



Rajiv Awas Yojana (RAY)

Guidelines for Community Participation

2013 - 2022



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



Table of Contents

Preface	iii
Abbreviations.....	v
1. Introduction.....	1
2. General Administrative Arrangements for Community Participation in RAY.....	1
3. Community Participation in Survey leading to preparation of Slum Free City Plans of Action (SFCPoAs)	3
4. Community Participation in Micro-planning during preparation of DPR.....	7
5. Community Participation in Implementation	10
6. Community Participation in the Operation and Maintenance of the created assets	14
7. Conclusions.....	14
Annexure 1: Role of Cells/City Level NGOs and Slum Based CBOs	15
Annexure 2: Role of ULBs for ensuring community participation in RAY.....	16
Micro-planning & Preparation of DPRs	15
Implementation & Construction	15
O&M	15
Annexure 3: Role of Lead NGOs and Slum based CBOs in Facilitating Community Participation in RAY	18
Annexure 4: Indicative Micro-Planning format for the Slum	23
Annexure 5: Indicative Operation and Maintenance Plan Format	33

Preface

Rajiv Awas Yojana (RAY) envisages a “Slum Free India” with inclusive and equitable cities in which every citizen has access to basic civic and social services and decent shelter.

In pursuance of this vision of “Slum free India”, Rajiv Awas Yojana (RAY) was launched in June 2011 in two phases; the preparatory phase for a period of two years which ended in June 2013 and implementation phase. Central Government has approved the implementation phase for the period of 2013-2022.

RAY envisages a two-step implementation strategy i.e. preparation of Slum free City Plan of Action (SFCPoA) and preparation of projects for selected slums.

RAY Scheme Guidelines issued by the Ministry broadly describe the Scope, Coverage, Reforms, Implementation Approach, Central Assistance, Administrative and Implementation structure and Monitoring mechanisms under RAY.

However, to assist States/ULBs to implement RAY, the following operational guidelines have been prepared by the Ministry:

1. Guidelines for Reforms
2. Guidelines for GIS, MIS and GIS-MIS integration
3. Guidelines for preparation of Slum-free City Plan of Action
4. Guidelines for Community Participation
5. Guidelines for preparation of Detailed Project Reports
6. Guidelines for Project Management
7. Guidelines for Social Audit
8. Guidelines for Capacity Building
9. Quality Assurance Manual

The above mentioned guidelines are uploaded on the Ministry's website at www.mhupa.gov.in.

Operational guidelines provide a general reference framework for implementation under RAY. Feedback and suggestions are welcome and may be posted at Ministry through RAY Vaarta (www.mhupa-ray.gov.in), an interactive website which serves as a common platform for discussions and dissemination of information.

Abbreviations

CAPART	Council for Advancement of People's Action and Rural Technology
CBO	Community Based Organisation
CSMC	Central Sanctioning and Monitoring Committee
CSO	Civil Society Organisation
DPR	Detailed Project Report
DUs	Dwelling Units
FGD	Focused Group Discussion
GIS	Geographical Information System
GoI	Government of India
HH	Households
MIS	Management Information System
MLA	Member of Legislative Assembly
MoHUPA	Ministry of Housing and Urban Poverty Alleviation
MP	Member of Parliament
NBO	National Building Organisation
NGO	Non Government Organisation
NULM	National Urban Livelihood Mission
O&M	Operation and Maintenance
PHC	Primary Health System
RAY	Rajiv Awas Yojana
RWA	Resident Welfare Association
SC	Scheduled Caste
SFCPoA	Slum Free City Plan of Action
SHG	Self Help Group
SJSRY	Swarna Jayanti Shahari Rojgar Yojana
SLNA	State Level Nodal Agency
ST	Scheduled Tribe
TSS	Total Station Survey
ULB	Urban Local Body

1. Introduction

1.1. The Guidelines on Community Participation aim to describe the process of engaging communities in all the stages of RAY, including planning, survey, preparation of Slum Free City Plan of Action (SFCPoA), micro planning during preparation of DPR, implementation of projects and operation and maintenance of the created assets. It is imperative to initiate a process, which is inclusive and participatory right from the beginning to build stake and ownership of people contributing to their empowerment. To facilitate this process, the role of ULBs, RAY Technical Cells, city level NGOs and CBOs (slum dwellers associations) becomes vital.

2. General Administrative Arrangements for Community Participation in RAY

2.1. For facilitating community involvement, the following administrative arrangements are suggested:

- a. **Role of SLNA:** At the State level, the State level Nodal Agency (SLNA) supported by the State level RAY technical cell should be responsible for guiding and monitoring the exercise of preparation of SFCPoA, micro-planning during preparation of DPR and implementation of the projects while ensuring the involvement of the community. The suggested responsibilities of the SLNA with specific reference to community participation are:
 - I. To ensure that slum dwellers associations (community based organizations) at the slum level and the slum dwellers' federations at the city level are established;
 - II. To identify existing community based organizations and to utilize them under RAY;
 - III. To establish systems and processes (open and transparent) for selection of NGOs by the ULB and mechanisms for timely payment for the work done by them;
 - IV. To facilitate linkages with the institutions for imparting capacity building on community participation to state level personnel, ULB officials, RAY technical cells and lead NGOs.

