


**REGISTERED POST/BY HAND**  
No.N-11026/1/2010/BSUP/JNNURM -Vol. VIII  
Government of India  
Ministry of Housing and Urban Poverty Alleviation

Room No. 201, G Wing, Nirman Bhavan  
New Delhi, dated 22<sup>nd</sup> April, 2010

**OFFICE MEMORANDUM**

The undersigned is directed to enclose herewith a copy of minutes of the 83<sup>rd</sup> Meeting of Central Sanctioning and Monitoring Committee of Ministry of Housing and Urban Poverty Alleviation held on 30<sup>th</sup> March, 2010 under the Chairpersonship of Secretary (HUPA) to consider and sanction projects under Sub-Mission on Basic Services to the Urban Poor (BSUP) under Jawaharlal Nehru National Urban Renewal Mission (JNNURM).

2. The appraisal agencies (i.e. HUDCO, BMTPC) are requested to convey the decisions of the Central Sanctioning & Monitoring Committee to all the State implementing agencies/nodal agencies for BSUP and IHSDP to take appropriate follow up action as per the minutes of the meeting.
3. A copy of the minutes is forwarded to the Secretaries in-charge of BSUP and IHSDP in the States/UTs with a request to take further follow up action.

  
(M. Jayachandran)  
Deputy Director (BSUP)  
Telephone 011-2306 1519

**Encl: Minutes of the meeting**  
**To**

**Members of the CSMC as follows:**

1. The Secretary, Ministry of Urban Development, Nirman Bhavan, New Delhi.
2. The Secretary, Ministry of Finance, Department of Expenditure, New Delhi.
3. The Principal Adviser (HUD), Planning Commission, Yojana Bhavan, New Delhi.
4. The Secretary, Ministry of Environment and Forests, Paryavaran Bhavan, CGO Complex, Lodhi Road, New Delhi.
5. The Secretary, Ministry of Social Justice and Empowerment, Shastri Bhavan, New Delhi.
6. The Secretary, Ministry of Health and Family Welfare, Nirman Bhavan, New Delhi.
7. The Secretary, Department of School Education & Literacy, Shastri Bhavan, New Delhi.
8. The Joint Secretary and FA, Ministry of Urban Development and Ministry of HUPA, New Delhi.
9. The Chief Planner, Town and Country Planning Organisation (TCPO), I.P. Estate, New Delhi.
10. The Adviser, CPHEEO, Ministry of Urban Development, Nirman Bhavan, New Delhi.
11. The CMD, Housing and Urban Development Corporation Ltd., HUDCO Bhavan, India Habitat Centre, Lodhi Road, New Delhi.
12. The Mission Director & Additional Secretary (JNNURM), Ministry of Housing and Urban Poverty Alleviation, New Delhi - Member-Secretary

Copy to the Secretaries in charge of Basic Services to the Urban Poor (BSUP) and Integrated Housing & Slum Development Programme (IHSDP) in the States/UTs:-

The Principal Secretary, Urban Development & Municipal Administration Department Government of Andhra Pradesh, L-Block Secretariat Hyderabad - 500 002	The Principal Secretary, Housing Department, Government of Andhra Pradesh, L-Block, A.P. Secretariat, Hyderabad - 500 002
The Secretary, Municipal Administration Department, Government of Andhra Pradesh, L-Block Secretariat, Hyderabad-500 002.	The Principal Secretary, Urban Development & Tourism, Government of Arunachal Pradesh, Civil Secretariat, Itanagar.
The Commissioner & Secretary, UD Department, Government of Assam, Assam Secretariat, Dispur, Guwahati -781 006.	The Secretary, Urban Development Department, Government of Bihar, Vikash Bhawan, New Secretariat, Patna..
The Additional Secretary & Director (BUDA), Urban Development Department, Government of Bihar, Vikash Bhawan, Patna.	The Secretary (Housing), Government of Bihar Sachivalaya Patna - 800 015
The Secretary, Urban Administration & Development Department, Government of Chhattishgarh, Room NO 316, DKS Bhawan, Mantralaya, Raipur -492 001.	The Secretary (Housing) Government of Goa, Secretariat Annexe, EDC House, Panaji- 403 001
The Principal Secretary(UD) & Housing, Government of Gujarat, Block No, 14, 9 <sup>th</sup> Floor, New Sachivalaya, Gandhinagar-382 010.	The Chief Executive Officer, Gujarat Urban Development Mission, GMFB Building, Sector-10A, Gandhinagar - 382 016
The Commissioner & Secretary, Department of Urban Development, Government of Haryana, SCO-20 Sec.7C, Chandigarh - 160 001.	The Secretary (UD), Government of Himachal Pradesh, Shimla - 171 002
The Secretary, Housing and UD Department, Government of Jammu & Kashmir, New Secretariat, Srinagar.	The Principal Secretary (Housing), Government of Himachal Pradesh, Shimla - 171 002
The Director, Urban Local Bodies Government of Jammu & Kashmir, 151-A/D, Gandhi Nagar, Jammu.	The Secretary Urban Development Department, Government of Jharkhand, Ranchi -834 004.
The Secretary (Housing) Government of Jharkhand, Project Building, Dhurwa, Ranchi-834004	The Principal Secretary (Housing) Government of Karnataka, Room No.213, 2 <sup>nd</sup> Floor, Vikas Sauda Dr. B.R. Ambedkar Road, Bangalore-560 001

The Principal Secretary to Government UD Department, Government of Karnataka Room No.436, 4 <sup>th</sup> Floor, Vikas Sauda Dr. B.R.Ambedkar Road Bangalore 560 001	The Secretary (Housing), Government of Kerala, Secretariat, Thiruvananthapuram – 695 001
The Principal Secretary, Local Self Government Department Government of Kerala Thiruvananthapuram – 695 001	The Secretary , Local Self Government, Government of Kerala, Thiruvananthapuram-695 001
The Executive Director Kudumbashree State Poverty Eradication Mission Government of Kerala 2 <sup>nd</sup> Floor, TRIDA Building, Chalakupuzhy Road, Medical College (PO), Thiruvananthapuram 695 011.	The Principal Secretary, Urban Administration and Development Department, Government of Madhya Pradesh, Mantralaya, Bhopal - 462 032
The Principal Secretary (Housing & Environment), Government of Madhya Pradesh, Mantralaya, Ballabh Bhavan, Bhopal - 462 032	The Commissioner, Urban Administration & Development, Government of Madhya Pradesh, Nagar Palika Bhavan, Shivaji Nagar Bhopal -462 016
The Principal Secretary (UD), Government of Maharashtra, Room No.425, 4 <sup>th</sup> floor Mantraalaya, Mumbai-400 032	The Principal Secretary (Housing), Government of Maharashtra, Room No.268, 2 <sup>nd</sup> Floor, Mantralaya, Mumbai-400 032
Commissioner & Secretary, Urban Affairs & Housing, Government of Meghalaya, Main Secretariat Building Shillong-793 001	The Secretary, Housing, UD & Municipal Administration, Government of Manipur, Chief Secretariat, Imphal -795 001
The Commissioner & Secretary, Urban Development & Poverty Alleviation Department Government of Mizoram, Civil Secretariat, Aizwal-796 001.	The Principal Secretary, Urban Development Department, Government of Nagaland, Kohima – 797 001
The Commissioner & Secretary, Works & Housing, Government of Nagaland Kohima – 797 001	The Principal Secretary (Housing & UD), Government of Orissa, Orissa Secretariat, Bhubaneswar - 751 001
The Executive Director, Orissa Water Supply & Sewerage Board & Ex-Officio Additional Secretary to Government (Housing & Urban Development Department), Government of Orissa, Satyanagar, Bhubaneswar - 751 007	

The Principal Secretary(LSG) Government of Punjab Mini Secretariat Sector-9, Chandigarh 160 001	The Secretary (Housing & UD) Government of Punjab, Room No.419, Mini Secretariat, Sector-9 Chandigarh 160 001
The Principal Secretary, UDH & LSG Department, Government of Rajasthan Room No. 29, Main Building, Secretariat, Jaipur	The Secretary, Local Self Government Department, Government of Rajasthan , Room No.39, SSO Building, Government Secretariat , Jaipur 302 005.
The Secretary, Department of UD & Housing, Government of Sikkim, NH 31A, Gangtok - 737 101	The Secretary (Housing & UD), Government of Tamil Nadu, Fort St. George, Secretariat, Chennai - 600 009
The Secretary, Municipal Administration & Water Supply, Government of Tamil Nadu, 6 <sup>th</sup> Floor, Ezhilagam Annexe, Chepauk, Chennai- 600 009	The Secretary (UD), Government of Tripura Civil Secretariat, Pt. Nehru Complex, Agartala-799 001
The Principal Secretary (UD & MA) Government of Uttar Pradesh, Room No.825, 8 <sup>th</sup> floor, Babu Bhawan, Lucknow - 226 001	The Principal Secretary (Housing), Government of Uttar Pradesh, 325 Babu Bhawan, Lucknow - 226 001
The Director, SUDA, Government of Uttar Pradesh, Navchetna Kendra, 10, Ashok Marg, Lucknow.	The Principal Secretary (UD), Government of Uttarakhand, Uttarakhand Secretariat, 4 B, Subhash Road DEHRADUN - 248 001.
The Project Director (JNNURM), Urban Development Directorate, Government of Uttarakhand, 43/6, Mata Mandir Marg, Dharampur, Dehradun - 248 001	
The Principal Secretary (UD), Government of West Bengal, Nagarayan DF-8, Sector 1, Bidhannagar, Kolkata 700 064	The Secretary (UD & Housing), Chandigarh Administration, UT Secretariat, Sector 9, Chandigarh-160 001
The Secretary (Housing), Government of Puducherry, Chief Secretariat, Puducherry-605 001	The Secretary, Local Administration Department Government of Puducherry, Chief Secretariat, Puducherry-605 001
The Principal Secretary (UD), Government of NCT of Delhi, 9 <sup>th</sup> Floor, C Wing, Delhi Secretariat, IP Estate, New Delhi.	The Additional Secretary (UD), Government of NCT of Delhi, Delhi Secretariat, IP Estate, New Delhi-110 002
The Commissioner & Secretary, (Relief & Rehabilitation), UT of Andaman & Nicobar Islands, Secretariat, Port Blair -744 101	The Secretary (Housing & UD), UT of Daman & Diu, Secretariat, Moti Daman-396 220


The Secretary (Housing & UD),  
UT of Dadra & Nagar Haveli,  
Secretariat,  
Silvassa-396 220

The Chief Town Planner,  
Town & Country Planning Department,  
UT Administration of Dadra & Nagar  
Haveli, 2<sup>nd</sup> Floor, Secretariat,  
Silvassa - 396 230.

Copy to:

1. The Joint Secretary to Hon'ble Prime Minister (Kind attention Shri R. Gopalakrishnan),  
PMO, South Block, New Delhi.
2. PS to Hon'ble Minister (HUPA)
3. PSO to Secretary (HUPA)
4. Joint Secretary (H), Ministry of HUPA
5. The Joint Secretary (PP), Ministry of Minority Affairs, Room No.1125, 11<sup>th</sup> Floor,  
Paryavaran Bhavan, CGO Complex, New Delhi.
6. The Joint Secretary (UT), Ministry of Home Affairs, North Block, New Delhi
7. Director (UPA), Ministry of HUPA
8. OSD (JNNURM), Ministry of HUPA.
9. Director (JNNURM), Ministry of HUPA
10. Director (Administration), Ministry of HUPA
11. US(JNNURM), Ministry of HUPA
12. DD(JPC), NBO, Ministry of HUPA
13. DD(Data & MIS), NBO, Ministry of HUPA
14. DD (NRC), NBO, Ministry of HUPA
15. AO (JNNURM), Ministry of HUPA
16. SO (IHSDP), Ministry of HUPA
17. Monitoring Cell (JNNURM), Ministry of HUPA
18. The CMD, NBCC, "NBCC Bhavan", Lodhi Road , New Delhi-110 003
19. The CMD, HPL, Jangpura, New Delhi-110014
20. The Executive Director, BMTPC, Core 5 A, First Floor, India Habitat Centre, Lodhi  
Road, New Delhi-110 003
21. The Director (Corporate Planning), HUDCO, "HUDCO Bhavan", India Habitat  
Centre, Lodhi Road, New Delhi 110 003.
22. The Director, Indian Institute of Technology Roorkee, Roorkee, Uttarakhand - 247 667

Copy to:- Guard folder on JNNURM

  
(M. Jayachandran)  
Deputy Director (BSUP)

MINUTES OF THE 83<sup>rd</sup> MEETING OF THE CENTRAL  
SANCTIONING AND MONITORING COMMITTEE (CSMC) OF  
THE SUB-MISSION ON BASIC SERVICES TO THE URBAN  
POOR (BSUP) UNDER JAWAHARLAL NEHRU NATIONAL  
URBAN RENEWAL MISSION (JNNURM)

Nirman Bhawan, New Delhi, 30<sup>th</sup> March, 2010

The 83<sup>rd</sup> Meeting of the Central Sanctioning and Monitoring Committee (CSMC) of the Sub-Mission on Basic Services to the Urban Poor (BSUP) under Jawaharlal Nehru National Urban Renewal Mission (JNNURM) was held under the Chairpersonship of Secretary, Ministry of Housing and Urban Poverty Alleviation in New Delhi on 30<sup>th</sup> March, 2010 at 3 PM in Nirman Bhawan, New Delhi. The list of participants is at Annexure- I.

2. The Mission Director and Additional Secretary (JNNURM) welcomed the Chairperson and the participants. He requested the States to immediately review all the projects, especially those sanctioned in the initial period of JNNURM (2005-06 and 2006-07) and take remedial measures for implementing them. This should be done on a priority basis and State Secretaries should urgently conduct a detailed review of implementation of BSUP and IHSDP projects. If there is no probability of starting the projects in the next 3 months, the same should be dropped and alternative proposals may be mooted in their place. On its part, the Ministry would organise regional reviews and the first meeting in the financial year 2010-11 would be held in Bengaluru on 9<sup>th</sup> April, 2010. The meeting would review implementation of BSUP, IHSDP, preparatory activities under Rajiv Awas Yojana, SJSRY and USHA. The Mission Director requested the States/UTs not to be complacent on the implementation of reforms. There should not be any more delay in implementing the reforms as only two years of the Mission are left. States/UTs should complete the implementation of the three pro-poor reforms in the next 6 months. Similarly, States/UTs should ensure the conduct of Third Party Monitoring of all the BSUP and IHSDP projects and also social audit of the projects on a large scale. Where the States fail to submit TPIM report and satisfactory report on completion of pro-poor reforms, 2<sup>nd</sup> & final instalment under IHSDP and 4<sup>th</sup> and final instalment under BSUP would not be released. The States/UTs should submit detailed status of implementation of reforms with special reference to the 3 pro-poor reforms before seeking subsequent instalments setting milestones based on the advisory issued by 30.4.2010.

(Action: States/UTs/implementing agencies)

3.1. In her opening remarks, Secretary (HUPA) and Chairperson, CSMC said that States/ULBs should make more serious efforts for implementing the 3 pro-poor reforms which are central to the issues of inclusion of the poor in the urban development process. Similarly, they should conduct third

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party inspection of all the projects sanctioned and also ensure independent quality assurance by expert teams. Any laxity on the part of the States would result in holding up the release of further instalment of Central assistance. Regarding the proposed Rajiv Awas Yojana, Secretary (HUPA) said that all the States should take proactive action for the preparation of Slum-free City Plans and undertake capacity building at State level and cities identified.

3.2. Secretary (HUPA) informed that RAY would adopt a whole city approach and the Ministry of Housing & Urban Poverty Alleviation would support States/UTs to undertake developing Slum MIS and undertaking GIS Mapping of all slums in cities in a phased but time-bound manner. The Ministry would constitute a Technical Committee to guide GIS-based slum mapping and planning exercises shortly. She requested the State Secretaries to place core personnel in slum-free city cells and mobilize expert teams/agencies which could assist cities in the effort of GIS Mapping of slums and preparation of Slum-free City Plans comprehensively. She also said that the States may undertake capacity building/training exercises in tools and techniques to be used in developing GIS maps/Slum-free city plans, duly involving public and private sector agencies that could assist in the preparation of these maps/plans, integration of slums/households MIS with GIS-based maps, etc.

(Action: State/ULB)

4. OSD (JNNURM) and Director (NBO) requested the States/ULBs to put up a proper JNNURM logo on all the buildings constructed under BSUP and IHSDP. He requested the State and Appraisal Agencies to pay adequate attention to the observations made in various minutes of the meeting of CSMC and CSC. These observations/important points would help them effectively undertaking fresh projects as well as inspecting and monitoring already approved projects (Annexure II). He requested State Secretaries for submission of proposals for reimbursement of DPR charges and availing support under CDN component.

(Action: State/ULB)

5. For the CSMC Meeting, the following proposals were put up in the agenda:

(a) Proposals for 2<sup>nd</sup> instalment of ACA received from:

- i. Madhya Pradesh (1 project in Indore)
- ii. Maharashtra (1 project in Pune)
- iii. Punjab (1 project in Amritsar)
- iv. Uttar Pradesh (3 projects in Meerut)

(b) Proposal for 3<sup>rd</sup> instalment of ACA received from

- i. Maharashtra (1 project in Nagpur)

(c) Proposal for 2<sup>nd</sup>, 3<sup>rd</sup> and 4<sup>th</sup> instalment of ACA together received from

- i. Delhi (1 project at Bawana, Narela and Bhorgarh)

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(d) Proposal received from Kerala for TPIM

(e) Special Agenda: -

- i. Financial Support for Project Management and Community Mobilisation relating to implementation of BSUP and IHSDP; and
- ii. Appointment of HUDCO as Central Monitoring Agency

Brief details of the agenda are at **Annexure-III**.

