

REVISED INCEPTION REPORT

COMMUNITY AWARENESS & PARTICIPATION CONSULTANCY (CAPC) SERVICES

GOVERNMENT OF RAJASTHAN RAJASTHAN URBAN SECTOR DEVELOPMENT PROGRAM

(ADB Loan No.: 3183 – IND)



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Submitted by:



IPE Global Private Limited

IPE Global House,

B – 84, Defence Colony, New Delhi – 110 024, India

Tel: 91(11) 4075 5900, 91(11) 9717209444, Fax: 91(11) 2433 9534

Website: www.ipeglobal.com

In association with



COGENT Training Research Development Consultants Private Limited

Office A, 3rd Floor, Tower A2,

Corporate Towers A-2, JLN Marg, Malviya Nagar,

Jaipur, Rajasthan, India - 302017

Telephone: +91 141 4116700-08

Email: info@cogent-consulting.net

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ABBREVIATIONS

ADB	Asian Development Bank
AIR	All India Radio
AP	Affected Persons
BCC	Behaviour Change Communication
CAPC	Community Awareness & Participation Consultant
CAPP	Community Awareness & Public Participation
CBO	Community Based Organization
DMA	District Metered Area
DMF	Design Monitoring Framework
FFA	Framework Financing Agreement
FGD	Focus Group Discussion
GESI	Gender Equality & Social Inclusion
GoR	Government of Rajasthan
HRD	Human Resource Development
IEC	Information Education Communication
IHSDP	Integrated Housing & Slum Development Program
NGO	Non-Government Organization
NHG	Neighbourhood Group
NRW	Non-Revenue Water
NULM	National Urban Livelihood Mission
O&M	Operation & Maintenance
PHED	Public Health & Engineering Department
PIU	Project Implementation Unit
PMDSC	Project Management Design & Supervision Consultant
PMU	Project Management Unit
PPMS	Project Performance Monitoring System
PSA	Public Service Announcement
RCV	Resident Community Volunteer

RUIDP	Rajasthan Urban Infrastructure Development Program
RUSDP	Rajasthan Urban Sector Development Program
SDP	Sector Development Program
SHG	Self Help Group
SWM	Solid Waste Management
TNA	Training Needs Assessment
TV	Television
UIDSSMT	Urban Infrastructure Development Scheme for Small & Medium Towns
ULB	Urban Local Body

CHAPTER

ONE

**RAJASTHAN URBAN
SECTOR DEVELOPMENT
PROGRAM: RUSDP**

1. Background

1.1 Introduction

Rajasthan¹ is the India's largest state, with an area of 3,50,000 square kilometres and a population of 68.6 million (2011 Census). The Aravalli mountain range runs from southwest to northeast across the state, dividing it into two distinct geographical regions—the Thar Desert covering more than 60% of the state, leaving Rajasthan **acutely deficient in water supply**, and the fertile eastern region. The distribution of the state's urban centres is related to climate, water resources, and soil fertility, with the northeast region more sparsely populated than the eastern region.



FIGURE 1: MAP OF RAJASTHAN

Rajasthan's towns and cities have always been among the best planned in India, but rapid population growth over the last four decades has brought urban decline. The state has an urban population² of around 17.04 million, 24.87% of its total population. Though lower than the national average of 27.8%, this proportion is expected to reach 26.1% (22.8 million) by 2021.

Despite concerted efforts by the National and State Governments to ensure that the development of new infrastructure in the larger cities of historical importance would remain

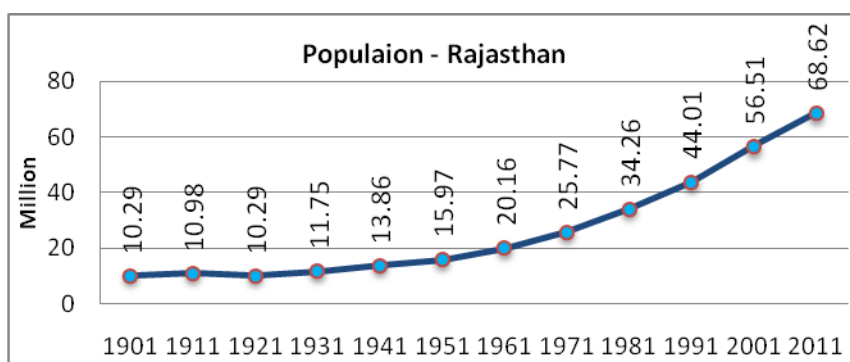


FIGURE 2: POPULATION GROWTH PATTERN IN RAJASTHAN

reasonably commensurate with population growth, the accelerated growth of urban areas has far outpaced the ability of the state and municipal governments to meet local needs.

Thus, infrastructure services—particularly in the areas of potable water supplies, waste water management, drainage and solid waste, road improvement, slum improvement & heritage — have lagged far behind the requirements of large urban cities with their increasing populations and population densities.

¹Urban Development and Housing Department, GOR

²(i) Census of India, 2011 (iii) RUIDP official website (iv) ADB Report and Recommendation of the President to the Board of Directors, "Proposed Multi-tranche Financing Facility India: Rajasthan Urban Sector Development Investment Program" October 2007

Though conditions vary from area to area, the State of Rajasthan is, in general, arid and is striving to provide adequate supplies of water to a rapidly growing urban population. Supplies of ground water, which are replaced only sporadically by monsoons, are inconsistent and water shortages recur perennially.

Citing this growth, the GoR took RUIDP with the loan assistance from ADB, to provide integrated quality infrastructural facilities in 6 divisional headquarters of the State and with the further requirement it was extended to 15 more towns under RUIDP Phase-II and in 6 towns in Phase III. The GoR formed RUIDP and entrusted the work of the infrastructure development in the urban cities.

1.2 RUIDP Phase -I Rajasthan Urban Infrastructure Development Project

GoR initiated a mega project for development of urban centers of the State in the year 2000 under ADB financing through RUIDP, established specially for this purpose. Under RUIDP Phase-I of the Program 6 divisional headquarter cities aiming for a population benefit of 77 Lacs by year 2011 were taken up for development of urban infrastructure including potable water supplies, waste water management, drainage, solid waste management, road improvement, slum improvement and heritage.

The towns covered under the project were **Ajmer, Bikaner, Jaipur, Jodhpur, Kota & Udaipur**. The Executing Agency (EA) for the Project was Urban Development Department (UDD).

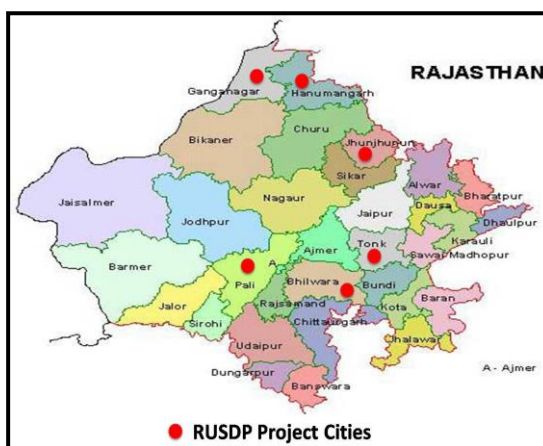
1.3 RUIDP Phase – II: Rajasthan Urban Sector Development & Investment Programme (RUSDIP)

The comprehensive RUSDIP or RUIDP Phase - II is still going on with the **Multi-tranche Financing Facility (MFF)** extended in three tranches since 2007. The project aims to improve the living conditions & urban environment, and optimize social and economic development of 15 urban centers of Rajasthan, viz., **Alwar, Baran, Barmer, Bharatpur, Bundi, Chittorgarh, Churu, Dholpur, Jaisalmer, Jhalawar, Karauli, Nagaur, Raj Samand, Sawai Madhapur and Sikar**.

Augmentation of the **water supplies** which is planned under the RUSDIP tries for a dramatic growth in the quantity of wastewater for which treatment facilities are inadequate. Therefore, rehabilitation and expansion of the urban water supply systems and improvements to the wastewater collection and treatment systems form a **primary focus of the RUSDIP programs**. The Project, however, also finances infrastructure construction and rehabilitation pertaining to solid waste management, storm water drainage, urban roads and bridges, slum area improvements, fire-fighting and conservation of historical sites, etc., as a part of the improvement

1.4 RUIDP Phase –III (Rajasthan Urban Sector Development Program)

While understanding of need for effectiveness in service delivery, GoR has approved for the RUSDP (RUIDP Phase III) with loan assistance from ADB to complement the past and ongoing efforts of GoR to improve service delivery in water supply, sewerage sectors including total sanitation to the residents of the selected cities of the state of Rajasthan.



It comprises of Project Loan of US\$250 million & Program Loan of US\$250 million. The Department of Economic Affairs, GoI through loan assistance from ADB, has approved the Project. The Project Loan component will be used in water distribution network improvements and sewerage systems in the 6 project cities³ namely **Bhilwara, Hanumangarh, Jhunjhunu, Pali, Sriganganagar and Tonk.**

The policy-based loan will provide financial support to the state government to implement reforms that will unlock the potential of various stakeholders, including municipal bodies, individual households, and private sector investors. The amount of the policy-based loan is based on the development financing needs of the state's urban sector, and the financial support required for reforms.

The project loan will support catalytic investments that enhance productivity and leverage finances from various other sources in the project cities. The project will also introduce innovations in water supply and wastewater management, such as continuous water supply, and long-term operation and maintenance embedded construction contracts for non-revenue water reduction and sustainability of operations.

³Error! Reference source not found., page number - 6.

CHAPTER

TWO

2.

COMMUNITY AWARENESS & PARTICIPATION CONSULTANT (CAPC)

Community Awareness & Participation Consultant (CAPC)

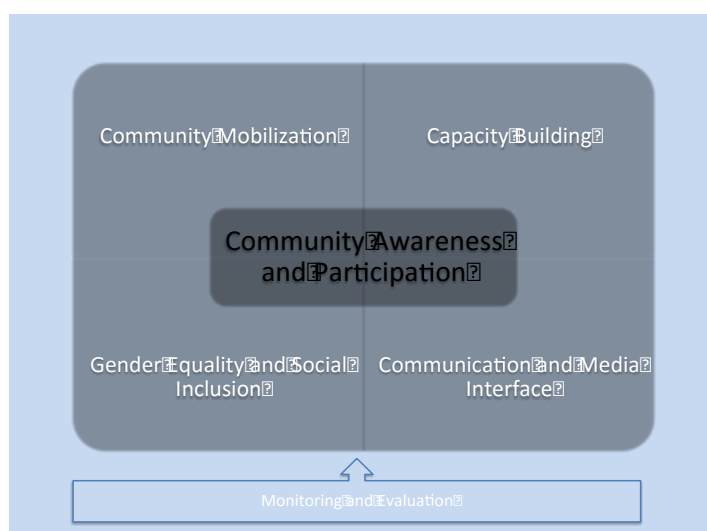
2.1 Introduction

CAPC has been designed with purpose of promoting and sustaining intensive community involvement and participation in all components of the RUSDIP. The main objectives of CAPC are:

- (i) To ensure community involvement during planning and implementation of all components of the project activities
- (ii) To create awareness among community regarding, environmental health, understanding of cost recovery issues and accessibility to the Project, all of which will lead to maximization of Project benefits and enhanced sustainability through improved community involvement
- (iii) To promote policy and institutional reforms through increased public awareness and assist in project monitoring.
- (iv) To include the poor, especially women, slum communities, and other vulnerable groups beneficiaries during all stages of project implementation⁷.
- (v) To facilitate training interventions for technical capacity building of the project functionaries, as well as managerial skill development.
- (vi) To design and implement training and HR interventions for strengthening of ULBs (for the entire state).

The CAPC activities can be broadly clubbed under 4 sections:

- (i) Community Mobilization in the project towns.
- (ii) Capacity Building of urban institutions and municipal bodies.
- (iii) Gender Equality & Social Inclusion (GESI).
- (iv) Communication & Media Interface



Monitoring and Evaluation is the

⁷For this purpose, the program design includes GESI (Gender Equality and Social Inclusion) action plan

cross cutting tasks that will be embedded in all the above-mentioned key performance areas. Detail approach and methodology of these sectors is provided in the following sections.

2.2 Establishment of office

Office for Core Unit: The office of CAPC Core Unit has been established at the 2nd floor of the RUIDP office premises situated at AVS Building, JLN Marg, Jaipur, with necessary minimum furniture and peripherals. Efforts are on to procure the furniture and office logistics. It is expected that this process would be completed in a couple of months.

Office in Project Cities: As desired by the project authorities in two project towns (Tonk and Pali) our Social Development Experts are sitting in the PIUs with bare minimum logistics. Furniture and office needs will be acquired by the Core Unit and dispatched to these units in a couple of month.

2.3 Staff Position & Mobilization

The following is the status of personnel mobilization as on 15th February, 2016. In some cases, the deployment is deferred by a few weeks as the person months proposed is less and they are required most in the later months. It was also agreed that during this time, the communication expert will oversee the necessary coordination on behalf of the team leader and the Training expert will fill the gap of the Human Resource development expert. However, concerted efforts are on to fill all positions according to need and actual requirement in the field for optimum utilization of available resources.

TABLE 1: STAFFING

S. No.	Name	Position	Person Months	Date of Mobilization	Town
1	Dr. Prabhakar Sinha	Team Leader cum Community Development Expert	39	14.03.2016	Jaipur
2	Mr. Babu Lal Sharma	Communication Expert	36	30.12.2015	Jaipur
3	Dr. Manisha Telang	Gender Specialist	12	04.01.2016	Jaipur
4	Dr. Vinita Mathur	Training Specialist	32	29.12.2015	Jaipur
5	Mr. Saurabh Pandey	Community Mobilization Specialist	18	04.01.2016	Jaipur
6	Mr. Jagmohan Sharma	Social Development Expert Cum Gender Specialist	39	29.12.2015	Tonk
7	Mr. Amit Kumar Dubey	Social Development Expert Cum Gender Specialist	39	20.01.2016	Pali

CHAPTER

THREE

**COMMUNICATION &
MEDIA INTERFACE
STRATEGY (CMIS)**

3. Communication & Media Interface Strategy (CMIS)

3.1 Introduction

The RUIDP Communication & Media Interface Strategy (CMIS) provides a guiding framework for all RUIDP Interventions in the area and is articulated at macro level so that Implementing Agency and Executing Agency can use it to define specific activities at all levels that will lead to the same overall goal and outcomes. The strategy will be implemented by CAPC at town level with support of PIU, PMDSC, Contractor and NGOs.

The strategy is characterized by an integrated approach that combines techniques in advocacy, communication and social mobilization. Having a clear and common understanding of these terms will contribute to consistent implementation. The Framework will concentrate on 5 dimensions of communication strategy “**AD-ATM**” that has been elaborated upon below:

1. **A**ppropriate individuals include the project consultants, specific program executive, Municipal Council and designated members of the project steering committee.
2. **D**efined message is project information that will inform various stakeholders as the project moves forward.
3. **A**ppropriate communication channel is the most effective medium to convey information – Including, but not limited to, project open forums, meetings, websites, electronic newsletters and e-mail—whichever is needed for efficient message distribution.
4. **T**arget audience is the individual(s) or group intended to receive specific project messages or updates.
5. **M**essage timing is when the communication item(s) can be of optimal value and support the goal of the overall project.

3.2 Communication Approaches

The main communication approaches suggested for different levels under RUIDP are advocacy, interpersonal communication, community-mobilization, supported and reinforced by mass media. The core communication approaches available to use with different audiences are:

- **Advocacy:** to influence public and policy with information and to raise the issue of water metering and sanitation higher in the policy agenda and in the minds of the people.

- **Environment Building at town level through mix media interventions:** to raise mass awareness, promote the 4 critical behaviours and programme information. Simultaneously also provide support to interpersonal and community mobilisation efforts by reinforcing and raising the credibility of the message carried by non-professionals.
- **Community Mobilization:** to initiate dialogue among community members to deal with critical issues related to support in project implementations activities, support from project affected person related to resettlement plan, taking house service connections of water supply and house sewer connections and hygiene and also provide a platform for the community to participate in decisions that affect their daily lives.
- **Interpersonal Communication:** is the key approach of this strategy to raise awareness on the importance of sanitation among the urban community and support the increased interest and willingness to uptake water metering, sanitation and hygiene practices.
- **Entertainment Education:** to disseminate messages which are educational in substance, entertaining in structure and popular in the community, in order to promote sanitation and hygiene messages by building on and coordinating with the above efforts.

3.3 CMIS Objective

- To provide current and useful information on program policies, practices and responding to public needs.
- To create community awareness among different stakeholders about the importance and benefit of improved facilities being provided by RUIDP.
- To inform policy makers and general public about the proper and effective use of improved facilities.
- To inform general public about key concerns related to social and health issues, directly or indirectly linked to RUIDP interventions.
- To inform different stakeholders about the provisions and procedures for water supply and sewerage connectivity.
- To develop a mechanism for receiving feedback about impact of the initiatives undertaken through different activities involving print, electronic and social media.

CMIS aims at,

- *Awareness Creation*
- *Attitudinal & Behavioural Change*
- *Engaging effectively with stakeholders (active participation)*
- *Demonstrating success of our work*

The goal of the RUIDP Communication & Media Interface Strategy (CMIS) is to provide accurate and timely communication via a variety of methods to all necessary groups and individuals. This includes providing information on the project objectives, project status and timeline, with an emphasis to achieved project milestones.

Effective strategic project communication will play a fundamental role in the overall success of the RUIDP project. The goal is for both internal and external stakeholders to understand the reasons and needs for the project and have an opportunity to have their issues and concerns effectively addressed. Informed stakeholders are more willing to support the project and contribute to a successful outcome. A detailed Communication Plan will be developed for the purpose.

This Communication Plan will address:

- The various target audiences.
- The various mechanisms, schedules and frequency for communicating with them.
- The messages that are required to support various stakeholders' roles.
- The communication channels/medium that will be engaged in order to reach out to the target audience.

The vital aspects of communication planning ensure that the appropriate individuals/mediums deliver the defined message, via the appropriate communication channel, to the designated target audience in a timely and efficient manner. The Communication Intervention Framework (CIF) provided in Table 1 gives a comprehensive picture of the above plan. Further fine tuning and detailing will be done at a later stage.

3.4 Communication Intervention Framework (CIF)

SN	Targets Audience	What They Need to Know/DO	Positioning (Why They Should Know/Do This)	Ways to Reach Them (Channels of Communication)	Activities to Reach Them	Material Requirement
1	Community in General	Sharing Project Details Temporary inconvenience due to civil works Health Hygiene issues	Project works affects their lives. Benefit of assets created by RUIDP. Increased water supply with adequate pressure. Developed Sewer system will improve the hygienic conditions.	Mass Media (News Paper, TV Channels, Radio, cinema slides,)	Mass Media Campaign Mobile media campaign	<ul style="list-style-type: none"> News Coverage in Print and electronic media Audio/Video appeals Print advertisement Press release
				Outdoor and traditional media (Hoardings, mobile media vans etc.)	Display of IEC materials Street plays & puppet shows.	<ul style="list-style-type: none"> Hoarding/Banner/ Poster content. Scripts for the shows.
				Mobile Campaign (Partnership can be formed with service provider for initiating an SMS campaign with messages on Project related details)	Develop SMSs with a defined call to an action	
2	<ul style="list-style-type: none"> Elected Reps of ULBs/MLA/MPs Media Persons NGO/CBO/SHG representatives 	Details of project works	Promote/propagate the benefits of assets created by RUIDP	<ul style="list-style-type: none"> Orientation workshops Media workshops 	Workshops on project details, water supply and sewerage systems	<ul style="list-style-type: none"> Orientation modules Fact sheets Video films Power point

SN	Targets Audience	What They Need to Know/DO	Positioning (Why They Should Know/Do This)	Ways to Reach Them (Channels of Communication)	Activities to Reach Them	Material Requirement
	<ul style="list-style-type: none"> Line agencies 					presentations
3	Individual Men, women and children	Details of civil works being executed in their area, and the problems therein.	As they will have to bear temporary inconvenience due to civil works for long term benefits.	Interpersonal communications by frontline workers and community level motivators	<ul style="list-style-type: none"> House to house visits. Small group meetings. Large community meetings. Social/religious gatherings. 	<ul style="list-style-type: none"> Leaflets Posters Banners/flex sheets Video films
4	School going children School-based activities for children	<ul style="list-style-type: none"> Water conservation. Solid waste management Functioning of , sewerage systems 	<ul style="list-style-type: none"> Water conservation Best practices for safe disposal of solid waste Benefits of sewer connections Assets created by RUIDP 	<ul style="list-style-type: none"> Group activities Film shows 	<ul style="list-style-type: none"> Formation of a "task force"/child cabinets Students to monitor sanitation and hygiene in schools. Fun-based activities defined for different age groups Essay, drawing, debate competitions Rally/mashal julus etc. 	<ul style="list-style-type: none"> Posters/ Wall charts on correct hygiene practices Leaflets on Water conservation, best practices for proper disposal of solid waste Video films on water conservation, benefits of sewer connections Work of assets created by RUIDP

SN	Targets Audience	What They Need to Know/DO	Positioning (Why They Should Know/Do This)	Ways to Reach Them (Channels of Communication)	Activities to Reach Them	Material Requirement
5	Affected Person from project works	<ul style="list-style-type: none"> About the works to be executed in that area. Period during which their work will be affected. 	<ul style="list-style-type: none"> To plan their livelihood options accordingly To suggest their wage loss to be covered under ADB safeguard policy and compensation. 	Interpersonal communications by frontline workers and community level motivators	Consultation meetings	<ul style="list-style-type: none"> Disclosure in vernacular language Notice to be served before one month of excavation
6	House holds	Benefit of water meters and House sewer connections	<ul style="list-style-type: none"> Willingness to pay for uses of water Prevention from water borne diseases 	Interpersonal communications by frontline workers and community level motivators	<ul style="list-style-type: none"> House to house visits. Small group meetings. Large community meetings. Social/religious gatherings. 	<ul style="list-style-type: none"> Posters/ Wall charts on correct hygiene practices Leaflets on Water conservation, best practices for proper disposal of solid waste Video films on water conservation, benefits of

SN	Targets Audience	What They Need to Know/DO	Positioning (Why They Should Know/Do This)	Ways to Reach Them (Channels of Communication)	Activities to Reach Them	Material Requirement
						sewer connections <ul style="list-style-type: none"> • Work of assets created by RUIDP
7	Resident of slum area	Benefit of piped water and sewer systems	Availability of treated water, clean environment	Interpersonal communications by frontline workers and community level motivators	<ul style="list-style-type: none"> • House to house visits. • Small group meetings. • Large community meetings. • Social/religious gatherings. 	<ul style="list-style-type: none"> • Leaflets • Posters • Banners/flex sheets • Video films
8	Frontline workers – ANMs, ASHAs, AWWs. Capacity building	Best practices of hygienic condition, Immunization,		<ul style="list-style-type: none"> • Orientation workshops • Training workshops 	Workshops on project details, water supply and sewerage systems	<ul style="list-style-type: none"> • Orientation modules • Fact sheets • Video films • Power point presentations

3.5 Communication Channels

In order to inform and educate policy makers, implementation agencies, general public and other stakeholders about the proper and effective use of improved facilities provided by RUIDP, it becomes essential to design implementation strategy for extensive media based program.

