



No.K-14012/101(6)/2015-SCM-III-V

**Government of India  
Ministry of Urban Development  
Smart Cities Division-III**

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**Nirman Bhavan, New Delhi**

Dated: 12<sup>th</sup> May 2016

**OFFICE MEMORANDUM**

**Subject: Operational Guidelines for Individual Capacity Building.**

A workshop was held with Empanelled Training Entities on 22<sup>nd</sup> March 2016 at National Institute of Urban Affairs (NIUA), New Delhi to streamline the implementation of individual capacity building program in States/UTs. On the basis of feedback received from the participants, these Operational Guidelines are issued.

2. The Empanelled Training entities will prepare a **Costing Sheet form for Each Programme** per quarter on the basis of the financial norms indicated in the CCBP toolkit. On the basis of the data/information provided by Training Entities, States/UTs will give a **Certification of Completion of Trainings and Invoices** with a further certification that the State/UT Government has verified all the invoices, costing sheets for each programme and supporting travel vouchers and documentation submitted by the training entity for the above period, as per CCBP toolkit. The State Government shall retain the original supporting vouchers for verification by MoUD at all times.

3. The Operational Guidelines consisting of templates of Costing Sheet, and Certification of Completion of Trainings and Invoices are enclosed and available at [www.smartcities.gov.in](http://www.smartcities.gov.in) →Downloads→OMs and [www.amrut.gov.in](http://www.amrut.gov.in) →Downloads→OMs. All States/UTs and empanelled Training Entities may organize them accordingly and submit their claims through the Mission Directors of States/UTs.

*G. Vijay Kumar*  
12/5/2016

**(G. Vijay Kumar)**

**Under Secretary to the Govt. of India**

Tel. No. 23063217

To

(1) The Principal Secretaries (UD) of all States/UTs.

(2) The Director, NIUA, 1<sup>st</sup> & 2nd Floor, Core 4B, India Habitat Centre, Lodhi Road, New Delhi-110003.

Copy to:

(1) The Director (AMRUT), Nirman Bhavan, New Delhi.

(2) Contact persons of Empanelled Training Entities.

**जि. विजय कुमार/G.VIJAY KUMAR**  
अवर सचिव/Under Secretary  
निरमाण मंत्रालय  
Ministry of Urban Development  
भारत सरकार/Govt. of India  
नई दिल्ली/New Delhi

