

**DRAFT**

Rajiv Awas Yojana (RAY)

Guidelines  
on  
Community Participation

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## Guidelines on Community Participation in Rajiv Awas Yojana (RAY)

### 1. Introduction

- 1.1. Rajiv Awas Yojana (RAY) announced by the Hon'ble President of India on 4<sup>th</sup> June, 2009, for the slum dwellers and the urban poor envisages a 'Slum-free India' through encouraging States/Union Territories to tackle the problem of slums in a definitive manner. As per the Pronab Sen Committee Report, a slum is defined, "as a compact settlement of at least 20 households with a collection of poorly built tenements, mostly of temporary nature, crowded together usually with inadequate sanitary and drinking water facilities in unhygienic conditions."
- 1.2. The Mid Term Appraisal of 11<sup>th</sup> Five Year Plan of the Ministry of Housing and Urban Poverty Alleviation has pointed out, and the experience of JNNURM has demonstrated, the need for adopting a process of change management that will ensure the sustainability of urban transformation. It highlights the need for an inclusionary approach to prevent delays in implementation, a finding which has also been reiterated by the expert committee under the chairpersonship of Deepak Parekh.
- 1.3. The Guidelines on "Community Participation in Rajiv Awas Yojana" therefore lay emphasis on community participation in the process of preparing and implementing the State and City Slum Free Plans and require that the designing of slum redevelopment for the people is done with the people, which will lead to community ownership and sustainability of the programme. These guidelines focus on community participation in all the phases of Slum Free city Plans (SFCP), including pre-survey, survey, preparation of slum re-development plan, microplanning and implementation of slum re-development plans, and operation and maintenance plan of the created assets.

### 2. Community Participation in Survey and Data-base creation

- 2.1. As per the Guidelines circulated by NBO, M/o HUPA, data with respect to slum profile, Urban poverty profile, Livelihood including socio-economic profile, is to be gathered for all slums-notified and non-notified, including unauthorized colonies and regularized unauthorized colonies unserved by municipal services, and pavement dwellers.
- 2.2. During the survey, the following schedules of enquiry are to be canvassed:
  - Part A: General Information of Slum area
  - Part B: Slum Profile of Urban Local Body

- Part C: Particulars of Survey Operations
- Annexure-I: Detailed Slum Survey
- Annexure-II: Detailed Household Survey
- Annexure-III: Detailed Livelihoods Survey

2.2.1. Part A and Part B deals with the General Information of the city/town and slums covered under the survey. The information in Part A and B is required to be filled by doing desk research based on secondary sources of information, which is already existing with the ULBs with the concerned municipal officials. However, it may be noted that the latest data would be generated when the Annexure 1 is administered in slums and this would need to be appropriately reflected in Part A and B also. Part C deals with capturing information on mapping slum profiles and includes Annexure I, II and III. and has to be administered at the community level involving community structures like Neighbourhood Groups (NHGs), Neighbourhood Committees (NHCs), Community Development Societies (CDS) etc. and local/slum based Community Based Organisations (CBOs) such as Resident Welfare Associations (RWAs), Self Help Groups (SHGs) and Co-operative organizations of the slum dwellers working in the area along with ward level ULB officials.

2.3. While it is important to gather information during surveys, innumerable experiences in the field have shown that the whole exercise can prove infructuous if communities are not included from the beginning. Since ULBs are already in the process of undertaking or initiating slum surveys, the following broad principles of engagement of communities in the process of survey and data base creation, is suggested, which can be divided into the following categories:

### **2.3.1. General Administrative Arrangements**

### **2.3.2. Mapping and Survey Operations**

#### **2.3.1 General Administrative Arrangements**

- a. At the State level, the State level Nodal Agency supported by the State level RAY cell (comprising of the experts, as recommended in the Slum Free City Planning (SFCP) guidelines) shall be responsible for guiding and monitoring the exercise of survey including data base creation and its validation while ensuring the involvement of the community in the above process.
- b. To support the survey and to build stakes and ownership of people contributing to their empowerment, it is imperative to initiate a process, which is inclusive and participatory right from the beginning. To facilitate this process, the role of NGOs and CBOs becomes very vital. In this process, city level NGOs (referred as Lead NGOs) may be engaged, and assigned the role of managing the survey and ensuring community participation, whereas, the slum based CBOs through their community facilitators and

volunteers may undertake and lead the community self surveys at the slum level. **The NGO is envisaged to act as a bridge between the municipality and the people. It is expected to play the role of a mediator and a facilitator.** The role of lead NGOs and slum based CBOs in the process of survey and subsequent design of redevelopment models as well as their implementation, and the general guidelines for their selection are given at **Annexure 1**. The ULBs can choose to facilitate community engagement in the process of mapping and conducting the survey by choosing any of the following options as per their existing structures and requirements:

**Option 1: ULBs have a strong Urban Poverty Alleviation (UPA) Cell and a well organized community mobilization and development structure with dedicated officers and community mobilizers at the field level.**

- a. In the above situation, the ULBs may choose to conduct the survey through their existing community volunteers or select community volunteers as per the existing rules of the ULB for this programme. In this regard, the UPA cells with day to day guidance and supervisory role of the RAY city technical cell, would be expected to undertake the responsibility of day to day monitoring of the data collection, compilation, ratification and analysis.
- b. The lead NGO and/or the slum based CBOs would assist the UPA cell in conducting and managing the community self survey, including the task of capacity building, trainings of the municipal staff and of the community volunteers.

