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Capacity Building Scheme for Urban Local Bodies (CBULB)

INTRODUCTION

STRENGTHENING URBAN local governments through capacity building and better financial management is identified as a key strategy for urban development in the 11th Plan. The plan identifies lack of skilled man power as one of the key concerns and recommends setting up of an apex agency to coordinate the activities of national and state level training institutions. Administrative Reforms Commission has also proposed urban governance capacity building programme in order to address capacity gaps in urban local bodies.

Ministry of Urban Development has undertaken several initiatives under JNNURM and other schemes to augment the capacity of urban local bodies to implement projects and reforms. Some of these are:

a. Hubs and Networks:

Expanding and energizing the supply side with schematic arrangement of six empanelled Region Hub Institutions (RHIs), and a range of Network institutions aligned to the Hub Institutions, to meet the demands for training on the ground.

b. A Rapid Training Program (RTP), prioritizing slow performing cities that have lagged behind in accessing JNNURM funds, on three prioritized modules, Governance & Reforms, Supervision/Preparation of Detailed Project Reports (DPRs) and Project Management and Implementation has been launched.

c. The Peer Experience and Reflective Learning (PEARL) program has been launched to foster cross learning among cities and institutions, clustered into five groups based on similar socio-economic profiles. For each Group a Knowledge Manager (selected institution) coordinates and provides technical support to organize activities of common interest and value, with MoUD support

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d. UNDP-GOI initiative for Capacity Building for Decentralised Urban Governance

The UNDP-GOI initiative has been launched in November 2006. This is a time-bound programme of 14 months spread over 4 states and 16 ULBs to handhold the ULBs in the areas of Accounting Reforms, Property Tax Reforms and City Development Plan. This programme has been aligned to JNNURM in select locations which will have demonstrative effect on other cities.

e. Programme Management Unit (PMU)

To strengthen the capacity of SLNA to effectively co-ordinate implementation of projects and reforms under JNNURM, MoUD is supporting a Programme Management Unit (PMU) at the State levels. A typical PMU is proposed to comprise a team of professionals recruited from the open market on contractual basis.

f. Project Implementation Unit (PIU)

Support is being extended to establish Project Implementation Units (PIUs) at ULBs to enhance their capability to effectively implement projects and reforms under JNNURM.

g. World Bank assisted Urban Strengthening and Transformation Project:

The JNNURM Urban Strengthening and Transformation (JUST) Project is proposed as a Central Scheme to strengthen the capacity of selected Urban Local Bodies to implement urban reforms mandated under JNNURM and Urban Infrastructure Development Scheme for Small and Medium Towns (UIDSSMT), with World Bank credit on IDA terms. JUST Project would meet the institutional strengthening requirements of cities covered under UIDSSMT to undertake the mandatory urban reforms since the Scheme presently does not provide adequate capacity building support to the cities. The Project would also cater to specific capacity building needs of select cities under JNNURM for implementation of reforms.

h. PHE Training Programme:

The PHE training programme has been started by the Ministry in 1956 with the objective of providing training to in-service Engineers and Para

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Engineering Staff of the various State Public Health Engineering Departments, Water Supply and Sewerage Boards, Urban Local Bodies etc. The details are as follows:

Post Graduate Course in Public Health Engineering/ Environmental Engineering

This training is imparted at the following academic institutions:-

- (i) All India Institute of Hygiene and Public Health, Kolkata
- (ii) Veermata Jeejabai Technological Institute, Mumbai
- (iii) Anna University, Chennai
- (iv) Visvesvaraya National Institute of Technology, Nagpur
- (v) Motilal Nehru National Institute of Technology, Allahabad
- (vi) Shri Jayachamarajendra College of Engineering, Mysore
- (vii) G.S. Institute of Technology & Science, Indore
- (viii) I.I.T., Powai, Bombay, Mumbai
- (ix) Malviya National Institute of Technology, Jaipur
- (x) I.I.T., Kharagpur, West Bengal
- (xi) I.I.T., Delhi, New Delhi
- (xii) Jawaharlal Nehru Technological University, Hyderabad

The duration of the Post Graduate Course is 24 months. Central support is presently extended to meet the stipend @Rs.2000/- per month for 24 months for outstation trainees and tuition & examination fee for all trainees. In addition, contingency grant @ Rs.2,500/- per semester per candidate for four semesters is admissible and staff support for one Professor and one Assistant Professor is also extended to the Institutes.

