

National Capacity Building Framework for Garbage-Free Cities



A Swachh Bharat Mission-Urban 2.0 Initiative

Swachh Bharat Mission (Urban) 2.0:

National Capacity Building Framework for Garbage-Free Cities

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“ ... स्वच्छ भारत मिशन 2.0 का लक्ष्य है गार्बेज फ्री शहर, कचरे के ढेर से पूरी तरह मुक्त, ऐसा शहर बनाना ... ”

Shri Narendra Modi

Prime Minister of India

[Excerpt from the address of the Prime Minister on the occasion of launch of Swachh Bharat Mission – Urban 2.0, on 1st October, 2021]

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GLOSSARY

BCC	Behaviour change communication
CB	Capacity building
CBO	Community based organisation
CBSDKM	Capacity building, skill development and knowledge management
CLTC	City level technical cell
CoE	Centre of excellence
CSR	Corporate social responsibility
FSSM	Faecal sludge and septage management
GFC	Garbage-free city
GoI	Government of India
IEC	Information, education and communication
KM	Knowledge management
M&E	Monitoring and evaluation
MoHUA	Ministry of Housing and Urban Affairs
NGO	Non-governmental organisation
NIUA	National Institute of Urban Affairs
OD	Open defecation
ODF	Open defecation free
O&M	Operation and maintenance
PHE	Public health engineer
PHED	Public health and engineering department
PWM	Plastic waste management
PM	Prime minister
PMU	Project/programme management unit
PSU	Public sector utility
SafaiMitras	Sanitation workers
SBCC	Social and behaviour change communication
SBM-U	Swachh Bharat Mission (Urban)
SDG	Sustainable Development Goals
SD	Skill development
SKP	Swachhata knowledge partner
SLTC	State level technical committee
SLWM	Solid liquid waste management
SUDA	State Urban Development Agency
SWM	Solid waste management
ULB	Urban local body
UT	Union territory

BACKGROUND

CHAPTER 1

The first phase of the Swachh Bharat Mission-Urban (SBM-U), launched in 2014, has emerged as one of the largest urban sanitation programmes in the world, playing a pivotal role in bringing about a paradigm shift in urban sanitation across the country. The Mission has prominently placed the concept of sanitation at the centre of the nation's development agenda, aligned to the Hon'ble Prime Minister's firm commitment to achieve Mahatma Gandhi's vision of 'Swachh India'. The Mission has been instrumental in achieving key milestones of success in India's sanitation journey: (a) creating "Open Defecation Free (ODF)" cities with access to safely managed sanitation infrastructure and services, and (b) effective management of municipal solid waste in cities. The Mission has laid the foundation for a mass behaviour change campaign – a Jan Andolan, engaging every individual as an equal partner in India's progress in swachhata, along with the promotion of dignity and measures for inclusion of sanitation workers.

In this journey of swachhata, States, Union Territories (UTs) and Urban Local Bodies (ULBs) have been the key engines in effectively implementing interventions and ensuring the achievement of Mission objectives. Executive officials have played a pivotal role in strategic decision making, guiding the overall approach for enhancing sanitation and waste management in cities, and technical officials have formed the backbone of implementing the technical interventions and solutions. On the ground, municipal sanitation workers have played an important role in enhancing and sustaining the standards of sanitation and waste management.

One of the key learnings under SBM-U has been the recognition of the importance of stakeholders possessing advanced and up-to-date technical, operational and management capacities required

to implement the Mission components effectively and efficiently. Stakeholders possessing enhanced capacities and skills play a pivotal role in the achievement of the Mission objectives in a sustainable manner.

Swachh Bharat Mission-Urban 2.0 (SBM-U 2.0) has been launched on 1st October, 2021, with the overall objective of creating 'Garbage-Free Cities'. This implies that all municipal solid waste (including construction and demolition waste, and plastic waste), and liquid waste (including grey and blackwater) in cities is safely collected, processed, and scientifically treated so that no untreated wastewater is discharged into water bodies, and no untreated municipal solid waste is sent to landfills. The second phase of the Mission also lays a key emphasis on imbibing the spirit of a circular economy with a focus on waste to wealth initiatives. Based on the learnings gleaned from the first phase of SBM-U, and in view of the expanded Mission mandate in the second phase, there is a crucial need to build the capacities of every stakeholder associated with the Mission by equipping them with sufficient human resources (HR) as well as the knowledge and skills to effectively plan, implement, manage, and sustain the Mission initiatives.

It is against this backdrop that the 'National Capacity Building Framework for Garbage-Free Cities' has been conceptualized under SBM-U 2.0. The national framework proposes a comprehensive approach for capacity building in the urban sanitation and solid waste management sectors across India. SBM-U 2.0 also emphasizes the creation of a robust ecosystem which identifies and collates the best-in-class knowledge in each sector and facilitates strategic dissemination to all stakeholders, supporting initiatives for building their skills and capacities.

INTRODUCTION

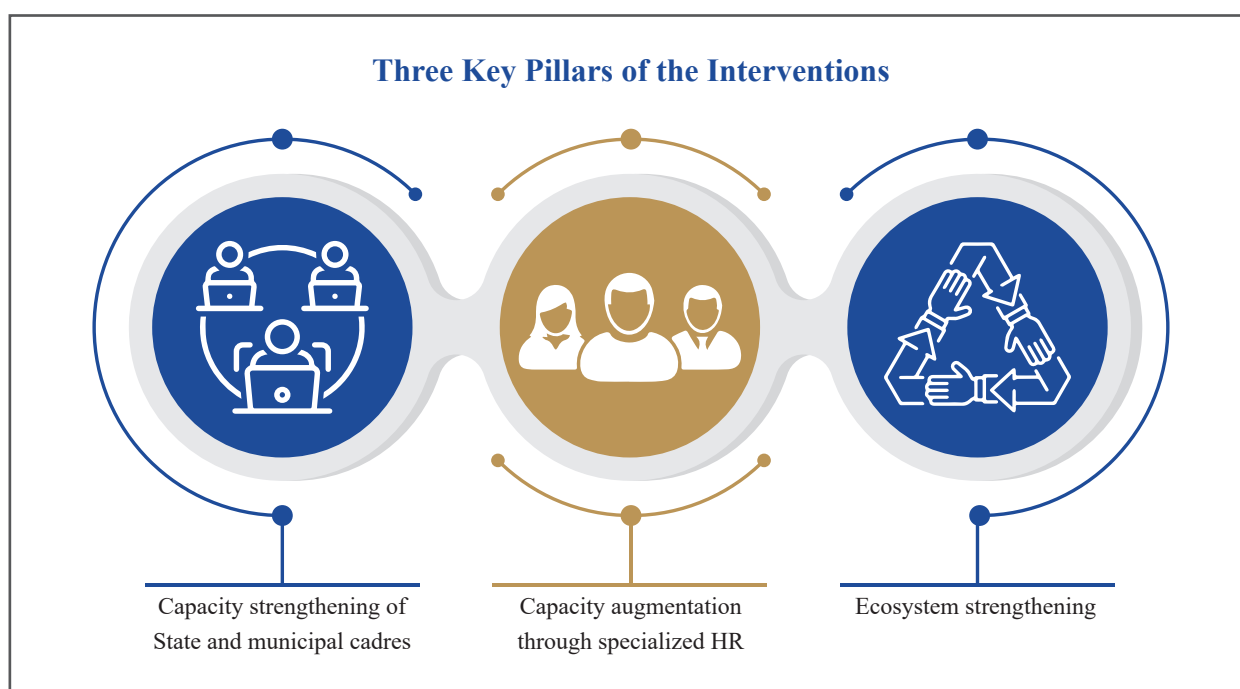
CHAPTER 2

The national framework envisions institutionalizing a streamlined and targeted approach towards capacity building and skill development interventions under SBM-U 2.0. While the capacity building approach under the first phase majorly focused on trainings across thematic areas of the Mission, SBM-U 2.0 adopts a holistic vision for strategically enhancing the capacities of all stakeholders in order to achieve sustained outcomes and realize the vision of a Garbage-Free urban India.

Interventions under capacity strengthening will focus on enhancing the capacities and skills of the existing cadres of officials at the state department and ULB levels. The pillar includes initiatives such as Human Resource Assessment, Training Needs Assessments (TNAs) for capacity building and skills gap assessment that will enable the estimation of the current human resources, the functionalities required for the future needs of the sector, identification of latent capacities, the performance requirements of the sector and the capacities, skills and knowledge

required to achieve the desired performance standards across stakeholders. Short- and long-term trainings are poised to play a pivotal role in enhancing the capacities of stakeholders to effectively plan, implement, monitor, and manage interventions across the focus areas of the Mission. The trainings will also ensure work efficiency and safety of the workers, enhancing the dignity of labour, and increasing their employability prospects by enabling each stakeholder with progression pathways within the sector. Further, the framework provides for facilitating exposure visits and enables peer-led cross learning for holistic capacity strengthening through amplification of best practices and key learnings of stakeholders from the Mission implementation.

The pillar of capacity augmentation envisions to strategically engage specialized human resources at the State and ULB levels to enhance the effectiveness and efficiency of Mission implementation. The framework provides for the establishment of Programme Management Units (PMUs) at the State/



UT levels for supporting the Urban Development Departments (UDDs)/equivalent or at the regional level for a cluster of ULBs, in the effective end to end management of SBM-U 2.0 across all ULBs. Further, the second pillar of the national framework will create new verticals and areas of engagement of professionals eager to create a positive and lasting change in the urban Water Sanitation and Hygiene (WASH) sector. Towards this endeavor, the framework has conceptualized the SBM-U City Managers for supporting the Municipal Commissioners/Executive officials in the end to end program implementation and management at the ULBs. Further, to proactively engage the youth of the country in taking forward the Mission mandate, the framework has provided for the Swachhata TULIP internship program. The program envisions the engagement of students from technical and managerial backgrounds to support the SBM-U City Managers and ULB officials in the Mission implementation. The internship program will provide a key opportunity for the students to apply their learnings on ground while also gaining valuable exposure in the implementation and management of urban WASH interventions and the urban governance ecosystems across the ULBs.

Ecosystem strengthening is the third key pillar of the national framework. In tandem with the focus on the cadre of officials and sanitation workers at the state and ULB levels, the framework also lays key emphasis on strengthening the overall ecosystem for capacity building and skill development.