**Option 2: ULBs lack a strong UPA cell and dedicated community structure at the field level and choose to get the survey conducted through a professional agency supported by the Lead NGO**

- a. In the above situation, the ULBs may get the survey conducted through a professional agency with the requisite expertise in conducting socio-economic surveys, hired through an open transparent procedure keeping a stipulation that this agency shall pick as many canvassers as possible from the sourced slum or the nearby slum pockets.
- b. The responsibility of collecting and feeding the data into the slum MIS tool, data validation and cleaning, compilation and collation will remain the responsibility of the professional agency under the day to day guidance and control or with supervisory help of the RAY City Technical Cell. The collation would be able to generate web enabled city level data

Professional agencies would not have capacities to involve the community. It would be necessary for the ULB to engage a lead NGO and slum level CBOs to ensure that the community is meaningfully involved in the entire process of mapping and slum surveys.

**Option 3: ULBs lack a strong UPA cell and dedicated community structure at the field level and choose to get the survey conducted through the Lead NGO**

In the above situation, ULBs may choose to get the survey conducted through Lead NGO(s) having expertise in conducting socio-economic surveys and selected through an open transparent procedure, thus combining in the Lead NGO the role of the professional agency and the lead NGO in one organisation. The lead NGO(s) can undertake the survey directly through their own community facilitators/ staff or they may get the survey conducted through slum based CBOs (Self Help Groups, Neighbourhood Committees, Neighbourhood groups and community development society etc.). These slums based CBOs may be identified by ULBs themselves with the assistance of Lead NGOs or they may be identified by the lead NGO with approval of the ULBs.

The responsibility of feeding the data into the slum MIS tool, data validation and cleaning, compilation and collation will also be the responsibility of the lead NGO in this case, under the guidance & control or with the supervisory help of the RAY Cell.

Since in this option, responsibility of undertaking survey as well as facilitating community participation is with one agency, i.e. Lead NGO, hence there is a need for supervision and oversight functions to be performed by the Municipality for transparency, to ensure that community demands are truthfully represented, and to provide necessary check and balance.

**2.3.1.1** The criterion and process of selection of lead NGOs and CBOs and their payment mechanisms has been outlined in **Annexure 1** and **Annexure 1.A** respectively. The diagrammatic representation of all these options is put in the **Annexure 2**.

**2.3.1.2** Whichever option is identified, ULBs have an important role to ensure that community engagement takes place through an 'inclusionary' process, and the important aspects of this process are mentioned in point 2.3.2 below.

**2.3.2 Mapping and Survey Operations:** Community engagement in mapping & survey will comprise of the following steps involving the community.

- a) Environment building before undertaking slum mapping and slum survey;

- b) Identification, demarcation of slum areas, vacant lands & its ownership on the geo-referenced City Base Map;
- c) Delineation of slum areas and mapping of slum infrastructure by total station survey;
- d) Data base creation at household level on poverty and livelihood parameters.

Point a is the pre socio economic phase which will set the ground for community engagement in the entire exercise of slum free city planning.

The role of CBOs and NGOs in the processes to involve the community in each of these steps are envisaged as follows:

**a) Environment building before undertaking slum mapping and slum survey:**

- i. **At the city level:** The environment for the survey should be created by organizing an introductory workshop with all concerned stakeholders like council members, municipal officials, community organizers, representatives of existing community/neighbourhood level structures etc to explain the objective of the slum survey.

After the introductory workshop or concurrently the existing City level information shall be compiled in part A and part B of the slum formats.

- ii. **At the slum level:** Part C of the format has to be administered at the community level **involving** community structures like NHGs, NHCs, CDS etc. and local/slum based CBOs working in the area and with ward level ULB officials. This section deals with capturing information on mapping slum profiles and includes Annexure I, II and III. The following key steps should be taken by the ULBs to build a conducive environment suggested in the SFCP guidelines in page no. 16 under para no. 1.5.2, before initiating the canvassing by ensuring:

- Identification of marginalized groups (such as SCs/STs, physically challenged, women headed households, minorities, etc) by the concerned cells/resource agencies for ensuring their active participation in the slum free city planning.
- A sabha of the community to explain to the slum dwellers the objective of slum survey to reduce any insecurity among the community members through the city level cells and identified lead NGOs, slum based CBOs.
- Meeting with elected representatives to explain the objective of the survey and to get their support in the entire process.
- Identification of volunteers/community leaders/facilitators for the surveys. Normally 200- 300 households constitute an ideal unit for community

representation and experiences have suggested that ideally one community investigator/volunteer should cover 30-40 households. Care should be taken to ensure that the volunteers/facilitators/community leaders are from the community, are acceptable to the community and that there are adequate representatives from marginalized groups.

- Training and adequate guidance to the slum based NGOs/community volunteers by the concerned cells/ agencies/Lead NGOs, as the case may, so that they understand the objectives of the exercise, the reasons for community involvement, their own roles, as also the purposes for collecting data through questionnaires, interviews, observations, Focused Groups Discussions (FGDs) and Participatory Learning Action tools (drawing rough maps, household counting, numbering etc) including explanation on the formats and guidelines to be used for the survey. The capacity building activities can also be undertaken by the National Network of Resource Centres (NNRCs), empanelled by the Mo/HUPA.

Pre-survey process would enable to build a process of ownership of the community, allaying fears of the slum dwellers and to set a firm ground to undertake a detailed survey based on NBO guidelines.