## OPERATIONAL GUIDELINES

### ROLL OUT OF INDIVIDUAL CAPACITY BUILDING PROGRAMMES

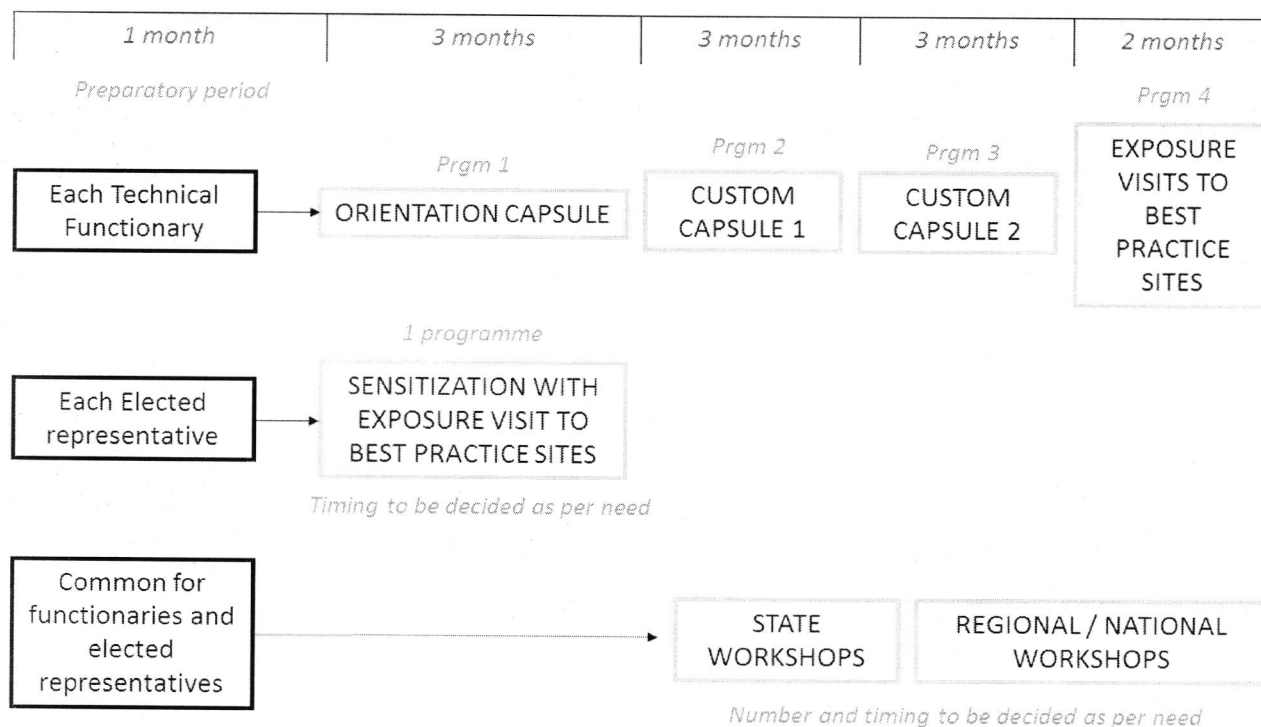
#### TRAINING REQUIREMENTS

1. The programme will involve roll out of training programmes for:
  - a. Elected representatives of ULBs
  - b. Functionaries from ULBs
  - c. Functionaries from parastatal agencies involved in implementation of the urban missions in the cities.
2. Elected representatives will be imparted training once, and the training shall include site-visit(s) to learn from best practices in India, as identified by the Training Entities in consultation with the Competent State Authorities.
3. Technical functionaries shall be provided training through 3 separate capsules spread over a period of 1 year. Each capsule will consist of three days training followed by 3-4 months, during which the training will be applied in their work by the municipal functionaries. The year-long training will also contain one exposure visit to best practice sites in India, as identified by the Training Entities in consultation with the Competent State Authorities and NIUA.
4. The following broad training strategy will be followed for each technical functionary being trained under the programme:

<b>Training Capsules for each participant</b>	<b>Number and duration</b>
Orientation Capsule (as per outline provided by NIUA)	1 programme of 3 day duration
Department-specific Capsules as per the specific needs of the participant (focus of these capsules to be identified through the TNA conducted during the roll out of the first capsule and the broad TNA prepared by CBUD)	2 programmes of 3 day duration each

