Regional Workshops on
Capacity Building for Service Level Benchmarking (SLB)



Organised by

Ministry of Urban Development, Government of India

With

CEPT University

2013 - 2014

सत्यमेव जयते

CEPT UNIVERSITY
ज्ञानं विज्ञानसहितम्



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Background: The Ministry of Urban Development (MoUD) launched the Service Level Benchmarking (SLB) initiative covering water, sanitation, solid waste management and storm water drainage in 2009. The main objectives of the SLB Framework are to develop a common minimum framework for monitoring and reporting on service level indicators along with the guidelines to operationalise the framework in a phased manner. It also intends to support cities to develop an Information System Improvement Plan (ISIP) to improve quality and reliability of information, and to encourage the adoption of this framework for performance monitoring as well as for formulating Performance Improvement Plans (PIP). In 2009, the Thirteenth Finance Commission's recommendation provided incentives for State governments to assess and publish service levels and targets in the State gazette to avail performance-based grants for urban local bodies (ULBs). It is now being recognised that though the SLB exercise has been initiated by the Central Government, its sustenance at State and city level depends on its mainstreaming through a State and city level monitoring system and its institutionalisation.

In June 2013, the Ministry of Urban Development identified CEPT University as the National Technical Support Partner for operationalising the SLB Framework in all States/ULBs for period of one year. As a part of activities under national technical support partner, CEPT partnered with various institutions to organise regional Capacity Building Workshops during November 2013 to February 2014. The objective of the workshops was to introduce concepts of SLB, and to provide demonstration of on-line modules and report generation. [1]

SLB Workshop at New Delhi – January 2014

SLB Workshop at Chennai – November 2013

SLB Workshop at Shillong – November 2013

The training was oriented towards making participants conversant with online SLB data entry module and generation of reports required for compliance under Thirteenth Finance Commission and other State level requirements. Workshop invitations were sent to twenty nine States (of which eighteen participated) to nominate members from SLB cells and representatives of ULBs for the workshops. The participants were also requested to bring data for a sample ULBs for online module training for the workshops. The participants were provided hands on training for online performance assessment on the CEPT University's PAS portal. A brief summary of various regional workshops and participants trained in given below:

[1] The Performance Assessment System (PAS) Project at CEPT University has developed appropriate methods and tools to measure and monitor SLBs and improve delivery of water and sanitation. The PAS Project has assisted in assessing SLBs of 400+ ULBs in Gujarat and Maharashtra for five consecutive years for performance assessment of water supply and sanitation services and setting up of State SLB Cells to operationalise the SLB activities on a regular basis.

	Workshop	*Held in*	*Partner Organization*	*Nos of State Participants (total members trained)*
1	Southern Regional Workshop	November, 2013, Chennai	Indian Institute of Technology, Madras	3 (10)
2	North Eastern Regional Workshop	November, 2013, Shillong	Rajiv Gandhi Indian Institute of Management, Shillong	5 (15)
3	Northern Regional Workhsop	January, 2014, New Delhi	National Institute of Urban Affairs	6 (22)
4	Western Regional Workshop	February, 2014, Panaji, Goa	All India Institute of Local Self Government (AIILSG)	4 (66)

The workshop sessions included introduction to the basic concepts of SLB, informing the participants about establishment of SLB cell as per MoUD guidelines and discussions on Performance Improvement Planning (PIP) model. Participants reported on the progress of SLB activities in their state and the institutional arrangements. After the on-line module demonstrations, the participants also discussed way forward for adaptation of modules and specific support required from CEPT and partner organization.

A brief summary of various sessions and their objectives are given below:

SLB Capacity Building Session Outline

What was done in each session
1. Importance of Service Level Benchmarks
• Elaborated basic concepts and objectives of benchmarking projects through a brief history and case studies. • Presented situation with respect to UWSS for States in respective regions. • Making a reference to global efforts on SLB, the presentation highlighted key lessons from these initiatives.
2. Operationalising Service Level Benchmarks
• The presentation highlighted ways and means to operationalise SLB in Indian context and made a case for need to move from infrastructure funding to improved service delivery. • Requirements for State and city level SLB cells as specified by MoUD and activities and composition of both level cells were elaborated through case examples of Gujarat and Maharashtra SLB Cell • After the presentation, feedback was sought from States in terms of presence of SLB cells and various institutional arrangements in context of infrastructure creation, operations and management for UWSS services and challenges for mainstreaming SLB elaborated upon.
3. Performance measurement using SLB indicators
• The presentation elaborated upon the Key Performance Indicators for SLB as specified by the MoUD handbook. It discussed the SLB Framework encompassing 28 performance indicators for all four sub-sectors. • Additional local action indicators developed under PAS Project including onsite sanitation and equity indicators were also illustrated

4. Demonstration of Online Modules for Data Entry and Target Setting
• Online modules for both performance indicators and targets were presented and provisions built for online monitoring at city, district and State levels were highlighted. • Customised reports in MS Excel and PDF which were demonstrated to the participants. This also includes graphical and tabular analysis at both State and city levels with a range outputs and essential information related to benchmarking.
5. SLB Connect
• The Water and Sanitation Programme (WSP) of the World Bank took a session on SLB Connect. It is a tool that aims at collecting and analysing citizen feedback on service delivery using innovative mobile, information and communications technology (ICT) and analytical tools. • The presentation discussed case studies through which SLB Connect is helping for transition from being process-centric to becoming citizen centric.
6. Moving from Performance Measurement to Performance Improvement
• Presentation on 'Performance Improvement Planning Model' in identifying potential areas for infrastructure development that can improve service delivery and financial stability of a ULB. • Using an application for a small town, it was demonstrated how the tool helps comparison of different options across technology, phasing and financing for improving UWSS services.
7. Demonstration and application of various online modules and discussion for adaptation
• This session included hands-on exercise with online modules. User ids and passwords were shared with representatives of all the participating States to try filling data for sample ULBs in respective States. • The participants provided feedback on possibilities for adaptation in their respective States
8. Discussion on follow up actions
• This session included discussion by State Government representatives and Urban local bodies representatives on follow up actions

The workshop sought feedback on various aspects related to SLB Cells at State and City level and existing monitoring systems. Specific inputs in terms of support required for online assessment was also discussed with State representatives. Status on availability of E-Governance Modules in the States was also discussed to assess possibility of streaming SLB Module within the same.

Discussion around various issues and way forward is captured below:

- ***Use of Online modules for performance assessment:***
    - Officials from participating States showed interest in using on-line modules, such as the one developed by CEPT University under its PAS project for annual assessment. Guest logins with ids and passwords were shared with the participants.
    - For official use of PAS portal, CEPT and TCS offered support and requested the participants to provide feedback on their experience.
    - Given that water, sanitation and solid waste services are provided by a mix of State and city level authorities, it was suggested to create separate logins for PHED and ULBs.
- ***Additional Indicators***
    - State governments were keen to develop additional indicators to measure performance. It was mentioned that online module provides additional indicators as well. On review of the same if States feel need for more indicators this can be reviewed accordingly.

- In terms of review of SLBs, the participants felt that state governments should review achievements of the targets listed by ULBs. This review process will help cities put more realistic targets.

- ***SLB Cell formation:***
  - Discussions revealed that SLB cells have not been formed in all the States. In some of the states, cells have been formed but are not functional. It was discussed to follow up through MoUD on formation for SLB cells at the earliest. In the Southern region, only Karnataka is in process of establishing SLB cell. In the North Eastern region, Arunachal Pradesh has set up State cell and Assam is in process of setting up the same. Participants from Nagaland mentioned that they have initiated the data collection process but are yet to constitute state cell for SLB.
- ***Support for Improvement Planning:***
  - A few State representatives requested CEPT to extend support for PIP exercise. (Madhya Pradesh, Tamil Nadu). Participants from Tamil Nadu expressed their interest to use PIP tool for planning for 100% O & M cost recovery in 2-3 selected cities, including Coimbatore and Madurai. It was mentioned that respective Commissioners will request CEPT to support tool application to improve cost recovery in selected cities.
- ***Integration of SLB module with existing E Governance Module:***
  - The urban E Gov project is under implementation in several States. The participants from Uttarakhand, Madhya Pradesh and Chattisgarh sought support for integrating SLB module to E Governance module. This will enable creation of SLB module in the existing set to be able to generate and update SLB related data sets on regular basis.
- ***Handholding for SLB cells in various States:***
  - Based on Gujarat and Maharashtra experiences, it was felt that having an independent partner like CEPT has helped to check authenticity of data at various levels. While doing online assessment, the CEPT team looks at city records and assists city staff to enter authentic data. Once data is submitted, the team also does a comparative review to identify outliers and follows up for further checks with problematic data sets. Additionally a small sample of cities has been taken up to do field checks for SLB assessment exercise through independent teams It was also felt that a support agency like CEPT has been critical for handholding both States in consistent performance assessment over five years. Similar arrangements can be helpful for other States as well.

The participants were requested to formally communicate the kind of support and training required by the State Governments to CEPT Team and MoUD. The participant States were also advised to report the workshop discussions to the State agencies.

Workshop Report

Workshop on Capacity Building
For Service Level Benchmarking (SLB)

Organised by

Ministry of Urban Development, Government of India

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CEPT University
Indian Institute of Technology, Madras

November, 2013
Chennai


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Background:

In June 2013, MoUD identified CEPT as the National Technical Support Partner for operationalising the Service Level Benchmark (SLB) Framework in all states/ULBs for over a period of one year. The Performance Assessment System (PAS) Project at CEPT University has developed appropriate methods and tools to measure and monitor SLBs and improve delivery of water and sanitation. The PAS Project has assisted in assessing SLBs of 400+ ULBs in Gujarat and Maharashtra for five consecutive years for performance assessment of water supply and sanitation services and setting up of State SLB Cells to operationalise the SLB activities on a regular basis.

As part of activities under national technical support partner, CEPT organised Capacity Building Workshops in partnership with various national institutions. The Southern Regional workshop was the first in the series and held in Chennai on 18th November, 2013 in partnership with Indian Institute of Technology (IIT) Madras. The objective of the workshop was to introduce concepts of SLB, and provides hands-on training for the on-line modules and report generation. The training was oriented towards making participants conversant with online SLB data entry module and generation of reports required for compliance under Thirteenth Finance Commission and other state level requirements.

Opening Remarks: Prof. Dinesh Mehta, CEPT University in his opening remarks elaborated on challenges of efficient and equitable service delivery in urban areas. He emphasised that as additional investments are being made in these services, there is a critical need to increase accountability for service delivery. This has also been the cornerstone of the urban reform agenda being implemented as part of various centrally sponsored schemes (e.g. JnNURM, UIDSSMT). It envisages a shift in focus from infrastructure creation to delivery of service outcomes. The objectives of the workshop and efforts by MoUD to promote SLB initiative in Indian context were shared with the participants.

Dr. K. N. Satyanarayana Professor, Department of Civil Engineering, IIT Madras in his inaugural address elaborated their involvement with benchmarking initiative of MoUD and Asian Development Bank (ADB). To popularise and showcase decentralised wastewater treatment, MoUD has set up a Centre of Excellence in Decentralised Wastewater Management at IIT Madras. Since then, there has been collaboration with Tata Consultancy Services (TCS) to set up a technology park in the campus, which works on water and sanitation issues. It was stated that IIT Madras is keen to extend full support towards promoting SLB initiatives in the Southern region.

