



Rajiv Awas Yojana (RAY)

***Guidelines for
Preparation of Slum Free City Plan of Action***

2013 - 2022



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



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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 Detailed Project Report (DPR) 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

BPL	Below Poverty Line
BSUP	Basic Services for Urban Poor
CBO	Community Based Organization
CDP	City Development Plan
CSP	City Sanitation Plan
CTAG	City Level Technical Advisory Group
EWS	Economically Weaker Section
FSI	Floor Space Index
GIS	Geographical Information System
GoI	Government of India
LIG	Low Income Group
MFI	Micro Finance Institution
MIS	Management Information System
Mo/HUPA	Ministry of Housing and Poverty Alleviation
NBO	National Building Organisation
NGO	Non-Governmental Organisation
RAY	Rajiv AwasYojana
SFCPoA	Slum Free City Plan of Action
UAA	Urban Agglomeration Area
ULB	Urban Local Body
UPA	Urban Poverty Alleviation

What is a Slum Free City Plan of Action (SFCPoA)?

The SFCPoA, is a city level action plan with investment requirements projected and prioritized for upgrading the existing slums and planning for provision of houses for the urban poor for the next 10-15 years. The plan has two parts; **Part –I- The Curative Strategy includes Slum Improvement or Redevelopment** of all existing slums and **Part-II for Prevention of Future Slums**, includes estimating and delineating the development of affordable housing for the urban poor and revision to the existing urban policies to enable housing for urban poor. While formulating the above two broad strategies, the ‘Slum Free City Plan of Action’ should take into consideration the present status of slums, the priorities of slum dwellers, the resources and capabilities of the city in improving the quality of life of the urban poor and the capacity of the urban poor to be partners in this development process.

Why is a Slum Free City Plan of Action required?

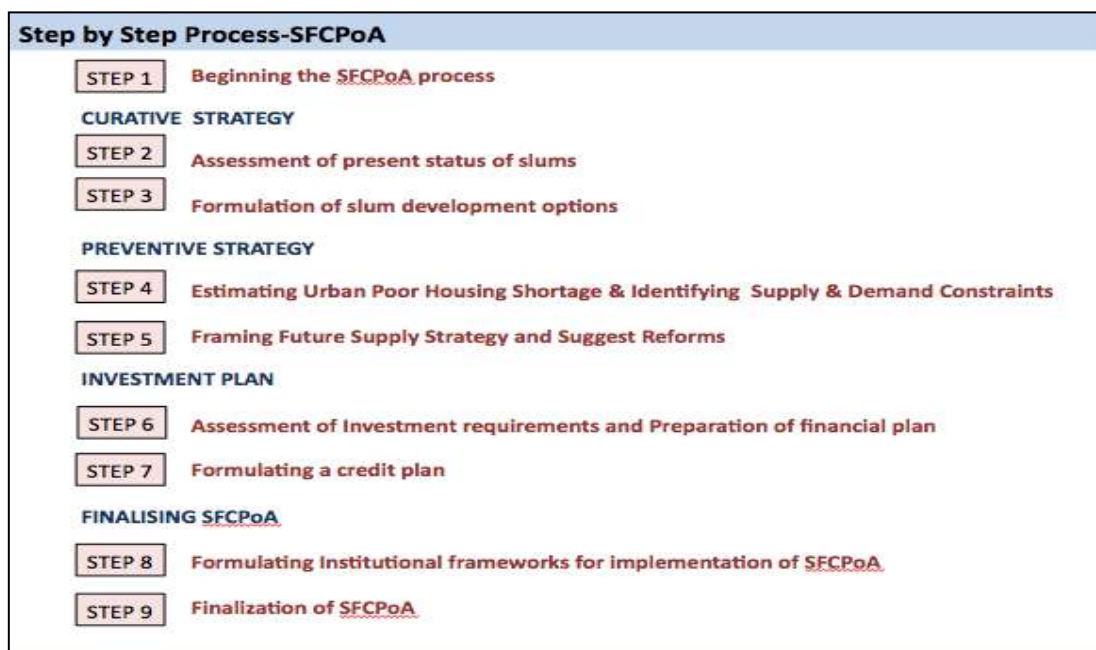
The SFCPoA is required so that the slums are prioritized for development and funding based on methodological assessments. It is also important as it gives the way forward in terms of quantum of urban poor housing required to meet the future urban poor housing shortage and the corresponding fund required to prevent slums from forming in future.

Which Cities will prepare Slum Free City Plan of Action?

All cities included under RAY will prepare SFCPoAs. During the implementation phase of RAY, all cities with population more than 3 lacs, and all cities (irrespective of population) included under the preparatory phase of RAY will prepare SFCPoA, as per these guidelines. Cities with population less than 3 lacs need to follow a simplified template given in Annexure 16 of this guideline.

How is a Slum Free City Plan of Action prepared? The process of plan preparation begins with educating the stakeholders about SFCPoA, then framing the curative strategy which will include; mapping and conducting slum surveys, assessing the housing and infrastructure conditions in the existing slums which will lead to prioritizing the slums for fund allocation for improvement works. The preventive strategy will include an assessment of the housing shortage and the housing stock required for the urban poor and a plan for providing these houses in the next 10-15 year time frame, along with the suggestions for necessary policy reforms to facilitate

the same. After the completion of the curative and preventive strategy the next important step in the preparation of the SFCPoA is the assessment of the investments required for the same and planning for resources to meet the projected investment requirement keeping in view the funding available under RAY and utilizing other innovative finance mechanisms. The entire process can be summed up in the following simple nine steps illustrated in the chart below and explained in detail in the following sections:



Note:

- 50% of all the activities under the SFCPoA will be funded by the Centre and 50% is to be borne by the State, for cities with population more than 5 lacs. For cities with population less than 5 lacs, 75% of the cost will be borne by the Centre and 25% by the State and for North Eastern and Special Category States, 80% of the cost of these activities will be funded by the Centre and 20% by the State.
- The preparation of SFCPoA can be carried out by the ULBs through the Urban Poverty Alleviation Cell (if it exists at ULB level) either on their own or through engaging an expert agency through an open transparent procedure.
- The preparation of SFCPoA shall be completed within a period of four to six months depending on the size of the city and number of slums in that city.
- The SFCPoA should necessarily cover the “planning area” as constituted under the relevant State Acts which could typically comprise any area declared to be a regional planning area, local planning area or a site for a new town. This includes urban villages falling within the planning area. In case a development authority is assigned the task of preparing the SFCPoA, the ULB shall be given the primacy while formulating the SFCPoA. The SFCPoA could also cover the Metropolitan Area or Urban Agglomeration Area and the decision to make one single SFCPoA for the Metropolitan/Urban Agglomeration Area or multiple SFCPoAs for clusters would be made by the respective State Governments in consultation with the Ministry.
- Urban Poor in this document refers to urban EWS and LIG households.
- SFCPoA should link with other plans such as the City Development Plans, City Sanitation Plans, City Mobility Plans and Master Plans as the case may be.
- The vision period for the SFCPoA is for 10-15 years but the document should be reviewed periodically (every two years) for any interventions or modifications emerging from the experience in implementing the Plan.
- A practice of learning from best practices in SFCPoA processes in other cities should also be encouraged.

STEP1: BEGINNING THE SFCPoA PROCESS

The SFCPoA will be started by the following entry point activities:

1.1 Conducting Stakeholder Workshops and meetings to prepare the ground for beginning the processes and surveys required under SFCPoA.

The SFCPoA involves extensive mapping processes and conducting surveys within slums and in the city in general. Further, as it is also an action plan, which needs the involvement of various stakeholders at the ULB, State and Regional level, it is important to conduct a series of meetings and workshops to ensure that these stakeholders are aware of the process and will engage actively with the SFCPoA preparation for the city.

ULB should identify the 'key players' or main stakeholders and invite them to be part of the SFCPoA preparation. Stakeholders could include elected representatives, community groups & NGOs, women self help groups, industry or business associations, banks and financial institutions, environment groups, government departments, academic institutions, experts, local bureaucrats such as health education workers and local residents.

ULB should share (a) the base information available with them about the slums in their city like numbers, approximate locations possibly marked roughly on a map and (b) process of SFCPoA preparation including modalities with the concerned stakeholders (c) Role and responsibilities of each stakeholder. **(Ref: Annexure 1: Indicative List of Key Stakeholders at page no 30)**

The proceedings of the workshop will also be recorded to be included in the SFCPoA. **(Ref Annexure 2: Format for recording Stakeholder Workshops at page no 30)**

1.2 Preparation of a City Profile

A city profile is an important component of the SFCPoA and it should ideally be prepared in the initial stage. As the objective of preparation of a city profile is to get an overall understanding of the city in terms of its growth patterns,

geographical terrain, population trends, presence of slums and patterns of growth with reference to work centers.

The city profile should include details of **Physical Characteristics** like location, climate, topography, regional settings, history, culture, linkages and connectivity; **Social and Demographic details** such as growth trends of the city and slum population, expected population and proportion of low income population over the next 15-20 years, migration, density patterns etc.; **Economic details** such as Economic base, expenditure data (if available), types of employment and extent of urban poverty (BPL, APL); **Housing Details** such as data on existing housing stock, Land supply mechanisms, land prices, land development and construction cost; **Growth Patterns** to include spatial growth patterns of the city and the indicative future growth directions as per the development plan and current trends.