6. Proposals for 2<sup>nd</sup> instalment of ACA

**Madhya Pradesh (1 project in Indore)**

6.1. The representative of the State of Madhya Pradesh made a presentation on the proposal seeking release of 2<sup>nd</sup> instalment of ACA for 1 BSUP project in Indore. The Committee observed the following:-

- Detailed status report on implementation of the 7 point charter has not been furnished;
- TPIM report has not been made available along with comments of SLNA thereon;
- Information on publication of beneficiary list has not been furnished; and
- Out of 4132 DUs sanctioned work has started for only 1804 units.

6.2. The representative of the State informed that due to resistance from some of the beneficiaries and some local elements, the ULB could not start construction in all the units. However, work is progressing well in all the other units. Construction of 304 units has been completed and the units are ready to be occupied.

6.3. Representative of the Central Monitoring Agency (BMTPC) informed that quality of construction conforms to the prescribed norms.

6.4. The Committee decided that the State should (i) give a plan of action and milestones on the implementation of 3 pro-poor reforms; (ii) submit TPIM report along with comments of SLNA, put the list of beneficiaries on the website of the State/ULB and carry out biometric identification of the beneficiaries. The Committee approved the release of 2<sup>nd</sup> instalment of ACA, subject to the condition that in case the ULB could not start construction of remaining 2328 DUs immediately, they should bifurcate the project into two phases (1 phase covering the DUs started and the 2<sup>nd</sup> phase for the DUs yet to be started). Accordingly, Central fund released/to be released would be calculated proportionately and adjusted. The State/ULB should inform the

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Ministry about the status of progress of work within 1 month. Details of the approval are at Annexure-IV (Col. A).

(JNNURM Directorate to recommend release of 2<sup>nd</sup> instalment; State to take action on the observation/decision of the Committee)

**Maharashtra (1 project in Pune)**

6.5. The representative of the State of Maharashtra made a presentation on the proposal seeking release of 2<sup>nd</sup> instalment of ACA for 1 project in Pune. The Committee observed the following:-

- Information on publication of beneficiary list in the website has not been furnished;
- Out of 2576 DUs sanctioned work has started only for 1568 DUs. Land for 1008 DUs is yet to be acquired; and
- Report on implementation of the reform relating to reservation of land for the poor in housing colonies has not been furnished.

6.6. The representative of the State informed that action has been taken for acquiring land for 1008 DUs. It is expected that the same would be completed within 1 month. He said that work has started for 60% of the sanctioned DUs and the process for starting the work for the remaining units by acquiring land is in process. He also informed that the ULB has contributed and expended fund in excess of its share and requested for releasing the 2<sup>nd</sup> instalment. He also made a presentation on the status of implementation of the 3 pro-poor reforms.

6.7. The Committee decided that the State should (i) give a plan of action and milestones on the implementation of 3 pro-poor reforms; (ii) submit TPIM report along with comments of SLNA, (iii) put the list of beneficiaries on the website of the State/ULB and (iv) carry out biometric identification of the beneficiaries. The Committee approved release of 2<sup>nd</sup> instalment of ACA, subject to the condition that in case the ULB could not resolve acquisition of land for the remaining 1008 DUs immediately, they should bifurcate the project into two phases (1 phase covering the DUs started and the 2<sup>nd</sup> phase for the DUs yet to be started). Accordingly, Central fund released/to be released would be calculated proportionately and adjusted. The State/ULB should inform the Ministry about the status of acquisition of land within 1 month. Details of the approval are at Annexure-IV (Col. B).

(JNNURM Directorate to recommend release of 2<sup>nd</sup> instalment as per the decision of the Committee; State to take action on the observation/decision of the Committee)

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## Punjab

6.8. The representative of the State of Punjab made a presentation on the proposal seeking release of 2<sup>nd</sup> instalment of ACA for 1 project in Amritsar. He also requested the Committee to consider sanction of Central assistance to meet escalation in the cost of construction of housing units. The Committee observed the following:-

- Detailed status report on implementation of the 7 point charter has not been furnished;
- TPIM report has not been furnished;
- The State has not come up with policy on reservation of land for the poor in housing colonies;
- State has not fully released its matching share (shortage of Rs.28.56 lakh against Rs.62.45 lakh); and
- Information on the publication of beneficiary list has not been furnished.

The Committee further observed that any escalation in the cost of the project should be borne by the State/ULB as is being done in other States and the Centre would not fund cost escalation.

6.9. The representative of the State made a presentation on the status of implementation of 3 pro-poor reforms. He informed that a Resolution would be passed in the month of May, 2010 for earmarking at least 20-25% of developed land in all housing projects (both Public and Private Agencies) for EWS/LIG category. He further informed that the State has since released its share fully. He said that all the beneficiaries for the project have been identified.

6.10. The Committee decided that the State should (i) give a plan of action and milestones on the implementation of 3 pro-poor reforms; (ii) submit TPIM report along with comments of SLNA, (iii) put the list of beneficiaries on the website of the State/ULB and (iv) undertake biometric identification of the beneficiaries early. The Committee approved release of 2<sup>nd</sup> instalment of ACA. Details of the approval are at Annexure-IV (Col. C). An excess amount of Rs.18,000 released towards 1<sup>st</sup> instalment will be reduced from the 2<sup>nd</sup> instalment. Accordingly, the 2<sup>nd</sup> instalment is Rs.71.87 lakh.

(JNNURM Directorate to recommend release  
of 2<sup>nd</sup> instalment as per the decision of the  
Committee; State to take action on the  
observation/decision of the Committee)

## Uttar Pradesh (3 projects in Meerut)

6.11. The representative of the State of Uttar Pradesh made a presentation on the proposal seeking release of 2<sup>nd</sup> instalment of ACA for 3 projects in Meerut. The Committee observed the following:-

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- State has not released its matching share fully in 2 projects (Rs.27.83 lakh shortage against Rs.322.72 lakh in the project titled "Implementation of BSUP at Meerut for construction of 852 DUs at Meerut" and Rs.28.75 lakh shortage against Rs.245.42 lakh in the project titled "BSUP scheme for Abdullapur & Karimnagar, Meerut").
- The State should submit revised details of financial progress in respect of the project titled "Implementation of BSUP at Meerut for construction of 852 DUs at Meerut" as there is discrepancy in the data;
- Though work has started for all the sanctioned DUs, the progress of construction is yet to pick up pace. The State should accelerate implementation of the project; and
- The SLNA should coordinate with the concerned Departments regarding reservation of land in public and private housing colonies for the poor duly amending town planning/urban development and other regulations.

6.12. The representative of the State informed that full amount of matching State share would be released immediately.

6.13. The Committee decided that the State should (i) give a plan of action and milestones on the implementation of 3 pro-poor reforms; (ii) submit TPIM report along with comments of SLNA; (iii) put the list of beneficiaries on the website of the State/ULB and (iv) undertake biometric identification of the beneficiaries early. The Committee approved release of 2<sup>nd</sup> instalment of ACA. Details of the approval are at Annexure-IV (Col.D, E & F). Recommendation for release of ACA for 2 of the 3 projects would be made on receipt of formal communication that full matching State share has been released and after rectifying the discrepancy in the data furnished for one project.

(JNNURM Directorate to recommend release of 2<sup>nd</sup> instalment of ACA for 1 project. For the remaining 2 projects on receipt of formal communication that full matching share has been released and after rectifying the discrepancy in the data furnished for one project; State to take action on the observation/decision of the Committee)

## 7. Proposals for 3<sup>rd</sup> instalment of ACA received from

### Maharashtra

7.1. The representative of the State of Maharashtra made a presentation on the proposal seeking release of 3<sup>rd</sup> instalment of ACA for 1 project in Nagpur. The Committee observed the following:-

- Original UC is yet to be furnished.

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- Report on implementation of 3 pro-poor reform should be submitted.

7.2. The Committee decided that the State should give a plan of action and milestones on the implementation of 3 pro-poor reforms. The State/ULB should identify the number of people benefited out of the infrastructure development scheme (the project has no housing component) and put the details on the website of the State/ULB. The Committee approved release of 3<sup>rd</sup> instalment of ACA. Details of the approval are at Annexure-V. Recommendation for release of ACA will be made on receipt of original UC

(JNNURM Directorate to recommend release of 3<sup>rd</sup> instalment on receipt of original UC; State to take action on the observation/decision of the Committee)

8. Proposal for 2<sup>nd</sup>, 3<sup>rd</sup> and 4<sup>th</sup> instalment of ACA together received from Delhi.

The Committee deferred the proposal received from the National Capital Territory of Delhi seeking release of 2<sup>nd</sup>, 3<sup>rd</sup> and 4<sup>th</sup> instalment together for 1 BSUP project at Bawana, Narela and Bhorgarh as no representative of the State was available to present the proposal. The Committee observed that a senior officer of the State should be present to explain the details of progress of the project as well as about reforms before the Committee. The State should also submit TPIM report/quality certificate

(Action: State Government)

9. Proposal for setting up of TPIM in Kerala

9.1. Director (JNNURM) made a presentation on the proposal from the State of Kerala seeking approval of the Committee for establishing TPIM Agency in the State. The Committee observed that proposal is in accordance with Guidelines.

9.2. The Committee approved the proposal to appoint M/s Mahindra Consulting Engineers, Chennai as the TPIM agency for BSUP and IHSDP projects in the State, subject to State giving a certificate to the following effects:

- i. CVC/State Government guidelines for award of contract have been followed;
- ii. There is no conflict of interest as per the provision in the TPIM toolkit;
- iii. The selected agency is allotted the work for TPIMA within the ceiling limit of toolkit provided by Ministry of HUPA;

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- iv. Proposed rates of the agency for TPIMA are inclusive, or exclusive of taxes quoted by the firms, and taxes, if any, shall be chargeable as per norms;
- v. TPIMA reports will be sent with comments of SLNA thereon as per toolkit of the Ministry; and
- vi. Approval of SLSC/SLCC has to be obtained.

Approved amount for the agency (BSUP/IHSDP-wise) is at Annexure-VI. The release of fund would be subject to fulfillment of conditions and submission of SLSC approval.

(Action: State Government)

#### 10. Proposal received from Kerala for comprehensive capacity building

10.1. The representative of the State of Kerala sought to make a presentation on the proposal seeking Central assistance for comprehensive capacity building for urban governance and urban poverty alleviation.

10.2 OSD (JNNURM) stated that proposal has not been appraised by Committee of Directors for this purpose and not part of Agenda. The Committee, however, asked the representative of State to present the proposal. The State representative, while presenting the proposals, said that the focus of the programme would be on (i) decentralization and (ii) urban poverty alleviation. The State intends to utilise the expertise of Kerala Institute of Local Administration (KILA) in these fields (proposals is at Annexure VII).

10.3. The Committee observed that the proposal seeks to set up a centre as an adjunct to KILA and not as an independent centre with expertise needed for the urban sector. It further observed that the State should rework the proposal and consider networking of the proposed centre with reputed institutions and provide for a robust management structure for the institution. The State may refer to the proposals from the States of Gujarat, Andhra Pradesh, etc that were cleared in the previous meetings of the Committee. Accordingly, the Committee deferred the proposal.

#### 11. Special Agenda: -

- i. Financial Support for Project Management and Community Mobilisation relating to implementation of BSUP and IHSDP; and
- ii. Appointment of HUDCO as Central Monitoring Agency

11.1. The Committee briefly discussed two proposals put up before its consideration by the JNNURM Directorate of the Ministry - (i) Financial

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Support for Project Management and Community Mobilisation relating to implementation of BSUP and IHSDP; and (ii) appointment of HUDCO as another Central Monitoring Agency for BSUP and IHSDP projects.

11.2. The Committee decided that the proposal (i) should be reexamined in the context of the existing arrangement under PMU and PIU so that duplication can be avoided. Regarding proposal (ii) the function and scope of the existing Monitoring agency and the requirement of personnel for the purpose of central inspection and monitoring as well as strengthening of JNNURM Directorate need to be examined in a holistic manner. The JNNURM Directorate should also study the field level supervision models in Karnataka and Andhra Pradesh. Accordingly, the proposal was deferred. It was suggested that the proposal from HUDCO with the details of personnel proposed for monitoring-related works would need to be first examined on file and then put up before the CSMC.

(Action: JNNURM Directorate)

12. The meeting ended with a vote of thanks to the chair.

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**LIST OF PARTICIPANTS IN THE 83<sup>rd</sup> MEETING OF CENTRAL  
SANCTIONING AND MONITORING COMMITTEE (CSMC) OF BSUP HELD  
UNDER THE CHAIRPERSONSHIP OF SECRETARY (HUPA) ON 30.3.2010**

1. Ms. Kiran Dhingra, Secretary, ..... in Chair  
Ministry of Housing and Urban Poverty Alleviation
2. Dr. P.K. Mohanty, Additional Secretary & Mission Director (JNNURM), MoHUPA
3. Shri D.S. Negi, OSD (JNNURM), MoHUPA
4. Shri Vivek Nangia, Director (JNNURM), MoHUPA
5. Shri Sankaranarayanan. M, Deputy. Advisor (PHE), CPHEEO, Ministry of Urban  
Development
6. Shri Naresh K Dhiran, Town Planner, TCPO, MoUD
7. Shri V K Gupta, Deputy Financial Adviser, MoHUPA
8. Shri Umraw Singh, Deputy Director, MoHUPA
9. Ms Philomena Raphael, AO (JNNURM), MoHUPA
10. Shri Afshna Parween, Chairman, Araria Nagar Parishad
11. Shri Paras Bhagat, Vice Chairman, Araria Nagar Parishad
12. Shri B. Talukdar, Deputy Resident Commissioner, Government of Arunachal Pradesh
13. Dr. (Ms) Sharmila Mary Joseph, Project Director, KSUDP & Director (Urban Affairs),  
Government of Kerala
14. Shri N. S Bhide, Executive Engineer, IMC, Indore
15. Shri Mahesh Kukreja, Contracts Manager, IMC, Indore
16. Shri DPS Kharbada, Commissioner, Municipal Corporation, Amritsar, Punjab
17. Shri P K Goel, Executive Engineer (Civil), Punjab
18. Shri Rajnish Kalra, SLNA, Punjab
19. Shri Sunny Hakkar, MC, Amritsar, Punjab
20. Shri M. Raveendrappa, Technical Director, KSCB, Bengaluru, Karnataka
21. Shri Ajit S. Bankar, MHADA, SLNA, Maharashtra
22. Shri R Anand Kumar, Executive Engineer, NIT Nagpur, Maharashtra
23. Shri Sandeep Bapat, NIT Nagpur, Maharashtra
24. Shri Satish Kumar, Consultant, Space Design Group, Delhi
25. Shri Mahendra Dave, Consultant, Maharashtra
26. Shri S. Eshwariah, Chief Engineer, A.P State Housing Corporation Ltd, A.P
27. Shri C H Mallikarjunuu, Deputy Chief Engineer, PHED, Andhra Pradesh
28. Ms Chhanda Sircar, Director, SUDA, Government of West Bengal
29. Shri Biswajit Das, Executive Engineer, SUDA, Government of West Bengal
30. Shri Chintamani, Director, SUDA, Government of Uttar Pradesh, Lucknow
31. Shri M. Quasim Mirza, SUDA, Lucknow
32. Sri Rajiv Pandey, SUDA, Government of Uttarakhand, Dehradun, Uttarakhand
33. Shri P. K Bansal, E.O, Nagar Parishad, Landhaura, Uttarakhand
34. Shri B. S Panwar, E.O, NPP, Jaspur, Uttarakhand
35. Shri K Palaniappan, Nodal Agency, Government of Arunachal Pradesh
36. Shri S. Sunderlal Singh, Commissioner (MAHUD), Government of Manipur
37. Ms Y. Narmdada Devi, Associate Planner, Town Planning Department, Manipur
38. Shri Neprah Gitkuhar Singh, Town Planning Department, Manipur
39. Shri KSH Aber Singh, Executive Officer, Kakching Municipal Council, Manipur
40. Shri N. Sanajaoba Singh, Executive Officer, Bishnupur Municipal Council, Manipur
41. Shri M. Nishikanta Singh, Development Officer, HUDCO, Imphal, Manipur
42. Shri S. K Chaudhary, Executive Director, HUDCO, New Delhi
43. Ms. Usha P. Mahavir, Deputy Chief, HUDCO, New Delhi
44. Ms Radha Roy, Assistant Chief, HUDCO, New Delhi
45. Shri V Arulkumar, Chief (Projects), HUDCO, Bengaluru

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46. Shri S. K Agrawal, Executive Director, BMTPC, New Delhi
47. Shri Panjkaj Gupta, Development Officer, BMTPC, New Delhi
48. Shri C. N Jha, Development Officer, BMTPC, New Delhi
49. Capt. S. Mukhopadhyay, Consultant, BMTPC, New Delhi
50. Shri M Jayachandran, Deputy Director, MoHUPA

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**IMPORTANT POINTS REGARDING FORMULATION,  
EXECUTION & MONITORING OF BSUP AND IHSDP  
PROJECTS**

**CDPs and Slum Development Plans**

- The first generation CDPs have not addressed the requirements of housing and infrastructure in slums/low-income settlements adequately. States/UTs should revisit their CDPs, identify all the slums in their cities and towns – both notified and non-notified, develop database, and assess the needs for both *in situ* and relocation projects. As far as possible, priority should be accorded to *in situ* development of slums, keeping the livelihood needs of the urban poor in view. Time-bound Slum Development Plans need to be prepared for all cities and towns to pursue the agenda of Slum-free Cities/Towns in view of the mandatory reform regarding the provision of entitlements and amenities to the urban poor in accordance with the 7-Point Charter of JNNURM.