Service Level Benchmarks: Prof Dinesh Mehta, CEPT University in his introductory presentation discussed basic concepts related to Benchmarking. He discussed the objectives of benchmarking and presented a brief history through Xerox case study. Making a reference to global efforts on SLB, he discussed key lessons from these initiatives, most important of which is the adequate time required to set up robust systems usually ranging from 5 to 10 years in studied cases. Focus on a consultative process for broad agreement on approach and implementation at national and state levels was another prerequisite to internalise such a system. Government ownership and regular reviews are essential and make it easier to mainstream the process in regular functioning. The presentation also highlighted key indicators related to availability to toilets and drinking water facilities in the Southern States as per Census 2011 results.

Operationalising Service Level Benchmarks: Prof. Meera Mehta, CEPT University made a presentation that highlighted ways and means to operationalise SLB in Indian context. The presentation highlighted the impetus on urban water supply and sanitation (UWSS) through JnNURM allocations and drew references to share of water sector that accounted for 41 percent and more than 70 percent of the funding dedicated to UWSS. While the project has set record for good monitoring of project implementation, it has not been very impressive on creating reliable data on outcome or service delivery improvements for JnNURM investments. While making a case for need to move from infrastructure funding to improved service delivery, it highlighted the challenges of lack of information on water supply and sanitation (WSS) which leads to misallocation of resources and makes it difficult to assess impact of past investments. Giving an assessment of various SLB initiatives since 1999, it highlighted the need of SLB essentially for arriving at a common set of performance indicators and need for institutionalising such practices.

The presentation highlighted various activities under SLB initiative of MoUD since SLB pilot exercise in 2009 including the requirements under Thirteenth Finance Commission that provided much needed impetus to the SLB exercise in Indian context. The participants were made aware of requirements for state and city level SLB cells as specified by MoUD and activities and composition of both level cells were elaborated. The example of Gujarat SLB Cell was illustrated which detailed institutional arrangements, composition and how the Cell has been functioning to mainstream SLB agenda in its activities.

Various activities under progress were also elaborated which ranged from assessment of investment requirements by sub-sectors for next five years in the UWSS sector and proposal for tariff indexation. The cell is also overseeing water audit studies to assess non revenue water (NRW) and improve data reliability. Parallel to this proposals for universal introduction of bulk water metering in the State are also under consideration. The Cell has been assessing ULB performance and ranking for an Urban Service Development Index to identify backward districts as well.

After the presentation, feedback was sought from States in terms of presence of state and city level SLB cells. Of the four states that attended the workshops, only Karnataka is in process of establishing SLB Cell. Prof. Mehta's presentation also highlighted the way forward for Southern States to set systems for state and city level SLB cells. Activities and composition of the SLB cells were also elaborated and discussed with the participants.

Service Level Benchmarking Framework and Ooverview of 28 SLB Indicators: Ms. Jaladhi Vavaliya, CEPT University elaborated upon the Key Performance Indicators for SLB as specified by the MoUD handbook. The Handbook on Service Level Benchmarking developed and released by the MoUD, seeks to (i) identify a minimum set of standard performance parameters for the water and sanitation sector that are commonly understood and used by all stakeholders across the country; (ii) define a common minimum framework for monitoring and reporting on these indicators and (iii) set out guidelines on how to operationalise this framework in a

phased manner. The presentation discussed the SLB Framework encompassing 28 performance indicators for all four sub-sectors. Additional local action indicators developed under PAS Project including onsite sanitation and equity indicators were also explained along with the rationale for developing the same.

SLB Connect: Ms. Vandana Bhatnagar, Water and Sanitation Program (WSP) of the World Bank made a presentation on SLB Connect. SLB Connect aims at collecting and analysing citizen feedback on service delivery using innovative mobile, information and communications technology (ICT) and analytical tools. It is aligned with the SLB Framework, and provides feedback on SLB indicators which address customer service aspects. The analysed outputs from SLB Connect will help strengthen the SLB programme.

SLB Connect is helping for transition from being process-centric to becoming citizen centric. Under the SLB programme, the effort has been largely to collect data from the service provider. Through the tool, feedback from citizens is obtained not only on satisfaction levels but also on customer experience of services. The performance aspects surveyed are in alignment with the SLB framework. The feedback from citizens is compiled into a score card and along with the detailed analysis made available to interested stakeholders as measured service outcomes.

Through case studies of Pimpri Chinchwad Municipal Corporation (Maharashtra) and Mehsana (Gujarat), the presentation elaborated on field process, enumerator training, mobile application and survey management process in these cities. It also discussed results from survey and experiences of sharing and discussing findings with citizens at local level.

Moving from Performance Measurement to Performance Improvement: Ms. Chandan Chawla, of CEPT made a presentation on 'Performance Improvement Planning Model'. The simple five-point SLB agenda for ULBs as specified by MoUD includes tracking performance over time and also identify areas for improvement. It encourages ULBs to set realistic targets for performance (for own department, or public/private service providers). The Model assists in assessment of the present situation of a city and consequently, arrives at potential areas for infrastructure development that can improve service delivery and financial stability of a ULB. The choice of these improvement options can have significant financial impacts, and could yield different outcomes. A decision support tool therefore helps informed decisions for development and selection of appropriate options.

Using an application for a small town, it was demonstrated how the tool helps comparison of different options across technology, phasing and financing for improving water supply, wastewater and solid waste services. The impact of each option is reflected by improved

service levels, additional revenues and costs required and sustainability with respect to municipal finances. The model also provides a multi-year activity plan and a financing plan for both capital and operation and maintenance (O&M) expenditure. Such detailed analysis for different options provide a basis for an informed debate at stakeholders' consultation, cautioning against making sub-optimal choices which are financially unsustainable or do not improve service delivery

Demonstration of Online Modules for Data Entry and Target Setting: Participants had an opportunity to review the online platform to collect, review and share information related to performance assessment for UWSS sector. The platform has been developed under PAS Project of CEPT University and has been used for online assessment for all ULBs in Gujarat and Maharashtra. The online modules for both performance indicators and targets were presented and provisions built for online monitoring at city, district and state levels were highlighted. Various on hand information is made available through customised reports in MS Excel and PDF which were demonstrated to the participants. This also includes graphical and tabular analysis at both state and city levels with a range outputs and essential information related to benchmarking.

User ids and passwords were shared with representatives of all States to try filling data for sample ULBs in respective States.

Following discussions followed the presentation:

- ***Use of Online modules for performance assessment:*** Officials from Karnataka showed interest in using PAS modules for annual assessment. It was mentioned that online modules can be customised for guest logins to begin with. The ids and passwords were shared with the participants. For other issues related to integrating SLB systems with existing IT systems at State level, it was suggested that the initial support from TCS can be facilitated through CEPT. ULBs were advised to use guest log-ins made available at the workshop and become familiar with the system.

- ***Quarterly monitoring of financial and water quantity data for Tamil Nadu:*** Participants from Tamil Nadu Water Supply and Drainage (TWAD) Board shared that they are targeting to provide 100 lpcd to all towns and plan to improve their cost recovery as well. They have developed standardised budget format for all 125 municipalities and 9 Municipal Corporations. The financial data for TWAD is reported by Engineer to the Commissioner on a daily basis. It was discussed whether MoUD can extend necessary support to TWAD for tracking SLB information on

quarterly basis and help with technical support for developing regular monitoring systems at the State level.

- ***Use of Performance Improvement Planning tool:*** Participants from Tamil Nadu expressed their interest to use PIP tool for planning for 100 percent O&M cost recovery in two to three selected cities, including Coimbatore and Madurai. It was mentioned that respective Commissioners will request CEPT to support tool application to improve cost recovery in selected cities.

For further support on any of components of training programme, the participants were requested to formally communicate kind of support required by the State Governments to CEPT team and MoUD. The CEPT team assured all possible handholding support in partnership with IIT Madras team.

Annex A: List of Participants

Sr. No.	List of Participants	Organization
State Government Officers - Government of Karnataka		
1	S. R. Garawad	Joint Director (Development), Directorate of Municipal Administration, Government of Karnataka, Bangalore
2	D. E. Basavarajappa	Joint Director (Reforms), Municipal Reforms Cell, Bangalore
3	Yashwanthkumar G.A.	Municipal Commissioner, City Municipal Council, Ramanagar
State Government Officers - Government of Tamil Nadu		
4	Thiru. S. Ravikumar	DCE, H.O., Tamil Nadu Water Supply and Drainage Board (TWAD Board), Chennai -5
5	Thiru. L. Vijayan	AEE,H.O., TWAD Board, Chennai -5
6	Thiru. A. Ravikumar	AE, Head Office, TWAD Board, Chennai -5
7	Mr. T. V. Prabhakar	Engineering Director, Chennai Metropolitan Water Supply and Sewerage Board (CMWSSB)
8	Thiru. M.Vaitheeswaran, CADD Engineer	Municipal Administration, Government of Tamil Nadu
9	Thiru. Saravanakumar, AEE	Municipal Administration, Government of Tamil Nadu
State Government Officers - Government of Kerala		
10	Sri. N. Radhakrishnan	Executive Engineer, Kerala Water Authority (KWA), Govt. of Kerala
CEPT Team		
11	Prof. Dinesh Mehta	CEPT University
12	Prof. Meera Mehta	CEPT University
13	Ms. Chandan Chawla	CEPT University
14	Ms. Jaladhi Vavaliya	CEPT University
15	Mr. Ilesh Patel	TCS
Indian Institute of Technology (IIT), Madras Team		
	Prof. Satyanarayana K N	IIT Madras
17	Dr. Ashwin Mahalingam	IIT Madras
18	Prof. B. S. Murthy	IIT Madras
19	Dr. Ligy Philip	IIT Madras
20	Dr. K. Srinivasan	IIT Madras
Other Invitees		
21	Mr. Ramani Iyer	Forbes Marshall
22	Ms. Vandana Bhatnagar	Institutional Development Specialist, WSP

Annex B: Agenda

Workshop on Capacity Building for Service Level Benchmarking (SLB), 18th November, 2013, Chennai

Venue: Indian Institute of Technology (IIT) Madras, Hall – 3, ICSR Building, Near Guindy Engineering College, Chennai – 600036

Objective: To develop in house capacity in implementation of Service Level Benchmarking (SLB) process for essential civic services i.e. water supply, sewerage, solid waste management and storm water drainage as outlined in the SLB Handbook of Ministry of Urban Development, Government of India. After completion of training, participants will become conversant with online SLB data entry module and generation of reports required for compliance under Thirteenth Finance Commission and other State level requirements.

Note: All participants are requested to bring data for a sample ULB for the workshop.

Time	Session Theme
09.45 – 10.00	Registration
10.00 – 10.15	Welcome, Introduction and Programme Overview • Overview of one day training programme and potential benefits from the training (MoUD/ CEPT / IITM)
10.15 – 11.00	Operationalising the SLB Framework (CEPT) • Constitution of SLB cell at State level –composition, activities, reports • Constitution of SLB cell at City level and its relevant activities • Discussion
11.00 – 11.15	Tea/Coffee
11.15 – 12.00	What is Service Level Benchmarking (SLB)? (CEPT–PAS team) • Need and context of Service Level Benchmarking • Service level benchmarking framework and overview of 28 SLB indicators • Discussion
12.00 – 13.00	Introduction to various online modules and reports (CEPT –PAS team) • Online data entry module • Online target entry module • Report generation
13.00 – 14.00	Lunch
14.00 – 16.00	Hands on experience for various modules and discussion with State teams • Online data entry module • Online target entry module
16.00 – 16.15	Tea/Coffee
16.15 – 17.30	Report by State Governments and Urban local bodies on follow up actions (Chair: MoUD/CEPT)
17.30 – 17.45	Close of Workshop

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Background:

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As part of activities under national technical support partner, CEPT organised Capacity Building Workshops in partnership with various national institutions. The North Eastern Regional workshop was the second in the series and held in Shillong (Meghalaya) on 21st November, 2013 in partnership with Rajiv Gandhi Indian Institute of Management Shillong.