1.3 Review of Existing Policies and Programmes related to slum improvement and housing.

As RAY would be a new scheme being implemented in the city it is important to review the status of the past programmes both State and Central, on urban poor housing and slum improvement and the success and penetration as well as learning from these programmes. The evaluation could be done following the format given in annexure. ***(Ref: Annexure 3: Format for evaluation of past programmes at page no 30)***

PART I- CURATIVE STRATEGY



The objective of Part I is to develop options for slum improvement, which includes in-situ up-gradation, in situ redevelopment or re-location. The methodology for this comprises (a) assessment of present status of all slums (b) categorization of slums (c) prioritization of slums and (d) formulation of slum development options for different categories of slums. The modalities are detailed out in Steps 2 and 3 in pages 5-15.

STEP 2: ASSESSMENT OF PRESENT STATUS OF SLUMS

The next step in the preparation of the SFCPoA is assessment of present condition of slums that includes identification, listing, mapping of slums, data profiling of slums, tenability analysis, and prioritization of slums based on assessment of housing and infrastructure deficiency. The following activities are to be undertaken in this step.

2.1 Preparation of a Municipal Information Base for all Slums

A Municipal Information base is required to be prepared for all slums to identify and record the presence of all slums in the City.

2.1.1 Preparing an updated List of Slums

i. Comprehensive list of all slums (notified, non-notified, recognized and identified) on lands belonging to State / Central Government, urban local bodies, public undertakings of State / Central Government, any other public agency and private land should be collected from the concerned departments. Enumeration block data on

Example – Existing List of Slums with ULB		
	Name of Slum	Ward No.
Notified Slums		
1	Nehru Nagar	3
2	Sunder gali	6
3	Dhamu Nagar	9
Non-Notified Slums		
1	Rajpura	2
2	JangpurBasti	8
	TOTAL SLUMS	5

slums prepared by Registrar General of India may also be taken into account in this process.

ii. New slums if any identified as per the definition under the scheme should be included in the list after close consultations with the concerned stakeholders.

iii. The slums which have already been improved up to an acceptable level or redeveloped should be recommended

Example - Updated List of Slums after Verification			
	Name of Slum	Ward No.	Status
Notified Slums			
1	Nehru Nagar	3	Already improved
2	Sunder gali	6	Exist
3	Dhamu Nagar	9	Do Not exist
Non-Notified Slums			
1	Rajpura	2	Exist
2	JangpurBasti	8	Relocated / Shifted
Newly identified Slums			
1	Nawipura	2	Exist
	TOTAL	6	

for exclusion from the list (i.e. de-listing and de-notification process)¹

- iv. After finalization of the slum list, a unique slum code (e.g. 001, 002....) for each slum needs to be generated as per NBO guideline. (*Guidelines for survey and preparation of slum, household and livelihood profile of cities/towns*).
- v. Pavement dwellers and homeless population and households may also be identified and reviewed with details.
- vi. It is suggested that the ULB should develop a mechanism for inviting objections and suggestions by displaying or publishing the list of updated slums that has been prepared in consultation with the community. The final list should be ratified by the ULB so that no slums are left out.

The concerned stakeholders, especially the councilors, should verify the final list of slums so that no slum is left out.

2.1.2 Mapping of slums using GIS (*Not applicable for smaller cities less than 3 lac population included under RAY implementation phase*)

I) Preparing Geo Referenced Base Map for the “planning area”

- i. Cartosat I/II images should be used for the preparation of the base map and for towns and cities where these imageries are not available, concerned States / Cities would need to give a proposal to M/o HUPA with justification for an alternative high resolution satellite products such as QuickBird, World View 1,2, Geo-Eye.
- ii. GIS Base Map layers² should be prepared which would contain (a) key physical features such as roads, rivers, railways, water bodies, important land marks etc. (b) land use and land cover

II) Demarcating Slum boundaries on the GIS base Map

The boundary of each slum will be marked on the GIS base map of planning area with the help of satellite image and using GPS. The slum boundaries at Zone/Ward level would then need to be cross -checked in the field with the field level stakeholders. The unique slum code already given to each slum will need to be used here and entered appropriately

¹ Standards and procedure for de-notification of slums should be decided by State Governments

² Guidelines for GIS, MIS and GIS-MIS Integration

in the slum boundary layer following the *Guidelines for GIS, MIS and GIS –MIS integration*

III) Validating List with satellite imageries

The list of slums prepared above needs to be cross-checked by the ULB with the above satellite imagery and ground verification for decrease in number due to relocation, shifting or merger with already developed slum pockets.

IV) Identifying and Marking Vacant Lands on the GIS Base Map

Vacant lands needs to be identified and marked on the GIS base map of planning area with the help of satellite image and field verification that could be used for (i) resettlement of untenable slums and (ii) creation of future affordable housing stock.

The indicative list of Maps to be prepared using GIS is placed in annexure 4, it will be better if States and Cities can prepare all these maps as it will be a useful data base for formulation of spatial strategies for SFCPoA as well as other programmes of the ULB. **(Ref Annexure 4: Indicative List of Maps on page no 31)**

2.1.3 Collecting and Preparing data on Slums

The next step in preparing the Municipal information base, which will be used for preparing the deficiency and priority matrix, is collating other important data on the slums. Data to be collected is on i) Area and Land, ii) Demography iii) Housing Status iv) Economic Status and v) Existing Infrastructure and gaps assessment. For collecting this data the formats uploaded in the Ministry's web site (http://www.mhupa.gov.in/ray/Annexure_I_Slum_Survey_Format_Revised_for_RAY.pdf) and circulated vide D.O letter (No-N-1101/43/2013-RAYII) should be adhered to following the highlighted fields only.

Training and adequate guidance needs to be organized for data collection for the surveys.

2.1.4 Integration of GIS-MIS (*Not applicable for smaller cities less than 3 lac population included under RAY implementation phase*)

The GIS and MIS data needs to be integrated at this stage using the unique slum code for linking data bases on socio-economic, tenability status, land tenure, land ownership and land value of the slums.

For further details please refer to the *Guidelines for GIS, MIS and GIS-MIS Integration*.

2.2 Categorization of Slums Based on Tenability Analysis

While preparing the SFCPoA, an important exercise is to identify those slums that can be improved in situ and those slums that need to be relocated. However, as slum up-gradation is the preferred mode, relocation is exercised only in extreme situations such as if the slums are on hazardous lands or in lands which are designated as green spaces and other conflicting land uses etc. The slums which need not be shifted and which can be improved in situ are called tenable slums and those slums, which need relocation, are called untenable slums. Those slums situated in lands where the tenability is to be decided for example slums on lands where the land use can be possibly changed are termed semi tenable till such time, as they are declared tenable or untenable. The precise definition is given in annexures. In this analysis the following are the main activities: ***(Ref: Annexure 5: Tenable, Semi tenable and Untenable slums definitions at page no: 32)***

2.2.1 Preparing a List of Tenable, Semi-tenable and Untenable Slum

All listed slums should be categorized as tenable, semi-tenable or un-tenable in following the definition given in Annexure 5.

2.2.2 Verifying tenable, semi-tenable and untenable slums

The physical verification of all tenable, semi-tenable and untenable slums should be done with the involvement of community and elected representatives. The final listing of tenable, semi-tenable and untenable slums should be done only after the physical verification as well as cross verification with the current approved master plan.

The physical verification would be required for example in cases where the slums in hazardous locations such as under HT lines or in a hazardous industry precincts may be termed as untenable, however during the actual site verification it may be found that the slum is located away from the required set back limits of the HT line and the existing industry may not be functional.

2.2.3 Reviewing possible actions for semi-tenable slums with competent authority and finalisation of list of Tenable and Untenable slums

A detailed review and analysis of semi tenable needs to be undertaken with the relevant competent authority. Slums on Central Government Lands also could be classified as semi tenable till such time as a decision is taken along with competent authorities on whether they should be tenable or untenable as per the overall plan of the respective Central Government Authorities.

For eg: a slum located on a Master Plan declared commercial zone, may be classified initially as semi-tenable. But in discussion with the town planning organizations it may be found that the zone is no longer commercial in actual use and that the land use could be converted to residential, upon application for change of use. In such cases the slum should be re-categorized as tenable from semi tenable.

If tenable sites have small untenable pockets, these will be earmarked for readjustment to the tenable area within the same slum or relocation to other redevelopment or vacant sites, preferably within the same zone. Readjustment or Relocation within the same site or ward or zone will depend upon the capacity of the existing slum or other redevelopment sites or usable vacant lands to absorb these households.

The ULB should finally work towards categorizing semi-tenable slums as either tenable or untenable slums. Decision on some semi tenable slums may take time as change of land use in master plans may take time or decisions on

some slums situated on central government lands may also be time consuming. In such cases if the decisions on semi-tenable slums are still pending at this stage the final categorization could include 3 types; Tenable, Semi-tenable and Untenable. This categorization can be reviewed again when the SFCPoA will undergo the biannual review.

2.2.4 Reviewing possible actions for accomodating pavement dwellers and homeless population

The homeless and pavement dweller families identified, may be included as part of an adjoining slum where in situ intervention is being taken up under RAY, if possible. If this strategy is not feasible then these homeless and pavement dweller families may be considered as part of the untenable slum population while formulating possible intervention strategies. Individual pavement dwellers may be accommodated in community shelters proposed in other converging schemes such as National Urban Livelihoods Mission.

2.3 Prioritization of Tenable Slums through Priority Matrix

The next and one of the most important activity in the SFCPoA is preparation of a Priority Matrix for ranking and phasing the slums for fund allocation i.e. to decide which slum needs to be taken up on a priority basis and which later. The criteria for determining the priority will be the existing housing and infrastructure condition represented on one axis of the matrix and on the other axis, vulnerability parameters such as poverty and SC/ST population, minority population, single women, old age, disability, chronic diseases prevalent etc. in the slums may be taken. The housing and infrastructure condition should be treated as an essential criteria axis while the States are free to adopt the vulnerability criteria axis based on the local conditions. The method of assessment and prioritization is detailed in the following activities.