Implementation of CAPP activities will start together with construction of technical infrastructure, thus there is a need to design such a campaign which will foster community participation to accept and agree to proposed changes, pay for the cost of improved facilities and support in operation and maintenance of the system. In order to achieve the same, different mediums for awareness generation would be used and they are as follow:

- Electronic Media: TV, Local cable network, Advertisements, FM radio etc.
- Social Media: Facebook, Twitter, Instagram, WhatsApp, Bulk SMS etc.
- Print Media: newspaper, magazines, appeals and advertisements
- Unconventional Media: Postal Stationary, Advertisements etc.
- Traditional Media: Street Plays, Puppet Shows, Dramas etc.
- Community based channels

TABLE 2: COMMUNICATION CHANNELS REACH ASSESSMENT

SN	Communication Channels	Type of Activities	Target Audience	Coverage/Reach in Project Towns	Expected Influence/Impact
PRINT MEDIA					
1	News Paper	Press release of regular news regarding major initiatives, meetings, outcome, rejoinders, appeals, advertisements etc.	Newspapers readers Community in General	All six project towns	Information dissemination regarding project for better coverage, understanding and removal of community/ stakeholders apprehensions and grievances.
2	Magazines	Publish articles on major initiatives, lessons learnt, case studies, technology used by RUIDP-CAPC	Stake holders, Officials of line agencies, officials ADB, GOR and GOI	National, state and town level	Information share to stake holders line agency , ADB GOR and GOI
3	IEC Materials	Produce material	Primary and	All six project	To make the

SN	Communication Channels	Type of Activities	Target Audience	Coverage/Reach in Project Towns	Expected Influence/Impact
	(Brochures, Leaflets, Pamphlets / Handbills etc.)	could be used by CAPC officials, partnering agencies as tools to initiate discussion with community. It could also be used for distribution purpose during meetings, workshops, trainings etc. as resource material.	secondary audience	towns	community informed about the dates, venue, timing, and detail of documents required, financial obligation related to sewer connectivity camps.
5	Booklets	Annual report of RUIDP NAV-AAKAR and other booklet are to be printed in English and Hindi about major initiatives undertaken by RUIDP.	Stake holders, Officials of line agencies, officials ADB, GOR and GOI	Prepared at PMU level and distribute in all six project town line agencies	Information share to stake holders line agency , ADB GOR and GOI
ELECTRONIC MEDIA					
6	News Channels	Regular news coverage regarding major initiatives, meetings, outcome, rejoinders, appeals, advertisements through local cable news and regional news channels etc.	Cable TV Audience Community in General	All six project towns and state level	For better coverage, understanding and removal of community/ stakeholders apprehensions and grievances.
7	Documentary films	Films on RUIDP in general, initiatives in each project cities, water conservation, best practices of	Elected public representatives; Community; Policy makers and higher officials of GoI & GoR; ADB	Except city specific films others could be telecasted through DD Rajasthan and other satellite	Project implementing partners will understand the process of successful project implementation;

SN	Communication Channels	Type of Activities	Target Audience	Coverage/Reach in Project Towns	Expected Influence/Impact
		Sewer systems, initiatives undertaken by CAPC, technical achievements and quality control measures undertaken by RUIDP	officials; CLC members; and Project/ Line department/ ULB officials and other agencies involved in project implementation.	channels like ETV Rajasthan, Ist India, India News etc. once in year. City Specific films could be telecasted through local cable channels and DD Rajasthan. In addition to this, it could be used during workshop, training, and interactive meetings with visitors of RUIDP etc.	and Policy makers and ADB officials will get knowledge on how RUIDP is implementing the sewerage sub-project.
8	Add. Spots	Produce add spots on issues related to civic sense, traffic rules, Proper disposal of solid waste, save water, payment for the improved facilities, operation and maintenance of improved facilities, benefits of sewer connections and water meters.	TV , Cinema Audience Community in General, Stake holders, Officials of line agencies, officials ADB, GOR and GOI	Could be displayed on cinema halls of project cities during intervals and before starting of commercial films as well as through DD Rajasthan and other satellite channels. it could be used during workshop, training, and interactive meetings with visitors of RUIDP etc.	Community of the project towns shall be aware about RUIDP intervention in urban management through installation of water meter and property connection for waste water management ; Facilitate installation of water meters; Enhance community participation; Facilitate better urban management.
9	Audio Visual Jingles	Prepare audio-visual Jingles which clearly	TV , Cinema Audience Community in	This could be telecasted through DD	Community of the project towns shall be aware

SN	Communication Channels	Type of Activities	Target Audience	Coverage/Reach in Project Towns	Expected Influence/Impact
		displays the mission, vision and activities of RUIDP.	General, Stake holders, Officials of line agencies, officials ADB, GOR and GOI	Rajasthan and local cable channel in each project cities. In addition to this, it could be used during workshop, training, and interactive meetings with visitors of RUIDP etc.	about RUIDP intervention in urban management through installation of water meter and property connection for waste water management ;
10	Scroll	A scroll - on message through local channel could be displayed on works of RUIDP issues of social concern. Appeal for operation and maintenance of improved facilities and payment for the improved facilities especially water supply and sewerage connectivity.	Cable TV Audience Community in General	All six project towns	Community of the project towns shall be aware about RUIDP intervention in urban management through installation of water meter and property connection for waste water management ;
11	Dramas on Radio	Dramas through all mediums of AIR on operation and maintenance of improved systems for sustainability and payment for improved facilities especially for water supply and sewerage connectivity.	Listener of Radio	All six project towns	

SN	Communication Channels	Type of Activities	Target Audience	Coverage/Reach in Project Towns	Expected Influence/Impact
12	Live Phone in Interactive sessions through Radio	Organize live phone in interactive sessions on through AIR	Listener of Radio	State level	Correct feedback, suggestions and grievances could be received through this program.
13	Public Service Announcements	PSAs on social media include information regarding work, traffic diversions, CAPC activities, safety and fiscal tips from department. YouTube videos can be a quick and easy way to convey a message, but even images and ads posted to Facebook and Twitter with a caption can be just as effective.	Users of social media in all six project towns	all six project towns and state level	Posting updates about possible delays or routes to avoid can help ease your citizens' frustration
14	Construction Updates and Road Closings	Laying of pipe line and construction can be frustrating, especially when it affects your daily traffic route.	Users of social media in all six project towns	all six project towns and state level	Posting updates about possible delays or routes to avoid can help ease your citizens' frustration.
15	Mobile Technology	Bulk SMSs furnishes desired information could be sent through mobile service providers.	Households and officials of line agencies of all six project towns	all six project towns	For dissemination of information direct to consumer through mobile technology
UNCONVENTIONAL/TRADITIONAL MEDIA					
16	Hoardings	Installations of hoardings are effective mode for project information sharing.	Community in General, Visitors, Officials of GOR	all the 6 project towns,	To disseminate information on the project in different locations for public awareness

SN	Communication Channels	Type of Activities	Target Audience	Coverage/Reach in Project Towns	Expected Influence/Impact
					generation.
17	Messages through Postcard and Inland Letters	Key message in a form of slogans/ punch line could be printed on inland letters / post cards for wider circulations and publicity.	Users of by post Letters	all the 6 project towns,	To disseminate key message of project.
18	Street Plays and Puppet Shows	Street plays and Puppet shows could be organized on NUKKAD of prime locations and slum arias, problematic areas, workshops, meetings	Community in General	All the 6 project towns,	to awareness generation in a serious in campaign mode

CHAPTER

FOUR

**COMMUNITY
MOBILIZATION
STRATEGY**

4. Community Mobilization Strategy

4.1 Introduction

Community mobilization is the process of engaging communities to identify community priorities, resources, needs and solutions in such a way as to promote participation, good governance, accountability and peaceful change.

With community mobilization, every member of a community has the chance, directly or through representation, to participate in the design, implementation and monitoring of community-level initiatives. There is a higher likelihood that the program accurately reflects their real needs and interests. The approach takes into consideration the different experiences, needs and capabilities of various groups in a community – women and men, youth and the elderly, differently abled persons and the ethnic/religious/language minorities and majorities.

The goal of community mobilization is good governance. **Governance is good when it is accountable, transparent, just, responsive and participatory.** It is a condition for all development initiatives to be sustainable. Often community mobilization processes lead to structural changes within communities, a critical transformation that supports lasting change.

4.2 Purpose of Community Mobilization

- Increase participatory decision-making processes by bringing diverse stakeholders into a common process
- Expand inclusion of often marginalized populations, such as women, youth, persons with disabilities, the elderly, and religious or ethnic minorities
- Foster stronger relationships between local government, businesses, community members and CBO/NGOs
- Ensure local ownership of development
- Promote a more active and informed citizenry
- Communities reduce their dependence on outside aid, as they become adept at identifying and solving their own problems
- Communities can better prepare for or respond to disasters and crises because they have relationships with decision-makers and experience in quickly identifying communal needs and priorities

- Local governments gain greater credibility with their own constituencies and can better lobby national level decision-makers because they are truly aware of local needs and have local support.

4.3 Stakeholder Analysis

(a) Primary Stakeholders

Primary stakeholders are those who are directly affected or benefitted by the project. By and large, we can conclude that community or the citizens are the primary stakeholder of the project. Depending on the vulnerability, we can further divide the primary stakeholders of this project into following categories:

- (i) Small vendors whose livelihood is affected during the project and who are generally residing in slums as identified by the local Self-government. In addition, the investment required on their part in terms of connectivity fee may also be a burden on them.
- (ii) Community belonging to middle class population whose day-to-day movement is affected by projects' interventions but their livelihood is not affected and the connectivity fee is also comparatively affordable for them.
- (iii) Well to do upper class population whose day-to-day movement is affected by projects' interventions but their livelihood is not affected and the connectivity fee is not an issue for them.
- (iv) Members of community who are directly affected and later benefitted by the project and who can play the role of opinion leaders and be a partner of project officials in creating awareness in the community and inviting their participation.

(b) Secondary Stakeholders

Secondary stakeholders are those who are managing the project or who are or will be involved in administration during the interventions/ processes of the project and those involved in the operation and maintenance of assets created during the project. Govt. officials at the city level who are running the project, govt. officials involved in city administration, municipal authorities, elected ward councilors, local NGOs and other formal and semiformal associations already working with the community, etc. would be secondary stakeholders of the project.

(c) Tertiary Stakeholders

Tertiary stakeholders are those who are indirectly involved in designing the project and are involved in the process of decision making at the apex level. State govt. authorities working at

the headquarter, MLAs/MPs of related constituencies, state level training institutions etc. are the tertiary stakeholders.

4.4 Objectives of Community Mobilization in RUIDP

Major objectives of Community Mobilization under RUIDP will be to:

- Disseminate project information, provisions & procedures.
- Promote public awareness on urban problems and urban development issues;
- Ensure community involvement during planning and implementation of all components of the project activities
- Create awareness among community regarding environmental health, understanding of cost recovery issues and accessibility to the Project, all of which will lead to maximization of Project benefits and enhanced sustainability through improved community involvement
- Provide complementary measures that enhance impacts of Project Improvements, reduce poverty and improve living conditions.

4.5 Process and steps in community mobilization

Activities for Community Mobilization can be divided into three parts:

(a) Preparatory Phase

The primary objective of activities in this phase would be to develop rapport with various stakeholders and create awareness in the community. In addition, these activities would help in creating participation of the community for bringing synchronization between govt.' decisions and salient needs of the community.

For this purpose, Meetings would be held with different groups, such as, meetings with RCVs, slums, Mothers or Women's associations, meetings with ward councilors, local NGOs, CBOs, business associations, etc. Meetings would be in groups as well as face-to-face or house to house. The field level functionaries will be offered professional guidance and support to carry out these activities in an effective manner. They will be given manuals and guidelines for carrying out these activities. Their activities will be monitored regularly.

(b) Construction phase

The main objective of activities in this phase would be to assist authorities running the project on one hand by providing support in resettlement by way of negotiations as well as by way of linking up Affected Persons (APs) with government welfare schemes and skill development programmes. Community mobilization activities in this phase would thus help in preventing

resistance on the part of the community and would focus on conducting consultation meetings involving stakeholders in selected DMA and mobilize them for legalising their water connections, taking sewer connections etc.

CAPC would also take up some activities in this phase to promote coordination between various stakeholders at secondary level such as PIU, district administration, line agencies, municipal authorities, ward councillors, etc.

(c) Post Construction Phase

These activities would start when the project would be near closure of construction phase. The primary objective in this phase would be to motivate the community in taking connections so as to maximize the benefits of the project. Connectivity camps would be organized for this purpose. In addition, activities would be taken up for regularizing community meetings at ward level & slum level for grievance redressing & paying user charges, linking CBOs with existing govt. schemes, and creating awareness using IEC material on water conservation, open defecation and need for paying user charges regularly.

4.6 Approach & Methodology

The city communities, especially those in slums, will be educated on personal, family, food, and community hygiene, waste management, and use of project facilities. Awareness will be created through conversation, deliberation, discussions, persuasions on issues and problems concerning health, hygiene and sanitation. Participatory activities like games etc would be used to involve community members and convey some messages and increase people's participation. The issues to be touched would include:

- Household/Street sanitation
- HHL – Importance, construction and proper use & maintenance
- Water borne and faecal-borne diseases
- Better water handling practices
- Hygiene practices - personal, family and community
- Payment of water tariff
- O&M of water supply system and project facilities
- Safe disposal of solid wastes and waste water
- Importance of community participation in city/ neighbourhood environment & sanitation
- Role of women and children in environmental sanitation

These crucial issues will be touched often at the meetings with the households so as to enable the participants to understand present status, future requirement, methodology of improvement and accept and appreciate the changes made by infrastructure facilities developed by project intervention with acceptable O & M changes contemplated under the

project. The technique may prove to be very effective in motivating the households especially women folk on the acceptance of health and hygiene practices for a quality life.

House visits will help to develop personal rapport and understanding to enhance the acceptance of the project and increase their participation in its activities. It also helps to remove misconceptions among them. However, the issues for discussion would depend on the need and situation in the household.

These are further elaborated in Annexure A.1 – Phase wise communication mobilization activities.

Activities

i. Ward Level Committee Meetings

Ward Level Committees will, in fact, be targeted to disseminate project objectives and conduct periodic meetings. They are to be prepared to manage and shoulder the responsibility of O&M of the project assets. They are the forums for greater interaction among the urban folks. Therefore, concerted efforts will be made to keep them well informed of RUIDP's and CAPC's activities. In the meetings, progress, roles and responsibilities of WLCs in the use and maintenance of project assets and community sanitation will be the major items in the agenda.

ii. Orientation to Resident Welfare Associations & Community Based Organizations

RWAs and CBOs have come to assume a greater role in the communities. They enjoy confidence of the community members and have a greater say in the community. Their involvement in the project, especially in CAPP will be a crucial factor. Therefore, it is necessary to engage and orient them.

They will be given orientation on RUIDP, its objectives, importance and their role in carrying out CAPC activities under the project. The purpose of this orientation will be to involve them in the awareness activities and motivate the urban dwellers to demand for the facilities of the project. As a result of orientation, the involvement of CBOs is expected to increase in CAPC significantly.

iii. Mothers'/Women's Groups Meetings

Women are one of the important focus groups, and with their active involvement, the project can achieve the desired outputs and impact. As they exert enormous influence on families, CAPC will lay stress on them. Efforts will be made to organize and orient these women groups. Folders, brochures and leaflets will be prepared exclusively for women groups, outlining their roles and responsibilities in the project.

Meetings of women/mothers will be organized on a regular basis to discuss issues and problems concerning health, hygiene, sanitation, O&M and sustainable management of assets. The important aspects of safe hygiene behaviour such as household & food hygiene, importance of individual household latrines (HHLs), proper water handling practices etc. would be explained. Women groups will be encouraged and supported to form self-help groups. They will be assisted to take up income generation activities, by providing necessary training. Formation of street level committees with women is expected to produce better results in terms of community participation and health awareness among communities in the project cities.

iv. Special Campaigns

In the initial stages, people may tend to show reluctance to accept and participate in the project activities. They may have their own doubts about the project provision and implementation. Therefore, concerted efforts will be made to motivate the participation of the urban communities by creating awareness on the project through different mobilization activities.

Special campaigns will be conducted to educate the people about the benefits of the project. Campaigns will address the CAPC objectives and create awareness among the general public. People may not be willing to construct house hold latrines due to lack of space, poor economic condition, scarcity of water, unfavourable soil structure, rocky base etc. Special campaigns will, therefore, be organised to persuade the families to take up HHL construction.

Special campaigns involve city level NGOs, PIUs and state level NGO. During the campaign, house-to-house visits will be conducted to motivate the households, to go for HHL construction, proper waste disposal and to participate actively in project activities. The participation of women and children will receive greater attention. In areas where the motivation is low, regular inter personal communication through one to one meetings or small group meetings, and video film shows will be held periodically to create interest in sanitation. Jathas and Prabhat Feris will also be used as part of the campaign.

v. Health Camps

As part of CAPP and as an entry-point activity, Health Camps will be organized in project cities, with the involvement of PIUs, local NGOs and WLCs. Eye camps, general health check-up camps and women health camps will be organised. Child Shows will be organized. The WHFs and Field Workers of the NGOs use these camps to educate the masses on the importance of personal hygiene, sanitation and advantages of HHL. CBOs, Youth clubs, WLC members and School children will be actively involved in these programmes. The present general opinion is that “the city cleanliness work is solely the task of Municipality”, and this opinion will be modified and removed.

vi. Organization of Water/Sewer Connectivity Camps

For ensuring long term success of the project which largely depends on the willingness of local communities to sustain improved services and facilities provided by the project.

CHAPTER

FIVE

**GENDER & SOCIAL
INCLUSION (GESI)
STRATEGY**

5 Gender & Social Inclusion (GESI) Strategy

5.1 Introduction

The project is assigned Effective Gender Mainstreaming Category, as it is designed to directly improve women's access to urban water supply, waste water system and thereby contribute towards gender equality and women empowerment by enhancing their participation. Towards this end, GESI plan has been developed during the PPTA, which illustrates that the sector should not be approached only from a technical perspective, but also have an inclusive, pro poor and gender focus.

In order to ascertain inclusion, pro poor and gender focus, CAPC will assist in identifying and addressing the priorities of the population particularly the poor women and men. This will require close coordination with the technical staff so that the activities are prioritized to complement and are not conducted in isolation. If priorities of poor are to be met, community participation is important because infrastructure choices and management have a significant impact on quality of urban dwellers and they can be active agents contributing to the success of the project.

5.2 Preparatory Tasks during Inception

5.2.1. Desk review and visits

During the inception phase an attempt was made to understand the gender considerations in the project for which following tasks were concluded:

- Desk review of project related reports – Project Administration Memorandum, PPTA reports with section of GESI, Census data, RUIDP and other related websites,
- Information collection from cities through city social development and gender experts
- Key informant interviews with PMU & PIU officials, PMDSC social safeguard expert and CAPP experts
- Field visits to Pali and Tonk and FGD in poor settlements
- Gender Analysis based on secondary quantitative data and primary qualitative data.

5.2.2. Gender Analysis

In very simple terms gender analysis was conducted to see what our eyes have been trained not to see and assess the differences between men's and women's activities, roles and resources to identify their needs. Assessing these differences have helped to understand men's and women's constraints and opportunities within the water and sanitation sector and

how best they can be addressed to meet the objectives of GESI plan. These are provided in detail in Annexure A.3 - Gender Analysis.

5.2.3. Stakeholder Analysis

The key stakeholders have been clubbed as two main groups – Community and Implementing partners. Both have huge potential to influence gender equality results and bring positive or negative impacts to the project. These are summarized below:

Group	Stakeholder	Why important
Group 1	Poor vulnerable communities living in slums	<ul style="list-style-type: none"> • End users • Interested to access the benefits of water supply and sanitation • Access to water improves access to sanitation, hygiene, nutrition • Poorer, dispersed, and less organized communities tend to be excluded • Poor vendors/ petty traders may be affected due to temporary displacement • Will provide inputs to DMF • Willingness to pay agreed tariff, paying on time, affordability, to undertake responsibilities and support the systems is critical for successful projects • Poor women and men can help communities in organizing to participate and ensure that the poor are served • Customer – operation relationship may raise challenges
	Women and girls	<ul style="list-style-type: none"> • Primary beneficiary groups, yet excluded from water related decision making • Lack of reliable water adds to their work load • Poor access to reliable water and sanitation adds drudgery of collecting water from distance at odd hours • Women face safety concerns due to dependence on open defecation • Participation will lead to practical and strategic benefits
Group 2	Design and Build Operators/ Contractor	<ul style="list-style-type: none"> • Business are directly affected by water losses, leakages, tampering of lines, resistance from community to pay tariff and user charges • Lack of community participation may disrupt the operation and maintenance system and will affect the investment negatively. • The technological options need to be shared with the community to ensure tariff collection and optimize systems • Needs attention on how projects can support the most underserved and disadvantaged
	Municipal Bodies, PHED, PIU, PMU, PMDC	<ul style="list-style-type: none"> • Contribute in design of systems • Ownerships • Regulation • Target subsidies • Determine tariffs and tariff adjustment

Group	Stakeholder	Why important
		<ul style="list-style-type: none"> Setting up grievance redressal mechanism Need an understanding of each party's interest and concerns without bias Service monitoring and regulatory measures to ensure fulfilment of operational requirements and services

Defining concepts

Before, moving forward, it is essential that the words 'Gender' and 'Social Inclusion' are understood and applied for operational purpose as commonly comprehended.

Gender:

Refers to socially constructed roles and identities of men and women as well as the relationship between them.

Social Inclusion:

Social Inclusion aims to empower poor and marginalized people to take advantage of available opportunities. It ensures that people have a voice in decisions, which affect their lives, and that they enjoy equal access to markets, services and political, social and physical spaces. These can be broadly summarized as:

How excluded	Who excluded
Economically excluded	Poor belonging to all <ul style="list-style-type: none"> Castes Tribes (ST) Location Gender
Socially excluded	<ul style="list-style-type: none"> Women ST Minorities People with disabilities People geographical exclusion (living in periphery) Others – specific communities such as those with history of handling faecal matter manually in the past etc.

In the project context, social inclusion shall be aimed to ensure tangible benefits to the poor communities living in slum particular within the project design area.

5.3 Social & Gender Characteristics⁸

Information on sex composition of the human population is one of the basic demographic characteristics, which is extremely vital for any meaningful demographic analysis. There has been an improvement in female sex ratio in past three decades. However, the female sex ratio is still poor in all project cities. These project cities lag behind not only in terms of the

⁸Details available on slums with regard to number of households and population is provided in *Annexure: Gender Analysis*.

demographic indicators but also development indicators, especially with regard to the status of women.

5.3.1. Poverty characteristics

Information on slum population is not readily available in the cities. Efforts will have to be made to gather this data. In absence of secondary data, primary methods for data collection will be explored based on available resources and avoiding duplication of efforts to record data of the slums. Based on the information on slums currently available from various secondary sources, it is observed that there is a highest concentration of slums in Hanumangarh followed by Ganganagar. The data, however needs to be updated and CAPC will further review sources for data collection.

TABLE 3: CITY WISE SLUM POPULATION

City	City Level				Slum Level				Number of slums	% Slum household to the total HH
	Household (HH)	Population			HH	Population				
		Total	Male	Female		Total	Male	Female		
Tonk ⁹	29098	165294	84806	80488	TBA	TBA		TBA	21	To be ascertained (TBA)
Pali	43810	230075	119924	110151	7569	39814	20582	19232	28	17.3
Sri Ganganagar	46626	224532	120778	103754	10193	50562	26741	23821	13	21.9
Hanumangarh	30022	150958	79709	71249	8619	42933	22595	20338	19	28.7
Bhilwara	74184	359483	187081	172402	3206	15631	7974	7657	13	4.3
Jhunjhun ¹⁰	19991	118473	61548	56925	NA	NA	NA	NA	-	To be ascertained (TBA)
								Total	94	

Source: Census 2011

5.3.2. Living Conditions

The secondary source data reveals that a high number of women have families (28%) with a size of 6-8 members¹¹ which means having high level of responsibilities in all spheres- productive, reproductive and community roles. In case of any structural shifts in the livelihood of these families also, these have to be catered for. This also indicates that fertility levels are still high and load of managing household tasks heavy.

5.3.3. Access to drinking water

⁹ There is no information on Slums located in Tonk city or its Out Growth as per 2011 Census. The numbers are obtained from city but without population details. CAPC will further make efforts to collect data from DPRs when available.