The objective of the workshop was to introduce concepts of SLB, and provides hands-on training for the on-line modules and report generation. The training was oriented towards making participants conversant with online SLB data entry module and generation of reports required for compliance under Thirteenth Finance Commission and other state level requirements.

Opening Remarks: Prof. Dinesh Mehta, CEPT University in his opening remarks elaborated on challenges of efficient and equitable service delivery in urban areas. He emphasised that as additional investments are being made in these services, there is a critical need to increase accountability for service delivery. This has also been the cornerstone of the urban reform agenda being implemented as part of various centrally sponsored schemes (e.g. JnNURM, UIDSSMT). It envisages a shift in focus from infrastructure creation to delivery of service outcomes. The objectives of the workshop and efforts by MoUD to promote SLB initiative in Indian context were shared with the participants.

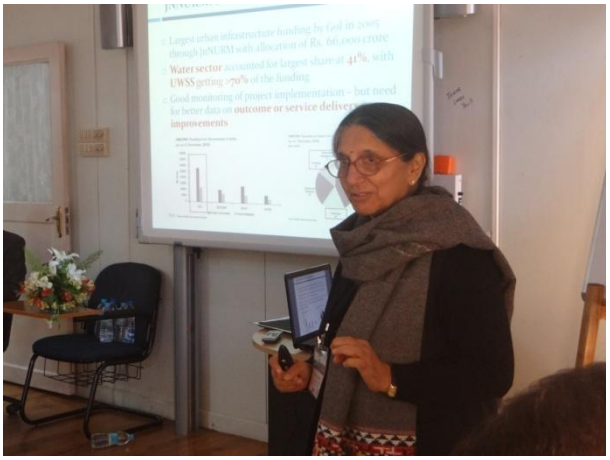
Dr. Amitabha De, Director, Indian Institute of Management (IIM) Shillong in his inaugural address elaborated the challenges of urbanisation for the North Eastern Region and emphasised better management of the process, infrastructure creation and service

delivery provision in these States. He iterated the challenges related to inadequate financial resources for the North Eastern States and pending liabilities related to debt repayments for infrastructure projects for the States and local governments. He mentioned that in the environment of increasing demand from citizens for better and efficient services, SLB can provide financial and chain of other technical and administrative benefits to improve service delivery and management of infrastructure. It was stated that IIM Shillong is keen to extend full support towards the idea of setting up a nodal centre in partnership with CEPT for promoting SLB initiatives in the North Eastern Region.

Service Level Benchmarks: Prof Dinesh Mehta in his introductory presentation highlighted the current situation with respect to water supply and sanitation. The presentation discussed results from Census 2011 in terms of water availability on premises, toilet availability and type of disposal systems available. Results were discussed for All India and for eight North Eastern States. Prof. Mehta elaborating further upon basic concepts of benchmarking projects discussed the objectives of benchmarking.

Making a reference to global efforts on SLB, he discussed key lessons from these initiatives, most important of which is the adequate time required to set up robust systems usually ranging from 5 to 10 years in studied cases. Focus on a consultative process for broad agreement on approach and implementation at national and state levels was another prerequisite to internalise such a system. Government ownership and regular reviews are essential and make it easier to mainstream the process in regular functioning.

Operationalising Service Level Benchmarks: Prof Meera Mehta, CEPT University made a presentation that highlighted ways and means to operationalise SLB in Indian context. The presentation highlighted the impetus on urban water supply and sanitation (UWSS) through JnNURM allocations and drew references to share of water sector that accounted for 41 percent and more than 70 percent of the funding dedicated to UWSS. While the project has set record for good monitoring of project implementation, it has not been very impressive on creating reliable data on outcome or service delivery improvements for JnNURM investments.



While making a case for need to move from infrastructure funding to improved service delivery, it highlighted the challenges of lack of information on water supply and sanitation (WSS) which leads to

misallocation of resources and makes it difficult to assess impact of past investments. Giving an assessment of various SLB initiatives since 1999, it highlighted the need of SLB essentially for arriving at a common set of performance indicators and need for institutionalising such practices.

The presentation highlighted various activities under SLB initiative of MoUD since SLB pilot exercise in 2009 including the requirements under Thirteenth Finance Commission that provided much needed impetus to the SLB exercise in Indian context. The participants were made aware of requirements for state and city level SLB cells as specified by MoUD and activities and composition of both level cells were elaborated. The example of Gujarat SLB Cell was illustrated which detailed institutional arrangements, composition and how the Cell has been functioning to mainstream SLB agenda in its activities. Various activities under progress were also elaborated which ranged from assessment of investment requirements by sub-sectors for next five years in the UWSS sector and proposal for tariff indexation. The Cell is also overseeing water audit studies to assess non revenue water (NRW) and improve data reliability. Parallel to this proposals for universal introduction of bulk water metering in the State are also under consideration. The Cell has been assessing ULB performance and ranking for an Urban Service Development Index to identify backward districts as well.

Post the presentation, feedback was sought from States in terms of presence of state and city level SLB cells. Arunachal Pradesh has set up State Cell and Assam is in process of setting up the same. Participants from Nagaland mentioned that they have initiated the data collection process but are yet to constitute State Cell for SLB. At the end of presentation, Prof. Mehta also highlighted the way forward for North Eastern States to set systems for state and city level SLB cells. Activities and composition of the SLB cells were also elaborated and discussed with the participants.

Service Level Benchmarking Framework and Overview of 28 SLB Indicators: Ms. Jaladhi Vavaliya, CEPT University elaborated upon the Key Performance Indicators for SLB as specified by the MoUD handbook. The Handbook on Service Level Benchmarking developed and released by the MoUD, seeks to (i) identify a minimum set of standard performance parameters for the water and sanitation sector that are commonly understood and used by all stakeholders across the country; (ii) define a common

minimum framework for monitoring and reporting on these indicators and (iii) set out guidelines on how to operationalise this framework in a phased manner. The presentation discussed the SLB Framework encompassing 28 performance indicators for all four sub-sectors. Additional local action indicators developed under PAS Project including onsite sanitation and equity indicators were also explained along with the rationale for developing the same.

SLB Connect: Ms. Vandana Bhatnagar, Water and Sanitation Program (WSP) of the World Bank made a presentation on SLB Connect. SLB Connect aims at collecting and analysing citizen feedback on service delivery using innovative mobile, information and communications technology (ICT) and analytical tools. It is aligned with the SLB Framework, and provides feedback on SLB indicators which address customer service aspects. The analysed outputs from SLB Connect will help strengthen the SLB programme. SLB Connect is helping for transition from being process-centric to becoming citizen centric.

Under the SLB programme, the effort has been largely to collect data from the service provider. Through the tool, feedback from citizens is obtained not only on satisfaction levels but also on customer experience of services. The performance aspects surveyed are in alignment with the SLB Framework.

The feedback from citizens is compiled into a score card and along with the detailed analysis made available to interested stakeholders as measured service outcomes. Through case studies of Pimpri Chinchwad Municipal Corporation (Maharashtra) and Mehsana (Gujarat), the presentation elaborated on field process, enumerator training, mobile application and survey management process in these cities. It also discussed results from survey and experiences of sharing and discussing findings with citizens at local level.

Moving from Performance Measurement to Performance Improvement: Ms. Chandan Chawla, CEPT University made a presentation on 'Performance Improvement Planning Model'. The simple five-point SLB agenda for ULBs as specified by MoUD includes tracking performance over time and also identify areas for improvement. It encourages ULBs to set realistic targets for performance (for own department, or public/private service providers).

The Model assists in assessment of the present situation of a city and consequently, arrives at potential areas for infrastructure development that can improve service delivery and financial stability of a ULB. The choice of these improvement options can have significant financial impacts, and could yield different outcomes. A decision support tool therefore helps informed decisions for development and selection of appropriate options.

Using an application for a small town, it was demonstrated how the tool helps comparison of different options across technology, phasing and financing for improving water supply, wastewater and solid waste services. The impact of each option is reflected by improved service levels, additional revenues and costs required and sustainability with respect to municipal finances.

The Model also provides a multi-year activity plan and a financing plan for both capital and operation and maintenance (O&M) expenditure. Such detailed analysis for different options provide a basis for an informed debate at stakeholders' consultation, cautioning against making sub-optimal choices which are financially unsustainable or do not improve service delivery

Demonstration of Online Modules for Data Entry and Target Setting: Later an online platform to collect, review and share information related to performance assessment for UWSS sector in various states was also shared. The platform has been developed under PAS Project of CEPT University and has been used for online assessment for all ULBs in Gujarat and Maharashtra. The online modules for both performance indicators and targets were presented and provisions built for online monitoring at city, district and state levels were highlighted.

Various on hand information is made available through customised reports in MS Excel and PDF which were demonstrated to the participants. This also includes graphical and tabular analysis at both state and city levels with a range outputs and essential information related to benchmarking. User ids and passwords were shared with representatives of all the participating States to try filling data for sample ULBs in respective States.

Following discussions followed the presentation:

- ***Agencies for infrastructure creation and service provision:*** Water, Sanitation and Solid Waste services are provided by a mix of state and city level authorities in North East. The participants did a quick state-wise exercise that captured agencies responsible for creation of new infrastructure, provision of O&M services for water supply, sanitation and solid waste management. Service providers for community and public toilets, septic tank cleaning were also captured under Sanitation. From experience of WSP, it was mentioned that SLB exercise in a way will also provide an opportunity to bring together various agencies involved in UWSS and created better transparency related to service levels across sub-sectors.

- ***Accessing online login modules:*** Given that water, sanitation and solid waste services are provided by a mix of State and city level authorities in North East, it is important to create separate logins in such cases.
    - It was mentioned that water is supplied by Public Health Engineering Department (PHED) in many cities of North Eastern States, so separate user ID and password should be created for water supply information. In case of PHED using the module, the information for sanitation and solid waste management can be left blank.
    - CEPT team added that in case any State Government is interested, then State ID and City Login IDs for all cities can be provided to them. This can be

accordingly followed up with capacity building support by CEPT in partnership with IIM Shillong. The cities need to share city names and category of their town with CEPT team to generate a city specific login id to access online performance assessment modules on www.pas.org.in

- In terms of various review arrangements, the participants felt that one needs to add review at the level of Urban Development Department rather than review by the district collector. Such arrangement will be more suitable to context of North East.

- ***Boundaries to be considered for SLB data:*** The participants also sought clarification if ULB boundary is to be considered for providing SLB data or the outgrowths also need to be included in case where ULBs are providing services. For example, in Shillong city, water is supplied by Shillong Water Board, whereas in outgrowth areas, water is supplied by PHED. It was discussed that respective State Governments need to take a call on identifying boundaries for SLB data purposes.

- ***Additions in the SLB Framework/Modules:*** The participants were interested to know if more indicators can be added in the module. It was mentioned that online module provides additional indicators as well. On review of the same if States feel need for more indicators, then this can be reviewed accordingly. One of the suggestions related to including rain water harvesting provisions in respective cities. CEPT team is compiling feedback for SLB Handbook for the next SLB steering committee meeting. The suggestions can be accordingly added in the feedback on behalf of participating states.

