

# Capacity Building and Training

(Operational Guidelines)

National Urban Livelihoods  
Mission



**Government of India  
Ministry of Housing & Urban Poverty Alleviation**



F. No. K-14014/58(9)/2012-UPA  
Government of India  
Ministry of Housing & Urban Poverty Alleviation  
(UPA Division)

Nirman Bhawan, New Delhi  
Dated: 18<sup>th</sup> December 2013

**OFFICE MEMORANDUM**

**SUBJECT: Operational Guidelines for Capacity Building and Training (CB&T) under the National Urban Livelihoods Mission (NULM)**

The guidelines for the National Urban Livelihoods Mission (NULM) have been issued vide OM No. K-14011/1/2013-UPA dated 24<sup>th</sup> September 2013.

2. The operational guidelines for Capacity Building and Training (CB&T) component of NULM are annexed herewith, which will be followed by all the implementing agencies. These guidelines have also been uploaded on the website of the Ministry of Housing and Urban Poverty Alleviation, and may be accessed from: [http://mhupa.gov.in/NULM\\_Mission/NULM\\_Mission.htm](http://mhupa.gov.in/NULM_Mission/NULM_Mission.htm).
  
3. This issues with the approval of Hon'ble Minister for Housing & Urban Poverty Alleviation, Government of India.



(B. K. Agarwal)

Joint Secretary to the Government of India  
Ministry of Housing & Urban Poverty Alleviation





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## 1. Objectives

- 1.1 The key objectives of the Capacity Building and Training (CB&T) component are:
- To transform the role of M/o HUPA and State Agencies in charge of urban poverty alleviation into providers of high quality technical assistance in the field of livelihood promotion and urban poverty alleviation;
  - To build strong institutional structures at the National, State, and City levels for efficient implementation of the NULM and;
  - To build capacity of the urban poor, their institutions and the machinery involved in the implementation of NULM

## 2. Overview of National Livelihoods Mission implementation structure

- 2.1 The objective of National Urban Livelihoods Mission (NULM), a flagship programme of the Ministry of Housing and Urban Poverty Alleviation (M/o HUPA) is to reduce poverty and vulnerability of the urban poor households by enabling them to access gainful self-employment and skilled wage employment opportunities, resulting in an appreciable improvement in their livelihoods on a sustainable basis, through building strong grassroots level institutions of the poor. The important strategies followed by NULM are:
- Building skills to enable access to growing market-based job opportunities offered by emerging urban economies
  - Training and support for the establishment of micro-enterprises (including urban street vendors) by the urban poor – self and group
  - Building capacity of the urban poor, their institutions (such as SHGs and their federations) and the machinery involved in the implementation of livelihoods development and poverty alleviation programmes
  - Ensure availability and access of the urban homeless population to permanent 24-hour shelters
  - Support to Urban Street Vendors
- 2.2 The National Urban Livelihoods Mission will have a three-tier interdependent structure (at national, state and city levels) for implementation of the programme. These tiers of



NULM will be closely interlinked and guided by the common objective of promoting sustainable livelihoods of the poor and work with the goal of eradication of urban poverty and empowerment of the urban poor.

### **3. Administration and Implementation structure at National level**

- 3.1 At the national level, the National Urban Livelihoods Mission (NULM) will be established as a society registered under the appropriate law. A Mission Director will be appointed by the Government of India to look after all aspects of implementation of NULM. National Mission Management Unit (NMMU), a dedicated support team at national level, will be established to support Mission Director in implementation and monitoring of the NULM.
- 3.2 NMMU will be staffed with ten technical specialists having expertise in various fields like Social Mobilisation and Institution Development, Social Infrastructure, Skills and Livelihoods, Financial Inclusion & Micro Enterprises, Housing for Homeless, Finance, MIS, Monitoring and Evaluation, HR, Communications and Knowledge Management. The NMMU will ensure effective coordination with states/UTs and will provide directions and hand holding support to them. The list of positions and Terms of Reference (ToR) for Technical Experts at NMMU level is provided in **Annexure I**.
- 3.3 The functions of NMMU will include, but not be limited to, the following:
- Implementation and monitoring of NULM
  - To facilitate establishment of SMMUs by the state governments
  - To support preparation of State Urban Poverty Reduction Strategy and Livelihood Development Plan and other pro poor programmes
  - To provide professional and technical inputs on specific components of NULM
  - To liaise with other Missions/ Ministries/Departments/ Industry Associations to explore areas for convergent action
  - To facilitate linkages between NULM and State Urban Livelihoods Missions (SULMs)
  - To undertake/commission studies on urban poverty issues and disseminate the findings
  - To study best practices across the country and support their replication in other parts



- i. To support the development of capacity building and training modules
- j. To promote comprehensive monitoring and learning systems at the state and city level
- k. To act as a national resource pool which provides information on best practices, statistics on urban poverty, slums and livelihoods etc.
- l. To work closely with a national network of resource centres/institutes to provide capacity building support to states/cities
- m. Organise capacity building of key government staff involved in implementation of NULM as well as technical experts at SMMU, CMMU etc.

3.4 The overall expenditure on CB&T component including technical support at National, State and City levels and training and other capacity building support for Mission Management Units (MMUs) at the National, State and City levels shall not exceed 12% of the total allocation under NULM.

#### **4. Administration and Implementation structure at State level**

- 4.1 In every State/UT a State Urban Livelihoods Mission (SULM) will be established as a registered society which will be responsible for implementation of NULM in the state/ UT. However, State/UT may designate an autonomous body already working in the field of poverty alleviation and livelihood promotion as the SULM. SULM will be managed by a State Mission Director appointed by the State Government. In addition, the State Government would also appoint required government officials to assist the State Mission Director in respect of Finance and accounts, establishment matters and other such supporting functions.
- 4.2 State Mission Management Unit (SMMU), a dedicated support team at the state level, will be established to support State Mission Director, SULM in the implementation and monitoring of NULM at the state/UT level. This unit will be funded by the NULM.
- 4.3 SMMU will be staffed with technical specialists having expertise in various fields like poverty alleviation, social mobilisation, financial inclusion, livelihoods promotion, human resources etc.
- 4.4 Funding under NULM will be provided for a maximum of six technical experts at SMMU level for big states and four technical experts for small states. The list of big and small



states is given at **Annexure II**. The list of positions and Terms of Reference (ToR) for Technical Experts at SMMU level is provided in **Annexure III**. The model contract for Technical Expert is provided in **Annexure IV**.

- 4.5 In the event that the SMMU positions are not filled, government staff may be deputed for these positions subject to the following conditions being fulfilled:
- The official must fulfil all eligibility criteria required for the position
  - The position is temporarily filled, and only until such time that the appropriate candidate becomes available
  - Payment towards salary and allowances will be limited to norms under NULM. Any extra payment for salary/ allowances will have to be met by the state government
- 4.6 NULM will support SMMU costs for a period of five years. States should build their internal capacities to implement urban poverty alleviation programmes after five years.
- 4.7 The overall responsibilities of the SMMU will include, but not be limited to, the following:
- To facilitate implementation of NULM in the state through ULBs
  - To facilitate establishment of CMMUs at city level
  - To provide professional and technical inputs on specific components of NULM
  - To prepare Urban Poverty Reduction Strategy/Livelihood Development Plan for the state
  - To support cities in preparation of City Livelihood Development Plans
  - To coordinate and develop convergence with other Missions and programmes in the state
  - To organize state level capacity building programmes, workshops, seminars and cross-learning visits etc. of key government staff as well as technical experts involved in implementation of NULM at CMMU and SMMU levels
  - To document the progress and process of implementation and best practices of NULM
  - To undertake/commission studies to assess the impact of the NULM
  - To coordinate with various departments of state government, central government, banks and such organisations to help implementation of NULM at the state level.



## 5. Administration and Implementation structure at City level

- 5.1 At the city level, the NULM activities will be implemented through Urban Local Bodies (ULBs). City Mission Management Unit (CMMU), headed by a City Project Officer (CPO) appointed by state government/ULB, will be formed.
- 5.2 The CMMU will be staffed with technical specialists having expertise in various fields like social mobilisation, institution and capacity building, livelihoods/Micro enterprises, micro finance etc which will be funded under NULM. In addition, the State Government/ ULB will also appoint other officials to deal with Finance and accounts, establishment matters and other such support services.
- 5.3 Funding under NULM will be provided for a maximum of four technical experts at the city level for cities having more than 5 lakh population, three technical experts for cities with population of 3 to 5 lakh population and two technical experts for cities below 3 lakh population.
- 5.4 Community Organisers (COs) will also be appointed in the city. Each CO will cover at least 3000 urban poor families. COs should be recruited as per the requirement at city level subject to availability of funds. However, at least one CO should be positioned in every city covered under NULM. The list of positions and Terms of Reference (ToR) for Technical Experts and COs at CMMU level is provided in **Annexure V**.
- 5.5 In the event that the CMMU positions are not filled, government/ ULB staff may be deputed for these positions subject to the following conditions being fulfilled:
- a. The official must fulfil all eligibility criteria required for the position
  - b. The position is temporarily filled only until such time that the appropriate candidate becomes available
  - c. Payment towards salary and allowances will be limited to norms under NULM. Any extra payment for salary/ allowances will have to be met by the state government or ULBs
- 5.6 Support to CMMU by NULM will be limited to five years only. Within this period, cities should build their internal capacities for effective implementation of urban poverty alleviation programmes after five years.