5. Training Entities shall also conduct state/ regional/ national workshops/ seminars/ consultations periodically.

6. The different training types and tentative spread during 1 year of roll out is depicted in the diagram below:

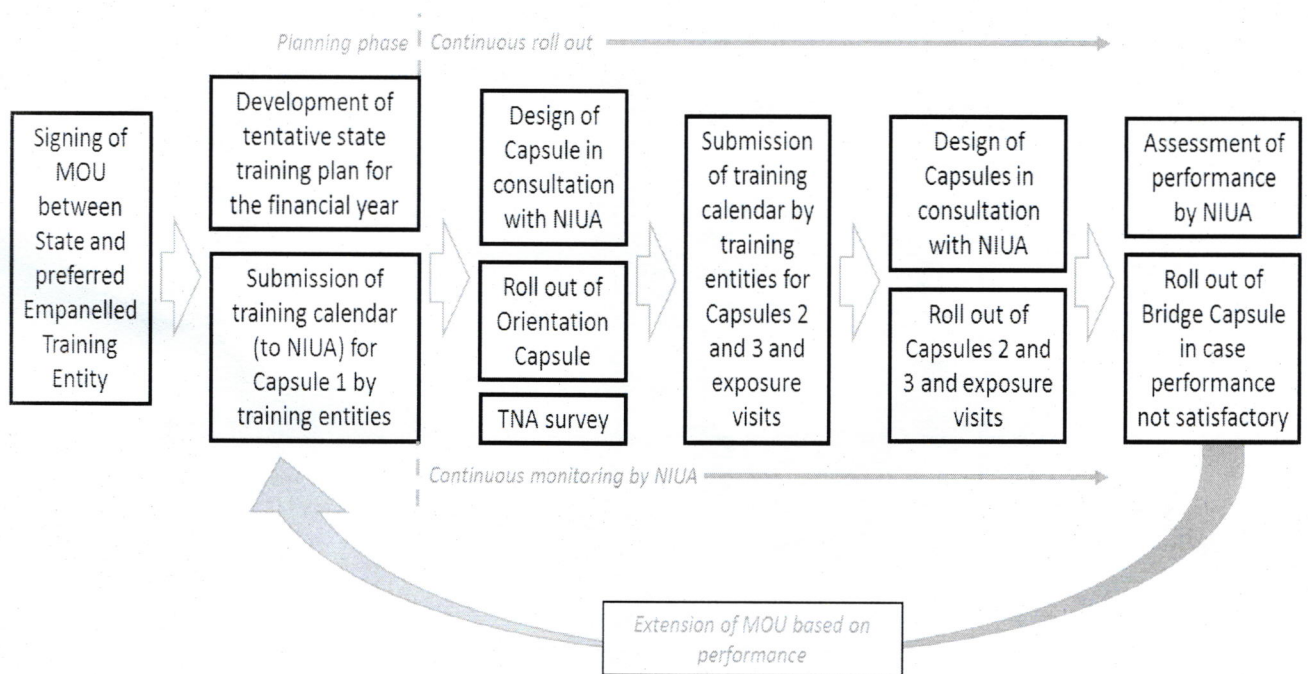


## TRAINING PLAN AND ROLL OUT

7. The State Government shall sign MOUs (as per prescribed format) with selected Training Entities from amongst the list of empaneled Training Entities, for conducting individual capacity building programmes in the state.
8. Each State Government can enter into multiple MOUs with multiple empaneled 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.
9. The State Government shall develop a tentative training plan for each year (in discussion with training entities selected for roll out) based on the requirements stated in the approved SAAP document. The same shall be submitted to NIUA for reference. An indicative format is provided in Annexure 1.
10. Each Training Entity shall submit a calendar for roll out of capsule 1 as discussed and approved by state governments to NIUA for reference.



11. The Training Entity shall design/ customize training modules as per the needs of the state and finalize the same in consultation with NIUA prior to roll out. Training Entities will also finalize the session-wise learning outcomes for each module in consultation with NIUA.
12. An indicative process flow is indicated in the diagram below:



13. 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 (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.
14. Each entity shall submit a calendar for roll out of capsules 2 and 3 as discussed and approved by state governments to NIUA for reference.
15. The following documentation shall be maintained by training entities for each training programme completed:
  - a. Database of participants (as per digital format prescribed by NIUA)
  - b. Duly filled “Self-Assessment Form for assessing Training Needs” formats during roll out of capsule 1
  - 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)
- e. Supervisor feedback (as per format prescribed by NIUA)