**Slum & Socio-economic Surveys**

- Survey of slums and potential beneficiaries for coverage under BSUP and IHSDP projects is a must for the meaningful formulation of DPRs. All efforts should be made for the proper conduct of detailed slum surveys and household socio-economic surveys to identify the projects/facilities to be included under DPRs. The SLNAs concerned would be responsible for the conduct of various surveys under the guidance of the State Secretary concerned. OSD (JNNURM) will coordinate the conduct of surveys in BSUP cities/towns and other cities and towns covered / proposed to be covered under IHSDP. He will communicate necessary guidelines / formats for the conduct of Slum, Household and Livelihoods Surveys in States/UTs. Training programmes as required for effective survey works should be organised by SLNAs, coordinated by OSD (JNNURM).
- Surveys would facilitate the assessment of the felt-needs of slum-dwellers/urban poor, especially for housing and physical and social infrastructure including schools, health care centres and other social /community facilities like community halls, common facility centres etc. Such surveys should cover health, education and livelihood profiles of the urban poor. The survey findings must be utilized for designing good BSUP/IHSDP projects, taking into account important aspects such as dependency load in the existing schools, capacity in hospitals for in- and out-patients, need for multi-purpose community centres including livelihood centres, informal sector markets, etc. depending

on the occupational profiles of the beneficiaries and the likely numbers.

- In case there is time constraint, *regular slum survey and household socio-economic survey* can be preceded by *rapid slum and socio-economic surveys* for the purposes of assessing the state of basic amenities in slums and the felt-needs of beneficiaries, duly considering their broad social, economic, educational and skill profiles, main and subsidiary occupations etc. so that appropriate physical and social infrastructure facilities can be proposed in the DPRs.
- Each DPR should be accompanied by a list of beneficiaries based on the socio-economic survey. Efforts should be made to develop slums inhabited predominantly by SCs, STs and other weaker sections living in sub-human conditions. States/ULBs should ensure that houses under BSUP and IHSDP are provided to the needy and the properly targeted sections. The list of beneficiaries should be notified and placed in the website of the ULB/JNNURM.
- States/UTs should go in for issues of bio-metric identity cards to beneficiaries based on the socio-economic survey and computerization of data/records. This is to ensure that they do not sell the dwelling units and squat elsewhere. Further, the States/ULBs may impose conditions that the houses constructed under JNNURM cannot be transferred over a specified period or that the same would be on a long-term lease. The possibility of sale/alienation/misuse of housing units constructed under BSUP and IHSDP should be prevented.

#### Consultation with Beneficiaries

- Consultation with beneficiaries is a must before deciding on preparation of DPRs. Willingness of the beneficiaries should be taken for any rehabilitation/relocation projects proposed and also for payment of beneficiary contribution.
- Affordability of the urban poor should be kept foremost in view while working out beneficiary contribution. Any contribution amount beyond their financial capacity may lead to the imposition of undue burden on them. Therefore, special care needs to be taken while deciding upfront beneficiary contribution or EMI payment. States/UTs may arrange loans under Differential Rate of Interest scheme for beneficiaries to enable them to meet their share. Overall construction cost of the housing unit may also be kept at a minimum.

#### Mandatory Clearances/Approvals

- The State Level Nodal Agency/implementing bodies should ensure that the necessary clearances/approvals such as environmental clearance, Coastal Regulation Zone (CRZ) regulation clearance, land use clearance, etc. are in place before the DPRs are posed to the State Level Steering Committee/State Level Coordination Committee, as the case may be, for consideration. The CEO of the SLNA and State

Secretary concerned' should place the necessary technical clearances/approvals under various laws, including Environmental, Town Planning and Municipal laws, etc. and certificate that the estimates contained in the DPRs are authenticated/certified by the technically competent authorities under the State PWD Core/rules before the SLSC/SLCC.

- The layouts proposed for housing colonies under BSUP and IHSDP, showing various land uses and facilities proposed must conform to the prevalent Town Planning Rules/norms, as applicable to low income housing/informal settlements. Copies of layouts and housing designs must invariably accompany DPRs when the same are sent to Appraising Agencies.

#### **Housing & Infrastructure Components**

- The Ministry of Housing & Urban Poverty Alleviation has circulated Model DPR document to all States/UTs. The same is also placed in the Ministry's web site for JNNURM. A 'whole slum' approach will need to be adopted covering provision of land tenure, affordable housing and basic services. The whole slum proposed for development/redevelopment/relocation should be de-notified after the BSUP or IHSDP project is implemented. However, considering the difficulties in practice and special needs of the urban poor at some locations, clusters having more than 15 housing units can also be considered. Under the whole slum approach, it must be ensured that pucca houses left out of housing programme should be provided with individual toilet facilities with a view to achieving total sanitation.
- The housing component should generally be at least 50% of the total project cost with a view to achieving the targets fixed under the Mission and also giving primacy to the provision of shelter to the urban poor except in cases where housing units have already been constructed/are being constructed under VAMBAY or other EWS scheme of Central or State Governments.
- Adequate provision should be made for water supply, sewerage, drainage, solid and liquid waste disposal in the colonies proposed for development under BSUP or IHSDP. Individual water and sewer connection should be provided. Digester technology, where immediate connections to city sewer systems are not feasible, could be adopted in the place of dual-pits/septic tanks, wherever feasible.

#### **Education, Health & Other Facilities**

- Proposals for additional schools or additional rooms in existing schools must be part of the DPRs. The capacity of the existing schools to absorb the children from colonies being developed under BSUP and IHSDP needs to be carefully studied. The estimate of school-going children (including those from the new colonies) and demand for

classrooms in terms of prevailing norms, capacity in existing schools and the additional capacity required should be worked out.

- Similar exercise should be done for providing health care facilities – hospitals, health centres, maternity centres etc.
- Action needs to be taken to ensure that other community infrastructure facilities like electrical sub-stations, transformers, water supply reservoirs, parks, playgrounds, bus stops, local markets, post offices, etc., are also made available to the poor.
- Detailed estimates of community facility requirements as per planning norms, availability and gaps to be addressed have to be prepared at the initial stage of project preparation itself.

### Colony Layouts & Housing Designs

- The colony layout plan should be socially cohesive and should facilitate social interaction amongst the dwellers. Efforts should be made for providing at 30% open areas along with 15% organised green area in the layouts.
- Adequate space must be provided in the layouts for community facilities including social and livelihoods infrastructure. The layout plan must include designated space to take care of convergent services such as health, education and recreation, informal sector markets, livelihood centres, pens for animals (if permitted and required) etc. in accordance with the specific needs of each of the slum pockets and their beneficiaries.
- The houses proposed should have two rooms, balcony, kitchen and separate bathroom and latrine, individual water connection and sewer connection. Aspects such as storage space for keeping things in rooms/kitchen, location of kitchen, location of toilet and bathroom in the houses to facilitate privacy, independent access from both rooms to toilet and bathroom, leaving a small space for fitting exhaust fan in kitchen and toilet, balcony for drying clothes etc., are some of the nuances that can be thoughtfully incorporated in the design of the houses for the poor.
- In the case of more than G+3 structures, provisions for ramp/lifts may be made to ensure that the old, disabled and children are not put to inconvenience.
- While priority should be given to accommodate physically challenged beneficiaries in the colonies, suitable barrier-free environments need to be provided for them in the proposed projects.
- The Ministry of HUPA, with the help of HUDCO and BMTPC, has developed good designs of houses, colonies, ramps and various types of social infrastructure facilities which could be appropriately used while formulating project proposals. A Toolkit has also been published in this regard. The same may be referred to.

- The State Level Nodal Agency/ULBs/other implementing agencies may adopt innovative designs for layouts and houses for the poor, multi-purpose community centres, informal sector markets, animal pens, etc. not only in BSUP and IHSDP projects but also in their own programmes taken up by Housing Corporations/Boards etc. duly considering the models presented by HUDCO and BMTPC in the Toolkit published by the Ministry.

#### Developing Green Habitats

- States/UTs should take action to develop green habitats for the urban poor duly providing as many green belts, parks, avenue plantations, etc. as possible. Road-side plantations with tree guards and block plantations in the colonies taken up under BSUP and IHSDP should be given priority by the ULBs/Departments dealing with Parks, Plantations and Urban Forests.
- Tall seedlings, say 4-5 years old may be procured and planted in BSUP and IHSDP colonies so that they get established quickly without the need for careful nurture and maintenance.

#### Connectivity to City Infrastructure

- The infrastructure networks being developed under BSUP and IHSDP should invariably be integrated or planned to be integrated with trunk-line city infrastructure facilities, either already existing or being developed under UIG / UIDSSMT or State Government programmes in accordance with CDPs.
- The States / ULBs should ensure proper coordination amongst various agencies engaged in the implementation of JNNURM (UIG, UIDSSMT, BSUP and IHSDP) and other schemes to make sure that slums and low-income communities are linked to city-wide infrastructure systems. The project appraisal teams for UIG, UIDSSMT, BSUP and IHSDP must ensure such type of linkages.
- Infrastructure facilities provided to slum-dwellers/urban poor in the BSUP and IHSDP colonies should not be inferior to those in the surrounding areas.

#### O&M - Maintenance of Assets

- Proper maintenance of assets and upkeep of cleanliness and hygiene in the housing complexes / colonies developed under BSUP and IHSDP should be given utmost importance. States/UTs must develop viable and sustainable mechanisms for the maintenance of the houses and common infrastructure facilities created under BSUP and IHSDP though suitable mechanisms such as colony welfare associations, local body-residents partnerships, institutional arrangements of collection of monthly maintenance charges etc.
- Wherever informal sector markets are taken up as a part of social infrastructure facilities in colonies, their operation on a time-sharing

basis by inhabitants or their associations can be considered by the ULB concerned for enabling wider coverage of beneficiaries, without allotting space to any one person permanently.

#### **Prime Minister's New 15-Point Programme for Welfare of Minorities**

- An important objective of the new programme is to ensure that the benefits of various government schemes for the underprivileged reach the disadvantaged sections of the minority communities. In this regard, care should be taken to take up clusters of minority beneficiaries to the extent possible. Wherever feasible, efforts should be made to allocate up to 15% of targets under BSUP and IHSDP for the minorities.

#### **Appraisal Check Lists**

- Responsibility for the technical specifications in DPRs (adherence to State PWD Code and Government Orders) and their endorsement/approval by the competent authority lies with the ULB/implementing authority/State Level Nodal Agency. The appraisal agencies must also ensure that the technical specifications are duly certified by the technically competent authorities as per State Government Public Works Code/Government Orders. Authenticated estimates (rates and bills of quantities) duly signed by appropriate authorities must accompany the DPRs/Appraisal Reports.
- The SLNAs/Appraisal Agencies should specially devote attention to the following aspects:
  - Land availability for housing the poor – verification of ownership;
  - Land tenure status – patta, temporary patta, occupancy right etc.;
  - Availability of State share, ULB share, Beneficiary contribution as per Guidelines of BSUP/IHSDP;
  - Willingness of beneficiaries to pay for their contribution.
  - Housing design – two rooms, kitchen, balcony, individual toilet, individual water connection - refer to the Design Manual circulated by the Ministry;
  - Adherence to town planning norms – Layout plans/designs should conform to town planning regulations applicable and be duly signed by competent municipal authority/SLNA officer;
  - Provision of adequate open space in layouts – for green belts, parks, playgrounds, avenue plantations, roads etc.;
  - Authentication by competent engineering authority as per State Government PWD Code/Order duly signed by engineers of appropriate level and SLNA Chief Executive Officer;

- Identification of eligible beneficiaries - process for issue of biometric identity cards must be completed within one month after sanction of projects, in general;
- Rapid/detailed socio-economic survey of beneficiaries - details to be provided;
- Proper identification of needs of community infrastructure
  - Provision of required civic infrastructure including social infrastructure such as community hall, livelihood centre, information sector market, animal pen, etc. Estimation of requirements must be based on judicious norms.
  - Connectivity of slum infrastructure facilities with city-wide trunk infrastructure networks - water supply, sewerage, storm drainage, roads etc. - ensuring connectivity of local infrastructure being taken up under BSUP/IHSDP with facilities being created under UIG/UIDSSMT.
- Availability/provision of basic amenities like post offices, bus stops, transport services, local shopping complexes, electricity transformers, sub-stations, water supply overhead tanks/ground level service reservoirs etc.
- SLSC/SLCC approval, project-wise (not in a block) with all details clearly indicating estimates, plans, availability of State share and agreement to meet cost escalation.

#### Time & Cost Over-runs

- The BSUP and IHSDP projects are generally required to be completed in 12 to 15 months. In the case of Special Category States/UTs and projects requiring special considerations, 3 to 6 months additional period could be provided. It is expected that any escalation in the project cost would be borne by the State Government/ULB concerned.
- For reducing escalation in the cost of projects, the following options could be exercised by the implementing agencies:-
  - i) Purchasing materials (cement, steel, sanitary pipes, electrical items) in bulk, wherever considered prudent and feasible with a view to reducing cost;
  - ii) Encouraging labour contribution from the beneficiaries under the supervision of qualified technical personnel;
  - iii) Bifurcating tendering (between housing component and infrastructure component) with a view to reducing the possibility of time and cost overruns; and
  - iv) Creating/using a revolving "Basic Services for Urban Poor (BSUP) Fund" earmarked out of the municipal budget and supplemented by other innovative measures like cross-subsidization, State Government support etc. for meeting cost escalation.

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### Setting up of PMU/PIUs

- The States/UTs should submit proposals to OSD (JNNURM) who will get the same appraised and bring up before the Central Sanctioning & Monitoring Committee/Central Sanctioning Committee. Transparent methods should be adopted in the selection and appointment of professionals in PMUs and PIUs. Such appointments should not be permanent in nature but only in terms of short-term engagements. No appointment should be seen as a place for parking the dead-wood. States/UTs must take all care to ensure that the PMU/PIUs have competent personnel.
- Each appointment to PMU/PIU should be based on prescribed terms of reference and the deliverables should be measured. Various activities, tasks and outcomes have to be clearly spelt out in the TORs. States/ULBs should exercise utmost caution in making such appointments on a contract basis. They should try and ensure minimum expenditure by selecting / appointing professionals at an appropriate remuneration rather than immediately opting for the maximum amount indicated by the Centre. However, the calibre of such professionals should be of a reasonably high level. If need be, qualified persons from Central/State Government/ULBs could be taken in PMU/PIU on deputation. The personnel with PMUs/ PIUs should work in tandem/collaboration with the State Level Nodal Agency / ULBs. These personnel should also assist in the implementation of other programmes like SJSRY.

### Fees for Preparation of DPRs

- The States/UTs should submit proposals for reimbursement of fees to the concerned Appraisal Agency which had appraised the projects. The Appraisal Agency has a crucial role in examining the claim with particular reference to the various stages of improvement and modifications that were brought out in the DPRs before they were finally approved by the Central Sanctioning and Monitoring Committee/Central Sanctioning Committee. The Appraisal Agency should submit report to the Ministry for releasing Central Assistance for reimbursement of charges towards the cost of preparation of DPRs (both in the case of DPRs prepared by in-house personnel as well as by consultants). These will be considered by the Central Sanctioning and Monitoring Committee/Central Sanctioning Committee. After approval, recommendation will be sent to the Ministry of Finance/Ministry of Home Affairs for releasing Central Assistance out of the ACA allocation for the particular State/UT in the case of projects prepared by consultants.
- The Central Assistance for DPRs prepared through in-house personnel of the States would be released from out of the 1% JNNURM fund in the Budget of Ministry of HUPA as decided in the Central Sanctioning

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& Monitoring Committee /Central Sanctioning Committee Meetings earlier. While sending proposals for reimbursement of project preparation charges, the appraising agency must ensure that two copies of DPRs (duly revised based on decisions of CSMC/CSC) are provided to OSD (JNNURM) for record. The Appraising Agency should also keep two copies of DPRs with it in safe custody so as to be able to meet requests for information under the RTI Act, 2005.

#### Community Development Network (CDN)

- The States / UTs should prioritise and get necessary approval from SLSC/SLCC to the proposals concerning Community Development Network (CDN) so as to seek support from the Community Participation Fund. Such proposals received in the Ministry of HUPA will be appraised by a team working under the GOI-UNDP Project on National Strategy for Urban Poor coordinated by the National Project Coordinator/Deputy Secretary (JNNURM). The reports will then be placed before the Central Sanctioning & Monitoring Committee for consideration.
- Community Development Networks involving Neighbourhood Groups, Neighbourhood Committees and Community Development Societies should be promoted so that the dynamics of the CDN lead to fraternity in the neighbourhoods and issues of alienation of all sorts could be eliminated. CDN should work towards better inter- and intra- relationships in colonies to get over the dividing forces. This will strengthen a feeling of solidarity among the residents.