2.3.1 Assessing Housing and Infrastructure Deficiency and Degree of Vulnerability in all Tenable Slums

The first step under prioritization is to assess the housing and infrastructure deficiency in each tenable slum, based on the data profile collected under 2.1 above. The following parameters may be considered for calculating and

analyzing the housing and infrastructure deficiency and level of vulnerability in all tenable slums.

(A) Housing and Infrastructure Deficiency Parameters

- i. Percentage of houses which are kutchha
- ii. Percentage of houses which are semi pucca
- iii. Percentage of households not covered with piped water supply
- iv. Percentage of households not covered with individual toilets
- v. Percentage of length not covered with pucca drains
- vi. Percentage deficiency of pucca road, narrow access(<3m)
- vii. Percentage of road length without street lights
- viii. Percentage of households without access to facilities of disposal of solid waste

(B) Vulnerability Parameters

- i. Population below the Poverty Line (BPL) Population, SC / ST population.
- ii. Percentage of Minority Population.
- iii. Percentage of Population suffering from chronic diseases.
- iv. Percentage of single women and women headed households.

The indicative service level benchmarks given in annexure 6 may be used for guidance: **(Ref: Annexure 6 for Service Level Benchmarks at page no 33)**

2.3.2 Prioritising Tenable Slums

After assessing the housing and infrastructure deficiency in each tenable slum based on the selected parameters, scores will be given for each of the indicators. Based on the scores against each indicator a matrix is prepared with Housing and Infrastructure deficiency in the Y axis and vulnerability in the X axis and the average scores for vulnerability and housing & infrastructure deficiency will then be determined separately and clustered into different ranges representing the worst, average, and best slum settlements as illustrated below.

Illustrative Matrix for Housing and Infrastructure Deficiency and Vulnerability

	Vulnerability (v) →		
Housing & Infrastructure Deficiency (hi)	v1/hi1 (8 slums)	v2/hi1 (6 slums)	v3/hi1 (8 slums)
	v1/hi2 (11 slums)	v2/hi2 (6 slums)	v3/hi2 (20 slums)
	v1/hi3 (7 slums)	v2/hi3 (18 slums)	v3/hi3 (22 slums)

- For example, the slum settlements that are
 - ♦ most deficient in infrastructure and most vulnerable are in the cell in the bottom right-hand corner (v3/i3) which would require immediate attention.
 - ♦ with best infrastructure and least vulnerable are in the top left hand corner (v1/i1) which could be considered for delisting and de-notification

The slums, which are improved up to an acceptable level or redeveloped should be recommended for exclusion from the list (i.e. de-listing and de-notification process)³ and could also be included in the high priority cell (v3/hi3) as these can be taken up for improvement immediately and delisted. **(Ref: Annexure 7 for Examples of Deficiency Matrix at page no 34)**

2.4 Prioritization of Untenable and (Semi tenable) Slums

Just as tenable slums are prioritised, untenable and semi tenable slums (if any) also needs to be prioritised for deciding which slums needs to be shifted out first and which later. This phasing could be based on criteria such as degree of environmental risk, willingness of the slum-dwellers to shift out, etc. ULB should consult the competent authority, ward councillors and the slum community before finalising this list.

The prioritised list of tenable, untenable and semi-tenable (if any) slums need to be finalised after discussing with the concerned stakeholders.

³ Standards and procedure for de-notification of slums could be as per the State Governments norms.

STEP 3: FORMULATION OF SLUM INTERVENTION STRATEGIES

The next step after preparation of the priority matrix is to formulate detailed slum intervention options for all the slums included in the priority matrix. The in situ development and improvement of slums could be done following various models of slum interventions. These models should be formulated taking into account key aspects, such as tenability, density of the slum, land ownership and land value. The activities involved in this step are detailed below:

3.1 Detailed Analysis of all Prioritised Slums

In order to formulate the detailed slum intervention models, it is necessary to analyze each prioritized slum w.r.t parameters such as land values, land ownership, slum density etc. as detailed below:

3.1.1 Parameters for Analysis of Tenable Slums

All prioritized tenable slums should further be analyzed based on criteria such as land values, land ownership, tenure status and dwelling unit density.

- i. **Land Values:** Prevailing land values of the areas under the slums and the immediate surroundings from the revenue circle rates or market rates will need to be collected.
- ii. **Land Ownership:** Details on land ownership could be obtained from the slum profile details in Annexure I of the NBO format (*Ref section 2.1.3, pages 7&8 of this guideline*) and further crosschecked with the Land Revenue records.
- iii. **Slum Dwelling Unit Density** -No of Dwelling Units (DUs) /Hectare (ha) will be calculated based on the data obtained from the Slum Survey Profile, Annexure I of the NBO format (*Ref section 2.1.3, pages 7&8 of this guideline*). The following density norms for net residential density are suggested based on IS 8888 standards.
 - High >500 DU/ha⁴
 - Medium 350-500 DU/ha
 - Low < 350 DU/ha

⁴ Based on IS8888 which stipulates 500 dus/ha as the threshold permissible density for DUs with covered area of 15 sqm

- iv. **Tenure Status** details should be obtained again from Annexure I of the NBO formats (*Ref section 2.1.3, pages 7&8 of this guideline*). This information needs to be further cross-checked with the ULB records. The broad categories of tenure security may include: (i) **Secure**-Slum households with freehold or long-term leasehold mortgageable and inheritable rights. (ii) **Insecure**- All other slum households.

All the above components can also be mapped on the GIS base map as separate layers to enable a visual representation as well as to evolve various combinations of parameters for development solutions.

The homeless and pavement dweller settlements identified in 2.1.1 above need to be suitably accommodated in one of the slums where in situ redevelopment is being taken up after considering their socio economic profile and suitability to merge with the existing settlements.

3.1.2 Resettlement strategies for Untenable slums including Pavement Dwellers and Homeless.

Similarly for relocation and resettlement of prioritized untenable slums, criteria such as land availability, location in relation to existing employment and services, access to transport nodes and routes should be considered, in consensus with the slum dwellers and other concerned stakeholders.

The homeless and pavement dweller families, if not already accommodated in adjoining slums as indicated above, then needs to be considered for accommodation in these relocation sites, taking into account their livelihood needs and socio economic profile and compatibility with the current slums being relocated.

3.2 Formulation of Slum Intervention Strategies for all Prioritised Slums

After analyzing the prioritized slums with respect to the above criteria the detailed intervention strategies will be formulated in consultation with the slum dwellers and stakeholders. The details of these strategies are given below

3.2.1 Basic Slum Intervention Strategies

States and cities will have the flexibility in deciding solutions specific to the requirements of each slum. The 3 basic slum intervention strategies are (i) Slum Up-gradation (ii) Slum Redevelopment (iii) Slum Resettlement

- (i) Slum Up-gradation** Slum upgrading will involve (i) Up-gradation of kutchha and semi-pucca houses to pucca (ii) Incremental housing by addition of one or two rooms to existing houses (iii) the provision of basic services: i.e. water and sanitation, drainage, roads, street lighting, footpaths, and community facilities. The slum up-gradation also involves re-adjustment of existing units to ensure optimum use of land and releasing surplus land for common facilities.
- (ii) In Situ Slum Re-Development:** In this option people have the advantage of remaining where they are close to their current sources of employment and social networks but the whole or part of the settlement is cleared and rebuilt.
- (iii) Slum Resettlement:** Relocation of untenable slums if absolutely necessary, will be to the extent possible or feasible within the same zone or ward or the adjoining ward or zone, vacant pockets or existing low-density slums keeping in mind their relation to employment centres.

Resettlement Plans should be prepared in close consultation with the affected families to ensure their acceptability. If the location identified is at a distance from the existing site then suitable facility for transport and security may be made. In addition, if possible, continuation of livelihoods may also be ensured for the slum dwellers.

Each slum redevelopment or relocation plan will make arrangements for transit shelter as a part of the redevelopment or relocation exercise with definite timelines before the redevelopment or relocation process is initiated.



3.2.2 Detailed slum intervention strategies

Detailed slum intervention strategies may be formulated by combining the above three basic intervention strategies with the analysis of land value, land ownership, slum density etc. for which data has been collected under 2.1 and 3.1.1. Based on these several slum intervention strategies can be framed as indicated in the table given in annexure. ***(Refer to Annexure 8- Suggested framework of development options for tenable slums at page no 41)***

3.2.3 Detailing Credit Options for Shelter Upgradation or Construction

As the beneficiary is expected to contribute at least 10-12 % of the cost of shelter, the available credit options for the slum dwellers needs to be assessed. The linkages with the formal housing finance institutions, MFIs or SHGs operating in the slum may be detailed out to enable easier credit linkages.

PART –II - PREVENTIVE STRATEGY

Once the detailed slum intervention strategies are formulated, the curative strategy of the SFCPoA is complete. The methodology for framing the preventive strategy is detailed in Steps 4 and 5. These steps need not be following the chronology as some steps in the preventive strategy can also begin earlier as indicated in annexures 14 and 15.

The objective of the preparation of the preventive strategy is, to restrict or prevent the formation of slums in future, by bringing in necessary policy reforms and correcting the supply and demand constraints in the housing market.

To achieve this objective an analysis of the existing housing market is to be done in Step 4, which would comprise; estimating existing and future urban poor housing shortage, identification of supply constraints with respect to availability of land and constraining or restrictive land use or housing policies, identification of demand side constraints particularly with reference to availability of affordable housing finance options.