## **6. Recruitment process and performance management of Technical Experts of Mission Management Units (MMUs)**

**6.1 Role of Technical Experts-** Technical Experts will be hired at all Mission Management Units (MMUs) for providing inputs and support in their respective specialised area which facilitates effective and efficient implantation by the Mission Director at national level , State Mission Director at the state level and City Project Officer at the city level. The Technical Experts will be the key persons for providing the information related to their subject specialisation and report to the regular government officials who are in charge of the MMUs at all levels.

**6.2 Method of Recruitment-** Technical Experts required for the SMMU and CMMU may be recruited through open advertisement. States are advised to take up a rigorous process for selection of Technical Experts for SMMU and CMMUs. This process may consist of inviting applications through open advertisement (newspaper, job portals etc), screening of suitable applications as per the laid out criteria, written test to the shortlisted candidates and personal interview. State may appoint a Selection Committee headed by the State Mission Director for the screening and selection of Technical Experts for the SMMU and CMMUs. A representative of the Ministry of Housing and Urban Poverty Alleviation (M/o HUPA) shall be a member of the Selection Committee constituted by the State.

**6.3 Selection of an Agency/organization for providing services of Technical Experts for NMMU/ SMMU/CMMUs-** At national level, option of appointing external agency/ organization will be considered to provide services of technical experts in NMMU. Similarly, the States may also use the option of appointing an external agency to provide services of Technical Experts in SMMU & CMMU, if it is felt to be the best option given the conditions specific to the state/ city. The framework for the selection of resource agency is given in the **Annexure VI**.

### **6.4 Compensation and allowances**

- a. In order to attract the best talent with suitable experience in the open market, a maximum consolidated remuneration of Rs. 100,000 per month will be given to the technical experts at the national level who fulfils the experience and education qualifications norms laid out for the position.
- b. In case of technical experts recruited for SMMU level a maximum remuneration of



Rs. 75,000 per month and in case of technical experts recruited for CMMU level a maximum remuneration of Rs. 60,000 per month will be given.

- c. A maximum remuneration of Rs. 10,000 per month will be given to COs at city level.
- d. These are maximum ceilings for remuneration; however lesser amount can be paid as per the market conditions prevailing at the state/city level.
- e. A maximum of 40% of the total salary paid to the technical experts can be utilized at NMMU, SMMU and CMMU for TA, DA expenses for the technical expert and for office support (viz., accountant, data entry operator, multi-tasking officials etc.) Rates for TA/DA for travel, accommodation, and food etc. for technical experts will be fixed by the respective MMUs.
- f. The rates of remuneration paid to Technical Experts may be reviewed, if necessary, after two years and suitably modified as per the market conditions prevailing at that point of time subject to maximum of 10% of the salary paid.

## **6.5 Performance appraisal of Technical Experts**

- a. All the successfully recruited Technical Experts may be given an initial contract for a 2 year period which may consist of probation for a period of 6 months from the date of joining. If the performance is not satisfactory during the probation period, concerned competent authority may take suitable action, including termination of the services of the Technical Experts by giving a notice period of at least one month.
- b. The performance of Technical Experts at all MMUs may be reviewed against their key responsibility areas and on the annual action plan by their respective reporting officers (Mission Director at National level, State Mission Director at the state level and City Project Officer at city level ) at the end of two year period. Based on satisfactory performance, Technical Experts may be eligible for renewal of their contract.

## **6.6 Termination of services of the Technical Experts -** Immediate termination of Technical Experts also may be taken up in case of breach of trust/ severe misconduct/ non-performance as specified in the personal policy at the SULM/ULB level by giving one month remuneration in lieu of notice period. Suitable terms and conditions regarding this may be incorporated in the contract document.



## **7. Training and Other Capacity Building Support for Mission Management Units (MMUs) at the National, State and City levels**

- 7.1 Building teams of high quality Technical Experts at MMUs, through training and other community-to-community learning/exposure visits, is essential to provide timely and quality technical assistance at National, State and City levels for implementing NULM.
- 7.2 Suitable institutions at National/State level will be identified, empanelled and entered into agreements with for providing capacity building inputs to the MMUs. Capacity building inputs which may include induction and orientation training, exposure visits, learning tours etc should be planned for all stakeholders of MMUs, including Community Organisers and Resource Organisations engaged in NULM.
- 7.3 The selection of institutions/resource agency will be done based on key domain expertise and experience in various thematic areas such as urban poverty alleviation, skills and livelihoods, social development and convergence, community mobilisation, credit, marketing, research and training, social audit, MIS, etc., The required pool of resource persons will be maintained by the resource agencies.
- 7.4 NMMU and SMMU staff also will be involved in the training programmes conducted by the resource agencies, if needed.
- 7.5 The SMMUs will be involved in monitoring the efficacy and quality of training.
- 7.6 The framework for training and capacity building support for MMUs at National, State and City level is given at Annexure VII.

## **8. Funding Pattern**

- 8.1 Funding under this component will be shared between the Centre and the States in the ratio of 75:25. In case of special category States (Arunachal Pradesh, Assam, Manipur, Meghalaya, Mizoram, Nagaland, Sikkim, Tripura, Jammu & Kashmir, Himachal Pradesh and Uttarakhand) this ratio will be 90:10 between the Centre and States.
- 8.2 The total expenditure on the CB&T component shall not exceed 12% of the total allocation under NULM for the State/UT. The Ministry of HUPA, taking in account actual expenditure by the state, may reduce the total number of technical experts to be positioned in a state so that the expenditure on the CB& T component is not disproportionately high compared to the other components of the mission in the State.



- 8.3 In case any additional technical experts are needed at the state and/or at the city level pertaining to the specific needs, states may provide additional funding to the SULM/ULB to meet their expenses related to remuneration.

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**Details of the Technical Experts to be positioned at NMMU Level**

National Mission Management Unit (NMMU) will have ten Technical Experts at national level. The details of the positions at NMMU level are as follows:

**1. National Level (10 Member team)**

S.N	Particulars	No. of positions
1	National Mission Manager - Social Mobilisation and Institution Development	3
2	National Mission Manager - Skills and Livelihoods	3
3	National Mission Manager – Financial Inclusion & Micro Enterprises	1
4	National Mission Manager – HR & Capacity Building	1
5	National Mission Manager – MIS & ME	1
6	National Mission Manager - Communications and Knowledge Management	1
<b>Total</b>		<b>10</b>

**Terms of Reference (ToR) for NMMU positions****1. Scope of work**

The person selected for the above positions will assist the Mission Director, NULM in conceptualising and operationalizing the respective components of NULM. The position is a contractual engagement, initially for two years. Renewal of contract is done every two years based on performance appraisal. The incumbent will directly report to the Mission Director, NULM. S/he will work closely with and support the teams at the state level responsible for respective component of NULM. The person will need to travel extensively to the states implementing NULM. The person should have good command on writing and speaking both English and Hindi languages. Knowing any other regional language will be considered positively.



## II. Educational Qualifications, Experience and Competencies

S.N	Position	Educational Qualifications	Experience Particulars	Competencies
1	National Mission Manager - Social Mobilisation and Institution Development	Two year full time Post graduate diploma in Management/ MBA or Masters in any other discipline relevant to the roles and responsibilities of the job from government recognised institutes	At least 10 years of experience in Social Development work with poverty reduction programmes of considerable size and scale	The person should be Proficient with MIS conceptual and strategic thinking skills; ability to handle large scale planning; handling MIS etc. Experience of working with government institutions will be given preference
2	National Mission Manager - Skills and Livelihoods		At least 10 years of experience in implementation of skill training and placement programmes with considerable size and scale	
3	National Mission Manager – Financial Inclusion & Micro Enterprises		At least 10 years of experience in dealing with credit linkages, social security and/or micro enterprises promotion in poverty reduction programmes/ financial institutions	
4	National Mission Manager – HR & Capacity Building		At least 10 years of experience in staff recruitment, training and capacity building work with national/ state level projects	The person should have, in addition to the above mentioned competencies, acknowledged capabilities in client management; excellent negotiation skills; ability to handle large scale recruitment; developing a theme based capacity building strategy and modules etc.
5	National Mission Manager – MIS & ME	Two year full time Post Graduate diploma / Masters in Computer Science, M.Sc. (computer science), B.Tech (computer science) or MCA from government recognized institute/ university	At least 10 years of experience in designing and implementation of MIS and ME for large development projects, preferably Poverty reduction project and full understanding of Data Analysis Technique	The person should have, in addition to the above mentioned competencies, very good documentation skills and should be very good at preparation of reports; Proficient with Project Management software; Database Management systems; website development and management
6	National Mission Manager – Communications and Knowledge Management	Two year full time Post graduate diploma or Masters in communications/ journalism/ development communications or any other discipline relevant to the roles and responsibilities of the job from government recognised institutes	At least 10 years of experience in development of communications and knowledge management for national/ state level projects	The person should have, in addition to the above mentioned competencies, acknowledged publishing skills. Persons who had published articles in national and international magazines will be given preference.



