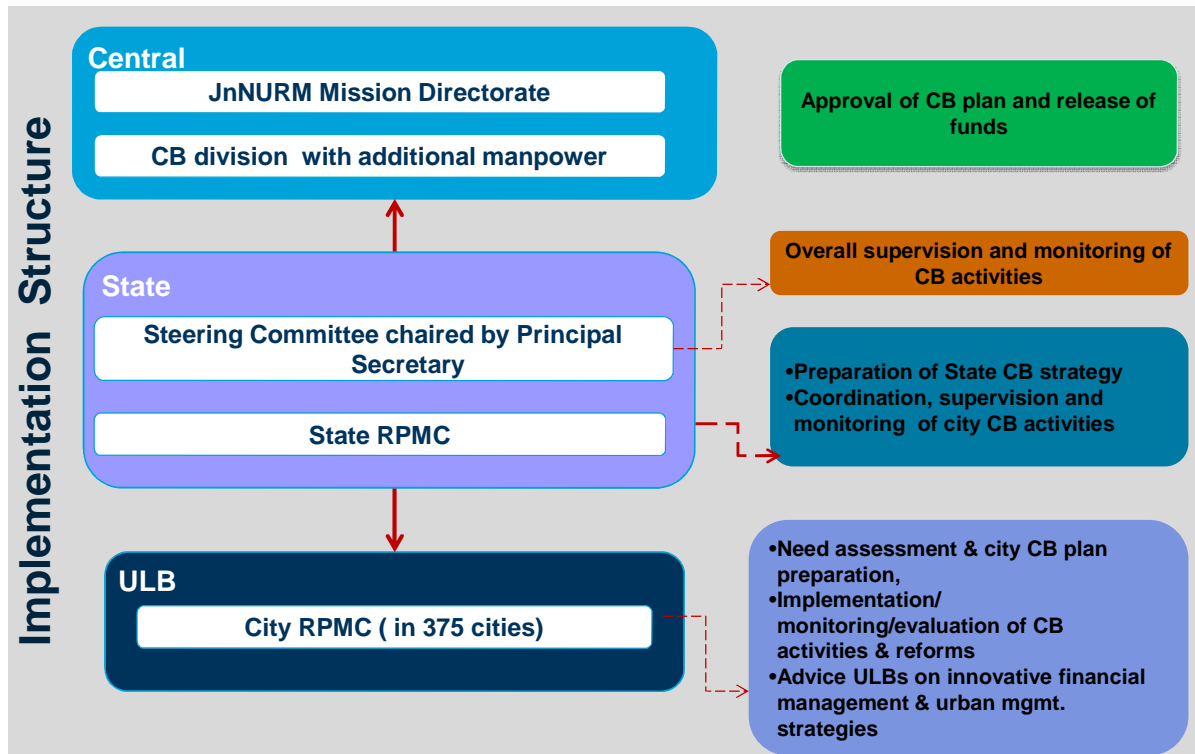
- i. Report writing/Desk and field research/Attend workshops seminars and meetings.
- ii. Develop presentations/Conduct field surveys/Participation in group work.
- iii. Assist project development/other assigned tasks.

*\* Internship will involve both office work and field work. And tasks may vary according to the sector/departments of the interns.*

**Application procedure:** Interested applicants must submit the application form (**Annexure 6**) and submit to the Mission Directorate with a covering letter from the head of the Institution.

## Section IV: Implementation structure, proposal submission, appraisal, approval and release of funds

### a. Implementation structure



6

**MoUD Level:** At MoUD level, the capacity building programme will be managed by a Joint Secretary with support staff as per standard norms.

**State Level:** A Steering Committee will be constituted at State level with Principal Secretary as the Chair to manage the CB activities at State level. The Steering Committee thus notified will be responsible for planning, budgeting, **implementing, incurring of expenditure, release of funds, auditing and monitoring of the CB scheme for the ULBs and the State.**

The State CB Plan will be reviewed by State Level Sanctioning Committee (SLSC) as per JnNURM guidelines and will be aligned to it, if necessary, before it concurred into by IFD and is placed before CSMC by Mission Directorate for approval.

The Steering Committee will carry out the following activities:

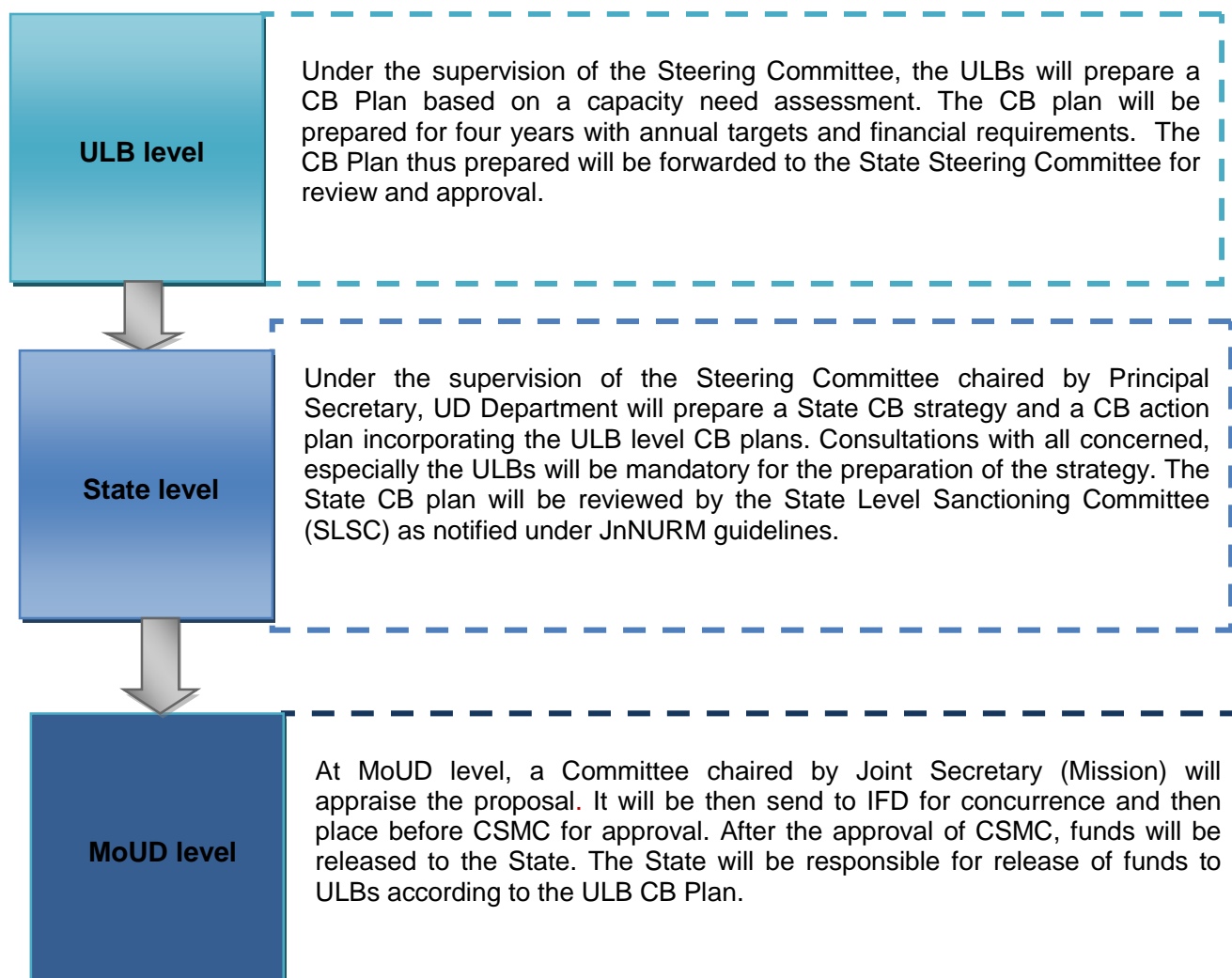
- Facilitate preparation of City Capacity Building Plan:** Under the supervision of the Steering Committee, the ULBs will prepare a CB Plan based on thorough capacity need assessment. The CB plan will be prepared for five years with annual targets and financial requirements. The CB Plan thus prepared will be forwarded to the Steering Committee for approval.
- Preparation of State Capacity Building Strategy and CB Action Plan:** The Steering Committee will consolidate the ULB level CB Plans and prepare a State CB strategy and a CB action plan incorporating the ULB level CB plans. Consultations with all concerned, especially the ULBs will be mandatory for the preparation of the strategy.
- Steering Committee will be responsible for involving all stakeholders** such as citizens groups, research institutions, training institutions including ATIs, etc. during planning and implementation of CB Plan.
- Submission of proposal to MoUD:** The Steering Committee will submit a consolidated proposal to MoUD as per the prescribed CB Toolkit