Based on the assessment of the present and likely future housing shortage and the existing constraints in the supply of affordable housing, in Step 5, a preventive strategy that addresses the above constraints and provides feasible supply options to meet the projected housing shortage for urban poor and addresses policy constraints on both supply and demand side will be formulated.

The steps 4 and 5 are detailed out in Pages 18-23.

STEP 4 ESTIMATING URBAN POOR HOUSING SHORTAGE AND IDENTIFYING SUPPLY AND DEMAND CONSTRAINTS.

The first step under the preventive strategy is to estimate the existing housing shortage for the planning area and project the future housing shortage for the urban poor and to identify the supply and demand constraints in the urban housing policy framework

4.1 Estimating present and future housing shortage for the Urban poor.

An indicative methodology for computing housing shortage for urban poor is as under, however ULBs are free to adopt other proven statistical or planning methodologies based on data availability and local conditions.

4.1.1 Methodology for computing existing and future urban poor Housing shortage

(i) Existing EWS/LIG population*/household sizes = Existing Housing Requirement for urban poor

*(*Census/ SECC/ the socio economic surveys conducted for the SFCPoA/ National Sample Survey data)*

(ii) Existing Housing Requirement for urban poor – Housing Stock for urban poor (as derived in 4.1.2 below) = Existing Housing Shortage for urban poor

○ **Housing Stock for urban poor = Total number of houses for urban poor in the city.**

(iii) Projected Housing Requirement for urban poor– Projected Housing Stock for urban poor = Projected Housing Shortage for urban poor for next 10-15 years

For (i) above, existing EWS and LIG population may be obtained from census, SECC or Annexure I of NBO format (*Ref section 2.1.3, pages 7&8 of this guideline*) used for the SFCPoA or from National Sample Survey. The household size could be obtained from the latest census data. The computation as above will arrive at the existing housing requirement for EWS and LIG. The similar data could be obtained for the last 5-10 years to get a trend line, which will help in computation of projected housing requirement and stock.

For (ii) above, the excess of the housing requirement for urban poor over the housing stock for urban poor will be considered as the housing shortage for the urban poor. Housing stock for urban poor computation is explained in 4.1.2 in detail.

For (iii) above, the projected housing requirement for urban poor will then be projected using the trend line data arrived at in (i) above and similarly the projected housing stock for urban poor can also be projected using the trend line data obtained for the housing stock. The excess of the projected housing requirement for urban poor over the projected housing stock for urban poor, will give the projected housing shortage for urban poor.

4.1.2 Housing Stock computation

The housing stock may be computed using the data available on supply of housing for the urban poor for the past 5 years as collected from various agencies supplying urban poor housing for that town/city/UA. Housing Boards, Slum Clearance Boards, Development Authorities are the typical agencies involved in the supply of urban poor housing. Data may also be collected on the supply under the categories of rental and ownership. Data could also be obtained through a combination of secondary sources, property tax records, building permissions etc.

The data could be collected in the format given in annexure

(Ref annexure 9 for Format for recording Existing Supply pattern for Urban Poor Housing at page no 42)

4.1.3 Reviewing the Rental Housing Supply and Demand Market for the Urban Poor

While getting data on the housing stock, the rental housing market also needs qualitative assessment in terms of the level of basic services and the quality of construction of the dwelling units. A study of the demand side of the rental housing market needs an assessment of the migrants and nature of migrants to the city in terms of (i) long term migrants (ii) seasonal migrants

(iii) employer tied migrants and the proportion of each of these in the total rental housing market in the planning area.

4.2 Identification of Supply and Demand Constraints in Housing for Urban Poor (*Not applicable for smaller cities less than 3 lac population included under RAY implementation phase*)

After estimating the housing shortage for urban poor, the next crucial aspect in framing the Preventive Strategy is to identify the reasons for this shortage in terms of constraints from both supply side as well as the demand side.

4.2.1 Reviewing the Supply Side Constraints

The supply constraints could be:

- (i) With respect to land supply and availability, time consuming land use approval processes, constraining building rules, etc. These need to be identified and listed in the SFCPoA.
- (ii) Based on the review of the rental housing market in the previous step, the constraints in the supply of rental housing for the urban poor needs to be ascertained in terms of the provisions in the State Rent Control Act and its synergy with the National Housing and Habitat Policy 2007. The other factors, which constrain rental-housing provision like high property tax rates, low FSI etc. also needs to be reviewed.

4.2.2 Reviewing the Demand Side Constraints

The demand side constraints could be particularly with respect to the availability of housing finance and credit. The degree of penetration of the micro finance institutions is to be examined with particular reference to the access to credit to the urban poor and the constraints in the same. This is again examined in detail in Step7.

STEP 5: IDENTIFYING SUPPLY AND DEMAND SIDE REFORMS AND FRAMING FUTURE SUPPLY STRATEGY

This step involves framing the strategy for addressing the urban poor housing shortage identified in 4.1 above. This involves identifying policy reforms to address

the constraints identified and allocating total estimated urban poor housing shortage amongst potential suppliers through consultations. The activities are described below:

5.1 Identifying Policy Reforms (*Not applicable for smaller cities less than 3 lac population included under RAY implementation phase*)

To address the policy constraints identified in the earlier step, appropriate policy reforms need to be identified in both the supply side and demand side. These reforms would then need to be taken up at different levels: Central, State, City and ULB depending on the nature of reform identified.

5.1.1 Identifying Supply Side Policy Reforms

At the supply side the possible policy reforms and interventions to address the constraints identified could be with reference to:

- i. **Increasing land supply and availability;** through creation of land Banks/land pooling through town planning schemes and framing appropriate monitoring mechanisms for FSI reservation for EWS/LIG;
- ii. **Easing approvals and development permissions processes** by introducing fast track (30-60 days) approval systems for housing projects, especially for the urban poor.
- iii. **Reducing Building Byelaws constraints at the dwelling unit and layout level for urban poor housing.** It is recommended that IS8888, the code, which is a guide for requirements of low-income housing and part of National Building Code 2005, may be referred to.
- iv. **Rental housing** can form a substantial part of the housing stock for the urban poor. Hence, any adverse rental housing policies in force, which constricts the supply of rental housing, needs to be revised. Rental Housing Reforms as per National Housing and Habitat Policy, 2007, reduced property taxes for rental housing for the urban poor, higher FSI for rental housing projects etc. are some of the incentives that can be considered to encourage rental housing.
- v. **The phenomenon of locked houses** encountered in slums in various cities may also be studied further and suitable policy

reforms may be framed like utilising this stock for possible supply in future or making it a part of the rental housing stock etc.

a. Demand Side

Similarly demand side policy reforms such as

- i. Encouraging Government of India schemes such as RRY.
- ii. Formulating other innovative housing finance mechanisms through micro credit agencies etc .

5.1.2 Formulating a Strategy and Timeline for achieving the reforms

The above reforms need to be formulated into a strategy, which would specify the action to be taken for implementing the reforms with timelines.

5.2 Framing Future Supply Strategy

The projected housing shortage for urban poor as estimated in 4.1 above will now need to be allocated amongst possible suppliers. The sub tasks in this are:

5.2.1 Allocating estimated future housing shortage for urban poor amongst prospective suppliers of Urban Poor Housing

An indicative distribution could be done in proportion to the contribution to the overall housing stock as per existing patterns:

The supply options should also include rental housing stock, dormitories and night shelters. The approximate cost of these supply options also need to be estimated. Similar to the existing supply patterns the future supply strategies could also be recorded in the format given in annexure ***(Ref annexure 10 for Format for recording Future Supply Patterns for Urban Poor Housing at page no 42)***

5.3 Discussing and sharing findings with stakeholders

There needs to be a stakeholder workshop held at this point to discuss and validate the findings related to urban poor housing shortage, supply trends, supply and demand constraints, suggested policy reforms and supply strategy. The stakeholders would typically comprise of public housing, co-operative housing, employee housing and industrial estate owning agencies, private

developers engaged in affordable housing, local CREDAI/NAREDCO officers, bankers, micro finance institutions, ULB functionaries, academic bodies and other relevant stakeholders as deemed fit. The supply strategy framed in 5.2.1 above would also need to be validated with the concerned supplier in order to arrive at a realistic estimate.

PART III- INVESTMENT PLAN

The next important process in the SFCPoA is the formulation of an investment plan and a credit plan. Steps 6 and 7, in pages 23-27, detail out the modalities

STEP 6: FRAMING INVESTMENT REQUIREMENTS AND FINANCING PLAN

In the investment plan of the SFCPoA the investment requirements for (i) the development strategies for the prioritized tenable slums as well as relocation strategies framed under curative section and (ii) the supply of housing for urban poor estimated in the preventive section, needs to be collated. The activities in this step can be organized as below:

6.1 Estimation of Investment Requirements

The investment requirements under the SFCPoA can be categorized under two broad heads of curative and preventive and further detailed out as below:

6.1.1 Curative

The main components to be included while calculating the investment requirements in this head should be (i) **Housing** (ii) **Physical Infrastructure** (iii) **Social infrastructure** and (iv) **Operation & Maintenance Costs for the detailed intervention strategies formulated for each slum.**

6.1.2 Preventive

The total investment requirement for creating affordable housing supply including rental housing to address the estimated future housing shortage as worked out in the preventive section needs to be brought within the overall investment framework.

