Rajiv Awas Yojana (RAY)

Guidelines for
Capacity Building

2013 - 2022

Government of India
Ministry of Housing & Urban Poverty Alleviation
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Preface

Rajiv Awas Yojana (RAY) envisages a "Slum Free India" with inclusive and equitable cities in which every citizen has access to basic civic and social services and decent shelter.

In pursuance of this vision of "Slum Free India", Rajiv Awas Yojana (RAY) was launched in June 2011 in two phases; the preparatory phase for a period of two years which ended in June 2013 and implementation phase. Central Government has approved the implementation phase for the period of 2013-2022.

RAY envisages a two-step implementation strategy i.e. preparation of Slum free City Plan of Action (SFCPoA) and preparation of projects for selected slums.

RAY Scheme Guidelines issued by the Ministry broadly describe the Scope, Coverage, Reforms, Implementation Approach, and Central Assistance, Administrative and Implementation structure and Monitoring mechanisms under RAY.

However, to assist States/ULBs to implement RAY, the following operational guidelines have been prepared by the Ministry:

1. Guidelines for Reforms
2. Guidelines for GIS, MIS and GIS-MIS Integration
3. Guidelines for preparation of Slum-free City Plan of Action
4. Guidelines for Community Participation
5. Guidelines for preparation of Detailed Project Reports
6. Guidelines for Project Management
7. Guidelines for Social Audit
8. Guidelines for Capacity Building
The above mentioned guidelines are uploaded on the Ministry's website at www.mhupa.gov.in.

Operational guidelines provide a general reference framework for implementation under RAY. Feedback and suggestions are welcome and may be posted at Ministry through RAY Vaarta (www.mhupa-ray.gov.in), an interactive website which serves as a common platform for discussions and dissemination of information.
## Abbreviations

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tr>
<td>CSMC</td>
<td>Central Sanctioning and Monitoring Committee</td>
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<td>DPR</td>
<td>Detailed Project Report</td>
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<td>GoI</td>
<td>Government of India</td>
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<td>HPEC</td>
<td>High Powered Expert Committee</td>
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<td>MoHUPA</td>
<td>Ministry of Housing and Urban Poverty Alleviation</td>
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<td>NNRCs</td>
<td>Network of National Resource Centres</td>
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<td>RAY</td>
<td>Rajiv Awas Yojana</td>
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<td>SFCPoA</td>
<td>Slum Free City Plan of Action</td>
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<td>SLNA</td>
<td>State Level Nodal Agency</td>
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<tr>
<td>ULB</td>
<td>Urban Local Body</td>
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<tr>
<td>UTs</td>
<td>Union Territories</td>
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<td>ToT</td>
<td>Training of Trainers</td>
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Guidelines for Capacity Building

1. Introduction

1.1. The Guidelines on Capacity Building aim to describe the methodology and scope of the capacity building efforts under Rajiv Awas Yojana (RAY).

1.2. There is a need for special efforts to address the shortage of capacity and skilled urban professionals for effective, planned and inclusive urban development. Various reports have highlighted this fact, which is summarized below:

a. The Mid-Term Appraisal of the Eleventh Five-Year Plan, 2010 observed: "Many states and ULBs are facing significant shortages in financial, social, and governance capacity that limit their ability to steer urban development and create self-sustaining administrative units at the local level. Even as the case for acceleration of reforms is pushed, more must be done to empower the states and ULBs, and more help should be given to them to build new capabilities that will be critical to ensuring the long term sustainability of the change started."

b. The report of High Powered Expert Committee (HPEC) on Indian Urban Infrastructure and Services, 2011 stated that, "The urban sector in the Indian economy is currently going through a major and significant structural transformation. It calls for a concerted effort at strengthening the capacity of institutions and persons who will facilitate this process to deliver faster and more inclusive growth of the economy. Capacity for planning, project preparation, project implementation and project management has to be built through training and skill development."

The report advocated further for "...Government of India to set up think tank initiatives in urban policy to improve the quality of policy debate on urban issues through building knowledge and sharing it."
c. The Report of the Planning Commission Working Group on Capacity Building for the Twelfth Five-Year Plan, 2011 pointed out that "Lack of credible supply side institutions is also a critical issue. In the current context of rapid urbanization, the challenges in urban management require not only specialised knowledge but also experiential learning to tackle the challenges faced by urban managers in managing the city. At the State or City level, very few Institutions are capable of meeting the capacity building needs of the urban local bodies on all the aspects." It further mentioned that "Capacity building at different levels of government would be a key focus area."

2. Context

2.1. Ministry of Housing and Urban Poverty Alleviation (MoHUPA) endeavours to address the glaring capacity deficit through building capacities at various levels as well as augmenting human resources both at the State and City levels. It had launched the Programme on Capacity Building for Improved Urban Governance and Poverty Alleviation in 2007 aimed at strengthening urban local governments and other entities through capacity building and training programmes for better governance, financial management and poverty alleviation. Under the schemes of JNNURM and RAY, several capacity building activities were undertaken besides supporting States/UTs and Cities to establish technical cells at respective State and City levels.

2.2. The implementation phase of RAY aims to strengthen this process further and professionalise the workforce of municipal administrators, finance and accounts managers, public health engineers, regional, urban and environmental planners, e-governance professionals, social development specialists etc. so as to enable them to effectively manage and ensure delivery of basic civic services and social amenities.
2.3. The scheme adopts a two-step implementation strategy i.e. preparation of Slum-free City Plans of Actions (SFCPoAs) on 'whole city' basis and Detailed Project Reports (DPRs) on 'whole slum' basis for selected slums. State/UTs and RAY cities will be empowered with the requisite capacity through comprehensive capacity building and augmentation of human resources so as to enable the preparation and implementation of SFCPoAs and DPRs in respective regions.

3. Objectives of Capacity Building

The capacity building programme under RAY aims at the following:

3.1. Develop institutional capacity for pro poor governance at State and ULB levels to promote inclusive planning and city development;
3.2. Augment and improve human resource capacity to enhance efficiency in civic administration for planned, inclusive, spatial and socio-economic development of cities;
3.3. Effective delivery of essential basic civic services and social amenities in the city;
3.4. Effective implementation of projects and reforms under RAY in convergence with other initiatives launched by the Centre, State and ULBs;
3.5. Enhance sensitivity alongside focusing on issues and concerns of the poor and marginalised sections of society to include them in the process of mainstream planning and development;
3.6. Facilitate institutional arrangements and capacity creation to enable the community to participate in the development process as partners.