As part of this, the framework conceptualizes several innovative institutional mechanisms, including the Centers of Excellence (CoE(s)), Chair Professorships, Swachhata Margdarshaks (Master Trainers nominated by States/UTs for a cluster of ULBs and trained by MoHUA on the Training of Trainers (ToTs) model across focus areas of the Mission), and the Swachhata Knowledge Partners (SKPs), who will be the centrally empanelled primary stakeholders responsible for the delivery of short-term trainings for capacity building. Further, the framework emphasizes upon the need to strategically strengthen Central Public Health and Environmental Engineering Organization, the technical advisory wing of MoHUA. The capacity building of CPHEEO officials will enable the scaling up of technical assistance to states/UTs and ULBs under the Mission. Research and Development in tandem with field assessments and academic studies in the sectors of sanitation and waste management will be another key component of the ecosystem strengthening pillar. The institutional mechanisms will play an instrumental role in promoting and scaling up the best-in-class research and development through strategic analysis of the implementation of the framework, policy advocacy, creation of knowledge products across thematic areas and promoting the exposure to international best practices. Hence, the ecosystem strengthening component of the framework will add to the holistic approach towards capacity building for Garbage-Free Cities.



IMPLEMENTATION APPROACH

CHAPTER 3

The following sections outline the key interventions for capacity building as envisaged by the National Framework and lay the roadmap for its effective implementation at the National, State/UT and ULB levels.

3.1 Approach for Capacity Building

Capacity building is intended towards building and scaling up capacities of elected representatives, officials of the state departments and ULBs, Non-Governmental Organizations (NGOs), voluntary organizations, educational institutes, etc.



Objectives of Capacity Building



Orienting the elected leadership through compact training modules about the key objectives of SBM-U 2.0 and areas of their possible intervention in order to promote effectiveness and efficiency of the programme.



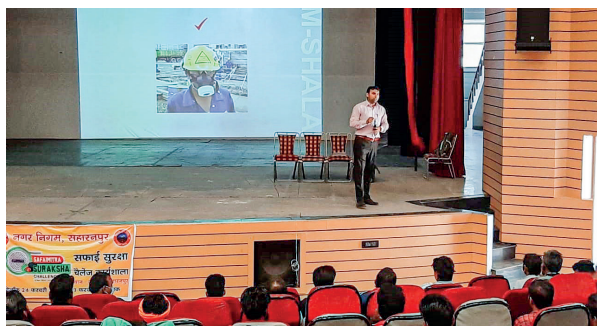
Strengthening the capacities of administrative executives at the State/UT and ULB levels for strategic planning and effective implementation of interventions under the Mission's focus areas. Additionally, the trainings will equip executives with strong monitoring and evaluation capacities to proactively assess the progress of their States/UTs and ULBs.



Building capacities of technical officials of the State/UT department and ULB, in planning, designing, implementing, managing, and monitoring interventions under SBM-U 2.0 across sustainable sanitation, solid waste management, etc.



Building capacities of NGOs, civil society, youth and voluntary organizations and educational institutes in the areas of community engagement and information education and communication (IEC) in order to take social behaviour change (Jan Andolan) for Swachhata to the last mile across urban India.



3.1.1 Human Resource (HR) Assessment

The Human Resource assessment will enable the estimation of the current Human Resource envelope existing with the States and ULBs. The assessment will be conducted at the national scale and will holistically identify the gaps and the enumeration of functionalities essential to enhance the overall service delivery in the sectors across the Mission towards achieving sustainable outcomes for all.

An agency shall be contracted by MoHUA to conduct the Human Resource assessment across State/UT Urban Development Departments and ULBs.

3.1.2 Training Needs Assessment (TNA)

The TNA will play a key role in creating a baseline understanding of the existing level of capacities of all target stakeholders, as well as the identification

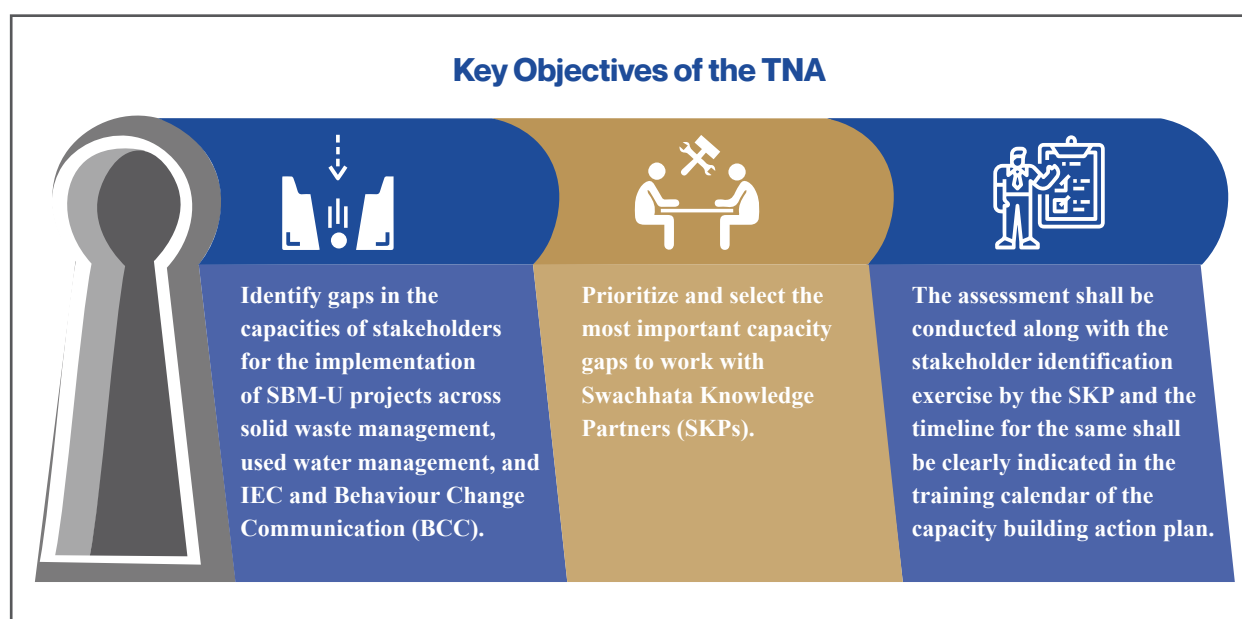
of key gaps to be addressed towards enhancing their capacities to the desired levels.

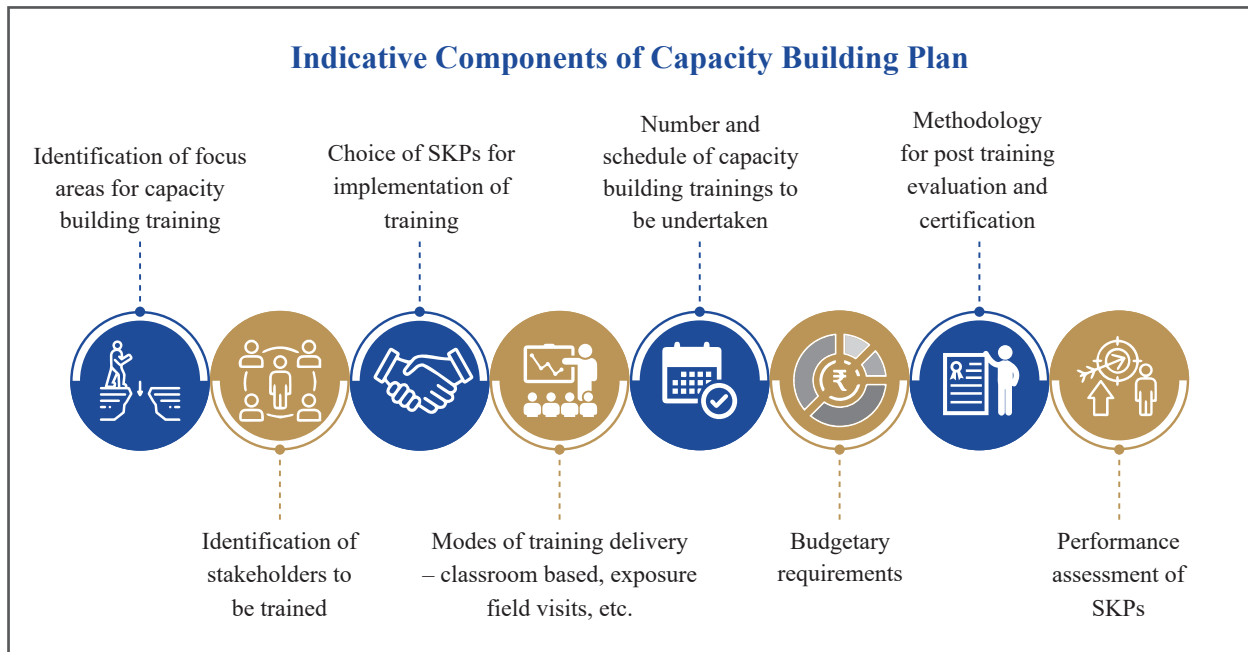
3.1.3 Short Term Trainings for Capacity Building

3.1.3.1 City Capacity Building Action Plan

A city capacity building action plan (see indicative template placed at annex III) is to be formulated by each City with population more than 3 lakh (or as analysed by the State Mission Director) based on their respective training needs analysis. The action plan should include the components of: an annual calendar of capacity building activities planned, SKPs identified and engaged to deliver the trainings, along with an indicative budget outlay for the capacity building activities. These plans will be included in the State Capacity Building Action Plan together with integrated capacity building plans for smaller ULBs, which may be developed at the state /cluster level. The consolidated plan is then to be vetted by the State Level Technical Committee (SLTC) and sent to MoHUA for approval at the beginning of every financial year.

The table on the next page highlights the key action items for each stakeholder for the capacity building framework set forth in the strategy.





Sl. No.	Key action item	Stakeholders responsible
1.	Preparation of capacity building action plans	ULBs with support from the State/UT (State/UT for small ULBs/clusters)
2.	Identification of the stakeholders	ULBs with support from the State/UT (State/UT for small ULBs/clusters)
3.	TNA	ULB (State/UT for small ULBs /clusters)
4.	Focus areas of training	States/UTs and ULBs
5.	Capacity building training	States and ULB level through SKPs
6.	Monitoring and evaluation	SKPs with reporting through the Swachhatam Portal
7.	Registration and empanelment of SKPs	MoHUA



3.1.3.2 Identification of Stakeholders

The table below includes an indicative list of stakeholders for capacity building that could be used by States/UTs and ULBs for this exercise.