- ***Verification of online data:*** The participants sought clarifications on how to gauge authenticity of SLB data while using online assessment modules. It was mentioned that in case of Gujarat and Maharashtra having an independent partner like CEPT has helped to check authenticity of data at various levels. While doing online assessment, the CEPT team looks at city records and assists city staff to enter authentic data. Once data is submitted, the team also does a comparative review to identify outliers and follows up for further checks with problematic data sets. Additionally, a small sample of cities has been taken up to do field checks for SLB assessment exercise through independent teams.

For further support on any of components of training programme, the participants were requested to formally communicate the kind of support required by the State Governments to CEPT team and MoUD. The CEPT team assured all possible handholding support in partnership with IIM Shillong team.

Annex A: List of Participants

Sr. No.	List of Participants	Organization
State Goverment Officers - Government of Assam		
1	Mr. Tasdiqur Rahman	Superintending Engineer and Sanitary Engineering Adviser , Urban Development Department, Directorate of Municipal Administration, Dispur, Guwahati-6
2	Mr. Debasish Das	Engineer, Directorate of Municipal Administration, Dispur, Guwahati -6
3	Mr. Azizur Rahman	Chief Engineer, Assam Urban Water Supply and Sewerage Board
State Govt. Officers - Govt. of Nagaland		
4	Mr. Kevineio Khatso	Assistant Engineer, SIPMIU, Kohima, Nagaland
5	Mr. Nell Vasa	Deputy Program Director, SIPMIU, Urban Development Department, Kohima, Government of Nagaland
State Goverment Officers - Goverment of Arunachal Pradesh		
6	Tadar Mangku	Executive Engineer, PHE & WS, Government of Arunachal Pradesh
7	Pakyum Tagung	Councillor, Itanagar Municipal Council, Government of Arunachal Pradesh
8	Smti Osi Yochung Boring	Councillor, Pasighat Municipal Council, Government of Arunachal Pradesh
9	Smti Ponung Lego	Councillor, Pasighat Municipal Council, Government of Arunachal Pradesh
10	Siyang Rebe	Assistant Town Planner (ATP), Directorate of Town Planning & ULB's, Itanagar, Arunachal Pradesh
11	Mr. Tadik Tagru	Councillor (Empowered Standing Committee), Itanagar Municipal Council, Government of Arunachal Pradesh
State Goverment Officers - Goverment of Mizoram		
12	Mr. Johny L. Rivung	MIS Expert, Urban Development & Poverty Alleviation Deptt., Aizwal, Government of Mizoram
13	Mr. Vanlalsawma	Executive Officer, Aizawl Municipal Council , Government of Mizoram
14	Mr. K. Lalthawmmawia	Director, Urban Development & Poverty Alleviation Department, Aizwal, Government of Mizoram
State Govt. Officers - Govt. of Meghalaya		
15	Shri BRM Lyngdoh	District Urban Planner, Shillong
Others Invitees		
16	Ms. Vandana Bhatnagar	Institutional Development Specialist, WSP
Indian Institute of Management (IIM) Shillong		
17	Prof. Rohit Dwivedi	IIM. Shillong
18	Mr. Achyanta Sarmah	IIM. Shillong

Annex B: Agenda

Workshop on Capacity Building for Service Level Benchmarking (SLB) 21st November, 2013, Shillong (Meghalaya)

Venue: Rajiv Gandhi Indian Institute of Management, Mayurbhanj Complex, Nongthymmai, Shillong – 793014 (Meghalaya)

Objective: To develop in house capacity in implementation of Service Level Benchmarking (SLB) process for essential civic services i.e. water supply, sewerage, solid waste management and storm water drainage as outlined in the SLB Handbook of Ministry of Urban Development, Government of India. After completion of training, participants will become conversant with online SLB data entry module and generation of reports required for compliance under Thirteenth Finance Commission and other State level requirements.

Note: All participants are requested to bring data for a sample ULB for the workshop.

Time	Session Theme
09.45 – 10.00	Registration
10.00 – 10.30	Welcome, Introduction and Programme Overview • Importance of Service Level Benchmarks (SLB) (MoUD) • Overview of training programme (CEPT) • Welcome remarks (IIM)
10.30 – 11.15	Operationalising the SLB Framework (CEPT) • Developing the SLB approach in India • Examples of state level applications • Discussion
11.15 – 11.30	Tea/Coffee
11.30 – 12.30	Performance measurement using SLB indicators (CEPT) • Context of SLB indicators • Online SLB module and report generation
12.30 – 13.00	SLB Connect (WSP)
13.00 – 14.00	Lunch
14.00 – 15.00	Moving from Performance measurement to Performance improvement (CEPT) • Performance Improvement Planning (PIP) model • Discussion
15.00 – 16.15	Demonstration and application of various online modules (CEPT) • Demonstration of online modules and various report generation • Discussion for adaptation
16.15 – 16.30	Tea/Coffee
16.30 – 17.30	Discussion by State Governments and Urban local bodies on follow up actions (MoUD/CEPT)
17.30 – 17.45	Close of Workshop

Workshop Report

Workshop on Capacity Building
For Service Level Benchmarking (SLB)



Organised by

Ministry of Urban Development, Government of India

With

CEPT University
National Institute of Urban Affairs, New Delhi

January, 2014
New Delhi

सत्यमेव जयते

ज्ञानं विज्ञानसहितम्

NATIONAL INSTITUTE OF URBAN AFFAIRS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Background: The Ministry of Urban Development (MoUD) launched the Service Level Benchmarking (SLB) initiative covering water, sanitation, solid waste management and storm water drainage in 2009. The main objectives of the SLB Framework are to develop a common minimum framework for monitoring and reporting on service level indicators along with the guidelines to operationalise the framework in a phased manner. It also intends to support cities to develop an Information System Improvement Plan (ISIP) to improve quality and reliability of information, and to encourage the adoption of this framework for performance monitoring as well as for formulating Performance Improvement Plans (PIP).

In June 2013, MoUD identified CEPT University as the National Technical Support Partner for operationalising the SLB Framework in all states/ULBs for over a period of one year. The Performance Assessment System (PAS) Project at CEPT University has developed appropriate methods and tools to measure and monitor SLBs and improve delivery of water and sanitation. The PAS Project has assisted in assessing SLBs of 400+ ULBs in Gujarat and Maharashtra for five consecutive years for performance assessment of water supply and sanitation services and setting up of State SLB Cells to operationalise the SLB activities on a regular basis.

As part of activities under national technical support partner, CEPT organised Capacity Building Workshops in partnership with various national institutions. The Northern Region workshop was the third in the series and held in New Delhi on 22nd January, 2014 in partnership with National Institute of Urban Affairs (NIUA). The objective of the workshop was to introduce concepts of SLB, and provides hands-on training for the on-line modules and report generation. The training was oriented towards making participants conversant with online SLB data entry module and generation of reports required for compliance under Thirteenth Finance Commission and other state level requirements.

Opening Remarks: Prof. Dinesh Mehta, CEPT University in his opening remarks elaborated on challenges of efficient and equitable service delivery in urban areas. He emphasised that as additional investments are being made in these services, there is a critical need to increase accountability for service delivery. This has also been the cornerstone of the urban reform agenda being implemented as part of various centrally sponsored schemes (e.g. JnNURM, UIDSSMT). It envisages a shift in focus from infrastructure creation to delivery of service

outcomes. The objectives of the workshop and efforts by MoUD to promote SLB initiative in Indian context were shared with the participants.

Prof. Jagan Shah, Director, NIUA in his inaugural address elaborated the challenges of urbanisation and emphasised better management of the process, infrastructure creation and service delivery provision in these States. He mentioned that in the environment of increasing demand from citizens for better and efficient services, SLB can provide financial and chain of other technical and administrative benefits to improve service delivery and management of infrastructure. It was stated that NIUA is keen to extend full support to CEPT for promoting SLB initiatives in the country. CEPT will be interested to assist States that show inclination for further support to use tools and frameworks demonstrated in the workshop.

Service Level Benchmarks: Prof Dinesh Mehta in his introductory presentation highlighted the current situation with respect to water supply and sanitation. The presentation discussed results from Census 2011 in terms of water availability on premises, toilet availability and type of disposal systems available. Results were discussed for All India and for Northern States. Prof. Mehta elaborating further upon basic concepts of benchmarking projects discussed the objectives of benchmarking and presented a brief history.

Making a reference to global efforts on SLB, he discussed key lessons from these initiatives, most important of which is the adequate time required to set up robust systems usually ranging from 5 to 10 years in studied cases. Focus on a consultative process for broad agreement on approach and implementation at national and state levels was another prerequisite to internalise such a system. Government ownership and regular reviews are essential and make it easier to mainstream the process in regular functioning.

Operationalising Service Level Benchmarks: Prof. Meera Mehta, CEPT University made a presentation that highlighted ways and means to operationalise SLB in Indian context.

The presentation highlighted the impetus on urban water supply and sanitation (UWSS) through JnNURM allocations and drew references to share of water sector that accounted for 41 percent and more than 70 percent of the funding dedicated to UWSS. While the

project has set record for good monitoring of project implementation, it has not been very impressive on creating reliable data on outcome or service delivery improvements for JnNURM investments.

While making a case for need to move from infrastructure funding to improved service delivery, it highlighted the challenges of lack of information on water supply and sanitation (WSS) which leads to misallocation of resources and makes it difficult to assess impact of past investments. Giving an assessment of various SLB initiatives since 1999, it highlighted the need of SLB essentially for arriving at a common set of performance indicators and need for institutionalising such practices.

The presentation highlighted various activities under SLB initiative of MoUD since SLB pilot exercise in 2009 including the requirements under Thirteenth Finance Commission that provided much needed impetus to the SLB exercise in Indian context. The participants were made aware of requirements for state and city level SLB cells as specified by MoUD and activities and composition of both level cells were elaborated.

The example of Gujarat SLB Cell was illustrated which detailed institutional arrangements, composition and how the Cell has been functioning to mainstream SLB agenda in its activities. Various activities under progress were also elaborated which ranged from assessment of investment requirements by sub-sectors for next five years in the UWSS sector and proposal for tariff indexation.

The Cell is also overseeing water audit studies to assess non revenue water (NRW) and improve data reliability. Parallel to this proposals for universal introduction of bulk water metering in the State are also under consideration. The Cell has been assessing ULB performance and ranking for an Urban Service Development Index to identify backward districts as well. The participants sought clarification on various indicators used for backwardness index and whether it was possible to calculate them online. The index was demonstrated online with a provision to change the indicators weightage through scroll buttons that helped recalculated index change instantly.

Subsequent to the presentation, feedback was sought from States in terms of presence of state and city level SLB cells. Various institutional arrangements in the Northern States were mentioned in context of infrastructure creation, operations and management for UWSS services and challenges for mainstreaming SLB elaborated upon. At the end of presentation, Prof. Mehta also highlighted the way forward for Northern States to set systems for state and city level SLB cells. Activities and composition of the SLB cells were also elaborated and discussed with the participants.

The participants sought clarification on following aspects:

- Participants wanted to know about support available for Gujarat and Maharashtra in pursuing SLB activity and if such support was being provided to other States by MoUD. Similarly, for use of Tableau software, they wanted to know if the software use can be used by other interested States.
- Some of the participants enquired if it is possible to use online module for their State. CEPT team mentioned that guest logins have been created for participating States which were shared in the workshop.
- Some of participants wanted to know if monitoring of UIDSSMT can be taken up through online module. It was clarified that PAS online tool is for overall performance assessment at city level and may not be used as project monitoring system.
- The participants also discussed about reliability of data being subjected to online module. CEPT team clarified that objective assessment of reliability scales has been possible through building in questions for reliability in module itself.