- b. **Role of ULBs:** At the city level, the ULB would drive the entire process of community participation through its RAY Technical cells. The ULBs can choose to facilitate community engagement in the process of the preparation of Slum free City Plan of Action (SFCPoA) including conducting the survey, micro-planning during DPR preparation and implementation of the projects by choosing any of the following options :

Option 1: ULBs have social development expertise in RAY Technical Cell

In the above situation, the ULBs may choose to facilitate community participation in survey, micro planning during preparation of DPR through their existing community volunteers or select community volunteers as per the existing rules of the ULB, while the role of the social development expert in RAY city technical cell would be to undertake the responsibility of day to day monitoring of the data collection, compilation, ratification and analysis.

Option 2: ULBs lack social development expertise in RAY Technical Cell

- a. ULBs may choose to engage Lead NGO(s) identified through open and transparent procedures for conducting surveys and micro planning during preparation of DPRs by facilitating community participation. 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 societies, slum dwellers associations 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.
- b. An alternative to the above is that the ULBs may decide to conduct the socio economic survey and micro planning during preparation of DPR through a professional agency with the requisite expertise hired through an open transparent procedure. If professional agencies do not have capacities to involve the community, the ULB would need to engage a lead NGO /slum level CBOs to ensure that the community is meaningfully involved in the entire process of RAY.

The diagrammatic representation of all these options is in the **Annexure 1**. The financial norms for the above mentioned two models are explained in the Minutes of the 2nd CSMC Meeting under RAY held on 19.01.2012.

2.2. It may also be kept in mind that the services of NGO(s)/CBOs are only to assist the ULB in institutionalization of the processes of community engagement and initial establishment of the appropriate community structures at the slum level. It is expected that the State/ULB will take the necessary steps to create the required Urban Poverty Alleviation Cadre under RAY as this is one of the mandatory reforms envisaged under RAY. It is also expected that the foundation laid with the assistance of NGO(s)/CBOs would be built upon by sustained efforts of the States and ULBs so that the slum dwellers' association/federation is given the space to engage formally with the ULBs /States and they become an important stakeholder in the decision making processes.

2.3. The role of ULBs in facilitating community engagement is critical for the success of the scheme and it is envisaged that they would provide the leadership in establishing and nurturing community participation processes and structures. The key responsibilities of the ULB in this regard are illustrated in **Annexure 2**. ULBs should establish a grievance redressal mechanism by setting up a grievance redressal committee at the city to resolve issues, if any, related to ensuring community participation. This grievance redressal committee should be headed by the member nominated by the Municipal Commissioner; other members should include RAY nodal officer, Municipal Engineer, Social Development Specialist of RAY technical cell. The criterion and process of selection of lead NGOs and CBOs and their possible payment mechanisms has been outlined in **Annexure 3**.

3. Community Participation in Survey leading to preparation of Slum Free City Plans of Action (SFCPoAs)

3.1. Community engagement in survey comprises of the following steps involving the community.

- a) Environment building before undertaking slum survey;

- b) Identification, demarcation of slum areas, vacant lands & its ownership on the geo-referenced City Base Map;
- c) Data ratification in the slums.

a) Environment building before undertaking slum survey:

- i. At the city level:** The environment for the survey should be created by organizing an orientation workshop with all concerned stakeholders like council members, municipal officials, community organizers, representatives of existing community based organizations ward committee/area sabhas etc. to explain the objective of the slum survey.
- ii. At the slum level:** Survey has to be done at the community level involving slum/community based organizations (CBOs) like, Self Help groups, Youth groups, other structures formed under NULM working in the area with ward level ULB officials. The following key steps should be taken by the ULBs to build a conducive environment in the slum before initiating the survey by ensuring:
 - Identification of marginalized groups (such as SCs/STs, differently abled, women headed households, minorities etc) for ensuring their active participation through CBO.
 - A meeting of the community to explain to the slum dwellers the objective of slum survey to reduce any insecurity among the community members.
 - 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. Care should be taken to ensure that the volunteers/facilitators/community leaders from the community are acceptable to the community and that there are adequate representatives from marginalized groups including women. Training and adequate guidance to the slum based CBOs/community volunteers by the concerned cells/ agencies/Lead NGOs, as the case may be, so that they understand the objectives of the exercise, the reasons for community involvement, their own roles, as also the various tools for

collecting data, including explanation on the formats and guidelines to be used for the survey.