### III. Key Responsibility Areas

#### a) National Mission Manager – Social Mobilisation and Institution Development

- i. Ensure that the guidelines for Social mobilisation and institution development component; shelters and social infrastructure aspects of NULM are prepared and made available for the states
- ii. Develop overall action work plan for implementation of Social mobilisation component and shelters and social infrastructure aspects of NULM
- iii. Facilitate states in implementation of the guidelines prescribed by NULM
- iv. Support and guide team responsible for the SM&ID component of NULM at the state/UT level in achieving their targets with respect to community mobilisation, SHGs, Federations, Revolving Fund, CLCs, Urban street vendors and shelters for urban homes components etc.
- v. Facilitate state team responsible for identification and empanelment of Resource Organisations (ROs) for promotion of SHGs; identification of facilitation organisations for promotion of CLCs, Vendor Markets and Shelters for Urban homeless under NULM
- vi. Support state team to ensure the SHGs, ALF and CLF structures are established across all states
- vii. Participate (when needed) as resource person in the capacity building programmes conducted for SMMU and CMMU staff
- viii. Support the resource agencies in capacity building/ sensitization of SMMU/CMMUs. S/he will also oversee the development of capacity building modules, arranging cross learning workshops related to social mobilisation, social infrastructure etc., as and when required
- ix. Periodically monitor the quality of trainings conducted on SM&ID component, CLCs, urban street vendors, shelters for urban homeless of NULM
- x. Responsible for providing need based Technical Assistance to the State Mission Management Units
- xi. Arranging for appropriate linkages with relevant agencies/departments and integrate Social mobilisation and social infrastructure agendas in implementing of NULM
- xii. Ensure reporting of the Social mobilisation and institution Development component,



shelters and social infrastructure by SULMs

- xiii. Work closely with other national Mission Managers at the national level for successful implementation of NULM
- xiv. Travel to states for monitoring the implementation of NULM and provide key observations
- xv. Report on Social mobilisation component to Mission Director
- xvi. Perform any other related tasks assigned by the Mission Director, NULM

**b) National Mission Manager – Skills and Livelihoods**

- i. Ensure that the guidelines for EST & P component of NULM are prepared and made available for the states
- ii. Develop overall action work plan for implementation of EST & P component of NULM
- iii. Facilitate states in implementation of the guidelines prescribed by NULM
- iv. Support and guide team responsible for EST& P component of NULM at the state/UT level in achieving their targets with respect to Identification and empanelment of Skill Training Providers (STPs), agencies for accreditation and certification etc.
- v. Participate (when needed) as resource person in the capacity building programmes conducted for SMMU and CMMU staff
- vi. To periodically monitor the quality of trainings conducted on EST&P component of NULM
- vii. Responsible for providing need based Technical assistance to the State Mission Management Units
- viii. Support the resource agencies in capacity building/ sensitization of CMMUs. S/he will also oversee the development of capacity building modules, arranging cross learning workshops related to EST&P as and when required
- ix. Arranging for appropriate linkages with industry associations, skill development mission, sector skill councils, line departments, resource institutes, and other relevant agencies and integrate EST&P agenda in implementing of NULM
- x. Ensure reporting of EST &P component by SLMUs
- xi. Work closely with other National Mission Managers at the national level for successful implementation of NULM



- xii. Travel to states for monitoring the implementation of NULM and provide key observations
- xiii. Report on EST&P component to Mission Director, NULM
- xiv. Perform any other related tasks assigned by the Mission Director, NULM

**c) National Mission Manager – Financial Inclusion and Micro Enterprises**

- i. Ensure that the guidelines for Universal Financial Inclusion (UFI) and Self Employment Programme (SEP) are prepared and made available for the states
- ii. Develop overall action plan for implementation of Universal Financial Inclusion (UFI) and Self Employment Programme (SEP) of NULM
- iii. Facilitate states in implementation of the guidelines prescribed by NULM
- iv. Support and guide team responsible for Universal Financial Inclusion (UFI) and Self Employment Programme (SEP) of NULM at the state/UT level in achieving their targets with respect to bank linkages for SHGs and its members and the micro enterprises set up by the urban poor
- v. Participate (when needed) as resource person in the capacity building programmes conducted for SMMU and CMMU staff
- vi. To periodically monitor the quality of trainings conducted on Universal Financial Inclusion (UFI) and Self Employment Programme (SEP) of NULM
- vii. Responsible for providing need based Technical Assistance to the State Mission Management Units
- viii. Support the resource agencies in capacity building/ sensitization of CMMUs with in or across the states. S/he will also oversee the development of capacity building modules, arranging cross learning workshops related to imparting financial literacy to urban poor and other KRAs as and when required
- ix. Arranging for appropriate linkages with relevant agencies/departments and integrate Universal Financial Inclusion and Self-employment programme agenda in implementing of NULM
- x. Ensure reporting of Universal Financial Inclusion (UFI) and Self Employment Programme (SEP) by SLMUs



- xi. Work closely with other National Mission Managers at the national level for successful implementation of NULM
- xii. Report on Universal Financial Inclusion (UFI) and Self Employment Programme (SEP) to Mission Director, NULM
- xiii. Perform any other related tasks assigned by the Mission Director, NULM

**d) National Mission Manager – MIS & ME**

- i. Ensure MIS & ME frameworks are made available to the states implementing NULM
- ii. Develop overall action plan for implementation of MIS & ME components of NULM
- iii. Facilitate states and ensure proper implementation of MIS at the state level, compilation of information across the cities and submission of the same to the national level
- iv. Undertake field visits to states for real time monitoring of the scheme
- v. Participate (when needed) as resource person in the capacity building programmes conducted for SMMU and CMMU staff
- vi. Responsible for providing need based Technical Assistance to the State Mission Management Units
- vii. Support capacity building of SMMU/ CMMUs in implementation of MIS and M&E. S/he will also oversee the development of capacity building modules related to MIS etc
- viii. Facilitate states to ensure entire gamut of information and reporting systems like baseline study, MPRs, Process documentation etc.
- ix. Work closely with other National Mission Managers at the national level for successful implementation of NULM
- x. Report on MIS & ME components to Mission Director, NULM
- xi. Perform any other related tasks assigned by the Mission Director, NULM

**e) National Mission Manager – HR & Capacity Building**

- i. Ensure that the guidelines for HR and CB&T component of NULM are prepared and made available for the states
- ii. Develop overall action plan for implementation of HR and CB & T component of NULM



- iii. Ensure SMMU structures are established across all states
- iv. Facilitate states in implementation of the guidelines prescribed by NULM
- v. support and guide teams responsible for CB&T component of NULM at the state/UT level with respect to trainings, recruitment etc.
- vi. Participate (when needed) as resource person in the capacity building programmes conducted for SMMU and CMMU staff
- vii. Support the resource agencies in capacity building/ sensitization of SMMUs with in or across the states. S/he will also oversee the development of capacity building modules, arranging cross learning workshops
- viii. Responsible for providing need based Technical Assistance to the State Mission Management Units
- ix. Arranging for appropriate linkages with relevant agencies/departments in order to strengthen the capacities of the staff and other stakeholders of NULM
- x. Ensure reporting on CB&T component by SLMUs
- xi. Work closely with other national Mission Managers at the national level for successful implementation of NULM
- xii. Travel to states for monitoring the implementation of NULM and provide key observations
- xiii. Report on CB&T component to Mission Director, NULM
- xiv. Perform any other related tasks assigned by the Mission Director, NULM

**f) National Mission Manager – Communications and Knowledge Management**

- i. Design and operationalize the framework for communication and knowledge management in NULM
- ii. Develop overall strategy for documentation of best practices at national level
- iii. Develop repository of information, case studies, research publications, best practices (domestic and international) etc on urban poverty, livelihoods promotion, skill enhancement and various other themes related to NULM
- iv. Support and guide teams responsible for knowledge management of NULM and reporting at the state/UT level



