



**Government of India  
Ministry of Housing and Urban Affairs**

**CAPACITY BUILDING FOR URBAN DEVELOPMENT**

## **Request for Empanelment**

*for*

**Training Entities for Rolling out Training Programmes and  
Exposure Visits**

**November, 2017**

# 1 TERMS OF REFERENCE

## 1. BACKGROUND

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. Ministry of Housing and Urban Affairs, Government of India now invites eligible Training Entities to apply for the **Request for Empanelment (RFE) for “Training Entities for Rolling out Training Programmes and Exposure Visits”, which will be funded through CBUD Project.** The currency of the CBUD project is upto June 2018 and the duration of the project may be extended from time to time.

- 1.1 Ministry of Housing and Urban Affairs (MoHUA) is implementing several flagship urban missions/ schemes for the overall development of the urban sector. Successful roll out of these ambitious missions in states/cities requires large scale capacities for planning, design, procurement, implementation and management of stakeholders. The need for reforms and capacity building of Urban Local Bodies (ULBs) was also emphasized as part of the National Declaration on “Urban Governance and Housing for All” at the National Conclave of Ministers and Secretaries held on 03<sup>rd</sup> July 2014.
- 1.2 In order to ensure the successful roll out of the various missions, the MoHUA has been providing capacity building support to cities/states under the different missions. The coverage of cities under the various missions is as under:

<b>Mission</b>	<b>Number of cities covered</b>
AMRUT Mission (AMRUT)	500 cities
Smart Cities Mission (SCM)	Maximum 100 cities
National Urban Livelihoods Mission (NULM)	Maximum 4041 cities
Swachh Bharat Mission (SBM)	Maximum 4041 cities
Pradhan Mantri Awas Yojana PMAY(U)	Maximum 4041 cities
HRIDAY	12 cities

- 1.3 However, it is important to recognize that human resources at the city level are limited and functionaries often play multiple roles and contribute to more than one central/state missions and schemes. Besides, several subjects such as project management, project financing etc. are common to many missions. It is therefore imperative that all capacity building efforts of the MoHUA under various missions are streamlined and integrated under a singular structure that allows both customized mission-linked training, as well as a focus on general subjects of relevance to all missions. This will also allow states/cities to implement an integrated state-level capacity building plan.
- 1.4 As part of the AMRUT Mission, a comprehensive Individual Capacity Building framework is being implemented by the MoHUA, and this 3-module framework is proposed to be extended to cover all the urban missions, namely AMRUT, SCM, NULM, SBM, PMAY(U) and HRIDAY, in the future.
- 1.5 The purpose of such Integrated Capacity Building is to enhance functional knowledge, improve the job-related skills and bring about a positive change in the attitude of city functionaries through need-based training and visits to best practices. Training will be imparted to functionaries in training institutes (classroom) followed by its application at the work place.
- 1.6 In this direction, thirty training entities have been empanelled by the MoHUA under the AMRUT Mission, through earlier rounds of empanelment. In order to meet the needs of the integrated capacity building framework, the MoHUA intends to expand this network of empanelled entities and also bring into its fold, entities capable of addressing specific needs under socially-oriented missions such as NULM and PMAY(U).
- 1.7 Therefore, this RFE is intended to empanel additional training institutions for rolling out high quality and customized training to functionaries and elected representatives of all cities covered under the various missions of the MoHUA. A new category of empanelment, namely 'Urban Social Aspects' is being added to the earlier set of four categories included for previous rounds of empanelment (refer para 4.1). This will help improve the coverage of subjects under missions like NULM.

- 1.8 New training entities (not already on the Empanelled List of the MoHUA under the AMRUT programme) can apply for empanelment under all 5 categories (refer para 4.1). Those entities who have already been empanelled, will continue to remain empanelled and conduct training for the categories awarded during earlier rounds of empanelment. Such existing empanelled entities can apply for the remaining categories (for which they are not already empanelled) including the new category of 'Urban Social Aspects' as part of this RFE.
- 1.9 Applicants are required to send their application in the prescribed format as given in **Appendix 1-4. The Application shall be submitted in maximum 100 pages.**
- 1.10 The applications must be received online at [www.eprocure.gov.in](http://www.eprocure.gov.in) on or before the last date i.e. **19<sup>th</sup> December 2017 at 17:00 hrs.**
- 1.11 Applications received after due date and time shall not be considered for empanelment.