¹⁰ As per Census 2011 there is no record of slum. However Urban Health program under National Rural Health Mission has identified poor pockets in the city. This will have to be addressed at the time prioritization of DMA and whether the poverty pockets fall within the municipal area.

¹¹ Refer to Annexure – Gender Analysis

Available census 2011 data reveals that nearly 32% in Bhilwara and 25% of the households in Pali do not have source drinking water located within the premises. In Tonk, 35% households depend on drinking water source not located within the premises. The location of source of water has gender implications since it means that households have to manage transportation of water – a task mostly done by women girls and children in the family.

5.3.4. Access to Sanitation

Available census 2011 data reveals that sanitation conditions are poor specifically in Tonk and Pali as compared to the other four towns where 30% to 22% households defecate in open. Sanitary arrangements is an issue among the households having some kind of a toilet within the premises as some of them have night soil disposed into open drain. Poor sanitation facilities have gender implications as they affect women and girls adversely by imposing health, safety risks and health care burdens on them. The situation is of significance in designing the IEC strategy and targeting behaviour change communication.

5.3.5. Female Headed Households

Female-headed households are further adversely affected as their status exposes them to less support systems and higher poverty conditions. Data regarding FHH is not available for the Municipal area but is available at the district level for urban and rural areas. The tables to illustrate access by Female headed households to drinking water and sanitation in urban area is provided in the annexed Gender Analysis tables. The data suggest that by ensuring city wise coverage of water supply, significant benefits will reach the female-headed households.

5.3.6. Ownership of assets

Available data on ownership of assets illustrates that about 9% households in project cities do not possess any of the assets (such as Radio,TV,Computer - with or without internet, telephone, mobile, bicycle/scooter/motorcycle/car/jeep/van etc.), which reflects their poverty status. The data also reveals a high level of ownership of television (72%) and mobile phones (63%) in the households – which may be useful in targeting behaviour change communication.

5.4 Perception of benefits and constraints by men and women

Field visits were made in 2 cities – Tonk and Pali to hold discussions with poor communities including men and women to assess their needs, perceptions and constraints with regard to water supply, sanitation and hygiene practices. The observations are provided in the annexed Gender Analysis. The FGD held in Lohar Basti, Pali has illustrated the perceived benefits and constraints realized by the poor communities. These are summarized in the table below.

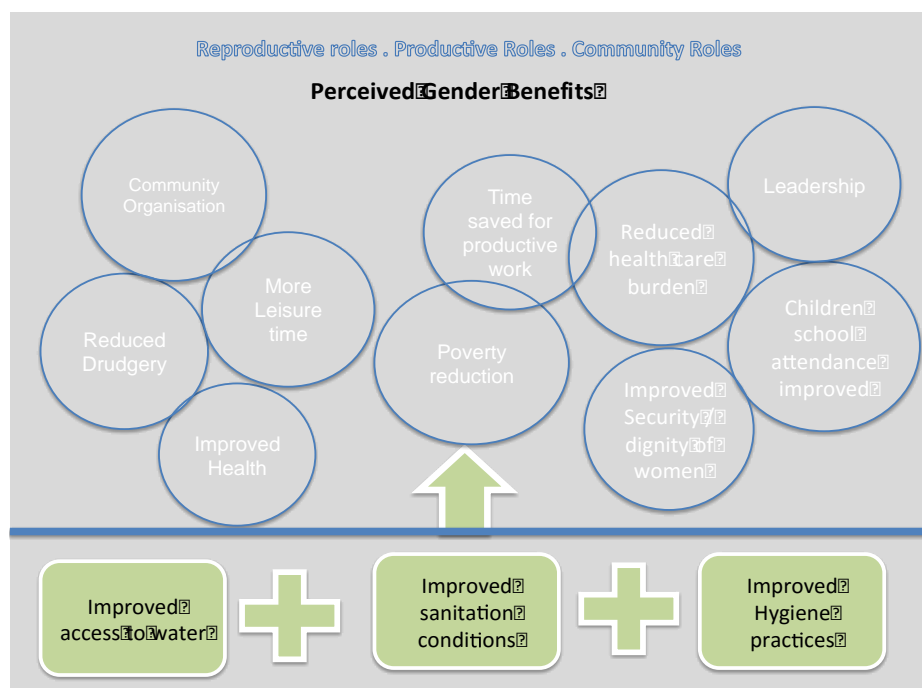
TABLE 4: PERCEIVED BENEFITS AND CONSTRAINTS ILLUSTRATED BY THE COMMUNITY

People	Time	Labour	Resource	Culture
Women	<ul style="list-style-type: none"> + Time saved for productive work and enhance affordability to pay for improved water + Time saved for child care + Reduction in lost energy in water collection and transportation 	<ul style="list-style-type: none"> + Burden of carrying water load reduced + Fear and experience of sexual harassment reduced + Reduced health care burden due to availability of improved water and sanitation + reduction in lost energy/ time to undertake other roles 	<ul style="list-style-type: none"> + potable water is available at door step + improved health conditions - Must pay for water 	<ul style="list-style-type: none"> - Responsibility of paying for water + Opportunity to participate in project + Improved hygiene practices
Men		<ul style="list-style-type: none"> + Burden of carrying water reduced 	<ul style="list-style-type: none"> + potable water is available at door step + Improved health conditions - must pay for water 	<ul style="list-style-type: none"> + reduced tensions and worries due to water scarcity + Tension free society + Security of women and girls
Household	<ul style="list-style-type: none"> + Women can have more time for child care 	<ul style="list-style-type: none"> + Children relieved form water load burden and have improved education opportunities 	<ul style="list-style-type: none"> + Improved access to water + improved environment 	<ul style="list-style-type: none"> + Women feel more secure due to reduced dependence on common water collection points + Possibility of new activities/ recreation in family
Community	<ul style="list-style-type: none"> Community level meetings taking time 		<ul style="list-style-type: none"> + Improved water available for all + Improved environmental conditions - Water wastage Established neighbourhood groups + Access to improved water and sanitation improved- 	<ul style="list-style-type: none"> + Clean Environment + Prestige of community + better marriage prospects + Improved social security

+ Benefits,- constraints

Key learning from the analysis of these perceptions is that the IEC will be required to focus on community participation, judicious use of water, connectivity of new systems, minor maintenance of new system, health hygiene behavior. The women will have to be further supported with trainings on financial literacy and facilitating financial inclusion and linkage with ongoing government schemes on social security and livelihood to augment the household's capacity to pay for water. The improvements in water supply and waste water system are broadly perceived to bring positive results in all the roles of women.

FIGURE 3: PERCEIVED GENDER BENEFITS



Challenges and lessons from RUIDP Phase 2:

- CAPP mobilization was not aligned with other technical inputs
- Gender equality results and Gender action plan was not a priority till tranche III
- More clarity on importance of Gender Action Plan required
- PMU and PIUs were highly committed but inadequately supported and resourced.
- Staff capacity was also the primary practical challenge to implement GAP
- Lack of clarity on concepts, goals, policy, strategy and gender equality results
- Lack of training opportunities to assist in implementing GAP in addition to lack of availability of a range of guidance notes and tool kits
- Absence of written training modules for application, replication and customization
- Gender still continues to be considered as an add-on and not a cross cutting issue

5.5 Enhancing Affordability and Willingness to pay in poor settlements

While, efforts to mobilize communities to participate and access new water systems¹³ will continue, aspects of affordability and willingness to pay will also be addressed in given resources to ensure that the households have disposable incomes to access and pay for the new systems. Rapid assessment has revealed that many women are members of microfinance institutions and have formed credit groups, but poorly address aspects of financial planning and see these microfinance groups only as agencies to take loans.

Financial literacy sessions with the women groups will help to improve access and control over financial resources and will evolve around concepts of financial planning, cash flow and budgeting, saving and debt. Linkage with existing schemes will be established. It is noted here that Bhamashah Yojna is one of the schemes of the state government benefitting the poor. The scheme has a nested relationship with other welfare schemes and cash transfers.

GESI actions will facilitate access to Bhamashah Yojna by setting up suitable links and addressing location, procedural, institutional and attitudinal barriers in accessing the scheme benefits (card). The scheme will further strengthen the access of the poor women to access to social security, scholarships, Janani Suraksha yojna, health insurance and also meet the objectives of financial inclusion. It will also facilitate access of eligible BPL female heads/ disabled to appropriate schemes such as Virrdha vastha pension, Vidhwa pension, Nishaktjan pension. Potential beneficiaries can be linked to the service providers under National Urban Livelihood Mission.

¹³Public Health Engineering Department has vide notification no F/FA&CAO/RWSSMB/ Mission/2014-2015 dated November 5th 2015. IEC activities will include details based on the circular to raise awareness on payment for water in the city including slums.

5.6 Institutional and policy conditions

Gender sensitization will be required for the ULB officials and local councillors to enable successful implementation of participatory approaches. The Project Administration manual (PAM) mentions position of a Social Development Officer (Sociologist) in PMU to oversee implementation of CAPP and GESI¹⁵. In the PMU, at present, there is a designated Project Officer (PO - Coordination) who is the nodal person for CAPC and GESI activities. CAPC has collected information on the public representatives and PIU staff and will be planning training programs including relevant sessions on gender. In order to ensure participation and optimum use to time and resources, efforts will be made to include sessions on gender in the training programme and not have isolated trainings on gender.

Currently the numbers of women at all levels (except Councillors) is less. In this regard, it is noted that PMU does not undertake recruitment of staff but borrows staff from the concerned department. With regard to availability of separate toilets for men and women as indicated in GAP, there is a separate toilet for men and women in PMU. Lobbying in PMU will be done to demonstrate gender sensitive actions such as separate toilets for women in PIUs¹⁶ and contractor's offices where men and women are working.

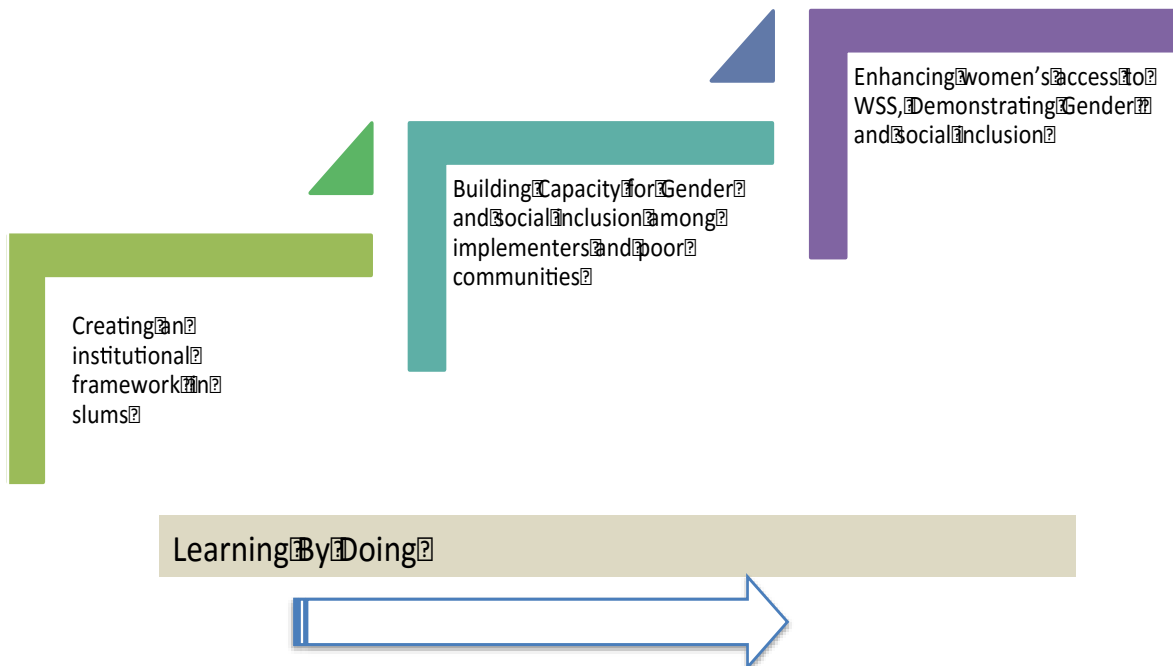
One of the action points in the GESI plan is a Gender Policy. Background study has revealed that RUIDP has drafted Urban Water Policy, which also aims to address equity across “geographical and demographic fabric of the customer base”. The policy has as one of its objectives – User Participation¹⁷ to ensure effective participation while ensuring gender sensitivity and sustainability. In such a scenario, instead of duplicating efforts, CAPC will develop toolkit and checklist for gender and social inclusion, which can be used as a practical tool to implement water supply projects with community involvement and gender inclusion. These will provide practical guidance on how to improve existing responses and take further action for equitable access to WSS facilities and services and will be firmed up after testing and demonstrating them in the project cities.

¹⁵Point 79 Project Administration Manual , RUSDP

¹⁶ As per action 6 of GESI plan

¹⁷ Rajasthan Urban Water Policy with one of its objectives stated as User participation: To ensure effective participation of users in developing, operating and maintaining water supply services and to empower them to manage their own water supply services while ensuring gender-sensitivity and sustainability in sectoral decision-making; in addition, to encourage judicious allocation of water, with universal access to safe drinking water as the top priority

FIGURE 4: GESI APPROACH AT A GLANCE



5.7 Strategy to address Gender and social inclusion

1. Operationalizing principles of water and sanitation management through participatory approaches:

Participatory approaches, being process oriented – take more time, but increase the chances of acceptance, use, and maintenance of water and sanitation facilities, ensuring sustainability and impacts of the project. Male

involvement will also be ensured in order to actively engage them in building a gender

Tools, toolkits, modules, guidelines etc.:

The tools that will be developed can be summarized as:

- **Exploratory tools¹ for**
 - Preliminary assessment of current status
 - Analysis of stakeholders
 - Participatory community based self-surveys and situational analysis
- **Demand Creation tools**
 - To create demand in the first place so that the request for solutions come from the people (micro planning and safety audits)
- **Decision making tools**
 - Tools on community agreements and commitments
- **Implementation Support tools**
 - Participation during construction, hygiene education, gender sensitive behavior change communication
- **Tools to ensure sustainability**
 - Operation and maintenance
 - Strategic financial planning in poor households to ensure existing and prospective resources are adequate to meet expenses on water – tools and modules on financial literacy, financial inclusion and empowerment

inclusive environment and contribute in project activities. It is noted that the communities are not homogeneous entities and differ in social and economic characteristics, therefore different approaches will be applied to target different population groups.

2. *Adopting a learning approach rather than a blue print approach to make it gender responsive as well as practical*

At present, the GESI action plan has a number of activities, some of which have implementation implications while some are to strengthen the empirical evidence base. A blue print approach may not be successful since achievement of results depends on getting local people involved in decision-making – a condition that implies unpredictability. Some actions in GESI plan may not be contextual e.g. an analysis of ward members in 6 towns shows there are 280 members with 103 female members²³ and the target for training on gender inclusive management of WSS is 124 women councillors. Some schemes such as JNNURM, RAY are not in existence. Rationalizing and implementing a tariff scheme providing subsidized water connection and reduce or subsidize connection fee for BPL and FHH may not be feasible. Ensuring 35% women's access to labour opportunities may be a challenge because women may have too many other responsibilities or be restrained from contributing to project construction activities. Thus a process-oriented approach will be adopted based on learning by doing to adapt the GESI plan to make it feasible, target oriented and agreed.

3. *"Pilot" to "upscaling" women led community participation*

Piloting will be effective to start small and later expand incrementally using flexible project design. It will be done in the settlements prioritized as per the prioritized DMA. It will also allow careful monitoring of ongoing activities, timely corrective actions and build trust among the communities, PIU/PMU and stakeholders. This is also important because works will not be undertaken in the entire city together. Lessons learnt from previous RUIDP phases has shown that take off time has been longer than envisaged. The opportunity costs of poor women and men are high because of their time constraints and delays adversely affect each other. Also, expectation when not met may lead to chaos, resistance and finally poor project management.

4. *Partnering with Local NGOs*

In order to reach to more than 90 poor settlements²⁴ NGO partnerships will be required as the current human resource with CAPC at the city level is limited to only 1 Social Development & Gender Specialist (SDGS). The process of community participation is time consuming and resource intensive. In order to fulfill the required steps, NGO partnerships will be required. TOR will be agreed and local NGO will be hired, trained with handholding support.

²³Refer Figure in Annexures – Ward Members in project cities

²⁴Present data illustrates 94 slums in 5 cities, Jhunjhunu information to be collected

5. *Responsible Exit for sustainability*

Exit strategy to empower poor communities with new assets, making them responsible to pay for water so that the system is sustainable will systematically involve the following steps, which will include:

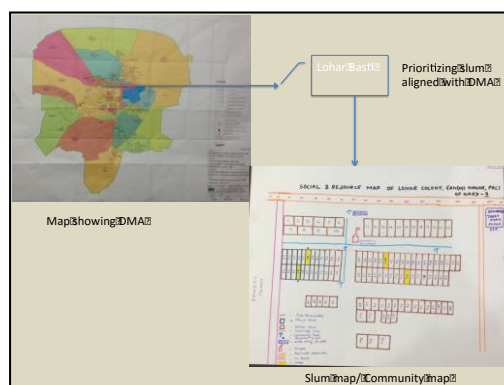
- Creating real demand from community side and enhancing their willingness to migrate to new system and pay for it.
- Enhancing sense of ownership in poor communities for sustainability of projects during execution at various stages.
- Engagement of local NGOs to retain skills, knowledge and support locally even after the technical assistance discontinues.
- Capacity building of PIU, PHED, MB staff on community and gender concerns so that they continue to be gender responsive.
- Capacity building of community groups on minor (household level) operation and maintenance, water quality, sanitation activities, efficient water use, adoption of hygiene and behavioral change practices and links with grievance redressal system.
- Developing learning tools, demonstrating them and transferring for use in subsequent RUIDP phases
- Documentation and dissemination.

5.8 Methodology

Community participation framework will be a practical tool to help users integrate gender in project cycle. This will be a step-by-step approach.

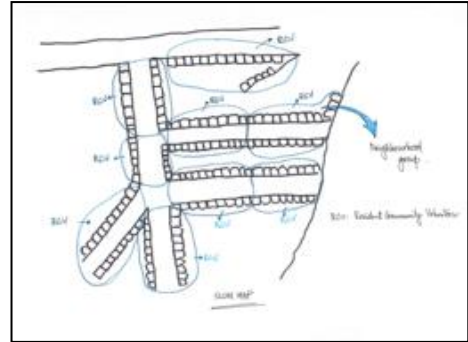
Step 1-Prioritizing slums based on DMA:

Slums will be prioritized based on the discrete area identified for the water distribution network as per the District Metered Area. It is proposed that the framework is applied on a pilot basis in one or two slums within a particular DMA and then replicated.



Step 2 -Community Mobilization:

Community mobilization in poor socially excluded areas with women representation will be central to the success of the GESI plan. Further, the quality of mobilization and empowerment will be critical to the sustainability of the interventions. Keeping community involved with project activities for a long period is difficult task and hence continuous dialogue and contact is crucial. The City experts will undertake rapport building through frequent visits to the poor settlements and have a dialogue with the residents – primarily the women (including men) and gradually NGO partnerships will be built.

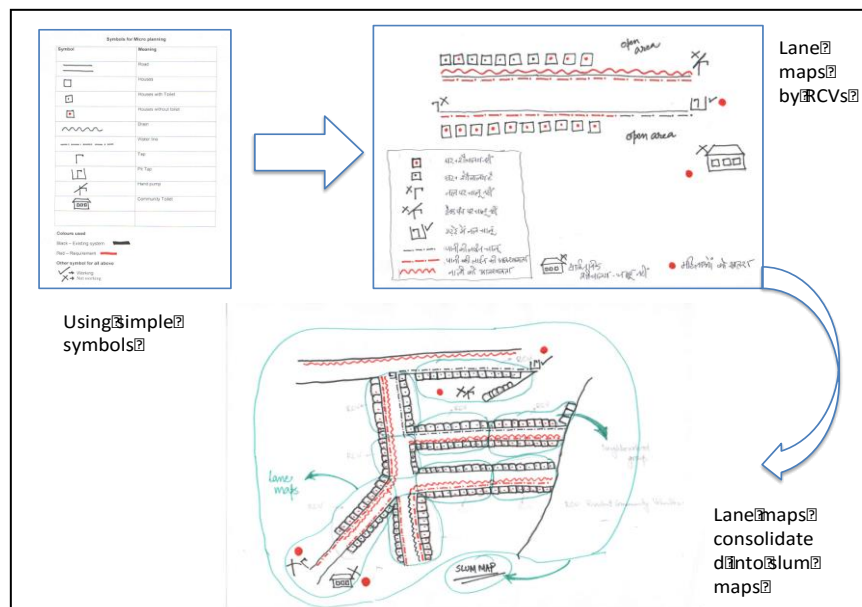


Step 3 - Formation of Neighbourhood Groups (NHG):

Formation of NHC will be undertaken by demonstrating democratic principles at the lowest level. Resident community volunteers (RCV) will be identified by the local residents in the slums in an inclusive manner to represent slum lane wise / cluster wise forming NHGs which will be informal groups located in close proximity and having a women convener to ensure that the meetings are organized regularly. The community organizations will be purely on a voluntary basis and will consist of mostly women (and include 2-3 willing men).

Step 4- Participatory Planning:

Once the community level NHGs are formed, participatory planning will be the next crucial phase in community participation in identifying the needs and appropriate option for improved services. Micro planning – a tried and tested methodology will be undertaken after the training on micro planning. During this process, the communities will be able to identify the existing water and waste water system, what is working and what is not working, what is required and how it can be maintained. These needs will be mapped by the RCVs in consultation with the neighbors through simple mapping symbols and consolidated into slum maps. This will ensure that the priorities of poor communities for water and



wastewater are identified and reflected in the planning process and create a sense of ownership of plans and actions.

Training module will be developed to provide with a basic introduction and understanding of micro planning process involving effective consultation with resident local community groups particularly women and preparation of an inventory of existing infrastructure and the community needs and priorities.

Step 5 -Technical Assessments and options:

This will be an interactive process between the community groups and Engineers/ Contractors. While the RCVs, and NHC will participate in problem identification and demand assessment, Engineers and contractors will respond with technical solutions for the demand. This will lead to a joint decision and will imply that both the sides have the capacity to deliver their part of results and work together. Towards this end, common meetings with Engineers and contractors representatives will be organized where the Engineers can discuss with the community the feasible options and the community can agree on maintenance aspects (payment of tariff etc.), individual household connections or shared connections, migrating from existing system to new system etc.

The engineers who are not used to working with the communities will require training to promote skills and attitudes required for such work. The objectives of this approach cannot be met if CAPC and engineers work in isolation. Involvement of local Councillors will be ensured to gather community support and train them towards gender responsive service delivery.

Interactions will also be held jointly with these women led community groups and Engineers/ Contractor staff to discuss the potential public inconvenience and how best the community can cooperate in view of the larger benefits. At the same time discussions will be made on what safety measures can the community follow to reduce and minimize any type of risk arising during excavation and laying of pipes etc.

Step 6 - Community agreement and commitment:

Commitment and agreement will be secured from the community on issues such as paying for improved water supply, stoppage of open defecation, stoppage of throwing garbage in open spaces and other that community may consider like making. (e.g. sending children especially girls to school etc.)

This is a crucial step in the sense of securing service delivery after implementation, which is envisaged as a challenge.

Step 7 - Hygiene education:

In order to maximize the health impact of the water and sanitation investments and improvements, a behaviour change component will be developed. This will include a

communication strategy and option to deliver behaviour change messages that will focus towards changing behaviours with regard to water and sanitation, improve hygiene practices and judicious use of water so that the benefits are sustained. Since hygiene practices affects women's reproductive and productive roles and they are the primary propagators of hygiene education within a household, they will be actively engaged in the programs. Hygiene educations will also cover aspects of water and food handling, storage and use, specific issues of menstrual hygiene and nutrition.