**b) Slum mapping leading to creation of a geo-referenced GIS City Base map with identification, demarcation of all slum areas and vacant lands and its ownership on the City Base Map (aligned with Step 1 of SFCP guidelines contributing to Part B and Annexure I of Part C of survey format):**

- Preparing list of slums:** The first step in the process of SFCP is the preparation of the geo-referenced city base map and identification, demarcation of slum areas and vacant land on this city base map. The first part i.e. preparation of city base maps will be done by technical experts and for the latter part (i.e. identification, demarcation of slum areas), the ULB need to create an updated list of slums (based on an existing list) through a consultative process involving elected representatives, NGOs/CSOs /Academic and Research Institutes working on urban issues.
- Identify slum boundaries:** Slum boundaries of each slum will need to be demarcated on the portions of the city base map showing the area occupied by the slum pocket. During the creation of updated list, the ULBs should ensure that slum pockets identified on the satellite image are included in the list after verifying (ground truthing) the existence of slums with the help of elected representatives, NGOs, Social experts and elected representatives (pl. refer page no. 15, para no. 1.4 of the Slum Free City Planning Guidelines). At this stage it is also important to map land ownership details, as the land ownership/legal title may not belong to a single entity or the title(s) of



identified land may be disputed. In this exercise, ULBs should involve elected representatives, NGOs, CSOs, and CVTC/Coordinating group of CVTCs.

- iii. **Identification of vacant land:** Vacant land area that could be used for resettlement purposes (only in the case where in-situ development is not possible) will also need to be identified. Special attention needs to be paid to the land-use proposed in the records and master-plans. A strategy for redevelopment of these lands should also be proposed. In identification of vacant land sites, ULBs therefore need to involve elected representatives, NGOs and/or eminent social and urban experts, CVTC/Coordinating group of CVTCs.
- iv. **Slum Level Rough Mapping:** Rough mapping will include cross checking the demarcation of the slum boundary done (as mentioned in the para 2.2 above). It will demarcate the number and locations of tenements and households and other community facilities like balwadis, primary schools, primary health care centers (PHC), community work spaces/ non household based commercial activities, social development infrastructure like community halls, night shelter etc, toilets, water supply, road connectivity, sewerage, provision of waste disposal, topography and catchment areas etc. The data generated would contribute to Annexure I of the Part C of the formats circulated by NBO. In undertaking rough mapping of the settlement at the neighborhood level, ULBs should ensure that the community is engaged as this process will help the community understand better what surveys represent, familiarizing them with survey completion and developing slum profiles. This first rough survey will need to be validated through the community.
- v. **Household counting and numbering at the neighborhood level:** The ULB should ensure that the selected agency/ or lead NGO or the CBO representatives assisted by the identified community leaders and/or community volunteers mark the doors of the existing houses with unique house numbers. If the community volunteer is used for actual canvassing, then he/she should be paid for this as per the rates fixed by the ULB. Once rough mapping is done, numbers are matched with maps, and final house numbers are painted on the doors, it would confirm that every family living in the slum is included in the survey. This further ensures accuracy and establishes good faith and credibility among the community. Both, household counting and numbering would contribute to Annexure I of the Part C of the formats circulated by NBO.

Annexure I of the format, which contributes to creating the slum profile, also have other fields apart from the above like the demographic profile, economic and occupational status of households, coverage of social development/welfare schemes etc, which shall also be canvassed through participatory approach/tools like Focus

Group Discussions etc. The identified NGO/CBOs will help in design of these tools and also impart training for their use. It is also to be noted that some of the fields of Annexure I are aggregations of information collected through the detailed household survey as part of the Annexure II and III of Part C, such as demographic profile (population & health & literacy), economic status of households, and access to physical infrastructure (sources of drinking water and sanitation), etc. Slum MIS e-tool prepared by CGG on behalf of the M/o HUPA has the facility of picking up the data straight from the concerned fields of Annexure II, III. However, the data collected through the above participatory approach will serve to cross check and validate the information collected through the detailed household survey subsequently, and should not be considered redundant.

**c) Delineation of Slum Areas and Mapping of Slum Infrastructure by Total Station Survey:**

- i. After slum pockets are identified, detailed footprint of each listed slum settlement and parcel of vacant land available in the city will need to be mapped using total station survey, if required, which will be undertaken by a technical agency. NGOs/CBOs should undertake community mobilization in each slum pocket simultaneously with or prior to the total station/socio-economic survey in order to avoid conflicts arising from mis-communication with the slum communities during the survey process, as mentioned in para 1.5.2 of annexure IV of SFCP guidelines. It should however be noted that total station survey should be undertaken of those slums which have been prioritised for redevelopment, and for whom the task of DPR preparation is imminent. . The prioritized slums would be identified after the survey is completed.
- ii. Total station survey and other surveys should be a joint effort of the survey team of the ULB, GIS technicians of the Technical Agency/bidder/vendor and the Slum-free City Cell/Town Planning Wing of the Urban Local Body (ULB). The ULB personnel and representatives from NGOs/CBOs should accompany the survey team to guide them in identifying various infrastructure networks and render help in the collection of required data, as mentioned in para 1.5.4 of annexure IV of SFCP guidelines.

**d) Data base creation at household level on poverty and livelihood parameters (aligned with Step 2 of SFCP guidelines contributing to Annexure II &III of Part C of the Survey Format):**

- i. The objective of SFCP is not only to estimate the requirement of housing and infrastructure in the existing slums, but also to formulate /re-orient poverty reduction strategies. The survey formats have two distinct components. Annexure II collects

information on the profile of the slums of the city which is useful for estimating the requirements of housing and infrastructure in existing slums. Annexure III collects Household, Livelihood and Socio-economic data of each household living in the slums, for the purpose of poverty diagnostics. These surveys are an important input for developing or reformulating urban poverty alleviation strategies and schemes targeting the needy and poor in urban areas.

