

OPERATIONAL GUIDELINES

ROLL OUT OF INTEGRATED CAPACITY BUILDING FRAMEWORK

INTEGRATED CAPACITY BUILDING STRATEGY AND COVERAGE

1. The Government of India has been receiving financing from the International Development Association (IDA) (Credit No. 4997-IN) towards the cost of the Capacity Building for Urban Development (CBUD) Project. The Integrated Capacity Building is one of the activities of CBUD. The currency of the CBUD project is upto June 2018.
2. In order to strengthen capacities of Urban Local Bodies, States and other stakeholders, the Ministry is implementing the Individual Capacity Building for AMRUT& Smart City Mission (SCM). Now MoHUA has decided to introduce Integrated Capacity Building covering all other Missions viz. Swachh Bharat Mission (SBM), National Urban Livelihood Mission (NULM), Housing for All (HFA), Pradhan Mantri Awas Yojana (PMAY), & HRIDAY. The earlier Individual Capacity Building Programme and operational guidelines issued for the same are subsumed under this integrated programme. The current Operational Guidelines will apply for all trainings conducted henceforth under the Integrated Capacity Building Framework of the MoHUA.
3. Coverage of cities under the various missions will be as follows.

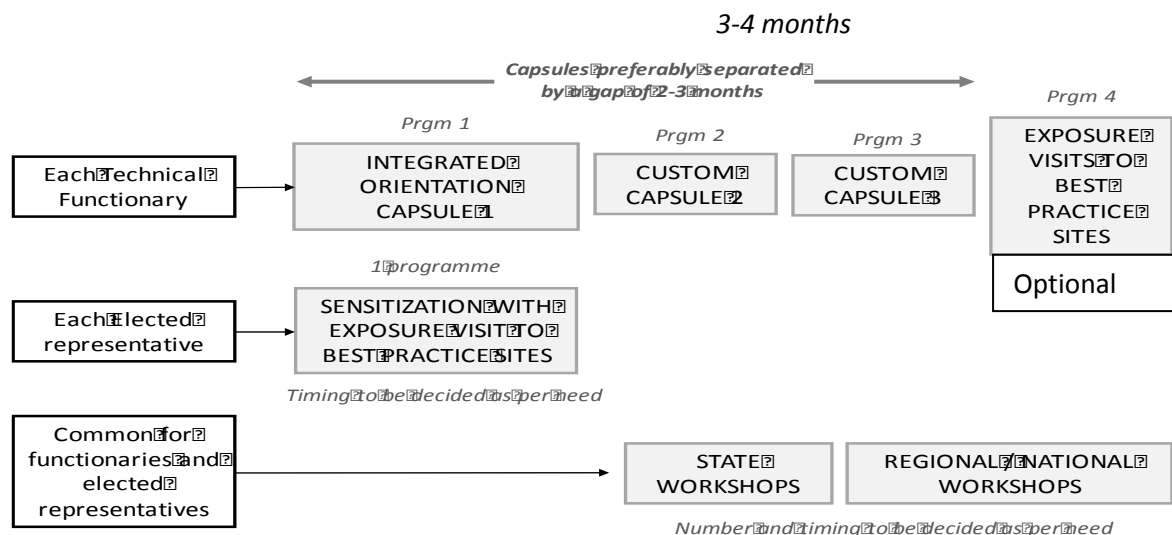
Mission	Number of cities covered
AMRUT	500 cities
SCM	100 cities
NULM	4041 cities
SBM	4041 cities
PMAY(U)	4041 cities
HRIDAY	12 cities

4. The framework will involve roll out of training programmes for:
 - a. Elected Representatives ;
 - b. Functionaries from ULBs;
 - c. Functionaries from state departments/ parastatal agencies involved in implementation of the urban missions in the cities;
 - d. Other functionaries involved in the implementation of missions including specialists of City and State Level Technical Committees (CLTC/SLTCs) and Mission Management Units (CMMU/SMMUs);
 - e. Any other functionaries involved in mission implementation.