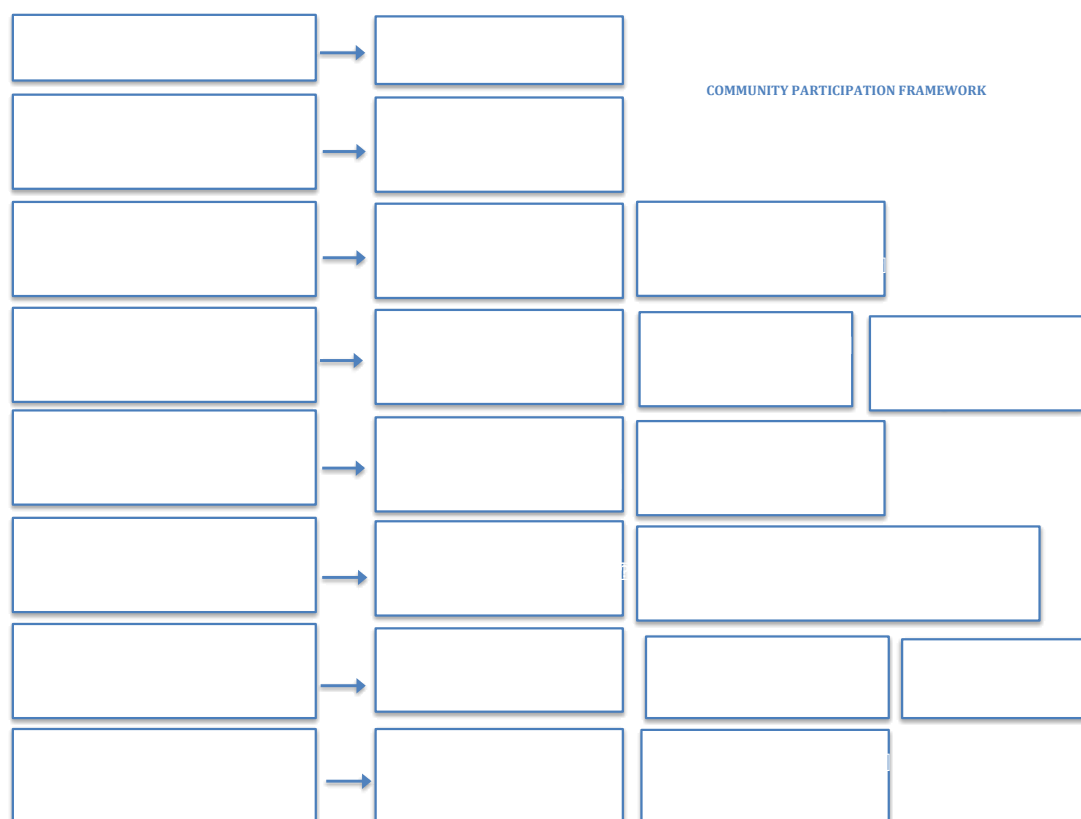
Step 8 – Capacity building to pay for water:

The beneficiary women will be supported to improve their financial planning and resources by linking potential beneficiaries to existing social security schemes and development programmes. An inventory of existing schemes focusing on women and children has been collected and will be updated in the project period. These linkages will assist the communities in overcoming location, procedural and attitudinal barriers and constraints in accessing them.

Addressing issues of citizens form higher socio-economic groups

The CAPC framework will design and demonstrate various shades of participation with gender inclusion including participation as consultation, as decision making, as partnership for implementation, as ownership and as capacity building. Capacity building of the locally elected women in Municipal Bodies will be undertaken to facilitate their effective participation in local governance and creating an enabling environment for women's participation and connecting them with women of the town, their needs and priority. This will in turn capacitate them to become more actively engaged in service delivery and prioritization of local development issues.

The project MIS will be collecting sex disaggregated consumer data to demonstrate the number of men and women benefitting from the project. Issues from higher socio economic groups (specifically on hygiene, water use efficiency, water loss management) will be covered through communication activities.



DOs	Don'ts
<ul style="list-style-type: none"> Promote women's participation Align community related activities with the prioritized DMAs Promote spatial representation in community consultation / participation to ensure 100% coverage Collect sex disaggregated data as much as possible Record meetings, trainings and FGDs IEC outreach with sex disaggregated participation Assess how conflicts can be resolved with a pro poor, gender sensitive approach 	<ul style="list-style-type: none"> Avoid false expectations Do not work in isolation, work closely with Engineers Do not miss documentation

CHAPTER

SIX

**HRD & CAPACITY
BUILDING STRATEGY**

6. HRD & Capacity Building Strategy

6.1 Introduction

The Municipal institutions in India have a history of over 300 years. These refer to ULBs comprising municipal corporations, municipalities and Nagar Panchayats. The Urban Local Bodies have a significant role to play in the socio-economic development of the people. They are believed to form the backbone of democracies. Besides providing a healthy environment to the citizens for decent living, they are also expected to play a significant role in economic growth.

Rajasthan is one of the foremost states that initiated the system of local government and the first municipality in the state was setup in Ajmer way back in 1866. In the pre independence days, there were only 16 municipalities in the Rajputana states which went up to 145 in early seventies. Currently, there are 190 municipalities (ULBs) in the state located in seven divisional headquarters namely, Jaipur, Jodhpur, Udaipur, Bikaner, Kota, Bharatpur and Ajmer. Each divisional headquarter is a cluster of districts (there are 33 districts). The category wise distribution of ULBs is given in Table 5.

TABLE 5: CATEGORY WISE NUMBER OF URBAN LOCAL BODIES IN RAJASTHAN, 2011

SN	Category	No of ULBs	% to total ULBs
1	Municipal corporation	06	3.15
2	Municipal council	35	18.42
3	Municipal board	149	78.43
	Total ULBs	190	100.00

Source: PPTA Report on TRAINING NEEDS ASSESSMENT OF ULBs of RAJASTHAN (With Reference to RUIDP – Phase III)

6.2 Need for Capacity Building & Human Resource Development

Before independence, the expectations from municipal institutions were much less than what they are now. The demand for quality urban services has marked a rapid growth. Urban Local Bodies (ULBs) across Rajasthan are facing a host of new challenges, with stakeholders demanding a higher degree of institutional performance. Need for competencies of the personnel in such organizations, therefore, has acquired crucial significance for appropriate response to the challenges in local governance and municipal management.

The implication of this for ULBs is to continuously facilitate them to upgrade their skill sets and capabilities to achieve higher level of organizational effectiveness. Strengthening urban local governments through capacity building and better financial management was identified as a key strategy for urban development in the 11th plan. The plan identified lack of skilled

manpower as one of the key concerns and recommended setting up an apex agency to coordinate the activities of national and state level training institutions.

Ministry of Urban Development has undertaken several initiatives under JNNURM and other schemes to augment the capacity of urban local bodies to implement projects and reforms. In the III Phase of RUIDP, Govt. of Rajasthan has taken up the task of strengthening Urban Local Bodies and related institutions of Rajasthan by way of framing and implementing Human Resource Development Plan. The Capacity Development Technical Assistance (CDTA) Consultants of RUIDP have prepared a draft HRD plan which addresses the human resource planning and development needs for the urban sector in Rajasthan. The component of HRD and Training of CAPC team aims to facilitate GoR/RUIDP in finalizing and implementing the HRD Plan. The basic purpose of Human Resource Development Plan is to Strengthen Human Resource Skills in the delivery of urban services. The central focus of this effort lies in developing and implementing a good HRD plan for urban governance. The specific objectives of HRD Plan are:

6.3 Objectives

- To enable the ULBs to progress towards superior performance and provide better services to citizens.
- Improve knowledge and skill levels of newly transferred and existing employees and harmonize the working of the two.
- Develop better coordination between elected body and administrative wing of ULBs.
- Design and Implement Performance Management System including performance planning, feedback & mentoring, monitoring and appraisal.
- To enhance the level of work motivation among personnel at all levels and to enrich work culture by way of HR interventions and Training Activities.
- To retain the 'institutional memory' by systematic transfer of knowledge

6.4 Approach & Methodology

The Objective of Capacity Building of ULBs and Related Institutions of Urban Development as designed in the HRD Plan can be divided into two parts, viz., The Training Plan and the HR Interventions Plan. To bring observable change in the work culture and to develop readiness to implement some HR Interventions like Defining Roles and preparing job descriptions according to Key Result Area (KRA) Approach, implementing Performance Management System to enhance performance in teams, etc., it is proposed to start with the preparation and implementation of Training Plan followed by preparation and Implementation of HR Interventions Plan. Both these plans are proposed to be designed and implemented in association with the Capacity Development Technical Assistance (CDTA) team. For conducting

of Training activities, it has been proposed by CDTA that a Centre for Urban Development & Governance (CUDG) may be developed within Harish Chandra Mathur Rajasthan Institute of Public Administration (HCM-RIPA), the state training institution of Rajasthan. CAPC will support CUDG in designing and implementation of the training plan during the entire project period.

6.5 Steps proposed to be taken up for Preparing and Implementing the Training Plan

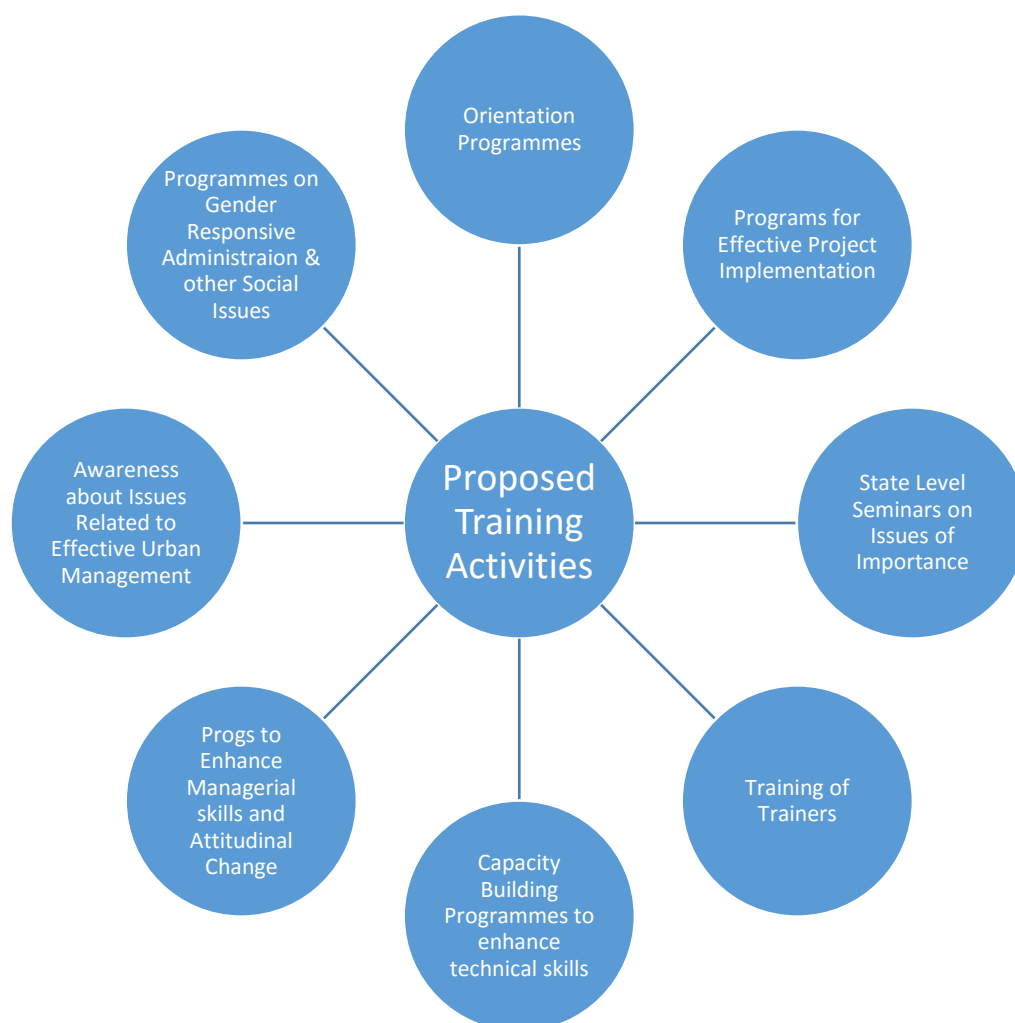
1. A Training Needs Assessment Study was conducted by Project Preparation Technical Assistance (PPTA) Team before commencement of Phase III. The training needs of various levels of functionaries of ULBs (Page No. 25) and Composite Training Plan (Page No. 27) has been provided in the TNA Report of PPTA, submitted by CDM Smith in April 2014.
2. Conduct a Diagnostic study to assess needs for Training at various levels. A workshop is proposed to be organized for this purpose. Technical experts, state level training institutes, representatives from ULBs, Government agencies, and RUIDP officials may be involved in the process of reviewing the TNA results. The training needs and course content for each module that would be developed accordingly for imparting training to various target groups may be finalized during the validation workshop.
3. Prepare a Comprehensive Training Plan. A comprehensive training plan is proposed to be prepared for the Project Period which may be implemented in phases with the help of identified institutions. Annual Calendars may be prepared. The Training plan as well as Annual calendars may be put up for approval.
4. Design Training Programmes and Training Modules. As per the discussions and the training needs finalized in the validation workshop, appropriate training tools for each identified area of training may be discussed and designed. Accordingly, training modules required for various training needs may be developed or identified.
5. Training of Trainers Programmes for implementing selected training programmes which need to be conducted repeatedly for a large no. of groups at regional levels.
6. Conduct training programs on a continuous basis as per the training plan.
7. Assess Effectiveness of Training Event and Enhancement of Knowledge, motivation and various skills through Reaction level and Learning level evaluations. Structured Formats may be administered for this purpose at the end of each programme.
8. Conduct an Intermediate Impact Assessment Study after around 18 months of commencement of training activities to observe Impact of training on ULB performance and overall work culture.

TABLE 6: STEPS PROPOSED TO BE TAKEN UP FOR PREPARING AND IMPLEMENTING THE TRAINING PLAN*

Steps		Task Description	Time estimation
1	Needs identification	To conduct a consultation meeting and take note of the perceived training needs. The workshop would also help in creating a pro-training culture.	Proposed in July 2016.
2	Prepare a Comprehensive Training Plan	Based on the identified training needs, a comprehensive training plan will be prepared for the Project Period which may be implemented in phases with the help of identified institutions. Annual Calendars may be prepared. Meanwhile, a three months (April, 2016 to June 2016) tentative Calendar may be prepared to launch training activities in April, 2016.	This is expected to be completed by July, 2016
3	Identify training modules based on identified training needs and design curriculum	Based on step 1 above, determine training modules to meet training needs, identify learning objectives, design module-specific curriculum, develop overall plan and detailed session wise plans, identify potential trainers, co-ordinate with trainers	Varies from module to module.
3.	Identify Potential Trainers for Conducting Selected Programmes at Regional Levels and Conduct Training of Trainers Programmes	A panel of Master Trainers will be formed for that will have resource persons from DLB, ULBs, related departments and NGOs. This panel will be provided a training (Training of Trainers) to conduct training programmes at regional level. Experts may be invited from within the State as well from other State training institutions for giving inputs in the TOT.	This process would take around six months. Meanwhile selected programmes may be launched at the RCS
4.	Conduct Training Programmes at State Level	Conduct Training Programmes at CUDG at HCM RIPA as per the Training Calendar. Some of the programmes may be conducted by RIPA faculty while project specific and some other selected programmes may be conducted by CAPC team	As per training calendar

Steps		Task Description	Time estimation
5.	Facilitate Programmes at Regional Levels	Seven regional centers may be identified at seven divisional headquarters. Separate calendar may be prepared for regional programmes. In selected programmes, faculty of RIPA or CAPC team members may visit the Regional Training Centers (RTC) to facilitate and monitor the programmes.	As per training calendar developed for RCs
6.	Training feedback and effectiveness assessment based on Reaction level Evaluation	Design module-specific feed back formats in line with objectives, administer formats, compile data, verify with achievements of objectives, introduce end-course corrections, re- Preapre and document feedback reports and learning reports	Immediately after conclusion of the module. Allow about a week for formal documentation
7	Evaluation of Learning and Enhancement of Knowlegde and Skills	Evaluation of Learning and Enhancement of Knowlegde and Skills (based on self perceptions) by way of administering questionnaires at the end of each programme.	Immediately after conclusion of the module. Allow about a week for formal documentation
8	Impact Assessment	Conduct an Intermediate Impact Assessment Study to observe Impact of training on ULB performance and overall work culture	after around 18 months of commencement of training activities
9	Post-training follow up in the light of newly emerging training needs	Newly identified training needs may be continuously updated. Follow up sessions may be organised if desired by a particular group of target trainees.	On continuous basis.

6.6 Proposed Training Activities



Following types of Training activities are proposed to be conducted:

1. **Orientation programmes:** Orientation programmes are proposed to be conducted for elected representatives as well as for newly joining officials of RUIDP, DLB, ULBs and line departments. The basic purpose of these programmes is to acquaint the participants with various aspects associated with good urban governance and make them aware of their roles and linkages. At the same time, the orientation programmes would help in creating a work culture based on team spirit.
2. **Capacity Building Programmes to Enhance Technical Knowledge and Skills required for Effective Project Implementation.**
3. **Training Programmes to Build High Performance thru Innovative HR Practices.** Such programmes would help the authorities in effectively implementing HR Interventions as suggested in the HRD Plan.
4. **Training programmes to enhance managerial skills and employees' motivation.** Such programmes would help in creating a feeling of self-empowerment among employees and would create a rich working environment.

5. Training Programmes on Gender Responsive Urban Management and women empowerment
6. Programmes on KRA Approach and Performance Management System. Key Result Areas establish a link between a person's role and organizational objectives. Performance Management System leads to participatory management and helps in enriching work culture. Such programmes would help authorities in preparing job descriptions, removing ambiguity and link performance appraisals with enhancement of morale and performance.
7. State level Seminars on issues of importance inviting participation from UDHD, DLB, RUIDP, HCM RIPA, ULBs and Line Departments.
8. Exposure Visits to Best Practices and State Urban Training Institutes
9. Programs on Issues related to effective Urban Governance to enhance awareness about 74th amendment and its implications, proposed urban reforms, Tools and Techniques available for better financial management, Revenue Generation, Redressal of Public Grievances and other related issues.

TABLE 7: STEPS PROPOSED TO BE TAKEN UP FOR PREPARING AND IMPLEMENTING THE HRD PLAN*

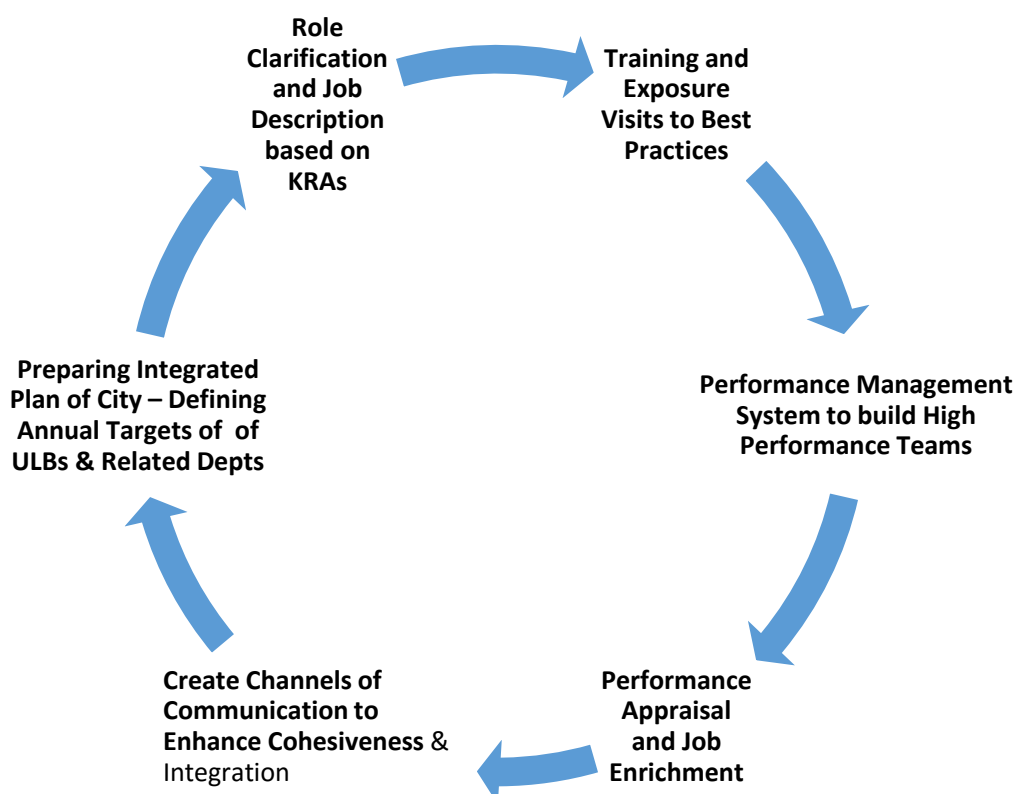
SN	Steps	Task Description	Time estimation
1	Need Identification	Assessment of Needs for Human Resource Development Interventions based on Meetings with Authorities at DLB and selected ULBs and interactions at the TNA Validation workshop.	One Man Month spread over a period of Six Months (January, 2016 to June, 2016)
2	Prepare plan for suggestive HR Interventions	Based on HR needs identified and the HRD Plan prepared by CDTA team, list out HR Interventions and draw a suggestive chart for introducing them.	One Man Month spread over a period of Six Months (July, 2016 to December 2016)
3	Design steps for Implementing suggested HR Interventions	Spell out concepts, perceived needs to adapt suggested interventions, design steps and guidelines for introducing the same, clarify role of various institutions/ authorities in the process, prepare draft formats,	Two Man Months spread over a period of six months (July, 2016 to December 2016)

SN	Steps	Task Description	Time estimation
		charts, questionnaires etc. required in the process.	
4	Prepare Draft HRD Manual	Prepare an integrated view for introducing various HR Interventions and spell out steps for the same.	One Man Month spread over a period of six months (January, 2017 to June 2017)
5	Adopt one ULB (JNN as suggested by CDTA in the draft HRD Plan) and provide support in implementing the HR Plan	Conduct meetings with authorities at DLB and selected ULB, clarify steps to be taken up, clarify suggested guidelines, provide formats and other tools required in the process, provide support in introducing the change by way of training programmes, meetings etc.	Two Man Months spread over a period of One Year (January, 2017 to December 2017)
6	Design and Conduct Training Programmes to facilitate the process	Design and Conduct Training programmes on related concepts, steps, issues emerging in the process of implementation and expected outcomes	One Man Month spread over a period of six months (April, 2017 to September 2017)
7	Review the process and outcome and design strategy for replicating the same in one more ULB selected from project cities of Phase III of RUIDP.	Repeat steps 5 & 6 for one more ULB selected from project cities of Phase III of RUIDP.	One Man Months spread over a period of six months (January, 2018 to June 2018)
8	Review the process and outcome and design strategy for replicating the same in other ULBs of project cities of Phase III of RUIDP.	Review the process and Repeat steps 5 & 6 for other ULBs of project cities of Phase III of RUIDP.	Two Man Months spread over a period of Six Months (July, 2018 to December 2018)
9	Impact Assessment of HRD Interventions	Assess Impact of HRD Interventions structured formal and informal interactions at ULB and DLB level further validate	One Man Month spread over a period of six months (January, 2019 to June 2019)

SN	Steps	Task Description	Time estimation
		the perceived outcome by conducting a one day Impact Assessment Workshop.	
9	Review the process and Finalize HRD Manual.	Based on the findings of Impact Assessment, Finalize the HRD Manual and Training Modules to facilitate implementation of HR Interventions in other ULBs to be conducted on a continuous basis by CUDG	One Man Month spread over a period of six months (January, 2019 to June 2019)

Implementation of Training plan would be in association with CUDG. Implementation of HR plan would be done at Jaipur Nagar Nigam Based on the experiences, replication of the same in project cities would be taken up by CAPC in consultation with CDTA.