#### Quality in Execution of Projects

- Housing for the poor does not mean poor quality housing. Utmost emphasis must be accorded to the quality execution of houses and infrastructure facilities for the poor. High quality construction, functional units, vector-free atmosphere and healthy living environment should be ensured in the housing projects under BSUP/IHSDP. States/UTs should establish both internal and external quality assurance mechanisms in the case of all BSUP and IHSDP projects.
- State Secretaries in charge of BSUP and IHSDP should ensure that all the projects approved are inspected by independent high level teams from time to time to ensure quality in execution and timely completion of projects through removal of all hurdles
- Beneficiary committees must be constituted to supervise construction of houses. States/UTs should take steps for conducting social audit of projects under BSUP and IHSDP similar to NREGA.

#### Third Party Inspection and Monitoring (TPIM)

- TPIM should be instituted to bring in transparency and quality in the implementation of all BSUP and IHSDP projects. The Ministry will be providing necessary financial and technical assistance to the States /

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UTs for TPIM. A Toolkit has been prepared and communicated to the States /UTs.

- Those States/UTs who have not been able to establish TPIMA for BSUP and IHSDP projects may use the services of independent review and monitoring agencies engaged for UIG, UIDSSMT or other programmes.
- Before final instalment is released under BSUP and IHSDP projects, TPIM or quality inspection report until such time a TPIMA is engaged, will be required from the concerned States/UTs unless the CSMC/CSC is of the opinion that the release need not be stopped for the present in the interest of completing houses for the urban poor, who have contributed their share.

#### **Capacity Building Activities**

- In the year 2006-07, the Ministry of HUPA had released fund to the State Governments for capacity building activities including research and training towards implementation of BSUP and IHSDP projects. Unless the States/UTs submit utilisation certificates for the funds released earlier, further releases of Central Assistance would be held up, as utilisation certificates have to be furnished within 12 months from the date of closure of the financial year to which financial sanction pertains.
- Capacity building is one of the biggest constraints in the execution of projects and reforms under JNNURM. The States/UTs may take full advantage of the IEC facilities under JNNURM, the National Programme on Capacity Building for Urban Poverty Alleviation and the programme of National Network of Resource Centres (NNRCs).

#### **City/Town Poverty Reduction Strategy**

- The city of Rajkot (Gujarat) has brought out a City Poverty Reduction Strategy Report. Other cities/towns may bring out similar reports. They may prepare comprehensive Slum Development Plans with a view to pursuing the goal of Slum-free City. The toolkit prepared by the National Strategy for the Urban Poor project may be referred to.
- States/UTs must develop agenda for Slum-free Cities and Towns and prepare and implement time-bound action plans with specified milestones for progress.

#### **Key Reforms - Core to the Urban Poor**

- Special attention should be paid for the implementation of the three key reforms stipulated under JNNURM that are critical to the urban poor: (i) internal earmarking within local body budgets for basic services to the urban poor; (ii) provision of basic services including the implementation of 7-Point Charter in accordance with agreed timelines; (iii) earmarking at least 20-25% of developed land in all housing projects (both public and private agencies) for EWS/LIG category with a system of cross subsidization. States/UTs must

develop broad state level policy frameworks to facilitate the implementation of these reforms in all cities and towns.

- The issues of land availability for housing the urban poor and providing them security of land tenure are important issues to be addressed by States/UTs/ULBs if the goals of JNNURM are to be attained. States/UTs need to develop a policy framework including tangible reforms in master planning paradigm and process urgently.

#### Convergent Delivery of Social Services

- It is necessary to integrate provisions of health, education and social security with land tenure, housing and other amenities for the urban poor to enable them to lead a decent quality of life. Urban Local Bodies and State Governments have a critical role to play to ensure the proper convergence of facilities under the already available schemes for education, health, social security, etc. implemented through different Departments/Agencies. The DPRs should list out the deficiencies in terms of access to school, primary health centre, provision of social welfare and other facilities so that timely remedial measures can be taken up in accordance with the socio-economic survey. Provision of adequate infrastructure by way of school/additional class rooms and health care centres should be taken at the formulation of the DPR itself. A mere statement that adequate number of schools/health centres is available in the vicinity of the proposed housing colony would not be sufficient. The State/ULB/implementing agencies concerned should certify that such facilities available in the vicinity are also accessible to the slum dwellers. Similarly proper convergence of schemes in the realm of social security such as old age pension, widow pension, disability pensions, health insurance, maternity benefit scheme, etc. should be ensured to benefit the urban poor selected under JNNURM and other programmes.
- The States/UTs must take all steps to ensure the convergence of BSUP and IHSDP with other ongoing schemes such as UIG, UIDSSMT, Sarva Siksha Abhiyan, Health Mission, Aam Aadmi Bima Yojana, Rashtriya Swasthya Bima Yojana, National Social Assistance Programme, Prime Minister's Employment Generation Programmes, SJSRY etc. Shelter and basic amenities to the urban poor may not suffice them to move above the poverty line. In particular, State Governments/ULBs should make effort to dovetail the implementation of SJSRY with JNNURM. This step would provide the urban poor with access to livelihoods and enable them to overcome poverty. Programmes for skill development, self-employment, community mobilization, development and empowerment are necessary to facilitate sustained improvements in the living conditions of the urban poor and develop 'inclusive' cities.

#### Projects for *in situ* Development

- States /UTs should come up with adequate number of projects for in-situ development with good lay-outs and type designs. The emphasis

should be to provide a better and supportive atmosphere for living and working. The in-situ development projects should not end up with creation of another cluster of unplanned houses without access to water, sanitation and social infrastructure. Suitable planning and infrastructure provision norms must be adopted. The quality of infrastructure provided to housing colonies under BSUP and IHSDP projects should not be inferior to those available for surrounding areas.

#### **Handholding in Relocation**

- In the case of relocation projects, the process of shifting to a new environment with inadequate facilities, near-loss of contact with close relatives and being far off from work places can be very traumatic. The States/UTs should engage social counsellors and Community Development Department personnel/Community Organisers in ULBs to work closely with the beneficiaries and ensure that the process of transition to the new multi-storeyed housing complex/environment/location is as smooth as possible.
- Time-bound programmes must be implemented to provide all basic amenities to the urban poor in the relocation colonies, including city transport services and local market complexes.

#### **Sense of Belongingness**

- To create a sense of belongingness, the slums may be named in consultation with the intended beneficiaries. Provision of a low cost enclosure around open spaces in the slum pocket being covered under BSUP/IHSDP could be considered by States/ULBs, if the cost is not prohibitive.
- Beneficiaries must be closely involved in the planning, identification, implementation, monitoring, review and social audit of JNNURM projects.

#### **IEC Activities – Awareness Building**

- In a people-centric programme like BSUP and IHSDP under JNNURM, there is a need to generate awareness amongst both the targeted so that they are able to receive what is intended for them by the Government. Awareness needs to be generated amongst the non-targeted sections so as to improve urban policy and highlight how the concerns of the urban poor are very relevant to them. Any awareness campaign should have a national tone, tenor, appeal and recall value, backed by consistent and coherent slogans and themes. The States/ULBs could bring out advertisements in vernacular languages with local adaptation of the templates prepared by the Ministry of HUPA. States/ULBs should ensure that the local adaptation does not deviate from the letter and spirit of the national templates and the messages being conveyed are only about the programme and related policy advocacy. They should also ensure that all such media

campaigns are in accordance with the relevant rules and regulations applicable. Cost of such campaigns, in accordance with Government approved rates, would be reimbursed to the States/ULBs under the IEC component of JNNURM subject to limits fixed by CSMC/CSC. Reimbursement will be made if prior approval of the Mission Directorate/CSMC/CSC in the Ministry of HUPA was obtained before launching such campaign. Proposals for reimbursement of such expenditure will be submitted through HUDCO, which will put up the same to the Central Sanctioning and Monitoring Committee for its consideration and approval of reimbursement through Department of Expenditure, Ministry of Finance or Ministry of Home Affairs, as the case may be.

#### **Progress Reports on Implementation**

- The States/ULBs should send Quarterly Progress Reports/ Monthly Progress Reports on projects as well as reforms as per prescribed formats, without fail to enable the Ministry to report to the Prime Minister's Office in time. Further, one page abstract on the status of implementation of projects and reforms must be presented before posing the details of project proposals in the meetings of Central Sanctioning & Monitoring Committee/Central Sanctioning Committee.
- State/UT Secretaries in charge of BSUP and IHSDP should take monthly review of the implementation of projects and reforms under BSUP and IHSDP. Copies of the minutes of such review meetings should be sent to the Mission Directorate in MoHUPA.

#### **Focus on Urban Policy**

- There is an urgent need for States/UTs to focus on broader urban policy and urban management reforms to address not only the backlog and current urban issues but also the challenges of future urban growth, say in the next 20-25 years, so that the conditions that led to urban decay are prevented well in time. We should not be in a situation where we are perpetually chasing slum upgradation; States/UTs should plan proactively in anticipation of the future patterns of urban growth due to the factors of rural-urban migration, urban-urban migration, reclassification and natural increase. Without the implementation of urban planning and local government reforms and capacity building for effective urban management, JNNURM would remain a mere infrastructure upgradation programme, and none of the policy changes for vibrant, productive, sustainable and inclusive cities that JNNURM hopes to drive would materialize.

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24/10  
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**BRIEF SUMMARY OF AGENDA FOR CONSIDERATION TO CENTRAL SANCTIONING & MONITORING COMMITTEE  
(CS&MC) UNDER BASIC SERVICES TO THE URBAN POOR (Sub-Mission-II)**

*(Rs. in Crores)*

Sl. No	Mission City, State	Project Title	Total Cost	Central Share	State Share	2 <sup>nd</sup> & 3 <sup>rd</sup> Installment	Brief Summary	Page No.
A.	Indore, Madhya Pradesh	Proposal for Sanction of 2 <sup>nd</sup> Installment : Slum redevelopment Scheme at different locations in Indore, Madhya Pradesh				7.4970	<ul style="list-style-type: none"> <li>➤ The project had been approved in 9th meeting held on 02.02.2007.</li> <li>➤ The total project cost is Rs. 61.9315Cr. with the Central Share is Rs 29.9880Cr</li> <li>➤ Total amount for 1<sup>st</sup> Installment of Central Share of Rs.7.4970Cr. have already been released.</li> <li>➤ The 2<sup>nd</sup> Installment of Rs. 7.4970 Cr. recommended for release.</li> <li>➤ The Utilisation of Centre Share and state share is 82%.</li> <li>➤ 4132 Houses sanctioned for construction . work started in 1804 Units.</li> <li>➤ 304 Units completed more than 50%, 304 DUs are fully Completed out of which 183 units have been occupied. Amenities have been sanctioned in all the sanctioned units .</li> <li>➤ Details of reforms status not reported.</li> <li>➤ Identification of beneficiaries is not reported.</li> <li>➤ No TPIM report with SLNA comment</li> <li>➤ No Quality report with SLNA's comments.</li> </ul>	01 To 02

83<sup>rd</sup> CS&MC meeting, dated : 05.03.2010 (Agenda Brief)

25/10/10  
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Page 1 of 4

**BRIEF SUMMARY OF AGENDA FOR CONSIDERATION TO CENTRAL SANCTIONING & MONITORING COMMITTEE  
(CS&MC) UNDER BASIC SERVICES TO THE URBAN POOR (Sub-Mission-II)**

*(Rs. in Crores)*

						<ul style="list-style-type: none"> <li>➤ PMU/PIU not established.</li> </ul>	
B.	Amritsar/ Punjab	Proposal for Sanction of 2 <sup>nd</sup> Installation; DPR for slum Development under BSUP-3 slums at Rasulpur, Amritsar, Punjab			0.7187	<ul style="list-style-type: none"> <li>➤ The project had been approved in 18th meeting held on 26.09.2007.</li> <li>➤ The total project cost is Rs. 5.7911 cr. with the Central Share is Rs 28821Cr.</li> <li>➤ Total amount for 1<sup>st</sup> Installment of Central Share of Rs 0.7205 Cr. have already been released.</li> <li>➤ The 2<sup>nd</sup> Installment of Rs. 0.7187 Cr. recommended for release.</li> <li>➤ The Utilisation of Centre Share and state share are 100%</li> <li>➤ Short release of Rs 0.2856 Cr. against Matching State+ ULB Share.</li> <li>➤ 20-25% of funds earmarked in annual budget of ULB for providing basic services to Urban poor.</li> <li>➤ Beneficiaries Identification not reported.</li> <li>➤ TPIMA has been instituted.</li> <li>➤ No TPIM report with SLNA Comments.</li> <li>➤ No Quality report with SLNA's comments.</li> <li>➤ PMU/PIU not established.</li> </ul>	03 to 04

83rd CS&MC meeting, dated : 05.03.2010 (Agenda Brief)

26/3/10  
2

**BRIEF SUMMARY OF AGENDA FOR CONSIDERATION TO CENTRAL SANCTIONING & MONITORING COMMITTEE  
(CS&MC) UNDER BASIC SERVICES TO THE URBAN POOR (Sub-Mission-II)**

*(Rs. in Crores)*

C.	Pune/ Maharashtra	Proposal for Sanction of 2 <sup>nd</sup> Installment : Integrated Rehabilitation Project for the Urban Poor Staying in Slum in ecologically dangerous locations in Pune(Warje Slum)under BSUP, Maharashtra	7.3358	<ul style="list-style-type: none"> <li>➤ The project had been approved, in 6th meeting held on 28.11.2006.</li> <li>➤ The total project cost is Rs. 63.0876 cr. with the Central Share is Rs 29.3431Cr.</li> <li>➤ Total amount for 1<sup>st</sup> Installment of Central Share of Rs.7.3358Cr. have already been released.</li> <li>➤ The 2<sup>nd</sup> Installment of Rs. 7.3358Cr. recommended for release.</li> <li>➤ The Utilisation of Centre Share is 100% and state share is 240%</li> <li>➤ 2576 Houses sanctioned for construction, Tender floated for 2580 houses . 400 nos of DUs have been completed up to 25%.</li> <li>➤ Earmarking of at least 20-25% of developed land for housing projects- Govt. has directed to reserved 10% land for EWS and LG in all new projects.</li> <li>➤ Beneficiaries has not been identified</li> <li>➤ TPIMA has been instituted.</li> <li>➤ No Quality report with SLNA's comments.</li> <li>➤ PMU /PIU established and functional.</li> </ul>	05 to 06
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83<sup>rd</sup> CS&MC meeting, dated : 05.03.2010 (Agenda Brief)

22/3/10

Page 3 of 4



**BRIEF SUMMARY OF AGENDA FOR CONSIDERATION TO CENTRAL SANCTIONING & MONITORING COMMITTEE  
(CS&MC) UNDER BASIC SERVICES TO THE URBAN POOR (Sub-Mission-II)**

(Rs. in Crores)

D. Nagpur /Maharashtra	Proposal for Sanction of 3rd Installment : BSUP at Nagpur, Maharashtra	9.2670	<ul style="list-style-type: none"> <li>➤ The project had been approved in 13th meeting held on 18.05.2007 .</li> <li>➤ The total project cost is Rs. 120.8107 cr. with the Central Share is Rs 37.0682Cr.</li> <li>➤ Total amount for 1<sup>st</sup> &amp; 2<sup>nd</sup> Installment of Central Share of Rs.18.53 41Cr. have already been released.</li> <li>➤ The 3<sup>rd</sup> Installment of Rs. 9.2670Cr. recommended for release.</li> <li>➤ The Utilisation of Centre Share is 83% and state share is 83%</li> <li>➤ Earmarking of at least 20-25% of developed land for housing projects- Total no. of500lig tenements developed by NIT on own land and sold to beneficiaries by March,2009.200more Ulg are under constructionand be allotted to beneficiaries before 31.12.2010. 200 Ews plots being allotted in layout developed EWS colony for which applications have been invited and shall be allotted by 2010.</li> <li>➤ Beneficiaries has not been identified</li> <li>➤ TPIMA has been instituted.</li> <li>➤ All test s carried out. Quality of road as satisfactory.</li> <li>➤ PMU /PIU established and functional.</li> </ul>	07 to 09
	Total	24.8190		

83rd CS&MC meeting, dated : 05.03.2010 (Agenda Brief)

28/3/10

City/State : Indore/Madhya Pradesh

Project Title : Slum Redevelopment Scheme at different Locations in Indore

Financial Assessment:

(Rs. Lakhs)

1	CSMC Approval	9 <sup>th</sup> CSMC dated 02.02.2007			
2	Total Project Cost	6193.15	Other Expenses:- (A&M and Con.)		195.53
3	Central Share	2998.80			
4	State Share	2998.80			
		Due	Released	Utilized	%age Utilized vis-a-vis Due Released
5	Central Share	749.70	749.70	614.00	82% 82%
6	State Share	749.70	749.70	614.00	82% 82%
7	TOTAL:-	1499.40	1499.40	1228.00	82% 82%
8	Amount Sought (Rs.)	749.70 Lakh			
9	Recommended release as 2 <sup>nd</sup> Installment (Rs.)	749.70 Lakh			

Physical Progress:

Sl.	Progress Parameter	Housing	Amenities
1	Sanctioned	4132 Units	4132
2	Tender Floated	4132 (12 Package)	4132 (12 Package)
3	Work Order Issued	660 Units, 1 Package	660 + 1144
4	Work Started	660 + 1144 Units	660 + 1144
5	Upto 25% Completed	----	----
6	25-50% Completed	----	----
7	More than 50% completed	304 Units	----
8	Fully Completed	304 Units	304 Units
9	Occupied	183 Units	----

Reform Status:

1	(a) Internal Earmarking of Funds for Urban Poor	Details at Annexure-I (as reported by the State)
	(b) Constitution of Basic Services to Urban Poor Fund	
2	Basic Services to Urban Poor	
3	Earmarking of at least 20-25% of developed land in housing projects	

CSMC Conditions:

No condition
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Other Aspects:

i.	Whether Beneficiaries identified:-	Not reported
ii.	Whether list of beneficiaries published on the state website :-	Not reported
iii.	Whether Biometric Identification of beneficiaries completed :-	Not reported
iv.	Whether TPIMA instituted :-	Yes
v.	Quality:-	No quality report with SLNA's comments
vi.	Whether PMU/PIUs established & functional :-	No

29/10/10

- 2 -

City/State : Amritsar/Punjab

Project Title : Detail Project Report for "Slum Development under BSUP - 3 slums at Rasulpur, Amritsar".

