

# **MEMORANDUM OF UNDERSTANDING**

## **BETWEEN**

Ministry of Housing and Urban Affairs (MoHUA),  
Government of India  
(Represented by the Joint Secretary, SBM-U,  
Ministry of Housing and Urban Affairs)

## **AND**

IIM, Indore  
(Represented by its Director)

## **WHEREAS**

Swachh Bharat Mission (Urban) 2.0 has been launched on 1<sup>st</sup> October 2021 after 7 years of successfully implementing Swachh Bharat Mission (Urban). The second phase of the Mission has been designed with a comprehensive and expanded mandate to be implemented by the States and ULBs across solid waste management, used water management, IEC/BCC and capacity building. In order to effectively implement the interventions across the focus areas and to achieve sustainable outcomes, it is imperative for the human resources engaged at the States/UTs and ULBs to be equipped with the best-in-class capacities. There is a need for specialized institutions with technical and managerial expertise to offer tailor made and best in class solutions for long term capacity building. CoE has also been included as a key measure of Ecosystem Strengthening under recently launched National Capacity Building Framework for Garbage Free Cities.

While considering the gap of managerial skills in the area of sanitation and waste management there is a need of institutions to create this capacity in the country, such large investment is being envisaged to develop the capacities of institutions to plan, develop, innovate, operate and maintain Urban Sanitation and Waste Management Systems in the country. Towards augmenting the capacity, it has been decided' among other things, to establish Centres of Excellence in areas of Urban Sanitation and Waste Management. The

capacities of these institutes will be strengthened with support of MoHUA. Indore city has maintained no. 1 ranking in Swachh Survekshan i.e. World's Largest City Sanitation Survey for last 6 years and hence seen as model ULB. Therefore, Indore is selected to showcase best of success and innovation in the field of Urban Sanitation which will become model practical ground for training and research. It is envisaged that the selected centre shall become resource institution in the country dealing with Urban Sanitation and Waste Management.

### **OVERVIEW OF IIM INDORE AND CoE:**

Since its inception in 1996, the Indian Institute of Management Indore (IIM Indore) has emerged as a business school and leading research institution with world-class academic standards with a firm commitment towards contributing to nation-building through innovating solutions and piloting initiatives projects that are contextually relevant and societally impactful. The institution strives to develop socially conscious leaders, managers, and entrepreneurs—who contribute not just to the growth of industries and the economy but also play a pivotal role in the social sector and augment efforts towards nation building and good governance.

Indore city, in recent years has emerged as a pioneer in urban sanitation & waste management having introduced various innovations in sanitation and sustainable management of solid waste. Having been consistently awarded the 1st position in Swachh Survekshan over the last 6 years, the model adopted by Indore in urban transformation is worthy of replication by other cities in the country.

IIM Indore has nurtured a strategic and collaborative partnership with the Indore Municipal Corporation. The partnership aims to leverage the complementing sectoral knowledge and expertise of both partners and help drive the amplification and replication of the successful 'Indore' model of sanitation and waste management, across the country. While IIM Indore primarily anchors the knowledge management and strategic engagement with national and international development partners, the Indore Municipal Corporation serves as a practical laboratory for providing an on-ground and hands on experience in the functional areas and best practices of sanitation and waste management. The CoE will thus leverage its close cooperation and collaborative relation with the IMC and engage the IMC and channelize the joint resources to be well placed to provide specialized knowledge management, capacity building and leadership training to key officials from ULBs and elected representatives from cities in the urban governance ecosystem with a specialized focus on sanitation and waste management.

## **NOW THEREFORE,**

The Ministry of Housing and Urban Affairs, Government of India (MoHUA) on one hand, and IIM, Indore on the other hand, agree as follows:

### **1. DEFINITIONS**

1.1. "COE at IIM Indore": A 'Centre of Excellence in Urban sanitation and Waste Management being established at IIM Indore through this cooperation to carry out education, research and capacity building activities in compliance with this agreement.

1.2. "MoHUA": Ministry of Housing and Urban Affairs, Government of India.

1.3. "IIM -Indore": IIM Indore.

1.4. "Grant"; The grant-in-aid awarded to the recipient by the Ministry of Housing and Urban Affairs.

### **2. MoHUA's ENGAGEMENTS**

2.1. With the signing of this Agreement, MoHUA confirms its agreement to sanction a grant-in-aid of Rs. 19.95 crores to IIM - Indore towards setting up and functioning of CoE in the area of Urban sanitation and Waste Management under Swachh Bharat Mission – Urban at IIM - Indore.

2.2. The disbursement of the grant would be done as per the following terms:

(a) The first installment of Rs. 8.80 Crores (Rupees Eight crores and Eighty Lakh only) would be disbursed.

