



COMMUNITY PARTICIPATION IN RAY

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MODULE 4

Context



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- Rajiv Awas Yojana (RAY) envisages a “Slum Free India” with inclusive and equitable cities
- Inclusionary approach is key for the success of RAY
- Community participation is seen as the significant aspect of RAY that will create community ownership and sustainability of the programme
- Operationalization through Slum Dweller Association at slum level and Slum Dweller Federation at city level

Steps to initiate process of Community Participation



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Step 1 : Assess Community Based Structures in the State and Cities –SHGs, Women federations, Slum Dwellers Federation, Youth Groups etc.

Step 2 : Create Institutional Structures as envisaged under RAY- RAY Mission, Technical Cells at the City and the State level with social development experts and strengthen CBOs

Step 3 : Select the Options (1 out of 2 mentioned on the next slide) to facilitate Community Participation in all the stages of RAY

Step 4 : Capacity Building of CBOs on Community Participation through ULBs/Cells/NGOs

ULBs

OPTION 1: ULBs have a strong RAY Technical cell

OPTION 2: ULBs lack a strong RAY Technical Cell

Lead NGO (s)

Professional Agency & Lead NGO (s)

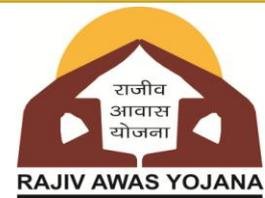
Slum Survey

Micro-planning & Prep of DPR

Implementation & Construction

O&M

General Administrative Structure



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OPTION 1: ULBs have a social development expertise in RAY technical cell

- ULBs conduct the survey, micro planning (during preparation of DPR) through existing community volunteers or identify community volunteers.
- Community volunteers are trained and oriented by the experts in the Cells to conduct the survey.
- RAY Cell would be expected to take the responsibility of monitoring the process of data collection, compilation, ratification and analysis.
- The ULB may select an NGO/CBO to assist in capacity building, training of municipal staff and the community volunteers.

General Administrative Structure



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OPTION 2: ULBs do not have social development expertise in RAY Technical Cell

- a. ULBs may choose to get the survey, micro planning (during preparation of DPR) conducted through Lead NGO(s) selected through an open transparent procedure, thus combining the role of the professional agency and the lead NGO.
 - The lead NGOs can undertake the survey through their own community facilitators/staff or through the support from CBOs.
 - Data collection, feeding into the slum MIS tool will remain the responsibility of the Lead NGO.

General Administrative Structure



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OPTION 2: ULBs do not have social development expertise in RAY Technical Cell

- b. ULBs may decide to conduct the survey and micro planning (during preparation of DPR) through a professional agency (PA) hired through open and transparent process.
- PA to take surveyors from the community or nearby pockets. ULBs engage NGOs /Slum based CBOs to ensure participation in survey, mapping (leading to preparation of SFCPoA and DPRs).
 - Data collection, feeding into the slum MIS tool will remain the responsibility of the PA.

Engagement of Community



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Community will be involved in the following activities:

- Survey leading to preparation of Slum Free City Plan
- Micro planning during Preparation of DPR
- Implementation of projects
- Operation and Maintenance

Community Participation in Survey leading to preparation of SFCPOA



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At City:

- Orientation Workshop with council members, community organizers, municipal officers, representatives of federations.

At Slum:

- Identifying Community based organizations already existing within the slums
- If CBOs do not exist, efforts should be made to form a representative group.
- Identify community volunteers.
- Engage elected representatives - ward councilors in the process.
- Train the volunteers and CBOs
- Explain the purpose of surveying and data collection

○ **Household Counting and Numbering:**

- Engage community in marking doors of existing houses and giving numbers to confirm that every family is included in the survey
- The number of houses to be checked with the community of the whole slum
- Vacant and Unoccupied houses to be identified
- **Focused Group Discussions** during the survey with the community
- **Data Ratification**
 - After data entry of the survey and compilation of the information, data ratification by community.
 - In the slums where the survey has been carried out without the participation of community, it is imperative to get the data verified and validated by the community.