3.1.3.3 Focus Areas of Capacity Building Training

The indicative subject areas to be focused on for CB training of stakeholders are outlined subsequently.

Sl. No.	Category	Stakeholders	Focus areas of Training/Awareness
1.	Elected representatives	<ul style="list-style-type: none"> Elected representatives at the state and district levels; Mayors and councillors at the ULB level. 	<ul style="list-style-type: none"> Orientation and sensitization towards the focus areas of the Mission; Effectively engaging with the public and officials in areas of SBM-U 2.0.
2.	Officials at State/UT and ULB levels	<ul style="list-style-type: none"> Mission directors and officials of State Urban Development Department and parastatal agencies; District Collectors; Administrative officials of the ULBs – Municipal Commissioner, Executive Officers, etc. 	<ul style="list-style-type: none"> Effective planning, implementing, managing, and monitoring of the key interventions and initiatives under their SBM-U 2.0.
3.	Executors/ implementers	<ul style="list-style-type: none"> Technical officials of ULBs including engineers of health, environment and forestry, state pollution control boards, public health engineering, water supply and sewerage boards, etc.; Health officers and sanitary inspectors from the ULBs; Project management and implementation units. 	<ul style="list-style-type: none"> Preparation of action plans (CSWAP, CSAP, capacity building, IEC); Enhanced understanding of certifications (ODF, ODF+, ODF++ and Water+), Swachh Survekshan, GFC and SafaiMitra Suraksha protocols; Planning and design of SWM and used water management; Planning and managing IEC and capacity building projects; Financial modelling for projects; Procurement; Management of funds; Effective reporting and monitoring of projects; Private sector engagement.
4.	Field-level institutions	<ul style="list-style-type: none"> Ward sabhas; Self-Help Groups (SHGs); NGOs, Community Based Organizations (CBOs), etc. 	<ul style="list-style-type: none"> Community engagement and sensitization for behaviour change for achieving Mission objectives.
5.	Others	<ul style="list-style-type: none"> Academic and training institutions; Incubation centres; Start-ups, innovators, etc.; Corporates and businesses. 	<ul style="list-style-type: none"> Awareness on the focus areas of SBM-U 2.0; Areas of collaborations and engagement with respective groups; Implement projects, IEC and capacity building activities at ULB level.

The State/UT/ULBs can build further on these, based on the local needs and context:

● **Leadership Training:**

- **Elected representatives:** The training will focus on orienting representatives with the core objectives of the Mission. The trainings will be directed towards community engagement to amplify awareness amongst the public, encourage ULB officials for the timely and efficient execution of projects and monitor the ground level progress of the Mission;
- **Executive officials of ULBs:** The training will build their capacities for effectively planning, implementing, managing, and monitoring the key interventions and initiatives under SBM-U 2.0.

● **Technical Knowledge and Resource Mapping:**

This is aimed at building the technical expertise of ULB officials through focused CB training. Key areas include:

- Long-term and refresher trainings for Public Health Engineering (PHE) officials at the Central, State and ULB levels;
- Preparation of comprehensive action plans (City Sanitation Action Plan, City Solid Waste Action Plan) for targeted interventions in focus areas;
- Training on guidelines, standards, codes, protocols, policies, etc. related to sanitation



and waste management– ODF, ODF+, ODF++, Water+, Swachh Survekshan and Star Rating Protocol for Garbage-Free Cities;

- Solid waste management: municipal solid waste, plastic waste, legacy waste and dumpsite remediation, construction and demolition waste management, etc.- best practices;
 - Used water management: Setting up of key sanitation infrastructure, appraisal of technologies, innovative models of used water reuse;
 - Training on reporting in the Swachhatam portal Geographic Information System (GIS) module and other digital tools developed at the central level;
 - Financial modelling of the technical projects and procurement (preparation of DPRs, tender documents and use of online platforms);
 - Exploring and adapting new means and instruments of financing;
 - Financial management and reporting of funds under the Mission;
 - Appraisal of new technologies for adaptation;
 - Best practices on adaptations to climate change and risk-informed planning, highlighting the link between improved sanitation and environmental sustainability to be included across thematic areas;
 - Use of renewable energy from sustainable sanitation systems by engaging multiple ULBs and achieving scale.
- **IEC and BCC:**
- Orientation on key BCC and citizen engagement wactivities planned under SBM-U 2.0;

- Strategizing and planning the implementation of contextualized IEC/BCC campaigns;
 - Development of IEC collaterals;
 - Mass media and social media management.
- **Monitoring and Evaluation:**
 - Effective monitoring of the progress of states and ULBs under various Mission components;
 - Monitoring of the engagement and performances of key HR, including last mile service providers in enhancing the overall cleanliness and sanitation in ULBs;
 - Continuous monitoring of the performance of ULBs in Swachh Survekshan, Star Rating Protocol for Garbage-Free Cities and SafaiMitra Suraksha;
 - Fund utilization and submission of financial reports to the state and centre;
 - Appropriate actions/corrective measures based on gaps highlighted by different online and offline grievance redressal platforms, such as the Swachhata App.
- **Social Protection of Sanitation Workers:** Trainings directed towards sensitizing and enabling the key officials to proactively take measures for creating a safe occupational space for front-line sanitation workers and SafaiMitras. The trainings will also orient the officials towards key laws, protocols, guidelines, welfare schemes and initiatives available for workers and hence develop their capacity to become guides for ensuring social protection and upliftment. The underlying theme of this training component shall be to equip key stakeholders to prioritize and enhance the safety and dignity of sanitation workers.

3.1.3.4 Training Delivery Partners for Capacity Building

The national framework envisages support of relevant Capacity Building Organizations and institutions for delivery and end to end management of the capacity building trainings. In this regard, the concept of Swachhata Knowledge Partners (SKPs) has been conceptualized to play the pivotal role in design, implementation, and evaluation of the CB trainings to be conducted across the country. States and ULBs shall engage with the SKPs and drive forward capacity building trainings and initiatives to suit their context and local needs. SBM-U 2.0 Operational Guidelines has envisioned the empanelment of organizations, institutions and experts as Swachhata Knowledge Partners (SKPs) under subsection 9.7 of SBM-U Guideline to support and design training modules, workshops, knowledge sharing exercises and other capacity-building avenues. The SKPs will be the primary stakeholders supporting the States and ULBs in the conduct of the capacity building trainings.

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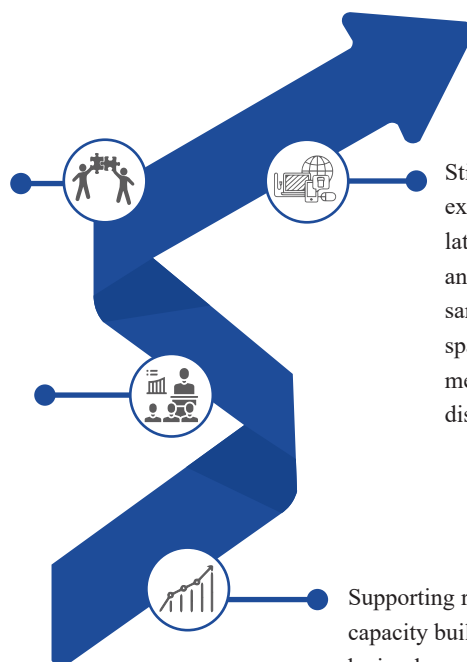
The SKPs will be shortlisted and empanelled by MoHUA at the national level (in accordance with the procedures laid down), and the States/UTs and ULBs may engage SKPs from this consolidated national pool at their level for their respective capacity building needs and training programmes. The CB training cost would be admissible under the SBM-U capacity building funds.



Objectives Envisioned to be Achieved through the SKP Model

Developing and organizing knowledge-sharing activities, field exposure visits and other mechanisms which can be leveraged to promote cross-learning of stakeholders

Designing best in-class training material, modules, and curriculum which is contextualized to the training needs of the ULBs



Stimulating the learning and exposure of stakeholders to the latest technologies, innovations, and best practices in the sanitation and waste management space by developing various means and methods of knowledge dissemination and training

Supporting rapid upscaling of the capacity building programmes to be implemented at the national, State/UT and ULB levels

3.1.4 Long-term Training Programmes for Capacity Building

I. Training Programmes for PHE Officials

PHEs and officials play a key role in the effective implementation of the Mission by way of technical advice, guidelines, scrutiny and appraisal of the schemes and propagation of new technologies in the field of water supply and sanitation, including municipal solid waste management. Towards this, there is a pertinent need to continuously build the capacities of the PHE officials in global best practices, emerging technological solutions, and models of value chains for urban WASH and waste management.

MoHUA will scale up the existing training programme by the Central Public Health and Environmental Engineering Organization (CPHEEO), Government of India (GoI) for PHE officials to engage in long-term programmes, such as advanced master's degrees

and PhD in the field of urban sanitation and waste management. The officials for such courses shall be recommended by their departments (at the central or the State/UT levels) and the training programmes shall be funded by MoHUA, GoI, via funds admissible under the header of capacity building for the Mission. Further, the training programme shall also include short-term refresher courses and programmes at leading institutes in the technical and managerial domains. The training programmes will be tailored to align with their niche areas of work and strategically build their technical and leadership abilities to effectively augment the key interventions and initiatives under SBM-U 2.0. The training programmes will also entail exposure visits, both domestic and international, that would promote knowledge-sharing in the global urban WASH and waste management ecosystems.

The training programmes shall be funded via the central capacity building funds.

II. Specialized Courses Offered via Centre(s) of Excellence (CoE(s))

The COE(s) set up under SBM-U 2.0 will offer specialized tailor-made courses such as advanced diplomas, certificate courses and master's degrees aligned to sanitation and waste management. The States/UTs shall nominate officials from the UDD and ULBs to pursue these long-term courses. The expenses incurred shall be admissible under the state capacity building funds.