- ii. The Annexure II captures general information and detailed information comprising of land tenure status, types and structure of houses, sources of drinking water, existence of basic toilet facilities, schools, health facility, access to welfare benefits, ownership of consumer durables and livestock, migration details, income and expenditure details of households. The Annexure II would be administered after the Annexure 1 with a gap of not more than 2-3 weeks. However, depending upon the State's abilities and competence, the Annexure I and Annexure II can be administered simultaneously as well.

The Annexure III collects information on livelihood survey/profile with details of earning members, employment and earnings, sources of earning and livelihood, reasons for unemployment, preferred areas of training/skill enhancement and suggestions regarding imparting of training skills enhancement programmes, etc.

ULBs should ensure that the identified agencies, accompanied by community volunteers, wherever necessary, complete the process of survey by administering the Annexure II and III of Part C, at the household level. Community volunteers should also be utilized to facilitate biometric surveys as specified in the guidelines issued by Unique Identity Authority of India (UIDAI), subsequently, using the unique household numbers generated during the survey to merge the two sets of data.

- iii. After data entry of the survey and compilation of the information it should be presented before the communities for ratification to ensure that no households are left out in the survey process and the data collected is accurate. As an approval, the members would put the signature at the back of the data sheet. The data collected through participatory approach for all these aspects will serve as a reference point for community checking and validating. An unbiased dispute resolution mechanism should be put in place to deal with conflicts and disputes.
- iv. After the survey, the community should be involved in triangulating the information on land ownership and tenure status, collected during the household/socio-economic survey, which will lead to mapping land ownership and tenure status (as mentioned in para 2.2 of annexure IV of SFCEP).

Once the survey is over and the data is collected and compiled, slums will be categorized as non-tenable, semi-tenable, and tenable on the basis of infrastructure deficiency and poverty indicators.

### 3. Community Participation in Microplanning during preparation of DPR

After prioritization, the total station survey if required in the prioritized slums would be initiated by the technical experts, while the communities need to be engaged in conducting micro planning. Micro planning is a necessary part of the process of preparing the Detailed Project Report (DPR) as it reflects the needs and priorities of the people.

Micro planning, as the name suggests, is the plan for the smallest unit, which in the context of RAY is a slum. It is done by the community with facilitation from the government agencies, NGOs/CBOs and professional and technical agencies entrusted with the task of preparing the DPRs. In this process, capacities of community are strengthened to analyze their existing situation and to suggest some solutions, which are discussed with the officials and engineers. The best possible solution is agreed upon in consultation with the community from the technical point of view including viability and feasibility.

Micro planning is based on principles of inclusion and participation, which means that most marginalized sections in a slum, especially women, physically challenged, SC/STs are involved at each step. They should be included in groups and committees, which steer the process at the slum level. During the Survey phase of RAY, the groups such as Neighbourhood Groups (NHGs), Neighbourhood Committees (NHCs), Community Development Societies (CDS) etc. and local/slum based Community Based Organisations (CBOs) such as Resident Welfare Associations (RWAs), Self Help Groups (SHGs) and Co-operative organizations of the slum dwellers, would have already been identified, and mobilized and these would be engaged; in micro-planning as well..

Micro planning can be undertaken in all the three models of slum redevelopment, i.e in-situ, re-development and re-settlement.

#### 3.1. Micro-planning in in-situ slum redevelopment

**3.1.1. Preplanning and Environment building stage:** In this stage, the community groups should be trained to undertake the process of micro planning. In the process of conducting socio economic survey, there is a provision of data validation which is the last step of survey phase and should be treated as the first step of micro-planning. It is important to fix responsibilities of all the stakeholders at this stage. Capacity building of the team comprising officials from ULBs, NGOs, CBOs should begin with detailed understanding of each step of micro planning , participatory methods, including

Participatory Learning Action tools which would be employed in micro planning and formats that would be required for compiling the information. A nodal person/Chief facilitator from ULB should be identified to coordinate the process in slums.

**3.1.2.Preparing neighborhood groups/lane level maps of infrastructure:** The Community volunteers identified for a lane consisting of 30-40 households (as mentioned in point ii (a) under para 2.3.2) would prepare maps (Social and Resource) of the lanes showing houses with the numbers. In the survey phase, through rough mapping each HH would have been listed and given a number already. In this phase of micro-planning, social and resource mapping is undertaken on the same rough map (if available) to depict the existing infrastructure services with their condition. They would also identify infrastructure needs and priorities. This pictorial depiction will enable the community understand and assess their condition better and this process would serve as a second round of data validation.

**3.1.3.Preparing slum level consolidated map of infrastructure:** Community volunteers shall give their lane maps to the nodal person/Chief facilitator identified, who would then consolidate maps of all lanes and make the slum level map of infrastructure, showing total no. of HHs, infrastructure existing in the settlements, infrastructure to be repaired or rehabilitated, proposal for new infrastructure with priorities, etc. The information provided in the maps would be entered in the format enclosed at **Annexure 3**. The survey would have already taken place as per the NBO formats before the micro-planning, and so the findings of existing infrastructure can go directly under the column titled 'existing situation' in Annexure 3. The slum level information would be validated by the community to ensure that it captures the details of infrastructure deficiency and the needs of infrastructure of the lanes. As an approval, the members would put the signature at the back of the maps or consolidated formats. To reduce chances of a huge wish list to be drawn, the facilitators should be made aware of the standardized norms under various urban poverty alleviation schemes which can be discussed in the community while suggesting the priorities.