## **2. OBJECTIVES OF THE ASSIGNMENT**

- 2.1 The objective of this capacity building is to enhance knowledge and skills of functionaries of ULBs/parastatals, elected representatives of the ULBs, other functionaries involved in the implementation of the various missions including specialists of Central or State Level Technical Committees (CLTC/SLTCs) and Mission Management Units (CMMU/SMMUs), and any other functionaries involved in mission implementation, and also to bring about a positive change in their attitudes for achieving the strategic outcomes of the missions.

## **3. TRAINING STRATEGY**

- 3.1 State/UT Governments or Mission Directors (as the case may be) shall sign MOUs with selected Training Entities from amongst the list of empanelled Training Entities, for conducting capacity building programmes for the various missions in the state.
- 3.2 State/UT Governments or Mission Directors (as the case may be) can enter into multiple MOUs with multiple empanelled Training Entities depending upon their

specific needs. The MOUs will initially be for a period of 1 year and can be extended mutually on the basis of satisfactory performance.

- 3.3 The State/UT Governments or Mission Directors (as the case may be) shall develop a tentative training plan for each Mission for each year (in discussion with training entities selected for roll out). The same shall be submitted to MoHUA and NIUA for reference.
- 3.4 Cities will plan to train their functionaries from the five functional areas mentioned in para 4 every year and all the elected representatives. The elected representatives will be imparted Sensitization training only once (3-day capsule), which will include a site-visit to learn from best practices in India. Elected representatives may be nominated for training under any of the missions. The programme may be structured as per the integrated programme outline issued by MoHUA vide OM No: K-14012/101(25)/2017-CBUD dated 18<sup>th</sup> Sept 2017. The training for technical staff will consist of three capsules spread over one year. Each capsule will consist of three days' training in the training institute (classroom) followed by an intervening period (preferably 2-3 months) during which the trained functionaries will work in their respective departments for transfer of learning in their actual work situation. During a period of one year, therefore, a functionary will be imparted training for nine (9) days in the training institute. Supervisors of the trained staff will overview the working of the trained staff working under them.
- 3.5 The first module will be an Orientation Programme as per the integrated programme outline issued by MoHUA vide OM No: K-14012/101(25)/2017-CBUD dated 18<sup>th</sup> Sept 2017. Capsules 2 and 3 will be customized to the specific needs of the different missions.
- 3.6 The Training Entity will organize a study visit of best practices (in discussion with State/UT governments or Mission Directors) currently under implementation in a ULB or implemented already by a ULB that is relevant to the job and expertise.
- 3.7 Empanelled Training Entity will conduct national/regional/state level workshops on identified topics as per the process outlined under the Operational Guidelines issued by the MoHUA vide OM No. K-14012/101(6)/2015-SCM-III-V dated 12<sup>th</sup> May 2016 or any further revisions communicated by the MoHUA.

- 3.8 The training entities will also be identifying International best practices on urban management in other countries. These may be suggested to MoHUA for finalizing the international study tours. Every International study visit will have an element of class room training/briefings in the countries to be visited. For this the training entity will have collaboration with an organisation of repute having expertise in the relevant sector in the countries to be visited.
- 3.9 The National Institute of Urban Affairs (NIUA) will be the strategic partner of the MoHUA in capacity building 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, if necessary, to make the training more appropriate and relevant for the municipal functionaries.

#### **4. SCOPE OF WORK**

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

4.2 The integrated framework will cover training for all the urban missions of the MoHUA, namely, AMRUT, SCM, NULM, SBM, PMAY(U) and HRIDAY.

4.3 The scope of the integrated capacity building strategy will focus on functionaries from five functional areas mentioned below:

- **Finance & Revenue**
  - Revenue
  - Accounts department
  - Finance department
  - Market/ Tax department
- **Engineering & Public Health**
  - Public works/ Water works/ Street lighting
  - Public health & Sanitation, Horticulture & gardens department
- **Town Planning**
  - Town planning
  - Buildings and town survey
  - Encroachment & License
- **Administration**
  - Administration
  - Establishment department
  - Law department
  - Lease department
  - Public relation
  - Record room
  - Computers department
- **Urban Social Aspects**

- Affordable Housing for Urban Poor
- Slum Rehabilitation and Redevelopment/ Beneficiary-led Construction
- Community/ Social mobilization (including for collective behaviour change in sanitation and waste management practices)
- Credit-linked Subsidy Scheme
- Urban Livelihood Aspects
- Formation of Self-Help Groups (SHGs) and their importance
- Shelter for Urban Homeless
- Entrepreneurship Development Program for Urban Poor
- Self-employment for the Urban Poor
- Employment and Skill Training for Urban Poor
- Urban Street Vendors
- Micro-finance for Entrepreneurship and Urban Poor
- Livelihood Aspects of Sanitation/ Faecal Sludge Management/ Solid Waste Management for the Urban Poor