3.1.5 E-resources Enabled Learning and Development

I. SBM-U e-Learning Portal

The SBM-U e-Learning platform has been developed by MoHUA as an end-to-end digital solution to enable the training of ULB officials across India. The platform presently hosts over 179 learning modules on various thematic areas covering sanitation and waste management. The platform emerged as a success during the first phase of the Mission, as more than 90,000 municipal employees and other users actively used the platform and successfully completed over 8.8 lakh certifications (including 7.56 lakh certifications to government employees).

Features of the SBM-U eLearning Portal

1 Self-paced interactive e-learning modules, and an algorithm to display the most relevant modules to the stakeholder based on their job roles

2 Escalated model of e-learning wherein the learners will progress to the next level upon completing all modules of one level

3 Certifications for recognizing the successful completion of courses and special recognition to the most active and expert learners who have completed all courses



Under SBM-U 2.0, a new version of the SBM-U eLearning portal will be launched. The new portal will have an enhanced user interface and design in order to enable a seamless experience for the stakeholders accessing it.

II. Collaboration with Mission Karmayogi

Among the key stakeholders playing a pivotal role in the planning, implementation and management of the Mission are officers from the civil services. The officers occupy positions of strategic importance, guiding their States/UTs and ULBs to take a streamlined and focused approach to achieve sustainable outcomes under the Mission.

Mission Karmayogi by the Department of Administrative Reforms and Public Grievances, Ministry of Personnel, Public Grievances and Pensions aims to build the overall capacities of officers across civil services and enable them to undertake continuous learning and development for new progression pathways. The Mission includes the development of the Integrated Government Online Training (iGOT) platform, which shall serve as a comprehensive online repository of course and blended learning programmes, which the officers shall undertake as part of their learning and development. The platform will also enable the management of the officers' records of learning.

As part of the knowledge management component of the national framework, the knowledge products and learning modules developed under SBM-U 2.0

will also be integrated and uploaded onto the iGOT platform to enable the capacity building of civil service officers in the areas of urban WASH encompassing sustainable sanitation, solid waste management, used water management and IEC/BCC interventions for community engagement. Additionally, the best practices of Mission Karmayogi shall be adapted and integrated with the SBM e-Learning platform and the larger capacity building approach.

3.1.6 Capacity Augmentation Initiatives

SBM-U 2.0 envisages the strategic augmentation of the existing cadre of officials at the State and city level, with specialized human resources to facilitate an effective implementation of the Mission mandate. Under this pillar, the framework provides for a 3-pronged approach. The details of the initiatives for capacity augmentation have been outlined in the section below.

3.1.6.1. State Level Programme Management Unit (SPMU)

A dedicated Program Management Unit (SPMU) is to be set up at the State/UT level to ensure effective implementation of the SBM-U 2.0. The composition of the SPMUs are to be in accordance with the provision for the same as laid down in section 9.14.2 of the Operational Guidelines. Parastatal bodies supporting ULBs in implementation of Mission

components may be supported with human resources from the PMU as per the requirements. The State/UT shall have the flexibility of expanding the SPMU with additional specialists based on their specific requirements. The State/UT is required to identify a capacity building and skill development focal point from the SPMU to carry this framework forward.

3.1.6.2 SBM-U City Managers

For a robust on-ground implementation of the programmatic interventions across the focus areas of the Mission, the framework has conceptualized the ‘SBM-U City Managers’ initiative. As part of this, dedicated personnel shall be recruited and deputed across all ULBs to play an instrumental role in supporting the City Municipal Commissioners/ Executive Officials to plan, design, implement, monitor and manage the Mission’s progress.

These selected SBM-U City Managers, who would be individuals possessing a post graduate degree and a minimum of 3 years of relevant experience in the subjects and lines of work aligned with the focus areas of the Mission, would be shortlisted, and selected at the national level via due processes established by MoHUA. States/UTs shall then constitute suitable mechanisms to engage the nationally empanelled SBM-U City Managers and deploy them across the ULBs of the State/UT.

State Level PMU (With more than 100 UIBs)	State Level PMU (With less than 100 UIBs)
1. SWM Expert -1	1. SWM Expert -1
2. Waste-water Expert -1	2. Waste-water Expert -1
3. Procurement Specialist -1	3. Procurement Specialist -1
4. Capacity Building Specialist -1	4. Capacity Building Specialist -1
5. IEC Specialist -1	5. IEC Specialist -1
6. M&E Specialist -1	6. IT and M&E Specialist -1
7. IT Specialist -1	7. Additional Specialist -1 (As per requirement)
8. Documentaion Specialist -1	
9. Additional Specialist -1 (As per requirement)	

The key responsibilities of the SBM-U City Managers will include:

- Develop a sound understanding of the regional and contextual challenges and priorities of the ULBs under the Mission and leverage that knowledge and understanding to devise and deliver targeted solutions and support for the achievement of sustainable outcomes;
- Monitor development and implementation of CSAP and CSWAP;
- Ensure proper financial management for effective and timely utilisation of funds;
- Ensure effective logistics management for efficiency in sanitation services;
- Handhold the ULBs through Certifications and initiatives including ODF, ODF+, ODF++, Water+, Swachh Survekshan, SafaiMitra Suraksha and Star Rating for Garbage Free Cities;
- Develop knowledge products in the form of SOPs, analysis reports, and compendiums by identifying relevant best practices and case studies across the focus areas of the Mission and aligned with the interventions undertaken by the ULBs;
- Undertake field/site visits to identify gaps and suggest mitigation strategies for the operations undertaken by the ULBs;
- Innovate and support the implementation of citizen and community engagement by developing IEC/ BCC campaigns.

The terms of engagement including details on the eligibility criteria, length of the contractual engagement, remuneration etc. shall be endorsed in the detailed program guidelines to be formulated and disseminated by MoHUA. The expenditure incurred on the SBM-U City Managers shall be admissible under the capacity building funds available under SBM-U 2.0.

3.1.6.3 Swachhata TULIP Interns

The internship program has been conceptualized to engage students from bachelor's and master's programs across technical and non-technical streams

and to channelize their fresh ideas, perspectives, and energy towards the implementation of the Mission. The internships will be integrated and offered through the TULIP platform, which is a joint initiative of MoHUA and the Ministry of Education. The interns will be engaged at the State/UTs and ULBs and will work closely with the officials and SBM-U City Managers in the management and monitoring the interventions and initiatives.

The internship program will provide the students with the opportunity to get a hands-on exposure to the key actors, institutions and processes of the urban sanitation, waste management and used water management ecosystem. Through the internship program, the students will be able to apply their theoretical learnings in practical contexts. The ULBs shall engage the interns in:

- Development and implementation of IEC/BCC initiatives;
- Scale up community engagement;
- Progress monitoring of sanitation, solid waste management and used water management infrastructure;
- Assist the ULB in onboarding onto the GIS module and GIS mapping;
- Management and scaling uptake of the Swachhta App in the ULBs.

The ULBs will shortlist and onboard the interns via the framework established as part of the TULIP program. Each ULB is encouraged to engage at least 2 interns each year for a period of 2 months. The expenditure on the interns shall be admissible under the Capacity Building funds available to the ULB under SBM-U 2.0.



3.1.7. Ecosystem Strengthening in Capacity Building

The following section outlines the initiatives conceptualized to strengthen the ecosystem for capacity building under SBM-U 2.0.

3.1.7.1. Centre(s) of Excellence

With the scale and complexity of urban sanitation, specialised capacity building measures are required to enhance and strengthen the pre-existing institutions under SBM-U. This may be done by linking the capacity building, skill development and knowledge management efforts of the National, State and ULB administrations with quality institutions in the urban WASH sector at the national levels.

It is proposed that Centre(s) of Excellence may be established at the national level, under SBM-U 2.0. Proposals would be invited from leading academic and technical institutes and research organizations with the prominent experience and expertise in leadership development, research and innovation, solid waste management, sustainable sanitation, used water management, IEC/BCC and capacity building.

The key objectives of the Centre(s) of Excellence (CoE(s)) will be as follows:

- The Centre(s) of Excellence will play a pivotal role in providing the best-in-class capacity building and leadership training to elected representatives, State Mission Directors and senior officials from the State Urban Development Departments and Urban Local Bodies;
- CoE(s) would provide policy advocacy and guidance on the advancement of the capacity building framework at the national level;
- They would act as hubs for cutting edge research on the best practices across sanitation and waste management. Support in the creation of learning modules and knowledge products to guide States/UTs and ULBs to effectively plan, implement, manage, and monitor their programmatic interventions across the focus areas of the Mission;

- The CoE(s) may include technical committee for innovations or have their own hubs – incubator of best practices and innovations;
- CoE(s) would collaborate with international development partners, academic organizations and institutes to scale up exposure visits, knowledge sharing and dissemination of the best in-class emerging solutions and models for sanitation, across India;
- CoE(s) would promote cross learning and dissemination of best practices and solutions across urban sanitation and waste management;
- CoE(s) would undertake reviews of the capacity building and skill development efforts being undertaken at the national and state level.

MoHUA shall identify eminent institutes of national importance for establishing CoE(s). The funding of the CoE(s) will be via the central Capacity Building funds of SBM-U.

3.1.7.2. Chair Professorships

Chair Professorships are proposed to be set up at the institutions of national and regional repute based on their relevant expertise and experiences, such as the IITs, the IIMs, and other social science academic-cum-research institutions working in various areas related to urban sanitation. They would undertake projects to support the focus areas under the Mission.

The salient features of the Chair Professorships are as follows:

- Undertake cutting-edge research across the technical focus areas of SBM-U 2.0;
- Promote innovation via appraisal and dissemination of best practices, unique models of service delivery, and technology solutions for urban sanitation and waste management;
- Design and deliver specialized modules for advanced CB training of stakeholders;
- Provide on-demand consultancy services for CB of stakeholders at the ULB, state and national levels;

- Undertake periodic assessments of the national framework for CB and its impact in order to suggest upgradations aligned with the latest needs and trends of the sectors in India;
- An annual research grant would be established at MoHUA to ensure quality of work output assigned to the Chair Professorships as per the guidelines;
- A clear system for online performance appraisal would be introduced for incorporation along with an Annual Action Plan for the Chair Professorships.

MoHUA shall identify leading academic and technical institutes and research organizations with prominent experience and expertise in leadership development, research and innovation, solid waste management, sustainable sanitation, used water management, IEC/BCC and capacity building, for establishing Chair Professorships.. The funding of the Chair Professorships will be via the central Capacity Building funds.