4. Strategies for Capacity Building

There are four key strategies for capacity building under RAY:

4.1. Enhance the existing capacities of different stakeholders from States and ULBs such as administrators, engineers, planners, elected representatives and NGOs through trainings, workshops and exposure visits. The focus shall be on developing understanding on slum redevelopment with the emphasis on slum upgrading, undertaking inclusive planning, use of technology in planning, urban
Guidelines for Capacity Building

poverty alleviation, efficient delivery of programmes through engagement of slum dwellers and improving transparency and accountability.

4.2. Augment human resources at the State and City level. This will be done by establishing State Level Technical Cells (SLTCs) and City Level Technical Cells (CLTCs). The cells will be staffed by professionals from various fields such as planning, engineering, social development, GIS, MIS etc. RAY, as part of its mandatory reform agenda, also envisages creation and establishment of a Municipal Cadre for social/community development and urban poverty alleviation by 2017. The Guidelines on Reforms, issued by the MoHUPA includes operational details regarding creation and establishment of municipal cadre.

4.3. Capacity building programmes would be conducted through National Network of Resource Centres (NNRCs) and other training institutes empanelled by the Ministry/ States/ UTs. The third strategy of capacity building thus comprises enhancing capacities of ‘providers’ of the training and capacity building with the purpose to develop adequate knowledge and skills in addition to transfer the same to States/ UTs and ULBs on preparation of SFCPoAs, preparation of detailed project reports, reforms under RAY, community participation etc. Further, the Ministry would endeavour to broaden the base of NNRCs by empanelling more agencies to provide capacity building support.

4.4. The fourth strategy would focus on creation of new institutions to supplement and catalyse capacity building in the urban sector with the overarching objective of facilitating inclusive and sustainable urban development.

5. Implementation Process of Capacity Building Strategies

5.1. Enhancement of Capacities of Urban Practitioners at the ULBs, States/ UTs and Centre: Key components would include-

5.1.1. Development of Training Modules: Standardized training modules would be developed by the Ministry and would be uploaded on MoHUPA website. These training modules would be developed based on the approved operational guidelines under RAY. These modules would also be
converted into e-learning modules by the Ministry. The training modules prepared may be translated in respective regional languages.

5.1.2. **Training/ Workshops for the States/ UTs and ULBs**: Trainings/ Workshops would be conducted at National, Regional, State/ UT and City levels with normally number of participants ranging between 40-80.

5.1.2.1. National workshops are envisaged to be organised for respective Ministers-in-charge of different States, Senior Level Policy Makers of other line Ministries and Senior Level State officials etc.

5.1.2.2. Regional workshops are planned to be held for different State/ UT Secretaries, State Nodal Officers, key stakeholders dealing with RAY etc. in a region comprising few states.

5.1.2.3. State workshops are to be organized for Elected Representatives, State/UT and City officials, City commissioners, other key stakeholders dealing with RAY etc. in a particular state.

5.1.2.4. City workshops are to be held for Elected Representatives, Commissioners, City level officials, and other key stakeholders engaged in preparation of SFCPoA and DPR of a city.

5.1.2.5. Thematic Workshops: Based on requirements and needs posed by States and Cities, thematic workshops may be organized for two or more States/ UTs.

5.1.3. **Handholding Support to States and Cities**: Other than trainings and workshops, States/ UTs and cities may require hand holding support from the Ministry during implementation of the scheme. Ministry may send officials and non officials to provide handholding supports to States/ UTs and Cities during preparation of SFCPoAs and DPRs or for monitoring and review of the progress of RAY in different stages of implementation.

5.1.4. **Training of Trainers Programme**: Ministry will organize Training of Trainers (ToT) workshop through empanelled NNRCs/ Training Institutes for the resource persons of other NNRCs/ Training Institutes. The purpose
of the ToT is to develop a common understanding of the resource persons on all the modules prepared under RAY.

5.1.5. **Exposure Visits:** Successful initiatives on various components of RAY could provide a learning opportunity for other States/UTs and ULBs. Therefore, exposure visits may be planned for officials from different States/UTs and ULBs to particular States/UTs and ULBs where successful intervention has taken place. These visits would be done through a judicious mix of classroom learning and field visits. For organizing the exposure visits, the NRCs/Training institutes or the States/UTs would be provided the required support.

5.1.6. **Learning from Experiences of Other Institutes:** Experts working on issues of urban development, urban poverty alleviation, housing and slum improvement may be invited by the Ministry for providing advisory function on issues related to RAY. This may be done by inviting them for taking sessions on a particular theme or by providing guidance and support in developing training modules. Similarly, the Ministry officials and non-officials may also act as resource persons or attend programmes of other institutes as participants.

5.1.7. **Documentation of Case Studies/Best Practices and Research studies:** Documentation of best practices/case studies may be identified by a State/UT/NNRC or the Ministry on issues related to urban development, urban poverty alleviation, housing and slum improvement with the purpose to broaden knowledge base and develop policies to address challenges of urban growth and development. Documentation of best practices and research studies would be carried out by identified agencies. The document prepared and the report of the study would be disseminated widely by the Ministry to other States/UTs for learning.

5.2. **Capacity Building Plan/Calendar:** All the activities may either be planned by Ministry or proposed by States/UTs/Cities and NRCs. In case it is proposed by SLNAs on behalf of States/UTs/Cities or NRCs/training institutes, then an annual capacity building plan (Indicative format enclosed at Annexure 1) including
trainings/ workshops, translation of modules, documentation and research should be submitted to the RAY Mission Directorate at MoHUPA in the beginning of respective Financial Year (April). The agency which sends the annual capacity building plan would be treated as the chief coordinating agency for implementing the capacity building programme in the State/ UT/ Cities). On approval of the plan by Secretary, MoHUPA, central assistance would be released to the coordinating agency as per the approved norms. However, operational modifications, if required, can be carried out with prior approval of RAY Mission Directorate at MoHUPA. In case, Ministry prepares the plan for Capacity Building, it will assign NNRCs/ training institutes and States/ UTs the responsibility of implementation of the said programmes.