6.7 Types of HR Interventions



1. **Preparing Integrated Plan of City:** Defining Annual Targets of ULBs & Related Depts: Various projects and Schemes get implemented in a particular city simultaneously. These creates a need for interdepartmental coordination at State level and integrated planning of Objectives at ULBs Level.
2. **Role Clarification and Job Description based on Key Result Areas (KRA):** Once goals and objectives are clear, role of individual officers and employees and activities to be performed to achieve these goals need to be clarified. Key Result Areas may be defined for each position and job description may be prepared accordingly. Training programs may be arranged to acquaint authorities at DLB and ULB level to work on these.
3. **Training and Exposure Visits to Best Practices:** Continuous Capacity Building Activities in various areas and exposure visits to Best Practices to enhance Knowledge, Skills and Attitude (KSA) at each level
4. **Performance Management System to build High Performance Teams:** Performance Management System is a chain of activities to be taken up at team level to build High Performance Teams. Training programs may be arranged to acquaint authorities at DLB and ULB level to introduce PMS
5. **Performance Appraisal and Job Enrichment:** Performance Appraisal of individual employees may be linked with need for job enrichment enhancing level of work motivation at each level. Necessary changes may be made in the formats of Performance Appraisal.
6. **Create Channels of Communication to Enhance Cohesiveness & Integration:** Channels of Formal and informal communication may be created at state level and city level to enhance coordination between institutions and within an institution leading to preparation of cohesive and integrated developmental plans.

ANNEXURE

- A.1 PHASE WISE COMMUNITY
MOBILIZATION ACTIONS**
- A.2 PROPOSED TRAINING PLAN
FOR 2016-17**
- A.3 TRAINING NEEDS OF ULB
FUNCTIONARIES AND ELECTED
REPRESENTATIVES**
- A.4 TENTATIVE COMPOSITE
TRAINING PLAN (PPTA
REPORT)**
- A.5 HUMAN RESOURCE
DEVELOPMENT PLAN FOR
URBAN GOVERNANCE IN
RAJASTHAN**

A.1 Phase wise Community Mobilization actions

Phase	Proposed activities	Scale (Per City)	Measurement Method/ Data Sources
Phase-I Preparatory Phase (3 months)	○ Rapport building with project officials/ULBs and district administration.	At least 02 such meetings with ULBs & District Administration.	✓ List of officials met.
	○ Study of project documents, maps etc. to have clear picture on execution activities. ○ Study contract documents and resettlement plan ○ Site Visits to proposed resettlement area.	<ul style="list-style-type: none"> • Continuous review, as and when required. • Regular visit by the City Unit Consultant & periodic visits by the Core Unit Consultants. 	✓ Preparation of City specific brochures. ✓ Field Trip Reports (FTRs)
	○ Site visits with PIU/PMDSC engineers. Identifying poor pockets.	<ul style="list-style-type: none"> • Regular visit by the City Unit Consultant & periodic visits by the Core Unit Consultants. 	✓ Site Visit details. ✓ Field Trip Reports (FTRs)
	○ Collection of city data & Maps.	✓ Municipal Area map, Ward boundaries map, Slum location maps.	✓ City Maps.
	○ Identifying Stakeholders.	✓ local associations, RWAs, schools, NGOs, Business chambers, SHGs, CBOs, media, educational institutions etc.	✓ City profile. ✓ List of Associations and other Organizations.
	○ Conducting FGD in poor pockets and availability of services like drinking water, sanitation, Health and Hygiene.	✓ One FGD in poor settlement.	✓ Slum profile of one slum. ✓ FGD report
	○ Development of Modules	✓ Community development of contract ✓ Community Monitoring of Contract.	✓ Modules.
Phase-II Construction	○ Stakeholders Workshop on project Deliverables.	✓ One workshop with listed stakeholders.	✓ Workshop report

Phase	Proposed activities	Scale (Per City)	Measurement Method/ Data Sources
Phase	<ul style="list-style-type: none"> Starting of Stakeholders consultation & Meetings synchronized with construction work. 	<ul style="list-style-type: none"> ✓ Monthly one meeting with stakeholders at city level. ✓ Bi-monthly meeting involving Local parsads at ward level at the time of construction. ✓ Bi-monthly meeting with affected people. (Resettlement) 	<ul style="list-style-type: none"> ✓ Minutes of Meeting.
	<ul style="list-style-type: none"> Developing Hygiene Champions by organizing Hand washing campaign in Govt. & Pvt schools and colleges. Essay, drawing, speech competitions. 	<ul style="list-style-type: none"> ✓ One campaign in each city covering minimum 10 Govt & 10 Pvt School. ✓ One campaign covering at least 05 colleges. ✓ 05 competitions throughout the project period. 	<ul style="list-style-type: none"> ✓ Event Report ✓ Newspaper/Media coverage
	<ul style="list-style-type: none"> Institutionalizing Community Based Structures <ul style="list-style-type: none"> i. Formation of Neighborhood groups, ii. Selection of Resident Community Volunteers (RCVs) iii. Training of RCVs iv. Micro Planning & Safety Audit v. Formation of Contract Monitoring committees vi. Formation of Operation & Maintenance Committee. 	<ul style="list-style-type: none"> ✓ NHGs of 15-20 households living in close proximity. ✓ One RCV per NHGs to be formed. ✓ One Training of RCVs ✓ One Lane map for each lane. ✓ One compiled Lane map of Slum ✓ One Contract Monitoring committee to be formed in each slum. ✓ One Operation & Maintenance Committee to be formed in each slum. 	<ul style="list-style-type: none"> ✓ Micro Planning report. ✓ Lane Maps ✓ Name of Committee members.
	<ul style="list-style-type: none"> Dissemination of IEC 	<ul style="list-style-type: none"> ✓ Nukkad Nataks/ 	<ul style="list-style-type: none"> ✓ Activity Report

Phase	Proposed activities	Scale (Per City)	Measurement Method/ Data Sources
	material based on schemes through different means.	<ul style="list-style-type: none"> Film Shows in each ward. ✓ Audio/ Video display of Activities ✓ Banners/ Posters ✓ Exhibitions ✓ Jahnki ✓ Camps (water & sewage connection) ✓ Campaigns ✓ Observance of Important National / International Day ✓ Road Safety Programs ✓ Cultural Events 	✓ News Coverage
	<ul style="list-style-type: none"> ○ Capacity Building of Community 	<ul style="list-style-type: none"> ✓ Gender ✓ User Charges ✓ Operation & Maintenance ✓ Subject specific trainings/ Orientation 	✓ Training Reports
Phase-III Post-Construction Phase	<ul style="list-style-type: none"> ○ Linking CBOs with existing govt. schemes 	<ul style="list-style-type: none"> ✓ NULM ✓ Health ✓ Department of Women & Child Development. ✓ Other State Govt. schemes 	<ul style="list-style-type: none"> ✓ Number of Beneficiaries linked. ✓ Scheme ID cards, if made.
	<ul style="list-style-type: none"> ○ Regularize Community Meetings at Ward level & Slum level for grievance redressing & Paying user charges. 	<ul style="list-style-type: none"> ✓ City Level, ward level meetings 	<ul style="list-style-type: none"> ✓ Minutes of Meeting ✓ Timely collection of user charges.
	<ul style="list-style-type: none"> ○ Organizing Water & Sewage connection Camps 	<ul style="list-style-type: none"> ✓ One/two camp at ward level 	✓ Household Connected.
	<ul style="list-style-type: none"> ○ Awareness program on meticulous utilization of water, Health & Hygiene 	<ul style="list-style-type: none"> ✓ Pamphlets ✓ Street shows ✓ Competitions 	<ul style="list-style-type: none"> ✓ Activity Report ✓ News Coverage
	<ul style="list-style-type: none"> ○ Capacity Building of Community on O& M 	<ul style="list-style-type: none"> ✓ One Workshop 	✓ Workshop report

A.2 Proposed Training Plan for 2016-17

Rajasthan Urban Infrastructure Development Project Proposed Training Calendar for 2016-17

Month	Title of the Program	Target Group	Estimated No. of Participants	Duration & Dates
May, 2016	Brainstorming Session on Bid Document Provisions	Officers of PMU, PIUs, PMDSC's Engineers, and CAPC professionals	100	2 Days (23-24 May)
June, 2016	Leadership Effectiveness and Change Management	ULB Officials	40	1 Day (17 June)
	Program on Environment Management	Engineers, Health Officers and Sanitary Inspectors of ULBs, Engineers of RUIDP, Urban Planners	35	2 Days (27-28 June)
	Brainstorming Session on Project Related Issues	AENs and JENs of PMU, PIUs RUIDP	45	1 Day (29 June)
				To be rescheduled

July, 2016	Brainstorming Session on Project Related Issues	SEs and EEs of PMU, PIUs RUIDP	30	1 Day (30 June) To be rescheduled
	Program on Interpersonal Communication	Engineers and Administrative Officers of ULBs and Line Departments	40	2 Days (14-15 July)
	Effective urban management & Capacity building for improving existing services	Commissioners, Supervisory Officers of ULBs	40	29 July
August, 2016	Personal Effectiveness and Role Enrichment	Engineers and Administrative Officers of ULBs and Line Departments	40	3 Days (3-5 Aug.)
September 2016	Brainstorming Session on Project Related Issues	RUIDP Engineers (PMU, PIU)	40	1 Day (19 Aug)
	Orientation Programs for Elected Representatives	Ward Councilors	50	1 Day (31 August)
	Training of Trainers for Issues and Skills Related to Urban Development	Identified Trainers to Train Municipal officials and Elected Representatives on Various Issues Related to Urban Development	25	5 Days (5-9 Sept.)
	Effective Leadership and Change Management	Engineers and Administrative Officers of ULBs and Line Departments	40	1 Day (16 Sept)
	Double Entry Accounting Systems	Accounting & Finance Officials	40	2 Days (22-23 Sept)
	Brainstorming Session on Project Related Issues	RUIDP Engineers (PMU, PIU, PMDSC, Contractors' Engineers)	40	1 Day (28 Sept)

October, 2016	Program on Urban Environment Management and Conservation	Engineers of PHED, Urban Planners (Town Planning Dept.), Sanitary Inspectors, Health Officers	50	3 Days (5-7 Oct)
	Effective Leadership and Change Management	Municipal Commissioners, Senior Officers of ULBs	40	1Day (14 Oct)
	Program on Interpersonal Communication	Engineers of Line Departments & Projects Offices	40	2 Days (20-21 Oct)
	Effective urban management & Capacity building for improving existing services	Municipal Commissioners, Senior Officers of ULBs ROs and Assessors	40	1 Day (25 Oct)
November, 2016	Building High Performance Teams through HR Interventions	DLB Officers Municipal Commissioners, Chief Executive Officers	40	1Day (11 Nov)
	Orientation Programmes for Elected Representatives	Ward Councillors	50	1 Day (18 Nov)
	State Level Seminar on Water Supply and Waste Water Sectors : Challenges Involved and Innovative Solutions	RUIDP, HCM RIPA, RUDSICO, DLB, Selected ULBs, Related Line Departments , Invitees	180	1 Day (25 November) (Date to be confirmed by UDHD/RUIDP)
December, 2016	Financial Management; Asset Management & Generation of Revenue	Municipal Commissioners, Chief Executive Officers Accounting officials, ROs	40	1 Day (2 Dec)

January, 2017	Orientation Programmes for Elected Representatives	Ward Councillors	50	1 Day (9 Dec)
	Brainstorming Session on Resettlement, Gender Equity and IEC Strategy for Project Execution	Engineers of PIUs, PMDSC and Contractors	50	1 Day (16 Dec)
	Program on Valuation and assessment of property taxes and identifying other sources of revenue	Revenue officials and Assessors	50	1 Day (23 Dec)
	Program on Interpersonal Communication	ULB officials	50	2 Days (5-6 January, 17)
	Competencies for Effective Leadership and Change Management	Officers of ULBs	40	1Day (13 Jan)
	State Level Seminar on Environment Management	UDHD, HCM RIPA , PMU, PIUS, CDTA, CAPC RUIDP, RUDSICO, DLB, Selected ULBs, Related Dept.s, Invitees	180	1Day (20 Jan)
February, 2017	Program on Effective Communication Team Building and Supervision	Administrative and Accounts Personnel of DLB, RUIDP, RUDSICO and related departments	40	3 Days (8-10)
	Program on Work-Life Balance and Role Enrichment for Women Executives	DLB, ULBs, Line Depts	40	3 Days (15-17 Feb)

March, 2017	Orientation Programs for Elected Representatives	Ward Councillors	50	1 Day (24 Feb)
	Orientation Programs for Elected Representatives	Ward Councillors	50	1 Day (3 March)
	Brainstorming Session on Project Related Issues	RUIDP Engineers (PMU, PIU, PMDSC, Contractors' Engineers)	40	1 Day (17 March)

Apart from the above programs, the following DoPT sponsored programs are also proposed to be conducted:

S. No.	Title of the Program	Target Group	No. of Participants	Duration & Dates
1	Urbanization : Challenges, Planning and Development	Officers of ULBs	30	3 Days; 30 May-1 June, 2016
2	New Development Programs for Urban Development	Officers of ULBs	30	5 Days; 20 June-24 June, 2016
3	Integrated Development Programs for Urban Sector	Officers of ULBs	30	3 Days; 18 – 20 July, 2016
4	Role of District Administration in Urban Development		30	3 days; 10-12 August, 2016

A.3 Analyzing Target Group Specific Training NEEDS OF ULB Functionaries and Elected Representatives

(A part of Training Needs Assessment Report submitted by PPTA Team)

S. No.	Target Group	Responsibilities	Identified Training Needs
1	Elected Representatives Mayors of Municipal Corporations, Chairpersons of the Municipalities and Councilors.	They are involved in planning & scheduling, budgeting costing & financial management and are responsible for taking financial decisions through executive committees. Field supervision, public interaction, citizen complaint redress and community involvement are among their primary responsibilities. They are an important link between the citizen and the local body.	Legal framework: provisions in the 74 th CAA and their implication; salient features of current municipal Acts, the Municipal Bill, and other urban laws; Rules and Procedures under the Municipal Acts; Elected representatives roles and responsibilities in implementing the projects; Policy Making; Visioning, goal setting and planning; Social management and urban poor management; Financial and cost management; Budgeting; Public relations; Training in interpretation of various laws, rules, regulations and statutes that ULB is bound by; Solid waste management; Environment management. Disaster management; Managerial development and effectiveness; Human resource development. Communication skills
2	Chief Administrative Officers Municipal Commissioners, Deputy and Assit. Commissioner of the Municipal Corporations and Executive Officers of Nagar Panchayats, Municipalities and Municipal Councils	Coordination and management The staff management and control, Managerial decisions regarding budgeting, costing and financial aspects % Legal obligations Planning & Scheduling Budgeting, Costing and Other Financial Aspects Field Supervision Coordination & Meetings. complaint redressal	People management skills; Motivation, Leadership, Public relations, Interpersonal skills; Attitudes - Team building, Goal setting, Effective communication (verbal and written), Effective use of computers especially for managerial decision making; Proper interpretation and effective use of MIS reports; decision support systems; Training in interpretation of various laws, rules, regulations and statutes

			<p>that ULB is bound by;</p> <p>Time management;Change management,Stress management, Decision-making, Effective urban management, Managerial development and effectiveness, Management principles, Project appraisal, Interviewing skills.</p> <p>Social management and urban poor management;</p> <p>Citizen grievance handling, Project management and project financing, Contract management, Bid management, Costing, Pricing and tariffs/taxation methodologies, Operations research, Quality control,</p> <p>Public private partnerships and opportunities for ULB in the same, Reforms at the ULB level, Financial and cost management, Budgeting, Environment management, Disaster management, SWM.</p> <p>Systems management (how improved process and systems and IT can help in improving citizen service and ULB efficiency);</p> <p>Implementation management;</p> <p>Strategic urban planning;</p> <p>Human resource development;</p> <p>Procurement procedures;</p>
3	Supervisory Officers, Municipal Health Officer, Health Inspector, Other SWM staff of ULB	They are involved in planning & scheduling, budgeting costing & financial management and are responsible for taking financial decisions through executive committees. % Field supervision, public interaction, citizen complaint redressal and community involvement are among their prime responsibilities for Solid waste management. % Their substantial time goes in coordination meetings and communications. At times, they need to take technical decisions	<p>Improving services with existing infrastructure;</p> <p>Cost effective technological options and good practices;</p> <p>Sub-project planning and implementation;</p> <p>Preparation & implementation of SWM Master Plans;</p> <p>Supervision of works;</p> <p>Modernization of solid waste management;</p> <p>Efficient and optimum deployment of SWM workers, and personnel management;</p> <p>Environmental criteria for selection of waste disposal site and different</p>

			<p>processing options;</p> <p>Best institutional arrangements for the provision of the solid waste management service;</p> <p>Local people's participation in the management of solid waste.</p> <p>PPP in solid waste management; and</p> <p>Training in use of computers</p> <p>Training in interpretation of various laws, rules, regulations and statutes</p> <p>Training on citizen handling and grievance handling</p> <p>Training on managing urban poor, education and health services</p> <p>Training on implementation skills</p> <p>Training in office procedures</p> <p>Training in team work</p> <p>Training in general office administration and management</p> <p>Role of private sector participation and "understanding of contracting mechanisms".</p> <p>Promoting Community participation"</p> <p>Training & Capacity Building of staff"</p> <p>Institutional aspects for improving SWM services, monitoring, enforcement & accountability towards the service delivery.</p> <p>Budgeting, costing and financial issues" and "Job performance".</p> <p>Technical & engineering aspects".</p>
4	<p>Engineers</p> <p>This group comprises of engineers working as city executive engineers, assistant engineers and junior engineers</p>	<p>Their role is to develop technical proposals, invite tenders and award contracts for designing and management of treatment plants and sanitary landfills. Their duties also include execution and supervision of treatment and disposal facilities. They also procure vehicles and equipments and maintain the same. In some of the cities, municipal engineers are also handling the responsibilities of planning &</p>	<p>Sub-project selection for water supply, sewerage and drainage for the project cities under the ADB loan Project</p> <p>Water source investigation, identification and development</p> <p>Environmental criteria for selection of sites for installing STP;</p> <p>Sub project planning, designing, quantity estimation and costing</p> <p>Preparation of master plan of water</p>

		scheduling, field supervision, coordination, etc.	<p>supply and sewerage system;</p> <p>Tender procedure as prescribed by ADB and contract management (key principles)</p> <p>Procurement procedure for ADB Loan Project</p> <p>Disbursement procedure</p> <p>Construction supervision and quality control;</p> <p>Operation and maintenance;</p> <p>Leak detection</p> <p>Functional relation with Town Level Committees (TLC) and community groups</p> <p>GIS (infrastructure planning, O&M), and MIS.</p>
5	<p>Accounting & Finance Officials</p> <p>This group comprises of chief accounts officers, auditors, head clerks and other concerned accounting staff of urban local bodies.</p>	They are primarily responsible for budgeting, costing and financial aspects	Cost recovery, cost efficiency and financial management and private sector participation& contracting mechanisms are also the most preferred subjects for training.

6	<p>Sanitary Officials</p> <p>This group comprises of chief sanitary inspectors, inspectors and assistant sanitary inspectors.</p>	<p>Sanitary officials generally report to health officers and are responsible for solid waste management and sanitation services in assigned wards / areas. In smaller towns chief sanitary inspectors / sanitary inspector are put in charge of overall solid waste management operations. They are primarily responsible for field supervision, coordination and field staff mobilization and control.</p>	<p>Understanding of “Municipal Solid Waste (Management and Handling) Rules, 2000”.</p> <p>Seven steps of solid waste management” with detailed understanding on storage of waste at source-segregation of recyclables, primary collection of waste from doorstep, cleaning of streets, secondary storage of waste, transportation of waste and introductory aspects of waste processing & disposal of waste.</p> <p>Promoting Community participation for betterment of SWM”</p> <p>Concept of segregation, reuse & recycling of waste materials”</p> <p>Role of private sector participation at local level and “understanding of contracting mechanisms”.</p> <p>Monitoring, enforcement & accountability</p>
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A.4 Tentative Composite Training Plan (PPTA REPORT)

S. No.	Core Areas	Modules	Suggested Training Tool/ Methodology	Target Groups	Duration
1	Decentralized Urban Governance and ULBs Enhancement	<ul style="list-style-type: none"> Legal framework: provisions in the 74th CAA and their implication; salient features of current municipal Acts, the Municipal Bill, and other urban laws; Rules and Procedures under the Municipal Acts; Integrating Roles of Elected representatives and Official functionaries in implementing the projects; Public relations; Policy Making Visioning, goal setting and planning; Social management and urban poor management; 	Seminar	Elected Representatives Chief Administrative Officers	2 days
2.	Orientation / Induction Programme	<p>Training in interpretation of various laws, rules, regulations and statutes that ULB is bound by;</p> <p>Solid waste management;</p> <p>Environment management.</p> <p>Disaster management;</p> <p>Managerial development and effectiveness;</p> <p>Communication skills</p> <p>Financial and cost management;</p> <p>Budgeting;</p> <p>Social management and urban poor management;</p> <p>Citizen grievance handling;</p> <p>Public private partnerships and opportunities for ULB in the same;</p>	<p>Structured Classes and Training for Key Administrative, Managerial, or Technical Job Functions.</p> <p>Technical or Administrative Study Tours to Best Practices</p> <p>Use of Audio-visual Aids and Distribution of Manuals and other reading material</p>	<p>Elected Representatives</p> <p>Newly Placed Officials</p>	3 days