6.1.3 Summarising Investment Estimates

Investment requirements for a phased implementation programme will be prepared. The number of slums to be covered phase wise would need to be indicated. Similar phase wise plan also needs to be done for creation of affordable housing stock including rental housing and dormitories. An indicative template is provided in the Annexure. **(Ref Annexure 11-Detailed Investment Plan table at page no 43)**

6.2 Financial Planning for Implementation of Slum Improvement and Prevention Strategy

To understand the existing financial resources available to meet the investment requirements projected above, it is important to make a financial plan based on the resources available and the gaps between investment and resources available. The activities for formulating the plan are as below

6.2.1 Listing of Resources available – Central Government, State Government and Beneficiary Contribution

The resources available under various heads needs to be identified and summarised as illustrated in the template provided in Annexure 10. The Government of India share, State share and Beneficiary contribution allowable as per RAY scheme guidelines is detailed in the same annexure. However towns/cities/UAs may fall short of the funds as available under RAY and hence may need to find innovative mechanisms to fund the gaps as detailed in 6.2.2:

6.2.2 Identification of Gaps between Resources Available and Investment Requirements

The revenue streams thus identified would need to be compared with the investment requirements estimated in 6.1 above. The ULB needs to strategize on methods to fill the gaps by tapping alternate revenues using land based instruments such as FSI, TDR, monetization of land etc. as well as the non-lapsable BSUP funds.

6.2.3 Development of financial plans linked to phase wise coverage of slums and creation of affordable housing stock

The phased financial projections would then be compared with the investments to assess the adequacy. In case the finances are inadequate, the investments would need to be reassessed for phasing and prioritization. **(Ref Annexure 12- Financial Planning template at page no 45)**

STEP 7: FORMULATING A CREDIT PLAN

The strategy for slum improvement as suggested in the curative plan lays emphasis on encouraging up-gradation and redevelopment through incremental housing facilitated by credit linkages. Similarly, the success of the preventive strategy also depends on building up an effective housing credit system. Hence, it is important to prepare a credit plan for both the slum improvement as well as the preventive strategies, which will look at improving access to housing finance for the urban poor for both up-gradation as well as creation of new housing stock. The credit plan will be formulated in close consultation with the community and the bankers

The credit plan would essentially contain:

1. Identified issues in accessing housing financing options for the urban poor.
2. Identified bottlenecks from the banker's side to lend to the urban poor.
3. Suggested methods to improve access to institutional housing finance for the urban poor by simplifying the procedural and other related formalities adopted by lending agencies.
4. Suggested ways to leverage community savings (SHGs. etc.) and to establish credit linkages of these with the formal lending agencies

The broad steps for preparing the credit profile is given below:

7.1 Review of Existing Housing Finance Options for the Urban Poor

The existing sources of housing finance like formal lenders, informal lenders, community-oriented lenders etc. available for the urban poor needs to be reviewed. Successful community level initiatives in the city may be studied for their possible linkages with Banks and Housing Finance Institutions for enabling better access to the community.

7.2 Review of the Credit Profile of urban poor

A credit profile of some typical slums (with distinct socio-economic profiles) or urban poor pockets, covering borrowing needs, income, source of employment, constraints faced in sourcing funds like documentation, insistence on collaterals etc. should be attempted through a focus group discussion or surveys as the cities may deem fit.

7.3 Review of Banker's Measures and Procedures for Lending to Urban Poor from both Bankers and Community Perspective

The existing procedures for lending to the urban poor which has been studied from the community side in 7.2, needs to be also studied from the bankers side in terms of documentation, collaterals and appraisal processes followed by the bankers and bottlenecks faced in lending to the urban poor.

7.4 Scanning the Existing Credit Enablement Schemes of GoI

Some of the existing schemes of Government of India for credit support for affordable housing for the urban poor such as the Rajiv Rinn Yojana and Credit Risk Guarantee Fund need to be understood and ways of penetrating these schemes into the community may be thought of.

7.5 Formulating the Credit Plan

The credit plan will then need to be formulated based on the outputs of the previous steps to include

- (i) Methods to simplify the procedural and other related formalities stipulated by lending agencies for the urban poor.
- (ii) Suggested ways to leverage community savings (SHGs etc.) and establish credit linkages of these with formal lending agencies.

PART IV- FINALISATION OF SFCPoA

On completion of the above 7 steps, the SFCPoA can now be collated and -finalized. The detailed modalities of which are given in Steps 8 and 9 below, in pages 28-29.

STEP 8: FRAMING INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTATION OF SFCPoA

8.1 Preparation of an Indicative Implementation Mode and Definition of Roles and Responsibilities of Institutions for Implementation

The implementation modalities for the various projects identified in the SFCPoA is required to be worked out broadly following appropriate frameworks. Although it is primarily the responsibility of the ULB an institutional framework with multiple stakeholders needs to be formulated with clear roles for each stakeholder.

A grievance redressal cell may also be established as detailed in the RAY scheme guidelines.

The Commissioner of the ULB will be the chairperson and will be supported by an expert committee/ City level Technical Cell, which will provide technical expertise.

As mentioned in the introductory section of this guideline, the SFCPoA will be a dynamic document and will be reviewed and revised every two years with a view to ensure that the slum free planning process is going as planned as well as to see that the slums being developed are being delisted periodically. The ULB along with an expert committee will review the SFCPoA periodically. ***(Ref Annexure 13- Suggested Institutional framework at page no 46)***

STEP 9: FINALIZATION OF SLUM FREE CITY PLAN OF ACTION

The SFCPoA would be framed after amalgamating all the different slum intervention strategies and mechanisms proposed for in-situ improvement, in-situ redevelopment and resettlement of various categories of slums in the city as well as the creation of new affordable housing stock for the future to prevent slums.



The SFCPoA, will also provide the priority of implementation, financial plans linked to phase wise coverage of slums and creation of affordable housing stock, indicating year wise allocations and sharing pattern, stakeholders responsible and their roles, commitment to undertake reforms and timelines for the same. ***(Ref Annexure 14: Indicative Contents of SFCPoA and Timelines for larger cities at page no 47) & (Ref Annexure 15: Indicative Contents of SFCPoA for smaller cities (less than 3 lac population) and Indicative Timelines at page no 51)***

The draft SFCPoA will go through a process of consultations in a culminating stakeholder workshop before being finalized. Once the SFCPoA is approved by the SLNA and SLSMC, it would be presented to the CSMC sub committee of the M/o HUPA, for technical review and further placed n CSMC for consideration and acceptance

ANNEXURES



Annexure 1: Indicative List of Key Stakeholders

Level	Stakeholders
State & Regional Level	Member of Parliament, Member(s) of Legislative Assembly, Development Authority, T& C Planning Department, Housing Board, Slum Clearance Board, Metropolitan Planning Committee, District Planning Committee, District Collector, District level finance committees.
City Level	Member(s) of Legislative Assembly, District Collector, Municipal Councillors, T&CP Dept., UDA, NGOs, private developers, Banks, Financial institutions including Micro finance institutions, Central Government Land owning agencies, academic: technical / research institutions, CTAGs.
Zone & Ward	Member(s) of Legislative Assembly, Ward committee representatives, area welfare societies, municipal councillors, Neighbourhood Committees, NGOs, Women Self Help Groups, Private Land Owners on whose land slum is located
Neighbourhood	Neighbourhood groups, SHGs, Women led self-help groups.
Slum & Settlement	CBOs (Slum Associations, Neighbourhood Committees), NGOs

Annexure 2: Format for recording Stakeholder workshops

S.No	Date	Stakeholders Present	Key Findings
1			
2			
3			
...			

Along with photographs and copies of attendance sheets

Annexure 3: Format for evaluation of Past Programmes on Slum Improvement

	Name of the programme	No of Houses constructed	No of houses occupied	Amount spent <i>Rs in lacs</i>		Amount Utilized <i>Rs in lacs</i>	
				Housing	Infrastructure	Housing	Infrastructure
1							
2							

Annexure 4 : Indicative List of Maps (Not applicable for smaller cities less than 3 lac population included under RAY implementation phase)

1. Location map of the city showing regional setting (India-State-District-City)
2. Geo-referenced base map
3. Slum pockets marked on the GIS base map with municipal boundary and ward boundaries.
4. Slum pockets marked on the satellite image of the Planning Area
5. Existing land use land cover of Planning Area
6. Tenable, Semi-tenable and Untenable slums
7. Tenure status of slums
8. Land ownership of slums
9. Slum Density
10. Land value ranges of areas under slums
11. Vacant land pockets marked on the satellite image of planning area
12. Vacant land with trunk infrastructure marked on satellite image of planning area
13. Vacant land with residential zoning marked on satellite image of planning area
14. Vacant land with non-residential zoning marked on satellite image of planning area
15. Land pockets reserved for EWS/LIG housing including in industrial estates. (If any)
16. Spatial distribution of affordable housing pockets developed in the last 5 years

Annexure 5: Tenable, Semi tenable and Untenable slums definitions

Untenable Slums

- (i) *As per NBO format, slum pockets in the following locations may be considered as untenable*
1. Major storm water drains
 2. Other drains
 3. Railway line
 4. Major transport alignment
 5. River or water bodies Bank
 6. River or water bodies Bed
 7. Others (Hazardous or Objectionable) including high tension lines

However, slums on other drains may be examined for being included in the category of semi tenable or tenable slums depending on the exact location of the slum and the possibility of in-situ development through sustainable engineering solutions.

Tenable Slums:

1. All slum pockets located on non-objectionable and non-hazardous sites as obtained from NBO formats.

All slums settlements which do not fall within the definition of untenable settlements should be considered as tenable and fit for in-situ redevelopment / improvement.