**3.1.4.Technical Assessment:** The slum level maps/compiled information would be handed over to the ULB who would get the plans assessed technically by the technical experts and concerned line departments. A visit to slums for physical verification and measurement should be undertaken. At this time, community should be engaged in transects with the technical team to give clarifications, if needed and get the opinions and advice of the experts. The technical team should give their views against the proposal received from the community and the team would go to the community for consultation. This consultation process would entail discussions on the proposals vis-à-

vis the technical feasibility. The team from ULB should inform people about the proposals that were accepted or not accepted with appropriate reasons. A process of negotiation would be initiated. A majority (70%) of the community should put their signature on the accepted proposals, which would be finalized by the ULB. The majority should include all the castes and social groups in slums. It is suggested that a disaggregated data representing poor and weaker sections should be taken into account. In this meeting, provision of services should be discussed with detailed O & M plan (**Annexure 4**), so that services remain in good conditions and people willingly pay for the maintenance of services and infrastructure created.

All the steps mentioned above are applicable for plans related to in-situ up-gradation model. Community Participation in re-development and re-settlement models is more challenging than for in-situ up-gradation as mentioned below:

### 3.2. Micro-planning in slum re-development

**3.2.1.** In this model, community should be engaged in developing blue-prints of infrastructure including dwelling units. The allotment of dwelling units, entitlement of plots should be discussed with the community. The methods of financial contribution should be decided at the time of preparing the blue print to build ownership amongst the community.

### 3.3. Micro-planning in re-settlement/re-location model

**3.3.1.** In this model, the facilitating agencies should develop a plan with people keeping in mind the following aspects:

- 3.3.1.1. Their present and proposed livelihood option in the new settlement areas;
- 3.3.1.2. The housing options (types);
- 3.3.1.3. The facilities provided to them –Water, Sewerage, toilets, latrines, street lights;
- 3.3.1.4. The facilities related to education, health, recreation, etc;
- 3.3.1.5. Beneficiary contribution for the same and
- 3.3.1.6. Plans for weaker and disadvantaged groups (old, infirm and physically challenged), etc.

It should be kept in mind that social and kinship ties, as far as possible, are retained unbroken in the re-development and resettlement models. **The identified NGOs would be expected to explain the nature of legal rights being assigned to the slum dwellers. and also explain to them their legal obligations.**

4. **Community Participation in the Operation and Maintenance of the created assets**

This phase will entail the formation and Registration of Housing Society in the community, which will be facilitated by the Community Based Organisations (CBOs). **Formation of group housing societies is essential as it is an effective mechanism to ensure that the assets remain with the intended beneficiaries. In addition these associations in collaboration with ULBs will be able to ensure proper upkeep and maintenance of the created assets.** The housing society should implement the O&M plan, which community had agreed upon, by collecting the contributions from amongst themselves. The ULBs would provide support to the housing society in maintaining the services and infrastructures created and encourage the community by making contribution, beyond a certain necessary minimum, in a ratio to what the community provides for itself.

**Roles of SLNA, ULBs, Cells, NGOs and CBOs in facilitating community participation  
in community self survey in RAY**

**1. Role of state level nodal agency**

- 1.1. To support the establishment of the RAY technical cell at city to coordinate the entire process of community self survey ;
- 1.2. To identify state level agency, which may be a parastatal or a Non Governmental Institution to be the incubators of capacity building of state level personnel, ULB officials, UPA cells of the city level and lead NGOs;
- 1.3. To define modalities to converge parallel schemes of the state Government on aspects of urban poverty alleviation, slum up-gradation/re-development and community participation;
- 1.4. To work out modalities for easy and timely release of funds to the selected NGOs and other CBOs, for their work.

**2. Role of ULBs**

- 2.1. To help in formation as well as in strengthening of UPA Cells at the city level
- 2.2. To identify and short list NGOs/CBOs (city and slum level);
- 2.3. To adopt the community self survey model with the UPA cells or hire professional agencies assisted by Lead NGOs or select Lead NGOs for undertaking the survey assisted by the RAY city technical cell
- 2.4. To organize workshops at the city level for all stakeholders, City level NGOs and CBOs
- 2.5. To create a complete and updated list of slums (based on an existing list) through a consultative process involving elected representatives, NGOs/CBOs , Academic and Research Institutes working on urban issues etc
- 2.6. To ensure that all slum pockets identified on the satellite image are included in the list after verifying.
- 2.7. To involve NGOs and/or eminent social and urban experts, City Volunteer Technical Corps (CVTC)/Coordinating group of CVTCs in identification of Vacant land areas that could be used for resettlement purposes.



- 2.8. To ensure interface between consultants (if hired under RAY cell) and NGOs and CBOs at the city and slum level respectively;
- 2.9. To set up a grievance redressal mechanism at the city level to address grievances of the beneficiaries in the process of planning and implementation of the scheme;
- 2.10. To evolve mechanisms for joint review and plan meetings of Cells, Agencies, NGOs (city level, slum based CBOs) on a regular basis to facilitate implementation of the scheme with community cooperation;
- 2.11. To constitute an advisory group on community participation;
- 2.12. To fix the criterion for the categorization and classification of slums through a consultative process involving elected representatives, NGOs, Academic Institutions, and other experts for slum redevelopment/ slum up-gradation options; and
- 2.13. To ensure developing a framework for slum redevelopment, including phasing of slums through consultative process involving elected representatives, NGOs, Academic institutes, experts.