This 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 the survey. At this stage, the communities should be made aware of the importance of slum level associations under RAY. These associations and federations are envisaged for facilitating participation at the community level. The participation and involvement of the slum dwellers is required from the stage of survey and planning through implementation and O&M. It is possible that these community based organizations do not exist in slums at the time of initiating the survey, but these may be formed at the survey stage and nurtured all along so that at the time of implementation of the project and during O&M phase, these associations can play a significant role.

b) Identification, demarcation of all slum areas and vacant lands and its ownership on the City Base Map, as applicable:

- i. **Preparing list of slums:** The preparation of the updated list of slums should be done in consultation with concerned stakeholders including the elected members of the ULB, MPs, MLAs, academic institutes working on the urban issues, NGOs/CBOs so that the list is comprehensive and includes all the pockets of slums that meet the criteria specified under RAY. The final list prepared should be publicized and vetted by the community. To facilitate this, ULB should develop a mechanism for inviting objections/suggestions by displaying or publishing the list of updated slums.
- ii. **Demarcating slum boundaries on the GIS City Base Map, as applicable:** After finalization of the updated list, each slum will be marked on the city base map as specified in the “Guidelines for GIS, MIS and GIS-MIS Integration” circulated by the Ministry. The slum boundaries would then need to be cross checked in the field along with the involvement of local community and ULB.

- iii. **Identification of vacant land:** In identification of vacant land sites, ULBs need to involve elected representatives, NGOs and CBOs. An inventory of all possible vacant lands that could be used for slum relocation or for new housing under the preventive strategy should be prepared and shared with the stakeholders mentioned above.
 - iv. **Slum Level Rough Mapping:** Rough mapping at slum level enables to freeze the slum boundary after cross checking the demarcation of the slum boundary if done through GIS, slum area and no. of households. It helps to demarcate the number and locations of tenements and households and other community facilities existing in the slum. In undertaking this rough mapping at the slum 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 slum neighbourhood level:** The ULB should ensure that the identified community volunteers representing a CBO at the slum mark the doors of the existing houses with house numbers. Once rough mapping is done, numbers given are matched with maps and the data that ULB may have, and final house numbers are marked on the doors, it would confirm that every family living in the slum is included in the survey. This process further ensures accuracy and establishes good faith and credibility among the community. At this time, the houses which are unoccupied and locked for a long period of time should also be identified with the help of community. This data will help the ULBs to draw future course of action regarding the vacant houses.
- c) Data Ratification at the slum level:**
- i. 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 and the data collected is accurate. In case, some houses are left unnumbered, the community representatives should ensure that the left out houses are numbered before data is submitted to ULBs. As an approval, the members of the community/members of the CBO

(slum dwellers association) identified should sign the compiled data sheet attached. 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 of land ownership and tenure status. This would also serve as the baseline information as regards the legal entitlements to be given at a later stage by the ULB or the concerned authority.

- ii. In the slums where the survey has already been carried out by the agencies without the participation of community, it is imperative to get the data verified and validated by the community. For this, camps and meetings should be organized with prior information to the community by ULBs in slums with the purpose of validating the data.

Once the survey is over and the data is collected and compiled, slums will be categorized as non-tenable, semi-tenable, and tenable, as explained in the “Guidelines for the Preparation of Slum Free City Plan of Action”. After the categorization, the slums would be selected for intervention on the basis of infrastructure deficiency and poverty indicators.

4. Community Participation in Micro-planning during preparation of DPR

- 4.1. Micro-planning is a necessary component of the process of preparing the Detailed Project Reports (DPR) as it reflects the needs and priorities of the people.
- 4.2. Micro-planning is done by the community with facilitation from the ULBs, NGOs/CBOs and professional and technical agencies entrusted with the task of preparing 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.
- 4.3. Micro-planning involves the following steps:
 - 4.3.1. **Preplanning and Environment building stage:** In this stage, the members of the CBO should be trained to undertake the process 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, and CBOs should begin with detailed understanding of each step of micro-planning, participatory methods, which would be employed in micro-planning and formats that would be required for compiling the information. A nodal person/Chief facilitator from the ULB/RAY Technical Cell should be identified to coordinate the process in slums.

4.3.2. Identifying needs and priorities in the slum: To begin with, additional Infrastructure requirement sheet (part of revised Annexure I of NBO Survey Format) which is to be filled by Municipal Engineer should be the basis of discussions with the community. The discussions would yield to verification of existing infrastructure present in the slum with additional requirements. The Community members representing a CBO should prepare maps (Social and Resource) of the slum focusing on existing infrastructure services with their condition and additional requirement. The existing housing conditions shall also be mapped at this stage. The information provided in the maps would be entered in the indicative format enclosed at **Annexure 4**. As an approval, the members would sign the maps or consolidated formats. The map prepared should be corroborated with the maps prepared by the technical team engaged in preparing DPR.

4.3.3. Display of 3D view of the detailed Slum Base Map: To make community understand and assess their existing housing and infrastructure condition better and enable them to do the comparative analysis between existing and future requirements of housing and infrastructure, the ULBs may discuss 3D view of the detailed Slum Base Map (prepared in GIS using TSS data) and the proposed development models (layout plans) with the community. This can be made only for the cities with more than 3lakh population (as per 2011 Census) and for all the cities which were covered under preparatory phase. The details of preparing 3D view are mentioned in the “Guidelines for preparation of Detailed Project Reports” and “Guidelines for GIS, MIS and GIS-MIS Integration.” Preparation of 3D view is not mandatory but discretionary. The 3D data, if prepared, helps in facilitating discussions in the community on various layout plans pertaining to housing (single storied or multi-storied) and infrastructure. In case of proposed

development models, it is suggested to prepare 2 to 3 different models which will provide an opportunity to the community to select the most suitable option. The process would yield appropriate and affordable alternatives for layout, reblocking, spaces for livelihood etc. Community participation is very essential in this entire process as some houses may have to part with some land to allow infrastructure to be laid out. Broad plan for realignment may be discussed by the community before the technical feasibility is carried out so that conflicts can be avoided during the implementation phase.