Short Term Course in Public Health Engineering

This programme has been tailored in such a way that Diploma Engineers working in State Public Health Engineering Departments/ Water Supply and Sewerage Boards/Urban Local Bodies get adequate exposure towards the finer points of Public Health Engineering, so that they can apply the same in the field. The course is of three months duration. Financial support in the form of stipend, tuition fee, expenses on field visits etc. is extended, thus sharing a major portion of the expenditure. At present, the Short Term Course is conducted in two Institutes viz. 1) Anna University, Chennai and 2) Shri

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Jayachamarajendra College of Engineering, Mysore.

Refresher Courses

Several refresher courses on various specializations are conducted by the Ministry through different academic, research & professional institutions and State Departments. Financial support in the form of honorarium to lecturers, expenses on field visits, preparation of lecture materials etc. is extended to the institutes conducting the training courses.

i. Holding of workshops, conferences, symposia, sponsoring of research studies etc:

The Ministry has been supporting workshops and conferences related to urban issues. These will continue to be supported. A capacity building programme is also being contemplated under Urban Transport.

The existing programmes shall continue to be administered as per the existing mechanisms.

2. Existing Institutional Arrangements for Capacity Building

Regional Centres for Urban and Environmental Studies

The Regional Centre for Urban and Environmental Studies (RCUES) have been set up by the Ministry of Urban Development, Govt. of India at Mumbai, Lucknow & Hyderabad. Centre for Urban Studies at IIPA was set up in New Delhi way back in 1968 to undertake urban policy research, technical advisory services and building capacity of senior and middle level officials and elected representatives of urban local bodies. These centres are fully supported by the Ministry of Urban Development. RCUESs help in improving skills and capability of elected and official functionaries of ULBs by enhancing knowledge and work skill required for good urban governance and provide exposure to current thinking around thematic issues in an environment which facilitates application to their own work requirement in ULBs.

National Institute of Urban Affairs

Established in 1976, National Institute of Urban Affairs (NIUA) is a premier institute for research, training and information dissemination in urban development and management.

In addition to the above, the following institutions are also engaged in capacity building for ULBs.

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All India Institute of Local Self-Government

The activities of the Institute focus on promotion and support in the area of research and training in municipal administration. Since its inception the Institute has covered various states through its regional offices as well as peripatetic and permanent centres. It undertakes research studies and organizes and conducts specialized courses, seminars, conferences and provides an open forum for officials and non-officials in municipal administration.

Administrative Training Institute

The Administrative Training Institutes are set up at the State level to disseminate knowledge on different aspects of good governance resting on established system of rules and regulations of the Government. These institutes also impart training in effective manpower and financial management to employees of State Governments, Local Bodies, Autonomous Bodies, and Public Sector Undertakings.

Specific Capacity Gaps

The capacity of the local urban bodies in India varies widely across States and cities. Broadly, the capacity needs can be categorised into the following:

Lack of personnel with appropriate skill sets

Professionalization of urban management requires immediate attention. At present, urban management is not identified as one of the regular streams of training in any of the academic and professional institutions. The personnel engaged in management of urban affairs and municipal services are usually not trained. The specific areas identified for attention are socio-economic planning, environmental management, urban planning, citizen participation, public relations, urban reforms, municipal accounting and financial management, e-Governance, municipal service delivery including water supply, solid waste management, sewerage and sanitation. At another level, there is an acute shortage of trained manpower at the cutting edge level like masons and plumbers.

Inadequate skill sets of personnel already deployed

Experience of training and capacity building programmes show that many of the functionaries of the ULBs have never received any training in their career. There are no programmes for facilitating cross learning and exposure to best practices in innovative technologies etc. Some of these concerns are addressed currently through JNNURM and initiatives taken by some of the States. However, this addresses only the need of a small number of ULBs and

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within them only a meagre number of people. The problem is indeed acute in smaller ULBs for whom hardly any programmes exist as of now.

Lack of appropriate institutional framework

The institutional arrangements currently comprise of the Regional Centres for Urban And Environmental Studies, All India Institute of Local Self-Government and various administrative training institutes across the country. Given the lack of overall capacity, the smaller ULBs are not in a position to even articulate their demand for training. In this regard there is a need to set up centres of excellence that specialize in specific areas. In order to institutionalize and oversee setting up of centres of excellence, an advisory group is to be set up in the Ministry.