5.3. Augmentation of Human Resources through Establishment of Cells at the State and City level

5.3.1. The State Level Nodal Agency for RAY and Urban Local Body identified under RAY would constitute state and city level technical cells respectively having experts from the fields of MIS, GIS, Town Planning, Social Development, Project/ Engineering, Capacity Building/ Training and/ or other relevant fields e.g. PPP, Procurement, Architect and structural engineering as deemed necessary by the States/ UTs and Cities. These experts would be engaged through a transparent process with monthly remuneration commensurate with qualification and experience.

5.3.2. These cells would assist the State/UT and ULBs in effective implementation and monitoring of the scheme on ground. Programme Management Unit (PMU) and Programme Implementation Unit (PIU) sanctioned under JNNURM shall be merged with SLTCs and CLTCs to ensure that there is no duplication of experts. Detailed Terms of reference including suggested educational qualification and roles and responsibilities of the six experts as mentioned above (para 5.3.1) and subsequent amendments issued by the Ministry in this regard are placed at Annexure 2.
6. Central Assistance for Capacity Building

Five percent (5%) of the scheme allocation is earmarked for Capacity Building, Administrative & Other Expenses (A&OE) and IEC (Information Education and Communication) activities. Expenditure required for administering the Mission at the Ministry are also to be met out of this fund.

All the components mentioned below should be included in the annual capacity building plan to be sent by the State/ UT or NNRC/ training institute to MoHUPA for approval at the beginning of the financial year as mentioned above (para 5.2). The central assistance admissible for various capacity building components is given below:

6.1. Establishment of Cells: The funding pattern for establishment of City level technical cells (CLTCs) will be in the ratio of 50:50 for cities with population more than 5 lakhs, 75:25 for cities with population less than 5 lakhs and 80:20 for Northeast and special category States. For State level Technical Cells (SLTCs), the sharing between Centre and State would be in the ratio 50:50 except for NE and special category States where it will be in the ratio 80:20. The prescribed rates for this activity is as given below:

6.1.1. For State and City level Cells (Cities with >than 10 Lakh population) – Rs. 75,000 per expert per month for Postgraduate degree holders, Rs. 60,000 per expert per month for Bachelor degree holders and Rs. 45,000 for diploma holders (limited to 6 experts).

6.1.2. For City level Cells (Cities with population 5-10 lakh) – Rs. 50,000 per expert per month for Postgraduate degree holders, Rs. 35,000 per expert for Bachelor degree holders and Rs. 25,000 for diploma holders (limited to 6 experts).

6.1.3. For City level Cells (Cities with population <5 lakh) – Rs. 40,000 per expert per month for Postgraduate degree holders, Rs. 30,000 per expert per month for Bachelor degree holders and Rs. 20,000 for diploma holders (limited to 6 experts).
6.1.4. Administrative and overhead expenditure under RAY will be admissible as per actual on applicable sharing pattern of 50:50, 75:25 and 80:20. A&OE component includes Travel Expenses, System Support and Overheads.

The annual capacity building plan should have a plan for hiring the experts at SLTC and CLTC as indicated in Annexure 1.

CSMC is empowered to lay down financial norms for various activities under RAY.

6.2. Trainings and Workshops

Admissible upper ceiling of expenses for various trainings and workshops are as follows:

A. **National Workshops**: Rs 5 lakh per event.
B. **Regional Workshops**: Rs 3 lakh per event.
C. **State level Workshops**: Rs 2 lakh per event.
D. **City Level Workshops, Thematic workshops and Training of Trainers programme**: These will also be admissible for central assistance. The norms for central financial support will be as approved by CSMC/MoHUPA.

6.3. Development of Training Modules: MoHUPA would develop training modules for trainings and workshops conducted under the scheme with the purpose to bring about uniformity. The States may also take the initiative in consultation with the Ministry in developing the training modules as and when required. Central assistance would be available for translating and typing the learning materials/ modules in respective regional languages. The norms for central financial support will be as approved by CSMC/MoHUPA.

6.4. Hand holding Support to States and Cities: For providing support to States/ UTs and cities in implementation and review of progress of RAY, the visit of officials and non-officials from the Ministry may be planned. The cost would include travel, board and lodge arrangements of the visitors from the Ministry. Extent of central assistance in this regard, may be decided on a case to case basis by the Ministry.
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6.5. **Exposure Visits:** Travel costs as per State/ UT Government TA/ DA rules and a lump sum allowance per day as described by the Programme Oversight Committee under the Chairpersonship of the State Government Secretary concerned would be applicable for exposure visits. The objective is to see that the costs, as required, are borne under programmes and not imposed on the institutions/ States/ UTs/ ULBs being visited.

Such exposure visits may be organized by State/UT/NNRC/Training institutes and will be eligible for central funding. The norms for central financial support will be as approved by CSMC/MoHUPA.

6.6. **Documentation of Case Studies/ Best Practices and Research/ Studies:** Documentation of case studies/ best practices and research studies would be supported under RAY. Central assistance would be limited to Rs. 5.00 lakh for documentation of each case study/ best practice and for conducting research studies by the empanelled agencies. A proposal in this regard should be developed and sent to the Ministry by the State/ UT/ NNRCs with broad Terms of Reference for approval as part of the annual capacity building plan. If the proposal for research studies and documentation of best practices could not be included in the annual capacity building plan submitted at the beginning of the financial year, the proposal may be sent later, justifying the need to the Ministry for approval.

For documentation and research studies costing more than Rs. 5.00 lakh, the Ministry would adopt an open and transparent process for selection of agency. Indicative ToR for documentation of case studies/ best practices and Research studies is included at Annexure 1.

6.7. **Learning from Experiences of Other Institutes:** This may be decided on a case to case basis by the Ministry. This component may include professional / membership/ participation fee of Ministry officials for participating in various workshops, other forums etc. The honorarium and travel reimbursements of resource persons from other institutes who provide advisory support to the Ministry would also be admissible under this budget head.
6.8. This budget head also covers components like cost of preparation of SFCPoAs including preparatory activities e.g. slum survey, data entry, GIS mapping of slums, GIS-MIS integration at both slum and HH levels etc., cost of preparation of DPRs, Third Party Inspection and Monitoring (TPIM) and Social Audit. The prescribed upper ceiling of unit rates is at Annexure 3.