- The participants were interested to know if more indicators can be added in the module. It was mentioned that online module provides additional indicators as well. On review of the same, if States feel need for more indicators, then this can be reviewed accordingly. One of the suggestions related to including ground water monitoring in respective cities. CEPT team is compiling feedback for SLB Handbook for the next SLB steering committee meeting. The suggestions can be accordingly added in the feedback on behalf of participating states.
- It was also felt that a support agency like CEPT has been critical for handholding both Gujarat and Maharashtra in consistent performance assessment over five years. Similar arrangements can be helpful for other States as well.

Service Level Benchmarking Framework and Overview of 28 SLB Indicators:

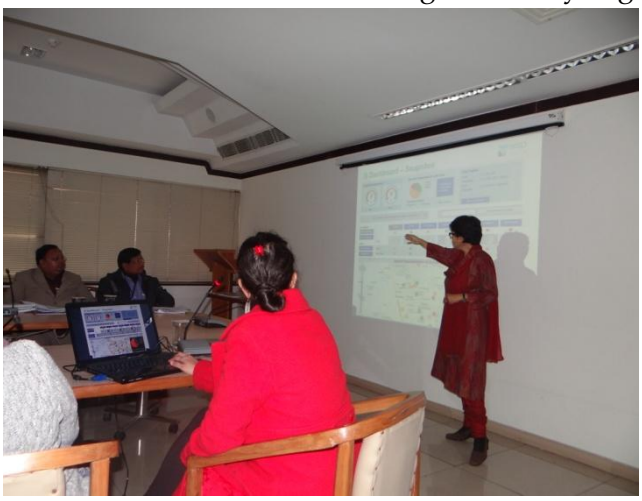
Ms. Jaladhi Vavaliya, CEPT University elaborated upon the Key Performance Indicators for SLB as specified by the MoUD handbook. The Handbook on Service Level Benchmarking developed and released by the MoUD, seeks to (i) identify a minimum set of standard

performance parameters for the water and sanitation sector that are commonly understood and used by all stakeholders across the country; (ii) define a common minimum framework for monitoring and reporting on these indicators and (iii) set out guidelines on how to operationalise this framework in a phased manner.

The presentation discussed the SLB Framework encompassing 28 performance indicators for all four sub-sectors. Additional local action indicators developed under PAS Project including onsite sanitation and equity indicators were also explained along with the rationale for developing the same.

Demonstration of Online Modules for Data Entry and Target Setting: The CEPT online platform to collect, review and share information related to performance assessment for UWSS sector in various states was shared. The platform has been developed under PAS Project of CEPT University and has been used for online assessment for all ULBs in Gujarat and Maharashtra. The online modules for both performance indicators and targets were presented and provisions built for online monitoring at city, district and state levels were highlighted. Various on hand information is made available through customised reports in MS Excel and PDF which were demonstrated to the participants. This also includes graphical and tabular analysis at both state and city levels with a range outputs and essential information related to benchmarking. User ids and passwords were shared with representatives of all the participating States to try filling data for sample ULBs in respective States.

SLB Connect: Ms. Vandana Bhatnagar, Water and Sanitation Program (WSP) of the World Bank made a presentation on SLB Connect. SLB Connect aims at collecting and analysing citizen feedback on service delivery using innovative mobile, information and communications technology (ICT) and analytical tools. It is aligned with the SLB Framework, and provides feedback on SLB indicators which address customer service aspects. The analysed outputs from SLB Connect will help strengthen the SLB programme.



SLB Connect is helping for transition from being process-centric to becoming citizen centric. Under the SLB programme, the effort has been largely to collect data from the service provider. Through the tool, feedback from citizens is obtained not only on satisfaction levels but also on customer experience of services. The performance aspects surveyed are in alignment with the SLB Framework. The feedback from citizens is compiled into a score card and along with the detailed analysis made available to interested stakeholders as measured service outcomes.

Through case studies of Pimpri Chinchwad Municipal Corporation (Maharashtra) and Mehsana (Gujarat), the presentation elaborated on field process, enumerator training,

mobile application and survey management process in these cities. It also discussed results from survey and experiences of sharing and discussing findings with citizens at local level. The participants sought clarification on the methodology following for sampling for the survey and if they were chosen as per ward or as per water zones.

Moving from Performance Measurement to Performance Improvement: Ms. Chandan Chawla and Prof. Dinesh Mehta, CEPT University made a presentation on 'Performance Improvement Planning Model'. The SLB agenda for ULBs as specified by MoUD includes tracking performance over time and also identify areas for improvement. It encourages ULBs to set realistic targets for performance (for own department, or public/private service providers). The Model assists in assessment of the present situation of a city and consequently, arrives at potential areas for infrastructure development that can improve service delivery and financial stability of a ULB. The choice of these improvement options can have significant financial impacts, and could yield different outcomes. A decision support tool therefore helps informed decisions for development and selection of appropriate options.

Using an application for a small town, it was demonstrated how the tool helps comparison of different options across technology, phasing and financing for improving water supply, wastewater and solid waste services. The impact of each option is reflected by improved service levels, additional revenues and costs required and sustainability with respect to municipal finances. The Model also provides a multi-year activity plan and a financing plan for both capital and operation and maintenance (O&M) expenditure.

Such detailed analysis for different options provide a basis for an informed debate at stakeholders' consultation, cautioning against making sub-optimal choices which are financially unsustainable or do not improve service delivery. Post the presentation, the participants wanted to check if the information system improvements are built in as part of the PIP model. It was also explored if PIP model provisions can be directly built in the DPR process. The State agencies usually do not consult ULBs in DPR preparation.



Discussions on Way Forward: Towards the final session, the participants were divided in to State groups to discuss the following aspects:

- Process and agencies involved in gazetting SLB in their respective States.
- Presence of Online monitoring systems in States/ULBs.
- Any other support sought for PIP/ISIP from CEPT.

1	***Chhattisgarh:*** *The State SLB Cell has already been formed in Chhattisgarh. The State does not have an online module and hence, monitoring of SLB indicators is also not happening in spite of having three consecutive year data for SLB. The State has implemented all eight modules for E-Governance. No initiatives for improvement planning have been initiated by the State yet.* *The State representatives requested CEPT on assistance with benchmarking through use of online module and use of module for monitoring purposes by State and local authorities.*
2	***Madhya Pradesh:*** *The State SLB Cell has already been formed in MP. They have initiated with SLB exercise for 14 municipal corporations and scaled it up for 100 municipalities as well by 2011. The State is planning to complete gazette of all UWSS indicators by February 2011.* *The State has started implementing online monitoring system under the DFID project. ISIP work has started for 14 cities in the State and data on information systems has been collected. Out of this, ISIP has been prepared for 10 cities. Although PIP plans are not prepared, the State has oriented cities on basic approach to PIP and also done an orientation workshop for the ULBs.* *With DFID support, improvement planning related to reduction of NRW is in progress for four municipal corporations and one municipality. The SLB exercise was executed by ASCI for 14 municipal corporations and in-house by 100 municipalities. The E-Governance project is also under implementation. Indore Municipal Corporation has bagged the award for automated building permission process. The State representatives requested CEPT on integrating SLB module to E-Governance module and extend support for PIP exercise.*
3	***Punjab:*** *The State SLB Cell has already been formed but has been non functional in Punjab. They had initiated SLB exercise in 2012 but have stopped after one year. There is need to coordinate between Water Supply and Sewerage Board and ULBs in Punjab for mainstreaming SLB activity.*
4	***West Bengal:*** *The State has notified SLB in 2013-14 and data was collected for 127 ULBs. Data compilation is currently under progress.*
5	***Uttarakhand:*** *There is no State/ULB level SLB Cell in the State. Online monitoring also does not happen currently. SLB data is available for 114 ULBs across the State for 2011-12. ASCI has supported data collection for 72 ULBs across the State.* *Currently, E-Governance detailed project report (DPR) for Dehradun is under preparation and is submitted to MoUD. Once approved, the module can be scaled up to all cities across the State. There are plans to set up RPMC cells at State level and in 15 cities. In terms of institutional arrangements, the water supply and sanitation lies with State agencies.*

For further support on any of components of training programme, the participants were requested to formally communicate the kind of support required by the State Governments to CEPT team and MoUD. The participant States were also advised to report the workshop

discussions to the State agencies with a copy to NIUA and CEPT University. The CEPT team assured all possible handholding support in partnership with NIUA team.

Annex A: List of Participants

Sr. No.	Name of Participant	Name of Organization
Ministry of Urban Development - Government. of India		
1	Mr. Sanjeev Ranjan	National Coordinator-SLB, Ministry of Urban Development, Government of India
State Government Officers - Government of Delhi		
2	Mr. Rajesh Kumar Taneja	Superintending Engineer, Municipal Corporation of Delhi (East), New Delhi
State Government Officers - Government of Uttarakhand		
3	Mr. Subash Gupta	Dy. Director, UDD, Uttarakhand
4	Mr. Rohitash Sharma	Executive Officer, Nagar Palika Parishad, Nainital, Uttarakhand
5	Mr. Amit Gupta	Procurement Officer, PMU-JnNURM
State Government Officers - Government of Chhattisgarh		
6	Mr. Sanjeev Beohar	Superintendent Engineer, Directorate of Urban Administration and Development department, Raipur, Government of Chhattisgarh
7	Mr. Nilotpal Tiwari	Divisional Superintendent Engineer, State Urban development Agency (SUDA), Government of Chhattisgarh
8	Mr. Pankaj Kumar Panchaity	Executive Engineer, Bilaspur Municipal Corporation, Government of Chhattisgarh
9	Mr. Jai Narayan Shrivastava	Assistant Engineer, Municipal Corporation Rajnandgaon, Government of Chhattisgarh
10	Mr. Arun Chandahe	Assistant Engineer, Nagarpalika Parishad, Kumhari
11	Mr. Bhaikhaj Bisen	Assistant Engineer, Nagarpalika Parishad, Kawardha
12	Mr. R.K. Chaube	Superintending Engineer, PHED, Raipur, Chhattisgarh
State Government Officers - Government of Madhya Pradesh		
13	Mr. M.J.S. Tulsi	Deputy Director (Engg.), UD, Bhopal, Government of Madhya Pradesh
14	Shri Suresh Sejkar	Executive Engineer, Directorate, Urban Administration and Development Department, Bhopal, Government of Madhya Pradesh
15	Shri R.M.Saxena	Executive Engineer, Water Supply and Sewerage Expert, Urban Administration and Development Department, Bhopal, Government of Madhya Pradesh
16	Shri Raghvendra Singh	Assistant Engineer, Solid Waste Management Expert, Directorate Urban Administration and Development Department, Bhopal, Government of Madhya Pradesh
17	Mr. Rajeev Goswami	Executive Engineer, Divisional Office of Urban