4.3.4. During this stage, one of the following housing models would be identified and the role of NGOs and CBOs vis a vis models would be different as explained below:

- **Shelter upgrading:** For this, identifying credit linkages for incremental housing will be the important part of the plan and the role of NGO/CBO would be to support this by building linkages with the nearest bank under the guidance of the ULB.
- **Slum Redevelopment:** In case of slums where redevelopment has been decided as the development option, NGOs/CBOs would engage community in finalizing the details of the design including the number of storeys, space for social interactions etc.
- **Slum Relocation:** In case of relocation, the NGOs/CBOs should work closely with the community for smooth transition.

4.3.5. **Technical Assessment:** During the technical assessment by the ULB, a visit to slums for physical verification and measurement should be undertaken. At this time, community members should be engaged in transects with the technical team to give clarifications, if needed and get the opinions and advice of the experts. In this meeting, provision of services should be discussed with a detailed O & M plan (**Annexure 5**), so that services remain in good condition and people willingly pay for the maintenance of services and infrastructure created.

4.3.6. During this stage, allotment of the dwelling units should be discussed with the community and broadly agreed within the community. The process of allotment may be random or on a set of criteria (preference to differently abled/old/infirm people for the ground floor) which should also be agreed with in the community. A list of beneficiaries with their possible dwelling unit should be put for display in slums, giving time to beneficiaries for interchange of dwelling units, if desired.

5. Community Participation in Implementation

5.1. This phase will mark the implementation of the project with the involvement of community. Beneficiary led construction is encouraged under RAY for better implementation and monitoring.

5.2. The implementation phase requires selection of the contractors (if the model is not beneficiary led), management of the contract which may include execution of the physical works and/or supervision during execution followed by closure of contract. At this stage, it is imperative to build the capacities of CBOs to keep records of the meetings taking place in the community related to implementation of the project and other records as may be required. In addition to this, basic training of CBOs on checking the quality of materials should also be given. This role of capacity building of members of CBOs should be played by the ULB with the support from social development expert of the RAY technical cell. During this phase, efforts should be made by ULB and RAY cell to ‘formalize’ the CBOs as associations or registered organizations so that post project sustenance and ownership can be ensured.

5.3. Following two models are proposed during implementation phase. As the capacities of community and ULB are varied, any of the following models may be adopted:

5.3.1. Model 1: Communities are engaged in assisting the ULBs or any other implementing agency in monitoring and supervising the construction process

5.3.1.1. Once the contract is signed, the ULB engineer/nodal officer may arrange meetings with representatives from the community and the

contractor before work starts. During this meeting, the engineer/nodal officer will explain the details of the contract – the area to be covered, the services to be included, expected time for completing the work and the overall cost of the project. The engineer will introduce the contractor on site and the engineer’s site representative, explaining with whom community members should liaise. The contractor should display the contract information on the display board with the phone number of the contractor and liaison officer in a prominent position. Arrangements for the community representatives to regularly meet the contractor and the ULB engineer will be agreed at this meeting preferably at the time the engineer holds review meetings with the contractor, which should be held at least once in a month.

5.3.1.2. During the construction phase, social development expert in RAY Cell with the CBOs would be required to impart training engaged in checking the quality of materials bought and used, the work executed, checking key activities and procedures to know whether activities carried out are in accordance with the specifications. Community can interface with the grievance redressal committee established at the ULB through the CBO, if needed. Community can interface with the grievance redressal committee established at the ULB through the CBO, if needed.

During implementation, Social audits by the community can be undertaken as explained in “Guidelines on Social Audit under RAY” with a purpose to ensure that timely corrections can be made during the implementation phase.

5.3.2. Model II: Construction work of housing and slum level infrastructure is undertaken through engagement of the CBOs

5.3.2.1. In this model, the community would need support in organizing work, controlling finances and bring the work to a successful completion. Technical support in scheduling the work, purchase of materials, setting out of works will be required, which can be provided by the ULB.

5.3.2.2. The type of work to be undertaken through community contracting is a function of the skills available in the community and the community's willingness to undertake the works. In some cases, communities may hire specialist skills from outside their own community.

5.3.2.3. The value of contract may be assigned by ULB as per the norms laid out by the states /ULBs.

5.3.2.4. The internal processes and systems to procure services, goods and materials as well as managing the contract will have to be redesigned to be placed within the CBOs. CBOs will establish a procurement committee with women being at least two thirds of its members. They may take one person from the ULB as member in the committee. The ULB and/or NGO and/or CBO will provide training on quality testing of materials to the members of the procurement committee.