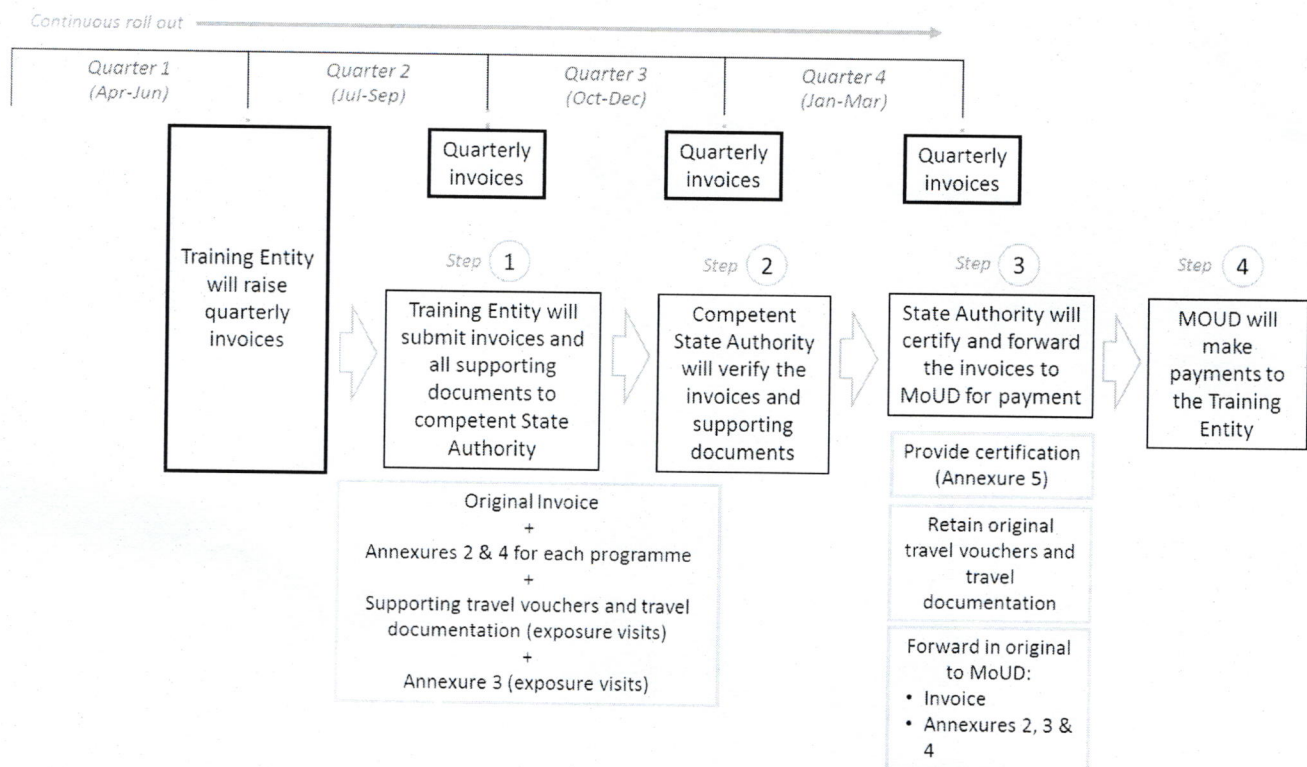
## FINANCIAL MODALITIES AND PROCEDURE

16. The Training Entity shall raise invoices for reimbursement of costs on a quarterly basis (i.e. after 30<sup>th</sup> June, 30<sup>th</sup> Sept, 31<sup>st</sup> Dec and 31<sup>st</sup> March).
17. All invoices (separate for each training programme conducted) will be raised in the name of “Mission Director CBUD Project”
18. Payment for training programmes will be made through the CBUD project on the basis of financial norms set out under the CCBP toolkit. The following must be additionally noted for invoicing purposes.

Training programmes for technical functionaries	<ul style="list-style-type: none"> <li>• TA/DA of participants travelling to institutes for training programmes shall be borne by States/ULBs</li> <li>• All other costs will be as per CCBP norms</li> </ul>
Exposure visits	<ul style="list-style-type: none"> <li>• All travel costs as per State Government TA/DA Rules for exposure visits (subject to actuals) can be claimed by Training Entity for reimbursement under CBUD.</li> <li>• Travel arrangements of participants must be made by Training Entities where reimbursement is claimed under CBUD</li> <li>• All other costs will be as per CCBP norms</li> </ul>
Workshops/seminars/consultations	<ul style="list-style-type: none"> <li>• Cost for workshops will be as per the budget approved by States/MoUD and actual expenditure up to a maximum amount as indicated as per CCBP norms</li> <li>• State workshops will need the approval of the State Mission Director</li> <li>• Regional/ National workshops will need the approval of NIUA</li> <li>• TA/DA of participants travelling for the workshops shall be borne by States/ULBs</li> </ul>
Service tax	<ul style="list-style-type: none"> <li>• All costs approved under the programme are inclusive of applicable service taxes</li> <li>• Training entities will need to submit proof of service tax payment along with the invoices</li> </ul>