- v. Participate (when needed) as resource person in the capacity building programmes conducted for SMMU and CMMU staff
- vi. Responsible for providing need based Technical Assistance to the State Mission Management Units.
- vii. Work closely with other national Mission Managers at the national level for successful implementation of NULM
- viii. Travel to states of NULM and provide key observations
- ix. Report on communications and knowledge management initiatives to Mission Director, NULM
- x. Perform any other related tasks assigned by the Mission Director, NULM



**Annexure II**

**List of Big and Small states**

<b>Big states</b>	<b>Small states/UTs</b>
1. Andhra Pradesh 2. Assam 3. Bihar 4. Chhattisgarh 5. Gujarat 6. Haryana 7. Jharkhand 8. Karnataka 9. Kerala 10. Maharashtra 11. Madhya Pradesh 12. Orissa 13. Punjab 14. Rajasthan 15. Tamil Nadu 16. Uttar Pradesh 17. West Bengal 18. Delhi	1. Arunachal Pradesh 2. Goa 3. Himachal Pradesh 4. Jammu & Kashmir 5. Manipur 6. Mizoram 7. Meghalaya 8. Nagaland 9. Sikkim 10. Tripura 11. Uttaranchal 12. Andaman & Nicobar Islands 13. Chandigarh 14. Dadar & Nagar Haveli 15. Daman & Diu 16. Lakshadweep 17. Puducherry



### Annexure III

#### **Details of the Technical Experts to be positioned at SMMU level**

State Mission Management Unit (SMMU) will have six experts in big states and four experts in small States/UTs. The list of big and small states is provided at **Annexure II**. However, states may propose their own list based on the requirement for the technical experts in the programme. The details of the positions at SMMU level are as follows:

<b>Big states (6 member team)</b>	<b>Small states (4 member team)</b>
<ol style="list-style-type: none"> <li>1. State Mission Manager - Social Mobilisation and Institution Development</li> <li>2. State Mission Manager – Shelters and Social Infrastructure</li> <li>3. State Mission Manager - Skills and Livelihoods</li> <li>4. State Mission Manager – Financial Inclusion &amp; Micro Enterprises</li> <li>5. State Mission Manager - MIS &amp; ME</li> <li>6. State Mission Manager – HR &amp; Capacity Building</li> </ol>	<ol style="list-style-type: none"> <li>1. State Mission Manager - Social Mobilisation and Infrastructure</li> <li>2. State Mission Manager - Skills and Livelihoods</li> <li>3. State Mission Manager – Financial Inclusion &amp; Micro Enterprises</li> <li>4. State Mission Manager - MIS &amp; ME</li> </ol>

#### **Terms of Reference (ToR) for SMMU positions**

##### **I. Scope of work**

The person selected for these positions will assist the State Mission Director, SULM in operationalizing the respective components of NULM at the state level. The position is a contractual engagement, initially for two years. Renewal of contract is done every two years based on performance appraisal. The incumbent will directly report to the State Mission Director, SULM. S/he will work closely with and support the teams at the city level responsible for respective component of NULM. The person will need to travel extensively to NULM cities of the state. The person should have good command on writing and speaking both English and the regional language



## II. Educational Qualifications, Experience and Competencies

S.N	Position	Education and Experience Particulars	Competencies
1	State Mission Manager - Social Mobilisation and Institution Development	Two year full time Post graduate diploma in Management/ MBA or Masters in any other relevant discipline with 5 years of experience Or Graduate from government recognised institutes with 8 years of experience in Social Development work with poverty reduction programmes of considerable size and scale	The person should be Proficient with MIS office; should have acknowledged capabilities in partnership management; strong analytical, conceptual and strategic thinking skills; ability to handle large scale planning, handling MIS etc. Experience of working with government institutions will be given preference
2	State Mission Manager – Shelters and Social Infrastructure	Two year full time Post graduate diploma in Management/ MBA or Masters in any other relevant discipline with 5 years of experience Or Graduate from government recognised institutes with 8 years of experience in poverty reduction programmes involving social development and establishment/ monitoring/ maintenance of community infrastructures	
3	State Mission Manager - Skills and Livelihoods	Two year full time Post graduate diploma in Management/ MBA or Masters in any other relevant discipline with 5 years of experience Or Graduate from government recognised institutes with 8 years of experience in implementation of skill training and placement programmes with considerable size and scale	
4	State Mission Manager – Financial Inclusion & Micro Enterprises	Two year full time Post graduate diploma in Management/ MBA or Masters in any other relevant discipline with 5 years of experience Or Graduate from government recognised institutes with 8 years of experience in dealing with credit linkages, social security and/or micro enterprises promotion in poverty reduction programmes/ financial institutions	
5	State Mission Manager – HR & Capacity Building	Two year full time Post graduate diploma in Management/ MBA or Masters in any other relevant discipline with 5 years of experience Or Graduate from government recognised institutes with 8 years of experience in staff recruitment, training and capacity building work with state level projects	The person should have, in addition to the above mentioned competencies, acknowledged capabilities in client management; excellent negotiation skills; ability to handle large scale recruitment; developing a theme based capacity building strategy and modules etc.
6	State Mission Manager – MIS & ME	Two year full time Post Graduate diploma / Masters in Computer Science, M.Sc. (computer science), B.Tech (computer science) or MCA from government recognized institute/ university with at least 5 years of experience in designing and implementation of MIS and ME for large development projects, preferably poverty reduction project and full understanding of Data Analysis Technique	The person should have, in addition to the above mentioned competencies, very good documentation skills and should be very good at preparation of reports; Proficient with Project Management software; Database Management systems; website development and management



### III, Key Responsibility Areas

**a) State Mission Manager – Social Mobilisation and Institution Development**

- i. Ensure that state and cities adhere to the guidelines prescribed by NULM
- ii. Develop work plan for implementation of Social mobilisation component in the state
- iii. Responsible for the SM&ID targets of the state with respect to community mobilisation, SHGs, Federations and Revolving Fund
- iv. Identification and empanelment of Resource Organisations (ROs) under NULM
- v. Ensure the SHGs, ALF and CLF structures are established across all cities in the state
- vi. Identifying technical and capacity building resource agencies, regular interface with them and engage them in implementation of NULM
- vii. Responsible for providing need based Technical Assistance to the City Mission Management Units
- viii. Support the resource agencies in capacity building/ sensitization of CMMUs with in or across the states. S/he will also oversee the development of capacity building modules, arranging cross learning workshops related to KRAs as and when required
- ix. Arranging for appropriate linkages with relevant agencies/departments and integrate Social mobilisation agenda in implementing of NULM
- x. Ensure reporting of the Social mobilisation and institution Development component
- xi. Work closely with other State Mission Managers at the state level for successful implementation of NULM
- xii. Perform any other related tasks assigned by the State Mission Director, SULM.

**b) State Mission Manager – Shelters and Social Infrastructure**

- i. Ensure that cities adhere to the guidelines prescribed by NULM
- ii. Planning, establishment and operationalisation of CLCs in the state
- iii. Ensure implementation of USVs & SUH components in the state
- iv. Identification of facilitation organisations for promotion of CLCs and implementation of the same through PPP mode



- v. Work closely with ULBs with regard to CLCs, Vendor Markets and Shelters for Urban homeless
- vi. Ensure that all the city vendor development plan are prepared and operationalized at city level
- vii. Responsible for providing need based Technical assistance to the City Mission Management Units
- viii. Responsible for ensuring linkages with other line departments at the state level for integrating the social infrastructure agenda for effective coordination and implementation of the mission at the state level
- ix. Support the resource agencies in capacity building/ sensitization of CMMUs with in or across the states. S/he will also oversee the development of capacity building modules, arranging cross learning workshops related to KRAs as and when required
- x. Ensure reporting against KRAs
- xi. Work closely with other State Mission Managers at the state level for successful implementation of NULM
- xii. Perform any other related tasks assigned by the State Mission Director, SULM

**c) State Mission Manager – Skills and Livelihoods**

- i. Ensure that state and cities adhere to the EST & P guidelines prescribed by NULM
- ii. Prepare work plan for EST & P agenda across the state
- iii. Responsible for the EST & P targets of the state
- iv. Responsible for Identification and empanelment of Skill Training Providers (STPs), agencies for accreditation and certification
- v. Monitoring the performance quality of the STPs and other agencies involved
- vi. Responsible for providing need based Technical assistance to the City Mission Management Units
- vii. Support the resource agencies in capacity building/ sensitization of CMMUs. S/he will also oversee the development of capacity building modules, arranging cross learning workshops related to KRAs as and when required



- viii. Ensure linkages with industry associations, skill development mission, sector skill councils, line departments, resource institutes, and other relevant agencies
- ix. Ensure reporting against KRAs
- x. Work closely with other State Mission Managers at the state level for successful implementation of NULM
- xi. Perform any other related tasks assigned by the State Mission Director, SULM