5.4. The management of contract includes execution of physical work and/or monitoring and supervision during implementation. The suggested modalities /processes are as follows:

- Community Contract may be signed by the Chairperson of the CBO and the Executive Engineer, or officer designated by the ULB for this purpose.
- A standard contract may be developed using a similar format to a small works contract, with a time for completion and a provision for stage payments. The community contract may allow for reasonable risks, such as delays due to bad weather and for settlement of disputes.
- A copy of the community contract must be displayed at a prominent place in the community so that the community is aware of the work to be undertaken and the costs involved.
- The ULB will give some advance to the CBO for procurement of materials and mobilization of labour and equipment. Further installments (3-4) would be released as per the milestones agreed in the contract agreement with a certification of quality and quantity of works executed.

- The ULB will provide technical support to the CBO during the execution of the works to ensure quality control and that the specifications both in terms of quality and quantity are being met.

5.5. Contract completion is an important aspect and involves the following key activities:

- The CBO will notify the ULB when it considers that works have been satisfactorily completed. The ULB Executive Engineer will arrange for verification of vouchers and will certify that the works described in the contract have been satisfactorily completed.
- Upon certification, the final payment will be made to the CBO and the contract will be closed.

The general conditions to facilitate successful implementation of community contracts are as follows:

- The community has to be well organized through a CBO or with representatives from all different groups within the slum. At least two thirds of the members should be women;
- The CBOs should preferably be at least six months old and has demonstrated that it holds regular meetings that are minuted;
- The CBOs should be accredited by the ULB or any other agency responsible;
- The CBOs may start its own savings and loan scheme, using its savings as loans. The process of forming and operating a community based savings and loan scheme builds up community solidarity and trust between members. The ULBs can support CBO in linking up with the financial institutions and maintaining assets created under the project;
- The CBO should have opened and successfully operated a bank account preferably for at least six months;
- The community needs to have members possessing construction skills. This is critical for the first few community contracts in a city, so that there are success stories which can give encouragement to other communities by providing “learning by doing” opportunities.

6. Community Participation in the Operation and Maintenance of the created assets

6.1. The CBOs (Slum Dwellers Associations) in collaboration with ULBs will be able to ensure proper upkeep and maintenance of the created assets. The ULBs would provide support to the Residents' Society/Association in maintaining the services and infrastructures created.

6.2. A bank account may be opened for O&M in the name of Residents' Society/ Association and an agreement can be signed and executed with ULB to undertake the O&M by specifying key tasks to be taken up by the community and the ULB. Central assistance under RAY is being extended for bearing a part of the O&M cost, which is up to 4% of the project cost. The contribution of GoI would be in the same proportion as that of the project cost (one time) with balance to be borne by the State/ULBs as per the State policy.

6.3. The maintenance fund should be utilized as a corpus fund and placed at the disposal of ULBs to administer, involving the communities. The association /society should implement the O&M plan, which community had agreed upon, by collecting the contributions amongst themselves for disposal of waste, cleanliness and maintenance of community toilets and other community assets such as centres and parks, facilitating the payment of electricity and water bills.