4.4 This is an indicative list and the States/ ULBs can make appropriate changes as per their local situation.

4.5 The following linkage between empanelment and the new missions being added to the framework will be followed:

<b>No</b>	<b>Mission (whose functionaries are to be trained)</b>	<b>Mandatory Empanelment Category (based on 5 functional areas given in para 4.1 above)</b>
1	NULM	Urban Social Aspects
2	PMAY(U)	Town Planning and Urban Social Aspects

		or Engineering & Public Health and Urban Social Aspects
3	SCM	Existing system of training in the four categories of Finance & Revenue, Engineering & Public Health, Town Planning and Administration will be continued
4	HRIDAY	Town Planning or Engineering & Public Health
5	SBM	Engineering & Public Health and Urban Social Aspects
6	AMRUT	Existing system of training in the four categories of Finance & Revenue, Engineering & Public Health, Town Planning and Administration will be continued

4.6 Sensitization programmes for Elected Representatives (3-days) as per integrated programme outline issued by MoHUA vide OM No: K-14012/101(25)/2017-CBUD dated 18<sup>th</sup> Sept 2017 can be conducted by all Empanelled Training Entities, irrespective of the category of empanelment.

4.7 Orientation programmes for technical functionaries as per integrated programme outline issued by MoHUA vide OM No: K-14012/101(25)/2017-CBUD dated 18<sup>th</sup> Sept 2017 can be conducted by all Empanelled Training Entities, irrespective of the category of empanelment.

4.8 Capsules 2 and 3 will require missions-specific empanelment as indicated in clause 4.5.

## 5. DESCRIPTION OF THE TASK

The empanelled training entities will perform the following tasks:

5.1 Empanelled Training Entities will conduct training courses according to the training strategy detailed out in para 3 of this Terms of Reference.

5.2 Training courses to be conducted will be aligned to Model Outlines communicated by the MoHUA and the Training Needs Assessment and Strategic Training Plan

conducted already under the CBUD Project of MoHUA<sup>1</sup> (can be accessed at: [www.jnnurm.nic.in](http://www.jnnurm.nic.in)). Training courses will also be aligned to additional mission-specific TNA information provided by the MoHUA from time to time.

- 5.3 Training courses will be conducted in batches of 30 participants (optimum batch size) for each training course.
- 5.4 Before rolling out the first capsule for a target group, the empanelled Training entities will ensure that the present level of knowledge and skills of the participant trainees are assessed through a process of self-assessment by the participants themselves. For this purpose, the training entity will use a self-assessment form provided by MoHUA.
  - The data obtained through this process will be used for designing relevant training modules that will need to be reviewed and, if there is a need, to make changes in it to suit learning needs of the target group of participants.
  - The data will also be used as the base line data for assessing 'positive change' after each capsule and also to measure over-all impact of each training course.
- 5.5 The empanelled training entities will ensure that at the end of each capsule, the participants evaluate training design, training methods used and also the faculty for training by using a questionnaire to be provided to empanelled training entities. Based on the evaluation of training and faculty by the participants, the training entity will make suitable adjustments in the training course and the faculty.
- 5.6 Working with NIUA, the training entities will assess the impact of earlier training modules before the start of a new module as per the format which will be made available to empanelled training entities.
- 5.7 NIUA will monitor the performance of training entities and the impact of trainings. In case the training impact study does not indicate any positive change in the knowledge and skill of the trainees, training entities will conduct a fourth capsule by

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<sup>1</sup> CBUD, (2014). Study on Training Needs Assessment (TNA) and Preparation of Strategic Training Plan. New Delhi: MoHUA and World Bank.

making changes in training modules, training methods and trainers. **The cost of the fourth capsule will be borne by the training entity.**

## 6. DELIVERABLES

All deliverables and procedures will be as per the detailed Operational Guidelines issued by the MoHUA vide OM No. K-14012/101(6)/2015-SCM-III-V dated 12<sup>th</sup> May 2016 or any further revisions communicated by the MoHUA.