3.1.7.3. Swachhata Margdarshaks

“Swachhata Margdarshaks” (Master Trainers) have been nominated by the States/UTs and would be trained by MoHUA through SKPs across all functional components and focus areas of the Mission. The intent of the model is to holistically build an internal cadre of professional trainers as a key resource for the states and ULBs for all areas under the ambit of the Mission. The salient features of the Swachhata Margdarshaks model are outlined below:

- Swachhata Margdarshaks are nominated officials from the state UDDs, ULBs and PMUs/PIUs;
- 1000+ Swachhata Margdarshaks been nominated by States/UTs across India and have undergone intensive trainings implemented by MoHUA for Swachh Survekshan and Star Rating for Clean Cities;
- Swachhata Margdarshaks are being trained by MoHUA through national level workshops in:

- Certifications and assessments, including Swachh Survekshan, Star Rating for Garbage-Free Cities and SafaiMitra Suraksha;
- Use of the latest digital tools and apps developed for the Mission;
- Best practices in the implementation of initiatives;
- Monitoring and reporting.
- Swachhata Margdarshaks will act as key resource persons and trainers to ULBs and provide handholding support for all components under the ambit of the SBM-U 2.0;
- Swachhata Margdarshaks will train the concerned personnel of the designated ULBs for all activities, programmatic interventions, and initiatives under the ambit of the Mission;
- Swachhata Margdarshaks are envisioned to be the key interface between MoHUA and the States/UTs and ULBs for facilitating effective alignment and coordination for the Mission;
- SKPs engaged by MoHUA from the national pool will deliver the trainings for Swachhata Margdarshaks through the year;
- MoHUA will conduct post-training evaluations, gather feedback, and conduct quarterly review calls to ensure the quality and impact of the trainings towards the sustainability of the model.

3.1.7.4. Mentorship Programme for States/UTs and ULBs

An innovative mentorship programme is envisaged to be implemented across the States/UTs. The programme will be designed to strategically engage superannuated senior government officers and leading experts to lend their valuable experience and expertise to guide the States/UTs and ULBs under the Mission. The mentors will be a key interface between the Centre and the States/UTs. As part of this, the mentors will be conducting field visits and discussions with the State/UT administrations and

ULBs with the dual objective of identifying their key challenges and constraints in effective Mission implementation, and reporting on their progress to the Centre as independent observers. The modalities of the programme shall be developed by MoHUA and will be rolled out across the country.

The mentors will be provided with TA/DA as per government norms. The expenditure shall be admissible under the central capacity building funds under SBM-U 2.0.

3.1.7.5 Inter-Ministerial Collaborations

MoHUA shall strategically collaborate with the Department of Drinking Water and Sanitation (DDWS), Ministry of Jal Shakti, Ministry of Skill Development and Entrepreneurship, Ministry of Education, Ministry of Youth Affairs and Sports, and other ministries and government organizations to scale up initiatives aligned with their focus areas and aimed at stakeholders at the convergence of the mandate of the ministries. The key collaborations will play a pivotal role in leveraging the expertise of the ministries in their specialized fields of work towards contextualizing capacity building and skill development for the urban sanitation and waste management sector in India. MoHUA will explore partnerships to integrate convergence and better acceleration for the Mission by leveraging the larger pool of resources and expertise with other government stakeholders.



3.1.7.6 International Collaborations

MoHUA shall proactively engage with foreign governments, multilateral organizations, international funding agencies, and other development sector organizations engaged actively in the urban WASH and waste management ecosystem. The collaborations will be aimed towards strategically aligning the stakeholders to the Mission's objectives and leverage their support in augmenting the capacities of the National Mission Directorate, States/UTs and ULBs. This will focus on international exposure visits and short-term trainings and courses in collaboration with International institutes of repute for understanding and replicating global best practices. The support shall encompass technical assistance, grants, exposure visits, short-term trainings and courses, webinars and documentation for sharing of global best practices and supporting the scaling up of IEC, CB and knowledge management interventions in urban sanitation and waste management along with handholding support to States/UTs and ULBs in their niche areas of expertise in tandem with the Mission's focus areas.

3.1.7.7 Strengthening of CPHEEO

The Central Public Health and Environmental Engineering Organization (CPHEEO) is the technical advisory wing of MoHUA for sanitation including scientific waste management. The national level organization comprises of specialists in public health and environmental engineering and plays a key role in formulating technical advisories, SOPs, and guidelines on scaling of technologies and best practices in the sectors.

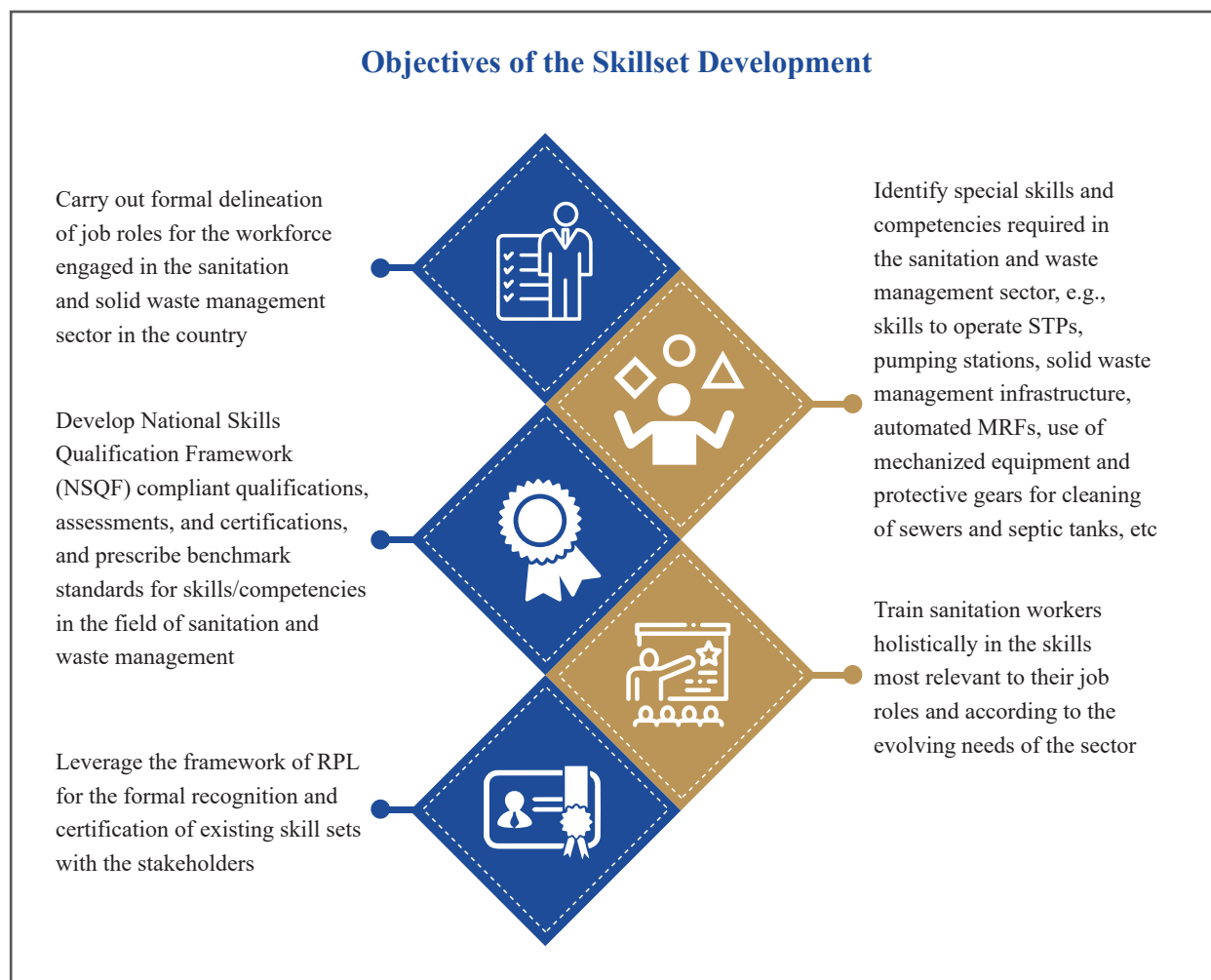
The National Capacity Building Framework envisages interventions for strengthening of CPHEEO for augmenting the robust implementation of the Mission. The framework adopts a 4-pronged approach for this. The existing gaps in human resources at CPHEEO will be reduced by filling of vacancies on the sanctioned posts. Secondly, the CPHEEO shall be restructured to align to the evolving needs of the sanitation and waste management ecosystem of the country. Thirdly, there will be a key emphasis on the capacity building of CPHEEO officials via exposure

visits, technical training workshops for enhancing their exposure to international best practices and models of success along the sanitation and waste management value chain. The capacity building will also enhance the Technical Assistance provided by CPHEEO to the States/UTs and ULBs in the effective implementation of the Mission’s interventions. Further, an incentivization framework has been conceptualized to encourage CPHEEO officials to undertake studies and research across the focus areas of the Mission.

3.2 Approach for Skill Development

There is a need to create a pool of skilled HR in the field of sanitation and waste management for effective implementation of the Mission components. The key premise of the skill development component of the

national framework is to enable the development of a skilled workforce with nationally benchmarked, certified and accredited skills, which is then able to drive efficient implementation of the Mission. The national framework envisions skilling sanitation workers with the relevant skill sets so as to enable them to work efficiently and safely, thereby crafting a safe occupational ecosystem for urban sanitation and waste management across the country. Skill development of the workforce engaged in sanitation and waste management would lead to significant employment opportunities and has emerged as a new area for effective service delivery, particularly for the staff working in actual service delivery such as waste collection, categorization, segregation, handling of hazardous waste, landfill management, Sewage Treatment Plants (STPs), etc.



Under the national framework, skill development is targeted towards improving the work efficiency of sanitation workers through short and medium duration trainings aimed at building them into a professional force equipped with relevant skillsets and the know-how to undertake sanitation and waste management activities safely and efficiently. The trainings are expected to ensure work efficiency and workers' safety, along with enhancing the dignity of labour and boosting their employability prospects by enabling progression pathways for each stakeholder within the sector.

MoHUA will collaborate with the Ministry of Skill Development and Entrepreneurship (MSDE) and National Skill Development Corporation (NSDC) for facilitation and roll-out of the skill development component at the national level under SBM-U.