		Administration and Development Department, Jabalpur
State Government Officers - Government of Punjab		
18	Dr. Charanjit Uppal	Municipal Health Officer, Municipal Corporation, Ludhiana, Punjab - 141001
19	Er. JS Bahra	Director (P&D), Punjab Water Supply and Sewerage Board Chandigarh
20	Er. S.S Dhillon	Sub Div. Engineer, Punjab Water Supply and Sewerage Board Chandigarh
State Government Officers - Government of West Bengal		
21	Dr. Sujay Mitra	Poverty Monitoring Expert, Change Management Unit (CMU), Municipal Affairs Department, Government of West Bengal
22	Chandan Bose	Superintending Engineer, M.E. Dte., Municipal Affairs Department, West Bengal
23	Biswajit Das	Executive Engineer and Technology Up gradation Officer, State Urban Development Agency (SUDA), West Bengal
Others		
24	Naga Sreenivas Kanchi	Technical Expert, GIZ
25	Ms. Vaishali Nandan	Senior Advisor, Indo-German Environment Partnership (IGEP) Program, GIZ
26	Ms. Vandana Bhatnagar	Institutional Development Specialist, WSP
CEPT Team		
27	Prof. Dinesh Mehta	CEPT University
28	Prof. Meera Mehta	CEPT University
29	Ms. Chandan Chawla	CEPT University
30	Ms. Jaladhi Vavaliya	CEPT University
31	Mr. Sandeep Sethi	TCS
NIUA Team		
32	Dr. Deblina Kundu	NIUA
33	Pragya Sharma	NIUA
34	Nilanjana Dasgupta Sur	NIUA
35	Dr. Debjani Ghosh	NIUA
36	Dr. (Ms.) Shyamala Mani	Professor, NIUA
37	Shubhra Jani	WSP

Annex B: Agenda

Workshop on Capacity Building for Service Level Benchmarking (SLB) 22nd January, 2014, New Delhi

Venue: National Institute of Urban Affairs, 2nd Floor Conference Room, Core 4B, India Habitat Centre, Lodhi Road, New Delhi 110003

Objective: To develop in house capacity in implementation of Service Level Benchmarking (SLB) process for essential civic services i.e. water supply, sewerage, solid waste management and storm water drainage as outlined in the SLB Handbook of Ministry of Urban Development, Government of India. After completion of training, participants will become conversant with online SLB data entry module and generation of reports required for compliance under Thirteenth Finance Commission and other State level requirements.

Note: All participants are requested to bring data for a sample ULB for the workshop

Time	Session Theme
09.45 – 10.00	Registration
10.00 – 10.30	Welcome, Introduction and Programme Overview • Importance of Service Level Benchmarks (SLB) (MoUD) • Overview of training programme (CEPT) • Welcome remarks (NIUA)
10.30 – 11.15	Operationalising the SLB framework (CEPT) • Developing the SLB approach in India • Examples of state level applications • Discussion
11.15 – 11.30	Tea/Coffee
11.30 – 12.30	Performance measurement using SLB indicators (CEPT) • Context of SLB indicators • Online SLB module and report generation
12.30 – 13.00	SLB Connect (WSP)
13.00 – 14.00	Lunch
14.00 – 15.00	Moving from Performance measurement to Performance improvement (CEPT) • Performance Improvement Planning (PIP) model • Discussion
15.00 – 16.15	Demonstration and application of various online modules (CEPT) • Demonstration of online modules and various report generation • Discussion for adaptation
16.15 – 16.30	Tea/Coffee
16.30 – 17.30	Discussion by State Governments and Urban local bodies on follow up actions (MoUD/CEPT)
17.30 – 17.45	Close of Workshop

Workshop Report

Workshop on Capacity Building
For Service Level Benchmarking (SLB)



Organised by

Ministry of Urban Development, Government of India

With

CEPT University
All India Institute of Local Self Government

February, 2014
Goa

सत्यमेव जयते

CEPT UNIVERSITY
ज्ञानं विज्ञानसहितम्

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Background: The Ministry of Urban Development (MoUD) launched the Service Level Benchmarking (SLB) initiative covering water, sanitation, solid waste management and storm water drainage in 2009. The main objectives of the SLB Framework are to develop a common minimum framework for monitoring and reporting on service level indicators along with the guidelines to operationalise the framework in a phased manner. It also intends to support cities to develop an Information System Improvement Plan (ISIP) to improve quality and reliability of information, and to encourage the adoption of this framework for performance monitoring as well as for formulating Performance Improvement Plans (PIP).

In 2009, the Thirteenth Finance Commission's recommendation provided incentives for state governments to assess and publish service levels and targets in the state gazette to avail performance-based grants for urban local bodies (ULBs). It is now being recognised that though the SLB exercise has been initiated by the Central Government, its sustenance at state and city level depends on its mainstreaming through a state and city level monitoring system and its institutionalisation.

In June 2013, MoUD identified CEPT University as the National Technical Support Partner for operationalising the SLB Framework in all states/ULBs for over a period of one year. The Performance Assessment System (PAS) Project at CEPT University has developed appropriate methods and tools to measure and monitor SLBs and improve delivery of water and sanitation. The PAS Project has assisted in assessing SLBs of 400+ ULBs in Gujarat and Maharashtra for five consecutive years for performance assessment of water supply and sanitation services and setting up of State SLB Cells to operationalise the SLB activities on a regular basis.

As part of activities under national technical support partner, CEPT organised Capacity Building Workshops in partnership with various national institutions. The Western Region workshop was the fourth and final in the series and held in Panaji, Goa on 6th February, 2014 in partnership with All India Institute of Local Self Government (AIILSG). The objective of the workshop was to introduce concepts of SLB, and provides hands-on training for the on-line modules and report generation. The training was oriented towards making participants conversant with online SLB data entry module and generation of reports required for compliance under Thirteenth Finance Commission and other state level requirements.

Opening Remarks:

Prof. (Dr.) Sneha Palnitkar, Director AIILSG welcomed Mr. Francis D'souza, Hon'ble Dy. Chief Minister, and Minister for Urban Development, Government of Goa and participants to the SLB workshop. In her opening remarks, she elaborated on the objectives of the

workshop and efforts by MoUD through the several years to promote SLB initiative in Indian context.

Prof. Dinesh Mehta, CEPT University in his opening remarks welcomed Mr. Francis D'souza, Hon'ble Dy. Chief Minister, and Minister for Urban Development, Government of Goa and participants from four State Governments. He mentioned that in spite of these investments over the last five years, the recent census 2011 results point to the drawbacks of existing infrastructure services in our cities. Till today, 13% of urban population defecates in open and less that 30% of waste water generated gets treated at national level. Giving a brief history of SLB initiative in India, he mentioned that, CEPT joined hands with Ministry of Urban Development, Government of India and WSP on its SLB initiative in 2009. CEPT was already implementing a similar programme in Gujarat and Maharashtra through an action research project funded by Bill and Melinda Gates Foundation (BMGF).

Prof. Mehta emphasized that as additional investments are being made in these services, there is a critical need to increase accountability for service delivery. This has also been the cornerstone of the urban reform agenda being implemented as part of various centrally sponsored schemes (e.g. JnNURM, UIDSSMT). It envisages a shift in focus from infrastructure creation to delivery of service outcomes. He emphasized on need to measure outcomes of our infrastructure investments and shift attention from project execution. Interest from putting pipes in place has to shift from actually making sure that water is delivered at the end of pipe. While investments are necessary, it is important to measure outcomes from this infrastructure.

He described CEPT's role as National Technical Support Partner and workshops for capacity building completed in the three other regions. Prof. Mehta elaborated on online tools developed by CEPT under its Performance Assessment Systems (PAS) project supported by BMGF. The tools have been used in Gujarat and Maharashtra for online performance assessment for service level benchmarking for 400+ urban local bodies.

Mr. Francis D'souza, Hon'ble Dy. Chief Minister, and Minister for Urban Development, Government of Goa welcomed the participants and applauded CEPT and AIILSG's efforts

for arranging SLB workshop. He wished participants a successful workshop through exchange of innovative ideas for improving services in our cities. In his opening remarks, he mentioned that Goa is the smallest State in India with a population of 14.57 lakhs population (of which 50% is urban) spread across 3702 sq. kms of which 40% is notified forest. Goa has fourteen urban local bodies (of which only two are class A cities) and is also home to world's smallest municipal corporation Panaji. He added that by this means, it may not be possible to compare Goa with Gujarat and Maharashtra. Goa's problems may seem significant to larger States.

He stressed upon the migrants from other States which puts undue pressure on water, sanitation and fails other infrastructure in our cities. Job opportunities, education and aspiration of better infrastructure attract migrants to other States. He mentioned that we can aspire to increase services endlessly in cities that attract migrant population, but there is a limit to which you can accommodate population in cities. We need to also think about reversing migration or solutions like new townships and satellite townships so that people can have alternate choices and do not migrate to larger cities that are already buckling under pressure.

Mr. D'souza also mentioned how ensuring good governance can help reverse migration to native states and highlighted the case of Bihar where workforce has been returning back to their respective State once the governance is strengthened and suitable employment opportunities and better infrastructure are provided. One needs to have holistic approach to deal with such problems for our cities. Iterating the need to deal with interstate migration, he added that service quality for infrastructure services needs to be standardized across the country so that it does not provide a reason for such migration. This can be done by taking up service level benchmarking and understanding good practices implemented across the world. Mr. Francis also added that urban infrastructure is a huge challenge and spending money alone is not important. India has abundant natural resources and motivated human resources and if focuses on providing world class services, can achieve the desired prosperity and level of services with the right will for development.

Emphasizing his Government's commitment to accountability for timely delivery of public services, he mentioned about the Goa Services Guarantee Bill which will be implemented soon in the State. The act makes it compulsory for government offices to provide citizens with services within a fixed deadline. Or else, the act provides for penalizing the officer concerned and compensating the citizen.

Prof. Meera Mehta, CEPT University in his opening remarks thanked the Hon'ble Dy. Chief Minister for this thought provoking address. Building on it further, she emphasized that increasing financial allocations or spending more money may not necessarily mean better service delivery outcomes. The urban managers need to shift attention from building new infrastructure to improving existing service outcomes, at times with the existing infrastructure. The SLB initiative by MoUD is an important step in the direction to shift focus on service outcomes and measure quality of services delivered.

Prof. Mehta elaborated upon her experiences of actually translating the SLB framework on ground in Gujarat and Maharashtra and moving from infrastructure provision to service delivery paradigm through CEPTs work in two States. She iterated that census 2011 results show the gaps in urban water and sanitation services and it is through constant measuring one can gauge the impact of improvements by the time next census results are recorded. She thanked MoUD from providing this forum to discuss SLB framework and demonstrating online modules for performance assessment across various States through regional SLB workshops. She expressed her thanks to Government of Gujarat and Maharashtra the urban local bodies who were contributing immensely for the SLB agenda. She conveyed thanks to Government of Goa for hosting the Western Region SLB workshop and Mr. Francis D'souza, Hon'ble Dy. Chief Minister, and Minister for Urban Development, Government of Goa to address the august gathering.

The participants interacted with Mr. Francis D'souza, Hon'ble Dy. Chief Minister post the inaugural session. One of the questions posed related to whether there is a provision for third party assessment under Services Guarantee Bill? Mr. D'souza mentioned that they have recently brought this act in practice and included a few services. The idea of independent party assessment is very important and will be surely considered once more services are brought under its ambit.

The participants also wanted to know about gaps in cost recovery that is usually hindered by lack of political will to charge the customers fully for the costs incurred. Mr. Francis mentioned the need to speed up procedures and bring efficiency in services. Procedural delays in Indian cities also add up to losses and one needs to emphasize on fast delivery mechanisms for infrastructure services including procedures for tendering in urban infrastructure creation. He added that the country is in 21st century but systems of 16th century still run the system and this mismatch needs to be removed. Mr. Francis emphasized on learning from best practices across the world and improve our delivery mechanisms.