**d) State Mission Manager – Financial Inclusion and Micro Enterprises**

- i. Ensure that state and cities adhere to the guidelines prescribed by NULM
- ii. Prepare work plan for Universal Financial Inclusion (UFI) and Self Employment Programme (SEP) agenda across the cities
- iii. Responsible for UFI & SEP targets of the state
- iv. Ensure the bank linkages for SHGs and its members
- v. Facilitate access to credit for micro enterprises set up by the urban poor
- vi. Responsible for providing need based Technical Assistance to the City Mission Management Units
- vii. Support the resource agencies in capacity building/ sensitization of CMMUs with in or across the states. S/he will also oversee the development of capacity building modules, arranging cross learning workshops related to imparting financial literacy to urban poor and other KRAs as and when required
- viii. Arranging for appropriate linkages with relevant agencies/departments and integrate Universal Financial Inclusion and Self-employment programme agenda in implementing of NULM
- ix. Ensure reporting against KRAs
- x. Work closely with other State Mission Managers at the state level for successful implementation of NULM
- xi. Perform any other related tasks assigned by the State Mission Director, SULM



**e) State Mission Manager – MIS & ME**

- i. Prepare work plan for monitoring of the components of NULM
- ii. Responsible for the ensuring proper implementation of MIS at the state level, compilation of information across the cities and submission of the same to the national level
- iii. Undertake field visit to cities /ULB's for real time monitoring of the scheme
- iv. Ensure timely information is submitted by ULB's (CMMU's) for accessing the percolation of the program at grass root level at state level
- v. Responsible for providing need based Technical Assistance to the City Mission Management Units
- vi. Support capacity building of CMMUs with in or across the states in implementation of MIS and M&E. S/he will also oversee the development of capacity building modules related to MIS etc.
- vii. Ensure adherence to all monitoring and reporting systems like baseline study, MPRs, Process documentation etc.
- viii. Work closely with other State Mission Managers at the state level for successful monitoring of NULM
- ix. Perform any other related tasks assigned by the State Mission Director, SULM

**f) State Mission Manager – HR & Capacity Building**

- i. Ensure that state and cities adhere to the guidelines prescribed by NULM
- ii. Prepare work plan for implementation of CB&T component in the state
- iii. Responsible for the CB&T targets of the state
- iv. Ensure CMMU structures are established and staffed across all cities in the state
- v. Identifying technical and capacity building resource agencies, regular interface with them and engage them for building the capacities of the stakeholders of NULM
- vi. Responsible for providing need based Technical Assistance to the City Mission Management Units
- vii. Support the resource agencies in capacity building/ sensitization of CMMUs with in or



across the states. S/he will also oversee the development of capacity building modules, arranging cross learning workshops related to KRAs as and when required

- viii. Arranging for appropriate linkages with relevant agencies/departments in order to strengthen the capacities of the staff and other stakeholders of NULM
- ix. Reporting against KRAs
- x. Work closely with other State Mission Managers at the state level for successful implementation of NULM
- xi. Perform any other related tasks assigned by the State Mission Director, SULM



## Annexure IV

### Model contract for Technical Expert (Consultant)

(This model contract suggests the content for contract agreement of a Technical Expert and indicative one. States may use/modify the modal contract as applicable to them)

THIS AGREEMENT is made and executed at <Place> on this the <Date>

BETWEEN

<Name of organisation>, <type of registration and act >, having its Registered Office < office address> (hereinafter referred to “<short form>” which expression shall unless repugnant to the context includes its successors, representatives, agents, attorneys and assigns etc.), as the FIRST PARTY

AND

<Name of the Technical Expert> having its residence at < address>, (hereinafter referred to as “Consultant” which expression shall unless repugnant to the context include its successors, representatives, administrators and assigns etc.), as the SECOND PARTY.

#### 1. PURPOSE

1.1 The purpose of this Agreement is to set out the terms and conditions upon which the Consultant will provide the services as set out in the Terms of Reference attached as **Appendix IIIa** to this Agreement.

#### 2. PRIOR NEGOTIATIONS AND OTHER AGREEMENTS

2.1 This Agreement supersedes all prior representations or agreements whether oral or written between the parties relating to the subject matter hereof.

#### 3. SERVICES PROVIDED BY THE CONSULTANT

3.1 <name of organisation> has offered and the Consultant has accepted this engagement, on the terms set out in this Agreement, to provide independent advisory and consulting services for < name of programme>, as set out in the Terms of Reference attached as **Appendix IVa** to this Agreement and in relation to such projects and management issues as shall emerge, from time to time



3.2 Place: The Services shall be provided at <name of programme> office in <location> or at any other place specified by the <Reporting Officer – Mission Director/ State Mission Director/City Project Officer>. The Consultant may leave the place of work for whatever reason during the term of this assignment subject to the approval of <Reporting Officer>.

3.3 During the term of engagement under this agreement, the Consultant shall not accept or perform engagements for any other company, firm, project or person, and shall be exclusively assigned to the project.

3.5 Throughout the term of this agreement, the Consultant shall, when required, give to the <Reporting Officer> (or to such other person or persons as it may direct) such written or oral advice or information regarding any of the Services as it may reasonably require.

#### **4 PAYMENT TO THE CONSULTANT**

4.1 For the services rendered to the project <Organisation name> will pay for the consultant a fee, details of which have been given in **Appendix IVb**

4.2 The fees payable are deemed to cover all costs of whatsoever nature that the Consultant may incur except those otherwise specifically provided for. The agreed fee is inclusive of all sundry payments. However, any taxes or statutory levies shown separately on the invoice shall be paid by the <Organisation name>.

4.3 The payment of fee is subject to complying with the requirements of the terms of reference to the satisfaction of the <Reporting Officer> and preparation/submission of required documents to the satisfaction of the <Reporting Officer>.

4.4 All payments to the Consultant will be made within 15 days of receipt of invoice (to be submitted at the end of the month).

4.5 If the consultant fails to comply with their obligations hereunder then <Organisation name> shall be entitled to set-off payments due and owing to <Organisation name> against such payments as due and owing to the Consultant under this Agreement

4.6 All invoices should be made out to <Organisation name> and should quote the Contract Number.

4.7 The financial limit of <Organisation name>'s liability under this Agreement is as set out in **Appendix IVb** and may not be exceeded without <Organisation name>'s prior written agreement.



No duties shall be performed, which would result in the financial limit of this Agreement being exceeded without the prior written agreement of <Organisation name>.

4.8 The Consultant warrants and represents to <Organisation name> that it is an independent contractor and, as such, bears sole responsibility for payment of applicable taxes and compliance of laws. The consultant further agrees to indemnify <Organisation name> in respect of all and any tax, any other contributions or other local levies of any kind which may be found due from <Organisation name> on any payments or arrangements made under this Agreement together with any interest, penalties or gross-up thereon.

## 5. INSURANCE

5.1 <Organisation name> shall not be responsible for providing any insurance cover and the Consultant shall be responsible for arranging any cover that may be required for the performance of this Agreement. In particular <Organisation name> requires that the Consultant holds suitable life, medical, Personal Accident and Travel Insurance.

5.2 The consultant engaged to provide the services must be in good health and if his/her health condition is not good enough to complete the assignment, he/she must report his/her health condition to <Reporting Officer> without delay.

5.3 Prior to driving any vehicle, the Consultant must ensure that he/she has insurance cover for both damage to the vehicle itself and any third party liabilities.

## 6. PERMITS AND LICENCES

6.1 The Consultant shall be solely responsible for obtaining any permit or license required for the performance of this Agreement under the laws and regulations in force at the place where the tasks assigned to the Consultant are to be performed. <Organisation name> may terminate the engagement without notice if the Consultant fails, with or without his/her own fault, to obtain any permit or license required for the performance of this Agreement.

## 7. STATUS OF CONSULTANT

7.1 Unless otherwise provided, the Consultant shall not act on behalf of or commit <Organisation name> with regard to third parties or hold itself out or permit itself to be held out as having any authority to do or say anything on behalf of or in the name of <Organisation name>. The Consultant shall abstain from any statement or behaviour, which might be misunderstood in this respect by



any third party.

7.2 The Consultant shall refrain from any relationship that would compromise the independence of the Consultant. If the Consultant fails to maintain such independence, <Organisation name> may, without prejudice to compensation for any damage, which <Organisation name> may have suffered on this account, terminate this Agreement forthwith.

7.3 The Consultant shall obey and abide by all laws and regulations in force in the state or country in which this Agreement is to be performed. The Consultant shall indemnify <Organisation name> against any claims and proceedings arising from any infringement by the Consultant of such laws and regulations.

7.4 The Consultant shall respect the political, cultural and religious practices prevailing in the state or country in which this Agreement is to be performed.

## **8. DISCLOSURE OF INFORMATION**

8.1 All Information used or held by the Consultant during the period of the Agreement shall be and remain at all times property of <Organisation name>. Upon the termination or expiration of the Agreement, the Consultant shall promptly deliver to <Organisation name> all such tangible items related to this agreement, which is in its possession or control of the consultant and which either belong to <Organisation name> or contain information related to this agreement.