### 3. **Role of Lead NGOs**

- 3.1. To act as a bridge between the ULBs and slum based CBOs and the community; and for this purpose to assist the UPA cell or the professional agency (as the case may be) in conducting and managing the community self survey, including the task of capacity building, trainings of the municipal staff and the community volunteer; or to Conduct the survey, if so assigned by the ULB, through involvement of the community by engaging slum level CBOs.
- 3.2. To support ULBs in identifying slums and slum pockets and in identification of probable vacant land sites;
- 3.3. To assist in undertaking ground truthing of slum pockets identified on the satellite image with the help of CBOs;
- 3.4. To advise ULBs on various methods of community participation with regard to preparation of slum specific plans.
- 3.5. To support ULBs to identify and engage active CBOs, working in the identified slum areas; or to do the identification and engagement of the CBOs, if assigned to do so by the ULB;

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- 3.6. To disseminate information on RAY through pamphlets and posters highlighting the provisions of RAY;
- 3.7. To ensure that for every 30-40 households, one community mobiliser/volunteer is selected /deputed for undertaking slum free city planning survey in each slum;
- 3.8. To create or strengthen community structures like 'Neighborhood Groups (NHG), Neighborhood Committees (NHC) and Community Development Societies (CDS)
- 3.9. To build capacities of ULB functionaries, and other stakeholders for supporting and facilitating the conduct of slum surveys, slum specific plans, etc;
- 3.10. To provide inputs for identification of the methodologies for community participation like- questionnaires, interviews, observations, Focused Groups Discussions (FDGs) and Participatory Learning Action tools;
- 3.11. To build a wider network with Civil Society Organizations (CSOs) to effectively engage in the process of planning and implementation of 'Slum Free City Plans';
- 3.12. To suggest mechanisms of promoting transparency and accountability to various stakeholders, like ULBs, slum based CBOs, urban poor/slum dwellers, and other marginalized community groups, in programme implementation of RAY;
- 3.13. To promote convergence with other city wide processes supported by other development schemes, programmes and mission, e.g. CVTC and CTAGs, which have been formed under JNNURM;
- 3.14. To promote involvement of citizen's forums, area sabhas, ward committees and institutionalization of process for community engagement;
- 3.15. To collate and ensure that the data collected at the slum level is ratified by the CBOs/ community structures before finalization of data at the ULB level for further analysis;
- 3.16. To provide inputs and support in categorizing and classification of slums based on the socioeconomic data, spatial data as per the GIS manual/guidelines and the planning guidelines.
- 3.17. To facilitate the process of microplanning in the selected slums with the objective of preparing the DPR. This would involve the participation of the community in the following activities:
  - Participation in total station survey
  - Facilitating development of community proposals and their technical feasibility including negotiating for change in existing layouts to create more road and open spaces.

- Verification of proposal and final ratification
  - Finalization of models (in situ, resettlement and relocation)
- 3.18. To provide support in prioritizing and developing the framework for slum redevelopment, including phasing of slums.
  - 3.19. To assist ULBs and community structures in implementation of slum redevelopment/up-gradation/ re-location projects including infrastructure and housing development;
  - 3.20. To assist the households in accessing institutional credit by supporting them in doing the necessary documentation and meeting other requirements of the lending institutions
  - 3.21. To assist the ULBs in establishing suitable mechanism for engaging civil society and community in the process of slum free city planning.
  - 3.22. To create sustainable community structures for maintenance of created assets example setting up of group housing associations etc.
  - 3.23. To ensure rigorous Monitoring & Evaluation at each stage of the Survey on Slum Free City Planning by doing periodic reviews through social audits, concurrent evaluations and public hearings etc.

#### 4. **Role of Slum Based CBOs**

- 4.1. Identification and listing of beneficiaries through participatory tools, such as FDGs, group meetings, etc.;
- 4.2. To create and/or strengthen the community based structures such as NHG, NHC and CDS, etc.;
- 4.3. To identify community volunteers to facilitate the accurate data gathering and community involvement in the slum-surveys;
- 4.4. To encourage and enable community groups including marginalized sections (such as SCs/STs, physically challenged, women headed households, minorities, etc) to participate in SFCP activities at various stages, including planning, implementation, monitoring, evaluation and social audit;
- 4.5. To verify that all slum households of the identified pockets are included in the list;
- 4.6. To create an enabling environment by information dissemination and facilitate a pre-survey process by engaging communities to undertake the following points:

- 4.6.1. Rough mapping of slum settlement;
- 4.6.2. Household counting and numbering;
- 4.6.3. Mapping the occupation or existing footprints of tenements, etc.
- 4.7. To undertake/assist household, livelihoods and socio-economic surveys in the slums to (as identified by the ULBs) after the capacity building inputs have been received, at each stage, i.e. rough mapping, total station survey, livelihood & detailed socio-economic survey.
- 4.8. To undertake the process of ratification of the data (after the preliminary compilation at the ULB level) with the slum dwellers to ensure that data is correct and that no households have been left out in the survey process;
- 4.9. To support the city level NGOs or Cells to verify the probable vacant land sites.
- 4.10. To involve the community in triangulating the information on land ownership and tenure status, collected during the household/socio-economic survey, which will lead to mapping land ownership and tenure status;
- 4.11. **To undertake microplanning and assist in DPR preparation;**
- 4.12. To engage the community in developing the appropriate model for slum redevelopment/up-gradation and relocation;
- 4.13. To assist the agency in implementing slum redevelopment/up-gradation/relocation plans by working closely with the community so that the community takes the ownership of the assets created
- 4.14. To help the households to access institutional credit by supporting them in doing the necessary documentation and meeting other requirements of the lending institutions
- 4.15. To facilitate in creating a residents association of the slum dwellers in the upgraded /redeveloped/relocated sites a devise appropriate structures to ensure proper maintenance and upkeep of assets created.
- 4.16. To facilitate periodic reviews through social audits by community representatives.

\*Note: The community volunteers will be for assistance and not replace the canvassers of the survey agency. If the CBO is responsible for the survey, and they do not engage canvassers, and community volunteers are used to canvas, they will be paid for their canvassing role per format.