(b) The second installment of Rs. 5.65 Crores (Rupees Five Crores and Sixty Five Lakh only) would be disbursed on submission of Utilization Certificates and specific deliverables.

(c) The third installment of 2.75 Crores (Rupees Two Crores and Seventy Five Lakh only) out of approved allocated amount of Rs. 5.50 Crores for third year would be disbursed on submission of Utilization Certificates and specific deliverables.

(d) The remaining amount of Rs. 2.75 Crores (Rupees Two Crores and Seventy Five Lakh only) would be disbursed after the submission of final physical and financial report and its approval and acceptance by the competent authority.

(e) The CoE will prepare a work plan along with a staffing and resource deployment plan on an annual basis to be submitted for formal approval of the MoHUA

2.3. The CoE would be aided by the MoHUA for a period of 3 years w.e.f. 2022-23.

2.4. MoHUA will have annual meetings in the first week of the financial quarter of the year starting from the month of April, 2023 under the Chairmanship of Secretary of MoHUA to review the progress of implementation and also to approve the annual plan for the next Year. Prior to the meeting, CoE at IIM Indore shall submit to MoHUA an annual plan of action and an annual outcome report.

2.5. All project outcomes including study report/papers, research Documents / know-how, discovery of patentable invention from the CoE Shall become joint proprietary right of MoHUA and IIM Indore.

2.6. The above grant is sanctioned subject to the following conditions also:

(a) Release of grant will be regulated in accordance with the provisions of General Financial Rules 2017, as amended from time to time.

(b) The utilization of this grant will be subject to such further conditions as the Govt. of India may prescribe from time to time.

(c) Certain items would not be permissible like purchase of capital intensive equipments, purchase of furniture/ fixture and building construction.

(d) The Grant-in-aid should not exceed Rs. 6.15 Crores (as per approved proposal) expenditure on pay and allowances of the personnel of the organization/institute.

(e) The organization/institute receiving grant should not divert the grant or entrust execution of the scheme or work concerned to another Institutions/ Organizations without the permission of the Governing council, and should abide by any other conditions specified in the agreement governing the grant in aid,

(f) The ownership in the physical assets created or acquired out of this grant in aid shall vest in the Ministry and the recipients should not treat such assets as their own assets in their Books of Accounts but should disclose their holding and using such assets in the notes to Accounts specifically.

### **3. IIM – INDORE'S ENGAGEMENTS**

The CoE will mainly focus on applied research, training and capacity development programmes in the areas of urban sanitation and waste management spanning aspects of strategy, planning and infrastructure management, service delivery etc.

i. The Centre of Excellence will provide best in class leadership and administrative training to senior officials at National, State and ULB level for holistically developing and managing sanitation and waste management initiatives.

ii. The Centre will design and implement training and development programs/refresher courses for the Political leadership at the city level including Mayors and ward Councilors to build their capacities and sensitivity to holistically drive the initiatives for urban sanitation and waste management.

iii. The Centre will serve as a bridge between municipal corporations and local bodies on the one side and business and service organizations on the other by undertaking initiatives to facilitate knowledge exchanges and exploring collaboration opportunities.

iv. The Centre will play an instrumental role in providing management expertise and advisory services on the utilization of funds and leveraging support from the corporate partners to the ULBs aimed towards transforming the delivery of municipal and civic services.

v. The Centre will develop as a repository of best practices in functional areas of the urban sanitation and waste management value chain encompassing operation and maintenance models, service delivery enhancement, citizen connect amongst others.

vi. The Centre will offer world class academic programs, both full-time and part-time, relevant to public policy, urban governance and change management, to administrators, managerial and executive cadre and front-line employees of corporations and local bodies.

### **4. MODALITIES**

4.1. CoE will be established and housed in the infrastructure available at IIM-Indore which will include smart classrooms that will enable the effective delivery of innovative models of training and seamlessly integrate global partners leading in sanitation and waste management as part of the trainings.

4.2. CoE will establish an Incubation Centre and use its partnership with IIT – Indore to incubate tech startups as well.

## **5. PROGRAMS AND COURSES TO BE OFFERED UNDER COE**

A. Managerial capacity building in strategic thinking, change management and service delivery for municipal corporations will be ensured through three models of engagement. The programs will be offered and delivered exclusively to senior State and Municipal officials, and city level elected representatives.

i. Classroom based model: Senior State and Municipal officials will participate in a 5-day training session organized by the CoE at IIM Indore. The course will provide an in-depth understanding of sanitation and waste management through an experiential learning in Indore which is the practical laboratory for providing an on-ground and hands on experience in the functional areas and best practices of sanitation and waste management.

ii. E-learning Model: Aiming at the 4700+ ULBs in India, the e-learning model will be delivered in the form of unique digital modules that would be designed as a combination of instructor led lecture modules, infographic-based video content and aided with literature (academic papers, articles, best practices) along with self-paced assessments. The model will comprise of two set of courses: Foundational Training and WASH Specialization Training, which has been enumerated below.