8.2 The Consultant shall not disclose or use or cause to be disclosed or use, at any time during or subsequent to the Agreement, any secret or confidential information of <Organisation name>, or any other information relating to the business, financial or other affairs of <Organisation name> except as required by <Organisation name> in connection with the Consultant's performance of the Agreement or as required by law with intimation to <Organisation name>.

8.3 The provisions of this clause shall survive termination/expiry of this Agreement at any time for any reason.

## **9. INTELLECTUAL PROPERTY RIGHTS**

9.1 All Intellectual Property Rights created by the Consultant in the course of providing the Services, or otherwise supplied by the Consultant to <Organisation name> in the course of providing the services shall vest in <Organisation name>.

9.2 Without prejudice to the generality of the above said provision, the consultant shall have no rights over any literary or other works which includes database, tables & compilation, computer



programmes, sound recording and photographs created during performance of this contract. The <Organisation name> shall be the first owner of copyright as per the Copyright Act, 1957. The Consultant hereby waives any moral rights in these works.

9.3 The provisions of this clause shall survive termination/expiry of this Agreement at any time for any reason.

## **10. TERMINATION OF AGREEMENT**

10.1 Either party may terminate this agreement by written notice of one month. <Organisation name> may terminate this Agreement by written notice of one month if in the opinion of <Organisation name> it appears desirable; or by summary notice in the event of a material breach by the Consultant of its obligations under this Agreement or if <Organisation name> so demands.

10.2 In the event of termination:

- (a). Payments due under this Agreement will be made up to the date of termination, after setting off dues as per this agreement. No other payments will be due or paid.
- (b). <Organisation name> may require the Consultant to deliver up all working papers, computer disks, tapes or other material, together with any copies relating to the business of <Organisation name> or prepared by the Consultant in connection with this Agreement; and
- (c). All other reports due as at the date of termination shall be submitted.

## **11. REPORTING**

11.1 The Consultant shall report to the <Reporting Officer> and shall furnish with such information and periodic reports as requested.

## **12. APPLICABLE LAW AND RESOLUTION OF DISPUTES**

12.1 This Agreement shall, in all respects be governed by Indian Law. The parties shall endeavour to settle any dispute arising from this Agreement amicably, but in the event that this is not possible the matter in dispute shall be referred to the arbitration of a single arbitrator to be agreed between the parties or in default of agreement, to be nominated by <Organisation name>. The arbitrator's decision shall be final and binding on both parties.

12.2 The Courts of jurisdiction of <location>, India only shall have the jurisdiction to decide any dispute pertaining to interpretation, performance, remedies, liabilities, rights and other matters pertaining to this agreement.



### **13. NOTICES**

13.1 Any notice required to be given by either party to the other shall be in writing and shall be served by sending the same by facsimile, personal delivery or registered post to the address of the other party to receive it as stated below or such other address as may from time to time be notified by either party to the other in writing and any receipt issued by the postal authority shall be conclusive evidence of the fact and date of posting of any such notice.

### **14. FORCE MAJEURE**

14.1 Neither party shall be considered to be in default or in breach of its obligations under this Agreement if the performance of such obligations is prevented by any circumstances of force majeure, which arise after the date when the engagement becomes effective.

### **15. INDEMNITY**

15.1 The Consultant shall exercise reasonable skill, care and diligence in the performance of this Agreement and shall indemnify and keep indemnified <Organisation name>, its agents and employees in respect of any loss, damage or claim howsoever arising out of or related to the execution or implementation of this Agreement.

### **16. SEVERABILITY**

16.1 If any term, clause or provision of this Agreement shall be judged to be invalid for any reason whatsoever, such invalidity shall not affect the validity or operation of any other term, clause or provision of this Agreement and such invalid term clause or provision shall be deemed to be deleted from this Agreement.

### **17. LANGUAGE**

17.1 Except as may otherwise be agreed all reports or other written or printed material provided by the Consultant and all communications and correspondence between the parties hereto related to this Agreement shall be in the English language.

### **18. AMENDMENTS**

18.1 The provisions of this Agreement may be amended or supplemented only by means of a supplementary agreement signed by each of the parties or their duly authorized representatives.

18.2 This agreement is personal between <Organisation name> and the Consultant and neither may sell, assign or transfer any duties, rights or interests created under this Agreement without the prior written consent of the other.



## **19. DATE OF COMING INTO FORCE**

19.1 This Agreement will come into force as of the date of its signature by both parties.

## **20. INTERPRETATION:**

In this Agreement, unless otherwise specified or repugnant to the context:

20.1 'Intellectual Property Rights' includes any and all patents, patent applications, know how, unregistered and registered trademarks, trade mark applications, trade names, registered designs, unregistered design rights, semiconductor topography rights, copyright, database rights or any other similar intellectual or commercial rights in India or anywhere in the world.

20.2 <Organisation name> means any third party who has appointed/employed/hired <Organisation name> for any purpose.

20.3 Reference to a party is reference to a party of this agreement and this includes the party's permitted assignees and/or the respective successors in title to the whole undertaking;

20.4 Reference to a person includes any person, individual, Company, firm, corporation, government, state or Organisation of a state, or any undertaking regardless of it having a legal representative or not and notwithstanding of the law under which it exists;

20.5 Reference to any statute or statutory instrument or any of its provisions shall be interpreted a statute or statutory instrument or provision that is re-enacted or amended from time to time;

20.6 All words/terms denoting the singular shall include the plural and vice versa; All words/terms denoting any gender shall include all genders;

20.7. All appendices are an integral part of this agreement. References to the appendices shall be interpreted as references of this agreement.

IN WITNESS WHEREOF the parties hereto have duly executed this agreement and caused their seal/signatures to be hereunto affixed as of the day,

For and on behalf of the <Organisation name>,

For and on behalf of the Consultant,

SIGNATURE

SIGNATURE

Name:

Name:

Position:

Date:

Date



## **Appendix IV a-Terms of Reference**

### **Key Responsibilities**

To provide the list of key responsibilities for the position

## **Appendix IVb: Payment**

Subject to the Consultant complying with the requirements of the Terms of Reference to the satisfaction of <Reporting Officer> or its authorized representative and the Consultant submitting an invoice and time sheet/monthly reports (Appendix 3) approved by the <Reporting Officer> or authorized representative detailing the days worked, <Organisation name> will pay fees for the time necessarily spent by the Consultant for the proper purposes of this Agreement at the rate of < remuneration amount> per person month(30 days or prorata). On receipt of Service Tax Registration number from the consultant, <Organisation name> shall also pay Service Tax at the appropriate rate.

Payment of Fees will be subject to deductions of TDS (Tax Deducted at Source) at the appropriate rate.

Communication Allowance on actuals (to the limit of Rs <amount details> per month) shall be reimbursed by <Organisation name>.

For outstation trips (Outside <place of job location>), the TA/DA norms shall be as follows:  
 <Organisation name> shall arrange accommodation or reimburse boarding and lodging expenses (to the limit of < amount details> per day) on actuals.

<Organisation name> shall arrange Outstation travel of upto < number> Kms by train (< class details>). For distances more than <number> KM, Air journey (economy class) through national carriers only shall be facilitated.

The reimbursement of road journey will be restricted to Rs <rate >per km or actual amount whichever is less.



<Organisation name> shall arrange local travel for official purpose only through a non AC taxi. All original ticket stubs and boarding passes , expense vouchers (including duty receipts in case of hiring of taxi and receipt of payments) as appropriate also need to be provided to <Organisation name> along with reimbursement claims.

### **Leave**

The Consultant will be entitled for <number> days Leave (including <number> days sick leave) in a Year. This is in addition to National holidays observed by <Organisation name>

All leaves shall require prior approval of <Reporting Officer> or authorized representative.

There would be no carryover of leave/s at the end of the Contract period and no payment in lieu of un-availed leave.