5. **Criterion of selection for the lead NGOs**

- 5.1. The NGO should be registered under the Indian Societies Registration Act/ Indian Trust Act/ Indian Religious and Charitable Act/ or as a non-profit company under the Companies Act or the relevant state Acts for more than five years;
- 5.2. An NGO blacklisted or placed under funding restriction by any Ministry or Department of the Government of India (GoI) or CAPART or by the State Government or its agency will not be eligible;
- 5.3. Trustees/Board members should have wide and cross sectoral experience;
- 5.4. NGOs should not have any political affiliation which means that:
  - The head of the NGO and its employees should not have a direct relationship with elected representatives such as MPs, MLAs, and councilors of ULBs/ elected representatives of PRIs;
  - The head of the NGO and its employees should not themselves be elected representatives.
- 5.5. NGOs should have the following capacities:
  - Engaging CBOs
  - Experience of working on social sector on the issues like **poverty, water and sanitation, housing and livelihood and education especially in urban areas**. Preference should be given to those NGOs with expertise in housing and slum development.
  - Experience of trainings and capacity building in community mobilization
  - Skills related to community mobilization through the use of participatory approaches
  - Experience on social accountability tools and methodologies
  - Experience to work with a variety of stakeholders including the Government and Media
  - Suitable human resources in the field of social development, livelihoods, and urban planning.

6. **Criterion of selection for Slum based CBOs**

- 6.1. The CBO should be registered under the Indian Societies Registration Act/ Indian Trust Act/ Indian Religious and Charitable Act/ Co-operative Act/ Bombay Non-Trading Corporation Act, 1959 or the relevant State Act. However, if any CBO(s) are not yet registered but are active as CBOs in a slum/location, lead NGO shall take the necessary steps to get them registered. CBOs include Resident Welfare Associations

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(RWAs), Self Help Groups (SHGs) and Co-operative organizations of the slum dwellers. A CBO blacklisted or placed under funding restriction by any Ministry or Department of the Government of India (GoI) or CAPART or by the State Government or its agency shall not be eligible for applying under the scheme;

6.2. CBOs should have been in existence preferably for a period of 3 years;

6.3. CBOs should not have any political affiliations which means that-

- The head of the CBOs and its employees should not have a direct relationship with the political representatives such as MLAs, MPs, and councillors of ULB/elected representatives of PRIs.
- The head of the CBO and its employees should not themselves be elected representatives

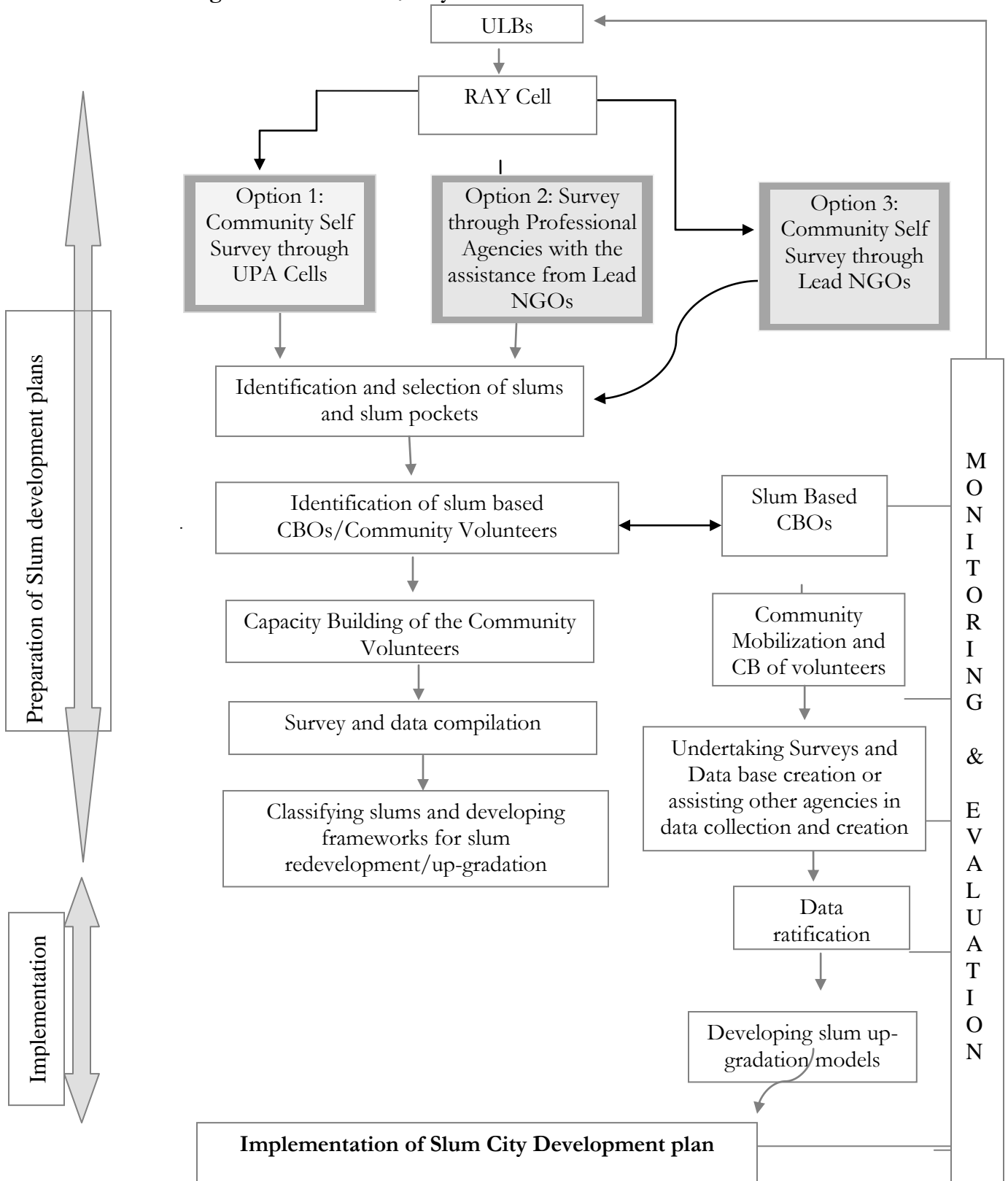
6.4. CBOs should have :