Capacity gaps at the apex level

The Ministry of Urban development comprises technical organizations such as CPHEEO, TCPO etc which regularly provide handholding support on technical matters. Besides this, there are capacity gaps in the core units of the Ministry also which need to be addressed.

In view of the gaps identified, the Ministry proposes to strengthen and consolidate different capacity building activities.

Strategy for Capacity Building

The capacity building of the Urban Local Bodies has to be carried out in a phased manner and should include short term and long-term strategies. There is a need for a Vision and Framework at National, State and City level.

The short-term focus shall be on consolidating information on training materials already available, identifying individual trainers and institutions, conducting TOTs in the specific domains already identified and conducting training programmes for ULBs. Towards this end, the material for training shall be developed jointly by the Mission Directorate under JNNURM and Capacity Building initiatives for other cities. The Ministry would come up with a broad policy framework for capacity building to strengthen the institutional arrangements also including involvement of private institutions, encouraging academic and professional institutions to introduce courses for urban managers, creating a professional municipal cadre etc.

Capacity building of key stakeholders including elected representatives shall be accorded priority including coordination and monitoring of various initiatives. Towards this, adequate capacity at the National Level shall be built to ensure robust implementation. All programmes shall be continually evaluated against verifiable and measurable indicators for effectiveness and outcomes.

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Midcourse corrections shall be undertaken wherever necessary.

The key elements of the strategy would further include the following:

- a) Optimal utilisation of existing capacity building initiatives;
- b) Encouraging private sector participation in the context of the wide gap in the requirement and availability of quality human resources;
- c) Creation of an umbrella framework under which various initiatives undertaken by international agencies, other national and state level entities will be brought on a common platform to expand training opportunities;
- d) Emphasis to smaller urban areas;
- e) Capacity building initiatives will be demand driven to the extent possible;
- f) Bottoms-up approach will be followed in assessing Training and formulating Capacity Building Programmes and activities;
- g) Capacity building of functionaries at lower levels including multitasking will be given emphasis;
- h) Hands-on learning and exposure visits shall be integrated into programmes and activities.

The long term Capacity Needs shall be addressed through Academic and Professional Institutions which shall be encouraged and supported in introducing courses aimed at improving Urban Management. Efforts in this regard shall be initiated immediately. Induction training for key policy makers and administrators on Urban Management shall be encouraged at all levels.

Since the training will be imparted by the existing institutes, only such institutes will be identified which follow the course materials suitable for the capacity building of ULB staff, or they are prepared to introduce such courses in their institutes. While identifying the training institutes, utilizing the capacity available with RCUES, NIUA, NEERI, AIILSG and Administrative Training Institutes set up at State levels, as mentioned in chapter 2 will be given priority over other centers set up by NGOs and other authorities. Moreover, such training institutions will have to ensure proper participation of ULB's staff.

Since the objective is to train the employees to perform their duties properly, those who have already got the requisite training will not be eligible for repeat training. However, short duration refresher trainings can be given to them after a gap of reasonable period, say 5 years.

States and Cities shall also be encouraged for Human Resource Planning and development and identification of critical gaps in availability of trained

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manpower.

Coverage and Financial Support

Coverage:

The capacity building programme for urban local bodies shall address the needs of those municipal bodies which are not covered under JNNURM or other schemes of the Ministry like UIDSSMT etc. The activities taken up for financial support shall usually be completed within a time span not exceeding two years unless otherwise decided by the Sanctioning Committee.

Financial support

The financial support under the capacity building programme shall be extended to the identified institutions/Cities/States for the following :

1. Setting up of centres of excellence: proposed guidelines are annexed
2. Addressing specific capacity gaps including the following:
 - (a) Urban Planning: Preparation of City Development plans/Structure plans.
 - (b) Socio-economic and environmental planning
 - (c) Project implementation and management.
 - (d) Preparation of Detailed Project Reports.
 - (e) Municipal service delivery including water supply, sewerage and sanitation, solid waste management
 - (f) Financial management
 - (g) Urban Transport
 - (h) Cost Recovery and O&M/User Charges
 - (i) Any other areas approved by Sanctioning Committee
3. Implementation of capacity building programme in pursuance of National Urban Sanitation Policy
4. Implementation of following municipal reforms:
 - a) Property tax reforms
 - b) Accounting reforms
 - c) E-Governance

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d) Encouraging PPP

It may be mentioned here that the State level reforms are being implemented under the JNNURM and it is expected that the Mission would take care of these reforms at the State levels for all ULBs.