- e. **Release of funds:** Steering Committee will be responsible for release of funds to ULBs/other agencies as per the approved CB Plan.
- f. Steering Committee will submit periodic utilization certificates to MoUD for release of instalments based on the consolidated CB Plan of the State.
- g. Steering Committee will be responsible for **adherence to all relevant general and financial rules as per GFR/State regulations.**
- h. Steering Committee will be responsible for **ensuring due diligence with regard to audit and vigilance provisions.**

**ULB Level:** The ULB supported by the RPMC will be responsible for the overall management of capacity building programmes.

**b. Proposal submission, appraisal and approval**



**c. Release of funds**

The support for capacity building would be 100% Central Grant in respect of central share. 1% of the budget will be available for A & OE at all levels. Funds will be released in four instalments to the State. First instalment of 25% will be released on approval of the State CB Plan and as per the guidelines of JnNURM and the rest in 3 instalments of 25% each subject to at least 70% utilization of the previous instalment.

Funds for training institutions/agencies will be directly released to them only for activities initiated at MoUD level.

#### d. Monitoring and evaluation

**State//ULB level:** The State Steering Committee will have the responsibilities for the monitoring of CB activities.

**MoUD level:** the progress of CB activities will be reviewed by CSMC based on the based on the Quarterly Progress Report (QPR) and other relevant documentations submitted by the State.

The outcomes of the CB activities will be evaluated at all levels based on the benchmarks benchmarks/performance criteria (**Annexure 7**).

#### e. Requirements for developing CB plan

In order to access the capacity building grant, ULBs and States should adhere to the following requirements:

##### 1. Holistic CB plan

Capacity building programmes for ULB and State should adopt a holistic approach and should take into account the entire requirements for the functioning of a ULB rather than developing standalone capacity building plan.

##### 2. CB programme to be guided by a given framework

The capacity building programmes should be guided by the development priorities of the ULBs. The CDPs, Master Plan and development plans can act as the reference documents for indentifying priorities for the same.

##### 3. Objectives of CB activities should be clear and measurable

Capacity building programmes should be aimed at achieving certain pre-determined level of capacity and skills for the ULBs in general and for the personnel in particular in which the ULBs should be able to function on its own. The ULB as per the need assessment should finalise a set of parameters to assess the progress and impacts of the CB activities they proposes.

##### 4. Need for co-ordination

The capacity building programmes should be implemented in co-ordination with different training and research institutions in the State so as to avoid duplication of training and capacity building programmes. Also, the ULBs and State should identify a nodal agency to implement the capacity building plan as per the capacity building proposal.

##### 5. Develop Monitoring mechanism

The ULBs and States should develop a mechanism for the monitoring and evaluation of capacity building activities they have undertaken.

##### 6. Use of appropriate procurement process

States and ULBs should follow the procurement procedures as per the GFR wherever applicable for any work to be awarded to institutions and agencies.

##### 7. Output oriented

Outputs express the desired qualities of the CB activities. They are the intended results of the Capacity Development Programme. They can also be easily used as milestones of what has been accomplished at various stages during the life of the program

##### 8. Follow up programme

The proposal for capacity building programmes should include a **post plan of action** which will help to integrate and apply the learning's into the everyday work of the Staff. The **post plan should be made for each activities proposed** in the CB proposal. The post plan of action should include the following points:

- Specific actions to be taken in the next (specify the time frame) to try out some of these new skills and insights
- Obstacles that might keep the individuals from actually doing the learning's, and
- Strategies to get around those obstacles

## Section V: Annexures

### Annexure 1a: Checklist for preparing CB Plan (State and City)

1. The CB Plan should be prepared for four years with yearly target (physical and financial).
2. The State CB plan should also contain performance indicators to monitor and evaluate progress of CB activities.
3. The CB plan should be sent to MoUD with a recommendation and covering letter from the State Level Steering Committee. The name of nodal person identified by States to implement the CB plan as well as liaise with MoUD should be given in the letter.
4. State(s) should mention the Nodal Agency identified for the implementation of CB programme.
5. State(s) in consultation with MoUD should identify the cities to establish RPMCs on a priority basis.
6. The CB toolkit rates have to be strictly followed for the preparation of State and ULBs Plans. 1% A & OE is available at State, ULB and MoUD level.