Sno.	Options/Models	Rates
1.	Option 1: ULBs have a UPA Cell and a well organized community mobilization and development structure with dedicated officers and community mobilizers at the field level.	Rs. 15-40 per slum HH subject to ring fencing the amount as follows: <ul style="list-style-type: none"> ▪Rs. 6L (for cities with population less than 3 Lakhs) ▪Rs. 15L (for cities with population of 3 to 10 Lakhs) ▪Rs. 25 L (for cities with population of 10 to 15 Lakhs) ▪Rs. 45L (for cities with population of more than 15 Lakhs)
2	Option 2a.: ULBs lack a strong UPA cell and dedicated community structure at the field level and choose professional agency to conduct socio economic survey and engage a lead NGO and slum level CBOs to ensure community mobilisation	
3	Option 2b.: ULBs lack a strong UPA cell and dedicated community structure at the field level and choose to get the survey conducted through Lead NGO(s), thus combining the role of the professional agency and the lead NGO	The Central Assistance is limited to that of the survey & data entry cost (as may be applicable) for the NGOs.

Community Participation during Microplanning in Preparation of DPR



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- **Micro planning involves :**

- I. Pre micro planning and Environment building- Capacity building for taking up microplanning**
- II. Preparing plans/proposal** through maps and on the basis of consolidated sheet that is part of additional Infrastructure requirement sheet of Annexure 1 of NBO format on existing infrastructure and future requirements
- III. Display of 3D view of the detailed Slum Base Map and proposed development models (layout plans) pertaining to housing and infrastructure with the community members**
- IV. Technical feasibility** resulting into freezing of development model identified
- V. Allotment list** to be finalised with active participation of the community

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- For housing, credit linkages for incremental housing needs to be facilitated by NGOs/CBOs. For redevelopment model, NGOs/CBOs would play a role in involving community to finalise the details of the design. In cases of relocation(for untenable slums), the NGOs would ensure establishing/creating livelihood linkages and help community to ensure smooth transitions.

Central Assistance for Community Participation during Microplanning



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In order to engage community during preparation of DPRs, approved rates are :

- Rs. 18-25 per slum HH for cities with population more than 3 Lakhs and
- Rs 35/- per slum HH for cities with population less than 3 Lakhs

Community Participation during Implementation



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- During Implementation, the following steps are required to facilitate community participation :
 - I. 'Formalising' the CBO structures in the form of associations or society
 - II. Capacity building by ULB of these CBOs on drafting Minutes of the meeting, keeping other records
 - III. Training on checking quality of materials during the proc

- The following two models are proposed depending on the capacity of ULBs and the CBOs -

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

- the ULB engineer/nodal officer may arrange meetings with representatives from the community and the contractor before work starts.
- The contractor should display the contract information on the display board
- During construction, community is engaged in checking the quality of materials bought and used, work executed in accordance with specifications.
- Community meetings are held where the reasons for delays, cost overruns etc are discussed.

Model 2: Construction work of housing and slum level infrastructure is undertaken through engagement of the CBOs

- Works undertaken in slums would be directly managed by the community. They would need technical support in scheduling work, purchase of materials, setting out of works.
- Community may hire skills from outside the community, if they want.
- CBOs to have a procurement committee to procure services, goods and materials.
- ULB to give advance to the CBO for initiating work and also provide technical support.

(Beneficiary led construction is encouraged in both the models)

Community Participation during O&M



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- CBOs in collaboration with ULB to ensure proper upkeep and maintenance of created assets.
- Community to prepare and implement the O&M plan.
- Community maintains services and infrastructure created.
- A bank account may be opened for O&M in the name of Resident 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.
- O&M cost is upto 4% of 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
- Maintenance fund be utilised as a corpus fund and administered by the ULB involving the community.

Summary/Conclusion



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- Community participation is an important component of RAY
- CBOs are to be involved as partners in all the stages of RAY
- Involving community would lead to:
 - a. Greater Acceptance of the Scheme leading to ownership and greater sense of responsibility
 - b. Increased sustainability of project outcomes
 - c. Community view themselves as ‘partners’ rather than only beneficiaries

- The Guidelines on Community Participation is available on MoHUPA website at www.mhupa.gov.in
- Discussion forum on RAY Vaarta, available at www.mhupa-ray.gov.in can be used for queries related to Community Participation

Thank You