## Financial Assessment:

(Rs. Lakhs)

1	CSMC Approval	18 <sup>th</sup> CSMC dated 26.09.2007				
2	Total Project Cost	579.11				
3	Central Share	288.21				
4	State Share (Excluding Beneficiary)	249.78				
5	Beneficiary Share	41.14				
		Due	Released	Utilized	%age Utilized vis-a-vis	
					Due	Released
6	Central Share	72.05	72.23	72.23	100%	100%
7	State Share	62.45	33.89	33.89	54%	100%
8	TOTAL:-	134.50	106.12	106.12	79%	100%
9	Amount Sought (Rs.)	72.23 Lakh				
10	Recommended release as 2 <sup>nd</sup> Installment (Rs.)	71.87 Lakh				
		{Actual Instalment amount should have been Rs. 72.05 Lakh however first Instalment was released for Rs. 72.23 hence 2nd instalment restricted to Rs. 71.87 Lakh after adjusting excess release of Rs. 0.18 Lakh}				

\*\* Short release of Rs. 28.56 Lakh against matching State+ULB share

## Physical Progress:

Sl.	Progress Parameter	Housing	Amenities
1	Sanctioned	26.09.2007	26.09.2007
2	Tender Floated	24.01.2008 & 10.11.2009	24.01.2008 & 10.11.2009
3	Work Order Issued	14.07.2008	14.07.2008
4	Work Started	01.11.2008	01.11.2008
5	Upto 25% Completed	25%	Nil
6	25-50% Completed	---	Nil
7	More than 50% completed	---	Nil
8	Fully Completed	---	Nil
9	Occupied	---	Nil

## Reform Status:

1	(a) Internal Earmarking of Funds for Urban Poor (b) Constitution of Basic Services to Urban Poor Fund	20-25% of funds earmarked in annual budget of ULB for providing basic services to Urban poor
2	Basic Services to Urban Poor	--do--
3	Earmarking of at least 20-25% of developed land in housing projects	Instructions have already been issued by the Deptt. to this effect to be applicable within the urban Municipal Limit.

## CSMC Conditions:

No condition
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## Other Aspects:

i.	Whether Beneficiaries identified:-	Not reported
ii.	Whether list of beneficiaries published on the state website :-	Not reported
iii.	Whether Biometric identification of beneficiaries completed :-	Not reported
iv.	Whether TPIMA instituted :-	Yes
v.	Quality:-	No quality report with SLNA's comments
vi.	Whether PMU/PIUs established & functional :-	No

20/10/09 - 24

City/State : Pune/Maharashtra

BSUP 2<sup>nd</sup> Installment

Project Title: Integrated Rehabilitation Project for the urban poor staying in slums in ecologically dangerous locations in Pune (Warje slum) under BSUP.

Financial Assessment:

(Rs. Lakhs)

1	CSMC Approval	6 <sup>th</sup> CSMC/28.11.2006				
2	Total Project Cost	6308.76	Other Charges (Contingencies & consultant) :-			440.15
3	Central Share	2934.31				
4	State Share (Excluding other charges)	2934.31				
		Due	Released	Utilized	%age Utilized vis-a-vis	
					Due	Released
5	Central Share	733.58	733.58	733.58	100%	100%
6	State+ULB Share	733.58	738.08	1767.86	241%	240%
7	TOTAL:-	1467.15	1471.65	2501.440	170%	170%
8	Amount Sought 2nd Instal. (Rs.)	733.57	Lakh			
9	Recommended release as 2 <sup>nd</sup> Installment (Rs.)	733.58	Lakh			

\*\* Excess utilization has been met by ULB.

Physical Progress:

Sl.	Progress Parameter	Housing (DUs)	Amenities
1	Sanctioned	2576	
2	Tender Floated	2580	2580
3	Work Order Issued	28/12/2007	28/12/2007
4	Work Started	28/12/2007	28/12/2007
5	Upto 25% Completed	400 Nos. (RCC Tenements)	Yes
6	25-50% Completed	---	---
7	More than 50% completed	---	---
8	Fully Completed	---	---
9	Occupied	---	---

Reform Status:

1	(a) Internal Earmarking of Funds for Urban Poor (b) Constitution of Basic Services to Urban Poor Fund	Details at Annexure-I
2	Basic Services to Urban Poor	
3	Earmarking of at least 20-25% of developed land in housing projects	

CSMC Conditions:

No Conditions
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Other Aspects:

i.	Whether Beneficiaries Identified:-	Not reported
ii.	Whether list of beneficiaries published on the state website :-	Not reported
iii.	Whether Biometric identification of beneficiaries completed :-	Not reported
iv.	Whether TPIMA instituted :-	Yes
v.	Quality:-	No Quality report with SLNA's comments
vi.	Whether PMU/PIUs established & functional :-	Yes

3/1/07 - 0/6 -

City/State : Nagpur/Maharashtra

Project Title: BSUP at Nagpur, Maharashtra

Financial Assessment:

(Rs. Lakhs)

1	CSMC Approval	13 <sup>th</sup> CSMC/18.05.2007   2 <sup>nd</sup> Instl :- 55 <sup>th</sup> CSMC/10.02.2009				
2	Total Project Cost	12081.07	Other Expenses (Dev. Of Parks, Const. of Boundary walls etc. and Consultancy & contingency):-			1490.15
3	Central Share	3706.82				
4	State Share	3706.82				
5	Beneficiary share	3177.27				
		Due	Released	Utilized	%age Utilized vis-a-vis	
					Due	Released
6	Central Share (1 <sup>st</sup> + 2 <sup>nd</sup> Instalment)	1853.41	1853.41	1533.49	83%	83%
7	State Share (1 <sup>st</sup> + 2 <sup>nd</sup> Instalment)	1853.41	1853.41	1533.49	83%	83%
8	Beneficiary Contribution	1588.64	1588.63	1314.40	83%	83%
10	TOTAL:-	5295.46	5295.45	4381.38	83%	83%
11	Amount Sought as 3 <sup>rd</sup> Instal. (Rs.)	926.70 Lakh				
12	Recommended release as 3 <sup>rd</sup> installment (Rs.)	926.70 Lakh				

Physical Progress:

Sl.	Progress Parameter	Housing	Amenities
1	Sanctioned	Housing component is not part of this project	Rs. 10590.91 Lakh
2	Tender Floated		1/8.77
3	Work Order issued		81/6553.54
4	Work Started		81/6553.54
5	Upto 25% Completed		1/11.47
6	25-50% Completed		7/573.73
7	More than 50% completed		36/3609.96
8	Fully Completed		37/2128.38
9	Occupied		----

Reform Status:

1	(a) Internal Earmarking of Funds for Urban Poor	Details at Annexure-I
	(b) Constitution of Basic Services to Urban Poor Fund	
2	Basic Services to Urban Poor	
3	Earmarking of at least 20-25% of developed land in housing projects	

CSMC Conditions:

General conditions
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Other Aspects:

i.	Whether Beneficiaries Identified:-	N.A.
ii.	Whether list of beneficiaries published on the state website :-	N.A.
iii.	Whether Biometric Identification of beneficiaries completed :-	N.A.
iv.	Whether TPIMA Instituted :-	Yes
v.	Quality:-	"All tests carried out till now are found satisfactory, quality of roads is satisfactory" As per TPIM report.
vi.	Whether PMU/PIUS established & functional :-	Yes

23/10/10 - 08 -

**BRIEF SUMMARY OF SUPPLEMENTARY AGENDA FOR CONSIDERATION TO CENTRAL SANCTIONING & MONITORING COMMITTEE (CS&MC) UNDER BASIC SERVICES TO THE URBAN POOR (Sub-Mission-II)**

*(Rs. in Crores)*

Sl. No	Mission City, State	Project Title	Total Cost	Central Share	State Share	2 <sup>nd</sup> , 3 <sup>rd</sup> & 4 <sup>th</sup> Installments	Brief Summary	Page No.
A.	Delhi/Delhi	Proposal for Sanction of 2 <sup>nd</sup> , 3 <sup>rd</sup> & 4 <sup>th</sup> Installments : housing for Urban Poor at Bawana, Narela and Bhorgarh, Delhi under BSUP				34.6250	<ul style="list-style-type: none"> <li>➤ The project had been approved in 14<sup>th</sup> meeting held on 02.02.2007 .</li> <li>➤ The total project cost is Rs.113.2739 cr. with the Central Share is Rs 46.1667Cr.</li> <li>➤ Total amount for 1<sup>st</sup> installment of Central Share of Rs.11.5417Cr. have already been released.</li> <li>➤ Amount sought for 2<sup>nd</sup>, 3<sup>rd</sup> and 4<sup>th</sup> installments is rs. 34.6250.</li> <li>➤ The Utilisation of Centre Share and state share is 100%.</li> <li>➤ 3868 DUs have been sanctioned for construction and fully completed Aminities fully completed except facility Centre.</li> <li>➤ The identification of the eligible beneficiaries is being done and published on the web-site.</li> <li>➤ Biometric identification of beneficiaries is under progress.</li> <li>➤ TPIMA has been instituted.</li> <li>➤ Internal quality checks have been carried out by competent authority to assure quality also consultant of</li> </ul>	01 To 05

83<sup>rd</sup> CS&MC meeting, dated : 30.03.2010 ( Suppl.Agenda Brief)

*23/01/10*

*Page 1 of 6*

**BRIEF SUMMARY OF SUPPLEMENTARY AGENDA FOR CONSIDERATION TO CENTRAL SANCTIONING & MONITORING COMMITTEE (CS&MC) UNDER BASIC SERVICES TO THE URBAN POOR (Sub-Mission-II)**

*(Rs. in Crores)*

						<p>the projects has checked the quality from time to time during the progress of the work.</p> <p>&gt; Out of 5 posts sanctioned for PMU under BSUP, 4 posts have been transferred to Samajik Suvridha Sangam.</p>	
B.	Meerut/ Uttar Pradesh	Proposal for Sanction of 2 <sup>nd</sup> Installment- BSUP Scheme Achroonda and Kanshi, Meerut, Uttar Pradesh			2.2355	<p>&gt; The project had been approved in 61<sup>st</sup> meeting held on 27.02.2009 .</p> <p>&gt; The total project cost is Rs.22.1800 cr. with the Central Share is Rs 8.9418 Cr.</p> <p>&gt; Total amount for 1<sup>st</sup> Installment of Central Share of Rs.2.2355 Cr. have already been released.</p> <p>&gt; The 2<sup>nd</sup> Installment recommended to release is Rs. 2.2355 cr.</p> <p>&gt; The Utilisation of Centre Share is 70% and state share is 97%.</p> <p>&gt; 500 DUs have been sanctioned for construction and work started in all the sanctioned DUs.56 DUs are fully completed and Occupied.69 DUs are completed more than 50%.30 DUs completed 25-50% and 17 DUs up to 25% completed.</p> <p>&gt; 172 DUs are various stages of completion out of sanctioned 500 DUs.</p> <p>&gt; Internal Earmarking of Funds for Urban poor is earmarked.</p>	06 to 11

83<sup>rd</sup> CS&MC meeting, dated : 30.03.2010 ( Suppl.Agenda Brief )

24/10/10

Page 2 of 6

**BRIEF SUMMARY OF SUPPLEMENTARY AGENDA FOR CONSIDERATION TO CENTRAL SANCTIONING & MONITORING COMMITTEE (CS&MC) UNDER BASIC SERVICES TO THE URBAN POOR (Sub-Mission-II)**  
(Rs. in Crores)

C.	Meerut/ Uttar Pradesh	Proposal for Sanction of 2 <sup>nd</sup> Installment :- Implementation of BSUP at Meerut for Const. Of 852 DUs at Meerut, Uttar Pradesh						3.5903	<ul style="list-style-type: none"> <li>➤ Earmarking of at least 20-25% of developed land in housing projects is in progress.</li> <li>➤ Beneficiaries identification has been done.</li> <li>➤ Biometric identification of beneficiaries is under progress.</li> <li>➤ TPJMA has been instituted.</li> <li>➤ No Quality report with SLNA Comments.</li> <li>➤ PMU is established and functional / PIU is under Progress.</li> <li>➤ The project had been approved in 61<sup>st</sup> meeting held on 27.02.2009.</li> <li>➤ The total project cost is Rs.30.4459 cr. with the Central Share is Rs 14.3613 Cr.</li> <li>➤ Total amount for 1<sup>st</sup> Installment of Central Share of Rs.3.5903 Cr. have already been released.</li> <li>➤ The 2<sup>nd</sup> installment recommended to release is Rs. 3.5903 cr.</li> <li>➤ The Utilisation of Centre Share is 69% and state share is 92%.</li> <li>➤ Short release of Rs 0.2783 Cr. against matching State Share.</li> </ul>	12
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83<sup>rd</sup> CS&MC meeting, dated : 30.03.2010 ( Suppl.Agenda Sheet)

25/10




**BRIEF SUMMARY OF SUPPLEMENTARY AGENDA FOR CONSIDERATION TO CENTRAL SANCTIONING & MONITORING COMMITTEE (CS&MC) UNDER BASIC SERVICES TO THE URBAN POOR (Sub-Mission-II)**

*(Rs. in Crores)*

					<ul style="list-style-type: none"> <li>➤ 852 DUs have been sanctioned for construction and work started in all the sanctioned DUs. 47 DUs are fully completed and Occupied. 76 DUs are completed more than 50%. 75 DUs completed 25-50% and 50 DUs up to 25% completed.</li> <li>➤ 248 DUs are various stages of completion out of total sanctioned 852 DUs</li> <li>➤ Internal Earmarking of Funds for Urban poor is earmarked.</li> <li>➤ Earmarking of at least 20-25% of developed land in housing projects is in progress.</li> <li>➤ Beneficiaries identification has been done.</li> <li>➤ Biometric identification of beneficiaries is under progress.</li> <li>➤ TPIMA has been instituted.</li> <li>➤ No Quality report with SLNA Comments.</li> <li>➤ PMU is established and functional / PIU is under Progress.</li> </ul>	
D. Meerut/ Uttar Pradesh	Proposal for Sanction of 2 <sup>nd</sup> Installment:- BSUP scheme for Abdullapur &			2.7534	<ul style="list-style-type: none"> <li>➤ The project had been approved in 61<sup>st</sup> meeting held on 27.02.2009.</li> <li>➤ The total project cost is Rs.27.3185 cr. with the Central Share is Rs 11.0138 Cr.</li> </ul>	

83<sup>rd</sup> CS&MC meeting, dated : 30.03.2010 ( Suppl.Agenda Brief)

20/10/10  


**BRIEF SUMMARY OF SUPPLEMENTARY AGENDA FOR CONSIDERATION TO CENTRAL SANCTIONING & MONITORING COMMITTEE (CS&MC) UNDER BASIC SERVICES TO THE URBAN POOR (Sub-Mission-II)**

*(Rs. in Crores)*

<p align="center">Karimnagar, Meerut, Uttar Pradesh</p>				<ul style="list-style-type: none"> <li>➤ Total amount for 1<sup>st</sup> Installment of Central Share of Rs.2.7535 Cr. have already been released.</li> <li>➤ The 2<sup>nd</sup> installment recommended to release is Rs. 2.7534 cr.</li> <li>➤ The Utilisation of Centre Share is 70% and state share is 93%.</li> <li>➤ Short release of Rs 0.2875 Cr. against matching State Share.</li> <li>➤ 632DUs have been sanctioned for construction and work started in all the sanctioned DUs. 49 DUs are fully completed and Occupied. 72 DUs are completed more than 50%.36 DUs completed 25-50% and 35 DUs up to 25% completed.</li> <li>➤ 192 DUs are various stages of completion out of total sanctioned 632 DUs</li> <li>➤ Internal Earmarking of Funds for Urban poor is earmarked.</li> <li>➤ Earmarking of at least 20-25% of developed land in housing projects is in progress.</li> <li>➤ Beneficiaries identification has been done.</li> <li>➤ Biometric identification of beneficiaries is under progress.</li> </ul>	<p align="center">13</p>
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83<sup>rd</sup> CS&MC meeting, dated : 30.03.2010 ( Suppl.Agenda Brief)

27/10/10  


Page 5 of 6

**BRIEF SUMMARY OF SUPPLEMENTARY AGENDA FOR CONSIDERATION TO CENTRAL SANCTIONING & MONITORING COMMITTEE (CS&MC) UNDER BASIC SERVICES TO THE URBAN POOR (Sub-Mission-II)**

*(Rs. in Crores)*

						<ul style="list-style-type: none"> <li>&gt; TPIMA has been instituted.</li> <li>&gt; No Quality report with SLNA Comments.</li> <li>&gt; PMU is established and functional / PIU is under Progress.</li> </ul>	
	<b>Total</b>				<b>43.2042</b>		

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City/State : Delhi/Delhi

BSUP 2<sup>nd</sup> Installment

Project Title: Housing for Urban Poor at Bawana, Narela and Bhorgarh, Delhi under BSUP

Financial Assessment:

(Rs. Lakhs)

1	CSMC Approval	14 <sup>th</sup> CSMC/13.06.2007			
2	Total Project Cost	11327.39			
3	Central Share	4616.67			
4	State/ULB Share (Excluding Beneficiary Share)	4389.92			
5	Beneficiary Contribution	2320.80			
		Due	Released	Utilized	%age Utilized vis-a-vis Due Released
6	Central Share	1154.17	1154.17	1154.17	100% 100%
7	State+ULB Share	1097.48	3300.00	3300.00	301% 100%
8	TOTAL:-	2251.65	4454.17	4454.17	198% 100%
9	Amount Sought Rs.	3462.50 Lakh (2 <sup>nd</sup> , 3 <sup>rd</sup> and 4 <sup>th</sup> Installments)			
10	Recommended release Rs.				