3.	Effective urban management;	<p>Social management and urban poor management;</p> <p>Citizen grievance handling;</p> <p>Public private partnerships and opportunities for ULB in the same;</p> <p>Reforms at the ULB level;</p> <p>Strategic urban planning;</p> <p>Training in interpretation of various laws, rules, regulations and statutes that ULB is bound by;</p>	<p>Structured Classes</p> <p>Discussions</p>	<p>Chief Administrative Officers</p> <p>Supervisory Officers,</p>	2 Days
4.	Project Management & Capacity building for improving existing services,	<p>Project management and project financing;</p> <p>Contract management;</p> <p>Bid management;</p> <p>Costing;</p> <p>Pricing and tariffs/taxation methodologies;</p> <p>Operations research;</p> <p>Quality control;</p> <p>Project appraisal;</p> <p>Procurement procedures;</p> <p>Sub-project planning and implementation;</p> <p>Improving services with existing infrastructure;</p> <p>Cost effective technological options and good practices;</p> <p>Local people's participation in the management of solid waste.</p>	<p>Structured Classes</p> <p>Discussion on Best Practices</p> <p>Case Studies</p> <p>Exposure Visit</p>	<p>Chief Administrative Officers</p> <p>Supervisory Officers,</p> <p>Accounting & Finance Officials</p> <p>Technical Officials</p>	3 days or more
5.	Human resource development;	<p>People management skills;</p> <p>Motivation;</p> <p>Leadership & Supervision;</p> <p>Public relations;</p> <p>Interpersonal skills;</p> <p>Attitudes -</p> <p>Team building;</p> <p>Goal setting;</p> <p>Effective communication (verbal and</p>	<p>Structured Classes</p> <p>Discussion on Best Practices</p> <p>Case Studies</p> <p>Role Plays</p> <p>Use of Training films</p>	<p>All Municipal officials and Elected Representatives to be invited separately in homogeneous groups</p>	2/3 days

		written); Time management; Change management; Stress management; Decision-making;			
6.	Financial Management	Financial and cost management; Budgeting; Generating Revenue Cost recovery, cost efficiency and financial management private sector participation & contracting mechanisms	Structured Classes Discussions	Accounting officials and elected Representatives to be invited separately in homogeneous groups	2/3 days
7	Asset Management & Generation of Revenue	Concept of Asset in ULBs & Introduction to Asset management; Approaches and Techniques of Asset Management Role of Urban Infrastructure in Local Economic Development; Generating Revenue	Structured Classes Discussions	Municipal Commissioners, Chief Executive Officers	2 Days
8	Environment management;	Environmental considerations of development projects Overview of Government of India environmental Act & Regulations and its applicability to RUIDP Overview of ADB's Environmental Assessment Guidelines Roles & responsibilities of agencies Identification of Environmental Impacts Formulation of Environmental Management Plan Implementation and Monitoring Summary EIA/IEEs Review of EIA/IEE reports to comply with ADB requirements	Structured Classes Discussion on Best Practices Case Studies Use of Training films & other AV Aids	Chief Administrative officers Elected Representatives Technical Officers to be invited separately in homogeneous groups	2 Days
9	Systems management / IT Skills	Effective use of computers especially for managerial decision making; Proper interpretation and effective use of MIS reports; decision support systems; Systems management (how	Structured Classes And practice sessions	All Municipal officials	2 Days

		improved process and systems and IT can help in improving citizen service and ULB efficiency);			
10	Capacity building for implementation and maintenance of water supply, sewerage and drainage projects	<ul style="list-style-type: none"> • Description of ADB funding mechanism; • Sub-project selection for water supply, sewerage and drainage for the project cities under the ADB loan Project • Water source investigation, identification and development • Environmental criteria for selection of sites for installing STP; • Sub project planning, designing, quantity estimation and costing • Preparation of master plan of water supply and sewerage system; • Tender procedure as prescribed by ADB and contract management (key principles) • Procurement procedure for ADB Loan Project • Disbursement procedure • Construction supervision and quality control; • Operation and maintenance; • Leak detection • Functional relation with Town Level Committees (TLC) and community groups • GIS (infrastructure planning, O&M), and MIS. 	<p>Structured Classes</p> <p>Discussion on Best Practices</p> <p>Case Studies</p> <p>Exposure Visit</p>	Concerned Officials of PHED and engineering staff of the municipalities of the project cities	3 Days or more
11	Accounting Systems	<ul style="list-style-type: none"> • Existing financial Rules • Purpose of budgeting and the present practice • Financial information and reporting – the objective • Incompatibility of the single entry system of accounting system with efficient financial management • The objective and purpose of double entry system of accounting • Conceptualizing and understanding “debit” and “credit” • Exercise on double entry system of accounting • Practical on use of recording financial data in computer; use of accounting soft ware; practice sessions. 	<p>Structured Classes</p> <p>Practice Sessions with use of software</p>	Accounting & Finance Officials	3 Days

		<ul style="list-style-type: none"> Income and expenditure account Asset register Balance sheet Works accountsAuditing 			
12	Capacity building programmes to improve ability to manage PPP	<p>PPP toolkit: What is PPP?</p> <ul style="list-style-type: none"> Fundamentals of PPP in the context of India; Choosing from a menu of options: designing appropriate PPP arrangements; and Managing PPP: new roles for public bodies. <p><u>Developing in-house expertise</u></p> <ul style="list-style-type: none"> Forms of PPP – case studies of different levels of PPP Lessons learnt: public sector comparisons, emergency services How to determine the appropriate level of public control? Identifying institutional needs: staffing plans and training <p><u>Legal/ administrative aspects of PSP</u></p> <ul style="list-style-type: none"> Contracting out: which is the appropriate public body? Clarifying roles and responsibilities where there are multiple public agencies. Public disclosure and accountability mechanisms Regulation: What is regulation? Understanding regulatory principles and designing appropriate regulatory mechanisms. 	<p>Structured Classes</p> <p>Discussion on Best Practices</p> <p>Case Studies</p> <p>Exposure Visit</p>	<p>Chief Administrative officers</p> <p>Elected Representatives</p> <p>Technical Officers</p> <p>to be invited separately in homogeneous groups</p>	2/3 Days
13	Water Utility Management Reform	<ul style="list-style-type: none"> Water supply and sewerage sector reforms roadmap and its implementation Establishing a single organization for management of water supply and sewerage sector. Improvement in management of service delivery vis-à-vis revenue generation for self sustainability Phased transfer of responsibilities of water and sewerage sector to the ULBs. 	Workshop	Concerned Officials of PHED and engineering staff of the municipalities of the project cities	
14	Right to Information Act	<p>(i) Role of Information in Governance;</p> <p>(ii) Provisions of the RTI;</p> <p>(iii) Systems and Procedures for Effective Implementation of RTI</p>	Structured Classes	Commissioner, Chief Executive Officer, Head of the Departments	Three Days

15	Office Management	i. Role and Importance of Effective Office Management for Citizens satisfaction; ii. Techniques of Effective Office Management iii. File Management practices in the ULBs iv. Techniques of Good File Management system; v. Requirements for a Good File Management System vi. Role of Administrative Rule and Regulations; vii. Exposure to Rules & Regulations for Municipal Governance	Structured Classes Discussion on Best Practices	Head Clerk, Assistants	
16	e-governance	<ul style="list-style-type: none"> • Meaning and Advantages of e-governance • E-governance vision of Rajasthan • Institutional structure for e-governance • ULBs' initiatives in e-governance 	Structured Classes Discussion on Best Practices Case Studies Exposure Visit	All Municipal officials and Elected Representatives to be invited separately in homogeneous groups	2-3 days
17	Work-ethics	Importance of work-ethics for one's personal and professional development Ethics lead to sustainable and integrated development	Brainstorming Session/ Seminar	All ULB functionaries	1 Day



Human Resource Development Plan for Urban Governance in Rajasthan

Draft Plan - For Comments
October 2015

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List of Acronyms

ADB	Asian Development Bank
AE/AEN	Assistant Engineer
BSUP	Basic Services for Urban Poor
CDTA	Capacity Development Technical Assistance
DLB	Directorate of Local Bodies
DWCUA	Development of women & children in urban areas
EE/XEN	Executive Engineer
GIS	Geographical Interface System
GoR	Government of Rajasthan
HRD	Human Resource Development
IGPRS	Indira Gandhi Panchayati Raj & Gramin Vikas Sansthan
IHSDP	Integrated Housing & Slum Development Programme
ITI	Industrial Training Institute
JDA	Jaipur Development Authority
JE/JEN	Junior Engineer
LSGD	Local Self Government Department
NRW	Non-Revenue Water
PHED	Public Health Engineering Department
RAY	Rajiv Awas Yojana
RHB	Rajasthan Housing Board
RIPA	Rajasthan State Institute of Public Administration
RUIDP	Rajasthan Urban Infrastructure Development Project
RUIFIDCO	Rajasthan Urban Infrastructure Finance & Development Corporation Limited
RUDSICO	Rajasthan Drinking Water, Sewerage and Infrastructure Corporation
SE	Superintendent Engineer
SLA	Service level agreement
ULB	Urban Local Bodies
UDHD	Urban Development & Housing Department
UIDSSMT	Urban Infrastructure Development Scheme for Small and Medium Towns
USEP	Urban Self Employment Program
UWEP	Urban Wage Employment Program
UWSS	Urban Water Supply and Sewerage
WSS	Water Supply and Sewerage

1. Background

1.1 Structure and content of the Human Resource Development (HRD) plan

The Human Resource Development Plan for Urban Governance in Rajasthan as laid out in the six sections of this note is the outcome of the state level assessment carried out using data from secondary resources and by holding discussions with a range of stakeholders during the preliminary visits to towns. The six sections are:

Section 1: This section covers the background to the study, urban sector scenario in Rajasthan, the urban reform process, need for HRD and our approach

Section 2: This section summarizes issues and concerns, core challenges and other issues with specific reference to HR processes and implications to HRD strategy

Section 3: Covers the municipal functions in the reforms context and consequent HRD needs and reskilling of staff

Section 4: Defines strategic thrusts and the strategic agenda for HRD

Section 5: Lays out the strategic framework for HRD plan, objectives of the four focus areas

Section 6: This section covers the implementation plan narrative. Details relating to key features of the implementation plan, time lines and the responsibility matrix for implementation are also explained in this section.

1.2 Urban sector scenario of Rajasthan

The economy of Rajasthan has marked a healthy growth since the eighties. The Human Development Report, 2008, Government of Rajasthan, states that the growth in real GSDP is among the highest in large Indian states during the past two decades. The long term trend of growth rate is estimated about 6 percent, putting Rajasthan among the best performing states of India. The report also cites that the rapid growth in non-agricultural sectors has been remarkable in the state. (Source: Human Development Report, an Update 2008, Government of Rajasthan, Strengthening State Plans for Human Development, Institute of Development Studies, Jaipur).

This contextualizes the need for stepping up urban investments and promotion of non-farm related vocational skills. Rajasthan has a very large urban migrant population, which has not fully integrated into the urban labor and employment market. In certain parts of the state, up to 40% of the workers out-migrate. Workers engage in work that is on self-employment mode, not by choice but out of compulsion. This puts a lot of stress on the supply side of the employment market, especially on the low skilled segments of the population.

The first step in developing this strategic human resource plan involved an ‘as is’ assessment of external and internal factors affecting the functional responsibilities of ULBs: sector outlook, urban growth scenario, political and legislative environment, and expanding demands on service delivery. This “environmental scanning” examined threats the ULBs face and opportunities they can develop.

Rajasthan has a population of 6.86 crores, an increase from 5.65 crores in 2001. The population growth in this decade was 21.44 percent while in the previous decade it was 28.33 percent. As per 2011 census, the overall urban population is 17, 080 and the urban population to the total population stands closer to 25%. The urban population in the last 10 years has increased by 29.26 percent, while

the rural population growth rate recorded for the corresponding period was about 19 percent. The rate of urban growth is significantly more than the rural areas. The districts which experienced the largest urban migration were Kota, Baran, Alwar, Jaipur, Sikar and Rajsamand. Looking to the fast growing minimum needs of the urban areas in the core sectors these fast growing districts may need special provision from the State Finance Commission. (Source: SCM Social Policy Research Institute, 2005).

To understand the trends in urban growth and the consequent implications to urban service delivery demands, district-wise analysis was done on the percentage of urban population, urban worker participation rate and the share of secondary & tertiary sector in employment. From the analysis, three growth trends emerge as presented in Table 1 below. The detailed district-wise trends are presented in **Annexure 1**

Table 1: Urban Growth Trends

Category	Name of District	Key Features
Category 1	5 districts (Ajmer, Bikaner, Jaipur, Jodhpur and Kota)	Share of urban population to the total population is more than 30%. More than 10% of the total 206 towns fall in these five districts. The urban worker participation in the towns of these 5 districts recorded above one third. Similarly, in four of the five districts, the share of employment in the secondary & tertiary sector was close to 50%
Category 2	14 districts (Alwar, Baran, Bhilwara, Bundi, Chittorgarh, Dholpur, Dungarpur, Ganganagar, Jaisalmer, Jalore, Pali, Rajsamand, Sirohi and Tonk)	14 districts which are outside category 1, also recorded urban worker participation of more than 30%
Category 3	Remaining 9 districts	These districts are characterized by i) lower than 30% urban population ii) less than 30% urban worker participation rate and iii) low share of secondary and tertiary sector employment

The above analysis indicates that the urbanization is likely to be on the fast track in the five urban hubs under category 1, which will put pressure on improved urban service delivery both in terms of spread and quality. The five urban hubs which are on the fast track growth are going to be around five corporations viz. Jaipur, Jodhpur, Kota, Ajmer and Bikaner. The category 2 districts also recorded urban worker participation rate in the higher band (i.e. more than 30%) which means the town under these 14 districts are also likely to face increased demand for urban related services, such as water & sanitation, drainage, roads, public health, land use planning etc. To meet the increased demand, the ULBs will require deployment of increased number of qualified urban professionals and service providers in the towns of these 19 districts.

1.3 Background to this reform

The RUIDP Phase III under Rajasthan Urban Sector Development **Program** (RUSDP) undertaken by Government of Rajasthan comprises of two **components** – (i) Project component financed by \$ 250 million project loan (Total Cost USD 360 million, including state share USD 110 million) which will support projects to improve water supply and sewerage systems in the six project cities in the State and (ii) Program component financed by \$ 250 million policy based loan which will support policy reforms and consolidate institutional development and governance improvement in the urban sector in the State. **Loan for RUIDP Phase III was negotiated between Asian Development Bank**

(ADB), Government of India (GoI) and Government of Rajasthan (GoR) on 11th September, 2014 and approved by ADB board on 24th October, 2014.

Policy reform matrix under the program loan component was prepared by ADB mission during the mission of 1-13 May 2014 which was discussed with Principal Secretary, Finance; Principal Secretary, UDH and Principal Secretary PHED. The agreed policy reform was approved by Hon'ble CM on file dated 3rd June 2014.

As per the above policy reform matrix for the program loan agreed with Asian Development Bank (ADB), for the release of first tranche GOR will have to prepare a draft human resource development plan for urban governance that includes training over a period of five years, of at least 10,000 functionaries (including all women functionaries) and elected representatives (including all elected women representatives), and will have consulted with stakeholders, including by posting the draft plan on its website, for a review of the draft plan.

Also, GOR will have to approve the establishment of a state-level urban governance training institute that incorporates gender-responsive urban governance as a key training module.

This document specifically focuses on HRD plan for urban governance In Rajasthan. The note on establishment of a state-level urban governance training institute has been submitted as a separate note as it requires approval of GoR. This document will essentially capture current situation of the human resource development in the State, issues and gaps, strategic thrusts and the strategic agenda based on identified issues, framework for HRD based on strategic thrusts, Core principles guiding the implementation of the HRD plan/strategy and outline of the HRD plan/strategy

1.4 Need for HRD in urban governance

Urban Local Bodies (ULBs) across the Rajasthan are facing a host of new challenges, with stakeholders demanding a higher degree of institutional performance. The implication of this for ULBs is to continuously upgrade their skill sets and capabilities to achieve higher level of organizational effectiveness.

The demand for quality urban services has marked a rapid growth and this has put additional stress on the already deteriorating physical and financial resources of ULBs. The ULBs which have been specifically mandated to extend basic urban services are experiencing inability to cope with the unprecedented demand. The initiative of the Government of Rajasthan (GoR) of devolving functions and functionaries places an additional pressure on the already deteriorating physical and financial resources of ULBs. By and large, all the ULBs are experiencing difficulties to cope with the changed situation due to:

- i) Insufficient resources (staff and other resources)
- ii) Deteriorating quality of infrastructure and falling service levels
- iii) Rising public demand and wide gap in supply and demand
- iv) Sub-optimal capacity of staff members to deliver under demanding circumstances, including their inability to adapt to continuously changing needs
- v) Lack of support in the transition process
- vi) Misaligned job role expectations between the elected body and the executive
- vii) No dedicated training institute for urban services as compared to rural services

With a view to improve the urban governance scenario in Rajasthan, the Rajasthan Urban Infrastructure Development Project (RUIDP) is investing resources to meet the three dimensions of the urban sector management viz. i) Efficient Revenue Management ii) Improved Service Delivery and iii) Strengthening Human Resource Skills in the delivery of urban services. The improvements in these dimensions will enable the ULBs to progress towards superior performance and provide better services to citizens. The central focus of this effort lies in developing and implementing a good HRD plan for urban governance.

The RUSDP investments are disbursed over tranches. The tranche 1 has set a pre-condition to put an HRD plan in place to address the human resource planning and development needs for the urban sector in Rajasthan. One key action under this is to prepare a draft HRD plan that includes training 10,000 functionaries and elected representatives over a period of five years of. The HRD plan is required to be uploaded in the website for review and suggestions by all stakeholders.

1.5 Our approach

While developing a long-term HRD perspective plan for the urban sector in Rajasthan, we focused on three critical components viz; Overall Goals, Focus Areas and Core Principles. This approach is presented in table 2 below:

Table 2: Our approach

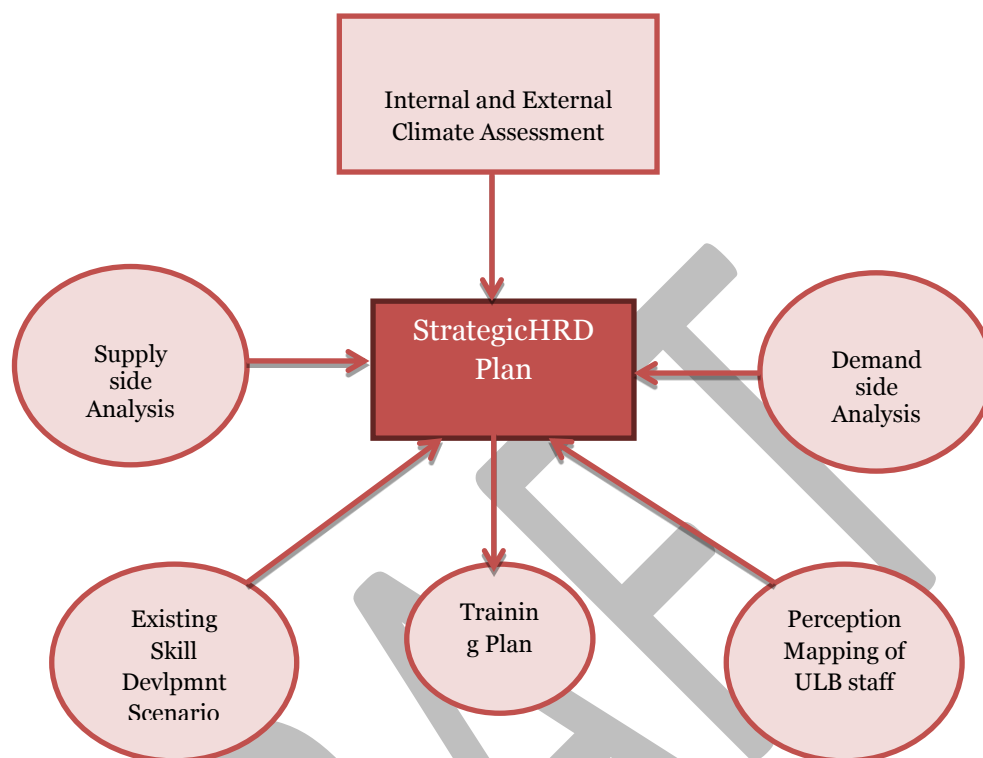
Goal	Building Urban Sector Human Capital in Rajasthan for high performance and enhanced service delivery			
Four Focus Areas	Focus Area 1	Focus Area 2	Focus Area 3	Focus Area 4
	Capacity Development	Organization Support	Governance and Institutional Development	Economic Growth and Development
Core Principles	Core principles that drive activities under each of the four focus areas are: i) focus on all levels of employment ii) responding to needs of women and persons with disabilities iii) maintaining performance focus iv) building learning communities and organization v) flexibility and adaptability vi) cohesiveness and integration vii) recognizing and contextual differences viii) promoting the agenda of development and ix) connectivity with all departments dealing in urban in GoR			

Under each of the four focus areas, specific objectives have been defined so that relevant activities can be taken up while implementing the HRD plan. The objectives and the broad types of tasks are explained in section 5 (refer table 15) of this report.

1.6 HRD Plan

In our approach towards assessing the HRD need, we made a distinction between separate the supply side and the demand side of human resource skills. To appreciate the context of the HRD plan and to draw relevance to the current systems and practices, an analysis of the existing skill development scenario (both internal and external) and a perception mapping of ULB staff were made. The training note submitted earlier forms a sub-set of this overall framework. The various components of this framework approach are presented in Figure 1 below.

Figure 1: Approach towards HRD Plan



1.7 Overview of the current situation

The urban services in the state are being provided and maintained by multiple agencies primarily at three tiers such as city, municipal towns and smaller towns, with technical support from state departments and quasi-government agencies at various levels. Although these agencies have specific mandates, their jurisdictions often overlap and/or leave large gaps unaddressed. The ULBs are responsible for providing basic urban services to the citizens living within the area of their jurisdiction. Apart from providing obligatory urban services, they are also responsible for providing services in health, education, construction and maintenance of facilities, markets, public entertainment facilities etc.

Typically, multiple agencies are involved in the provision of urban services. Therefore, the state has adopted a multi-layered approach for service delivery. This institutional complexity has implications on policy definition, service efficiency and consequent institutional and staff capacities. The Table 2 below captures the complex nature of the multi-layered institutional arrangement in a simplistic manner.

Table 3: Institutional Framework

Level	Institution	Responsibility	Role
Apex Level	LSG, UD&HD, DLB, JDA	Formulation of policy, regulation of implementation and monitoring of services. Provides budgetary support	Enabling and Policy and Funding Support
Planning	Development Authorities	Inter-face between UDD and ULB,	Planning & Advisory

Level	Institution	Responsibility	Role
Support Level	and other project-specific organizations	with active management support	and Implementation
Front End Service Level	ULBs	Actual provider of public services. Empowered to levy local taxes, user charges, collection of tariffs etc.	Service Provider
Support Level	PHED, DTP	Land use planning, Designing and implementation of schemes on behalf of ULBs.	Technical Support

Following upon the commitments of the 74th Constitutional Amendment and in line with the reform initiatives of decentralized governance, the Government of Rajasthan (GoR) decided to transfer the entire responsibility of urban water supply and sewerage services and other public services including project execution to the ULBs in a phased manner. In continuance with this spirit of devolution, the Asian Development Bank has committed a project loan of US\$ 250 million for works in improving water supply distribution network and sewerage systems in six towns. The loan entails soft components such as policy reforms, institutional development and improvements in urban governance. The reform initiatives stress on the transitory role of PHED as a technical support agency to ULBs.

This places ULBs (service receivers in the pre-transfer era) in the midst of a transition, posing a number of institutional challenges. Many of the urban service receivers in the public domain are expecting a superior institutional performance and better quality of service delivery. This has several implications to concerned ULBs. Upgrading the skills of own staff capacities, inducting recently transferred functionaries into their roles, consciously transiting from a “middle placed” passive role to a more active role of direct service providers, re-examining their own human resources needs, redesigning individual job roles to meet the new expectations are some of the major implications.

Rajasthan Municipal Act empowers urban local bodies to discharge their discretionary and obligatory functions along with powers to impose taxes and other utility charges. The Municipal Ordinance divided municipal functions into core (ULB responsibility), government assigned (state responsibility) and other functions. Most functions, besides water supply and sewerage are increasingly becoming a core responsibility of ULBs. The category-wise listing of ULBs in Rajasthan is provided in Table 3 below.

Table 4: Categories of ULBs

Type	Numbers
Corporations	7
Municipalities	34
Class II	13
Class III	58
Class IV	76
Total	188

Source: Progress Report, 2014-15 (LSG)

1.8 Macro assessment of skill demand and supply in Rajasthan

Macro assessment of skill demand in Rajasthan

As part of the overall workforce requirements, the demand for skilled workforce is estimated at 1.4 million persons till 2015. The new employment opportunities would not only call for enhanced

functional skills, and to an extent sector-specific, competencies across levels, but also several “soft” skills. The table below presents the category-wise macro level skill demands which will have indirect influence on human resources skills requirement in the urban service delivery sector.

Table 5: Macro skill demands

Skill Category	%	Type
Specialized Skills	2%	People with super specialized qualifications
High Skills	38%	Engineers, Graduates
Semi Skills	26%	ITI certificate holders
Minimal Skills	34%	School dropouts

Source: *Mapping of Human Resources and Skills for Rajasthan, 2015, ICRA Management Services Ltd*

Considering the importance of skills development, the Government of Rajasthan has initiated the Rajasthan Mission on Livelihoods (RMoL). The RMoL looks at natural resource based livelihoods (land, water, forests, livestock, and minerals), rural non-farm based livelihoods, urban informal sector (UIS) based livelihoods, out-of-state migration (OSM) based livelihoods, and skill trainings. It conducts several workshops and studies across the State, and also conducts need based short-term skill trainings for youths. About 11,000 youths have been trained through the RMoL in the last three years. Its objective is to generate more than 1 lakh livelihoods every year.

The skill building efforts in the urban sector, therefore, assumes high priority as younger age groups are likely to find livelihood options in various occupations in the urban sector in a variety of ways. This aspect has not received the attention it deserves to meet the supply side challenges in human resources. This has implications to the HRD strategy to ensure supply side re-skilling.