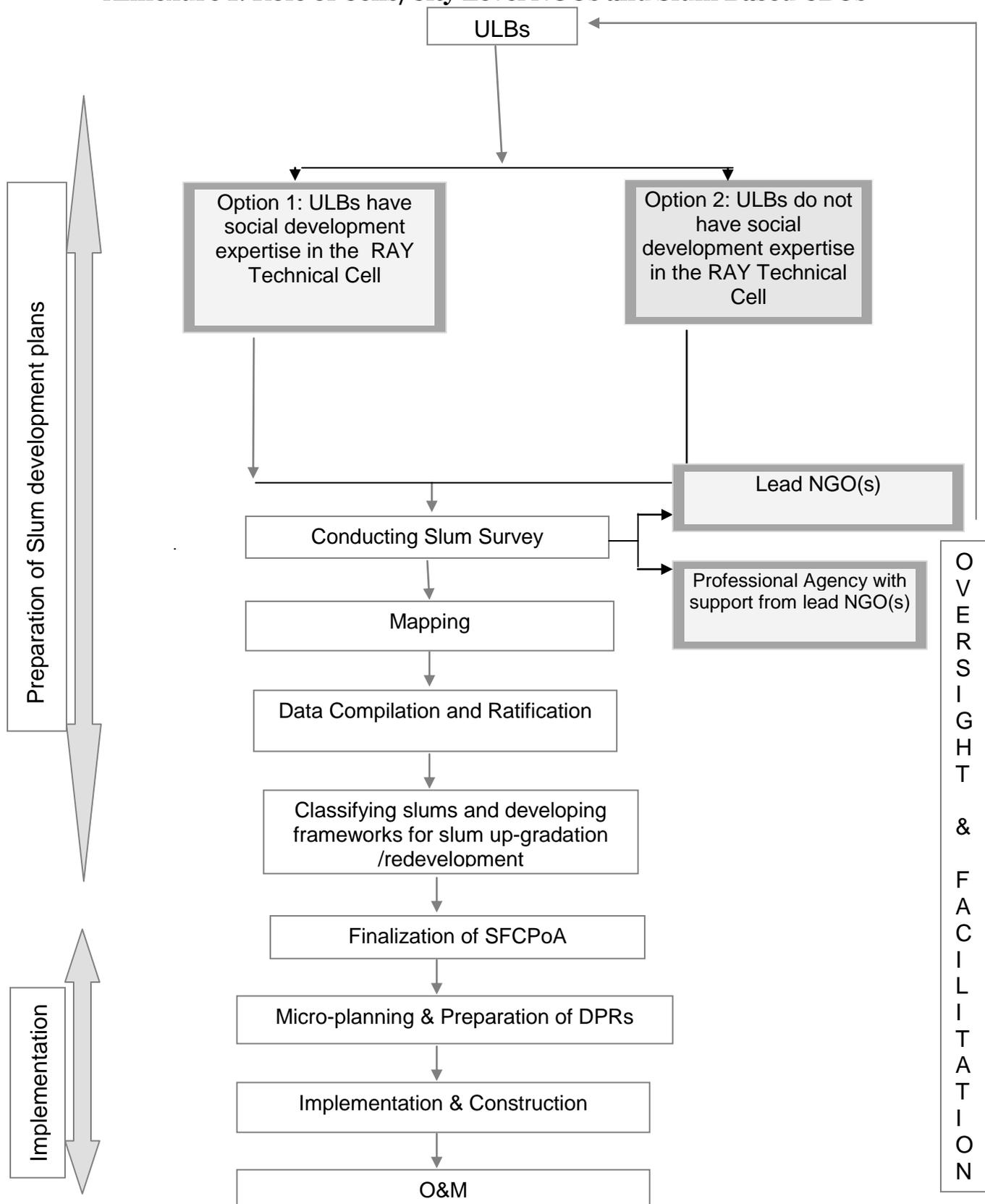
6.4. The records of the association such as minutes and payment receipts etc. should be properly kept in a file.

Conclusions

Community participation is one of the pillars of RAY and communities are seen as important partners in the process of preparation of SFCPoAs, micro-planning and implementation phase. To facilitate effective community engagement in all the stages of RAY, central assistance is being extended for engagement of NGOs/CBOs and strengthening RAY technical cells with the objective of enabling the institutionalization of sustainable community engagement processes and mechanisms.



Annexure 1: Role of Cells/City Level NGOs and Slum Based CBOs



Annexure 2: Role of ULBs for ensuring community participation in RAY

1. To help in formation as well as in strengthening of RAY Cells at the city level;
2. To adopt the community survey model with the RAY cells or hire professional agencies assisted by Lead NGOs or select Lead NGOs for undertaking the survey assisted by the RAY city technical cell;
3. To ensure formation of slum level associations at the slum level and the slum dwellers federations at the city level;
4. To ensure the data collected through surveys is entered in the MIS format; if the survey is done in house, ULB has the responsibility of collecting and feeding the data into the slum MIS tool. If the professional agency is hired for the survey, the same becomes the responsibility of professional agency and likewise if NGOs undertake the survey, the responsibility of feeding the data into MIS becomes the responsibility of NGOs;
5. To organize workshops at the city level for all stakeholders, City level NGOs and CBOs;
6. To ensure coordination between RAY Technical Cell and NGOs and CBOs at the city and slum level respectively;
7. To set up a grievance redressal committee at the city level to address grievances in the process of planning, preparation of slum free city plan of action, preparation of projects and implementation;
8. To evolve mechanisms for joint review and plan meetings of Cells, technical agencies, NGOs (city level, slum based CBOs) on a regular basis;
9. To ensure developing a framework for slum redevelopment/up gradation, including phasing of slums through consultative process involving elected representatives, NGOs, Academic institutes, experts;
10. To form CBOs and formalize them by registration as may be required;
11. To ensure technical support to the CBO during implementation phase in record keeping, maintaining accounts and technical aspects of the proposed construction activities, including training on technical specifications and quality control of construction, if the CBOs are engaged in contracting and construction process;
12. To link CBOs with the financial institutions;



-
13. To ensure monitoring of community engagement processes and ensuring documentation of the same.

Annexure 3: Role of Lead NGOs and Slum based CBOs in Facilitating Community Participation in RAY

1. Role of NGOs

1.1. Preparatory Phase activities leading to formulation of SFCPoA:

- a. To act as a bridge between the ULBs and slum based CBOs and the community; and for this purpose to assist the RAY technical cell or the professional agency (as the case may be) in conducting and managing the survey, including the task of capacity building on community participation; Conduct the survey, if so assigned by the ULB, through involvement of the community by engaging slum level CBOs;
- b. To support ULBs in identifying slums and slum pockets and in identification of probable vacant land sites;
- c. To assist in undertaking ground truthing of slum pockets identified on the satellite image with the help of CBOs;
- d. To advise ULBs on various methods of community participation with regard to preparation of slum free city plans of action;
- e. 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;
- f. To disseminate information on RAY through pamphlets and posters highlighting the provisions of RAY;
- g. To create or strengthen community structures formed under SJSRY and NULM ;
- h. To build capacities of ULB functionaries, and other stakeholders for supporting and facilitating the process of community engagement;
- i. To provide inputs for identification of the methodologies for community participation like- questionnaires, interviews, observations, Focused Groups Discussions (FGDs) and Participatory Learning Action tools;
- j. 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’;
- k. To suggest mechanisms of promoting transparency and accountability to various stakeholders, like slum based CBOs, urban poor/slum dwellers, and other marginalized community groups, in programme implementation of RAY;