The States/UTs and ULBs will also collaborate with empanelled training and assessment agencies

of MSDE, NSDC and the State Skill Development Mission (SSDM) in order to implement skill development training at the ULB level.

3.2.1 Short-Term Trainings for Skill Development

3.2.1.1 Skill Gap Assessment

States/UTs and ULBs are encouraged to complete Skill Gap Analysis at the State/UT and ULB level in collaboration with relevant professional agencies. A Skills Gap Assessment study shall also be initiated at the National level in partnership with MSDE, NSDC, and Sector Skill Councils (SSC).

3.2.1.2 Identification of Stakeholders and Focus Areas of Training

An indicative list of stakeholders for skill development under SBM-U 2.0 is given in the below table.

Sl. No.	Indicative Stakeholders	Focus Areas requiring Skill Development Trainings
1.	Sewermen/Sanitary Beldars/ Sewer Entry Professionals	<ul style="list-style-type: none"> • Sewer entry/confined space entry; • Cleaning of drains; • Desludging of septic tanks; • Usage of Personal Protective Equipment (PPE)/safety gear as per SoPs; • Entrepreneurship.
2.	Conservancy Staff	<ul style="list-style-type: none"> • Segregated waste collection; • Waste transportation; • Safe disposal of waste; • Daily upkeep and maintenance of community and public toilets as per SoPs; • Usage of PPE.
3.	Treatment Plant Operators (various roles)	<ul style="list-style-type: none"> • Solid and liquid waste processing and disposal as per SoPs; • Regular upkeep and maintenance of machinery; • Maintaining records of waste received and processed; • Usage of safety gear as per SoPs.
4.	Vehicle/Plant Operators	<ul style="list-style-type: none"> • Operation of desludging vehicle/waste collection vehicle as per SoPs; • Usage of safety gear as per SoPs.
5.	Waste Pickers/Scrap Vendors/ Kabbadiwalas/(informal sector workers)	<ul style="list-style-type: none"> • Waste collection and segregation; • Establishing forward linkages to the waste received to facilitate the reuse/recycling of waste.

Key Guidelines for Engagement with Skill Development Training Providers



Skill development training should only be imparted by the above recognized training providers.

The development of course curricula, training modules and training material shall be undertaken at the national level, in partnership with the MSDE and selected skilling institutions based on the subject. The NSDC and SSCs shall play a key role in quality assurance over the course of development of the training material.



Simultaneously, States may undertake skill trainings through SSDM based on indicative subject areas for identified stakeholder groups.

3.2.1.3 Training Delivery Partners

The Skill Development Training Partners will deliver skill development training programs. The Training Partners will comprise of training organizations and institutes recognized by Central and State/UT governments. The States/UTs and ULBs will be able to engage the Training Partners suiting their training needs and context.

Towards this, organizations and institutes recognized at the central and state levels by the following, may be empanelled as Skill Development Training Partners:

- MSDE;
- NSDC;
- SSDMs;
- SSCs;
- Industrial Training Institutes (ITIs);
- Any other Government-empanelled training provider.

Assessment and Certification – All the trainees/ sanitation workers undergoing skill development trainings will need to be evaluated as per the recognized assessment protocols established by MSDE, NSDC or SSDMs, SSCs. All trainees/ sanitation workers who have successfully completed the assessments will be certified.

3.2.2 Recognition of Prior Learning

Recognition of Prior Learning (RPL) is a unique feature in the national skill development framework which seeks to provide a robust certification to the skills possessed by an individual. RPL certifications will play an instrumental role in establishing credibility on endorsed skills, leading to more opportunities and progress pathways opening up for the personnel, and the ULBs getting access to a pool of skill certified personnel.

Under the national framework for skill development for SBM-U 2.0, RPL is of key significance to institute a mechanism to formally accredit and align the skills and qualifications of the key stakeholders (often acquired informally or hereditary) engaged in the sector, with the NSQF.

The process of undertaking RPL is as follows:

- ULBs generate awareness amongst sanitation workers to create interest and motivate them to enroll in the RPL process;
- Existing skills are assessed through recognized skilling institutions in alignment with NSDC's/ SSC's pre-assessment format;
- Orientation trainings to be done through empanelled skilling institutions at the ULB level;
- Up-skilling training of sanitation workers through bridge courses may be undertaken as per need;
- RPL certifications to be awarded to the sanitation workers who have fulfilled the requirement.



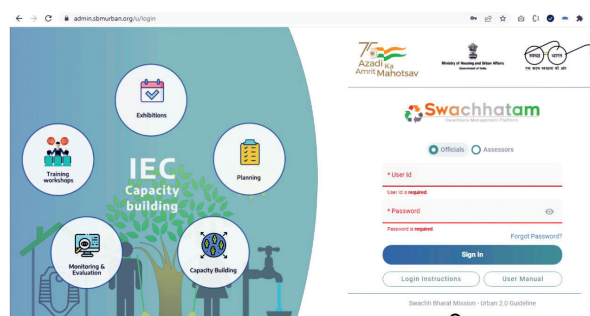
MONITORING AND EVALUATION (M&E)

CHAPTER 4

Active monitoring is important to assess strategy implementation efforts, effectiveness of the trainings delivered and to receive feedback from all stakeholders. Evaluation of the data being generated can support regular updating of Capacity Building and Skill Development approaches. A comprehensive module for the M&E of capacity building, skill development activities shall be developed and integrated in the national MIS – Swachhatam portal. The module will be open for State/UT and ULB level focal points to report regular and consistent data against the progress indicators formulated for each of the thematic areas relevant to assessing the effective implementation of capacity building and skill development. Urban Local Bodies would need to capture and report all data related to Capacity Building and Skill Development for regular reporting under Swachhatam Portal. States/UTs will be monitoring the data submitted by ULBs on regular basis and will also add additional data

points for activities conducted at State and regional level. States/UTs and ULB shall report their progress against the indicators outlined below.

Once the module has been launched, the State/UT and ULB and State/UT focal points will be provided guidance on how to report data against the various thematic area indicators (as listed above). This information will be aggregated at the national level in the Swachhatam portal.



Component of Framework	Key Thematic Area for Monitoring and Evaluation	Data Generators
Capacity Building	<ul style="list-style-type: none"> • Directory of the SKPs engaged to conduct the trainings; • Swachhta Margdarshaks active across the State/UT; • Initiatives implemented for actively engaging the Swachhta Margdarshaks; • Stakeholders trained via different modes; • Focus areas covered in trainings; • Expenditure on the training programs; • Aggregated feedback provided after trainings, via e-portal and physical; • Number of stakeholders attaining certifications through the eLearning portal; • Number of officials engaged through exposure visits under Peer Learning initiative; • Photos and videos of ongoing efforts (trainings, workshops, etc.); • Documentation of best practices. 	ULBs, SKPs, with regular review at the State/UT level
Skill Development	<ul style="list-style-type: none"> • Stakeholders trained; • Focus areas identified for training; • RPL certifications provided by skilling institutions; • Expenditure on the training programmes; • Aggregated feedback provided after trainings. 	ULBs, regular review at the State/UT level

FUNDING

CHAPTER 5

5.1 Budgetary Allocations

The budgetary allocations for undertaking capacity building and skill development at the State/UT and ULB level have been provided in the Operational Guidelines of SBM-U 2.0. Please refer to section 2.2.5, section 9.15 and Annex 4 of SBM-U 2.0 Operational Guidelines for details of funding mechanism and state-wise allocation of funds for capacity building and skill development under SBM-U 2.0. Relevant sections of the Operational Guidelines have been annexed for easy reference in this document.

- A total of 3 per cent of the total allocation for SBM-U 2.0 project components is earmarked for the component of capacity building and skill development;
- The State/UT-wise allocation of Central funds under SBM-U 2.0 for capacity building and skill development is attached;
- A City Capacity Building and Skill Development Action Plan is to be formulated at the ULB level. Subsequently, the State/UT shall prepare a State Capacity Building and Skill Development Action Plan based on consolidation of all plans submitted by the ULBs, which will then be vetted by the State Level Technical Committee (SLTC) and sent to MoHUA for approval at the beginning of every financial year;
- The disbursement of central assistance will be as follows: 1st instalment of 40 per cent of allotted central share from MOHUA will be released to the State/UT, provided the entry conditions as specified in Section 4.2 of the Operational Guidelines and the following additional conditions are satisfied:
 - SHPC/SLTC-approved CB action plan for the State/UT has been submitted (See Annex 8 of the Operational Guidelines).
- The 2nd instalment of 60 per cent of allotted central share from MOHUA will be released to the State/UT, provided the following conditions are satisfied:
 - 40 per cent of identified state officials/parastatal officials/ULB officials have been trained (in some format of training);
 - 40 per cent of sanitation workers identified for skill development have completed training;
 - All informal sector workers (including those in sewer and septic tank cleaning) have been identified and integrated by the ULBs;
 - City certified ODF+;
 - City certified at least 1-star with 60 per cent source segregation.
- At least 50 per cent of this fund in each annual plan, as approved by the SHPC/SLTC, must be transferred to the ULBs for activities at the ULB level.



5.2 Components Eligible for Funding

To create institutional capacity to effectively implement programmatic interventions to achieve the mission objectives, the SBM-U 2.0 Operational Guidelines list the following components that would be eligible for funding:

- National level

A part of the overall CB funds would be retained by MoHUA for the following:

- Establishing CoE(s);
- Funding Chair Professor positions in selected academic institutes and selected areas of expertise;
- Training of PHE officials and technical staff of MoHUA;
- Engaging knowledge partners, empaneling and hiring professional organizations to provide handholding and capacity building support to States/UTs and ULBs; Empanelment of Swachhata Knowledge Partners (SKPs);
- Funding for SBM-U City Managers to be deployed at ULB level;
- Creating and maintaining the e-Learning portal and Virtual Sanitation Museum;
- Hiring of technical experts and professional agencies for smooth implementation and maintenance of ICT initiatives, creating videos and documentation for good practices, conducting national/international exposure visits, etc.;
- Funding innovative pilots/startups as identified by relevant expert committees (subject to the approval of NARC);
- Organizing workshops and lectures;

- Procuring third-part vendors for field assessments and certifications for Swachh Survekshan, ODF+/ODF ++/Water+ protocols, Garbage-Free Star Rating protocols, etc.;
- Procuring Mission Management Unit (MMU);
- Hiring interns for supporting the SBM-U 2.0 at various levels;
- Creating and supporting digital outreach tools such as the Swachhata App 2.0, Swachh Manch 2.0., etc.;
- Skill development activities as required; conducting National Skill Gap Assessment, development of NSQF complaint qualification and training modules, skill development training, etc.;
- Any other activity required for creating institutional capacity.