Macro assessment of skill supply in Rajasthan

Over 70 per cent of Rajasthan’s industrial output comes from four regions dominated by small scale industries: Jaipur, Bhilwara, Udaipur and Ganganagar account for 39%, 18%, 9% and 4% of the State’s industrial output, respectively. The key districts driving industrial growth are Ajmer, Alwar, Barmer, Bharatpur, Bhilwara, Bikaner, Bundi, Chittorgarh, Jaipur, Jodhpur, Kota and Udaipur.

The informal sector contributes significantly to employment in Rajasthan; there are an estimated 1.84 million enterprises in the informal sector in the State, generating employment for 2.9 million workers. Also, over 70% of the enterprises in the informal sector are currently involved in activities related to manufacturing, trade, and services. This is the key catchment for ULBs in obtaining urban governance related services.

Rajasthan has over 90,000 schools, 64 engineering colleges, 40 polytechnics, 430 ITIs, and 75 MBA institutes. A shift system is followed in the polytechnics and ITIs. As for seats, the state has 20,755 graduate engineering seats, 6,890 diploma seats, and 43,824 ITI seats. (Table 5) These are much lesser than the number of seats in other states. The literacy rate of Rajasthan is lower than the national average; it has a literacy rate of 60.41% as compared with the national average of 64.84%.

The high school dropout rate in Rajasthan is high; it has a 50% dropout rate from the primary to the upper primary stage. These drop outs are the ones who are generally available to the urban sector to do the low skilled or semi-skilled jobs. Also, the pass percentage is low (50% in SSC and 68% in HSC examination). The level of unemployment is also an area of concern – currently there are over 7.5 lakh unemployed persons in the state. The ICRA report also mentions that around 24% of engineering degree holders and 26% of diploma holders in the state are unemployable. It is also observed that graduates from Arts and Science Colleges are not geared for jobs in the industry, and also that the courses are not employment oriented. A number of graduates from the above target groups actively seek employment in government avenues, including opportunities in the urban sector.

Table 6: Human Resources

Category	Numbers	% to total
Engineering graduates (BE/BTech) per annum	20,755	4.80%
Diploma holders per annum	6,890	1.60%
ITI certificate holders per annum	43,824	10.15%
Other degree holders per annum	360,124	83.45%
Total semi-skilled and skilled students per annum	431,593	100%

Source: Mapping of Human Resources and Skills for Rajasthan, 2015, ICRA Management Services Ltd

1.9 Demand assessment in the urban governance sector

Forecasting encompasses human resource demand and supply predictions to indicate any surplus or shortage that the HR strategic plan tries to address. Demand estimates consider the overall sector objectives, skill requirements, historical growth trends and future growth plans etc. The on-going urban development schemes that will need supply of trained urban professionals at the implementation level are listed in Table 6 below:

Table 7: Types of skills needed at the implementation level

Schemes and Programs	Types of Skills in Demand
Urban Self Employment Program (USEP)	Skills in sustainable livelihood options, local economic development, community organization, sector specialists
Urban Wage Employment Program (UWEP)	Skills in sustainable livelihood options, local economic development
Training and skill development of BPL persons	Training skills, Skills in poverty analysis, community organization
Development of women & children in urban areas (DWCUA)	Skills in sustainable livelihood options, local economic development, gender development skills
City Sewerage Projects	STP service providers, civil engineers, designers, environmental engineers, town planners
Urban Infrastructure Development and Basic Services to Urban Poor (BSUP)	Civil engineers, building contractors, architects, construction supervisors, electricians, plumbers, unskilled workers, NGOs, PPP experts
Integrated Housing & Slum Development Programme (IHSDP)	Architects, civil engineers, town planners, civil contractors, electricians, plumbers, unskilled workers, NGOs, PPP experts
Urban Infrastructure Development Scheme for Small and Medium Towns (UIDSSMT)	Civil engineers, planners, building contractors, architects, construction supervisors, electricians, plumbers, unskilled workers, NGOs
Rajiv AwasYojana (RAY)	Engineers, Architects and other support functions in the technical cells
E-Governance initiatives in Urban Local Bodies (ULBs) of Rajasthan/Smart Cities/Digital India	IT Professionals, IT service providers, web developers, PPP experts
Heritage Cities	Archaeologists, Architects, Historians

1.10 Municipal Sector Employees and Elected Representatives at present

1.10.1. RMS officers

The DLB currently has 249 officers of RMS cadre. The designations of RMS include Commissioner, Executive Officer Grade II, III and IV, Chief Accounts Officer, Chief Financial Officer, Revenue Officer Grade I and II etc. This is a recent cadre that has inducted new group of professionals into the system and has succeeded in infusing new energy. The cadre is currently under expansion and will result in creating a core group of officers that will help in improving urban service delivery. This group of officers are expected to play a critical role in realizing the goal set out in section 1.4. of this document i.e. “Building Urban Sector Human Capital in Rajasthan for high performance and enhanced service delivery”. They will also provide the core leadership in strengthening the four HRD focus areas i.e. Capacity development, organization support, governance and institutional development and economic growth and development. Some select RMS officers will have to be trained under the “Train The Trainer component” to act as Master Trainers in spearheading the HRD movement within the department.

1.10.2 Other Municipal Staff

Other Municipal Staff are very large in number (over 35,000) placed across ULBs in the staff. Typical designations in this cadre include Office Superintendents, Revenue Inspectors, Sanitary Inspectors, Junior Accountants, Light Inspectors, Light Helpers, Assistant Fire Officers, Safai Karmacharis etc. Of the 35,768 other municipal staff, Safai Karmacharis make up for the bulk in numbers i.e. 30,064 (84%). It is also pertinent to note that only 57% of the total sanctioned posts are currently in position. The above figures highlight the numerical strength of Safai Karmacharis and the HRD attention required to improve the performance of ULBs.

Table 8: Vacancies

Total sanctioned strength	In position	Vacant	% of Vacancy
62366	35768	26598	43%

1.10.3. DLB Staff

Of the total staff strength of 271 in DLB, 48% (129) belong to secretarial and support functions. This makes them the largest target group for training within DLB. About 32% (87) belong to establishment and administration and 20% (55) belong to accounts function.

Table 9: DLB Staff

#	Establishment	Accounts	Secretarial and Support Staff	Total
Number	87	55	129	271
Percentage	32%	20%	48%	100%

1.10.4. Elected Representatives

Table 10: Elected Representatives

Total Number of ULBs	Number of Elected Representatives
183	5078

Note: Data on 5 ULBs not available

2. Issues and Concerns

2.1 Core Issues and Challenges

To appreciate the problems in the context of devolution, the CDTA team made an attempt to look beyond symptoms and viewed the issues from a holistic perspective. This holistic perspective included four specific institutional dimensions viz. Structure, Systems, Staff and Processes. The detailed areas that we examined under each of the dimensions and the overall observations are presented below.

Table 11: Structure, Systems and Staffing

Structure	Systems	Staffing and Processes
<ul style="list-style-type: none"> • Organization Structure • Reporting Relationships • Levels/hierarchies 	<ul style="list-style-type: none"> • Policy positions and practices • Recruitment, and training • Job descriptions and role specifications • Performance Management and Appraisals • Transfer and Promotions • Retirement 	<ul style="list-style-type: none"> • Existing Numbers • Staffing Norms • Quality of staff • Ability and Willingness • Leadership • Inter-departmental co-ordination • Inter-personal communication • Motivation • Goal setting and direction

The organization structure in the current institutional environment is tall and rigid, with limited latitude for the job holder to deliver efficiently and effectively. Reporting relationships are unidirectional.

- (i) **Job Descriptions:** Job roles are performed without specific written down job descriptions; thereby leaving open for varied interpretations, depending on the perception of the job holder and reporting authorities. There are no links of inputs to outputs to be produced or results to be achieved. This makes individual roles and responsibilities vague and the measurement of performance difficult. For example, the job role of an Engineer in a ULB differs from another and within a ULB it varies depending on perception of the reporting authority and how the function is influenced by the political dispensation.
- (ii) **Performance Management and Appraisals:** ULBs follow a conventional performance review system, with very little emphasis on performance planning, periodic review and management. Therefore, performance management in its true sense is virtually absent. Like any organization in the public service domain, increment and promotions being time based, the rating in the performance review is not directly linked to increment and/or promotion. Career progression is stunted with only one or two promotions received by staff between induction and retirement over a prolonged period of 15 to 30 years.
- (iii) **Transfer and Promotions:** Although there are laid down policies on transfers, they are seldom observed in practice. Transfers are affected based on call of the time, available vacancy or many times based on specific request by the individual. Transfers within the region and between regions are possible at certain levels and at certain levels transfers are possible only within a given region.
- (iv) **Staffing:** Staffing norms will vary from services to services and category to category. The norm is impacted by multiple factors such as geographic characteristics, population density, technology, technical design, type of users, billing and collection system etc. Any single factor

taken in isolation represents only a part picture. Therefore, as an essential part of the HRD exercise, a generic norm will have to be worked out taking into account various factors and the norms have to be complied with by all ULBs to ensure uniformity across the state. (suggested norm is attached in annex 3 for a broader understanding)

2.2 Other issues

In addition to various issues listed and described above, a number of other institutional dynamics and characteristic staffing features that are predominant in ULBs are considered in the analysis. These issues are more qualitative in nature. The predominant presence of these factors has direct bearing on the HR strategy and policy development. The acknowledgement of the existence of these features will lead to a deeper understanding of the complex inter-relationship between organizational processes and institutional issues. A listing of such issues and their implication to HR strategy are given in the table below. While sculpting a HR strategy, all such dynamics have to be considered and it becomes an integral feature of HRD. These factors don't need major resource commitments but effectively managing them becomes essential to ensure smooth implementation of HR strategy.

Table 12: HR Process Concerns and Issues

#	HR Process Concerns	Explanation	Implication to HRD strategy
1	Skill Set Deficit and Differing Competence and Commitment	Most public service organizations encounter this problem in one form or the other. Growing complexities of PHED and ULB service delivery responsibilities call for functional specialization and continuous upgrading of individual skill sets. When the vertical career mobility is determined by the conventional system of seniority and 'length of service' without sufficient investments in skill building, the negative impact of this feature on the institutional performance is profound. And it becomes increasingly palpable with the transfer of responsibilities to ULBs becoming a reality. The consequence of this feature on the organizational health needs to be taken note of. It is important that this problem is managed with a greater degree of sensitivity.	<ul style="list-style-type: none"> i) How to build flexibility in the recruitment procedures in the reform settings and improve project management skills and service delivery responsibilities? ii) How to improve knowledge and skill levels of newly transferred and existing employees and how to harmonize the working of the two. iii) How to introduce lateral entry of skilled staff while retaining the experienced employees. In this scenario, professionally blending the 'old and new' and protect the professional -esteem of both the groups is a challenge. <p>The proposed training institute will have a major role in addressing the skill set deficit</p>
2	Absence of clear Job Descriptions, leading to ambiguity in roles	The result of this is inequitable distribution of workload between staff members within a region and between regions and central office	<ul style="list-style-type: none"> i) Need to reclassify jobs/tasks ii) Need to induct more qualified staff in the new entity and to motivate staff to remain with ULBs iii) Need to define departmental outputs/results and map service level benchmarks iv) Need to more clearly define job descriptions, based on output criteria rather than input/activity focused tasks v) The need to retain the 'institutional

#	HR Process Concerns	Explanation	Implication to HRD strategy
			<p>memory’ by systematic transfer of knowledge and skills</p> <p>The lead role to draw up clear, KRA focused Job Descriptions lies with DLB. Once it is drawn up, the proposed training institute will have a role in training and skill building</p>
3	Apprehensions over transfer of functions (elected body and executive)	This has definite links to the absence of clear Job Descriptions described above. The devolution debate has been going on for a while with mixed results in sight. There exists some apprehension in the minds of staff across levels, regarding benefits and entitlements in the post-transfer scenario. Consequently, the transfer of functions and hiving off a new entity needs to be handled with utmost sensitivity.	<p>i) How to obtain internal ‘buy-in’ for reorganization</p> <p>ii) How to enable the staff members to make sense out of apparent reorganization chaos</p> <p>DLB in collaboration with RUDIC will have to take a lead role</p>
4	Redundant Roles	There are several positions, which should be abolished or redeployed. They include Jaldhar, Watchman, Peon, Chowkidar, ParchaVitrak, Assistant ParchaVitrak, Sab Nakerdar, Gangman, Scavanger, Painter, Data Computer, Bhisti, Time Keeper, Mechanical Grade-I & II, Electrician, Pump Driver, Carpenters, Job Officers, Skandhpal, Pump Driver, Cleaner, Helper Fitter, Helper Lauhar, Welder, Job Operator, Tracer, Gajdhar, Mistri Construction Gang, Kaarigar, Mate, Beldar, Naka Guard, Statistical, Machine Man etc. #	<p>These positions have outlived their utility. Most of these non-core functions can be outsourced to external service providers. This puts skill building efforts of external service providers at the core of improved urban service delivery.</p> <p>DLB will have to look at this issue comprehensively and design a policy in this regard. This has direct links to the absence of clear job descriptions, mentioned in # 2 above.</p>
5	Job plateau and stunted career growth	With limited scope for vertical career growth, most staff members showing the signs of stagnation. This gets further accentuated when no link is established between performance and performance incentives. Because of this inherent weakness, most staff members have reached professional growth plateau and job content plateau.	<p>i) How to introduce innovations in career path in the reform scenario?</p> <p>ii) Introduction of innovations in job design (e.g. job enlargement, job enrichment, inter ULB transfers, performance incentives etc.)</p> <p>iii) How to provide secondment to training, exposure to new work processes?</p> <p>iv) Should the ULBs recruit from the external market or should it be a mix of internal promotion and external recruitment?</p> <p>This has a major policy and service rules implication and can’t be determined by a</p>

#	HR Process Concerns	Explanation	Implication to HRD strategy
			single agency in isolation. Nevertheless, this is a key HRD component that impacts staff motivation and performance of ULBs.
6	Problems of insulating HR processes and procedures from political dominance	Given the need for high level of political buy-in for devolution, it is unrealistic to expect complete political neutrality in the HR processes, including selection and placement of people. However, the new environment can strive for minimizing the dominance	Draw up a comprehensive HR manual (separate from public service rules) and make it a custodian of all HR processes. This task may look simplistic, but has significant impact on performance of ULBs.

#Source: report titled “Need Assessment of ULBs & PRIs, SCM Institute of Policy Research, Jaipur, 2005

3. Municipal functions and HRD needs

3.1 Municipal functions in the reforms context and targeted skill development areas

In the urban reform environment, the skill set requirements of all municipal functions will have to be redrawn and the ULB staff as well as contractors, service providers and consultants will need substantial re-skilling inputs. That will be at the core of HRD efforts for internal staff members as well as external service providers. The following table lists down the modern municipal functions in the reform settings, and the corresponding HRD needs

Table 13: Municipal functions and HRD Needs

Municipal Functions	HRD Needs	
	Staff and Elected Representatives	Contractors, Service Providers and Consultants
Urban planning including town planning (in line with plans prepared by the District and Metropolitan Planning Committees)	Planning & Design	None
Land-use and construction of buildings (in line with plans prepared by the District and Metropolitan Planning Committees)	Regulatory	None
Planning for economic and social development	Needs analysis, Planning	Data Collection & Field Research
Water supply domestic, Industrial and commercial purposes	Planning & Design	Project Execution, Supply of treatment technology and sourcing of materials, O&M
Public health, sanitation, conservancy and solid waste management	Planning & Design, Space Allocation, Project Management	Project Execution, Supply of treatment technology and sourcing of materials, O&M
Fire services	Regulatory	O&M of vehicles, supply of equipments
Urban forestry	Planning & Design, Space Allocation, Project Management	Sourcing of plants, managing
Preventive Health Care	Planning, Setting SLBs	Delivering service
Provision of urban amenities and facilities such as parks, gardens, playgrounds	Planning & Design, Space Allocation, Project Management	O&M of facilities,
Burials and burial grounds, cremations, cremation ghats/grounds and electric crematoria	Needs analysis, Cost estimates, Setting SLBs	Construction and O&M
Cattle pounds, prevention of cruelty to animals	Regulatory and Planning	Construction and O&M, service provision
Vital statistics including registration of births and deaths	Planning	Field research and data collection
Street lighting	Needs analysis, Cost estimates	Erection and O&M, service provision
Parking lots, bus stops and public conveniences	Needs analysis, Cost	Construction and O&M,

Municipal Functions	HRD Needs	
	Staff and Elected Representatives	Contractors, Service Providers and Consultants
	estimates, Setting SLBs	service provision, citizen interface
Regulation of slaughter houses and tanneries	Needs analysis, Space demarcation, Cost estimates, Hygiene regulations	Construction and O&M, service provision, citizen interface
Heritage City Development	Identifying cities with heritage preservation needs. Appreciating National Heritage City Development and Augmentation Yojana (Ajmer has been included in the first phase by GoI)	Restoring heritage structures, tourism development. Development of water supply, sanitation, drainage, tourist convenience
Slum improvement and up gradation	Spatial planning	Pro-poor orientation, service provision, citizen interface
Information technology	Identifying needs for automation of all processes	Providing IT development and management services
Admin & establishment	Managing facility maintenance and other related services	Housekeeping, building and facility maintenance, catering and other associated services

Source: Reforming Municipal Finances: Some suggestions in the Context of India's Decentralization Initiative, Urban India, A Journal of National Institute of Urban Affairs, New Delhi, Vol.XV (No.1), Mohanty

3.2 Re-skilling needs of service providers

It is in this context, several re-skilling needs in the sector that can be managed by the proposed urban sector specific training institute can be mapped as follows. This is in addition to the skill development needs on the demand side i.e. human resource development needs of the urban local bodies and public institutions managing the urban sector infrastructure and services

The various categories of service providers and their HRD needs are listed in the table below (Table 13). The potential recruitments sources for these service providers are also listed alongside. This gives an idea of potential sourcing of HR talent from the market.

Table 14: Service Providers and HRD Needs

Category of Providers	HRD Needs	Potential Skill Supply Sources
Civil contractors (roads, toilets, buildings etc.)	<ul style="list-style-type: none"> Efficient contract management CPHEEO norms Construction codes Setting norms and standards SLBs ISO certification Professional accreditation 	<ul style="list-style-type: none"> Engineering colleges Diploma institutes ITIs Institutions providing vocational courses
Electrical contractors (e.g. street light maintenance),	<ul style="list-style-type: none"> Efficient contract management CPHEEO norms Construction codes 	<ul style="list-style-type: none"> Engineering colleges Diploma institutes ITIs

Category of Providers	HRD Needs	Potential Skill Supply Sources
	<ul style="list-style-type: none"> • Setting norms and standards • SLBs • ISO certification • Professional accreditation 	<ul style="list-style-type: none"> • Institutions providing vocational courses
Mechanical Workshop Contractors	<ul style="list-style-type: none"> • Maintenance and service scheduling • Managing mechanical workshops 	<ul style="list-style-type: none"> • Engineering colleges • Diploma institutes • ITIs • Institutions providing vocational courses • School dropouts
Water Supply & Sewerage Contractors	<ul style="list-style-type: none"> • Norm setting • Citizen charter • ISO certification • Professional accreditation 	<ul style="list-style-type: none"> • Engineering colleges • Diploma institutes • ITIs • School dropouts
Public Toilet Maintenance Contractors	<ul style="list-style-type: none"> • Building toilets • Maintaining toilets 	<ul style="list-style-type: none"> • General graduates • School dropouts
Septic Tank Emptiers and Sludge Treatment Service Providers	<ul style="list-style-type: none"> • Septic tank design capabilities • Septic tank maintenance services • Fecal sludge treatment and management services • Environmental certification 	<ul style="list-style-type: none"> • General graduates • School dropouts
Health related service providers in Municipality owned Public Hospitals	<ul style="list-style-type: none"> • Building health infrastructure • Public health management • Environmental certification • Professional accreditation 	<ul style="list-style-type: none"> • Medical colleges • Nursing colleges • Para-medical service providers • School dropouts
Street cleaning service providers	<ul style="list-style-type: none"> • Norm setting for staff • Citizen charter 	<ul style="list-style-type: none"> • School dropouts • Open market
Public Parks Upkeep Service Providers	<ul style="list-style-type: none"> • Land use planning • Park upkeep services 	<ul style="list-style-type: none"> • Architecture colleges • General graduates • School dropouts

4. Defining strategic thrusts and the strategic agenda

4.1 General approach to HRD strategy

The structure of the strategy is intended to promote the alignment and streamlining of a host of worthwhile initiatives that are currently floundering in the field of urban governance. Its intent is to focus on the issues which could add the highest value in the shortest time. Its intent is to build and strengthen the current foundation for enhanced performance, and provide support to maintain the momentum.

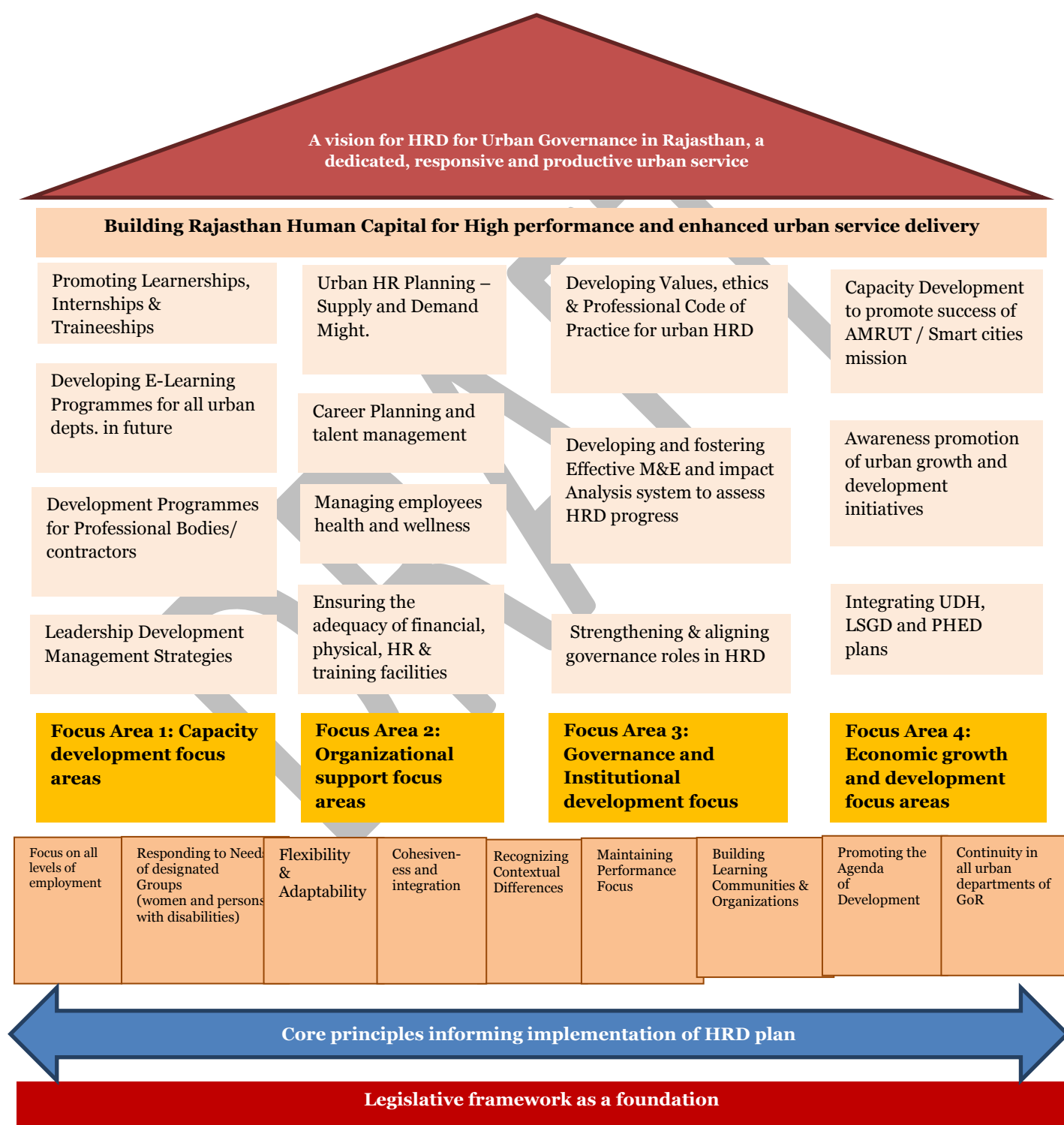
There are great variances in resource availability, organizational and human resource capacity and the capability of implementing structures in Rajasthan. The general approach to the strategy, therefore, is to foster differential status of development in HRD and to enable each urban entity (UDH, LSGD, city-sub division PHED) of the GoR to consolidate their achievements and build further on their HRD functions from its current status. The essence of the approach is to foster excellence by first ensuring that core initiatives that are already in place are able to work.