6.9. Ministry has been implementing the scheme of Urban Statistics for HR and Assessment (USHA) for development and maintenance of urbanization, slums, urban poverty and housing related statistics. USHA would be continued as a capacity building measure under RAY and will be further augmented and strengthened. Cities with population less than 3 lakhs included in the implementation phase of RAY will be supported under USHA to undertake slum survey based on which they would be required to develop SFCPoAs.

7. Release of Central Assistance

7.1. Funds for capacity building will be released in two installments to the coordinating agency (the agency which sends the annual capacity building plan as explained in para 5.2) by the Ministry. First installment will be released on approval of capacity building plan by the Secretary (HUPA) and the final installment on receipt of 70% of utilization of earlier release and submission of report and analysis of feedback forms of participants of workshops. NNRCs and Training Institutes shall upload the reports in IPoMS. An indicative format for preparing the capacity building report is enclosed at Annexure 4. The evaluation form of capacity building programmes is placed at Annexure 5.

7.2. Funds related to Technical cells shall be released on submission of annual requirement by States/ UTs for State level technical cells (SLTCs) and City level technical cells (CLTCs) including professional fees. Funds will be released in two instalments to States/ UTs. First instalment will be released on the basis of the proposal submitted by States/UTs and second on receipt of 70% utilisation of the previous central share released for the purpose along with receipt of matching State/ UT share. The A&OE admissible for SLTCs and CLTCs would
be released on reimbursement basis to the States/ UTs and Cities as per actual and applicable sharing pattern.

7.3. Releases with regard to activities like cost of preparation of SFCPoAs including preparatory activities e.g. slum survey, data entry, GIS mapping of slums, GIS-MIS integration at both slum and HH levels etc., preparation of DPRs, Third Party Inspection and Monitoring (TPIM) and Social Audit will be made in two installments. The first installment will be released on approval of the proposal/annual action plan for the above-mentioned activities, as applicable. Final installment will be released on receipt of 70% of utilization of earlier central release and receipt of State/UT share as applicable. In case of releases already made during for undertaking the abovementioned preparatory activities, the States/UTs are required to provide UCs of earlier central releases before subsequent releases.

8. Monitoring Mechanisms

To monitor the progress of RAY, a web based monitoring system, namely IPoMS, has been customised. It includes a capacity building module to capture the details of capacity building activities to enable effective implementation of capacity building programmes.

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Annexure 1: Indicative Format for Annual Capacity Building Plan

A. Trainings and Workshops

<table>
<thead>
<tr>
<th>Level</th>
<th>Theme</th>
<th>Allocation of States: Name of the NRCs &amp; Region</th>
<th>NRC wise No. of workshops</th>
<th>Target Group/Participants</th>
<th>Expected Date of the event</th>
<th>Total Fund requirement</th>
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<tr>
<td>National</td>
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B. Translation of Training Modules in local language

- Name/s of the module
- Language to be translated into
- Total Fund requirement

C. Exposure Visits

- Name of the Participating State/UT
- Tentative list of Participants with designation
- States/UTs/cities to be visited
- Rationale of the Exposure Visit
- Expected Outcome
- Total Fund requirement
D. Documentation of Case Studies & Best Practices

- Title of the Case Study
- Context
- About the Practice/Case Study
- History/Evidence of Success
- Resources used
- Key Challenges
- Impact with reasons for success
- Key outcomes
- Total Fund requirement

E. Research Studies

- Introduction/Context
- Study Area/Coverage
- Objective/Purpose of the Study
- Scope of Study
- Study Approach and Methodology
- Deliverables with Time Frame
- Key Competencies and Professionals to be engaged
- Monitoring and Reporting Mechanisms
- Key Outcomes envisaged
- Total Fund requirement
F. Establishment of Cells at the State and City Level

<table>
<thead>
<tr>
<th>Status of SLTC</th>
<th>Established</th>
<th>Partially established</th>
<th>Not established</th>
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<tr>
<td>Status of CLTC</td>
<td>Established</td>
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<td>Not established</td>
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<tr>
<th>Designation</th>
<th>Name</th>
<th>Educational Qualification</th>
<th>Salary/ month</th>
<th>Date of joining</th>
<th>State Share</th>
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Note: In case of vacant positions please provide timeline indicating expected date of recruitment for each SLTC and CLTC. Separate table for each city to be provided in case of CLTCs.

Total Fund requirement for under Capacity Building Activities under RAY:
Annexure 2: Terms of Reference for Experts in Technical Cells

Experts in SLTC and CLTC are expected to work in close coordination with the State Mission Directorate at the State level and the City Mission Directorate at the ULB level to carry out various activities required for implementation of RAY. Experts in SLTC and CLTC would report to designated senior officers and discuss day-to-day issues proactively. Key roles and responsibilities of experts of technical cells as communicated vide DO No. J-11027/1/2011-RAY dated 8th February 2011 are as follows:

A. for Six Technical Positions under RAY Slum Free Planning Guidelines at State Level

1. MIS Specialist

The primary responsibility of the MIS expert will be to support speedy internalization of the MIS and accurate reporting through the same and strive to improve the IT systems of RAY/JNNURM and proactively recommend ways to make it more user-friendly and efficient.

Scope of Work

- Coordination of data entry and file uploads into systems to be used by the State Level Nodal Agency (SLNA) on a regular basis.
- Work closely with the GIS expert in providing advice to the Local Bodies for the development of a GIS-based Slum MIS.
- Provide advice to the Local Bodies in coordinating/monitoring Slum Surveys.
- Coordinate management of electronic data pertaining to the SLNA, including soft copies of letters, reports and numerical data. This may involve conversion of data and reports in hard copy to electronic form, as well as their storage in an organized filing system.
- Furnishing of reports/Quarterly Progress report to the Ministry.
- Encourage use of IT to produce training materials and manuals; increasingly impart an understanding and use of e-learning among staff; stay abreast of latest developments in the IT sector and transfer emerging technology as relevant to both the SLNA and the ULBs.
- Provide assistance to the City level MIS specialists as and when required.
- Any other related tasks that may be entrusted upon by the head of technical cell at State level.