Semi Tenable Slums

All slum pockets located on sites, which are earmarked for non-residential uses as per Master Plan, would be categorized as semi-tenable. This list of Slums would need further analysis and review. Finally, the semi tenable slums should either be categorized as Tenable or Untenable. Slums on Central Government Lands also could be classified as semi tenable till such time as a decision is taken along with competent authorities on whether they should be tenable or untenable as per the overall plan of the respective Central Government Authorities

Annexure 6: Service Level Benchmarks

WATER SUPPLY

Indicators	Benchmark	Existing Level
Coverage of Water Supply connections	100%	
Per Capita Supply of Water	135lpcd	
Extent of Non-revenue Water	15%	
Extent of Metering	100%	
Continuity of Water supplied	24 hours	
Efficiency in redressal of customer complaints	80%	
Quality of Water Supplied	100%	
Cost Recovery	100%	
Efficiency in Collection of Water Charges	90%	

SEWERAGE

Indicators	Benchmark	Existing Level
Coverage of Toilets	100%	
Coverage of Sewerage Network	100%	
Collection efficiency of Sewerage Network	100%	
Adequacy of Sewage Treatment Capacity	100%	
Quality of Sewage Treatment	100%	
Extent of Reuse and Recycling of Sewage	20%	
Extent of cost recovery in waste water management	100%	
Efficiency in redressal of customer complaints	80%	
Efficiency in Collection of Sewage Water Charges	90%	

STORM WATER DRAINAGE

Indicators	Benchmark	Existing Level
Coverage	100%	
Incidence of water logging	0 numbers	

Source: Service Level Benchmark Indicators: Ministry of Urban Development, Govt of India



Annexure 7- Examples of Deficiency Matrix

A brief description of the methodologies adopted for prioritizing the slums by different Cities / States is discussed below:

I. MADHYA PRADESH URBAN SERVICES FOR THE POOR (MPUSP)

Under the MPUSP, the prioritization of slums is based on preparation of the Poverty Index Vs. Infrastructure Deficiency Index Matrix. The methodology adopted for the prioritization of slums is described below.

1. Poverty Indicators

- BPL Population

BPL population scoring

- List out slums
- Slum-wise data from existing BPL records or surveys
- Fill in the data on the table:

S.nos	Ward No.	Slum Name	Population	BPL Pop	%of BPL Pop	Score

Next Step

- Find out the lowest and highest values for percentage of BPL population across slums
- Establish the range by finding the difference between the highest & lowest values
- Divide the range into 3 to get one third of the range
- Based on this fix three ranges between highest and lowest values



- Assign scores for each slum based on the range of BPL % in which the slum falls

Example to get the range

- Suppose in a city if the lowest value for BPL Household in each slum is 20% and highest is 80%,
- The range is from $80 - 20 = 60\%$
- Find out one third of this 60% (range)
- $60 \div 3 = 20$
- Hence one third of the range is 20%
- Hence the three ranges will be:
 - 20 to 40% (low poor)
 - 41 to 60% (medium poor)
 - 61 to 80% (high poor)

Table for Poverty Scoring

Rank	Slum with BPL Range	Score for BPL
1 st	20 to 40% (low poor)	1
2 nd	41 to 60% (medium poor)	2
3 rd	61 to 80% (high poor)	3



2. Infrastructure Deficiency Indicators

Scoring Criteria	% road length without pucca drains	% deficiency of pucca roads	% road length without street lights	% HHs not covered by piped water supply	Water supply in hours per day	% HHs without individual toilets	% HHs without access to facilities of disposal of solid waste
1	0-30%	0-35%	0-30%	0-35%	>5	0-30%	0-30%
2	31%-40%	36%-45%	31%-40%	36%-45%	>=4-5	31%-40%	31%-40%
3	41%-50%	46%-55%	41%-50%	46%-55%	>=3-4	41%-50%	41%-50%
4	51%-60%	56%-70%	51%-60%	56%-70%	>=2-3	51%-60%	51%-60%
5	>60%	>70%	>60%	>70%	<2	>60%	>60%

Giving Scores against the Infrastructure Deficiency

	1	2	3	4	5	6	7	Total Score
Name of Slum	% road length without pucca drains	% deficiency of pucca roads	% road length without street light	% HHs not covered by piped water supply	Water supply in hours per day	% HHs without individual toilets	% HHs without access to facilities of disposal of solid waste	Total of Column 1-7
A	Score 1-5	Score 1-5	Score 1-5	Score 1-5	Score 1-5	Score 1-5	Score 1-5	
B								



Next step

- Total all the scores against each infrastructure facility in each slum
- From the column of total score find out the highest and lowest score.
- Establish the range of scores i.e the difference between the highest score and lowest score.
- Divide the range by 3 to get one third of the range
- Establish the range of scores in ranks
- Indicate ranks for each poor settlement in a table
- Roads Score combines road and street light score = (Col R2 + Col R3)/2

How to do the ranking?

- After assigning scores against each parameter to the slum, ranking is done.
- For example if the lowest total score is 6 and the highest total score is 15, the range is 9 and one third of the range (9÷3=3) is 3
- Then:

Range of total scores infrastructure deficiency	Rank
6-9 Best Served	1
10-12 (Not so bad or partly served)	2
13 to 15 (worst served)	3

Ranking Table for Slums

S. No	Code	Slum name	Ward no.	Rank-Poverty	Rank-Infrastructure deficiency

Next Step: Put the slums in the matrix depending on the rank. A sample matrix is given below.

Matrix for Poverty and Infrastructure Deficiency

Poverty (p) →

Infrastructure Deficiency (i) ↓	p1/i1 (8 slums)	p2/i1 (6 slums)	p3/i1 (8 slums)
	p1/i2 (11 slums)	p2/i2 (6 slums)	p3/i2 (24 slums)
	p1/i3 (7 slums)	p2/i3 (18 slums)	p3/i3 (22 slums)

II. HYDERABAD DRAFT SFCPOA

The components considered for prioritisation of slums in this sfcpoa are:

1. Poverty Index Parameters

- Percentage of BPL families
- Percentage of SC Population
- Percentage of ST Population
- Percentage Literacy

2. Infrastructure Deficiency Index parameters

- Percentage of Kutcha Houses
- Percentage coverage of Water Supply
- Percentage coverage of Underground Sewerage
- Percentage coverage of Drainage
- Percentage of Road Coverage

BPL population scoring

In a slum, for BPL Households, values vary from 0% to 100 (if the lowest value is 0% and the highest value is 100%, the range is 100 and one eighth of the range is 12.5.



Range	BPL Households	Score
1 st	Between 0 and 12.5	1
2 nd	Between 12.5 and 25	2
3 rd	Between 25 and 27.5	3
4 th	Between 37.5 and 50	4
5 th	Between 50 and 62.5	5
6 th	Between 62.5 and 75	6
7 th	Between 75 and 87.5	7
8 th	Between 87.5 and 100	8

Similar approach has been taken for the scoring of SC, ST population, literacy parameters, and infrastructure deficiency parameters as explained above. After assigning of scores against each parameter, the cumulative scores are computed.

- i. **Poverty Index:** The sum of scores under the percentage of BPL families, percentage of SC/ST population and percentage of literacy is the poverty index value.
- ii. **Infrastructure Deficiency Index:** The sum of scores under the percentage coverage of water supply, underground sewerage, drainage, road and percentage of kutchha houses is the infrastructure deficiency index.

Based on the cumulative scores, the slums are ranked in an order based on poverty index and infrastructure deficiency index and represented in a simple 8x8 matrix.

Ranking Table for Slums

S.No	Code	Slum name	Rank- Poverty	Rank- Infrastructure deficiency



For example, the cell shown as 8/8 is ranked first in the priority list (i.e. slum with high deficiencies) and the cell 1/1 (slum with low deficiencies) is ranked last in the priority list. See below.

Matrix for Poverty and Infrastructure Deficiency

		Poverty (v) →							
		1	2	3	4	5	6	7	8
Infrastructure Deficiency (i) ↓	1	1/1	2/1	3/1	4/1	5/1	6/1	7/1	8/1
	2	1/2	2/2	3/2	4/2	5/2	6/2	7/2	8/2
	3	1/3	2/3	3/3	4/3	5/3	6/3	7/3	8/3
	4	1/4	2/4	3/4	4/4	5/4	6/4	7/4	8/4
	5	1/5	2/5	3/5	4/5	5/5	6/5	7/5	8/5
	6	1/6	2/6	3/6	4/6	5/6	6/6	7/6	8/6
	7	1/7	2/7	3/7	4/7	5/7	6/7	7/7	8/7
	8	1/8	2/8	3/8	4/8	5/8	6/8	7/8	8/8



Annexure 8 - Suggested framework of detailed slum intervention strategies for tenable slums

Parameters	Sub-parameters	Indicative Development Options
Vulnerability Deficiency including housing	High	Credit options for housing with livelihood support
	Low	Option based on infrastructure deficiency
Infrastructure Deficiency	High	In situ Up-gradation of infrastructure/Redevelopment
	Low	Infrastructure up-gradation/augmentation
Dwelling Unit Density	High/Medium	In situ up-gradation/ in-situ redevelopment options based on infrastructure deficiency and vulnerability parameters
	Low	Same as above along with densification
Land Value (Private Ownership)	High	Purchase of land by ULB/co-operative society to be further handed over to occupants with TDR to owner
	Low	Land Sharing/Incentive FSI/TDR
Land Value (Public Ownership)	High	PPP /remunerative use of land
	Low	Any option based on other parameters
Tenure Security	Secure	In-situ up-gradation / redevelopment options based on other parameters
	Unsecure	In situ up-gradation / redevelopment options along with tenure regularisation based on other parameters
	Mixed	1. Secure Tenure – Same as above. 2. Unsecure tenure –Same as above.