19. The original invoices along with required supporting documents (as indicated in the next point) will be submitted to the competent State Authority. The following documents shall be enclosed:
  - a. Costing sheet per programme as per CCBP norms and as per the provisions of point no. 18 of these guidelines. Costing sheet for all programmes (except workshops) should be in the format provided in Annexure 2.
  - b. Detailed costing sheet as per approved budget must be submitted for workshops conducted.
  - c. Original supporting travel vouchers and travel documentation pertaining to the invoice (where admissible/ applicable)
  - d. Summary of supporting travel vouchers (as per format provided in Annexure 3)
  - e. Details of deliverables completed for the programme (as per format provided in Annexure 4)
20. 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 MoUD for payment. The State Authority will retain the original travel vouchers and travel documentation (wherever admissible/ applicable) supporting the invoices, and forward the invoices and all remaining documents in original to the MoUD. It shall be the responsibility of the State Mission Directorate to retain the original travel vouchers and travel documentation for verification by MoUD at any time.
21. All payments by MoUD 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.
22. An indicative process flow for payments is indicated in the diagram below:



## MONITORING FRAMEWORK

23. NIUA will act as the nodal agency for monitoring the progress of capacity building activities under the programme.
24. The training entity will submit quarterly MIS reports to the NIUA, in a digital format prescribed by NIUA. 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)
25. The training entity will submit an annual report to NIUA.
26. Monitoring of training outcomes will be based on the learning outcomes set out and finalized with NIUA per training module prior to roll out. It would be based on periodic visits to training programmes, online and offline discussions with participants, and the feedback and reports received from the training entities from time to time.
27. NIUA shall assess the performance of the training entities and report the progress of capacity building to the State Mission Directorates, which will form the basis for extension of MOUs.

**ANNEXURE 1: TEMPLATE FOR STATE TRAINING PLAN FOR FY 2016-17**

**Information on Individual Capacity Building Programmes  
under Capacity Building for Urban Development (CBUD) Project  
of the Ministry of Urban Development (MoUD)**

STATE TRAINING PLAN FOR FY 2016-17						
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					



**ANNEXURE 2: TEMPLATE FOR COSTING SHEET FOR EACH PROGRAMME**

(Separate for each invoice)

**Information on Individual Capacity Building Programmes  
under Capacity Building for Urban Development (CBUD) Project  
of the Ministry of Urban Development (MoUD)**

**COSTING SHEET FORM 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		
<b>No</b>	<b>Cost head as per CCBP toolkit (delete heads if not applicable)</b>	<b>Pro-rata norm as per CCBP toolkit</b>	<b>Number (multiplication factor)</b>	<b>Total cost</b>
1	Lodging and/or boarding per person/ day			
2	Reading material and training kit per person			
3	Honorarium per session			
4	TA for Guest faculty per programme			
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)*	
<b>TOTAL PROGRAMME COST</b>		

\*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/MoUD at any time.

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**Date**

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**Sign and Seal**

**Authorized Signatory of Training Entity**

**ANNEXURE 3: TEMPLATE FOR PRESENTING SUMMARY OF TRAVEL VOUCHERS**

(Separate for each invoice related to Exposure Visits)

**Information on Individual Capacity Building Programmes  
under Capacity Building for Urban Development (CBUD) Project  
of the Ministry of Urban Development (MoUD)**

**SUMMARY OF TRAVEL VOUCHERS FOR EXPOSURE VISTS**

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

**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 Individual Capacity Building Programmes  
under Capacity Building for Urban Development (CBUD) Project  
of the Ministry of Urban Development (MoUD)**

<b>DELIVERABLES COMPLETED</b>			
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	
<b>Deliverables completed (tick appropriate option)</b>			
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/MoUD 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 Individual Capacity Building Programmes  
under Capacity Building for Urban Development (CBUD) Project  
of the Ministry of Urban Development (MoUD)**

<b>CERTIFICATION OF COMPLETION OF TRAININGS AND INVOICES</b>			
Name of the State			
Name of the Training Entity and serial number in the empanelment list of the MoUD			
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	The travel costs are admissible and borne by the Training Entity, and are as per State TA/DA rules	Yes	No
7	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 and documentation submitted by the training entity for the above period and shall retain the original supporting vouchers for verification by MoUD at all times.

\_\_\_\_\_

**Date**

\_\_\_\_\_

**Sign and Seal**

**Competent State Authority**