Qualification and Experience

- BE/BTech Computer Science/Electronics, MCA/PGDCA in IT; MSc Computer Science.
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- Minimum of five year experience in government/semi govt./autonomous organizations/private company of repute. Should have exposure to software development & project management, database management, MIS etc.
- Ability to work in a team and train staff on the job to use the systems and assist in day to day issues related to IT.
- Fluency in English and local language essential.

2 GIS Specialist

The primary responsibility of the GIS expert will be to provide advisory support to the local bodies to support speedy deployment of GIS and its continuous use by the local body and proactively recommend ways to make it more user-friendly and efficient.

Scope of Work
- Advice to the local Bodies in acquiring satellite images for the preparation of the base maps for the city and work closely with the GIS consultants/concerned ULB officials in cities in regard to digitization, geo-referencing, ground verification and preparation of base maps etc.
- Work closely with the MIS Specialist/expert in providing advisory support to local bodies for collating spatial and non-spatial information and in GIS-MIS integration.
- Advice to the local Bodies in integration of total station survey in to GIS domain.
- Work closely with the urban planners on the team and provide guidance to the local bodies in the development of “Slum-free City Plan”.
- Provide advice to the local body for capacity building of ULB for their GIS needs and the means and manner of providing support.
- Encourage use of GIS in the various planning functions of the local bodies.
- Any other related tasks that may be entrusted upon by the head of technical cell at State level.

Qualification and Experience
- Masters degree in Planning, Engineering, Geography, Computer Sciences or Other relevant discipline with 5 years of work experience.
- Demonstrated proficiency and creative application of GIS in the urban context.
- Knowledge of urban planning & housing.
- Ability to work and motivate/train Govt. staff.
3. **Town Planning Specialist**

The Town Planning Specialist will ensure adherence and provide support to local bodies with regard to the planning guidelines of RAY and ensure that the proper templates are provided to local bodies for planning.

**Scope of Work**

- Provide advice for improvement of activities related to urban planning.
- Assist in programme design and implementation of the slum free city plan and to clearly identify the role of stakeholders at State level.
- Assist in selection of best model for in-situ development and deciding options for relocation of untenable slums.
- Assist in integration of spatial data, and slum survey information at slum and city level to create GIS enabled slum MIS.
- Provide technical support in implementing following: 74th CAA provisions related to urban planning and slum improvement, land use and land tenure especially for urban poor, environmental planning etc.
- Any other related tasks that may be entrusted upon by the head of technical cell at State level.

**Qualifications and Experience**

- Masters Degree in Planning with specialization in Urban Planning.
- Minimum of five years work experience in urban planning with experience of urban infrastructure projects.
- Experience of reform oriented projects is desirable.
- Fluency in English and local language essential.

4. **Social Development Specialist**

The Social Development Expert shall play a key role in taking forward the core principles of community participation, community development with regard to internalizing stakeholder consultations into the planning as well as operating procedures for RAY. He/She will provide advisory support to ensure community participation in other planning and practices of infrastructure development and optimizing the community participation in urban governance.

**Scope of work**

- Provide advice on all matters relating to pro poor governance, strengthening and empowerment of local communities, social development, community participation, urban poverty alleviation.
Guidelines for Capacity Building

- Assist in developing partnership with civil society, CBOs, NGOs in implementing housing projects.
- Guide and support implementation of mechanisms for pre-project community consultations and streamlining inputs into Slum Free City Plan.
- Support effective and transparent use of the Community Participation Fund (CPF) by cities.
- Devise communication strategies to make the communities aware of their responsibilities in keeping cities clean, preserving and helping in making the investments secure and complying with requirement of the reforms.
- Devise strategies to develop platforms for interface between the service provider and the client in the backdrop of the housing projects under RAY.
- Assist in establishing Networks with civil society and private sector, and other line departments such as health, education and social welfare in order to bring convergence of their schemes/ leverage their schemes with projects under UIG.
- Support social aspects of policy and legal reforms such as: Enactment of Community Participation Law; Provision of basic services to urban poor.
- Design client satisfaction surveys periodically.
- Any other related tasks, including advocacy at state level that may be entrusted upon by the head of technical cell at State level.

Qualifications and Experience

- Masters degree in Social Science.
- Minimum of five year of work experience in social and community development.
- Practical experience of working in the development areas, preferably in urban development.
- Wide knowledge and experience in implementing social sector reforms.
- Working experience in urban sector social development will be preferred.
- Training and capacity building in social development and community participation processes.
- Fluency in English and local language essential.

5. Project Engineering Specialist

Project Engineering Specialist will be responsible for providing overall guidance and support to ULBs on all aspects of planning, design, implementation, monitoring and quality assurance of slum infrastructure projects undertaken under Slum Free City Plan.

Scope of Work

- Provide technical support as necessary in design and implementation of slum infrastructure works - Water supply, drainage, roads, Solid waste etc.
- Facilitate recruitment of quality consultants for preparation of DPRs.
- Provide technical advice in tendering process, design and supervision of infrastructure works.
• Review the Detailed Projects Report (DPR) for precision and detail and provide feedback as necessary.
• Support ULB to prepare project monitoring formats and report with precision on progress of construction and utilization of funds under RAY.
• Develop and disseminate guidelines on project preparation, procurement and other related activities.
• Assess the training needs in engineering and assist ULBs to access quality training on site or at recognized centres of excellence.
• Provide advice for the improvement of the day to day activities of the ULBs' public health and sanitation services.
• Any other related tasks that may be entrusted upon by the head of technical cell at State level.

Qualifications and Experience

• Post graduate degree in Engineering with specialization in public health engineering.
• Minimum of five years experience in procurement, design, and supervision of infrastructure works.
• Ability to assist ULBs to set standards and procedures for ensuring quality and monitoring compliance
• Prior experience as municipal engineer will be an added advantage.
• Fluency in English and local language essential.

6 Capacity Building/Training Coordinator

The Capacity Building/Training Coordinator will play a key role in taking forward the core principles of RAY with regard to appreciation and implementation of the reforms, internalizing stakeholder consultations into the operating procedures and practices of infrastructure development and optimizing the community participation in urban governance. Capacity building and training will be critical for the preparation and implementation of slum-free city action plan.