5. Elected representatives will be imparted ‘Sensitization’ training once, and the training shall include site-visit(s) and/or discussions with practitioners to learn from best practices as identified by the Training Entities in consultation with the Competent State Authorities. Such sensitization programmes will be designed for a maximum period of 2 days, as per the indicative outline provided by the MoHUA vide OM No K-14012/101(25)/2017-CBUD dated 18th September 2017 and 28th November 2017. It must be ensured that the pedagogy adopted for elected representatives is innovative, interactive and involves exposure to good practices.
6. Technical functionaries shall be provided training through three separate capsules spread over a period of one year. The following broad training strategy will be followed for each technical/municipal functionary:

Training Capsules for each participant	Number and duration
Integrated Orientation Capsule (As per outline/content provided by MoHUA vide OM No K-14012/101(25)/2017-CBUD dated 18 th September 2017 and 9 th October 2017)	1 programme of 3-day duration
Mission specific Customized Capsules 2 and 3 with a spacing of 3-4 months. (The specific subjects for these capsules may be identified through a Feedback/TNA conducted during the roll out of the first capsule)	2 programmes of 3-day duration each
Exposure Visit to best practices (Optional)	

7. The Training Entities shall ensure adequate use of innovative pedagogy such as visits to good practices, discussions with practioners, use of multi-media facilities and audio-visual material.
8. Training Entities shall also conduct state/ regional/ national workshops periodically.
9. The different training types and tentative spread during 1 year of roll out is given below:



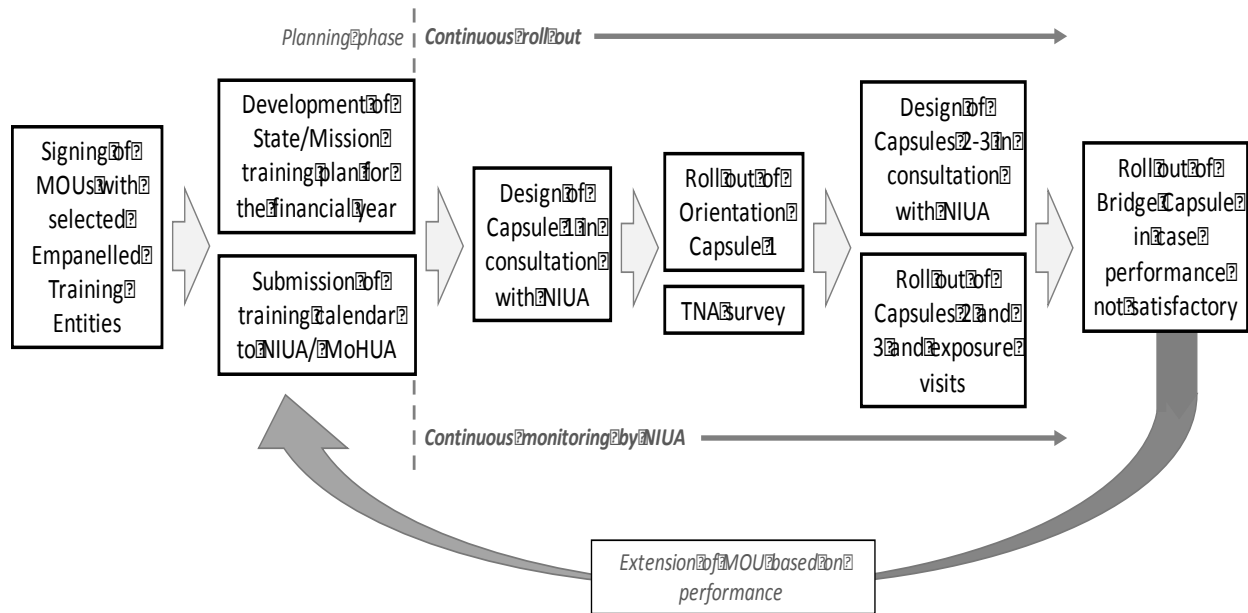
TRAINING PLAN AND ROLL OUT

10. All trainings under the framework will be conducted through empaneled Training Entities, as communicated vide OM No: K-14012/101(6)/2015-SCM-III-V dated 19th May 2017 (enclosed as an Annexure-6) and as updated/empaneled from time to time by the MoHUA.
11. The State Government/ Mission Directors (as the case may be) shall sign MOUs (as per prescribed format communicated vide OM No K-14012/101(25)/2017-CBUD dated 29th December 2017 (or as updated from time to time by the MoHUA) with selected Training Entities from amongst the list of empaneled Training Entities in five categories.
12. The MOUs will initially be for a period of one year and can be extended mutually on the basis of satisfactory performance.
13. Respective State Governments/ Mission Directors will be responsible for nominating related functionaries for training programmes and ensuring that functionaries complete the three rounds of training.
14. The State Government/ Mission Directors shall develop a Indicative training plan (Annexure 1) for each year (in discussion with training entities in different functional areas selected for roll out) and share the same with MoHUA/ NIUA for reference.
15. The following points may be noted by State Governments/ Mission Directors for preparing State level training plans:
 - a. Elected representatives may be nominated for training under any of the MOUs, irrespective of the category of empanelment of training entities only once during the entire period.
 - b. Orientation programmes have a common integrated design (as per the indicative design shared by MoHUA) and can be conducted by all empaneled training entities, irrespective of the category of empanelment.
 - c. Capsules 2 and 3 will require mission-specific inputs and hence the following mandatory empanelment criteria must be checked by the States for allotting trainings to Training Entities under the various missions:

Mission	Mandatory Empanelment Category
AMRUT	Finance & Revenue, Engineering & Public Health, Town
SCM	Planning and Administration
NULM	Urban Social Aspects
SBM	Engineering & Public Health and Urban Social Aspects
PMAY(U)	Town Planning and Urban Social Aspects

	Or Engineering & Public Health and Urban Social Aspects
HRIDAY	Town Planning or Engineering & Public Health

16. The Training Entities have been empaneled under above mentioned categories can enter into multiple MOUs with States/ Mission Directors depending upon their specific needs.
17. Training Entities must share the training material developed (including Orientation) with the NIUA for its feedback and suggestions. In order to prevent delays in roll out, training entities will roll out such modules and make requisite changes/improvements as and when they receive feedback from the NIUA.
18. An indicative process flow is indicated in the diagram below:



19. Training Entities shall administer a “Self-Assessment Form for Assessing Training Needs” (as per format prescribed by NIUA) to all participants during the roll out of the first capsule. The State Government/ Mission Directors (with support from training entities) will prepare batches of functionaries based on the subjects chosen by functionaries during the TNA and as per the priorities of respective state governments, for roll out of capsules 2 and 3.
20. The following original documentation shall be maintained by training entities and duly shared with NIUA/MoHUA for each training programme completed:
 - a. Database of participants and attendance sheets
 - b. Duly filled “Self-Assessment Form for assessing Training Needs” formats during roll out of capsule 1 (as per format prescribed by NIUA)

- c. Duly filled feedback forms after completion of each training programme (as per format prescribed by NIUA)
- d. Duly filled “Self-Assessment Form for assessing learning impact of earlier capsules” completed by functionaries before the start of capsules 2 and 3 (as per format prescribed by NIUA).