5. Proposals for Applied Research

Applied research and development programmes related to water supply, sanitation, solid waste management, urban development etc.

6. Establishment of Capacity Building Cell in the Ministry

Personnel with requisite skill sets for the purpose of establishing Capacity Building Cell shall be contracted through agencies through a transparent process. Funding of the Cell shall be met from Capacity Building fund available.

7. Communication and Outreach Activities

- a. Documentation and Dissemination
- b. Website
- c. Workshops and Seminars/Conference

8. Monitoring and Evaluation

- a. Independent evaluation of activities suggested under the programme
- b. Such other activities for the purpose of evaluation as approved by Sanctioning Committee

Inadmissible components:

Following components shall not be eligible for funding:

- a) Salary and wages of regular staff
- b) Purchase of vehicles
- c) Construction of buildings
- d) Furniture, fixtures and equipments

In so far as practicable, the funds shall be released in minimum two instalments. The second instalment shall be released after milestones identified during the sanctioning process are achieved financially and physically and also after at least 70% of the funds released earlier have been utilized as per provisions of GFR.

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Sanction of proposals

It is proposed to set up a sanctioning committee under the chairmanship of Secretary (UD). Proposals shall initially be screened by a Committee headed by Joint Secretary (UD). The constitution and terms of reference of sanctioning committee shall be as under:

Composition of sanctioning committee:

1. Secretary, UD Chairman
2. JS (UD), Min. of UD Member
3. JS (Mission) Member
4. JS & FA, Min. of UD Member
5. Economic Adviser Member
6. Adviser (PHEE), CPHEEO, Min. of UD Member
7. Advisor (HUD), Planning Commission Member
8. Chief Planner, TCPO Member
9. Director (UD), Min. of UD Member
10. Director, NIUA Member
11. Chief Engineer, CSQ (CPWD) Member
12. Director (LSG), Min. of UD Member secretary

Terms of Reference

1. The Committee will meet in the beginning of the financial year to decide on the priority areas for training of ULB staff.
2. The committee will lay down guidelines for submission of proposals for research and training.
3. The committee will call for proposals for conducting training programmes and undertaking research.
4. The committee will consider proposals short-listed by the by the Capacity Building Cell for approval.
5. The committee will monitor the overall progress of the capacity building effort vis-à-vis capacity building objectives.

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6. The committee will review the existing arrangements for sanction of training programmes, workshops, conferences etc related to different functional wings and suitable directions.

RECEIPT & APPRAISAL OF PROPOSALS

A Capacity Building Cell shall be created in UD Division in the Ministry to receive and screen proposals from States/Cities and other organizations. The Cell shall receive proposals and facilitate appraisal through technical wings, CPHEEO, CPWD, NIUA and TCPO.

Monitoring and Evaluation Committee

The Monitoring and Evaluation of activities approved under the scheme shall be carried out by a committee headed by JS (UD). The composition of the committee is indicated below:-

1. Joint Secretary, UD Chairman
2. Adviser (PHEE), CPHEEO Member
3. Director (WS) Member
4. Chief Engineer, CSQ (CPWD) Member
5. Director (NURM) Member
6. Chief Planner, TCPO Member
7. Director (UD) Member Secretary

Terms of Reference:

1. To review implementation of Capacity Building proposals in accordance with guidance of the Sanctioning Committee.
2. To facilitate independent review
3. To appraise the Sanctioning Committee about status of progress and outcomes

Communication and Outreach

The details of proposals sanctioned, status of progress and outcome under the scheme shall be made available through the website of the Ministry. The website may also be linked with other websites of relevance for Capacity Building and Training. Annual report shall be prepared in respect of activities taken up under the scheme for wider dissemination.

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Submission of proposals

States shall be requested to identify State level nodal agencies for screening of proposals to be submitted on behalf of urban local bodies/State Government. The screening committee at the State level shall be headed by the Secretary in charge of Urban Development. The State level nodal agency should preferably be same as under JNNURM.

The proposals for setting up CoE and research (Annexure-I) will be submitted to Ministry of Urban Development in response to request for proposals and in accordance with areas identified by the Ministry. The areas shall be identified by the Project Sanctioning Committee.