Mr. Francis on request from participants also shared initiatives related to disposal of municipal waste under consideration in Goa including technology from Germany that converts waste to electricity that is being done in two plants across States. One other intervention called Plasma technology, which after segregation helps incinerate organic

waste and convert in to energy that is added to the grid. For construction debris, he suggested converting in to appropriate building material for road works and other construction purposes. On question related to preparation of Master Plans for cities in Goa, Mr. Francis replied that ULBs need to prepare their own plans and draw funds through central government schemes or programmes on independent basis. State can provide facilitator support wherever required. He mentioned several ULBs that are already drawing funds for infrastructure projects.

Service Level Benchmarks: Prof Dinesh Mehta in his introductory presentation highlighted the current situation with respect to water supply and sanitation. The presentation discussed results from Census 2011 in terms of water availability on premises, toilet availability and type of disposal systems available. Results were discussed for All India and for Western States. Prof. Mehta elaborating further upon basic concepts of benchmarking projects discussed the objectives of benchmarking and presented a brief history through Xerox case study.

Making a reference to global efforts on SLB, he discussed key lessons from these initiatives, most important of which is the adequate time required to set up robust systems usually ranging from 5 to 10 years in studied cases. Focus on a consultative process for broad agreement on approach and implementation at national and state levels was another prerequisite to internalize such a system. Government ownership and regular reviews are essential and make it easier to mainstream the process in regular functioning.

Operationalising Service Level Benchmarks: Prof Meera Mehta, CEPT University made a presentation that highlighted ways and means to operationalise SLB in Indian context. The presentation highlighted the impetus on urban water supply and sanitation (UWSS) through JnNURM allocations and drew references to share of water sector that accounted for 41 percent and more than 70 percent of the funding dedicated to UWSS. While the project has set record for good monitoring of project implementation, it has not been very impressive on creating reliable data on outcome or service delivery improvements for JnNURM investments. While making a case for need to move from infrastructure funding to improved service delivery, it highlighted the challenges of lack of information on water supply and sanitation (WSS) which leads to misallocation of resources and makes it difficult to assess impact of past investments. Giving an assessment of various SLB initiatives since 1999, it highlighted the need of SLB essentially for arriving at a common set of performance indicators and need for institutionalizing such practices.

The presentation highlighted various activities under SLB initiative of MoUD since SLB pilot exercise in 2009 including the requirements under Thirteenth Finance Commission that provided much needed impetus to the SLB exercise in Indian context. The participants were made aware of requirements for state and city level SLB cells as specified by MoUD and activities and composition of both level cells were elaborated. The example of Gujarat and Maharashtra SLB Cell were illustrated which detailed institutional arrangements, composition and how the Cell has been functioning to mainstream SLB agenda in its

activities. Performance assessment activities for both State cells over the years were illustrated with methods for capacity building for online assessment over the years.

In Gujarat, various activities under progress were also elaborated which ranged from assessment of investment requirements by sub-sectors for next five years in the UWSS sector and proposal for tariff indexation. The Cell is also overseeing water audit studies to assess non revenue water (NRW) and improve data reliability. Parallel to this proposals for universal introduction of bulk water metering in the State are also under consideration. The Cell has been assessing ULB performance and ranking for an Urban Service Development Index to identify backward districts as well. The participants sought clarification on various indicators used for backwardness index and whether it was possible to calculate them online. The index was demonstrated online with a provision to change the indicators weightage through scroll buttons that helped recalculated index change instantly.

The presentation also highlighted challenges related to information systems improvements and possibilities of creating SLB module within the existing E-Governance module of GoI which is being pursued by the mission cities. If we don't have reliable data to support benchmarking exercise, the exercise might go in vain. CEPT is currently exploring through its review of information systems in various cities through its partners and Tata Consultancy Services (TCS) who has supported to set up online assessment systems in Gujarat and Maharashtra.

Post the presentation, feedback was sought from States in terms of presence of state and city level SLB cells. Various institutional arrangements in the Western States were mentioned in context of infrastructure creation, operations and management for UWSS services and challenges for mainstreaming SLB elaborated upon. At the end of presentation, Prof. Mehta also highlighted the way forward for Western States to set systems for state and city level SLB cells. Activities and composition of the SLB cells were also elaborated and discussed with the participants.

Participants wanted to know in case there are any primers available for PIP and ISIP and how systematic procedures can be developed at local level to improve information systems. It was suggested that online module already has inbuilt questions that can help objective assessment for reliability of indicators. For data systems that are weak at local level, the ULB needs to take up efforts to collate systematic information for eg. to improve data on toilets, a city can consider including it in the property tax assessment system so that it gets updated periodically.

Similarly for PIP, it is important to consider array of solutions and decide tradeoffs. To illustrate it was mentioned that to improve coverage of water supply, one may need to lay new network, remove illegal connections, connect HHs from slums and look at series of improvements simultaneously. It was discussed that instead of waiting for perfect data to arrive, cities can start working with existing data systems and sequentially improve over the period of time.

Service Level Benchmarking Framework and Overview of 28 SLB Indicators: Ms. Jaladhi Vavaliya, CEPT University elaborated upon the Key Performance Indicators for SLB as specified by the MoUD handbook. The Handbook on Service Level Benchmarking developed and released by the MoUD, seeks to (i) identify a minimum set of standard performance parameters for the water and sanitation sector that are commonly understood and used by all stakeholders across the country; (ii) define a common minimum framework for monitoring and reporting on these indicators and (iii) set out guidelines on how to operationalise this framework in a phased manner. The presentation discussed the SLB Framework encompassing 28 performance indicators for all four sub-sectors. Additional local action indicators developed under PAS Project including onsite sanitation and equity indicators were also explained along with the rationale for developing the same.

Demonstration of Online Modules for Data Entry and Target Setting: Later an online platform to collect, review and share information related to performance assessment for UWSS sector in various states was also shared. The platform has been developed under PAS Project of CEPT University and has been used for online assessment for all ULBs in Gujarat and Maharashtra. The online modules for both performance indicators and targets were presented and provisions built for online monitoring at city, district and state levels were highlighted. Various on hand information is made available through customised reports in MS Excel and PDF which were demonstrated to the participants. This also includes graphical and tabular analysis at both state and city levels with a range outputs and essential information related to benchmarking. User ids and passwords were shared with representatives of all the participating States to try filling data for sample ULBs in respective States.

SLB Connect: Ms. Vandana Bhatnagar, Water and Sanitation Program (WSP) of the World Bank made a presentation on SLB Connect. SLB Connect aims at collecting and analysing citizen feedback on service delivery using innovative mobile, information and communications technology (ICT) and analytical tools. It is aligned with the SLB Framework, and provides feedback on SLB indicators which address customer service aspects. The analysed outputs from SLB Connect will help strengthen the SLB programme.

SLB Connect is helping for transition from being process-centric to becoming citizen centric. Under the SLB programme, the effort has been largely to collect data from the service provider. Through the tool, feedback from citizens is obtained not only on satisfaction levels but also on customer experience of services. The performance aspects surveyed are in alignment with the SLB Framework. The feedback from citizens is compiled into a score card and along with the detailed analysis made available to interested stakeholders as measured service outcomes. Through case studies of Pimpri Chinchwad Municipal Corporation (Maharashtra) and Mehsana (Gujarat), the presentation elaborated on field process, enumerator training, mobile application and survey management process in these cities. It also discussed results from survey and experiences of sharing and discussing findings with citizens at local level. The participants sought clarification on the methodology following for sampling for the survey and if they were chosen as per ward or as per water zones.

Moving from Performance Measurement to Performance Improvement: Ms. Chandan Chawla and Prof. Dinesh Mehta, CEPT University made a presentation on 'Performance Improvement Planning Model'. The simple five-point SLB agenda for ULBs as specified by MoUD includes tracking performance over time and also identify areas for improvement. It encourages ULBs to set realistic targets for performance (for own department, or public/private service providers). The Model assists in assessment of the present situation of a city and consequently, arrives at potential areas for infrastructure development that can improve service delivery and financial stability of a ULB. The choice of these improvement options can have significant financial impacts, and could yield different outcomes. A decision support tool therefore helps informed decisions for development and selection of appropriate options.

Using an application for a small town, it was demonstrated how the tool helps comparison of different options across technology, phasing and financing for improving water supply, wastewater and solid waste services. The impact of each option is reflected by improved service levels, additional revenues and costs required and sustainability with respect to municipal finances. The Model also provides a multi-year activity plan and a financing plan for both capital and operation and maintenance (O&M) expenditure. Such detailed analysis for different options provide a basis for an informed debate at stakeholders'

consultation, cautioning against making sub-optimal choices which are financially unsustainable or do not improve service delivery. Post presentation the participants sought clarifications on onsite sanitation system and whether appropriate green belt has been provided by the sidelines of the river in the explained case study. It was mentioned that purpose of the tool is to focus on considering alternative solutions and compare outcomes for different improvements. It also helps decide trade off within several improvement actions over a ten year improvement planning period and focus on service outcomes before new infrastructure creation. Similarly for sanitation, open defecation free cities can be a first priority before getting in to conveyance and treatment options. The model also helps compare several technical options on cost, service outcomes and O&M provisions.

Discussions on Way forward: Towards the final session, **Prof. Dinesh Mehta** facilitated a group discussion on way forward. The participants were divided into State wise groups to discuss aspects related to SLB Cell in their respective States. The following points were discussed in the State wise groups

- SLB Cell at State Level: Current Status and future plans
- City level SLB Cell: Current status, composition and future plans
- Online Monitoring System at State level
- Models used by respective State Governments for following:
    - Information system improvement planning (ISIP)
    - Performance improvement Planning (PIP)
    - Target Setting
- Including SLB in E Governance in the States

They groups also appraised on status and composition of city level SLB cells and existing online monitoring systems in the participating States. There was also a discussion on models that are currently in usage for Information System Improvement Planning, Performance Improvement Planning and Target Setting. Status on availability of E-Governance Modules in the States was also discussed to assess possibility of streaming SLB Module within the same.

On behalf of Gujarat, Mr. C R Kharsan, Dy. Municipal Commissioner - Health & SWM, Ahmedabad Municipal Corporation presented an update of the SLB process in Gujarat. He iterated how sustained data collection efforts over the last five years had tremendously reduced the time required for annual performance assessment exercise in Gujarat. Cluster based training by the UMC team and other support materials like training manual in local language; helpline to resolve data issues has helped the ULBs tremendously to periodically undertake performance assessment. After the training, the collected data was also shared with the participants for the ULBs in their district. Detailed feedback sought on ways to improve the process and mainstream the performance assessment exercise.

Mr. Kharsan also elaborated upon various thematic improvement areas on which UMC is working with various ULBs. A brief update on the role of the SLB cell and various activities being supported through use of data collected for performance assessment were presented to the participants. The terms of reference, composition and the activities of SLB cell in Gujarat were elaborated that served as guidance for other States that are in process of detailing out annual calendar/ activities of their SLB Cells.

Mr. S. K. Goyal, Chief Engineer, Nagar Nigam Jaipur presented the status on behalf of Government of Rajasthan (GoR). He mentioned that Government of Rajasthan (GoR) through Rajasthan Urban Infrastructure Development Project (RUIDP) with the loan assistance from Asian Development Bank (ADB) has taken up urban infrastructure projects for water supply, waste water management, solid waste management, drainage and a few others in 27 cities. The procedure for transfer of urban water supply function to ULBs from PHED is still under progress and has been completed for eight cities. Process for other twenty is planned to be completed post the upcoming central elections.