## Annexure V

### Details of the Technical Experts to be positioned at CMMU Level

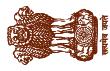
City Mission Management Units (CMMUs) will have with two experts in cities below 3 lakh population, three experts in cities with a population of 3 to 5 lakh and four experts in cities having more than 5 lakh population. However, states/cities may propose their own list based on the requirement for the technical experts in the programme. The details of the positions at CMMU level are as follows:

<b>Large cities (&gt; 5 Lakh Population)</b>	<b>Medium cities (&gt;3 &amp;&lt;5 Lakh Population)</b>	<b>District Headquartered towns (&lt; 1 lakh Population) &amp; Small cities (&gt;1 &amp;&lt;3 Lakh Population)</b>
1. Manager - Social Development & Infrastructure	1. Manager - Social Development & Infrastructure	1. Manager - Social Development & Infrastructure
2. Manager - Skills and Livelihoods	2. Manager - Skills and Livelihoods	2. Manager - Skills and Micro Enterprises
3. Manager -Financial Inclusion& Micro Enterprises	3. Manager -Financial Inclusion& Micro Enterprises	
4. Manager – MIS &ME		

### B) Terms of Reference (ToR) for CMMU positions

#### I. Scope of work

The person selected for these positions will assist the City Project Officer, CMMU in operationalizing the respective components of NULM at the city level. The position is a contractual engagement, initially for two years. Renewal of contract is done every two years based on performance appraisal. The incumbent will directly report to the City Project Officer, CMMU. The person should have good command on writing and speaking both English and the regional language



## II. Educational Qualifications, Experience and Competencies

S.No.	Position	Education and Experience Particulars	Competencies
1	Manager - Social Development & Infrastructure	Two year full time Post graduate diploma in Management/ MBA or Masters in any other relevant discipline with 3 years of experience Or Graduate from government recognised institutes with 6 years of experience in Social Development work with poverty reduction programmes	The person should be Proficient with MS office; strong analytical skills; Experience of working with government institutions will be given preference
2	Manager - Skills and Livelihoods	Two year full time Post graduate diploma in Management/ MBA or Masters in any other relevant discipline with 3 years of experience Or Graduate from government recognised institutes with 6 years of experience in implementation of skill training and placement programmes	
3	Manager – Financial Inclusion & Micro Enterprises	Two year full time Post graduate diploma in Management/ MBA or Masters in any other relevant discipline with 3 years of experience Or Graduate from government recognised institutes with 6 years of experience in dealing with credit linkages, social security and/or micro enterprises promotion in poverty reduction programmes/ financial institutions	
4	Manager - MIS &ME	Two year full time Post Graduate diploma / Masters in Computer Science, M.Sc. (computer science), B.Tech (computer science) or MCA from government recognized institute/ university with at least 3 years of experience in designing and implementation of MIS and ME for large development projects, preferably poverty reduction project	The person should have, in addition to the above mentioned competencies, very good documentation skills and should be very good at preparation of reports; Proficient with Project Management software; Database Management systems; website development and management



### III. Key Responsibility Areas

#### a) Manager – Social Mobilisation and Institution Development

- i. Ensure that city adheres to the guidelines prescribed by NULM
- ii. Develop work plan for implementation of Social mobilisation component for the city
- iii. Responsible for the SM&ID, USVs & SUH targets of the city with respect to community mobilisation, SHGs, Federations, Revolving Fund, CLCs, Vendor development plan, Vendor Markets development and Shelters for Urban homeless etc.
- iv. Ensure the SHGs, ALF and CLF structures are established in the city
- v. Responsible for providing need based Technical Assistance to Community Organisers (COs)
- vi. Arranging for appropriate linkages with relevant agencies/departments and integrate Social mobilisation agenda in implementing of NULM
- vii. Ensure reporting of the Social mobilisation and institution Development component
- viii. Work closely with other Managers at the city level for successful implementation of NULM
- ix. Perform any other related tasks assigned by the City Project Officer, CMMU

#### b) Manager – Skills and Livelihoods

- i. Ensure that the city adhere to the EST & P guidelines prescribed by NULM
- ii. Prepare work plan for EST & P agenda for the city
- iii. Responsible for the EST & P targets of the city
- iv. Ensure Identification of Skill Training Providers (STPs) at the city level and monitoring the performance quality of the STPs and other agencies involved
- v. Responsible for providing need based Technical assistance to COs
- vi. Ensure linkages with industry associations, skill development mission, sector skill councils, line departments, resource institutes, and other relevant agencies
- vii. Ensure reporting against KRAs
- viii. Work closely with other Managers at the city level for successful implementation of NULM



ix. Perform any other related tasks assigned by the City Project Officer, CMMU

**c) Manager – Financial Inclusion and Micro Enterprises**

- i. Ensure that the city adhere to the guidelines prescribed by NULM
- ii. Prepare work plan for Universal Financial Inclusion (UFI) and Self Employment Programme (SEP) agenda for the city
- iii. Responsible for UFI & SEP targets of the city
- iv. Ensure the bank linkages for SHGs and its members at the city level
- v. Facilitate access to credit for micro enterprises set up by the urban poor at the city level.
- vi. Responsible for providing need based Technical Assistance to COs
- vii. Arranging for appropriate linkages with relevant agencies/departments and integrate Universal Financial Inclusion and Self-employment programme agenda in implementing of NULM
- viii. Ensure reporting against KRAs
- ix. Work closely with other Managers at the city level for successful implementation of NULM
- x. Perform any other related tasks assigned by the City Project Officer, CMMU

**d) Manager – MIS & ME**

- i. Prepare work plan for monitoring of the components of NULM
- ii. Responsible for the ensuring proper implementation of MIS at the city level, compilation of information at the city level and submission of the same to the state
- iii. Undertake real time monitoring of the scheme at the city level
- iv. Responsible for timely submission of information to state
- v. Responsible for providing need based Technical Assistance to COs
- vi. Adhere to all monitoring and reporting systems like baseline study, MPRs, Process documentation etc. at city level
- vii. Work closely with other Managers at the city level for successful monitoring of NULM
- viii. Perform any other related tasks assigned by the City Project Officer, CMMU



## B) Terms of Reference (ToR) for Community Organiser (CO)

### I. Scope of work

The person selected for this position will cover least 3000 urban poor families at the city level. S/he will interact and will have direct interface with the urban poor and assist them in accessing all the benefits of NULM. The position is a contractual engagement, initially for two years. Renewal of contract is done every two years based on performance appraisal. The incumbent will report to the City Project Officer, CMMU or any other officer assigned by him. The person should have good command on writing and speaking both English and the regional language.

### II. Education and experience particulars

The suggested educational qualification for this position is Intermediate (10+2) in any discipline. However, states and cities may decide to increase the educational qualification required for this position based on the local conditions. Candidates should have at least 5 years of experience in working with community on social development. If the existing COs fulfil the criteria, they may also be considered. Proficiency in MS office (Word, Excel, power point etc) is required.

### III. Key Responsibility Areas

- i. Ensure that the social mobilisation of urban poor in his or her operational area – directly or through Resource Organisations (ROs)
- ii. Facilitate community in forming into groups/federations
- iii. Facilitate implementation of various programmes/aspects related to NULM in his/her operational area
- iv. Develop community level comprehensive database on infrastructure, assets and social aspects, update the database periodically
- v. Support and strengthen SHGs and their federations including the SHGs of disabled persons in accessing convergent services
- vi. Promote SHG-Bank linkage
- vii. Establish liaison with government departments for convergence
- viii. Assist in surveys related to NULM
- ix. Support implementation of development works like community contracts, O & M of community assets etc.



- x. Document the working of good practices
- xi. Organize and attend community level meetings trainings, as per the need.
- xii. Submit periodic reports as necessary
- xiii. Any other tasks/ duties as assigned from time to time by the CPO



## Annexure VI

### **Framework for selection of an Agency for setting up of Mission Management Units at National, State or City level**

(This framework suggests how an agency can be engaged for setting up of Mission Management Units (MMUs) at National, State and City levels and indicative one. States may use/modify the framework as applicable to them)

#### **I. Background**

The mission of National Urban Livelihood Mission (NULM), a flagship programme of the Ministry of Housing and Urban Poverty Alleviation, is to reduce poverty and vulnerability of the urban poor households by enabling them to access gainful self-employment and skilled wage employment opportunities, resulting in an appreciable improvement in their livelihoods on a sustainable basis, through building strong grassroots level institutions of the poor. The important strategies followed by NULM are

- i. Building skills to enable access to growing market-based job opportunities offered by emerging urban economies
- ii. Training for and support for the establishment of micro-enterprises by the urban poor – self and group
- iii. Building capacity of the urban poor, their institutions and the machinery involved in the implementation of livelihoods development and poverty alleviation programmes
- iv. Ensure availability and access of the urban homeless population to permanent 24-hour shelters
- v. Support to Urban Street Vendors

The National Urban Livelihoods Mission (NULM) will have a three-tier interdependent structure for implementation of the programme. NULM will be headed by a Mission Director at the national level, State Urban Livelihoods Mission (SULM) will be headed by a State Mission Director at the state level and a City Project officer (CPO) will be headed by at the city level. These tiers of NULM will be closely interlinked and guided by the common objective of



promoting sustainable livelihoods of the poor and work with the goal of eradication of urban poverty and empowerment of the urban poor.

For the purpose, NULM lays emphasis on promotion of professionally competent and dedicated implementation team structures at the city, state and national level for managing and supporting all mission activities.

NULM may decide to hire the services of an agency that could play the role of the NMMU/ SMMU/ CMMU at National, State or City level respectively, which will provide support services for core programme implementation across all components of NULM. Hiring of such an agency will accordingly replace the need to hire individuals at NMMU/SMMU/CMMU level to support the Mission at these levels.