## Annexure 1b: Model Capacity Building Plan

1. Name of State/UT:
2. Name of cities selected:
3. Name of cities selected for the establishment of RPMC
4. Rationale for Capacity Building: *(challenges and needs for capacity building for the cities/States for sustainable urban management)*
5. Objectives of Capacity Building Programme( Objectives should be measurable)
6. Expected outcomes of Capacity Building Programme *(provide tangible outcomes as per the objectives)*
7. Activities proposed (admissible components: refer CB toolkit for details- choose activities only applicable to State/city )
  - a. Strengthening Institutional structures and planning process at City/State**
    1. Establishment of Reforms and Performance Management Cell (RPMC-applicable to all States and 375 cities)
      - a. City(s) selected:
      - b. Rationale and scope for establishing RPMC
      - c. Proposed team composition( number and designation)
      - d. Proposed duration for the RPMC staff
      - e. Proposed budget (salary of proposed positions and supporting cost)
    2. Preparation of Business cum financial plan for projects, setting up systems for asset management & value creation and putting in place fiscal tools for revenue enhancement. (Limited to 375 cities selected for establishing RPMCs).
      - a. Activities proposed: [(i)Preparation of Business cum financial plan for projects/ setting up systems for asset management & value creation/ putting in place fiscal tools for revenue enhancement: specify the component(s):whether it is all three of any one of the three]
      - b. Expected outcomes( measurable):
      - c. Budget proposed:

**b. Human resource development/skill enhancement programmes at ULB level.(Applicable to all ULBs)**

1. Training programmes ( residential and non-residential )
  - a. Type of training : Residential or non-residential
  - b. Objective of training programme(s) proposed ( should provide objectives for each type of training programmes)
  - c. Type of participants, duration of training programme(s), venue and nodal agency to provide training
  - d. Expected outcomes (provide measurable indicators to evaluate the outcomes of training programme(s))
  - e. Budget ( Provide the total budget figure here and attach the budget breakup as per the attached excel sheet)
  
2. Exposure visits ( national)
  - a. Objective/purpose of the visit(s)
  - b. Type and number of participants
  - c. No. of programmes proposed
  - d. Proposed areas/places to be visited
  
3. Workshops/ Seminars/Consultations
  - a. Objective/purpose of the workshop(s)
  - b. Type and number of participants
  - c. No. of programmes proposed
  - d. No. of resource persons proposed
  - e. Budget estimates
  
4. Undertaking research Studies (small), Case studies, documentation of best practices and evaluation studies
  - a. Objective/purpose of research Studies (small), Case studies, documentation of best practices and evaluation studies
  - b. Expected outcomes
  - c. No. of programmes proposed
  - d. Budget estimates
  
5. Developing IEC materials
  - a. Types of IEC materials proposed
  - b. No. of copies to be printed
  - c. Budget estimates

**Annexure 2: Suggested list of cities for establishing 50 RPMC**

<b>Sl. no</b>	<b>State</b>	<b>City</b>	<b>Sl.no</b>	<b>State</b>	<b>City</b>
1.	Andhra Pradesh	Suryapet	26	Maharashtra	Aurangabad
2.	Arunachal Pradesh	Pasighat	27	Manipur	Moirang
3.	Assam	Digboi	28	Manipur	Bishnupur
4.	Assam	Jorhat	29	Meghalaya	Tura
5.	Bihar	Muzaffarpur	30	Meghalaya	Nongpoh
6.	Chattisgarh	Raigarh	31	Mizoram	Lunglei
7.	Chattisgarh	Bilaspur	32	Nagaland	Chumukedima
8.	Dadra and Nagar Haveli	Silvassa and AmlI	33	Orissa	Cuttack
9.	Goa	Vasco	34	Orissa	Berhampore
10.	Gujarat	Bhavnagar	35	Puducherry	Yanam
11.	Gujarat	Mehsana	36	Punjab	Mohali
12.	Haryana	Sonepat	37	Punjab	Jalandhar
13.	Haryana	Rohtak	38	Rajasthan	Jodhpur
14.	Himachal Pradesh	Kullu	39	Rajasthan	Udaipur
15.	Jammu and Kashmir	Anantnag	40	Sikkim	Mangan
16.	Jharkhand	Bokaro	41	Tamil Nadu	Salem
17.	Jharkhand	Deogarh	42	Tamil Nadu	Tirunelveli
18.	Karnataka	Hubli-Dharwad	43	Tripura	Belonia
19.	Karnataka	Belgaum	44	Tripura	Ranirbazar
20.	Kerala	Guravayur	45	Uttar Pradesh	Raibareilly
21.	Kerala	Kalapetta	46	Uttar Pradesh	Moradabad
22.	Madhya Pradesh	Gwalior	47	Uttarakhand	Almora
23.	Madhya Pradesh	Dewas	48	Uttarakhand	Mussoorie
24.	Maharashtra	Nanded	49	West Bengal	Siliguri
25.	Maharashtra	Damoh	50	West Bengal	Chandannagar

### **Annexure 3: Terms of Reference for City RPMC**

#### **I. Team Leader**

**a. No. of posts:** One

**b. Qualifications & Experience**

- Urban Planner/ Management Expert having strong background in project management with 3-5 yrs. in a managerial position
- Senior engineers with at least 3-5 years' experience in a managerial position can also be considered
- Experience in working with large scale urban development projects /programmes
- Experience in urban reforms and capacity building programmes for ULBs

**c. Role and responsibilities :**The Team Leader may support the ULB to:

- i. Co-ordinate and support the implementation of JnNURM reforms, projects and capacity building activities
- ii. Prepare integrated City Plans and CB plan, business cum financial plan
- iii. Prepare reports (including QPRs and Utilisation Certificates) for State and MoUD on progress of implementation of CB programmes as well as other related programmes
- iv. Coordinate the engagement of service providers and external experts for implementation of CB activities
- v. Assist in increasing sources of municipal finance of all JNNURM cities and assist in identifying avenues for leveraging funds for infrastructure.
- vi. Any other related activities as decided by the administrative head of the ULB.

#### **II. Municipal Finance Specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- Graduate degree in finance from recognized university with 3-5 yrs. experience
- Skills to evaluate urban infrastructure investments, and helping city governments to examine and use a range of options for financing projects.
- Experience to advice and train ULB staff in municipal finance, project finance, resource mobilization, public private partnerships etc.

**c. Role and responsibilities :** The Specialist may support the ULB to:

- i. Prepare Financial Operating Plans for the city
- ii. In partnership with national level financial institutions for providing training and capacity building on finance and related matter to elected representatives and officials of ULBs focusing on resource mobilization
- iii. Prepare specialised training materials/modules, process manuals, procedures, toolkits, guidelines and other related activities for undertaking capacity building programmes on financial management;
- iv. To assess city counterpart funding of JNNURM projects and explore alternative financing.
- v. Explore alternate long-term municipal finance options available for financing urban infrastructure and leveraging JNNURM funds.
- vi. Review estimates of detailed economic project costs and identify all project economic benefits.
- vii. Conduct economic and financial viability assessments of the projects.
- viii. Conduct an affordability analysis and gather information to prepare a sample financial model for the project ULBs.
- ix. Conduct financial sustainability analyses for revenue-generating subprojects.
- x. Support in the implementation of accounting and user charges reforms
- xi. Any other related activities as decided by the administrative head of the ULB.