• Assess barriers and constraints, training requirements, institutional weaknesses, absorptive capacity constraints to implement slum infrastructure projects and urban reforms, issues of sustainability of created assets, and other social and institutional risks at state and ULB level.
• Advise in developing capacity building modules in local language for conduct of training programmes on RAY.
• Support in building the database of trainers and resource persons on urban poverty alleviation, planning, community participation, social development, engineering etc.
• Support city level capacity building/training coordinator in organising training programmes and bringing in resource persons for taking sessions during training programmes.
Guidelines for Capacity Building

- Advise, collate and disseminate reports of the trainings and capacity building programme.
- Develop mechanism to undertake the follow up of the training and capacity building programmes.
- Support ULBs in cross learning through organising study tours, exposure visits.
- Ensure that women elected representatives and other marginalised groups attend the training programmes and contribute in implementing RAY in cities.
- Develop mechanism and monitor the impacts of training programmes and document learnings from the field.
- Organise training to State level officials and non-officials in various guidelines, manuals, tools and techniques for Slum-free City Planning, and oversee the support from the select nodal institutions on capacity building/training programmes and handholding support on GIS Mapping, Slum Survey & MIS, Slum-free City Planning and Legislative Framework for Inclusive City Planning.
- Organize studies, surveys etc. to document lessons and disseminate good practices across the state, through state initiatives.
- Any other related tasks that may be entrusted upon by the head of technical cell at State level.

Qualifications and Experience

- Masters or doctoral degree in Urban Planning and management, Social Sciences, with practical experience of working in the development areas, preferably in urban development.
- Minimum of five years experience in urban sector.
- Wide knowledge and experience in implementing governance reforms.
- Training in organizational behaviour and management of institutional change processes.
- Experience in designing capacity building activities, preferably in the municipal environment.

B. Terms of Reference for Six suggested Technical Positions under RAY at City Level

1. MIS Specialist

MIS Specialist will be responsible for managing city level database, preparation of monitoring statements, online monitoring and data analysis.

Scope of Work

- Coordination of data entry and file uploads into systems to be used by Urban Local Body (ULB) on a regular basis.
Guidelines for Capacity Building

- Work closely with the GIS expert in the development of a GIS-based Slum MIS collating both spatial and non-spatial, at the slum, zone and city level.
- Assist ULB in conducting Slum Surveys based on detailed formats, and ensure the data entry in the desired MIS application.
- Management of electronic data pertaining to the ULB, including soft copies of letters, reports and numerical data. This may involve conversion of data and reports in hard copy to electronic form, as well as their storage in an organized filing system.
- Operating IT systems on a daily basis; provide handholding support to the ULB officials when required.
- Any other related tasks that may be entrusted upon by the head of slum free city cell.

Qualification and Experience

- BE/BTech Computer Science/Electronics, MCA/PGDCA in IT; MSc Computer Science.
- Minimum of three years in government/semi govt./ autonomous organizations/private company of repute. Should have exposure to software development & project management, database management, MIS etc.
- Ability to work in a team and train staff on the job to use the systems and assist in day to day issues related to IT.
- Fluency in English and local language essential.

2 GIS Specialist

GIS Specialist will be responsible for managing and updating of GIS level database at the city level and ensure coordination with MIS.

Scope of Work

- Assisting in acquiring satellite images for the preparation of the base maps for the city and work closely with the GIS consultant in regard to digitization, geo-referencing, ground verification and preparation of base maps etc.
- Work closely with the MIS Specialist/expert in collating spatial and non-spatial information with respect to plot boundaries, network of basic infrastructure such as roads, sewerage, storm drainage and water lines, etc.
- Integration of total station survey in to GIS domain.
- Work closely with the urban planners on the team in the development of “Slum Development Plans” and a “Slum-free City Plan”.
- Act as a resource for capacity building of ULB for their GIS needs.
Any other related tasks that may be entrusted upon by the head of slum free city cell.

Qualification and Experience

- Masters degree in Planning, Engineering/ Geography/ Computer Sciences or Other relevant discipline with 3 years of work experience.
- Demonstrated proficiency and creative application of GIS in the urban context
- Knowledge of urban planning & housing.
- Ability to work with and motivate/ train Govt. staff.

3. Town Planning Specialist

The Town Planning Specialist will be responsible for supporting improved coordination between various planning agencies and organizations responsible for urban development at City level. The planner will also be responsible for guiding town planning activities at the city level.

Scope of Work

- Programme design and implementation of the slum free city plan and to clearly identify the role of stakeholders at City level, Zone/Ward Level, Neighbourhood level etc, and Slum (Settlement) Level.
- Identifying in consultation with the local body the geographic area to be covered under slum free city plan.
- Using appropriate GIS mapping techniques and GIS base maps assist in identifying the slum pockets within the city.
- Based on the proposed land use and land reserved for city infrastructure, do plotting on the GIS maps information available from City Master Plan, City Development Plan and city Departmental sources.
- As part of the slum mapping exercise, assist the local Body in identifying ownership of the land occupied by slums and mapping under various category of land e.g. Public land, private land, disputed land etc.
- Assist categorization of each slum in terms of its tenability.
- Assist in selection of best model for in-situ development and deciding options for relocation of untenable slums.
- Assist in integration of spatial data, and slum survey information at slum and city level to create GIS enabled slum MIS.
• Ensure formulation, implementation and revision of CDPs and linkage with Master Plans,
• Develop and update databases on planning.
• Any other related tasks that may be entrusted upon by the head of slum free city cell

Qualifications and Experience
• Masters Degree in Planning with specialization in Urban Planning.
• Minimum of three years work experience in urban planning with experience of urban infrastructure projects.
• Experience of reform oriented projects is desirable.
• Fluency in English and local language essential.

4. Social Development Specialist
The Social Development Expert will be responsible for conceiving and implementation of social reforms, strengthening and empowerment of communities, internalizing stakeholder consultations into operating procedures and practices and optimizing the community participation in urban governance.