On the sewerage front, four agencies are involved in Rajasthan. Under (RUIDP) seven cities are implementing sewerage network. In some cities, urban improvement trusts and Development Authorities are also implementing sanitation projects. While the capital projects are handled by a number of authorities, the O&M is essentially managed by the ULBs in the State. For solid waste management projects, nineteen cities are implementing improvement actions under ADB project, two under Jnnurm and various ULBs are using funds from Thirteenth Finance Commission to implement SWM improvement proposals.

The SLB Cell is currently housed at Directorate of Municipal Administration (DMA) and takes lead in collecting SLB data from ULBs on waste water and solid waste management. The water supply data is collected from PHED department. Mr. Goyal mentioned that data for all 182 ULBs is collected online and updated by the cell on a periodic basis.

On behalf of Goa Government, Mr. Tavde, Chief Officer, Mormugoa Municipal Council and Mr. A. Lawande, PWD, Panjim presented an update on SLB activities. It was mentioned that thirteen cities are planning to pursue Information systems improvement planning in Goa, for which MoUs will be signed with AIILSG shortly.

Currently in Goa, the ULBs are only responsible for SWM activities and the water and sewerage services are being provided by the PWD department. The State is also implementing projects related to disposal of municipal waste including technology from Germany that converts waste to electricity that is being done in two plants across States. One other intervention called Plasma technology, which after segregation helps incinerate organic waste and convert in to energy that is added to the grid. It was mentioned that currently there is no nodal agency for SLB in the State and it can help if a nodal agency is created who is also entrusted task of doing a HH survey regularly and digitize it as well. For Panaji Municipal Corporation, the Jnnurm project will ultimate aim for 24x7 supply and aim to reduce NRW to 15%.The city is also setting up DMAs each with about 1000 connections.

Dr. Bhapkar, Commissioner & Director - Municipal Administration, DMA, Government of Maharashtra presented an update on SLB cell status in Maharashtra. He mentioned that with support from PAS project and AIILSG team, the cell had been actively carrying forward the SLB agenda in the State. All the ULBs in the State have been trained by AIILSG team to access online module for performance assessment and are being provided with respective logins. He also mentioned about support for improvement planning activities under PAS project and support for City sanitation planning in the State. The State Government is also referring to the PAS online module to access logins for State administration to review and monitor performance across the service level benchmarks.

Post group presentations, the participants were provided hands on training for online SLB Module and Target Setting.

At the end of the workshop, Prof. Dinesh Mehta thanked the participants for their active participants and interest in the SLB discussions and modules. The participants were requested to formally communicate the kind of support and training required by the State Governments to CEPT Team and MoUD. CEPT will submit a consolidated report to MoUD, which captures the discussions and expectations from participant States. The participant States were also advised to report the workshop discussions to the State agencies. The CEPT team assured all possible handholding support in its capacity as the National Technical Support Partner.

Annex A: List of Participants

Sr.No.	Name of Participants	Name of Organization
State Government Officers – Government of Maharashtra		
1	Shri Suyash Chandrakant Balip	Sub Engineer (Storm Water Drains), Planning Cell, Municipal Corporation of Greater Mumbai (MCGM)
2	Dr. Vijay Godepure	Health Officer, Barshi Municipal Council , Government of Maharashtra
3	Shri Umesh Mudras	Assistant Engineer Water Works, Municipal Corporation of Greater Mumbai (MCGM)
4	Dr. (Prof.) Sneha Palnitkar	Director, RCUES,AIILSG, Mumbai
5	Mr. Sunil B. Sardar	E.E. SO(P&C),Ch.E.(SO), Municipal Corporation of Greater Mumbai (MCGM)
6	Shri Ashok S. Yamgar	Dy.Ch .E. (SWM), Municipal Corporation of Greater Mumbai (MCGM)
7	Shri Jayesh R.Engineer	Ex. Engineer, Sewerage Project, Municipal Corporation of Greater Mumbai (MCGM)
8	Mr. Mohammad Israil	Deputy Engineer (Pench Project Cell), Officer Incharge (Lakes & Rivers), Coordinator (Environment & Biodiversity), Project Officer (ICLEI), Nagpur Municipal Corporation
9	Shri Nitin Daji Jadhav	Sub Engineer (Civil), Municipal Corporation of Greater Mumbai (MCGM)
10	Shri Jayant.N.Kulkarni	E.E (M&E)SP,JnNURM Cell(DMC SE Off), Municipal Corporation of Greater Mumbai (MCGM)
11	Mr. Sumant More	Chief Officer, Gondhia Municipal Council, Government of Maharashtra
12	Dr.Purushottam Bhapkar	Commissioner & Director - Municipal Administration, DMA, Government of Maharashtra
13	Mr.Anil Muley	Dy.Director, DMA, Government of Maharashtra
14	Mr. Rajendra Y. Joshi	Hydraulic Engg. (Project), Ichalkaranji Municipal Council,Government of Maharashtra
15	Mr. Sandeep V. Joshi	Computer Operator, Ichalkaranji Municipal Council,Government of Maharashtra
16	Mr. Anil Patil	Dy. City Engineer, Thane Municipal Corporation, Maharashtra
17	Mr. Sudhir Gaikwad	Executive Engineer ,Thane Municipal Corporation, Maharashtra
18	Mr. Balasaheb Chavan	Chief Officer, Roha Municipal Council,DMA, Government of Maharashtra
State Government Officers – Government of Gujarat		
19	Mr. C R Kharsan	Dy. Municipal Commissioner - Health & SWM,Ahmedabad Municipal Corporation
20	Mr. Popatlal Chunilal Thakkar	Manager (Tech),GUDM
21	Mr. Rajendra Bariya	Public Health Engineer, GUDM
State Government Officers – Government of Rajasthan		
22	Mr. S.K.Goyal	Chief Engineer, Nagar Nigam Jaipur
23	Mr. Rajendra Prasad Sighal	Commissioner (Personal), Nagar Nigam Jaipur

State Government Officers – Government of Goa		
24	Mr. Dilip Khaunte	A.S.W.,Public Works Department,Panaji,Goa
25	Mr. Ashok Daiwajna	S.W.,Public Works Department,Panaji,Goa
26	Mr. Assumption Luis	Junior Engineer, Public Works Department,Panaji,Goa
27	Mr. Noella Mara Souza Barreto	Assistant Surveyor of Works, Public Works Department,Panaji,Goa
28	Mr. Agostinho Mesquita	Municipal Engineer - III, Ponda Muncipal Council, Goa
29	Shri. Vishant M. Naik	Municipal Engineer Gr-II, Margao Municipal Council, Goa
30	Shri Diniz C.T. de Melo	Municipal Engineer Gr-I, Margao Municipal Council, Goa
31	Shri Vinod Kotharkar	Municipal Engineer Gr-III, Margao Municipal Council,Goa
32	Mr. Yatin S. Phalarpekar	Junior Engineer (Civil), Sankhali Municipal Council,Goa
33	Mr. Vishant Sawant	Sankhali Municipal Council,Goa
34	Mr. Diptesh D.Desai	Municipal Engineer Grade III ,CCMC , Curchorem, Goa
35	Smt.Reshma P. Satardeskal	Municipal Engineer Grade II, MMC , Mapusa, Goa
36	Miss. Songito D. Setardekal	Municipal Engineer Grade II , SMC, Sonkholi
37	Mr. Sanjay V, Palekar	Site Supervisor, BMC, Bicholim
38	Mr. Amit S. Mohadkar	Municipal Engineer Grade III, Penjim Municipal Council
39	Mr. Ashik Khan	Municipal Engineer, Bichplim Municipal Council, Goa
40	Mr. Ramdas G. Shirodkar	Chairperson, Valpoi Municipal Council, Goa
41	Mr. Sharafat Khan	Councillor, Valpoi Municipal Council, Goa
42	Mr. Pramod Desai	Chief Officer, Sanguem Municipal Council
43	Mr. Veeraj Naik	Municipal Engineer III, Sanguem Municipal Council
44	Mr. Madan A. Desai	
45	Mr. Manoj Arsekar	Cunlolim Municipal Council, Goa
46	Mr. Shakh Salim Kasim	Cunlolim Municipal Council, Goa
47	Mr. Yesso V. Desai	Cunlolim Municipal Council, Goa
48	Mr. Yeshwant Parab	Bicholim Municipal Council, Goa
49	Mr.Elvis Gomes	DMA(Goa), Goa State Urban Development Agency
50	Mr. Y. B. Tavde	Chief Officer,Mormugoa Municipal Council
51	S.D.	MMC
52	Mr.Atmaram Kalanekar	Account Officer,Goa State Urban Development Agency
53	Mr. A. Lawande	PWD, Panaji, Goa
54	Mr. Udai Kent	HC, Dept. Of Urban Devlopment, Panaji
55	Mr.Sandesh Sail	Assistant Project Officer,Goa State Urban Development Agency
56	Mrs. Maithili Dessai	Goa State Urban Development Agency
57	Mr. Vinay Rebello	Goa State Urban Development Agency
58	Mr. Prabhal Dessai	Goa State Urban Development Agency
59	Mr.Arjun Asolkar	PMC
60	Mr. Rajesh Tari	Vasco
61	Mr. Swayam Chaudhari	Legal Advisor, City Corporation of Panaji (CCP)
62	Mr. Anil Ringave	Goa State Urban Development Agency
63	Mr. Nitin Kotharkar	Municipal Engineer ,Canacona Municipal council, Goa

CEPT University		
64	Prof. Dinesh Mehta	CEPT University
65	Prof. Meera Mehta	CEPT University
66	Ms. Chandan Chawla	CEPT University
67	Ms. Jaladhi Vavaliya	CEPT University
68	Mr. Arvind Singh	Program Manager, UMC
69	Mr. Sandeep Sethi	BDM, TCS

Annex B: Agenda

Workshop on Capacity Building for Service Level Benchmarking (SLB), 6th February, 2014, Goa

Venue: Hotel Fidalgo, 18th June Road, Panaji, Goa 403001 (India)

Objective: To develop in house capacity in implementation of Service Level Benchmarking (SLB) process for essential civic services i.e. water supply, sewerage, solid waste management and storm water drainage as outlined in the SLB Handbook of Ministry of Urban Development, Government of India. After completion of training, participants will become conversant with online SLB data entry module and generation of reports required for compliance under 13th Finance Commission and other State level requirements.

Note: All participants are requested to bring data for a sample ULB for the workshop

Time	Session Theme
09.45 – 10.00	Registration
10.00 – 10.30	Welcome, Introduction and Programme Overview • Importance of Service Level Benchmarks (SLB) (MoUD) • Overview of training programme (CEPT) • Welcome remarks (AIILSG)
10.30 – 11.15	Operationalising the SLB framework (CEPT) • Developing the SLB approach in India • Examples of state level applications • Discussion
11.15 – 11.30	Tea / Coffee
11.30 – 12.30	Performance measurement using SLB indicators (CEPT) • Context of SLB indicators • Online SLB module and report generation
12.30 – 13.00	SLB Connect (WSP) • Collecting and analysing citizen feedback on service delivery using innovative mobile and ICT tools
13.00 – 14.00	Lunch
14.00 – 15.00	Moving from Performance measurement to Performance improvement (CEPT) • Performance Improvement Planning (PIP) model • Discussion
15.00 – 16.15	Demonstration and application of various online modules (CEPT) • Demonstration of online modules and various report generation • Discussion for adaptation
16.15 – 16.30	Tea / Coffee
16.30 – 17.30	Discussion by State Governments and Urban local bodies on follow up actions (MoUD/CEPT)
17.30 – 17.45	Close of Workshop