### **III. Urban Infrastructure Specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- Graduate engineer from recognized university.
- Have a broad range of experience in urban infrastructure and a strong background in public health engineering, especially water supply and sanitation;
- Have at least 3-5 yrs. experience in designing and managing municipal infrastructure projects, preferably projects funded by aid agencies; and
- Be very familiar with the laws and procedures of the Indian municipal environment.

**c. Role and responsibilities :**The Specialist may support the ULB to:

- i. Asses the status of infrastructure development in the city on a regular basis and provide independent feedback to the Municipal Commissioner
- ii. Ensure adequate provision for operation and maintenance, value for money urban infrastructure creation, and overall sustainability.
- iii. Provide knowledge support—including presentation of regional best practices—relating to project management, monitoring quality of construction, good procurement practices, PPPs, use of information systems, among others
- iv. Provide technical support to ULB to prepare city development plan and economically viable DPRs on projects
- v. Any other related activities as decided by the administrative head of the ULB.

### **IV. Solid Waste Management Specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- Environmental engineering degree with broad range of experience in municipal waste management.
- Ability to assist ULBs to set standards and procedures for ensuring quality and monitoring compliance on SWM.
- Familiarity with legislative framework of Indian municipal environment.
- Prior experience as municipal engineer will be an added advantage
- Should have at least 3-5 yrs. experience in urban infrastructure related to solid waste management
- Experience of work on multilateral supported projects, and at ULB level would be preferred.

**c.Role and responsibilities :**The Specialist may support the ULB to:

- i. Review and verify designs and needs analyses of the proposed and ongoing solid waste management projects.
- ii. Set monitoring systems for solid waste management project including information on the composition and volume of waste generated from domestic and commercial sources as required for the preparation of a solid waste management plan.
- iii. Provide support on collection and transportation program, including vehicle routing, based on detailed and updated city maps; confirm equipment requirements; and preparation and specifications for tenders.
- iv. Provide support to cities in carrying out sample survey to assess options for waste reduction and recycling and the demand and market for composting.
- v. Provide support to cities ascertain the preferred options for collection and willingness to pay for improved waste collection by households and businesses and determine the potential for private sector participation in waste collection, recycling, transportation, and disposal.
- vi. Provide support to cities regarding changes in the institutional arrangements for



- improving collection, transportation, and disposal of solid wastes.
- vii. Provide support to cities for preparing comprehensive solid waste management plan for the sample ULBs
- viii. Any other related activities as decided by the administrative head of the ULB.

## **V. Procurement Specialist**

**a. No. of posts:** One

### **b. Qualifications & Experience**

- Engineering degree with experience in procurement and project preparation and management.
- Skills to assist ULBs in ensuring that standard documentation and detailed operating procedures for procurement, contract management etc. are in place. Specifically: detailing specifications, compiling terms of reference, packaging bidding material, defining evaluation criteria, preparing standard forms of contract, designing payment certificates.
- Ability and experience to advise SLNA/ULBs on any contract under dispute with action plan and timetable for resolution
- Should have at least 3-5 yrs experience in managing procurement on large and complex infrastructure projects, preferably urban infrastructure in a large infrastructure corporation.

**c. Role and responsibilities :** The Specialist may support the ULB to:

- i. Conduct an assessment of procurement practices to identify risks.
- ii. Develop draft procurement guidelines based on GFR and the procurement rules of the concerned State to engage institutions for the implementation of CB activities
- iii. Any other related activities as decided by the administrative head of the ULB.

## **VI. Social Development Specialist**

**a. No. of posts:** One

### **b. Qualifications & Experience**

- Masters degree in Social Sciences, with practical experience of working in the development areas, preferably in urban development
- Wide knowledge and experience in implementing governance reforms
- Experience in social analysis, resettlement and rehabilitation
- Should have at least 3-5 yrs. experience in undertaking social and community development initiatives and appraisals in the municipal environment, especially in relation to urban infrastructure projects

**c. Role and responsibilities :** The Specialist may support the ULB to:

- i. Undertake social analysis of projects proposed under JnNURM
- ii. Assist and guide ULBs on strategies to minimize any negative impacts, and ensure full compliance with Government of India policies related to resettlement and social protection.
- iii. Ensure that the investment projects reflect social inclusion, and that they address the needs of the poor.
- iv. Assess the social impacts of projects, and monitor their impacts over time.
- v. Advise ULB on reforms related to community participation
- vi. Ensure that JNNURM-funded initiatives are planned and developed in a participatory manner
- vii. Provide other necessary support as identified by the team leader
- viii. Any other related activities as decided by the administrative head of the ULB.

## **VII. Environmental Specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- University degree in environmental engineering or similar field and at least 3- 5 yrs. experience in assessing, monitoring, and mitigating environmental impacts of urban infrastructure investments.

**c. Role and responsibilities :**The Specialist may support the ULB to:

- i. Assess the environmental impacts of proposed on ongoing projects, and monitor their impacts over time.
- ii. In instances where negative impacts are expected, work closely with city and state governments, to ensure that all interventions are in full compliance with the Government and other acceptable guidelines. Ensure that all reasonable efforts to minimize negative impacts are taken.
- iii. Any other related activities as decided by the administrative head of the ULB

## **VIII. Capacity building/Institutional Strengthening Specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- Advanced university degree in the development field ( urban development or social development)
- 3-5 yrs experience in training and capacity building, as well as competence in urban sector issues in India
- Knowledge of adult learning methodology and capacity building experience within the urban sector, including experience in areas such as capacity assessment, curricula development, course organization, problem-based (and not only content-based) training, and training impact evaluations
- Computer literacy (word processing, presentation).
- Ability to work in a high pressure, ethnically diverse, political setting.
- Knowledge and experience of government systems and procedures

**c. Role and responsibilities :**The Specialist shall undertake the following tasks:

- i. Advise ULB on matters relating to CB activities and their effective implementation;
- ii. Lead capacity Need Assessment at ULB and support ULB to prepare capacity building plan
- iii. Design , develop and CB activities for the city
- iv. Implement and monitor the capacity building programmes
- v. Coordinate with the training institutions to implement training programmes
- vi. Any other related activities as decided by the administrative head of the ULB

## **IX. PPP specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- 3-5 yrs experience e in developing and managing PPPs
- Familiarity with PPP methodology and framework
- Demonstrate familiarity with the formulation, appraisal, and approval procedures for PPP projects (including relevant concession agreements, due diligence processes, value for money audits, public sector comparator, etc.)
- Demonstrate familiarity with complex project agreements, tendering arrangements, detailed legal and contractual agreements, risk management and contingent liability issues, and financial analysis of complex project proposals with respect to PPP project

**c. Role and responsibilities :**The Specialist may support the ULB to:

- i. Appraise and structure the project activities for carrying out of PPP Projects
- ii. Review and analysis of projects received by PPP Cell
- iii. Coordinate PPP Projects on implementation
- iv. Assist in preparing the pre-feasibility reports
- v. Help in appointing / selecting consultants to develop the projects
- vi. Ensure transparent tendering processes
- vii. Inspect, visit, review any PPP project under implementation
- viii. Any other related activities as decided by the administrative head of the ULB.