Scope of work
• Support ULB with regard to pro poor governance, strengthening and empowerment of local communities, social development, community participation, urban poverty alleviation at City level.
• Developing partnership with civil society, CBOs, NGOs in implementing housing projects.
• Implementation of mechanisms for pre-project community consultations and streamlining its inputs into the Slum free city plan.
• Incorporation of social issues into DPR preparation.
• Effective and transparent use of the Community Participation Fund (CPF) by user groups in the select cities.
• Assistance in implementing communication strategies to make the communities aware of their responsibilities in keeping cities clean, preserving and helping in making the investments secure and complying with requirement of the reforms.
• Assist in identifying pro poor relocation strategies which manifest the concerns for the poor, vulnerable, disabled and aged population within the broad livelihood framework
Guidelines for Capacity Building

- Devise strategies to develop platforms for interface between the service provider and the client in the backdrop of the housing projects under RAY.
- Identify and address gender gaps in coverage of services, access to training and opportunities for economic activities and enable ULB to undertake Gender Need Assessment and Gender Mainstreaming.
- Establish mechanisms for dialogue between elected representatives, staff and clients.
- Preparation and periodic updating of city's poverty profile, in tandem with the RAY/BSUP/IHSDP and other poverty focused programs of the City.
- Establish Networks with civil society and private sector, and other line departments such as health, education and social welfare in order to bring convergence of their schemes/leverage their schemes with projects under UIG.
- Ensure that information related to social development indicators/elements are adequately captured in databases, analyzed and the emerging findings applied in practice.
- Design and Implement client satisfaction surveys periodically.
- Monitor expenditure on improvement of urban services to the poor and overall social impact of projects implemented under JNNURM/RAY.
- Any other related tasks that may be entrusted upon by the head of slum free city cell.

Qualifications and Experience
- Masters degree in Social Sciences
- Minimum of three years work experience in social and community development
- Practical experience of working in the development areas, preferably in urban development
- Wide knowledge and experience in implementing social sector reforms
- Working experience in urban sector social development will be preferred
- Training and capacity building in social development and community participation processes
- Fluency in English local language essential.

5. Project Engineering Specialist

Project Engineering Specialist will be responsible for providing overall guidance and support to ULBs on all aspects of planning, design, implementation, monitoring and quality assurance of slum infrastructure projects.
Guidelines for Capacity Building

Scope of Work

- Provide technical support as necessary in design and implementation of slum infrastructure works - Water supply, drainage, roads, Solid waste etc.
- Facilitate recruitment of quality consultants for preparation of DPRs.
- Provide technical advice in tendering process, design and supervision of infrastructure works.
- Review the Detailed Projects Report (DPR) for precision and detail and provide feedback as necessary.
- Support ULB to report with precision on progress of construction and utilization of funds under RAY.
- Develop and disseminate guidelines on project preparation, procurement and other related activities.
- Assess the training needs in engineering and assist ULBs to access quality training on site or at recognized centres of excellence.
- Provide advice for the improvement of the day to day activities of the ULBs’ public health and sanitation services.
- Any other related tasks that may be entrusted upon by the head of slum free city cell.

Qualifications and Experience

- Post graduate degree in Engineering with specialization in public health engineering.
- Minimum of three years experience in procurement, design, and supervision of infrastructure works.
- Ability to assist ULBs to set standards and procedures for ensuring quality and monitoring compliance.
- Prior experience as municipal engineer will be an added advantage.
- Fluency in English and local language essential.

6  Capacity Building/Training Coordinator

The Capacity Building/Training Coordinator will play a key role in taking forward the core principles of RAY with regard to appreciation and implementation of the reforms, internalizing stakeholder consultations into the operating procedures and practices of infrastructure development and optimizing community participation in urban governance. Capacity building and training will also be critical for the preparation and implementation of slum-free city action plan.

- Assess barriers and constraints, training requirements, institutional weaknesses, absorptive capacity constraints to implement slum infrastructure projects and urban reforms, issues of sustainability of created assets, and other social and institutional risks at ULB level.
- Develop capacity building modules in local language for conduct of training programmes on RAY.
Guidelines for Capacity Building

- Build the database of trainers and resource persons on urban poverty alleviation, planning, community participation, social development, engineering etc.
- Support ULBs in organising training programmes and bringing in resource persons for taking sessions during training programmes.
- Prepare reports of the trainings and capacity building programme.
- Undertake the follow up of the training and capacity building programmes.
- Support ULBs in cross learning through organising study tours, exposure visits.
- Ensure that women elected representatives and other marginalised groups attend the training programmes and contribute in implementing RAY in cities.
- Monitor the impacts of training programmes and document learnings from the field.
- Identify and address gender gaps in coverage of services, access to training and opportunities for economic activities.
- Any other related tasks that may be entrusted upon by the head of slum free city cell.

Qualifications and Experience

- Masters or doctoral degree in Urban Planning and management, Social Sciences, with practical experience of working in the development areas, preferably in urban development
- Minimum of three years experience in urban sector
- Wide knowledge and experience in implementing governance reforms
- Training in organizational behaviour and management of institutional change processes
- Experience in designing capacity building activities, preferably in the municipal environment.

Note: The Ministry vide its letter no. N-11011/58/2012-RAY II, dated 16th September 2013 has communicated the following:

i. The minimum educational qualifications prescribed for the 6 experts may be relaxed to Bachelor’s degree in the respective fields. Post graduate degree with specialization in the relevant field as mentioned above may be made desirable condition.

ii. Minimum experience criteria at the State level may be relaxed to 5 years and to 3 years at the city level.

iii. For NE and special category States (J&K, Himachal Pradesh and Uttarakhand) the minimum required qualification criteria may be relaxed to Diploma wherever Bachelor degree holders are not available in the relevant field.

iv. The minimum experience criteria for the experts at both State and City level technical cells may be relaxed to minimum of 3 years.

v. The following additional experts wherever required with adequate justification can be supported by the Ministry subject to condition that the size of the cell will be limited to 6 experts:

   a. PPP expert
b. Procurement Expert  
c. Architect  
d. Structural Engineer  
vi. State shall designate one of the 6 experts of the RAY Technical Cell as the Nodal Officer who shall be the single point of contact and be responsible for reporting and monitoring tasks in these cells.
Annexure 3: Central assistance for other preparatory activities admissible under Capacity Building, Administrative & Other Expenses (A&OE) and IEC activities head under RAY

1. Cost of preparation of SFCPoAs including preparatory activities for the same –

1.1. Socio-economic survey including printing of forms, Canvassing etc.: Rs. 25 per slum HH, Rs. 50 per slum household for North Eastern States including Sikkim and Special Category States

1.2. Data entry from slum surveys, data verification and cleaning, compilation and collation at zonal level (including cost of data entry and data collation, training of personnel at zone level, cost of hardware for such entry and storage at zonal level for slum-wise and zone wise database). The collation should be able to generate web-enabled city level data base and baseline reports for city level technical cell: Rs. 20 per slum HH, Rs. 45 per slum household for North Eastern States including Sikkim and Special Category States

1.3. Cost of Satellite (Carto Sat I/Carto Sat II) images and others - to be procured from ISRO/NRSC: Rs. 150/- per sq.k.m. for Cartosat I/II images. For cities/towns where Cartosat I/II images are not available, concerned States/ULBs would need to take approval of CSMC with demand and justification for an alternative satellite product (Rs. 1500 per sq.k.m). Further it has been decided that in case of procurement of satellite images (Cartosat I and II or any other imagery with adequate justification), the prevailing actual rates of NRSC either per sq.km. basis or per scene basis or any other unit (as the case may be) shall also be admissible.