It is necessary to foster the essential organizational linkages and to build the core structures for HRD so that the base for excellence is well established. The HRD strategy, therefore, seeks first to facilitate the fundamentals before seeking to pursue innovative ideas for which some departments may not be ready. But where there is room to excel, and where there is capacity to be innovative, creativity and accelerated progress will be supported and facilitated. It is within this general sentiment that the framework of the HRP plan is visualized as detailed out in section 5 below.

5. Framework for HRD plan

In light of the research review, and in light of the above strategic thrusts which have been outlined in the previous chapter, a framework for capturing an overall illustration of the Rajasthan urban HRD plan as a whole has been developed and presented in the schematic below (Figure 3):

Figure 2: Framework for HRD plan



In the above figure, all the initiatives and priorities of the Rajasthan's urban HRD plan are presented. This framework of priorities seeks to represent a holistic approach to Human Resource Development in the urban governance, and it seeks to identify and isolate the key components of the plan.

It is important to embody these key components holistically. A holistic approach recognizes the wholeness of each individual in various urban departments, and it considers the mutual dependence of all the organizational functions which are associated with Human Resources. It seeks to identify the major areas of activities for the construction and alignment of HRD practice for urban governance. The anticipated result of this alignment is high performance among employees and enhanced urban service delivery by LSGD, UDH and PHED.

It is important to note that the key elements of the HRD plan were not arbitrarily selected. The array of priorities, as addressed in the framework, has been derived through a consultative process with stakeholders and through a thorough review of available resources on HRD policy and practice and its constraints and challenges in Rajasthan.

There are three critical components of the HRD Plan framework:

- i) The vision for HRD and the manner in which this vision is communicated, institutionalized and managed;
- ii) The critical initiatives/focus areas and the key pillars for achieving this vision, or the primary areas in which action will be taken in implementation; and,
- iii) The core principles for implementing the plan which will serve as a set of guidelines for all in organizing and managing HRD interventions.

These components must be converted into a strategic agenda of action, and must be the source from which implementation considerations are generated. In this regard, the priorities of the above framework must be translated into actionable statements of intent. Each component of the conceptual framework is described briefly below.

5.1 Vision

The vision for HRD is the state of affairs to which the HRD Strategic Framework aspires. It sits at the top of the conceptual framework to represent what could be attained. The vision for HRD, as noted, is the object of our efforts, the basis of our interventions if the pillars of the HRD plan are well constructed and applied. The vision completes the HRD plan and helps to give it meaning. How vision, mission and goals can be crafted and managed in the attainment of the HRD plans captured in **Annexure B**

5.2 Focus Areas of Action

The second component of the HRD plan is the focus areas of action or the critical set of initiatives to be undertaken in implementing the Strategic Framework. This component of the conceptual framework is essentially the core of the HRD Strategic Framework for the urban governance. It embodies 4 focus areas of strategic initiatives and 14 areas of action in implementation. Each of the focus areas is described briefly below.

Table 15: Four Focus Areas of Rajasthan Urban HRD plan

Focus Areas	Objectives	Activities
Capacity Development Initiatives	To adopt a wide set of options for capacity development in order to respond to the varying needs and requirements of the urban governance in	Capacity development initiatives are represented in those activities which add value in strengthening Rajasthan's ability to develop human capital in urban governance. The State must be able to build urban human capital efficiently and effectively, and the infrastructure put in place must promote ease of access to opportunities for development for all including Staff,

Focus Areas	Objectives	Activities
	Rajasthan and build the capacity of employees to undertake their responsibilities	<p>Elected Representatives, Contractors, Service Providers and Consultants. Most important in this regard is that developing human capital should lead to improved performance and enhanced urban service delivery. The end must justify the means and the efforts made.</p> <p>Establishing a state level urban-specific training institute, as detailed out in the separate Training document is at the core of this initiative. This will be supported with tasks such as recruiting fresh talent at the entry level to be placed at ULBs using campus interview route and encouraging lateral entry (middle level) of new talent on specific assignments to support the critical municipal functions.</p>
Organizational Support Initiatives	To strengthen support structures and systems in various urban departments in creating a sound foundation for urban HRD practice.	<p>Organizational support initiatives refer to those operational aspects of the organization upon which a holistic urban HRD function is dependent. While these may not necessarily be HRD functions or concerns, urban HRD cannot be effective or efficient if these are not operating effectively. The essential foundation of effective organizational performance must be in place if HRD must be successful. The conceptual framework notes that these areas also need to be strengthened in order to add value to proper urban human capital formation and utilization in various urban departments.</p> <p>Restructuring of the Urban Development Department within the local Self Government will constitute one of the most important tasks under this focus area.</p> <p>Another important task within this focus area is restructuring and re-casting of the roles and responsibilities of Jaipur Nagar Nigam (JNN) to enable the staff to handle the rapidly changing urban scenario and meeting the rising expectations of citizens on improved service delivery. This restructuring exercise will be extended to cover other larger cities at a later stage.</p>
Governance & Institutional Development Initiatives	To ensure that HRD in the urban sector is effectively governed in order to promote effective implementation of the strategic framework, through effective institutions	<p>Governance initiatives refer to the manner in which HRD in the urban development space will be promoted, governed and supported. Governance here refers to the manner in which strategic leadership will be provided in order to ensure the successful implementation of the HRD plan. Governance in this sense does not only refer to the roles and obligations that will be undertaken by various urban departments (UDH, LGSD, DLB, RUIDP etc.) in the State; it also refers to the interventions that will be made to track progress, promote quality and integrity and assess the outcomes and impact achieved.</p> <p>Development of a dedicated urban research and</p>

Focus Areas	Objectives	Activities
		development function at UDH/LSG level will lead to improved institutional development initiatives. The contribution of City Managers' Association-Rajasthan (CMAR) can be leveraged for this purpose.
Economic Growth and Development Initiatives	To ensure that HRD plans, strategies and activities integrate, align with and respond to the economic growth challenges and urban development initiatives of GoR	Economic growth and development initiatives seek to locate human capital formation considerations in their rightful place on the development agenda of Rajasthan. The central concern here is the manner in which capacity development initiatives in State are aligned and integrated with the Gore's programmes and initiatives (like AMRUT/Smart cities mission) which promote economic growth and urban development.

5.3 Core Principles

The currently fragmented urban HRD structure in Rajasthan will benefit from principles of action that could create unity of focus and establish a common set of priorities for making operational choices. These core principles will affect all aspects of the HRD plan. They are enduring themes of practice and will function as a constant reminder to the State about the operational considerations that is required to streamline the urban governance in Rajasthan.

6. Implementation Plan

Implementation is the ultimate challenge in a Government setup. A well designed and ambitious HRD plan is of little value if it is not properly implemented, and if its objectives are not achieved. The intent of the plan is to consolidate gains, enhance urban service delivery systems and promote more balance and uniformity in the capacity of urban departments to deliver. Its intent is to move the system yet further forward in developing the capacity of ULBs and enhancing performance and service delivery. Inherent constraints to implementation are imposed by the complexity of context, the fragmentation of operational systems, the varying levels of capacity and differences in organizational structure.

6.1 Key features of implementation

As part of the design of the Strategic Framework as a whole, there will be five key features of implementation. These are as follows:

- i) A communication and stakeholder engagement strategy
- ii) **An urban training institute and a framework for allocation of responsibilities to facilitate implementation of trainings of at least 10,000 functionaries (including all women functionaries) and elected representatives (including all elected women representatives),**
- iii) A collaborative and consultative process of monitoring and evaluating implementation success
- iv) An urban HRD strategy Implementation Guide that is aligned with the actual provisions and requirements of the strategy.
- v) An annual performance report on progress in implementing the strategy

Key aspects of the implementation plan are listed down in table 16 below.

Table 16:Implementation Plan

2015-16	2016, 2017, 2018, 2019	2020 and beyond
<ul style="list-style-type: none"> Finalize HRD plan Launch urban specific training institute Prepare and approve training programs 	<ul style="list-style-type: none"> Agree on training plan with institutions Target training of 2000 ULB Functionaries each year Target training of 350 elected representatives each year Commission restructuring of LSG, DLB and ULBs Recruit fresh talents Develop a comprehensive HR manual (separate from public service rule book) Introduce Performance Management Systems 	<ul style="list-style-type: none"> Training impact assessment Training continuity and sustenance plan

6.1.1 A comprehensive communication and stakeholder engagement strategy

The strategy must be effectively communicated. Here, communication will seek to create awareness of the strategy, build commitment for its implementation and open up avenues through which collaborative initiatives can be forged. The communication strategy will involve both internal and external stakeholders and will seek to establish a new frame of reference for defining HRD practice in the Urban Service. It will also seek to highlight the importance of HRD in the ongoing transformation of the urban departments, and in enhancing performance and service delivery. In the end, HRD will be seen as a strategic partner in the efforts of departments to address strategic and urban developmental priorities. But communication is not solely the responsibility of GoR. A communication programme will be undertaken at ULB level and within the various urban departments, in institutions and with stakeholders and supporters

6.1.2 A training institute for facilitating trainings of at least 10,000 functionaries

Initially, a unified model shall be considered where in urban training functions could be unified with the on-going functions of IGPR & GVS and carve out a separate urban training wing (as ShahariVikasSanstha) within the existing legal provision. Going forward, a standalone institute similar to IGPR-GVS model shall be established in the urban context. The training institute will reflect the key pillars of the strategy, and outline the drivers of implementation at the State, town, departmental and institutional levels. The key features of the institute will be as follows:

- (i) It will detail out the continuity of implementation between different levels of Government
- (ii) It will depict the requirements for “top down” and “bottom up” engagements
- (iii) It will note the necessity of defining responsibilities and outcomes at each level
- (iv) It will highlight the need to customise strategic provisions with contextual and organizational circumstances.

Responsibilities and engagements will be defined at the State, town and departmental levels. The aim will be to build the capacity at each level and to note the relationship to existing policy frameworks and structures at these respective levels

6.1.3 Monitoring Implementation Success

Implementation success should be gauged through monitoring and evaluation processes which should be linked to continuous feedback and sharing lessons learnt. The key feature of monitoring should be quarterly and annual consultative meetings among stakeholders and with the respective departments to discuss progress and challenges, and to collectively seek solutions that could work.

6.1.4 Progress Tracking

Once the HRD strategy is established and plans are agreed upon by all ULBs, it will be necessary to track the progress on a pre-determined time frame. It is recommended to do this using a common meeting forum of all ULBs, one at the mid-term of implementation and second at the end-term. An external facilitator may be engaged to carry out this task. The meeting will debate progress on pre-defined HR parameters (progress made on four pillars and the laid down objectives, issues faced during implementation etc.) and identify bottlenecks in implementation and also suggest strategies for resolution. The meeting report should also highlight outstanding achievements and should, if necessary, describe new measures to be adopted to further accelerate the implementation of the HRD plan. In addition to tracking progress, the report should seek to consolidate gains, restructure delivery arrangements, if necessary, and chart out a revised path for moving into the future. In this manner the report will serve as an adjusted plan of action for moving forward. Since the ULBs are uninitiated to modern HRD practices, ULB- level support groups may be considered for sharing and learning and to support each other in the implementation process.

6.2 Responsibility Matrix

The re-skilling options could be mainly sponsored events of short-term to medium term. Post-training, the participants are likely to take up self-employment options or gainful employment through contractors, suppliers, vendors, NGOs and other service providers.

Multiple groups (external and internal) are mandated to deliver a range of services; all of such groups will need HRD support in one way or the other. The key groups are i) Current ULB employees (RMS, general municipal services and others) ii) Potential employees (students and other lateral entrants to be recruited) iii) Contractors, consultants and other urban service providers and iv) Elected Body.

HRD support will be needed for all these target groups. However, it is not feasible for a single agency to address this need, given the multi-layered institutional environment. It has to be shared by multiple agencies. The following table (Table 15) lists down the nature of HRD responsibilities and the agencies that can be mandated to carry out the tasks.

Table 17: Responsibility Matrix for HRD Systems

HRD Domain	ULBs	DLB	LSG	Training Institute	Respective Employers
Current ULB Employees					
Job Descriptions (KRA based)	✓	✓			
Performance Goals	✓	✓			
Performance Management	✓	✓			
Learning & Development	✓	✓	✓	✓	
Potential Employees (New Recruits)					
Recruitment- (skilled)		✓	✓		
Recruitment (semi-skilled)	✓				
Recruitment (unskilled)	✓				
Skill Enhancement	✓			✓	
Contractors					
Enabling Performance	✓	✓			✓
Setting Norms		✓	✓		
Accreditation			✓	✓	
Capacity Building				✓	✓
Consultants					
Enabling Performance	✓	✓			✓
Setting Norms		✓	✓		
Accreditation			✓	✓	
Capacity Building				✓	✓
Service Providers					
Enabling Performance	✓	✓			✓
Setting Norms		✓	✓		

HRD Domain	ULBs	DLB	LSG	Training Institute	Respective Employers
Accreditation			√	√	
Capacity Building				√	√
Elected Body					
Supporting Public Interface		√			
Achieving SLBs	√	√			
Continuous Learning				√	

6.3 HRD tasks ahead

Considering the complexity of the tasks ahead, a listing of what, who, when and how of the HRD plan is mapped in Table 16 below.

Table 18: HRD tasks ahead (suggested timelines)

HRD tasks ahead			
What	Who	When	How
HRD task ahead for internal stakeholders			
Preparing and updating a HR inventory	DLB (expertise of CMAR can be used for this)	To be ready by end 2015	Compiling the current staff inventory (DLB inventory). Organizing it category-wise, location-wise, DOJ-wise, age-wise and skill-wise)
Assessment of Staffing Requirements (ULB-specific numbers by category)	DLB	By January 2016	By assessing sector reform requirements and by benchmarking with “best of the breed” ULBs Staffing norm template for human resource planning (category-wise) is given in Annex 3, which can be used as a guidance sheet
Identify gaps in numbers; define talent acquisition targets. Identify talent pools including campus recruitment options	DLB	2016 through 2018	By periodical assessments
Defining Vision, Mission, Goals, Objectives and annual targets of the department and ULBs	DLB and ULBs	By April 2016	By using the existing Citizen Charter as a base expand it to develop departmental and ULB specific targets
Developing of KRA focused Job Descriptions (with norms and	DLB and ULBs	By March 2016 (to tune with new budget year)	Assessing what each job holder needs to do in the reform setting. Place these on the website

HRD tasks ahead			
What	Who	When	How
standards of achievement)			
Training of DLB officials and ULB staff on KRA approach and practices	External agency (or the new urban sector training institute)	Commence in April 2016 and complete by June 2016	On a regional basis
Induction programs for freshly inducted talent pool	New urban sector training institute	2017 onwards on a periodical basis	Using class room training and on-the-job exposure
Implementation follow up	DLB	2016 onwards	MIS documentation
Progress tracking and monitoring	DLB	2018 and 2020	Consultative meeting using external facilitator
HRD task ahead for external stakeholders			
Developing an inventory of current contractors, consultants and service providers and rating their performance	DLB	By March 2016	Rating needs to be done on their performance history of output deliverable
Developing a long list of potential contractors, consultants and service providers	DLB and ULBs	By June 2016	Market scan; web search
Identifying key institutions for hiring of fresh graduates, diploma and certificate holders	DLB	2017 onwards (an annual exercise)	Market scan; web search
Conducting campus recruitments		By June 2017	Selection test and interviews

Annexure

Annexure A – District-wise Urbanization Trends in Rajasthan

District-wise Urbanization Trends in Rajasthan

District	Urban population (%)	Towns (Nrs)	Worker participation rate (Urban %)	Share of secondary & tertiary sector (%)
Ajmer	40.09	9	29.64	52.20
Alwar	14.53	9	31.80	29.10
Banaswara	7.15	3	29.44	14.50
Baran	16.84	6	35.60	22.80
Bamer	7.40	2	29.17	22.10
Bharatpur	19.46	9	28.0	25.9
Bhilwara	20.60	8	33.55	36.60
Bikaner	35.54	3	28.7	38.6
Bundi	18.65	7	30.33	28.00
Chittorgarh	16.04	8	32.70	22.70
Churu	27.87	11	27.6	23.1
Dausa	10.31	5	27.2	26.5
Dholpur	17.96	3	30.9	43.7
Dungarpur	7.30	3	32.19	24.40
Ganganagar	25.34	12	30.91	39.30
Hanumangarh	20.00	6	28.60	24.00
Jaipur	49.36	11	30.43	59.00
Jaisalmer	15.03	2	31.24	44.90
Jalore	7.59	3	31.47	22.50
Jhalawar	14.25	8	29.29	19.20
Jhunjunu	20.65	13	24.75	30.70
Jodhpur	33.85	4	29.14	40.70
Karouli	14.21	3	27.86	28.30
Kota	53.46	11	28.97	58.40
Nagaur	17.20	12	27.14	27.70
Pali	21.47	11	31.08	43.20
Rajsamand	13.04	5	30.03	45.70
Sawaimadhopur	19.04	4	26.76	27.70
Sikar	20.65	9	25.99	34.00
Sirohi	17.73	5	30.67	49.50
Tonk	20.89	7	31.02	31.30
Uadipur	18.62	10	31.57	36.20

Source: Source: Human Development Report, an Update 2008, Government of Rajasthan, Strengthening State Plans for Human Development, Institute of Development Studies, Jaipur

Annexure B–Developing Vision, Mission, Goals and Objectives

Developing Vision, Mission, Goals and Objectives

Hierarchy	What should it contain?	How should it be positioned in the reform setting?
Vision	A motivational statement that describes the futuristic perspective on a 5-10 year timeframe. In other words, it is a statement, showing the direction of the urban sector service delivery perspective in the state.	Define the Vision through a consultative process with the state level and ULB level decision makers participating in the process. Translate it to jointly owned-up initiatives of all ULBs.
Mission	A ‘drilled down’ view of Vision statement with a clear understanding of how the Vision will be realized. Distinction between Vision and Mission is always maintained.	Enable the ULBs and their staff to bring forth the clarity through a consultative process.
UD &H and ULB Goals	Goals are general statements of what is intended to be achieved and are subject to change as some are achieved and new ones are identified. They do not maintain <i>status quo</i> ; they aim at bringing about higher levels of performance.	Develop KRA based performance goals.
Individual ULB Objectives	A very specific statement of what is to be done to accomplish the defined goals. ULB Objectives may vary between ULBs and they will define: i) What is to be accomplished? ii) How much is to be accomplished? iii) By when and by whom it is to be accomplished?	Develop objectives, separately for all transferred ULBs first and then upscale it.
Job role-wise KRA focused Job Descriptions	Specific performance objectives for individuals based on which annual, performance targets can be determined.	Develop designation-specific job charts. Develop results oriented, quantifiable job descriptions; identify cross linkages and develop responsibility matrix. Promote multi-skilling within each ULB.

Annexure C– Norms for Staffing Pattern

Norms for employing officers and staff in various grades of municipalities are based on population of the municipalities, levels of services and utilities provided, amount of annual transactions, users and beneficiaries of schemes, income levels (for accounts function), programmes and the general workload. An indicative list of staffing pattern is given in the Table below.

Designation	MC>10 lakh	MC 5-10 lakh	Council 1-5 lakh	TPs<1 lakh
Administration				
Commissioner/CO	1	1	1	1
Addl Commissioner	2	1	1	0
Secretary	1	1	1	0
Asst. Commissioner	1	1	1	0
PRO	1	1	1	0
System Manager	2	1	1	0
Support staff (per section)	1	1	1	
Superintendent (per section)	2	2	1	0
Jr Asstt (per section)	3	2	1	0
Steno Typist	7	5	3	1
Data Entry Operators	5	3	2	1
Revenue				
Addl Commissioner	1	0	0	0
Dy Commissioner	0	1	1	0
Revenue Officer	2 (per circle)	1 (per circle)	1	1 for 4 bill collector
Revenue Inspector	1 for 4 bill collector	1 for 4 bill collector	1 for 4 bill collector	1 for 3000 assessments
Bill collector	1 for 3000 assessments	1 for 3000 assessments	1 for 3000 assessments	1 for 3000 assessments
Engineering				
CE	1	0	0	0
SE	1 for 500000 pop+1 Envt	1	1	0
EE	2 for 1 SE	1 for 200000 pop	1	0
Dy EE	2 for 1 EE	2 for 1 EE	2	1
AE	1 for 40000 pop+2 SE office +1 for EE office	1 for 40000 pop+2 SE office +1 for EE office	1 for 40000 pop	1
Horticulture Officer	1	1	1	0

Designation	MC>10 lakh	MC 5-10 lakh	Council 1-5 lakh	TPs<1 lakh
Support Staff				
Work Inspector	1 for 1 EE	1 for 1 EE	1	1
CAD/GIS Operator	2	1	1	1
Public Health & Sanitation				
CMO	1	1	0	0
Asst CMO	1 per circle	1 per circle	0	0
MHO	0	0	1	1
Sanitary Supervisor	1 for 5 sanitary inspector	1 for 5 sanitary inspector	1 for 5 sanitary inspector	1
Sanitary Inspector	1 for 40000 pop	1 for 40000 pop	1 for 40000 pop	1
Support Staff				
Health Asstt	1 for 100000 pop	1 for 100000 pop	1 for 100000 pop	1
Sanitary Mistry	3 per sanitary inspector	3 for 100000 pop	3 for 100000 pop	3
Town Planning				
Chief City Planner	1	--	--	
Transport Planner	1	1	--	--
City Planner	One for every 10 lakh Pop.	1	--	--
Dy. City Planner	Two for each City Planner	2	1	--
Town Planning Officer	Two for each Dy. City Planner	4	2	--
Town Planning Supervisor	One for every 60000 Pop.	One for every 60000 Pop.	One for every 60000 Pop.	1
Building Overseer	One for every 40000 Pop.	One for every 40000 Pop.	One for every 40000 Pop.	1
Support Staff				
CAD/GIS Operator	4	2	2	1
Tracer	One for every 2 lakh pop	One for every 2 lakh pop	One for every 2 lakh pop	1
Town Surveyor	4	2	1	1
Legal Wing				
Chief Legal Officer	1	0	0	0
Law Officer	2	1	0	0
Dist. Attorney	2	1	0	0
Legal Asstt.	4	2	1	1
Fire wing				
Chief Fire Officer	1	0	0	0
Div. Fire Officer	2	1	0	0
Sub Fire Officer	4	1	1	1
Accounts (Based on Income levels)				
Designation	Rs 500 crore	50-100 crore	20-50 crore	Upto 20 crore
CAO	1	1	0	0
AO	2	1	0	0
JAO	2	1	1	0

Designation	MC>10 lakh	MC 5-10 lakh	Council 1-5 lakh	TPs<1 lakh
SrAcctnt	2 for 1 JAO	2 for 1 JAO	1for 1 JAO	1
Section				
Jr Acctnt	2 for 1 SrAcctnt	1 for 1 SrAcctnt	1 for 1 SrAcctnt	1

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