**X. Monitoring and evaluation Specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- The expert will have a management background and at least 3-5 years' experience in monitoring and evaluating large projects and programs, preferably in the urban sector.

**c. Role and responsibilities**

- i. Develop and strengthening M E system for projects, reforms and capacity building activities
- ii. Monitor the status of implementation of JNNURM-funded project investments vis-à-vis approved timelines and key deliverables
- iii. Monitoring and evaluation and reporting to SLNA
- iv. Assist the team leader in refining benchmarks and/or indicators against which progress of JnNURM can be measured.
- v. Assist in conducting survey to assess the conditions of important reforms at each level of government, as well as the status of the full-range basic services and systems expected to be covered through JNNURM in the 63 eligible cities and states.
- vi. Update, refine and expand the database at the city level
- vii. Set up systems for measuring and monitoring and reporting on service level benchmarks set up by MOUD.

## Annexure 4: Terms of Reference, State RPMC

### I. Team Leader

a. No. of posts: One

b. Qualifications & Experience:

- Urban Planner/ Management Expert, with strong background in project management with 7-10 yrs. in a managerial position
- Senior engineers with at least 7-10 yrs. experience in a managerial position can also be considered
- Experience in working with large scale urban development projects /programmes
- Experience in urban reform and capacity building programmes for ULBs

c. Role and responsibilities: The Team Leader may support the State UD department to:

- i. Overall coordination , project management, and technical support for UD department and State level Steering Committee
- ii. Provide technical and handholding support to cities for the preparation of CB plan, its implementation and monitoring
- iii. Provide technical and handholding support to cities for the preparation of Integrated City plan and business cum financial plan
- iv. Provide technical and handholding support to cities in the preparation of integrated city plans, undertaking city planning survey etc
- v. Any other related activities as decided by the State Steering Committee and the Secretary, UD department

### II. Municipal Finance Specialist

a. No. of posts: One

b. Qualifications & Experience

- Graduate degree in finance from recognized university with 7-10 yrs. experience
- Skills to evaluate urban infrastructure investments, and helping city governments to use a range of options for financing projects.
- Experience to advice and train staff in municipal finance, project finance and resource mobilization, public private partnerships etc.

c. Role and responsibilities :The Specialist may support the State UD department to:

- i. Provide technical support and coordinate the work of cities on Integrated City Investment Plans and Financial Operating Plans
- ii. Support Capacity building Specialist to design and implement training and capacity building programme on resource mobilisation to State and ULB staff and elected representatives
- iii. Support Capacity building specialist to prepare specialised training materials/modules, process manuals, procedures, toolkits, guidelines and other related activities for undertaking capacity building programmes on financial management;
- iv. Provide technical guidance to State to prepare policy guidance and notes on municipal finance
- v. Support ULBs to identify finance options available for financing urban infrastructure and leveraging JNNURM funds.
- vi. Review estimates of detailed economic project costs and identify all project economic benefits in the cities
- vii. Conduct an affordability analysis and gather information to prepare a sample financial model for the project for ULBs.
- viii. Support in the implementation of accounting and user charges reforms
- ix. Any other related activities as decided by the State Steering Committee and the Secretary, UD department

### III. Urban Infrastructure Specialist

a. No. of posts: One

b. Qualifications & Experience

- Graduate degree in engineering from recognized university.
- Have a broad range of experience in urban infrastructure and a strong background in public health engineering, especially water supply and sanitation;
- Have at least 7-10 yrs. experience in designing and managing municipal infrastructure projects, preferably projects funded by aid agencies; and
- Be very familiar with the laws and procedures of the Indian municipal environment.

- c. Role and responsibilities :** The Specialist may support the State UD department to:
- i. Support cities in the preparation of Integrated City Plan,
  - ii. Support cities in assessing the status of infrastructure development in the city on a regular basis and provide independent feedback to the Municipal Commissioner
  - iii. Support cities to ensure adequate provision for operation and maintenance, value for money urban infrastructure creation, and overall sustainability.
  - iv. Provide knowledge support—including presentation of regional best practices—relating to project management, monitoring quality of construction, good procurement practices, PPPs, use of information systems, among others
  - v. Any other related activities as decided by the State Steering Committee and the Secretary, UD department

#### **IV. Solid Waste Management Specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- Engineering degree with broad range of experience in urban infrastructure and strong background in public health engineering, especially water supply and sanitation, roads and municipal waste management.
- Ability to assist ULBs to set standards and procedures for ensuring quality and monitoring compliance.
- Familiarity with legislative framework of Indian municipal environment.
- Prior experience as municipal engineer will be an added advantage
- Should have at least 7-10 yrs. experience in urban infrastructure related to solid waste management
- Experience of work on multilateral supported projects, and at ULB level would be preferred.

**c. Role and responsibilities :** The Specialist may support the State UD department to:

- i. Advise and provide technical support to SLNA to plan and design SWM policies and projects
- ii. Provide technical support the ULB to review and verify designs and needs analyses of the proposed and ongoing solid waste management projects in the cities
- iii. Provide technical support the ULB to set monitoring systems for cities for solid waste management project including information on the composition and volume of waste generated from domestic and commercial sources as required for the preparation of a solid waste management plan.
- iv. Provide technical advice and support to ULBs in the collection and transportation program, including vehicle routing, based on detailed and updated city maps; confirm equipment requirements; and preparation and specifications for tenders.
- v. Provide technical support the ULB to ascertain the preferred options for collection and willingness to pay for improved waste collection by households and businesses and determine the potential for private sector participation in waste collection, recycling, transportation, and disposal.
- vi. Provide support to cities regarding changes in the institutional arrangements for improving collection, transportation, and disposal of solid wastes.
- vii. Any other related activities as decided by the State Steering Committee and the Secretary, UD department

## **V. Procurement specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- Engineering degree with experience in procurement and project preparation and management.
- Skills to assist ULBs in ensuring that standard documentation and detailed operating procedures for procurement, contract management etc. are in place. Specifically: detailing specifications, compiling terms of reference, packaging bidding material, defining evaluation criteria, preparing standard forms of contract, designing payment certificates.
- Ability and experience to advise SLNA/ULBs on any contract under dispute with action plan and timetable for resolution
- Should have at least 7-10 yrs. experience in managing procurement on large and complex infrastructure projects, preferably urban infrastructure in a large infrastructure corporation.