- Familiarity with the proposed/identified slums in which the survey would be carried out
- Acceptance by a variety of stakeholders in the community.
- Experience of working on social sector issues like poverty, water and sanitation, housing, livelihood, education, health etc.
- Skills related to community mobilization through the use of participatory approaches

\*\* Payment to the lead NGOs may be made on the basis of input and output, for example in the monthly payment/quality payment, 50% on activity and 50% on deliverable, which are part of the approved activity plan.

Annexure 2

Diagram: Role of Cells/City Level NGOs and Slum Based NGOs



Micro-Planning format for the Slum

Name of the Slum----- City----- State-----								
<b>S. No</b>								
<b>1</b>	<b>Basic Info</b>							
	Total No. of HHs							
	Total Population							
		<b>Existing Situation</b>	<b>Requirement</b>	<b>Reasons for requirements</b>	<b>Details of Community's O&amp;M Plans as well as contribution as per Annexure 4</b>	<b>Technical team's (TT) inputs</b>	<b>Final list suggested by TT</b>	<b>Final list after approval by the community</b>
<b>2</b>	<b>Housing Status</b>							
2.1	<b>Dwelling units (DUs)</b>							
a	Kuchha							
b	Semi Pucca							
c	Pucca							
d	Total							
2.2	<b>DUs with electricity</b>							
a	Kuchha							
b	Semi Pucca							
c	Pucca							



d	Total							
<b>3</b>	<b>Physical Infrastructure</b>							
3.1	No of indiv taps							
3.2	No of public taps							
3.3	No of tube wells							
3.4	No of bore wells							
3.5	No of handpumps							
3.6	indiv taps (working and not working)							
3.7	Public taps (working and not working)							
3.8	Bore wells(working and not working)							
3.9	Handpumps (working and not working)							
3.10	Connectivity to City wide water supply							
a	not connected							
b	partially connected							
c	fully connected							
<b>4</b>	<b>Drainage and sewerage facilities</b>							
4.1	No of HH having access to storm water drainage							
4.2	No of HH having access to under ground							

	drainage/sewer lines							
4.3	No of HH having access to Digester							
4.4	No of HH not connected to sewer or digester							
4.5	Connectivity to city wide storm water drainage							
a	not connected							
b	partially connected							
c	fully connected							
4.6	Connectivity to city wide sewerage system							
a	not connected							
b	partially connected							
c	fully connected							
5	<b>Road/lane</b>							
5.1	Approach road							
a	Motorable kucha							
b	motorable pucca							
c	non motorable kucha							
d	non motorable pucca							
5.2	Internal road							
a	Motorable kucha							
b	motorable pucca							

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c	non motorable kucha							
d	non motorable pucca							
6	<b>Sanitation</b>							
6.1	Community latrine							
a	no of HH with septic tank flush							
b	no of HH with service latrine							
c	no of HH with pit							
6.2	Shared latrine							
a	no of HH with septic tank flush							
b	no of HH with service latrine							
c	no of HH with pit							
6.3	Own latrine							
a	no of HH with septic tank flush							
b	no of HH with service latrine							
c	no of HH with pit							
6.4	Open defecation							
7	<b>Street lights</b>							
7.1	Present							
a	number							
b	functional							
c	non functional							

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7.2	Not present							
8	<b>Education</b>							
8.1	Anganwadi							
8.2	Pre school							
8.3	Primary school							
8.4	High school							
8.5	Adult education centre							
8.6	Non formal education centre							
9	<b>Health</b>							
9.1	health post							
9.2	PHC							
9.3	Govt Hospital							
9.4	Maternity centre							
9.5	Private clinics							
10	<b>Community and welfare centers</b>							
10.1	Community centre/hall							
10.2	Livelihood/production centre							
10.3	Vocational training centre							
10.4	Street children rehab center							
10.5	old age home							
10.6	night shelter							

Operation and Maintenance Format

Name of the Slum ----- City-----State -----								
S. No.	Items	Responsibility	Frequency of operations	Likely Cost /month	How the cost will be met	Who will collect and maintain beneficiary amount	Supervision	Remarks
1	<b>Road</b>							
1.1	Sweeping in lanes							
1.2	Sweeping on the main road							
2	<b>SWM</b>							
2.1	Door to Door collection							
2.2	Transportation links							
3	<b>Water Supply</b>							
3.1	Hanpump (small repairs)							
3.2	Hanpump (big repairs)							
3.3	Tube wells/bore wells/public taps							

	(small repairs)							
3.4	Tube wells/bore wells/public taps (big repairs)							
3.5	Platforms of handpumps and Standposts							
<b>4</b>	<b>Toilets/latrines</b>							
4.1	Maintenance of toilets (minor repairs)							
4.2	Maintenance of toilets (major repairs)							
<b>5</b>	<b>Drains and Sewer lines</b>							
5.1	Local small drains							
5.20	Big/Major drains							
5.3	Sewers							
<b>6</b>	<b>Street Lights</b>							
<b>7</b>	<b>House Maintenance</b>							