Annexure 9- Format for recording existing supply pattern for urban poor housing

	Rental		Ownership		Total
	Y1	Y2	Y1	Y2	
Existing Suppliers					
Govt. Employee Housing					
Housing Boards, DAs, Parastatals					
Apex Co-Operatives					
Employee Housing					
Developers					
Private Co-operatives					

Annexure 10- Format for recording future supply pattern for urban poor housing

	Phase 1-2013- 2018		Phase 2- 2018-2022		Total	Cost*
	Rental	Ownership	Rental	Ownership		
Potential Suppliers						
Public Housing Agency						
Private Affordable Housing						
Co-operatives						
Employee Housing						
Public Private Partnerships						
Night Shelters/Dormitories		NA		NA		
Total						

* Based on PWD/State schedule of rates and includes cost for layouts with physical and social infrastructure



Annexure 11- Detailed Investment Plan

1. In-situ-Up-gradation:

S. No.	ITEM	Year (Rs. In Lakhs)												Total	
		Phase-1 (Year 1,2)			Phase-2 (Year 3,4,5)			Phase-3 (Year 6-10)			Phase-4 (Year 10-15)				
	No of Slums proposed for intervention														
A	Land Cost														
	Subtotal A														
B	Infrastructure														
(i)	Physical Infrastructure (like water supply, sewer, storm water drainage, solid waste management, roads & drainage, boundary walls & gate, street lights, etc.).														
(ii)	Housing (Construction of DUs)														
(iii)	Social Infrastructure (like community halls, Balwadi / School, common toilet & bath etc. Market/ Shopping Play area/ park and parking.														
	Subtotal B														



S. No.	ITEM	Year (Rs. In Lakhs)												Total	
		Phase-1 (Year 1,2)			Phase-2 (Year 3,4,5)			Phase-3 (Year 6-10)			Phase-4 (Year 10-15)				
C	Other Costs														
(i)	Overheads/Administrative costs														
(ii)	Engineering/Design & Project management costs														
	Subtotal C														
D	Physical contingencies as.....% of B & C														
	Sub total D														
	Total Investment Cost (A+B+C+D)														
E.	Operation & Maintenance as....% of D														
	TOTAL- 1														

2. In-situ-improvement - (Use the above format to the extent applicable)

3. Relocation - (Use the above format to the extent applicable)

4. Preventive Strategy - (Use the above format to the extent applicable)

Total Investment Cost **Grand Total**
(1+2+3+4)

** Please refer to RAY scheme guidelines for allowable components under RAY.

Section 8 (<http://www.mhupa.gov.in/ray/RAYGuidelines.pdf>)

Annexure12- Financial Planning template

S. No.	ITEM	Years (Rs. In Lakhs)				Total
		Phase-1 (Year 1,2)	Phase-2 (Year 3,4,5)	Phase-3 (Year 6-10)	Phase-4 (Year 10-15)	
1	SFCP INVESTMENT					
1.1	No of Slums					
1.2	No of affordable housing stock proposed including dormitories and night shelters.					
2	SOURCES OF FUNDING**					
2.1	Central Assistance					
2.2	State Contribution					
2.2	ULB Share					
2.2.1	MPLAD/MLA LAD funds					
2.2.2	General Allocation from the Budget					
2.2.3	Earmarked resources					
2.2.4	PPP					
2.2.5	Loans					
2.2.6	Others - specify:					
2.3	Beneficiaries Contribution					
2.4	Sources to be identified During implementation					
3	TOTAL SOURCES					

** Please refer to RAY scheme guidelines for funding pattern: Section 8

(<http://www.mhupa.gov.in/ray/RAYGuidelines.pdf>)



Annexure 13- Suggested Institutional framework

Stakeholder	Entry Point Actions	Community Participation	Planning	Impl.	Reforms/ Grievance Redressal	Post impl.
ULB	✓	✓	✓	✓	✓	✓
Slum Clearance / Dev Board	✓	✓		✓		✓
Urban Development Authority			✓	✓		
Housing Board				✓		✓
NGOs	✓	✓		✓		
Slum Community/ CBOs	✓	✓	✓	✓		✓
Private Sector			✓	✓		✓

Annexure 14: Indicative Contents of SFCPoA and Timelines for larger cities

Executive Summary

SECTION 1: INTRODUCTION

Step 1: Beginning the SFCPoA process

1) SFCPoA Entry Point Activities

1.1. SFCPoA Preparation Methodology

1.2. Stakeholders Consultation Workshops –Summary and Findings

1.3. City Profile

1.3.1. City Overview

- *Physical Characteristics of the City*
- City Spatial Growth Patterns
- Social and Demographic profile
- Economic profile
- Housing Profile
- Physical Infrastructure Profile

1.3.2. Review of Existing Policies, Programmes and Projects related to Slums and Housing

SECTION 2: SLUM IMPROVEMENT STRATEGY

Step 2: Assessment of Present Status or Condition of Slums

2.1 Assessment of Present Status or Condition of Slums

2.1.1 Development of Municipal Information Base for All Slums

1) Integration of Spatial data and Socio-economic data to create GIS enabled Slum MIS

2) Slum Profile

2.1.2 Categorization of Slums

1) Tenability Analysis

2.1.3 Prioritization of Slums

- 1) Infrastructure Deficiency Analysis
- 2) Vulnerability Analysis
- 3) Scoring, Ranking and Prioritization of Slums

Step 3: Formulation of Detailed Slum Intervention Strategies

- 2.2 Analysis of Prioritised slums w.r.t Land Values, Ownership, Density etc.
- 2.3 Formulation of Basic and Detailed Development Strategies

SECTION 3 – SLUM PREVENTION STRATEGY

Step 4: Assessment of Urban Poor Housing Shortage, Supply and Demand Constraints

- 3.1 Assessment of Housing Supply Trends for the Urban Poor
 - 3.1.1 Housing Supply Trends for the Urban Poor
 - 3.1.2 Spatial Distribution of Affordable Housing Pockets
- 3.2 Assessment of Existing and Future Housing Shortage, Supply and Demand Constraints
 - 3.2.1 Existing Housing Shortage
 - 3.2.2 Likely future Housing Shortage
 - 3.2.3 Review of Building Rules and Approval Processes
 - 3.2.4 Estimate of Land availability for Future Housing
 - 3.2.5 Ascertaining the constraints in the Rental Housing Market
 - 3.2.6 Constraints in Transaction Processes for Land and Building

Step 5: Formulation of Future Supply Options and Policy Reforms

- 3.3 Formulation of Future Supply Options and Policy Reforms
 - 3.3.1 Supply Strategies to cater to Future Housing Shortage
 - 3.3.3 Policy Reforms to facilitate Future Housing Supply.

SECTION 4 – FINANCING AND IMPLEMENTATION STRATEGY

Step 6: Investment Requirements and Financing Plan

4.1 Investment Requirements and Financing Plan

4.1.1 Estimation of Investment Requirements

4.1.2 Financial Plan linked to phase wise coverage of slums and creation of affordable housing stock

Step 7: Credit Plan

4.2 Formulation of a Credit Plan

4.2.1 Review of Existing Housing Finance Options for the Urban Poor

4.2.2 Review of the Credit Profile of urban poor

4.2.3 Review of Banker's Measures and Procedures for Lending to Urban Poor from both Bankers and Community Perspective

4.2.4 Scanning the Existing Credit Enablement Schemes of GoI

4.2.5 The Credit Plan

Step 8: Institutional Arrangements for Implementation

4.3 Institutional Arrangements for Implementation of Development Options

4.3.1 Indicative Implementation Modes

4.3.2 Roles and Responsibilities of Institutions

SECTION 6 – CONCLUSION

Snapshot containing the key features of the SFCPoA highlighting the total financial requirement

.....



Timeline for implementation of SFCPoA

	M1	M2	M3	M4
Step 1: Beginning the SFCPoA process				
Step 2: Assessment of Present Status Of Slums				
Step 3: Formulation of Slum Development Options				
Step 4: Estimating urban poor Housing Shortage, and Identifying Supply & Demand Constraints				
Step 5: Framing future supply strategy and suggesting reforms				
Step 6: Assessment of Investment Requirements and Preparation of a Financial Plan				
Step 7: Formulating a Credit Plan				
Step 8: Formulating Institutional frameworks for implementation of SFCPoA				
Step 9: Finalization of SFCPoA				

Annexure 15: Indicative Contents of SFCPoA for smaller cities (less than 3 lac population) and Indicative Timelines

For cities with less than 3 lac population included during the implementation phase need not follow the elaborate process of Slum Free City Planning as being done for larger cities with more than 3 lac population.

The process of preparation of GIS mapping and GIS-MIS integration need not be done for these smaller cities. In addition suggesting policy reforms under the preventive strategy also need not be included in these plans.

However all the other steps viz: **SFCPoA entry point activities** such as **Stakeholder Consultations; Curative Strategy steps; City Profiling, Slum Profiling***, **Tenability Analysis, Prioritization of Slums and Formulation of Slum Intervention Strategies; Preventive Strategy steps; Assessment of Present and Future Housing Shortage for Urban Poor and Framing Future Supply Strategies for Urban Poor, Formulation of Investment Requirements, Credit Plan and Institutional Arrangements;** need to be adhered to as per these guidelines.

*Slum Profiling data may be filled up in the formats as uploaded in the Ministry's web site (http://www.mhupa.gov.in/ray/Annexure_I_Slum_Survey_Format_Revised_for_RAY.pdf) and circulated vide D.O letter (No-N-1101/43/2013-RAYII) following the highlighted fields only. The data could be extracted from the ongoing USHA surveys and other secondary data from the ULB records.