Physical Progress:

Sl.	Progress Parameter	Housing	Amenities
1	Sanctioned	13-06-07 (3868 DUs)	13-06-07
2	Tender Floated	July 06, 12/7 & 1/07	July 06, 12/7 & 1/07
3	Work Order Issued	12/06, 4/8 & 3/07	12/06, 4/8 & 3/07
4	Work Started	1/07, 4/08, 3/07	1/07, 4/08, 3/07
5	Upto 25% Completed	----	----
6	25-50% Completed	----	----
7	More than 50% completed	----	----
8	Fully Completed	1184, 1412 & 1272 (6868)	Fully completed except facility centre
9	Occupied	----	----

Reform Status:

1	(a) Internal Earmarking of Funds for Urban Poor (b) Constitution of Basic Services to Urban Poor Fund	DETAILS AT ANNEXURE-I
2	Basic Services to Urban Poor	
3	Earmarking of at least 20-25% of developed land in housing projects	

CSMC Conditions:

General conditions - partially complied
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Other Aspects:

i.	Whether Beneficiaries identified:-	list of JJ clusters for rehabilitation of eligible skm dwellers has been selected. The identification of the eligible beneficiaries from these clusters is being done.
ii.	Whether list of beneficiaries published on the state website :-	Will be published after its completion
iii.	Whether Biometric Identification of beneficiaries completed :-	Under Process
iv.	Whether TPIMA Instituted :-	Yes
v.	Quality:-	Certified that "Internal quality checks have been carried out by competent authority to assure quality also consultant of the projects has checked the quality from time to time during the progress of the work"
vi.	Whether PMU/PIUS established & functional :-	Out of 5 posts sanctioned for PMU under BSUP, 4 posts have been transferred to Samajik Survidha Sangam

29/10/07

City/State : Meerut / Uttar Pradesh

Project Title: BSUP scheme Achronda and Kanshi, Meerut UP

## Financial Assessment:

(Rs. Lakhs)

1	CSMC Approval	61 <sup>th</sup> CSMC/27.02.2009			
2	Total Project Cost	2218.00	Other Exp. (Centage, Project prep.charges, A&OE & cost		429.64
3	Central Share	894.18			
4	State Share (Excluding Beneficiary & other exp.)	799.49			
5	Beneficiary Share	94.69			
		Due	Released	Utilized	%age Utilized vis-a-vis Due Released
6	Central Share	223.55	223.55	156.50	70% 70%
7	State Share	199.87	217.42	210.42	105% 97%
8	TOTAL:-	423.42	440.97	366.92	87% 83%
9	Amount Sought (Rs.)	223.55 Lakh			
10	Recommended release as 2 <sup>nd</sup> Installment (Rs.)	223.55 Lakh			

## Physical Progress:

Sl.	Progress Parameter	Housing	Amenities
1	Sanctioned	24.02.2010 ( houses - 500)	Yes
2	Tender Floated	Yes	Yes
3	Work Order Issued	Yes	Yes
4	Work Started	Yes	Yes
5	Upto 25% Completed	17	NIL
6	25-50% Completed	30	NIL
7	More than 50% completed	69	NIL
8	Fully Completed	56	NIL
9	Occupied	56	NIL

\*\* 172 DUs are various stages of completion out of total sanctioned 500 DUs.

## Reform Status:

1	(a) Internal Earmarking of Funds for Urban Poor	Earmarked
	(b) Constitution of Basic Services to Urban Poor Fund	
2	Basic Services to Urban Poor	In Progress
3	Earmarking of at least 20-25% of developed land in housing projects	In Progress

\*\*Detailed status of 3 Pro-poor reforms at Annexure- I.

## CSMC Conditions:

No Conditions
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## Other Aspects:

i.	Whether Beneficiaries Identified:-	Yes
ii.	Whether list of beneficiaries published on the state website :-	Under Process
iii.	Whether Biometric Identification of beneficiaries completed :-	Under Process
iv.	Whether TPIMA instituted :-	Yes
v.	Quality:-	No Quality report with SLNA comments
vi.	Whether PMU/PIUs established & functional :-	Yes, PIU under process

8  
20/10/07

Project Title: Implementation of BSUP at Meerut for const. of 852 DUs at Meerut, Distt. Meerut, UP

Financial Assessment:		(Rs. Lakhs)				
1	CSMC Approval	61 <sup>st</sup> CSMC/27.02.2009				
2	Total Project Cost	3044.59	Other Exp. (DPR charges, IEC and A&OE) :-			172.34
3	Central Share	1436.13				
4	State Share (Excluding Beneficiary & other exp.)	1290.88				
5	Beneficiary Share	145.24				
		Due	Released	Utilized	%age Utilized vis-a-vis	
					Due	Released
6	Central Share	359.03	359.03	248.58	69%	69%
7	State Share	322.72	294.89	270.42	84%	92%
8	TOTAL:-	681.75	653.92	519.00	76%	79%
9	Amount Sought (Rs.)	359.03 Lakh				
10	Recommended release as 2 <sup>nd</sup> Installment (Rs.)	359.03 Lakh				

**\*\*Short release of Rs. 27.83 Lakh against matching State share  
(Central share utilization is 69% although total utilization 76% of Due share)**

## Physical Progress:

Sl.	Progress Parameter	Housing	Amenities
1	Sanctioned	24.02.2010 ( houses - 852)	Yes
2	Tender Floated	Yes	Yes
3	Work Order Issued	Yes	Yes
4	Work Started	Yes	Yes
5	Upto 25% Completed	50	20% Completed
6	25-50% Completed	75	NIL
7	More than 50% completed	76	NIL
8	Fully Completed	47	NIL
9	Occupied	47	NIL

**\*\* 248 DUs are various stages of completion out of total sanctioned 852 DUs.**

## Reform Status:

1	(a) Internal Earmarking of Funds for Urban Poor	Earmarked
	(b) Constitution of Basic Services to Urban Poor Fund	
2	Basic Services to Urban Poor	In Progress
3	Earmarking of at least 20-25% of developed land in housing projects	In Progress

**\*\*Detailed status of 3 Pro-poor reforms at Annexure- I.**

## CSMC Conditions:

No Conditions
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## Other Aspects:

i.	Whether Beneficiaries identified:-	Yes
ii.	Whether list of beneficiaries published on the state website :-	Under Process
iii.	Whether Biometric identification of beneficiaries completed :-	Under Process
iv.	Whether TPIMA instituted :-	Yes
v.	Quality:-	No Quality report with SLNA comments
vi.	Whether PMU/PIUs established & functional :-	Yes, PIU under process

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City/State : Meerut / Uttar Pradesh

Project Title: BSUP scheme for Abdullapur &amp; Karimnagar, Meerut, U.P.

## Financial Assessment:

(Rs. Lakhs)

1	CSMC Approval	61 <sup>th</sup> CSMC/27.02.2009				
2	Total Project Cost	2731.85	Other Exp. (Contage, Project prep.charges, A&OE & cost			529.09
3	Central Share	1101.38				
4	State Share (Excluding Beneficiary & other exp.)	981.69				
5	Beneficiary Share	119.69				
		Due	Released	Utilized	%age Utilized vis-a-vis	
					Due	Released
6	Central Share	275.35	275.34	193.32	70%	70%
7	State Share	245.42	216.67	201.16	82%	93%
8	TOTAL:-	520.77	492.01	394.48	76%	80%
9	Amount Sought (Rs.)	275.34 Lakh				
10	Recommended release as 2 <sup>nd</sup> Installment (Rs.)	275.34 Lakh				

\*\*Short release of Rs. 28.75 Lakh against matching State share

## Physical Progress:

Sl.	Progress Parameter	Housing	Amenities
1	Sanctioned	24.02.2010 ( houses - 632)	Yes
2	Tender Floated	Yes	Yes
3	Work Order Issued	Yes	Yes
4	Work Started	Yes	Yes
5	Upto 25% Completed	35	15% Completed
6	25-50% Completed	36	NIL
7	More than 50% completed	72	NIL
8	Fully Completed	49	NIL
9	Occupied	49	NIL

\*\* 192 DUs are various stages of completion out of total sanctioned 632 DUs.

## Reform Status:

1	(a) Internal Earmarking of Funds for Urban Poor	Earmarked
	(b) Constitution of Basic Services to Urban Poor Fund	
2	Basic Services to Urban Poor	In Progress
3	Earmarking of at least 20-25% of developed land in housing projects	In Progress

\*\*Detailed status of 3 Pro-poor reforms at Annexure- I.

## CSMC Conditions:

No Conditions
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## Other Aspects:

i.	Whether Beneficiaries identified:-	Yes
ii.	Whether list of beneficiaries published on the state website :-	Under Process
iii.	Whether Biometric identification of beneficiaries completed :-	Under Process
iv.	Whether TPIMA Instituted :-	Yes
v.	Quality:-	No Quality report with SLNA comments
vi.	Whether PMU/PIUs established & functional :-	Yes, PIU under process

20/10/10 - 13 -

(49)

**CENTRAL SANCTIONING & MONITORING COMMITTEE**

**EIGHTY-THIRD MEETING**

(30.03.2010)

**SUPPLEMENTARY-AGENDA-II**

**BASIC SERVICES TO THE URBAN POOR (Sub Mission II)**

Sl. No.	Items	Page No.
<b>A.</b>	TPIM proposal for the State of Kerala	01 to 02
<b>B.</b>	Special Agenda-I for financial support for various activities related to Project Management and Community mobilization relating to implementation of BSUP / IHSDP projects under JNNURM	03 to 10
<b>C.</b>	Special Agenda-II for appointment of HUDCO as Monitoring Agency for undertaking Monitoring of projects under BSUP and IHSDP (JNNURM)	11 to 14

43/101



## TPIM PROPOSAL – Kerala

Kudumshree, State Level Nodal Agency, Govt. of Kerala has submitted proposal for appointment of Third Party Inspection and Monitoring Agency (TPIM) for BSUP (7 projects) and IHSDP (37 Projects) projects in Kerala.

As per the proposal, Request for Proposal (RFP) was issued to agencies empanelled by MHUPA as TPIMA and MUD as IRMA. Two bid system was adopted as per the toolkit and following four agencies were short-listed:

- i. Infrastructural Professionals Pvt. Ltd., New Delhi
- ii. BLG Constructions Pvt. Ltd., Jodhpur, Rajasthan
- iii. Mahindra Consulting Engineers, Chennai, Tamil Nadu
- iv. Mukesh & Associates, Salem, Tamil Nadu

After evaluating the proposals, the state level Committee has proposed M/s Mahindra Consulting Engineers, Chennai, Tamil Nadu as the eligible agency for TPIM work. The rates quoted by the agency are as below:

1. For desk review of BSUP/IHSDP, projects for Rs.79,500/- per project.
2. Site visit @ Rs. 25,000/- per visit for BSUP project and @ Rs. 25,000/- per visit for IHSDP.

The Financial proposal submitted by State Govt. is as under:

Project Type	No. of sanctioned projects	Total cost of Projects (Rs. in lakhs)	Max. Permissible amount as approved in CSMC held on 15.07.09(0.5% for BSUP & 1.0% for IHSDP) (Rs. in lakhs)	Proposed cost of award (Rs.) excluding taxes	Name of the Proposed TPIM Agency
BSUP	7	34366.00	171.83	16,06,500.00	M/s Mahindra Consulting Engineers, Chennai, Tamil Nadu
IHSDP	37	19218.00	192.18	66,41,500.00	M/s Mahindra Consulting Engineers, Chennai, Tamil Nadu
TOTAL				82,48,000.00	
TAX				8,49,544.00	
GRAND TOTAL				90,97,544.00	

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- SLNA needs to take approval of SLSC/SLCC.
- State Govt. has certified that:
  - i. There is no conflict of interest in awarding the work.
  - ii. The selection of the agency has been done after considering the capacity of the agency and the value of the work is within the revised band limits prescribed in the Toolkit.
  - iii. CVC guidelines have been followed in the selection of TPIMA.
  - iv. Guidelines of the Government of Kerala regarding award of contracts have been followed.
  - v. The agency has indicated the taxes applicable separately and the cost of TPIMA inclusive of taxes have been calculated.
  - vi. The total costs are within the ceiling prescribed for BSUP and IHSDP projects in the Toolkit.

Subject to the above clarifications, CSMC/CSC may consider the proposal for approval.

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**Agenda Item : Financial Support for various activities related to Project Management and Community Mobilisation relating to implementation of BSUP/IHSDP Projects under JNNURM**

**1.0 Need for funding various activities related to Project Management and Community Mobilisation for implementing BSUP/IHSDP Projects under JNNURM**

There is an imperative need for enhancing the capacity of Urban Local Bodies (ULBs) in Mission cities/towns to implement BSUP/IHSDP components under JNNURM. Most cities find it difficult to meet these challenges due to shortage of technical manpower & resources. It is, therefore, proposed to assist the ULBs to meet the challenges of implementation of the Sub-Mission BSUP and IHSDP by keeping provision for PMC. Under the scheme, to be supported by Ministry of Housing & Urban Poverty Alleviation (MoHUPA), ULBs may engage PMC for implementation of works at site, in close coordination with the Urban Local Body.

Similarly the involvement of community at every stage of implementation of BSUP and IHSDP projects is necessary to make sure that the intended benefits reach the targeted beneficiaries.

**2.0 Scope of services to be covered**

The PMC is meant to be supplementing and enhancing the existing skills of the ULB, rather than a supervisory role. It is expected to work in tandem with the existing staff with focus on strengthening implementation of BSUP/IHSDP projects. The focus of PMC is to enhance the pace and quality of implementation

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of BSUP/IHSDP projects and shall also assist ULBs for coordinating with SLNA/ Third Party Inspection & Monitoring (TPIM) Agency. The services of PMC is also required for those projects where the work on sanctioned projects has not been commenced/ awarded so far and assistance is required in terms of bid preparation and evaluation at ULB level. Reputed institutions/agencies/team of qualified professionals etc may be appointed as PMC.

**a. Project Management Consultants (PMC)**

The scope of services to be covered by PMC may broadly include:

- i. Assisting ULBs in Tender and Construction Stage
- ii. Periodical Reporting on Physical and Financial Progress of projects
- iii. Establishing Quality Assurance System and ensuring Project Quality
- iv. Analysis of Third Party Inspection & Monitoring (TPIM) Reports.
- v. Completion stage and handing over the project to ULBs.

**b. Lead NGOs/CBOs/Development Agencies for community participation.**

SLNA/ULB in partnership with reputed NGOs/CBOs/other Development Agencies shall ensure;

Community mobilization

- Pre-tender/pre Construction Stage.
- Construction Stage
- Post Construction Stage.

Social Audit

It shall involve the participation of primary stakeholders community through its committees/ associations along with the Government representatives the access and review all document and information related to the implementation of project (from construction to allotment of DUs).

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### 3.0 Project Management Consultancy (PMC)

Following activities shall be carried out by PMC:

#### a. Tender, Construction and Supervision Stage

- Assist in preparation of bidding document, bidding strategy and parameters of bidding, bid evaluation and contract finalization.
- Exercise and perform all the duties, liabilities, functions and obligations as laid down with reasonable skill, care and due diligence and ensure that the works executed at site is strictly as per the terms and conditions of the Contract Agreement entered between ULB and the respective Contractors, within the given time frame.
- Monitor financial and physical progress with reference to prefixed targets by using modern methods/tools of control such as computerized PERT / CPM, & suggest improvements to contain cost and time over runs, if any.
- Coordinate with statutory bodies.
- Suggest modifications, if any, due to site conditions and submit the report along with cost variations on account of the same to ULB.
- Provide field supervision and adequate technical manpower with requisite expertise during construction phase

#### b. Periodical Reporting on Physical and Financial Progress

PMC shall ensure the following:

- Accomplishment of physical and financial performance of the project with respect to the milestones projected in the agreement
- Submission of weekly or fortnightly progress reports to ULB/SLNA maintaining necessary site records, carrying out field tests on materials, structures etc. and conduct quality control checks etc.