- **SBM-U 2.0 Foundational Course:** A foundation course for State and Municipal officials to get familiar with the Swachh Bharat Mission – Urban 2.0 and its key objectives. The course would provide a snapshot of the key programmatic elements of SBM-U 2.0, a brief overview of the focus areas and works mandated by the Mission across different functional areas and acquaint the officials with the workflow of the Mission including flow of financing and other salient features mandated in the Operational Guidelines.

- **Specialized courses under SBM-U 2.0:** This would consist of 4 modules, on different aspects of SBM-U 2.0 including comprehensive introduction and orientation across solid waste management, used water management, IEC and capacity building along with exposure to best practices, use case business models and service delivery models.

iii. **Blended Learning Model:** The courses in this format will be conducted in a hybrid mix of e-learning modules and followed by a practical exposure visit in partnership with the Indore Municipal Corporation (IMC) This model is envisioned to add sustainability and flexibility to the interested stakeholders and help scale up the training delivery.

iv. All participants successfully completing the workshop will be issued certifications accredited by IIM Indore.

B. Apart from conducting the capacity building models and training programs, the CoE will engage in the following activities in its three years of funding from MoHUA.

i. **Study Materials development and procurement:** The CoE will invest resources in order to ensure consistency in the development of learning materials for the three models of capacity building.

ii. **Research and other allied expenses for academic support:** Apart from creating content and material for the capacity building models, the CoE will engage in research related to solid waste management, water management, IEC and innovations in the sector. The Centre would facilitate and conduct collaborative research activities (with MoHUA, sponsored research with international organizations, etc.) in WASH including quantitative, qualitative, and case based research projects using cutting edge research methods. The outcome of such research is expected to be high quality publications, white papers and reports, and case studies.

iii. **Creation and Management of e-learning material:** The CoE through e-learning platform will create and manage courses, from training material to the course layout and properties, up to course reports. This will act as a one-shop platform for all e-learning materials related to WASH. The commissioning and production phase would bear a high upfront cost in the first year, followed by a basic operation cost for usage and updating of e-learning resources.

iv. **Student competition (e.g., Case Study competition, Hackathon in collaboration with IIT Indore, etc.):** University/institute level competitions are breeding ground to harness youth involvement and innovation targeting built environment, which is the central idea behind conducting student competitions through CoE. The statute of IIM Indore being a national institute will be leveraged to conduct national level competitions on topics related to WASH.

v. Incubator Cell in partnership with IIT Indore: The incubation cell's (IIT Indore with CoE) mission is to develop entrepreneurial talent and fostering the commercialization of new ideas around WASH. IIT Indore being a technical institute will be able to provide the much-needed technical expertise in innovations around comprehensive solid waste management, used water management and IEC. This, when combined with the marketing and business skills of IIM-Indore business students, would help in capturing a bigger audience towards the possible solutions to WASH related issues.

C. Following programs will run concurrently and will augment self-sustainability of the CoE after the first year of the launch of the CoE

a) The CoE will open the short- term leadership and development programs to private sector partners as well who work extensively across the sanitation and waste management value chain.

b) The CoE will also design and deliver long-duration degree, diploma, and certificate programs in the urban transformation through online, blended in-person mode. These would include programs in all the following areas (non-exhaustive list):

c) The CoE will establish partnerships with leading corporations and service organizations to create joint ventures that will professionalize the delivery of municipal and civic services for various cities and towns.

- o In such alliances the partner organizations will be responsible for investments related to the transformation and management of civic services for client cities.

- o IIM Indore will provide management expertise to the client (municipal corporations) and manage the utilization of funds provided by the corporate partner [as indicated in point (a) above].

d) Alliance with the Indore Municipal Corporation for creating, storing, and disseminating knowledge about urban transformation, sanitation and waste management projects.

e) Conduct needs assessment (CENA framework) and diagnostic surveys to identify systemic issues with potential urban transformation targets like municipal corporations and local bodies.

f) Provide world class consulting services to municipalities and local bodies based on extensive diagnosis and problem identification with a focus on urban transformation activities.



g) Conduct research seminars, conferences, and conclaves to facilitate wider discussion on activities, programs, and developments in WASH.