- State/UT level

The following components at the State/UT level are eligible for CB funding:

- Procuring PMU at the State/UT level;
- Funding for Swachhata Margadarshaks;
- Hiring SKPs and technical institutions for capacity building training at the State/UT and ULB levels;



- Conducting Skill Gap Analysis, development of skill development training modules;
 - Hiring skill development training institutes for conducting skill development training;
 - Procuring vendors/agencies for Information and Communication Technology (ICT) initiatives, social audits, conducting workshops, lectures, exposure visits, etc.
- ULB level
- The following components at the ULB level would be eligible for CB funding:
- Hiring SBM-U City Managers for augmenting internal human resources;
 - Hiring SKPs and technical institutions for capacity building training;
 - Conducting skill gap assessment, development of skill development training modules;
 - Hiring skill development training institutes for conducting skill development training;
 - Procuring vendors/agencies for ICT initiatives, social audits, conducting workshops, lectures, exposure visits, etc.



CHAPTER 9 OF THE SBM-U 2.0 GUIDELINES

ANNEX 1

9.1 Urban Local Bodies (ULBs) are mandated by the Constitution of India, under Twelfth Schedule, to carry out functions related to water supply and sanitation. The first phase of the Swachh Bharat Mission was successful in meeting its aims and objectives to make India an ODF country, but also brought to light qualitative and quantitative shortfalls in the capacities of the key personnel engaged in the implementation of the Mission. With the launch of SBM-U 2.0, it has become imperative to develop a cadre of professionals at the ULB level and also at the State level to work towards the specific objectives of the Mission, and sustain the gains made in last seven years. Identifying the need to make the Mission truly people-centric and stakeholder-owned, SBM-U 2.0 will focus on comprehensive capacity building across the pyramid of stakeholders engaged in program implementation, and most importantly at the ULB level. This would include components for which funding is available within the mission, and other related areas where funding is available through convergence with other schemes, including leveraging of AMRUT 2.0 and other relevant Mission/ Programme funds such as SBM- Grameen, Namami Gange, Ministry of Social Justice and Empowerment, etc.

9.2 In line with these goals, there is a requirement for a focused approach to capacity building and stakeholder development. Thus, MoHUA will conceptualize a National Capacity Building and Skill Development Strategy to be implemented at the Central, State/UT and ULB levels. States/UTs and ULBs will be required to identify relevant administrative and technical officials (both senior level officials and field-level functionaries, including sanitation workers and SafaiMitras) for training and draw up a quarterly training calendar for them. It will be the responsibility of the State Mission Director to ensure that the identified officials undergo adequate

capacity building to ensure the success of SBM-U 2.0 at the State and ULB level. Another key component of the National Framework Document would be a robust mechanism of assessments and certifications for the capacity building and skill development training imparted, which would also include independent evaluations.

9.3 Capacity Building and Skill Development: The capacity building and skill development initiatives under SBM-U 2.0 will focus on the selected key stakeholders in the sanitation and waste management value chain, who will be trained in the following key priority areas, with support from the professional organizations that will be partnered at the Central and State/UT level as per the procedures laid down in the National Capacity Building and Skill Development Strategy document under SBM-U 2.0.

9.3.1 State Government and Parastatal Officials:

- Focus on institutionalizing holistic leadership development and change management by facilitating customized capacity building and training through workshops, online training and short-term technical courses.

9.3.2 Administrative Officials of ULBs:

- Focus on developing implementation capacity and change management functionalities by creating targeted capacity building training, e-learning courses and online workshops;
- Comprehensive approach to human resource development with a sensitization towards the social, economic and technological environment for effective implementation and service delivery under the Mission.

9.3.3 PHE and Technical Officials of the ULBs:

- Technical officials and staffs will be provided hands on technical training, access to e-learning courses, workshops, field visits and knowledge exchange exposure visits to enhance their capacity to effectively implement objectives of SBM-U 2.0. Courses will be focused on the latest technologies, which are sustainable, environmentally friendly, and context appropriate.

In addition to trainings developed towards enhancing the technical knowledge and skill sets, the PHE and technical officials will also be imparted trainings to sensitize them with the citizen centric and social aspects of the Mission, with the intent of inculcating a holistic human centered approach to all interventions under the Mission.

9.3.4 SafaiMitras and Sanitation Workers:

- Focus on the skill development of SafaiMitras and sanitation workers, and the promotion of entrepreneurship across the value chain in the sanitation sector, in partnership with Ministry of Skill Development & Entrepreneurship, NSDC and respective Sector Skill Councils;
- Conducting a skill gap study to develop an understanding of the human resource requirement in the sector, demand and supply scenario of skilled people, skilling gaps in the existing workforce and recognition of skills of the informal workers;
- Training and orientation of Master Trainers for conducting the trainings on relevant subject areas in sanitation;
- Institutionalizing a robust framework for undertaking Recognition of Prior Learning (RPL) based assessments and providing certifications, in consonance with the NSQF, to the SafaiMitras and sanitation workers to recognize the existing skill sets and to ensure that a high quality of training is imparted for further progression;
- A special emphasis will be laid on imparting training to the sanitation workers to build their technical knowledge and skill sets for operating advanced equipment and safety gears.

9.3.5. NGOs, Educational and Skilling Institutes and Other Organizations

- Focus on engaging diverse sets of organizations such as NCC, NSS, NYK, skill institutes along with schools and colleges to impart targeted capacity building training. The training will be centered upon enabling these organizations to become ambassadors of the Mission and to contribute towards the implementation of initiatives under the focus areas of SBM (U)- 2.0, with a special emphasis on those components, which are to be executed in a campaign mode, such as Garbage-Free Cities, maintenance of community/public toilets, safe disposal of wastewater and reduction of plastics, amongst others.

9.4 Center(s) of Excellence (CoE): focusing on capacity building, research, and innovation in key thematic areas of sanitation and waste management, will be established at the national level in partnership with eminent knowledge institutions. The mandate of the CoE will be to provide leadership & technical training, policy guidance, develop best practices, and other relevant activities on sanitation and waste management issues, in line with the aims and objectives of the Mission.

9.5 Chair Professor Position(s): will be established at select academic institution(s) of national repute in the field of sanitation and waste management, with funding support from the Centre.

9.6 For building the capacities of technical officials at Central, State/UT and ULB level, (in-service engineers, other technical officials) regular master level training programs and short-term courses under PHE training will be implemented at the national level by MoHUA.

9.7 Government, non-government, educational and professional institutions of repute and with prominent experience in the field of capacity building, particularly in sanitation and waste management will be empaneled as ‘Swachhata Knowledge Partners’ (SKPs), to support the design and delivery of training

modules and workshops on capacity building and skill development, to ensure effective implementation of the Mission. The Swachhata Knowledge Partners will be selected and onboarded as per the procedures laid down in the National Capacity Building and Skill Development strategy document.

9.8 MoHUA will establish strategic collaborations under the Mission with key development sector organizations, having prominent sectoral expertise, knowledge and implementation experience across thematic areas. The development sector partner organizations will play a pivotal role in providing technical assistance at the Central level and handholding support to States/UTs and ULBs in implementing capacity building and skill development interventions under the Mission.

9.9 To promote affordable and scalable modern technologies suitable to different geographical conditions, a national level technical committee will be set up at MoHUA under the Mission exclusively for promoting research & development, innovations and entrepreneurship in the field of sanitation and waste management.

9.10 A part of Central funds will be used to pilot innovative projects/ start-ups in sanitation and SWM sectors, in partnership with States/ UTs, reputed institutes of national importance, etc.

9.11 States/UTs will also be encouraged to set up incubators to provide support to entrepreneurship, innovation and private sector participation.

9.12 Swachhata Technology Challenges, hackathons, etc. will be conceptualized and implemented in collaboration with the key private sector organizations, towards encouraging startups and social business ventures to develop innovative digital solutions and business models in the sanitation and waste management sector. The Challenges will encompass diverse thematic areas and endeavor to achieve the dual objective of identifying and leveraging key enabling technologies while also

encouraging and recognizing local entrepreneurs and technology solutions at the national level.

9.13 Knowledge Management:

9.13.1 A comprehensive knowledge management framework will be institutionalized to augment the capacity building initiatives under the Mission. As a part of this, the relevant knowledge materials such as training modules literature, videos, plans and reports developed by the ULBs during the implementation of various initiatives across focus areas of the Mission, will be consolidated and uploaded onto the SBM-U e-Learning portal for ease of use and access by all stakeholders. Further, the training and the technical material developed for trainings will be made available via the SBM-U e-Learning platform.

9.13.2 States/ UTs will be encouraged to set up technical cells within premier academic/ technical institutions to facilitate research & development.

9.13.3 As part of the Training Needs Analysis, it is suggested that ULBs ascertain the gaps and deficiencies in the available training material and aim to fill those gaps by suitably revising the existing material or developing new modules if required, before conducting the trainings for relevant stakeholders.

- Materials used for training in workshops, capacity building courses and other technical courses shall be uploaded on SBM-U e-learning portal for ease of use and access;
- The States / UTs and ULBs shall be free to add their own resource materials to the SBM-U e-learning platform. It is suggested that ULBs revise and update the training material at regular intervals.

9.14 Human Resource Support under SBM (U) 2.0:

9.14.1 In addition to enhancing the capacities of the key officials and sanitation workers, there is a pertinent need for dedicated human resources with specialist knowledge and skills in order to strengthen the implementation of the various components of the



Mission. Towards this, dedicated human resource units have been envisaged at the State/UT level, the details on which have been elaborated below.

9.14.2 At the State/UT level, a dedicated Program Management Unit (PMU) will be set up under the Mission to ensure effective implementation of the SBM-U 2.0. Parastatal bodies supporting ULBs in implementation of Mission components may be supported with human resources as per the requirements.