## 7. FINANCIAL NORMS

7.1 Financial norms for funding of the training programmes, national exposure visits and workshops will be as per admissible rates under the Toolkit for Comprehensive Capacity Building Programme (CCBP) 2013, MoHUA, or as revised by the Ministry thereafter. Current norms are given below:

### a) Training Programmes

S. No.	Costs	RESIDENTIAL (Rs.)		NON-RESIDENTIAL (Rs.)	
		ERs & Senior ULB Officials	Other ULB Staff	ERs & Senior ULB Officials	Other ULB Staff
1	Lodging and/or Boarding <b>per person/day</b>	2700	1700	300	300
2	Reading material and training kit <b>per person</b>	700	700	700	700
3	Honorarium per session	1100	1100	1100	1100
4	TA for Guest faculty	13750	13750	13750	13750
5	Training hall charges <b>per day</b>	5000	5000	5000	5000
6	<b>Site visit/local transportation</b>	10000	10000	10000	10000
7	Institutional charges <b>per day</b>	5500	5500	5500	5500
8	Copier, documentation and internet charges <b>per day</b>	3300	3300	3300	3300
9	Administrative charge <b>10% of total</b>				

**Source:** Toolkit for Comprehensive Capacity Building Programme, April 2013, p.11 & 18 (can also be accessed at: [jnurm.nic.in](http://jnurm.nic.in))

- b) National Exposure Visits
- i. The 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.
  - ii. The costs associated with exposure visits, to the organizing institute will be borne by the respective state government.
- c) Workshops/Seminars/Consultations
- i. The maximum support for this activity is as follows:
    - National Workshop Rs 5. Lakh per event
    - Regional Workshop Rs 3 Lakh per event
    - State level Workshop Rs 2 Lakh per event
  - ii. External Resource Persons/Experts: A maximum of Rs 50,000/- per workshop including travel costs, boarding & lodging and honorarium. For States in the North-East Region and special category states would be Rs75,000/-.

7.2 The Payment for International Study Tour shall be paid based on specific proposal for each study tour and approved by MoHUA.

## **8. EMPANELMENT OF TRAINING ENTITIES**

8.1 The empanelment of the training entities will be done by the Ministry of Housing and Urban Affairs (MoHUA), Government of India under World Bank-assisted Capacity Building for Urban Development Project.

8.2 The selection of Training Entities for a particular state will be done by the State/UT Government from amongst the empanelled training entities.

## **9. ELIGIBILITY CRITERIA**

New training entities (not already on the Empanelled List of the MoHUA under the AMRUT programme) can apply for empanelment under all 5 categories. Those entities who have already been empanelled, will continue to remain empanelled for the categories awarded during earlier rounds of empanelment. Such existing empanelled entities can apply for the remaining categories (for which they are not already empanelled) including the new category of 'Urban Social Aspects' as part of this RFE.

For empanelment in one or more functional areas the training entity should have

- i. Three years of experience in conducting training and exposure programme related to urban development/ urban social aspects, preferably for functionaries of ULBs, state governments and para-statal agencies and elected representatives of ULBs;
- ii. Professional expertise on capacity building, and urban development aspects/ urban social aspects related to ULB functions i.e. must have 5 full time faculty members with experience of developing modules and conducting training programmes for ULBs, state governments and para- statal agencies;
- iii. Successfully conducted at least 3 (three) residential training programmes/ workshops for 25 or above number pf participants on topics on urban development aspects/ urban social aspects in in the last three years.

## **10. PAYMENT TERMS**

All payment terms will be as per the detailed Operational Guidelines issued by the MoHUA vide OM No. K-14012/101(6)/2015-SCM-III-V dated 12<sup>th</sup> May 2016 or any further revisions communicated by the MoHUA.

## **11. Working and Reporting Arrangements**

11.1 All reporting requirements will be as per the detailed Operational Guidelines issued by the MoHUA vide OM No. K-14012/101(6)/2015-SCM-III-V dated 12<sup>th</sup> May 2016 or any further revisions communicated by the MoHUA.

- 11.2 The training entities will enter into a contract with the respective State/UT government(s) and approved by MoHUA. The contract will be initially for a period of one year, which may be extended, based on satisfactory performance as evidenced by the impact evaluation of the training programmes by NIUA.
- 11.3 The training entity will report to the respective State/UT government for administrative purposes (scheduling of programmes, venue etc.) and to NIUA for technical aspects (such as designing of programmes and modules, evaluation of training programmes).

## Appendix 1: Format for Letter of Application

[On the Letter head of the Entity]

Date:

To  
The Project Director, CBUD  
Ministry of Housing and Urban Affairs  
Government of India  
Room No. 202, C Wing  
Nirman Bhawan  
Maulana Azad Road  
New Delhi – 110001.