#### c. Establishing Quality Assurance System and Ensuring Project Quality

PMC shall be responsible for the establishment of Quality Assurance (QA) system for meeting all quality requirements and Quality Control (QC) checks. Its role shall include:

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- Undertake day-to-day supervision of contracted building and development works ensuring quality control in accordance with tender stipulations, specifications, drawings and site conditions. The quality control will be exercised at all stages of construction, viz. approval of materials, inspection of equipments, usage thereof in proper proportions and workmanship at all stages of execution of individual items of work.
- Ensure proper establishment of field laboratories by contractors to conduct laboratory tests on materials for construction such as cement, steel, bricks etc. Essential gauges, instruments etc. should be got calibrated periodically. The PMC shall maintain necessary site records and obtain data in support of the same. In addition, the PMC shall also conduct all standard tests for all the Materials/ Equipments / Machineries to be used in the construction as per relevant BIS/ISO/any International standards conforming to specifications in the relevant agreement.

The guideline for National Building Code for site supervision may be referred for site supervision.

**d. Analysis of TPIM Reports**

- PMC shall interact and facilitate the TPIM Agency and review the reports periodically submitted by TPIM.
- If performance report of TPIM is considered unsatisfactory, the PMC may assist in take necessary corrective action.

**e. Completion Stage and Handing Over Stage**

PMC shall be required to assist ULB on taking possession of all completed works from the contractor with all requisite documents. It shall also maintain complete documentation regarding completion & taking over the project.

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**4.0 Community Participation through lead NGOs/CBOs/ Development Agencies**

SLNA/ULB in partnership with reputed NGOs/CBOs/other Development Agencies shall ensure;

**a. Community Mobilisation**

**Stage I ( Pre Tender/Pre Construction)**

- Constitution of beneficiary committees and mobilize their healthy participation in various types of development schemes, in situ, (upgradation/redevelopment), relocation etc.

**Stage II (Construction Stage)**

- Implementation of participatory involvement techniques like, focused group discussions, sharing of design of the components especially the dwelling units and community amenities proposed, incorporation of local knowledge, etc.
- Involvement of beneficiary committees / or educated and trained youth from beneficiary population in monitoring the stages and quality of construction
- Involvement of beneficiaries preferably youth in checking stock and inventory at construction site.
- Representation of beneficiary committee in review of quality reports and receipts and expenditure accounts/ documents pertaining to construction work at site especially the utilization of fund flow from State and Centre.

**Stage III ( Post Construction Stage )**

- Involvement and delegation of roles and responsibilities to beneficiaries through the beneficiary committees/ women representatives to ensure allotment of

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dwelling units to individual beneficiaries as per the sanctioned list of beneficiaries by CSMC/CSC.

**b. Social Audit**

Social Audit needs to be carried out at all stages i.e. from Pre-Construction to post construction stage. At every stage of work involved, the primary stakeholders ie community through its committees/ associations along with the Government representatives must be able to access and review all document and information related to implementation of projects.

**5.0 Criteria for selection of sanctioned projects for PMC & Lead NGOs**

SLNA will select the projects under BSUP and IHSDP eligible for financial assistance as per following criteria .

BSUP	
Project Cost (Rs. Crores)	Allowable % of sanctioned projects for PMC
Upto 20	20%
20 – 50	40%
50 – 100	60%
>100	100%

IHSDP	
Project Cost (Rs. Crores)	Allowable % of sanctioned projects for PMC
Upto 5	20%
5 – 10	40%
10 – 20	60%
>20	100%

**6.0 Payment terms and schedule**

The following maximum charges are prescribed for payment to PMC/Partner Agency by SLNA/ULB on a per project basis :

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160

Agency	Items	Maximum Amount (%age of ACA for which Central Support is Given)
PMC	Tender, Construction and handing over of project	1.00
Lead NGO / Partner Agency	Social Audit and Community Mobilization	0.5

**7.0 Selection Process for appointment of PMC/NGOs by ULBs :**

Appointment of PMC agency shall be done by SLNA/ULB through competitive bidding. Certificate to the effect that transparent bidding process has been followed as per guidelines issued by Government of India is to be furnished. The proposals for selection of PMC should be forwarded by SLNA after due approval by SLSC/ SLCC to the Mission Directorate, MoHUPA. If the PMC is already selected for the projects, It can still be eligible for financial assistance subject to above terms and conditions regarding eligibility of projects and payment structure and CSMC may grant ex-post facto approval SLNA shall ensure that:

1. PMC/Community Mobilisation Agency deploys optimum number of experts as per the needs of the project.
2. Deployed experts have experience of similar kind of projects and expertise in the concerned sectors.
3. No conflict of interest prevails in the engagement.

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8.0 **Review of the working of PMC and Agency for Community Mobilisation**

Deployment of requisite number of experts with related experience and expertise in the concerned sectors has to be ensured by the SLNA. SLNA will periodically review the performance of Agencies selected and report to Mission Directorate about the same. The Mission Directorate reserves the right to withdraw the financial support in case of unsatisfactory results.

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**Agenda for Appointment of Housing and Urban Development Corporation Limited (HUDCO) as Monitoring Agency for undertaking monitoring of projects under Basic Services To The Urban Poor (BSUP) & Integrated Housing & Slum Development Programme (IHSDP) under Jawaharlal Nehru National Urban Renewal Mission (JNNURM)**

**A. Background**

Government of India launched JNNURM programme on 3rd December 2005, as the largest national urban initiative with Rs 50,000 crore of Additional Central Assistance (ACA) support to States, with primary focus on 63 identified cities and now revised to 65 Mission Cities. The thrust of JNNURM is to promote improvement in urban infrastructure, slum development and basic service delivery to the urban poor, while simultaneously emphasizing urban sector reforms and capacity building so that ULBs become financially sound and sustainable for undertaking civic programmes effectively. MoHUPA is involved in implementation of Basic Services to Urban Poor (BSUP) component focusing on 65 Mission Cities and Integrated Housing and Slum Development Programme (IHSDP) focusing on small and medium towns.

Ministry of Housing & Urban Poverty Alleviation (MoHUPA) intends to engage Housing and Urban Development Corporation Limited (HUDCO), a body registered under the Companies Act 1956 having its office at Core 7A, India Habitat Centre, Lodhi Road, New Delhi 110 003, as Monitoring Agency for undertaking monitoring of implementation of projects under Basic Services To The Urban Poor (BSUP) & Integrated Housing & Slum Development Programme (IHSDP) under Jawaharlal Nehru National Urban Renewal Mission (JNNURM), hereafter called '**Monitoring Agency**'

**B. Obligations of Monitoring Agency**

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1. Monitoring Agency would place a team of dedicated professionals for monitoring work through its network of Regional Offices/JNNURM Cell, Corporate Office.
  2. Monitoring Agency shall undertake field visits to verify physical / financial progress and quality of BSUP and IHSDP projects

### **C. Detailed Scope of Services to be undertaken by Monitoring Agency**

1. Compilation of Project Details (Financial & Physical) based on sanctions accorded by CSMC/CSC.
2. Monitoring Physical Progress of housing & infrastructure (water supply, sewerage, roads, drains, external electrification, parks & play grounds, social infrastructure etc.) components of sanctioned projects.
3. Monitoring Financial Progress of the Project
4. Checking the quality of work and to ensure that quality assurance is being followed, highlighting the major deficiencies in quality, if any.
5. Expected cost over run in view of the sanctioned cost, physical and financial progress as on date of visit and work order issued.
6. Expected time over run with respect to date of sanction and project duration mentioned in sanctioned DPR.
7. Highlighting major deviations in terms of physical and financial progress w.r.t. to sanctioned components and cost.
8. Monitoring status of release and utilization in terms of Central Assistance, State share, ULB share and beneficiary share, bank loan and expenditure incurred on site.

55/101  
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9. Status of the implementation of sanction conditions imposed by CSMC/CSC.

10. Monitoring progress of 3 pro-poor reforms.

For the purpose of field visits as part of monitoring the progress of implementation of BSUP and IHSDP projects, representatives of reputed institutions/eminent experts, if required, may form a part of the monitoring team. Monitoring Agency will function and undertake field visits in consultation with Mission directorate.

#### D. Deliverables

1. The Monitoring Agency will participate in meetings, discussions and presentation on physical / financial progress of projects to MoHUPA as may be required.
2. Monitoring report for the project in prescribed formats covering information as defined in detailed activities shall be submitted by the Monitoring Agency within ten days of date of visit. The reports will be in synchronization with the reports from on line JNNURM tracking system called 'IPOMS'.

#### E. Payment Terms

1. MoHUPA agrees to pay the Monitoring Agency an amount of Rs 90,000/- per visit to BSUP/IHSDP project site(s) (covering complete project) for a team of 3 persons and Rs 60,000/- per visit to BSUP/IHSDP project site(s) for a team of 2 persons, exclusive of Service Tax. The size of team will depend upon the size of project and may be decided by the Monitoring Agency before undertaking field visits. Service Tax as applicable will be paid separately.

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2. Manpower comprising of 2 Engineer / Architects & 2 IT/MIS experts and establishment expenses will be paid extra i.e., Rs 30.00 lacs extra per annum.
3. First Instalment of advance payment will be made to the Monitoring Agency with the signing of the Agreement. The subsequent payments to the Monitoring agency would be made on a half yearly basis based on Utilization Certificate for the previous payments as per the rates indicated above.
4. The above terms are applicable upto the Mission period i.e. March 2012.

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Name of the State		Name of the City	Name of the Project	Total Project Cost	Total Central share Approved	Total State Share Approved (Excluding other expenses)	1 <sup>st</sup> Installment of Central Share Released	Amount of Central Share utilized	% of Utilisation	Amount of State Share released	Amount of State Share utilized	% of Utilisation	Amount recommended for release as 2 <sup>nd</sup> installment of ACA	% of amount recommended to the total Central share approved	
A		MADHYA PRADESH	Indore	Slum Redevelopment Scheme at different Locations in Indore	6193.15	2998.80	2998.80	749.70	614.00	82%	749.70	614.00	82%	749.70	25%
TOTAL FOR MADHYA PRADESH (1 PROJECT)					2998.80		749.70						749.70		
B		MAHARASHTRA	Pune	Integrated Rehabilitation Project for the urban poor staying in slums in ecologically dangerous locations in Pune (Wairje slum) under BSUP.	6308.76	2934.31	2934.31	733.58	733.58	100%	738.08	1767.86	240% *	733.58	25%
TOTAL FOR MAHARASHTRA (1 PROJECT)					2934.31		733.58						733.58		
TOTAL FOR PUNJAB (1 PROJECT)					288.21		72.23						71.87		
C		PUNJAB	Amritsar	Detail Project Report for "Slum Development under BSUP - 3 slums at Rasulpur, Amritsar".	579.11	288.21	290.91	72.23	72.23	100%	33.89	33.89	100%	71.87 *	25%
TOTAL FOR PUNJAB (1 PROJECT)					288.21		72.23						71.87		

\* Excess fund utilization has been met by ULB

\* Actual installment amount should have been Rs. 72.05 Lakh however first installment was released for Rs. 72.23 Lakh hence 2nd installment restricted to Rs. 71.87 Lakh after adjusting excess release of Rs. 0.18 Lakh

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58/101

		UTTAR PRADESH											
Name of the State	Name of the City	Name of the Project	Total Project Cost	Total Central share Approved	Total State Share Approved (Excluding other expenses)	1 <sup>st</sup> Installment of Central Share Released	Amount of Central Share utilized	% of Utilisation	Amount of State Share released	Amount of State Share utilized	% of Utilisation	Amount recommended for release as 2 <sup>nd</sup> installment of ACA	% of amount recommended to the total Central share approved
D	Meerut	BSUP scheme Achronda and Kanshi, Meerut UP	2218.00	894.18	894.18	223.55	156.50	70%	217.42	210.42	97%	223.55	25%
E	Meerut	BSUP scheme for Abdullahpur & Karimnagar, Meerut, U.P.	2731.85	1101.38	1101.38	275.34	193.32	70%	216.67	201.16	93%	275.34	25%
F	Meerut	Implementation of BSUP at Meerut for const. of 852 DUs at Meerut, Dist. Meerut, UP	3044.59	1436.13	1436.13	359.03	248.58	69% *	294.89	270.42	92%	359.03	25%
			* Central share utilization reported is 69% although total utilization 76% of Due share										
TOTAL FOR UTTAR PRADESH (3 PROJECTS)				3431.69		857.92						857.92	
GRAND TOTAL				9653.01		2413.43						2413.07	

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59/101



Annexure-V  
to the minutes of 83<sup>rd</sup> CSMC (BSUP) dated 30-03-2010

Name of the State	Name of the City	Name of the Project	Total Project Cost	Total Central share Approved	Total State Share Approved (Excluding other expenses)	Central Share released so far			Amount of Central Share utilized	% of Utilisation	Amount of State Share released	Amount of State Share utilized	% of utilisation	Amount recommended for release as 3 <sup>rd</sup> instalment of ACA	% of amount recommended to the total Central share approved
						1 <sup>st</sup> Instalment	2 <sup>nd</sup> Instalment	Total							
MAHARASHTRA	Nagpur	BSUP at Nagpur, Maharashtra	12081.07	3706.82	6884.09	926.71	926.70	1853.41	1533.49	83%	3442.04	2847.89	83%	926.70	25%
TOTAL FOR MAHARASHTRA (1 PROJECT)						926.71	926.70	1853.41						926.70	

52

60/101  
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Cost Summary for TPIMA for the State of KeralaAgency: Mahindra Consulting Engineers Ltd.

Sl. No	Scheme	Total No. of Projects allotted	Total Project Cost (Rs. crores)	As GOI percent	Amount (Rs. in Crores)	Approved amount without tax (Rs)	Approved Amount (including tax) (Rs)
1.	BSUP	07	343.66	0.5%	1.7183	1606500	1771970
2.	IHSDP	37	192.18	1%	1.9218	6641500	7325575
Total		44	535.84		3.6401	8248000	9097544

The details of proposal from State Government with projects approved are annexed.

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**Kudumbashree – SLNA for BSUP and IHSDP in Kerala  
Proposal for appointment of TPIMA**

Kudumbashree, State Level Nodal Agency for BSUP and IHSDP Projects in Kerala has completed the selection of agency to function as the TPIMA in the State. The toolkit for TPIMA issued by MHUPA was followed in the selection process.

TPIMA are to be appointed for 7 BSUP and 37 IHSDP projects sanctioned in the State till September 2009.

The key stages in the selection process were the following.

- Request for Proposals was issued to agencies empanelled by MHUPA as TPIMA and MUD as IRMA, as per the format given in the TPIMA toolkit

Based on the request for proposals on October 01, 2009, five quotations were received in the form of 2 envelop bidding system namely Technical bid and price bid. Technical & performance parameters of all the five bidding documents were evaluated as per the Technical evaluation criteria (point & mark system) prescribed by the ministry in the Toolkit and short-listed four agencies.

The short listed agencies were,

1. Infrastructural professionals PVT, Ltd, New-Delhi
2. BLG constructions PVT Ltd, Jodhpur, Rajasthan
3. Mahindra Consulting Engineers, Chennai, Tamil nadu
4. Mukesh & Associates, Salem, Tamil nadu

Vide G.O (Rt) No.16/2010/LSGD dated 2/1/2010, Government of Kerala constituted a committee comprising of the following members to open and evaluate the financial bid and to finalize the agency for Third party inspection and monitoring works.

- Secretary, Urban affairs (LSGD) : Chairman
- Project Director, KSUDP : Member
- Director, Urban affairs : Member
- Additional Secretary, LSGD : Member
- Executive Director, Kudumbashree : Convener

The Committee met on February 03, 2010 at 10.30 AM in the chamber of Secretary, LSGD and the following decisions were taken.

1. To record & tabulate the rate quoted by each agency (For both BSUP&IHSDP projects) for which details are as follows

Name of the Agency	Rate for Desk Review/project	Rate per site visit
Infrastructure professionals Pvt Ltd	Rs.1,71,000/-	Rs.43,500/-
BLG constructions Pvt Ltd	Rs.1,60,000/-	Rs.40,000/-
Mahindra Consulting Engineers	Rs.79,500/-	Rs.25,000/-
Mukesh & Associates	Rs.1,55,000/-	Rs.42,000/-

2. To entrust SLNA to carryout the detailed analysis and present the report in the next meeting which was scheduled on February 18, 2010.

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Accordingly, a detailed analysis was conducted by SLNA and the following report was presented to the committee on February 18, 2010.

Total amount calculated for each agency according to the rate quoted and number of visits stipulated in the RFP call (6 visits for BSUP per project & 4 visits for IHSDP per project) for 7 BSUP & 37 IHSDP projects & the score obtained by each agency based on the maximum amount of Rs.1,83,00,000 (calculated as per maximum rates approved in the Toolkit) are given below.