- l. To promote convergence with other city wide processes supported by other development schemes, programmes and mission;
- m. To promote involvement of citizen's forums, area sabhas, ward committees and institutionalization of process for community engagement;
- n. 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;
- o. 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;
- p. To provide support in identifying the slum development options;
- q. To ensure monitoring at each stage of the survey and preparation of SFPCoAs.

1.2. Micro-planning Phase:

- a. To facilitate the process of micro-planning in the selected slums with the objective of preparing the DPR. This would involve the participation of the community in the following activities;
 - 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 up gradation, redevelopment and relocation)
- b. To provide support in prioritizing and developing the framework for slum redevelopment, including phasing of slums;
- c. To support CBOs/ULB in the process of registration of CBOs;
- d. To facilitate credit linkages for the people in the community.

1.3. Implementation Phase:

- a. To assist ULBs and community structures in implementation of slum redevelopment/up-gradation/ re-location projects including infrastructure and housing development;
- b. To create sustainable community structures for maintenance of created assets e.g. setting up of resident associations etc;
- c. To facilitate formal registration of community based organizations, if required;

- d. To assist the households in accessing institutional credit by supporting them in doing the necessary documentation and meeting other requirements of the lending institutions;
- e. To assist the ULBs in establishing suitable mechanism for engaging community in the process of implementation either through community contracts or community monitoring and supervision.

2. Role of Slum Based CBOs:

- 2.1. Identification and listing of beneficiaries through participatory tools, such as FGDs, group meetings etc.;
- 2.2. To create and/or strengthen the community based structures created under SJSRY/NULM etc.;
- 2.3. To identify community volunteers to facilitate the accurate data gathering and community involvement in the slum-surveys and preparation of SFCPoA;
- 2.4. 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;
- 2.5. To create an enabling environment by information dissemination and facilitate a pre-survey process by engaging communities to undertake the following points:
 - a. Rough mapping of slum settlement;
 - b. Household counting and numbering;
 - c. Mapping the occupation or existing footprints of tenements, etc.
- 2.6. 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, livelihood & detailed socio-economic survey;
- 2.7. To verify that all slum households of the identified pockets are included in the list;
- 2.8. 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;
- 2.9. To support the city level NGOs or Cells to verify the probable vacant land sites;

- 2.10. 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;
- 2.11. To undertake micro-planning and assist in DPR preparation;
- 2.12. To engage the community in developing the appropriate model for slum redevelopment/up-gradation and relocation;
- 2.13. 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;
- 2.14. To develop O&M plan for created assets;
- 2.15. To help the households to access institutional credit by supporting them in doing the necessary documentation and meeting other requirements of the lending institutions;
- 2.16. To facilitate in creating a residents association of the slum dwellers in the upgraded /redeveloped/relocated sites and devise appropriate structures to ensure proper maintenance and upkeep of assets created;
- 2.17. To facilitate periodic reviews through social audits by community representatives.

3. Criterion of selection for the lead NGOs

- 3.1. The NGO should be registered under the Indian Societies Registration Act/ Indian Trust Act/ Indian Religious and Charitable Act/ or as a non-profit The company under the Companies Act or the relevant state Acts for more than three years;
- 3.2. 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;
- 3.3. Trustees/Board members should have wide and cross sectoral experience;
- 3.4. It should be a non-political entity with no affiliate to political parties (especially among the executives)
- 3.5. Desirable qualifications of NGOs:
 - Experience of engaging with CBOs
 - Experience of working in the social sector on 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.

4. Criterion of selection for Slum based CBOs/Slum dwellers associations

4.1. The CBO should preferably 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 (RWAs), Self Help Groups (SHGs) and Slum Dwellers Associations. 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 CBOs (whether registered or not) should have been in existence preferably for a period of 1 year;

4.2. 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% may be based on input and 50% on deliverables, which are part of the approved activity plan.