Ref: **Training Entities for Rolling out Training Programmes and Exposure Visits**

Dear Sir,

Being duly authorized to represent and act on behalf of .....  
(Hereinafter referred to as “the Entity”), and having gone through and fully understood all of the eligibility and qualification requirements and information provided, the undersigned hereby apply for Empanelment for the captioned project.

We are enclosing our Application for Qualification in one (1) original, with the details as per the requirements of the RFE Document, for your evaluation.

Yours faithfully,

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(Signature of Authorised Signatory)

(Name, Title and Address)

## Appendix 2: Format for Details of Entity

a.	Name of Entity with full address	:	
b.	Tel. No.	:	
c.	Fax No.	:	
d.	Email	:	
e.	Year of Incorporation.	:	
f.	Years in Operation	:	
g.	Type of Institution (Government of India supported/funded/ Autonomous/academic Institution/ Non-for-Profit organization)	:	
h.	Name and address of the person holding the Power of Attorney.	:	
i.	Details of Offices/ Branches in India:	:	
j.	Name and details (Tel / Mobile / E mail) of contact persons	:	
k.	Institutional Structure (Provide in Tree Form)	:	

### Appendix 3: Format for Experience of the Entity

Category No.	Criteria	Details
<b>1</b>	Experience in conducting training and exposure programme related to urban development/ urban social aspects, preferably for appointed functionaries and Elected Representatives of ULBs; (Provide Details in 3A)	Number of Trainings/ exposure Programme
<b>2</b>	Professional expertise on capacity building, urban development aspects and urban social aspects related to ULB functions (Provide Details in 3B)	No. of full time faculty members as per 9 (ii) Criteria for Evaluation
<b>2A</b>	No of full time faculty members for Finance and Revenue	
<b>2B</b>	No of full time faculty members for Engineering and Public Health	
<b>2C</b>	No of full time faculty members for Town Planning	
<b>2D</b>	No of full time faculty members for Administration	
<b>2E</b>	No of full time faculty members for Urban Social Aspects	
<b>3</b>	Successfully conducted at least 5 (Five) residential training programmes/ workshops for 25 or above number of participants on topics on urban development aspects/ urban social aspects in last three years. (Provide Details in 3A)	Number of residential training programmes/ workshops

## Appendix 3A: Format of Assignment Details of the Entity

Details of **National** Level training and exposure programme related to urban development/ urban social aspects in last three financial years (2014-15, 2015-16 and 2016-17) and during the current financial year

**(Provide details of only 5 assignments for each year)**

S.No.	Name of Assignment	Residential/ Non-Residential	Category (Finance and Revenue/ Engineering and Public Health/ Town Planning/ Administration/ Urban Social Aspects)	No of Personnel Trained	Brief Description (not more than 25 words for each – description should include details of subjects covered, details of department/ ULB etc.)
For year 2014-15					
1					
2					
3					
4					
5					
For year 2015-16					
1					
2					
3					
4					
5					
For year 2016-17					
1					
2					
3					
4					
5					
For year 2017-18 (Current Financial Year)					
1					
2					
3					
4					
5					

Details of **International** Level training and exposure programme related to urban development/ urban social aspects in last Three years as above

<b>S.No.</b>	<b>Name of Assignment</b>	<b>Category</b> <b>Finance and Revenue/ Engineering and Public Health/ Town Planning/ Administration/ Urban Social Aspects</b>	<b>No of Personnel Trained</b>	<b>Brief Description (not more than 25 words for each)</b>
1				
2				
3				

**Appendix 3B: Format of Assignment Details of the Entity****Details of full time faculty members**

<b>S.No.</b>	<b>Name of Faculty Member</b>	<b>Expertise</b>	<b>Qualification</b>	<b>Brief details of Experience (Not more than 50 words – should include description of relevant work/training experience)</b>
1				
2				
3				
4				
5				

CERTIFICATION BY THE TRAINING ENTITY

Certified that the above information is correct to the best of our knowledge and no relevant information is concealed. If at any time during or after the Shortlisting, it is proved that the information furnished by us is wrong, MoHUA reserves the right to take necessary action against our firm as per applicable Laws/Rules of the land.

Signature of Authorized Representative of the Entity

Date Name \_\_\_\_\_

Place Designation

Tel No.

Mobile No.

E Mail ID

Seal/Stamp of the Firm