**c. Role and responsibilities :**The Specialist may support the State UD department to:

- i. Develop guidelines and support in the procurement of agencies as per GFR/concerned State government procurement procedures for CB as well as other related activities.
- ii. Develop RfP and procure services of agencies/institutions for the implementation of CB and related activities.
- iii. Assist the ULB in developing unified procurement practices for CB as well as other related activities
- iv. Any other related activities as decided by the State Steering Committee and the Secretary, UD department

## **VI. Social Development Specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- Masters or doctoral degree in Social Sciences, with practical experience of working in the development areas, preferably in urban development
- Wide knowledge and experience in implementing governance reforms
- Experience in social analysis, resettlement and rehabilitation
- Should have at least 7-10 yrs. experience in undertaking social and community development initiatives and appraisals in the municipal environment, especially in relation to urban infrastructure projects

**c. Role and responsibilities :** The Specialist may support the State UD department to:

- i. Compile and consolidate social analysis of projects proposed under JnNURM cities
- ii. Develop social safeguard framework for JnNURM projects
- iii. Ensure that the investment projects reflect social inclusion, and that they address the needs of the poor.
- iv. Assess the social impacts of projects, and monitor their impacts over time.
- v. Advise ULB on reforms related to community participation
- vi. Ensure that JNNURM-funded initiatives are planned and developed in a participatory manner
- vii. Assist in establishing and institutionalizing systems of participatory decision making and information sharing in participating cities/ULBs
- viii. Provide other necessary support as identified by the team leader.
- ix. Any other related activities as decided by the State Steering Committee and the Secretary, UD department

## **VII. Environmental specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- University degree in environmental engineering or similar field and at least 7-10 yrs years experience in assessing, monitoring, and mitigating environmental impacts of urban infrastructure investments.

**c. Role and responsibilities :** The Specialist may support the State UD department to:

- i. Support ULBs to assess the environmental impacts of proposed on ongoing projects, and monitor their impacts over time.
- ii. In instances where negative impacts are expected, work closely with city and state governments, to ensure that all interventions are in full compliance with the Government and other acceptable guidelines. Ensure that all reasonable efforts to minimize negative impacts are taken.
- iii. Provide other necessary support as identified by the team leader.

## **VIII. Capacity building/Institutional Strengthening Specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- Advanced university degree in the development field ( urban development or social development)
- 7-10 yrs experience in training and capacity building, as well as competence in urban sector issues in India
- Knowledge of adult learning methodology and capacity building experience within the urban sector, including experience in areas such as capacity assessment, curricula development, course organization, problem-based (and not only content-based) training, and training impact evaluations
- Computer literacy (word processing, presentation).
- Ability to work in a high pressure, ethnically diverse, political setting.
- Knowledge and experience of government systems and procedures

**c. Role and responsibilities :**The Specialist may support the State UD department to:

- i. Prepare State capacity building strategy and CB plan
- ii. Advise ULB on matters relating to CB activities and their effective implementation;
- iii. Provide technical support to ULB for the Capacity Need Assessment of ULB and to prepare capacity building plan
- iv. Develop performance indicators and monitoring mechanism to monitor and evaluate the CB activities at State as well as ULB level
- v. Design and develop training modules on CB in consultations with other specialists in the team o
- vi. Any other related activities as decided by the State Steering Committee and the Secretary, UD department

## **IX. PPP Specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- 7-10 yrs. professional experience in developing and managing projects on PPP mode
- Familiarity with the PPP methodology and framework
- Demonstrate familiarity with the formulation, appraisal, and approval procedures for PPP projects (including relevant concession agreements, due diligence processes, value for money audits, public sector comparator, etc.)
- Demonstrate familiarity with complex project agreements, tendering arrangements, detailed legal and contractual agreements, risk management and contingent liability issues, and financial analysis of complex project proposals with respect to PPP projects

**c. Role and responsibilities :**The Specialist may support the State UD department to:

- i. Support SLNA to develop State PPP plan of action
- ii. Support ULBs to appraise project activities for properly carrying out of PPP Projects
- iii. Review and analysis of projects received from ULBs
- iv. State wise coordination of PPP Projects implementation
- v. Assist in preparing the pre-feasibility reports for States and ULBs
- vi. Help in appointing / selecting consultants to develop the projects at ULB level
- vii. Inspect, visit, review any PPP project under implementation in the cities
- viii. Awareness Building & Training for relevant State Government Officials on PPP projects
- ix. Any other related activities as decided by the State Steering Committee and the Secretary, UD department



**X. IT cum Monitoring and evaluation Specialist**

**a. No. of posts:** One

**b. Qualifications & Experience**

- The expert will have a management background and at least 7-10 yrs. experience in monitoring and evaluating large projects and programs, preferably in the urban sector.
- Develop and strengthening M E system for projects, reforms and capacity building activities at State level
- Monitor the status of implementation of JNNURM-funded project investments vis-à-vis approved timelines and key deliverables
- Monitoring and evaluation and reporting to SLNA
- Assist the team leader in refining benchmarks and/or indicators against which progress of JnNURM can be measured.
- Assist in conducting survey to assess the conditions of important reforms at each level of government, as well as the status of the full-range basic services and systems expected to be covered through JNNURM in the 63 eligible cities and states.
- Update, refine and expand the database at the city level
- Set up systems for measuring and monitoring and reporting on service level benchmarks set up by MOUD.

**c. Role and responsibilities:** The Specialist may support the State UD department to:

- i. IT related support for the above components of e-governance reforms
- ii. Reporting to MoUD and SLNA on progress of e-governance reforms
- iii. Coordination of data entry and file uploads into systems used by the ULB on a regular basis,
- iv. Coordinate management of electronic data pertaining to the ULB, including soft copies of letters, reports and numerical data.
- v. Assist ULB officials in operating IT systems on a daily basis; provide handholding support when required.
- vi. Quarterly Progress Reports related to status of e-governance reforms
- vii. Any other related activities as decided by the State Steering Committee and the Secretary, UD department

## Annexure 5: The model format for proposal submission by ATI

1. State:
2. Indicate the total number staff in the ATI

Staff structure	Full time	Half time	On contract basis
Regular staff			
No. Of Staff working in the urban sector			

3. Describe the current role and the extend of involvement of ATI in the urban sector
4. Details of programme ( physical and financial) under taken by ATIs during the last financial year on urban management :
5. Provide rational for seeking support from MoUD and a broad plan for establishing the UMC

6. Details of funding support required

Sl.no	No. and position of staff to be recruited	Salary/annum	Duration

7. Expect outcomes of the UMC

## **Annexure 6: Application form for internship**

### **1. Contact information**

Name:

Mailing address:

Email address:

Phone number: (include country code and area code if applicable):

### **2. Education**

College/university:

Graduation date or anticipated graduation date (bachelor's degree):