Annexure 4: Indicative Micro-Planning format for the Slum

Name of the Slum-----City-----State-----								
		Existing Situation	Requirement	Reasons for requirements	Details of Community's O&M Plans as well as contribution as per Annexure 5	Technical team's (TT) inputs	Final list suggested by TT	Final list after approval by the community
1	Basic Info							
	Total No. of HHs							
	Total Population							
2	Housing Status							
2.1	Dwelling units (DUs)							
a	Kuchha							
b	Semi Pucca							
c	Pucca							
d	Total							
2.2	DUs with electricity							
a	Kuchha							

Guidelines for Community Participation



Name of the Slum-----City-----State-----								
		Existing Situation	Requirement	Reasons for requirements	Details of Community's O&M Plans as well as contribution as per Annexure 5	Technical team's (TT) inputs	Final list suggested by TT	Final list after approval by the community
b	Semi Pucca							
c	Pucca							
d	Total							
3	Physical Infrastructure							
3.1	No of households (HH)with 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	HH taps (working and not working)							

Guidelines for Community Participation



Name of the Slum----- City-----State-----								
		Existing Situation	Requirement	Reasons for requirements	Details of Community's O&M Plans as well as contribution as per Annexure 5	Technical team's (TT) inputs	Final list suggested by TT	Final list after approval by the community
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							
4	Drainage and sewerage facilities							

Guidelines for Community Participation



Name of the Slum----- City-----State-----								
		Existing Situation	Requirement	Reasons for requirements	Details of Community's O&M Plans as well as contribution as per Annexure 5	Technical team's (TT) inputs	Final list suggested by TT	Final list after approval by the community
4.1	No of HHs having access to storm water drainage							
4.2	No of HHs having access to underground drainage/sewer lines							
4.3	No of HHs having access to Digester							
4.4	No of HHs not connected to sewer or digester							
4.5	Connectivity to city wide storm water drainage							
a	not connected							
b	partially connected							

Guidelines for Community Participation



Name of the Slum-----City-----State-----								
		Existing Situation	Requirement	Reasons for requirements	Details of Community's O&M Plans as well as contribution as per Annexure 5	Technical team's (TT) inputs	Final list suggested by TT	Final list after approval by the community
c	fully connected							
4.6	Connectivity to city wide sewerage system							
a	not connected							
b	partially connected							
c	fully connected							
5	Road/lane							
5.1	Approach road							
a	kucha							
b	pucca							
5.2	Internal road							
a	kucha							
b	pucca							

Guidelines for Community Participation



Name of the Slum----- City----- State-----								
		Existing Situation	Requirement	Reasons for requirements	Details of Community's O&M Plans as well as contribution as per Annexure 5	Technical team's (TT) inputs	Final list suggested by TT	Final list after approval by the community
6	Sanitation							
6.1	Community latrine							
a	with septic tank flush							
b	with pit							
6.2	Shared latrine							
a	no of HHs with septic tank flush							
b	no of HHs with pit							
6.3	Own latrine							
a	no of HHs with septic tank flush							
b	no of HHs with pit							
6.4	Open defecation							

Guidelines for Community Participation



Name of the Slum-----City-----State-----								
		Existing Situation	Requirement	Reasons for requirements	Details of Community's O&M Plans as well as contribution as per Annexure 5	Technical team's (TT) inputs	Final list suggested by TT	Final list after approval by the community
7	Street lights							
7.1	Present							
a	number							
b	functional							
c	non functional							
8	Education							
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	Health							

Guidelines for Community Participation



Name of the Slum-----City-----State-----								
		Existing Situation	Requirement	Reasons for requirements	Details of Community's O&M Plans as well as contribution as per Annexure 5	Technical team's (TT) inputs	Final list suggested by TT	Final list after approval by the community
9.1	Health post							
9.2	PHC							
9.3	Govt. Hospital							
9.4	Maternity centre							
9.5	Private clinics							
10	Community and welfare centers							
10.1	Community centre/hall							
10.2	Livelihood/production centre							
10.3	Vocational training centre							
10.4	Street children rehab center							

Guidelines for Community Participation



Name of the Slum----- City----- State-----								
		Existing Situation	Requirement	Reasons for requirements	Details of Community's O&M Plans as well as contribution as per Annexure 5	Technical team's (TT) inputs	Final list suggested by TT	Final list after approval by the community
10.5	Old age home							
10.6	Night shelter							
11 ¹	Other Social Information							
11.1	Community based Organisations							
11.2	Number of Women headed households							
11.3	Number of Physically Challenged Persons							
11.4	Number of Dwelling Units having land tenure							

¹ This category would only contain data in the first column.

Guidelines for Community Participation



Name of the Slum----- City----- State-----

		Existing Situation	Requirement	Reasons for requirements	Details of Community's O&M Plans as well as contribution as per Annexure 5	Technical team's (TT) inputs	Final list suggested by TT	Final list after approval by the community
	status							



Annexure 5: Indicative Operation and Maintenance Plan 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	Road							
1.1	Sweeping in lanes							
1.2	Sweeping on the main road							
2	SWM							
2.1	Door to Door collection							
2.2	Transportation links							
3	Water Supply							
3.1	Hanpump (small repairs)							
3.2	Hanpump (big repairs)							

Guidelines for Community Participation



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
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 Stand posts							
4	Toilets/latrines							
4.1	Maintenance of toilets (minor repairs)							
4.2	Maintenance of toilets (major repairs)							
5	Drains and Sewer lines							
5.1	Local small drains							

Guidelines for Community Participation



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
5.2	Big/Major drains							
5.3	Sewers							
6	Street Lights							
7	House Maintenance							