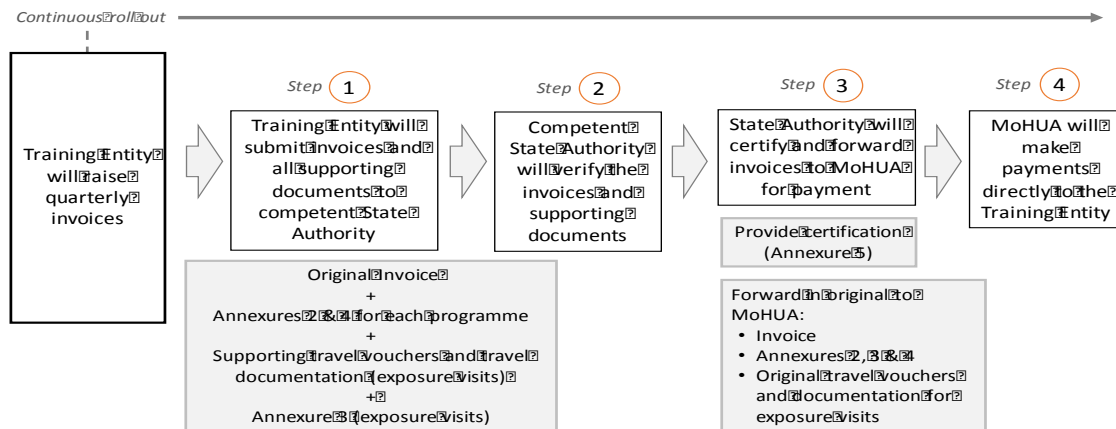
FINANCIAL MODALITIES AND PROCEDURE

21. The Training Entity shall raise invoices for reimbursement of costs on a quarterly basis.
22. All invoices, separate for each training programme will be raised in the name of “Project Director, CBUD Project”.
23. Payment for training programmes will be made through the CBUD project on the basis of financial norms set out under the CCBP toolkit as amended by MoHUA from time to time. The following must be additionally noted for invoicing purposes.

Training programmes for technical functionaries	<ul style="list-style-type: none"> • The amount payable shall be fixed as per CCBP norms irrespective of the actual expenditure by the Training Entity under the various heads.
Exposure visits	<ul style="list-style-type: none"> • All costs for accommodation, venue for local lectures, training material etc. will be as per CCBP norms as amended by MoHUA from time to time irrespective of the actual expenditure by the Training Entity under the various heads, except travel costs for local transportation and site visits, which may be claimed by the Training Entity as per actuals.
Workshops/ seminars/ consultations	<ul style="list-style-type: none"> • All costs such as board and lodging, venue costs, training material etc. will be as per approved budget by States/MoHUA and actual expenditure up to a maximum amount indicated as per CCBP norms as amended by MoHUA from time to time. • State workshops will need the approval of the State Mission Director • Regional/ National workshops will be initiated by the NIUA/ MoHUA
Goods and Service tax	<ul style="list-style-type: none"> • All costs approved under the programme are inclusive of applicable taxes • Training entities will need to submit proof of payment of GST along with the invoices

- *Note: All travel costs of participants for training programs / exposure visits shall be borne by respective State Governments.*

24. The original invoices along with required supporting documents (as indicated below) will be submitted to the competent State Authority. The following supporting documents shall be enclosed:
- Costing sheet per programme as per CCBP norms and as per the provisions of point no. 26 of these guidelines. Costing sheet for all programmes (except workshops) should be in the format provided in Annexure 2.
 - Detailed costing sheet as per approved budget must be submitted for workshops conducted. Format may be based on Annexure 2.
 - Original supporting local travel vouchers and related documentation pertaining to the invoice only in case of Exposure visits. Summary of supporting travel vouchers in case of Exposure visits (as per format provided in Annexure 3)
 - Details of deliverables completed for the programme (as per format provided in Annexure 4)
25. The competent State Authority will verify the correctness of the invoices and forward the same duly certified in prescribed format as provided in Annexure 5 to the MoHUA for payment through both hard copy and e mail. The State Authority will also submit the original local travel vouchers and related documentation (in the case of exposure visits only), to the MoHUA for payment. The entire process must be completed by concerned State Governments/ Mission Directors within a period of 15 days after receipt of all required documents in final form (including suggested corrections/modifications if any). The State Mission Director must certify that none of the participant is a repeater.
26. All payments by MoHUA will be made directly to the Training Entity based on verification of invoices and certification thereof in the prescribed format by the competent State Authority.
27. An indicative process flow for payments is indicated in the diagram below:



MONITORING FRAMEWORK

28. NIUA will act as Strategic partner of the MOHUA and will provide single window services to the MoHUA/States/ULBs. NIUA will be involved in disseminating information on training modules, monitoring the progress of training, and, most importantly, evaluating the impact of training. This evaluation will be done with respect to each capsule and results will be shared with the training entities to make them review their training methods and modules.
29. The training entity will submit MIS reports to the NIUA, in a digital format prescribed by NIUA by the 10th of every month. The MIS will be accompanied by the following additional data:
 - a. Summary of feedback received for the programmes conducted (as per digital format prescribed by NIUA)
 - b. Summary of Self-Assessment formats (as per digital formats prescribed by NIUA)
30. The training entity will submit an annual report (financial year-wise) to NIUA by the 30th of April each year.
31. NIUA shall assess the performance of the training entities and report the progress of capacity building to the MoHUA/ State Mission Directorates, which will form the basis for extension of MOUs.

ANNEXURE 1: TEMPLATE FOR STATE TRAINING PLAN

Information on Integrated Capacity Building Programmes under Capacity Building for Urban Development (CBUD) Project of the Ministry of Housing and Urban Affairs (MoHUA)						
STATE TRAINING PLAN FOR FY _____						
No	Activity Head	Total number targeted	Timelines			
			Q1	Q2	Q3	Q4
1	Number of technical functionaries targeted to be covered					
2	Expected number of technical programmes					
3	Number of elected representatives targeted to be covered					
4	Expected number of programmes for elected representatives					
5	Exposure visits					
6	State level workshops					

Note: States may give Mission wise break up

Date

**Sign and Seal
Competent State Authority**

ANNEXURE 1A: TEMPLATE FOR STATE TRAINING PLAN

Information on Integrated Capacity Building Programmes under Capacity Building for Urban Development (CBUD) Project of the Ministry of Housing and Urban Affairs (MoHUA)					
STATE TRAININGS COMPLETED					
Name of the State					
Name of the Urban Mission*					
Name of the Training Entity and serial number in the empanelment list of the MoHUA	Year	No. of Elected Representatives to be covered	Technical functionaries to be covered	No. of Elected Representatives provided training	Technical functionaries provided training

***States may give Mission wise Training Plan**

_____ **Date**

_____ **Sign and Seal
Competent State Authority**

ANNEXURE 2: TEMPLATE FOR COSTING SHEET FOR EACH PROGRAMME

Information on Capacity Building Programmes under Capacity Building for Urban Development (CBUD) Project of the Ministry of Housing and Urban Affairs (MoHUA)				
COSTING SHEET FOR EACH PROGRAMME				
Name of the State				
Name of the Training Entity				
Subject of training programme				
Programme dates and venue				
Type of programme (tick appropriate option)	Technical training programme	Programme for elected representatives (including exposure visits)	Exposure visit	
Whether residential facilities were provided (tick appropriate option)	Residential		Non-Residential	
Whether programme was conducted for participants from NE states	Yes		No	
No	Cost head as per CCBP toolkit (delete heads if not applicable)	Pro-rata norm as per CCBP toolkit	Number (multiplication factor)	Total cost
1	Lodging and/or boarding per person/ day			
2	Reading material and training kit per person			
3	Honorarium per session			
4	TA for faculty*			
5	Training hall charges per day			
6	Site visit/local transportation per programme			
7	Institutional charges per day			
8	Copier, documentation and internet charges per day			
9	Administrative charge			
10	Travel Costs as per actuals (only applicable for travel related to exposure visits)**			
TOTAL PROGRAMME COST				

*Applicable to faculty/resource persons invited outside from the training institution(s) undertaking the programme

**All travel vouchers and documentation submitted separately (separate summary of travel vouchers also attached)

We certify that the roll out of this training programme has been completed for participants as per details enclosed along with this form, and that all documentation related to the programme will be maintained by us in original for verification by NIUA/MoHUA at any time.