1.4. Preparation of Geo-referenced city level Base Map and Integration of GIS-MIS at slum level (including cost of engaging different partner agencies of NRSC/ISRO): Rs. 7500 per sq. km.

1.5. Cost of integrating the said geo-referenced maps/spatial data into GIS platform & integrating with socio-economic database /slum MIS at the HH level to create GIS enabled Slum MIS (This will include cost of engaging technical agency (ies)
cost of training ULB officials, cost of hardware for storage of spatial data, large format printer/plotter for printing maps etc.): Rs. 8 - 15/ household

1.6. Preparation of Slum Redevelopment/Rehabilitation Plans, Zonal Plans and City level slum free plans of Action (SFCPoAs): Rs. 25 Lakh for cities with population more than 15 lakh; Rs. 20 lakh for cities with population between 10-15 lakhs; Rs. 15 lakh for cities with population between 3-10 lakhs and Rs. 10 lakh for cities with population less than 3 lakh. For Mega-cities i.e. for cities with population more than 4 million such as Delhi, Greater Mumbai, Kolkata, Chennai, Bangalore, Hyderabad, Ahmedabad (as per Census 2001), the rates may be higher on a case by case basis.

1.7. Engagement of NGOs/CBOs to guide / anchor community mobilization activities for preparation of SFCPoAs: Rs. 15-40 per slum HH subject to ring fencing the amount as follows:
   - Rs. 6L (for cities with population less than 3 Lakhs)
   - Rs. 15L (for cities with population of 3 to 10 Lakhs)
   - Rs. 25 L (for cities with population of 10 to 15 Lakhs)
   - Rs. 45L (for cities with population of more than 15 Lakhs)
   - For mega-cities i.e. cities with population more than 4 million such as Delhi, Greater Mumbai, Kolkata, Chennai, Bangalore, Hyderabad, Ahmedabad (as per Census 2001) the rates may be higher on a case by case basis.

2. Preparation of DPRs:

2.1. DPR Services: 0.75% of the project cost including service tax, as applicable which shall inter-alia include the following:
   - Carrying out Total Station Survey
   - Detailed designs of buildings and infrastructure cost estimates, assistance in obtaining required approvals and project sanction etc.
2.2. CSC Services including quality assurance (Record Measurement by Client): 0.75% of the project cost including service tax, as applicable which shall include inter-alia the following:

- Preparation of tender documents
- Assistance in tender evaluation
- Supervision of construction
- Quality management and
- Quality Assurance of the project

2.3. DSC Full Service i.e. one single organization to carry out both DPR preparation, Construction Supervision and Quality assurance: 1.25% of the project cost including service tax as applicable.

2.4. Community Participation during DPR preparation (Micro-Planning): Rs. 18-25/- per slum HH for cities with population more than 3 lakh and Rs. 35/- per slum HH for cities with population less than 3 lakh.

3. Third Party Inspection and Monitoring (TPIM): Admissible rates will be decided by CSMC and will be communicated separately by MoHUPA.

4. Social Audit: Admissible rates will be decided by CSMC and will be communicated separately by MoHUPA.

5. The above rates will be applicable only when the agencies are selected through an Open transparent bidding process.
Annexure 4: Indicative Format for Reports of the Training Programmes/Workshops under RAY

Cover Page:
Title of the training/workshop, followed by the date, venue and Organizers’ Name

Inner Pages: 30-40 (text without annexures)

Title of the Event (Workshop)
Purpose/Objective
Participant profile

- Specify the nature and number of participants
- Attach list of participants in annexure

Thematic Details (Content) (80%-90% of the text)

- Capture the thematic discussion in a logical and sequential manner;
- Highlight main concepts introduced, emerging discussions, debates, critical questions raised.
- Include important statements in quotes.
- Can include few photographs as part of the text, if relevant.
- Include the group discussion reports, power points, case study etc. as annexures.

Critical Insights
Brief mention of critical insights, which can include the following:

- Issues discussed
- Follow-up plans

Annexures

- Agenda/Design of the Training/Workshop
- Participants List
- List of Learning Material
- Group work reports (if any)
- Include copy of the presentations/case study
- Evaluation Report: Analysis of the Evaluation format filled by the participants
Annexure 5: Indicative Format for the Feedback of Participants during Training/workshop

Name of the Training Programme:
Date:
Venue:
Name of Participant:

1. How effectively were the following objectives met?

(i) Name of the Objective 1

| 0 | 1 | 2 | 3 | 4 |

(ii) Name of the Objective 2

| 0 | 1 | 2 | 3 | 4 |

2. How effective were the following topics/themes?

(i) Name of the topic/theme 1

| 0 | 1 | 2 | 3 | 4 |

(ii) Name of the topic/theme 2

| 0 | 1 | 2 | 3 | 4 |

(iii) Name of the topic/theme 3

| 0 | 1 | 2 | 3 | 4 |
Guidelines for Capacity Building

(iv) Name of the topic/theme 4

(v) Name of the topic/theme 5

3. How effective were the methods applied in training programme?

(i) Lectures/presentations

(ii) Case Study

(iii) Small Group Discussions

(iv) Name of other methods employed

4. How effective were the learning materials supplied/distributed?

5. How relevant is the training programme to you in terms of its application in your context?
6. How effective was administrative and logistics support?

5. Any topic/theme which has not been taken up in the programme, which you think should have been included?

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6. Any other remarks, comments and suggestions

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