9.14.3 The Program Management Unit at the State/UT level should ideally consist of the following human resources. The State/UT shall have the flexibility of expanding the PMU with additional specialists based on their specific requirements

9.14.4 A specialized program will be conceptualized and implemented for engaging students from academic and technical institutions as young professionals and interns for supporting interventions under SBM U 2.0 at the National as well as the State/UT level. The selected young professionals and interns will be deputed to select projects across focus areas under the Mission, for a stipulated time, and will play a pivotal role in augmenting the internal human resources of the departments while also strategically integrating the youth with SBM-U 2.0.

9.14.5 The ULBs will be provided with the flexibility to hire young professionals and interns to augment their internal human resources for key project implementation activities under the Mission. Additionally, State may provide human resource support from their own share of funding for implementation of key mission components under SBM (U) 2.0.

9.15 Funding Mechanism

9.15.1 The Centre: State fund share for this component will be as given below:

- 90%:10% for ULBs in NE/ Himalayan States;
- 100% for UTs without legislature;
- 80%: 20% for UTs with legislature;
- 60%: 40% for other States/ UTs.

State Level PMU (With more than 100 UIBs)	State Level PMU (With less than 100 UIBs)
1. SWM expert -1	1. SWM expert -1
2. Waste- Water expert -1	2. Waste- Water expert -1
3. Procurement Specialist -1	3. Procurement Specialist -1
4. Capacity Building Specialist -1	4. Capacity Building Specialist -1
5. IEC Specialist -1	5. IEC Specialist -1
6. M & E Specialist -1	6. IT and M & E Specialist -1
7. IT Specialist -1	7. Additional specialist -1 (As perquirement)
8. Documentaion Specialist -1	
9. Additional specialist -1 (As perquirement)	

9.15.2 A total of 3% of the total allocation for project components will be earmarked for the component of capacity building, skill development and knowledge management. Out of the Central share for this component, 67% will be earmarked for States/ ULBs to conduct capacity building and skill development initiatives. The remaining 33% will be earmarked for MoHUA. It may be noted that administrative and office expenditure in a year should be kept as a proportion of actual expenditure / output rather than as a percentage of indicative outlay.

9.15.3 The disbursement of the central assistance will be as follows- 1st instalment of 40% of allotted Central share from MOHUA will be released to the State/ UT for a ULB provided the entry conditions specified in Section 4.2, and following additional conditions are satisfied:

- SHPC approved CB action plan for State submitted (as per Annex 8).

9.15.4 The 2nd instalment of 60% of allotted Central share from MOHUA will be released to the State/ UT for a ULB provided the following conditions are satisfied:

- 40% of identified state officials/ parastatal officials/ ULB Officials trained (in some format of training);
- 40% of Sanitation workers identified for skill development completed training;
- All informal sector workers (including those in sewer and septic tank cleaning) identified and integrated by ULB;
- City certified ODF+;
- City certified at least 1-star with 60% source segregation.

9.15.5 Under no circumstance shall this fund be utilized for purchase of vehicles, construction and maintenance of buildings, creation of permanent/ regular posts and payment of salary, and purchase of furniture and fixtures, etc.

9.15.6 States/ UTs/ ULBs may take assistance of PSUs and Corporates through CSR for implementing capacity building programs.

9.15.7 States/ UTs and ULBs, if they so wish, may use the CB funds to upgrade/ strengthen their existing institutes / entities to provide capacity building support to the State/ ULB.

9.15.8 States shall propose extensive capacity building activities, including training of administrative and technical staffs, conducting Skill Gap Analysis, skill development training programs for sanitation workers to be implemented in a Mission- mode manner, which will enable the progressive achievement of objectives of SBM-U 2.0 in a time-bound manner. These will be specified in the comprehensive annual action plan prepared by each State/UT and approved by SHPC. At least 50% of this fund, in each annual plan, as approved by SHPC must go to the ULBs for activities at the ULB level.

9.15.9 The SLTC will approve State training plan comprising the following:

- Training Need Analysis (TNA) for capacity building and Skill Gap Analysis for skill development;
- Training Modules and Tools;
- Institutions to impart training, and cost of training;
- Training Calendar;
- Evaluation of training.

9.16 Expected Outcome:

It is expected that outcomes of the capacity building, skill development and km initiatives would lead to improvement in capacities, knowledge, skills, leadership development and change management competencies of ULB officials and Sanitation workforce connected with implementation of Mission, through workshops, seminars, trainings, etc.

CITY CAPACITY BUILDING ACTION PLAN

ANNEX 2

Before beginning with trainings, the ULBs shall formulate a City Capacity Building Action Plan, which shall holistically capture the key details for trainings and which will then serve as a robust planning and monitoring tool for the capacity building interventions under the SBM-U 2.0. The City Capacity Building Action Plan should include:

- A Training Needs Analysis for outlining the number of personnel across stakeholder groups to be trained, focus areas and the training partners (SKPs) identified;
- Financial overview detailing the indicative expenditure on the training programmes;
- Quarterly training calendar carrying a description of the activities as well as targeted groups.

A. Training Needs Analysis

1. City Profile

Name of the ULB:	
Name of the District, State/UT:	
No. of Municipal Zones in City:	
No. of wards in the ULB:	
Population and households in the ULB as per 2011 Census:	
Population	Households
Population and households in the ULB as per current scenario	
Population	Households
Projected population and households in the ULB @2025	
Population	Households

2. Training for capacity building of identified stakeholders

Sl. No.	Identified Stakeholders	Total Number of individuals / officials / organizations identified for training	Areas for Training	Swachhata Knowledge Partners identified and engaged
1.	Administrative/Executive Municipal Officials			
2.	Technical Staff/PHE Officials/Sanitary Inspectors at ULBs			
3.	Resident Welfare Associations, Ward Sabhas			
4.	NGOs, SHGs and other voluntary organizations			
5.	Others (including academic institutes)			
Total				

B. Financial Overview

Estimated financial requirement for capacity building

Sl. No.	Activities	Tentative Expenditure (INR)	Central Allocation under SBM-U 2.0	State Govt. Funds	ULB Funds	Other Funds (PPP, CSR others)
1.	TNA					
2.	Trainings for Administrative/ Executive Municipal Officials					
3.	Trainings for Technical/PHE Officials/ and Sanitary Inspectors					
4.	Trainings for RWAs, Ward Sabhas					
5.	Trainings for NGOs/CSOs					
6.	Trainings for other stakeholders identified (if any)					
7.	Other expenditure (please specify)					

C. Annual Training Calendar for Capacity Building

Month	Q1 April - June	Q2 July-September	Q3 October-December	Q4 January - March
Stakeholders to be trained along with number of personnel				
Areas of Training				
Details of SKPs to conduct trainings				
NGOs, SHGs and other voluntary organizations				
Others (including academic institutes)				

STATE/UT WISE ALLOCATIONS FOR CAPACITY BUILDING UNDER SBM-U 2.0

ANNEX 3

S I . No.	Name of State/ UT	Central share allocation (₹ in crores) for:					CB
		Toilet construction		Used water Manage- ment	Solid Waste Manage- ment	IEC	
		Floating fund	State allocation				
1.	ANDAMAN AND NICOBAR ISLANDS		0.5	0.0	5.5	1.7	0.9
2.	ANDHRA PRADESH		47.1	694.1	458.1	142.4	71.6
3.	ARUNACHAL PRADESH		1.0	79.3	33.2	10.3	5.2
4.	ASSAM		14.2	315.7	118.3	36.8	18.5
5.	BIHAR		37.9	666.5	341.1	106.0	53.3
6.	CHANDIGARH		3.3	0.0	28.5	8.9	4.5
7.	CHHATTISGARH		19.1	414.6	200.1	62.2	31.3
8.	DADRA AND NAGAR HAVELI & DAMAN and DIU		1.1	23.1	4.8	1.5	0.7
9.	DELHI		52.8	0.0	436.1	135.6	68.1
10.	GOA		2.9	56.9	12.3	3.8	1.9
11.	GUJARAT		83.0	806.9	701.4	218.0	109.6
12.	HARYANA		28.5	284.4	226.9	70.5	35.4
13.	HIMACHAL PRADESH		2.2	101.0	36.5	11.3	5.7
14.	JAMMU & KASHMIR		10.3	226.4	131.7	40.9	20.6
15.	JHARKHAND		25.6	236.8	174.9	54.4	27.3
16.	KARNATAKA		76.1	1,128.6	709.3	220.5	110.8
17.	KERALA		51.4	521.7	205.8	64.0	32.2
18.	LADAKH		0.7	34.1	19.0	5.9	3.0
19.	MADHYA PRADESH		64.7	1,229.5	617.5	192.0	96.5
20.	MAHARASHTRA	IHHL/CT/ PT/Urinals	163.8	1,484.8	1,438.1	447.1	224.7

(Continued)

(Continued)

S I . No.	Name of State/ UT	Central share allocation (₹ in crores) for:					CB
		Toilet construction		Used water Management	Solid Waste Management	IEC	
		Floating fund	State allocation				
21.	MANIPUR		2.5	58.7	23.9	7.4	3.7
22.	MEGHALAYA		1.9	40.8	16.8	5.2	2.6
23.	MIZORAM		1.8	48.1	22.2	6.9	3.5
24.	NAGALAND		1.8	60.3	19.0	5.9	3.0
25.	ODISHA		22.6	491.0	209.8	65.2	32.8
26.	PUDUCHERRY		2.7	25.5	20.4	6.3	3.2
27.	PUNJAB		33.5	589.0	294.2	91.5	46.0
28.	RAJASTHAN		54.9	916.1	541.8	168.4	84.6
29.	SIKKIM		0.5	9.8	6.2	1.9	1.0
30.	TAMIL NADU		112.5	1,999.7	807.4	251.0	126.1
31.	TELANGANA		43.9	463.1	381.9	118.7	59.7
32.	TRIPURA		3.1	48.4	23.0	7.2	3.6
33.	UTTAR PRADESH		143.4	2,117.2	1,235.9	384.2	193.1
34.	UTTARAKHAND		9.8	203.0	89.0	27.7	13.9
35.	WEST BENGAL		93.8	507.9	577.7	179.6	90.3
	RETAINED AT MOHUA			-		790.2	782.4
TOTAL			1,215	15,883	10,168	3,951	2,371



Ministry of Housing and Urban Affairs
Government of India

Clean Air, Clean Water, Clean Land