## **II. Scope of work**

1. The agency will be responsible for deploying suitable and qualified manpower as required by the MMU
2. The manpower deployed by the agency for the MMU will be dedicated full time staff. To ensure quality, the agency will develop and follow an exclusive HR policy describing the standards and guidelines for managing the manpower deployed. The manpower deployed should be in accordance with the service requirement of the MMU for which they are being appointed
3. Composition of manpower to be deployed by the agency will be based on the standard functions of the MMU as described in the CB&T guidelines of NULM
4. The agency will ensure the selection of only those candidates who fulfil the eligibility criteria prescribed. Under no circumstances, should the selection and recruitment process be diluted
5. The agency will ensure that in case a person on the team leaves, a replacement is made available in the shortest possible time
6. The agency will carry out the entire procurement process viz., advertising, issuing RfPs etc. However, evaluation and final selection of the candidates will be carried out by SULM.
7. All the monitoring and reporting aspects of this assignment will be under the control and supervision of State Mission Director



8. The agency will need approval for its activity plan, including deployment of manpower from the State Mission Director on a quarterly basis

### **III. Selection of agency**

The selection will follow quality and cost based selection (QCBS). As part of the proposal, the agency will be required to submit a technical proposal that meets the evaluation criteria to be detailed in the RFP as well as a financial proposal.

### **IV. Reporting**

For all purposes the agency will report to the State Mission Director, NULM, government of India or his/her designee.

### **V. Duration of work**

The selection process will result in a contract for 12 months, though the total duration of the assignment has been envisaged for three years. Depending on the annual performance review of the agency and available budget the contract can be extended further on 12 monthly basis by mutual agreement.

### **VI. Eligibility criteria**

1. The agency should have at least 8 years of experience of providing similar services in the context of Urban Poverty Alleviation.
2. The agency should have at least 5 years of experience in strategic recruitment of professionals at leadership and operational levels both at national and state level.
3. The agency should have helped program management systems including fiduciary assurance mechanisms to at least 3 large scale projects in the past 5 years for national/state level government projects.

#### **Desirable**

1. A lead agency that could form a consortium of agencies to bring together diverse experiences in large scale urban poverty program management, strategic recruitment and placement of professionals will be preferred.



### Description of services

2. Key staff profile of HRS agency (indicative team of key members required)

S.N	Key member	Desired profile

3. Experts and profile of at least 4 positions required at the time of bidding

Position	Level	Key qualification required	Experience required



## Annexure VII

### **Framework for Engagement of Training agencies for Training and Other Capacity Building Support for Mission Management Units (MMUs) at the National, State and City levels**

(This framework suggests how training agencies can be engaged by the NULM/ SULM for capacity building of Mission Management Units (MMUs) at National, State and City levels and indicative one. States may use/modify the framework as applicable to them)

#### **A. Background**

The objective of National Urban Livelihood Mission (NULM), a flagship programme of the Ministry of Housing and Urban Poverty Alleviation, is to reduce poverty and vulnerability of the urban poor households by enabling them to access gainful self-employment and skilled wage employment opportunities, resulting in an appreciable improvement in their livelihoods on a sustainable basis, through building strong grassroots level institutions of the poor. The important strategies followed by NULM are:

- i. Building skills to enable access to growing market-based job opportunities offered by emerging urban economies
- ii. Training and support for the establishment of micro-enterprises (including urban street vendors) by the urban poor – self and group
- iii. Building capacity of the urban poor, their institutions (such as SHGs and their federations) and the machinery involved in the implementation of livelihoods development and poverty alleviation programmes
- iv. Ensure availability and access of the urban homeless population to permanent 24-hour shelters
- v. Support to Urban Street Vendors

The National Urban Livelihoods Mission will have a three-tier interdependent structure for implementation of the programme. The National Urban Livelihoods Mission (NULM) will be headed by a Mission Director at the national level, the State Urban Livelihoods Mission (SULM) will be headed by a State Mission Director at the state level and City Mission Management Unit (CMMU) will be headed by a City Project officer at the city level. These tiers of NULM will be



closely interlinked and guided by the common objective of promoting sustainable livelihoods of the poor and work with the goal of eradication of urban poverty and empowerment of the urban poor.

The National Mission Management Unit (NMMU) will work as the implementation arm of the NULM. The NMMU facilitates the setting up of SMMUs and CMMUs with adequate staffing, provides support in preparing the Perspective Plans (State Urban Poverty Reduction Strategy) and City Livelihood Development Plans, the preparation of guidelines under NULM, Liaise with other Missions/ Ministries/Departments/ Industry associations to explore areas for convergent action, Explores and facilitate partnerships for the livelihoods of urban poor, Undertake studies on best practices and disseminate the information, Develop capacity building and training modules, Undertake monitoring/evaluation/social audit of the NULM activities, and work closely with national network of resource centres/institutes to ensure the needed support for capacity building to states/cities at the state and city levels.

State Urban Livelihoods Mission (SULM) oversees the implementation of NULM activities at the city level through CMMUs. The SULM prepares State Urban Poverty Reduction Strategy/ Livelihood Development Plan, facilitates the preparation of City Livelihood Development Plans, ensures implementation of mission activities at the city level, guides the city units in organizational and technical issues; organizes state level skill training and placement support programmes, capacity building activities, workshops, seminars and cross-learning visits to promote the objectives of the Mission in the state with assistance for the network of resource centres; document the progress and process of implementation and best practices, undertakes concurrent/periodic evaluation/social audit of NULM activities.

CMMU will be established in all cities with a population of 100,000 persons or more and all District Headquarter Towns with a population of less than 100,000 persons as per 2011 census and will support the ULB for implementation of program activities at the city level.

To ensure Capacity building of MMUs NULM/SULM will engage the services of training agencies. The possible organisations which may be considered as training agencies for capacity building of MMUs are:

- i. NRCs empaneled with Ministry of Housing and Urban Poverty Alleviation
- ii. ATIs at state and district level



iii. Any other training organisations established by government or recognised by government

### **B. Expected outcomes of the engagement with training agencies**

1. The selected training agencies should provide capacity building inputs to key government officials implementing NULM at different levels viz., National, State and City levels and the teams positioned at NMMU, SMMU and CMMU levels. The capacity building inputs should cover, but is not limited to, the following thematic areas
  - i Poverty alleviation – framework, scope and possibilities
  - ii Social mobilisation – formation, functioning and management of SHGs and Federations
  - iii Convergence with line departments and government programmes
  - iv Financial inclusion and social security
  - v Employment through Skill training programmes
  - vi Functioning and management of CLCs
  - vii Management and functioning of Shelters for Urban Homeless
  - viii Devilment of vendor markets for street vendors
  - ix Training module development
  - x Enterprise promotions for urban poor
  - xi Participatory planning and assessment
  - xii Team Building and management
  - xiii Monitoring and evaluation of programmes
  - xiv Exposure visit to the best practices in and around city/ states
2. The duration of training may vary from 2 day orientation training to 7 days intensive trainings depending on the type of participant and level of knowledge to be imparted. It may consists of class room trainings, exposure visits on thematic areas, leaning visits etc.

### **C. Engagement criteria for Training Agencies**

1. As per of legal requirements, the potential training Organisation should be a registered body.
2. All potential training agencies should maintain its accounting records and have properly audited



annual statements of income and expenditure

3. The training agency should have a minimum 5 years' experience in training and capacity building of various stakeholders
4. The potential training agency should have at least 5 resource team members fully available for capacity building purpose

#### **D. Scope of work of training agencies**

The area of coverage and number of trainings to be conducted any given Training Agency will be defined at national or state level (NULM/SULM). The tasks of training agencies should include the following:

1. Preparation of training calendar as per the targets given at NULM/SULM for capacity building of MMU teams
2. Preparation or required training modules
3. Finalisation of training venue with proper infrastructure
4. Prior advance intimation to all MMUs before the commencement of training
5. Conducting the training programmes
6. Detailed reports on the trainings conducted

#### **E. Funding to training agencies**

An average amount of Rs. 7,500 per trainee can be used. The instalments to be provided to the training agencies may be as follows:

1. First instalment – 20% - after signing MoU with agency
2. Second instalment – 30% - after receiving the training calendar and quarterly progress report
3. Third instalment and further instalments – after receiving the progress report

#### **F. Monitoring & Evaluation of Training agencies**

The NULM/ SULM may develop various mechanisms for monitoring the progress and quality of the training programmes organised by the training agencies. These may include:

1. After training reports submitted by the training agencies



2. Supervision and periodic visits by the key officials of NULM/SULM in the trainings organised by the training agencies
3. Feedback from the training participants
4. Third party evaluation of the trainings organised and the impact of the trainings

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**Government of India**  
**Ministry of Housing & Urban Poverty Alleviation**  
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