Day \_\_\_\_\_ Month \_\_\_\_\_ Year \_\_\_\_\_

### **3. Personal information**

Date of birth: Day \_\_\_\_\_ Month \_\_\_\_\_ Year \_\_\_\_\_

Gender: Female/ Male

Citizenship:

Country Passport Issued by:

Passport Number:

### **4. Expected duration of internship**

3 months \_\_\_\_\_ six months \_\_\_\_\_

### **5. Experience, if any**

**Note: A covering letter from the Head of Institution may also be attached along with the application form**

## Annexure 7: Performance criteria/benchmark

	<b>Expected outcomes</b>	<b>Indicators</b>
1	Financially empowered ULBs	<ul style="list-style-type: none"> <li>• All financial staff have received adequate training and exposure visits on municipal financial management</li> <li>• Accrual-based double-entry system is in place</li> <li>• Preparation of annual balance sheet</li> <li>• Improvements in service costing, budgeting and inter-governmental transfers</li> <li>• 85% properties are brought under tax record</li> <li>• More than 90% tax collection</li> <li>• 100% collection of operations and maintenance</li> <li>• Increase in revenue stream – from X % in ( year) to Y% in (year)</li> <li>• ULBs are able to mobilise financial resources through municipal bonds and other market instruments</li> </ul>
2	Institutionalisation of capacity building programmes in a systematic and comprehensive manner at ULB level	<ul style="list-style-type: none"> <li>• The RPMC with full manpower is in place and supporting ULBs</li> <li>• The city plan has been prepared and approved</li> <li>• Training plan and calendar has been prepared and approved</li> <li>• Nodal Institution for training has been identified and selected</li> <li>• X% of staff have been trained as per the CB plan</li> <li>• 80% of the activities planned in the CB proposal has been undertaken</li> </ul>
3	Augmentation of managerial and technical capacity within ULBs for steering the urban management activities and overall monitoring	<ul style="list-style-type: none"> <li>• Increase in the number of quality DPRs from X% to Y%</li> <li>• Quality improvements in the implementation of infrastructure projects and reforms</li> </ul>
4	Enhanced service delivery and accountability through improved financial management system and processes at ULB	<ul style="list-style-type: none"> <li>• Achievement of SLB in water supply, SWM, and urban transport (detailed performance scoring is given in the following page)</li> <li>• E-governance system are in place</li> </ul>
5	Enhanced capacity to prepare Integrated City Development Plans for the city	<ul style="list-style-type: none"> <li>• Quality CDP prepared incorporating City Sanitation Plan and mobility plans</li> <li>• Quality DPRs have been evolved from the CDP</li> </ul>
6	Enhanced transparency, accountability and accountability in service delivery	<ul style="list-style-type: none"> <li>• Community participation law in place</li> <li>• Increased number of citizen consultations</li> <li>• Implemented online system of the following sectors: minimum three for small and medium cities ( including laggard cities) and minimum 6 for other cities               <ol style="list-style-type: none"> <li>1. Property &amp; Water Revenue Management</li> <li>2. e-Procurement</li> <li>3. Building Permission Management</li> <li>4. Dashboard for Works Management</li> <li>5. Grievances Management</li> <li>6. Solid Waste Management with Vehicle Tracking</li> </ol> </li> <li>• Reduction of time in getting response on services and grievance from the ULB</li> </ul>

Performance indicators								
<b>a</b>	<b>Progress in reform implementation</b>							
		<b>Indicator</b>	<b>Unit</b>	<b>Benchmark</b>	<b>Excellent(1)</b>	<b>Good (2)</b>	<b>Fair (3)</b>	<b>Poor (4)</b>
	1	Implementation of governance reforms *	Points achieved	40	> 60%	40%-60%	20%-40%	<20%
	2	Implementation of Land and Property Reforms **	Points achieved	80	> 60%	40%-60%	20%-40%	<20%
	3	Implementation of reforms for Financial Sustainability***	Points achieved	40	> 60%	40%-60%	20%-40%	<20%
4	Implementation of Process Oriented /Citizen Responsive Reforms***	Points achieved	60	> 60%	40%-60%	20%-40%	<20%	
<b>b</b>	<b>Progress in delivery of basic services based on project implementation</b>							
	<b>a</b>	<b>Water supply</b>		<b>Benchmark</b>	<b>Excellent(1)</b>	<b>Good (2)</b>	<b>Fair (3)</b>	<b>Poor (4)</b>
	1	Household level coverage of direct water supply connections	%	100.00%	> 60	40- 60	20- 40	<20
	2	Per Capita quantum of water produced	lpcd	155	> 60	40- 60	20- 40	<20
3	Extent of metering of water connections	%	100%	> 60	40- 60	20- 40	<20	

4	Extent of Non-Revenue Water	%	20%	> 60	40- 60	20- 40	<20
6	Efficiency in redressal of customer complaints	%	80%	> 60	40- 60	20- 40	<20
7	Quality of supply supplied	%	100%	> 60	40- 60	20- 40	<20
8	Cost recovery in water supply services	%	100%	> 60	40- 60	20- 40	<20
9	Efficiency in collection of water related charges	%	90%	> 60	40- 60	20- 40	<20
<b>b</b>	<b>Wastewater Management (Sewerage &amp; Sanitation) and Drainage</b>			<b>Excellent(1)</b>	<b>Good (2)</b>	<b>Fair (3)</b>	<b>Poor (4)</b>
1	Coverage of waste water network services	%	100%	> 60	40- 60	20- 40	<20
2	Efficiency in collection of waste water	%	100%	> 60	40- 60	20- 40	<20
3	Adequacy of capacity for treatment of waste water	%	100%	> 60	40- 60	20- 40	<20
4	Quality of treatment	%	100%	> 60	40- 60	20- 40	<20
5	Extent of recycling or reuse of waste	%	20%	> 60	40- 60	20- 40	<20
6	Extent of Cost recovery in waste water management	%	100%	> 60	40- 60	20- 40	<20
7	Coverage of storm water drainage network	%	100%	> 60	40- 60	20- 40	<20

	<b>c</b>	<b>Solid Waste Management</b>				<b>Excellent(1)</b>	<b>Good (2)</b>	<b>Fair (3)</b>	<b>Poor (4)</b>
	1	Household level coverage of SWM services through door-to-door collection of waste	%	100%	> 60		40- 60	20- 40	<20
	2	Collection Efficiency	%	100%	> 60		40- 60	20- 40	<20
	3	Extent of Segregation of waste	%	100%	> 60		40- 60	20- 40	<20
	4	Extent of recovery of waste collected	%	80%	> 60		40- 60	20- 40	<20
	5	Extent of scientific disposal of waste in landfill sites	%	100%	> 60		40- 60	20- 40	<20
	6	Extent of Cost Recovery for the ULB in SWM services	%	100%	> 60		40- 60	20- 40	<20
	7	Extent of private sector participation in solid waste management	%	100%	> 60		40- 60	20- 40	<20
	<b>d</b>	<b>Urban transport</b>							
	<b>i</b>	<b>Public Transport Facilities</b>	<b>Unit</b>	<b>Benchmark</b>		<b>Excellent(1)</b>	<b>Good (2)</b>	<b>Fair (3)</b>	<b>Poor (4)</b>
	1	Presence of Organized Public Transport System in Urban Area	%	> 60	> 60		40-60	20-40	< 20