All cities covered in preparatory phase and to be included during implementation phase (irrespective of city population), will be required to undertake data entry into Online Monitoring System for Slum, Household & Livelihood Survey.

The following Indicative Contents could be followed for the smaller cities:



Executive Summary

SECTION 1: INTRODUCTION

Step 1: Beginning the SFCPoA process

2) SFCPoA Entry Point Activities

1.4. SFCPoA Preparation Methodology

1.5. Stakeholders Consultation Workshops –Summary and Findings

1.6. City Profile

1.6.1. City Overview

- *Physical Characteristics of the City*
- City Spatial Growth Patterns
- Social and Demographic profile
- Economic profile
- Housing Profile
- Physical Infrastructure Profile

1.6.2. Review of Existing Policies, Programmes and Projects related to Slums and Housing

SECTION 2: SLUM IMPROVEMENT STRATEGY

Step 2: Assessment of Present Status or Condition of Slums

2.1 Assessment of Present Status or Condition of Slums

2.1.1 Development of Municipal Information Base for All Slums

1) Slum Profile

2.1.2 Categorization of Slums

1) Tenability Analysis

2.1.3 Prioritization of Slums

1) Infrastructure Deficiency Analysis

2) Vulnerability Analysis

3) Scoring, Ranking and Prioritization of Slums

Step 3: Formulation of Detailed Slum Intervention Strategies

2.4 Analysis of Prioritized slums w.r.t Land Values, Ownership, Density etc.

2.5 Formulation of Basic and Detailed Development Strategies

SECTION 3 – SLUM PREVENTION STRATEGY

Step 4: Assessment of Urban Poor Housing Shortage

3.1 Assessment of Housing Supply Trends for the Urban Poor

3.2 Assessment of Existing and Future Housing Shortage, Supply and Demand

Constraints

3.2.1 Existing Housing Shortage

3.2.2 Likely future Housing Shortage

3.2.3 Ascertaining the constraints in the Rental Housing Market

Step 5: Formulation of Future Supply Options and Policy Reforms

3.3 Formulation of Future Supply Options and Policy Reforms

3.3.1 Supply Strategies to cater to Future Housing Shortage

SECTION 4 – FINANCING AND IMPLEMENTATION STRATEGY

Step 6: Investment Requirements and Financing Plan

4.1 Investment Requirements and Financing Plan

4.1.1 Estimation of Investment Requirements

4.1.2 Financial Plan linked to phase wise coverage of slums and creation of affordable housing stock

Step 7: Credit Plan

4.2 Formulation of a Credit Plan

4.2.1 Review of Existing Housing Finance Options for the Urban Poor

4.2.2 Review of the Credit Profile of urban poor

4.2.3 Review of Banker's Measures and Procedures for Lending to Urban Poor from both Bankers and Community Perspective

4.2.4 Scanning the Existing Credit Enablement Schemes of GoI



4.2.5 The Credit Plan

Step 8: Institutional Arrangements for Implementation

4.2 Institutional Arrangements for Implementation of Development Options

4.2.1 Indicative Implementation Modes

4.2.2 Roles and Responsibilities of Institutions

SECTION 6 – CONCLUSION

Snapshot containing the key features of the SFCPoA highlighting the total financial requirement.

Timeline for implementation of SFCPoA for smaller cities

	M1	M2	M3
Step 1: Beginning the SFCPoA process	■		
Step 2: Assessment of Present Status of Slums	■		
Step 3: Formulation of Slum Development Options		■	
Step 4: Estimating urban poor Housing Shortage,	■		
Step 5: Framing future supply strategy		■	
Step 6: Assessment of Investment Requirements and Preparation of a Financial Plan			■
Step 7: Formulation of a Credit Plan		■	
Step 8: Formulating Institutional frameworks for implementation of SFCPoA			■
Step 9: Finalization of SFCPoA			■

Annexure 16: Checklist for preparation of SFCPoA

STEP 1: INITIATION OF SFCPOA

1. Have elected representatives, CBOs / NGOs, city eminent groups, private sector etc., participated in the consultative workshops / meetings?
2. Have all the stakeholders understood the processes and procedures of RAY?
3. Has data collation section of City Profile been completed?
4. Has assessment of existing policies / programmes / projects related to slum development and housing been done and documented as per format given in the guidelines?

SLUM IMPROVEMENT STRATEGY

STEP 2: ASSESSMENT OF PRESENT STATUS OF SLUM

1. Has an updated list of slums been prepared in consultation with elected representatives and local community through physical verification? **(NA for smaller cities)**
2. Is high-resolution satellite image(s) or base map available with ULB or any other concerned department? If yes, has geo referenced base map been prepared. If no, then answer next question. **(NA for smaller cities)**
3. Has latest high-resolution satellite image been procured? If yes, has geo-referenced base map been prepared? **(NA for smaller cities)**
4. Have slum boundaries (i.e. notified, non-notified and newly identified slums) been marked on the Geo-referenced base map of “planning area” and physically verified in consultation with elected representatives and local community? **(NA for smaller cities)**
5. Has vacant land been identified and marked on GIS base map? **(NA for smaller cities)**
6. Has ULB completed the data profile of the slums as per formats uploaded in the Ministry's web site? (www.mhupa.gov.in/ray/ray_index.htm)
7. Have all slums on Central Government lands been listed?
8. Has tenability analysis been done for all slums?
9. Whether infrastructure deficiency and vulnerability analysis has been done for all tenable slums. If yes then is it included in SFCPoA?
10. Has matrix been developed for ranking all tenable slums?

11. Have tenable and un-tenable slums been prioritised?

STEP 3: FORMULATION OF SLUM INTERVENTION OPTIONS

1. Has prioritised slum list for untenable slums been analysed with respect to land ownership and land availability, location in relation to existing employment and services, access to transport nodes and routes through a transparent and consultative process?
2. Have detailed slum intervention strategies been developed in consultation with the concerned stakeholders from the technical point of view including viability and feasibility?
3. Have the existing credit options for slum dwellers for up-gradation been ascertained?

SLUM PREVENTIVE STRATEGY

STEP 4 ESTIMATING URBAN POOR HOUSING SHORTAGE AND IDENTIFYING SUPPLY AND DEMAND CONSTRAINTS.

1. Has the housing supply trend for the urban poor been assessed over the last five-ten years through secondary sources and stakeholder consultations?
2. Has the rental housing supply and demand market for the urban poor been reviewed both qualitatively and quantitatively?
3. Has the existing and future housing shortage for urban poor been estimated?
12. Has the land use conversion and development permission processes been reviewed with respect to the time consumed and complexity of procedural clearances? **(NA for smaller cities)**
13. Have the building rules at the dwelling unit level and layout level for provision of affordable housing been reviewed with respect to optimizing the cost of a smallest house? **(NA for smaller cities)**
4. Has potential vacant land available been estimated?
5. Has the adequacy of vacant land available been checked with respect to land requirement for likely future housing requirement?
14. Has the vacant land availability with trunk infrastructure and appropriate zoning been marked on the GIS base map? **(NA for smaller cities)**
6. Has the housing finance system been evaluated with reference to the options for housing credit available for the urban poor through stakeholder interactions?

7. Have the constraints in the rental housing market been ascertained?

STEP 5: IDENTIFYING SUPPLY AND DEMAND SIDE REFORMS AND FRAMING FUTURE SUPPLY STRATEGY

1. Have supply options and strategies been framed to cater to the existing housing shortage and future housing need?
2. Have policy reforms been identified from the supply side to unlock land, catalyze the land and building approval processes, increase future supply options including rental housing? . (NA for smaller cities)
3. Have policy reforms been identified to reduce the demand side constraints particularly with reference to increasing housing credit options?
4. Has a strategy been framed for achieving the policy reforms within a specified time frame? **(NA for smaller cities)**
5. Has the supply strategy been ratified through stakeholder consultations?

FINANCIAL AND IMPLEMENTATION STRATEGY

STEP 6: INVESTMENT REQUIREMENTS AND FINANCING PLAN

1. Whether all components have been considered for estimation for development/up-gradation of all slums?
2. Whether investment requirements have been worked out for the supply of housing for urban poor estimated in the preventive section?
3. Have all available resources been listed?
4. Have gaps between resources available and investments requirements been identified and documented?
5. Has a financial plan (phase wise) as per the format been prepared?

STEP 7: FORMULATING A CREDIT PLAN

1. Have the existing housing finance options for the urban poor been reviewed in close consultations with both borrowers and lenders?
2. Has the credit profile for typical slums or urban poor pockets been reviewed?
3. Have the documentations and procedures prescribed by the bankers for the urban poor been reviewed from both the borrowers and lenders side?
4. Have the existing credit enablement schemes of the Government of India been studied for appropriate inclusion in the credit plans?

FINALISATION OF SFCPoA

STEP 8: INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTATION OF SFCPOA

1. Have indicative implementation modes been prepared through a consultative process?
2. Have institutions and agencies been identified for each implementation mode?
3. Have roles and responsibilities been defined and agreed upon for each identified institution?

STEP 9: FINALISATION OF SFCPOA

1. Has the draft SFCPoA been presented to the concerned stakeholders and feedback elicited?
2. Has appropriate feedback been incorporated in the draft SFCPoA?
3. Has the draft SFCPoA been approved by the SLNA and SLSMC?
4. Has the draft SFCPoA been presented to the CSMC Sub-Committee and feedback elicited?
5. Have the feedback of the CSMC Sub-Committee been incorporated in the final SFCPoA and submitted to the Ministry?