## **6. INSTITUTIONAL STRUCTURE & PROGRAMME MONITORING**

6.1. The CoE will work within the academic rules and regulations stipulated by IIM Indore. However, the activities of the centre will be reviewed by a Governing Council. Governing Council will meet at-least twice in a year.

6.2. A Governing Council with Director, IIM Indore as Chairman will guide and advise the Centre regarding directions, policies and programmes. Representatives of MoHUA, Government of India, Government of Madhya Pradesh, academia and other user agencies are the members of the council.

a) Chair: Director of the Institute / head of the department

b) Member to include:

I. Representative of Ministry of Housing and Urban Affairs (MoHUA)

II. Secretary, Urban Development Department of Madhya Pradesh

III. Two/ three experts Convener: Head of CoE

c) The institute may propose to include eminent people from academia, industry and Government. However, the size of the council is to be limited to a maximum of 11 members.

d) The Governing council will meet at least twice a year to review the activities.

e) A Coordinator to head the operations of the Centre.

f) A team of faculty members identified by the Director IIM Indore will form a part of the Executive Committee (EC) for the Centre.

g) Representative from Indore Municipal Corporation will be part of EC.

6.3. The Governing Council may appoint committee/s with specific tasks/ assignments to carry out its functions more effectively and efficiently.

## **7. ACCOUNTS AND FINANCIAL MANAGEMENT**

7.1. The CoE will follow high standards of financial management practices while expending the moneys received as part of this proposal. The amounts sanctioned will be kept in a separate account and will be subject to audit by the Government of India as per its procedures.

7.2. The grant should be utilized for the purpose for which it has been sanctioned and should not be diverted for any other purpose. Any portion of grant which remains unutilized should be refunded to Govt. of India immediately after the duration of the scheme is over as per the prescribed terms and conditions. The decision of the Central Govt. in this regard will be final and binding on the Institute/ organization.

7.3. The Accounts of the grant should be maintained in the prescribed manner. The accounts should be open to check by an officer of the Central Govt. or their representative. They shall also be open to audit by the Comptroller and Auditor General of India of his discretion.

7.4. Account of the grant should be audited immediately after the end of the financial year in accordance with the rules applicable to the organizing institution. The utilization certificate (UC) certifying that the grant has been utilized for the purpose for which it was sanctioned along with the audited accounts should be forwarded to this Ministry.

7.5. The organization/Institute receiving grant should not entrust execution of the scheme or work concerned to another Institutions/ Organizations without the permission of the Governing Council, and should abide by any other conditions specified in the agreement governing the grant in aid

7.6. The ownership in the physical assets created or acquired out of this grant in aid shall vest in the Ministry and the recipients should not treat such assets as their own assets in their Books of Accounts but should disclose their holding and using such assets in the Notes to Accounts specifically.

## **8. DURATION, EFFECTIVE DATE, TERMINATION OF MEMORANDUM OF UNDERSTANDING**

8.1. The Centre of Excellence would be aided by the Ministry for a period of 3 years w.e.f. 2022-23.

8.2. Though the financial assistance would be disbursed by 2025 -26, the CoE will continue to provide technical assistance and advice to Ministry of Housing and Urban Affairs on a regular basis on similar lines as initial years.

## 9. AMENDMENTS AND MODIFICATIONS

9.1. No amendment or modification of this Agreement shall be valid unless the same is made in writing by both the parties specifically stating the same to be an amendment of the agreement. The modification/changes shall become part of the agreement and shall be effective from the date on which they are made unless otherwise agreed to.

## 10. MISCELLANEOUS

10.1. Nothing contained in this Agreement shall be construed as establishing or implying any partnership or joint venture between Parties, and nothing in this Agreement shall be construed to constitute either party to be the agent or employee of the other or authorize either party to incur any expenses on behalf of the other or to enter into any engagement on behalf of the other party without obtaining the other party's prior Written consent.

10.2 Any dispute arising out of or relating to this MoU, or the breach thereof, shall be jointly reserved by the Director, IIM Indore and Joint Secretary, MoHUA in spite of independence, mutual respect, and shared responsibility.

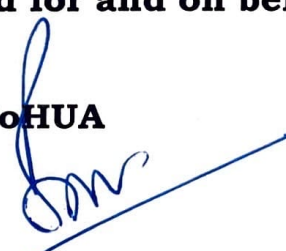
IN WITNESS WHEREOF, the parties have executed this Agreement in four (4) copies.

Place: New Delhi

Date: 29<sup>th</sup> September 2022

**Signed for and on behalf of**

**For MoHUA**

  
(Roopa Mishra)  
Joint Secretary, SBM-U  
Ministry of Housing and Urban  
Government of India

**For IIM - Indore**

  
(Himanshu Rai)  
Director  
Indian Institute of Management Indore