	2	Extent of Supply Availability of Public Transport	%	> 60	> 60	40-60	20-40	< 20
	3	Average waiting time for Public Transport users	Minutes	< 4	< 4	4 to 6	6 to 10	> 10
	<b>ii</b>	<b>Pedestrian Infrastructure facilities</b>						
	1	Percentage covered in City	%	> 75	> 75	50 to 75	25 to 50	< 25
	2	Street Lighting	Lux	> 8	> 8	6 to 8	4 to 6	< 4
	<b>iii</b>	<b>Non Motorized Transport (NMT) Facilities</b>						
	1	Percentage of Network covered in City	%	> 50	> 50	50 to 25	25 to 15	< 15
	2	Encroachment on NMT roads by Vehicle Parking	%	< 10	< 10	10 to 20	20 to 30	> 30
	3	NMT Parking facilities at Interchanges	%	> 75	> 75	50 to 75	25 to 50	< 25
	<b>iv</b>	<b>Level of Usage of Intelligent Transport System (ITS) facilities</b>						
	1	Availability of Traffic Surveillance (%)	%	> 75	> 75	50 to 75	25 to 50	< 25
	2	Passenger Information System (PIS) (%)	%	> 75	> 75	50 to 75	25 to 50	< 25
	3	Global Positioning System (GPS)/ General Packet Radio Service (GPRS) (%)	%	> 75	> 75	50 to 75	25 to 50	< 25
	4	Signal Synchronization (%)	%	> 75	> 75	50 to 75	25 to 50	< 25
	5	Integrated Ticketing System	%	> 75	> 75	50 to 75	25 to 50	< 25



		(%)						
	<b>v</b>	<b>Travel speed (Motorized and Mass transit) along major corridors</b>						
	1	Average Travel speed of Personal vehicles	KMPH	> 30	> 30	25 to 30	15 to 25	< 15
	2	Average Travel speed of Public Transport	KMPH	> 20	> 20	15 to 20	10 to 15	<10
	<b>vi</b>	<b>Availability of Parking Spaces</b>						
		Availability of on street paid public parking spaces	%	> 75	> 75	50 to 75	25 to 50	< 25
	<b>vii</b>	<b>Pollution levels</b>						
	1	SO2		0-40	0-40	40 to 80	80 to 120	> 120
	2	Oxides of Nitrogen		0-40	0-40	40 to 80	80 to 120	> 120
	3	SPM		0-180	0-180	180 to 360	360 to 540	> 540
	4	RSPM (Size less than 10 microns)		0-40	0-40	40 to 80	80 to 120	> 120
	<b>viii</b>	<b>Integrated Land Use Transport System</b>						
	1	Population Density - Gross (Persons/Developed area in hectare)	Persons/Ha	> 175	> 175	150 to 175	125 to 150	<125
	2	Mixed Land-use on Major Transit Corridors /Network (% area under non residential use)	%	>30	>30	15 to 30	5 to 15	< 5

	3	Intensity of Development - City wide	FSI	>2	>2	1.5 to 2.0	1.0 to 1.5	< 1
	4	Intensity of development along transit corridor (FSI transit corridor/ FSI)	FSI	>3	>3	2.0 to 3.0	1.5 to 2.0	< 1
	5	% of area under Roads	%	>15	>15	12 to 15	10 to 12	< 10
	6	%age network having exclusive ROW for Transit network	%	>30	>30	20 to 30	10 to 20	< 10
<b>III</b>	<b>Financial sustainability of ULBs</b>							
					<b>Excellent(1)</b>	<b>Good (2)</b>	<b>Fair (3)</b>	<b>Poor (4)</b>
	1	Revenue deficit as percentage of total revenue receipts	%	As per State FRBM (current financial yr.)	>80% of FRBM	60-80%	40-60%	<40%
	2	Fiscal deficit as percentage of GSDP	%	As per State FRBM (current financial yr.)	>80% of FRBM	60-80%	40-60%	<40%
	3	Total outstanding liabilities as percentage of GSDP	%	As per State FRBM (current financial yr.)	>80% of FRBM	60-80%	40-60%	<40%

IV		<b>Citizen's Perception</b> (citizens' perceptions or opinions on various issues such as basic services delivery, accountability and transparency)						
	<b>a</b>	<b>Access to services from ULB</b>	Points achieved	100	<b>Excellent(1)</b>	<b>Good (2)</b>	<b>Fair (3)</b>	<b>Poor (4)</b>
	1	Easy access to information and services	Points achieved	100	> 60	40- 60	20- 40	<20
	2	Hassle free payment of taxes and user charges	Points achieved	100	> 60	40- 60	20- 40	<20
	3	Reduction in time to receive birth and death certificate	Points achieved	100	> 60	40- 60	20- 40	<20
	4	Reduction in time for building plan approval	Points achieved	100	> 60	40- 60	20- 40	<20
	5	Quick redressal of grievances in respect of services such as birth and death registration, health programs and building plan approvals	Points achieved	100	> 60	40- 60	20- 40	<20
	<b>b</b>	<b>Improvements in service delivery</b>	Points achieved	100				
	1	Enhanced water supply system	Points achieved	100	> 60	40- 60	20- 40	<20
	2	Systematic and timely management of solid waste	Points achieved	100	> 60	40- 60	20- 40	<20

	3	Better coverage of sewer network	Points achieved	100	> 60	40- 60	20- 40	<20
	4	Enhanced road network and transport	Points achieved	100	> 60	40- 60	20- 40	<20
	<b>c</b>	<b>Transparency and Participation</b>	Points achieved	100				
	1	Ward committees and area sabhas convene meetings regularly	Points achieved	100	> 60	40- 60	20- 40	<20
	2	Citizen chart has been prepared and is made available to public	Points achieved	100	> 60	40- 60	20- 40	<20
	3	Regular consultations with citizen for planning	Points achieved	100	> 60	40- 60	20- 40	<20
		The municipality put on the website all the Municipal Council meetings reports and all the public debates	Points achieved	100	> 60	40- 60	20- 40	<20

For information or queries, please contact,

**Under Secretary, NURM IV**  
JnNURM Directorate  
Ministry of Urban Development  
Government of India  
E mail: [usjnnurm4@gmail.com](mailto:usjnnurm4@gmail.com)

Or

Visit [www.jnnurm.nic.in/](http://www.jnnurm.nic.in/)