Date

Sign and Seal
Authorized Signatory of Training Entity

ANNEXURE 3: TEMPLATE FOR PRESENTING SUMMARY OF TRAVEL VOUCHERS
(Only for Exposure Visits)

**Information on Integrated Capacity Building Programmes
under Capacity Building for Urban Development (CBUD) Project
of the Ministry of Housing and Urban Affairs (MoHUA)**

SUMMARY OF TRAVEL VOUCHERS FOR EXPOSURE VISTS

Name of the State	
Name of the Training Entity	
Invoice Date	
Invoice Number	
Invoice amount for reimbursement	<i>(in figures)</i>
	<i>(in words)</i>

Details of supporting travel vouchers submitted with original invoice

No	Voucher particulars (including voucher number where applicable)	Date	Amount
1			
2			
3			
4			
5			
6			

Date

Sign and Seal
Authorized Signatory of Training Entity

ANNEXURE 4: TEMPLATE FOR COMPLETED DELIVERABLES

(Separate for each invoice)

**Information on Integrated Capacity Building Programmes
under Capacity Building for Urban Development (CBUD) Project
of the Ministry of Housing and Urban Affairs (MoHUA)**

DELIVERABLES COMPLETED			
Name of the State			
Name of the Training Entity			
Subject of training programme			
Programme dates and venue			
Type of programme (tick appropriate option)	Technical training programme	Exposure for elected representatives	
	Exposure visit	Workshop	
Deliverables completed (tick appropriate option)			
TNA Survey completed (for Capsule 1 only)	Yes	No	Not Applicable
Module prepared/ customized for delivery in the state (for all capsules)	Yes	No	Not Applicable
Training handouts/ reference material provided to participants (for all capsules)	Yes	No	Not Applicable
Post-training feedback of participants collected and analyzed (for all capsules)	Yes	No	Not Applicable
Collected and Analyzed feedback of participants based on experience at work after attending previous capsule (for Capsules 2 & 3)	Yes	No	Not Applicable

We certify that the roll out of this training programme has been completed for participants as per details enclosed along with this form, and that all documentation related to the programme will be maintained by us in original for verification by NIUA/MoHUA at any time.

Date

Sign and Seal
Authorized Signatory of Training Entity

List of participants

No	Participant name	Name of ULB/ department/ parastatal	Designation	Specific department	Contact details	
					Phone (preferably mobile)	Email ID
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						

ANNEXURE 5: TEMPLATE FOR STATE CERTIFICATION
(Combined for all invoices being submitted for reimbursement)

**Information on Integrated Capacity Building Programmes
under Capacity Building for Urban Development (CBUD) Project
of the Ministry of Housing and Urban Affairs (MoHUA)**

CERTIFICATION OF TRAININGS COMPLETED AND INVOICES

Name of the State		
Name of the Training Entity and serial number in the empanelment list of the MoHUA		
1	Period for which invoices are being raised by the Training Entity	<i>M/Y to M/Y</i>
2	Total number of trainings conducted in the period	
3	Number of elected representatives trained in the period	
4	Number of ULB functionaries trained in the period	
5	Date of contract/ MoU/ work order signed by the State with the Training Entity	DD/MM/YYYY
6	Invoice amount for reimbursement	<i>(in figures)</i>
		<i>(in words)</i>

The State Government has verified as correct as per CCBP guidelines, all the invoices, costing sheets for each programme and supporting travel vouchers (in case of exposure visits only) and documentation submitted by the training entity for the above period.

Date

**Sign and Seal
Competent State Authority**