Name of agencies	Calculated Amount	Score
Infrastructure Professionals Pvt Ltd	1,57,89,000/-	24.98
BLG Constructions Pvt Ltd	1,46,40,000/-	36.41
Mahindra Consulting Engineers	82,48,000/-	100
Mukesh & Associates	1,48,00,000/-	34.82

(Service tax, Education cess and higher education cess etc will be extra chargeable on actual basis. Income tax will be deducted at source in accordance with the applicable rules of the Income Tax act.)

The detailed evaluation of combined score was as follows.

Name of the agency	Technical score out of 100 (a)	60% of Technical score (b)	Financial score out of 100 (c)	40% of financial score (d)	Combine d score (b)+(d)	Rank
Infrastructural professionals Pvt Ltd	61.83	37.098	24.98	10.00	47.098	H-4
BLG constructions Pvt Ltd	60.91	36.546	36.41	14.56	51.106	H-3
Mahindra consulting Engineers	70.44	42.264	100.00	40.00	82.264	H-1
Mukesh& Associates	72.73	43.638	34.82	13.93	57.568	H-2

The Committee in its meeting on February 18<sup>th</sup> 2010, evaluated the selection process in detail and approved the consultant that got the highest rank H-1 as TPIM agency.

The State Level Coordination committee (SLCC) approved the selection process and decided to propose the name of MAHINDRA CONSULTING ENGINEERS LTD, "MAHINDRA TOWERS", GROUND FLOOR, No.17/18, PATTULLOUS ROAD, CHENNAI-600 002 as TPIM agency to GOI for concurrence.

The total cost of TPIMA for the 44 projects in the State is Rs.82.48 lakhs (exclusive of taxes). Including 10.3% Service Tax the total cost comes to Rs.90,97,544.

Cost estimate for TPIMA projects for 7 BSUP projects and 37 IHSDP Projects are given in the following pages.

2/10/10

TPPMA Costs for BSUP and IHSDP Projects in Kerala

Sl. No	Project Name	District	Project Cost (Rs. Crores)	Cost of TPPMA						Tax Amount	Total Incl. Tax
				Desk Review	No. of visits	Cost per visit	Total for field visit	Total for TPPMA			
<b>BSUP Projects</b>											
1	Thiruvananthapuram Phase I	Thiruvananthapuram	5.29	79,500	6	25,000	1,50,000	2,29,500	23,639	2,53,139	
2	Thiruvananthapuram Phase II	Thiruvananthapuram	37.29	79,500	6	25,000	1,50,000	2,29,500	23,639	2,53,139	
3	Thiruvananthapuram Phase III	Thiruvananthapuram	125.87	79,500	6	25,000	1,50,000	2,29,500	23,639	2,53,139	
4	Thiruvananthapuram Phase IV	Thiruvananthapuram	39.55	79,500	6	25,000	1,50,000	2,29,500	23,639	2,53,139	
5	Kochi - Phase I	Ernakulam	26.61	79,500	6	25,000	1,50,000	2,29,500	23,639	2,53,139	
6	Kochi - Phase II	Ernakulam	104.45	79,500	6	25,000	1,50,000	2,29,500	23,639	2,53,139	
7	Kochi - Phase III	Ernakulam	4.60	79,500	6	25,000	1,50,000	2,29,500	23,639	2,53,139	
	<b>Total</b>		<b>343.66</b>	<b>5,56,500</b>			<b>10,50,000</b>	<b>16,06,500</b>	<b>1,65,470</b>	<b>17,71,970</b>	
<b>IHSDP Projects</b>											
1	Attingal	Thiruvananthapuram	1.56	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
2	Nedumangad	Thiruvananthapuram	5.4	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
3	Neyyattinkara	Thiruvananthapuram	7.97	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
4	Punalur	Kollam	8.93	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
5	South Paravoor	Kollam	2.64	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
6	Pathanamthitta	Pathanamthitta	6.58	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
7	Alappuzha	Alappuzha	12.37	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
8	Changanassery	Kottayam	3.73	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
9	Thodupuzha	Idukki	3.9	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
10	Angamali	Ernakulam	2.80	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
11	Kothamangalam	Ernakulam	1.83	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
12	Moovattupuzha	Ernakulam	5.98	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
13	North Paravoor	Ernakulam	2.89	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
14	Perumbavoor	Ernakulam	3.06	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
15	Chavakkad	Thirissur	1.6	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
16	Guruvayur	Thirissur	1.84	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	
17	Irinjalakuda	Thirissur	1.09	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989	

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Sl. No	Project Name	District	Project Cost (Rs. Crores)	Cost of TPIMA					Tax Amount	Total Incl. Tax
				Desk Review	No. of visits	Cost per visit	Total for field visit	Total for TPIMA		
18	Kunnankulam	Thirissur	1.88	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
19	Chitir-Tattamangalam	Palakkad	12.74	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
20	Ottapalam	Palakkad	9.36	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
21	Palakkad	Palakkad	21.13	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
22	Shoranur	Palakkad	10.15	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
23	Malappuram	Malappuram	10.46	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
24	Malappuram Phase II	Malappuram	7.54	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
25	Perinthalamanna	Malappuram	5.8	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
26	Perinthalamanna Phase II	Malappuram	8.76	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
27	Ponnani	Malappuram	4.4	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
28	Tirur	Malappuram	3.72	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
29	Koyilandi	Kozhikode	3.08	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
30	Kozhikode	Kozhikode	7.15	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
31	Kannur	Kannur	1.95	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
32	Kuthuparamba	Kannur	0.82	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
33	Mattanur	Kannur	1.31	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
34	Taliparamba	Kannur	2.43	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
35	Thalassery	Kannur	1.94	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
36	Kanhangad	Kasarode	2.06	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
37	Kasarode	Kasarode	1.33	79,500	4	25,000	1,00,000	1,79,500	18,489	1,97,989
	Total		192.18	29,41,500			37,00,000	66,41,500	6,84,075	73,25,575
	Grand Total		535.84	34,98,000			47,50,000	82,48,000	8,49,544	90,97,544

Executive Director

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Sarada

SARADA MURALEEDHARAN, I.A.S.  
EXECUTIVE DIRECTOR  
KUDUMBASREE PROJECT  
State Poverty Eradication Mission  
Govt. of Kerala, Thiruvananthapuram - 14



**Kudumbashree**  
State Poverty Eradication Mission  
Local Self Govt. Department, Govt. of Kerala

29 March 2010

### **Undertaking in support of proposal for appointment of TPIMA**

Kudumbashree, State Level Nodal Agency for BSUP and IHSDP Projects in Kerala furnish this undertaking in support of the proposal for appointment of TPIM Agency for 7 BSUP and 37 IHSDP projects in Kerala.

- That, there is no conflict of interest in awarding the work:
  - No agency involved as a consultant in project preparation, supervision or implementation work in any of the JNNURM projects applying for TPIMA is a conflict of interest in Kerala
  - No team members of TPIMA have been employed (as an employee) by any ULB or State level government agency in the 5 years preceding this contract
  - The agency has not been black listed or debarred
- That, the selection of the agency has been done after considering the capacity of the agency and the value of the work is within the revised band limits prescribed in the Toolkit
- That, CVC guidelines have been followed in the selection of TPIMA
- That, guidelines of the Government of Kerala regarding award of contracts have been followed
- That, the agency has indicated the taxes applicable separately and the cost of TPIMA inclusive of taxes have been calculated
- That, the total costs are within the ceiling prescribed for BSUP and IHSDP projects in the Toolkit

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Executive Director



# Proposal for Comprehensive Capacity Building

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Local Self Government Department, Government of Kerala

March 2010

Seeking support for Comprehensive Capacity Building Programme for Improved  
Governance & Poverty Alleviation under JnNURM - RAJIV AWAS YOJANA  
(RAY) of the Ministry of Housing and Urban Poverty Alleviation, Government  
of India

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(Prepared with the technical assistance of Administrative Staff College of India (ASCI)  
Hyderabad)

**PROPOSALS**  
**FOR COMPREHENSIVE CAPACITY BUILDING FOR IMPROVED URBAN**  
**GOVERNANCE**  
**AND POVERTY ALLEVIATION**

Proposal for include establishment of a **National Resource Centre** in the fields of decentralised planning and urban poverty alleviation at the KILA Thrissur and **State Urban Resource Centre** for major subject areas like urban governance, urban poor and urban planning and development. The State Urban Resource Centre is proposed as an exclusive centre to be attached to KILA perhaps in an exclusive campus located at Thiruvananthapuram with exclusive subject experts. These centres in coordination with the various government stakeholder agencies responsible for urban administration, urban planning, urban poor, urban infrastructure development and financing and e-governance would arrange for imparting training to the ULB functionaries, planners and those engaged in urban poverty alleviation. The state resource centre may have the responsibility for designing training modules, identifying resource persons, compiling resources and documenting them. SURC is expected to become a **research and study centre** to act as the knowledge bank for ULBs, urban planners, urban decision makers and the NGOs. The SURC is also expected to be developed as a 'think-tank' on urban affairs to advise the state government on policy matters concerning urban affairs. Further the proposal also envisages a sustainable habitat development programme in partnership with the Laurie Baker Centre for Habitat Studies.

68/101  
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## Table of Contents

1. Status of Decentralised Planning and Urban Administration In Kerala .....	4
2. Objective of Originating these Proposals.....	5
3. Organisations Responsible for Capacity Building in the Related Spheres .....	7
4. Process of Consultations Adopted In Evolving Project Proposals.....	8
5. Strengths of the State Of Kerala In Urban Affairs and the Need for Establishing a National Resource Centre in Kerala .....	9
6. Proposals for Capacity Building through Establishment of National and State Resource Centres And Community /Sub regional Centres .....	13
6.2 Consolidated Estimate of Project Cost 19	
7. Conclusion .....	28

**Annexure 1: Indicative list of Training Modules**

**Annexure 2: Possible Areas for Research Studies**

**Annexure 3: List of Topics for Case Studies, Best practices, Evaluation Studies  
and Documentation**

**Annexure 4: Consolidated Table of Scheme Proposals**

59/101  
10

## 1. Status of Decentralised Planning and Urban Administration in Kerala

Consequent to the 74<sup>th</sup> CAA, the State of Kerala enacted a new Municipality Act (Kerala Municipality Act, 1994) which incorporated most of the recommendations contained in the Constitutional Amendment. In Article 243-W of the Constitution (Seventy-Fourth) Amendment Act, 1992, it is noted that the matters that may be entrusted to the Municipalities are given in the Twelfth Schedule. This schedule lists 18 functions/subjects. All the above functions except 'fire services' (which is with the State Department of Fire and Rescue Services) have been transferred to the ULBs. Though Water Supply is mainly looked after (established and maintained) by the Parastatal 'Kerala Water Authority', provision has been made in the Act permitting a Local Government to establish and run a standalone water supply/sewerage scheme. Kerala Municipality Act, 1994 lists the functions of the Municipality in the First Schedule of the Act, where the functions transferred to the Municipality are listed under 3 heads viz. A. Mandatory, B. General Functions and C. Sector-wise Distribution of Functions. These lists are quite exhaustive and include the sub components of each function, giving no scope for ambiguity.

The State of Kerala has made the above transfer of functions realistic by transferring officers working in the 'services' which were directly under the State Government / Parastatal and permitting them to work with the ULBs. This transfer of functions has been made workable along with the State Government's decision for devolution of about 30 percent of Plan Resources to the Local Governments. This in effect means that functions, functionaries and funds were transferred to the LGs to make them work actually as Local Governments, as the third tier of Government.

These actions were strengthened by a 'campaign mode' approach for Peoples' Participation in Planning and Development. The best part of the program was that a very large of volunteers came forward to work as State level Resource Persons, as Key Resource Persons (KRP) to work at district levels, as subject experts and as trainers. All of them served as Trainers who in turn trained the Municipal officers, elected members, Government officers and officers of the Parastatals who were to work with ULBs. Simultaneously a

70/101 →  
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massive program for Capacity Building was carried out by the State Planning Board and the Kerala Institute for Local Administration (KILA).

With the above actions and concerted efforts it was possible for the State to develop Decentralized Planning and Development with the participation of the people as a model worth studying and replicating, perhaps with suitable improvements. However, the State of Kerala is now rediscovering the slowly set in apathy of the general public in ward level meetings. A holistic approach in improving the quality of urban services and infrastructure, improved service delivery, technological improvements in urban governance, improvement in capacity building and transparency is aimed at and quite substantial actions have been initiated. It is hoped that these actions would result in acceptable levels in urban administration and also in increased public participation in local level planning and development.

However Government considers that in spite of substantial training activities having been undertaken with regard to Decentralized Planning during the Nineties, the Urban Local Bodies still lack expertise and capacity in Urban Planning, Urban Development and Urban Management related issues, Project Planning and Management related matters and also in Urban Poor related development issues. Perhaps there are land development and environment related and public participation related issues peculiar to the State of Kerala which also need to be addressed in Urban Development. The State may need to develop a good data bank, which can be accessed by the ULBs for their planning and development works. Such a Resource Centre at the State level can also initiate action research on specific topics which can be translated to the needs of the ULBs to improve their functioning. In addition the State desires to improve upon the strengths of the State with regard to decentralization and empowerment of Local Governments and also in areas related to poverty alleviation and to disseminate the concepts, ideas and approaches to the other States in the country through establishment of National Resource Centres.

## 2. Objective of Originating these Proposals

Capacity Building is not a onetime action, but has to be a continued strategy. Kerala has established a major training institute - Kerala Institute of Local Administration (KILA) - for imparting training to the elected and official functionaries in the rural and urban local bodies. With a core in-house staff, KILA invites subject specialists for conducting training programs on various

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subjects. KILA also has a fairly good library and spatial infrastructure. But the general observations on the long years of working of this State Local Government Training Institute is that –

- KILA was originally constituted as a capacity Building facility under Panchayat Raj system, which developed as a Training Institution under Local Self Government Department of Kerala
- In spite of later efforts to develop urban resource centre within KILA, the attempt only partially succeeded; there is a strong case for a good Urban Resource Centre. We could not develop the present facility to act as a resource centre, which the ULBs can bank on;
- The various training programs carried out by KILA are based on subject interpretations given from time to time by the different subject experts and not based on training modules (this results in interpretation of any subject in different ways by different subject experts);
- State could initiate only very limited studies on urban management related subjects whereas substantial action research programs are needed in subjects related to urban planning, urban infrastructure planning, projectisation and development, urban poor and informal sector, urban finance and urban governance including urban information systems; and
- The best practices in matters related to urban planning, development, management etc. from outside the State and from within the State need to be collected, compiled and documented so that the ULBs in the State could benefit from these; but this could not be done effectively by the present KILA though a few attempts were made in this regard at least to collect best practices from the Panchayats in the State.

It is in this context that the State finds the present initiative from the Ministry of Housing and Urban Poverty Alleviation, Government of India for '**Comprehensive Capacity Building for Improved Governance & Poverty Alleviation**' as a much awaited opportunity. This project proposal is prepared to establish Resource Centres which would help improve the quality of urban governance and urban infrastructure development in the State and also enable the State to improve the capacity of the functionaries, both officers and elected members, who are responsible for urban affairs. These are much needed in the State which has made substantial progress with regard to empowering the Local Governments by decentralization and devolution of funds. These success stories can be demonstrated to the other States and their urban functionaries can be trained by Kerala. Perhaps, this

72/101  
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would help us to learn from them and improve our decentralization actions for achieving effective urban management.

### 3. Organisations Responsible for Capacity Building in the related spheres

**ETC:** Extension Training Centres were established in Kerala during the sixties and seventies to train the (National Extension Service) Block level functionaries. These were managed by the Development Department of the State and the Block Development Officers and the officers working in the Blocks were trained in ETCs. The ETCs lost their significance when these Blocks were merged with the Block Panchayats subsequent to Kerala Panchayat Raj Act, 1994.

**SIRD:** Government of Kerala established the State Institute of Rural Development of Kerala (SIRD) in 1987 as part of an all-India strategy of creating rural development Institutes in the States utilizing a grant from the European Economic Community. The SIRD, Kerala was registered in 1988 as an autonomous body under the Travancore Cochin Literary Scientific and Charitable Societies Act, 1955. From its inception the Institute is located in the rural setting of the Extension Training Centre (ETC) at Kottarakara in Kollam district. SIRD is intended to serve the training needs of the Panchayat Raj Institutions (PRI) in Kerala.

**KILA:** Kerala Institute of Local Administration, an autonomous institution under the Local Self Government Department, Government of Kerala, was established in 1990 as the nodal agency for Training, Research and Consultancy for Local Self-Government Institutions (both rural and urban) in Kerala. Located at Thrissur KILA, apart from training, organizes seminars, workshops and discussions on the various issues on local governance and development. Since the demands for training requirements in the PRIs are high, only limited attention is given for urban affairs.

**IKM:** Information Kerala Mission (IKM) was formed in June 1999 to implement the Computerisation of the local self government institutions in the State. In addition to enabling the LSGs in computerization, IKM is also developing software for various service delivery and governance applications of LSGs and is imparting training to the LSG functionaries on the use of the different software programs. IKM is also helping the LSGs in establishing and managing their 'help desks' (front offices).

73/101  
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**State Urban Poverty Eradication Mission:** This Institution constituted in 1993 under the LSGD is often referred to as 'Kudumbashree' Mission. The mission mainly focuses on the empowerment of women. Housing, access to basic infrastructure, education, employment, economic well being and social upliftment of the poor are worked through women groups, constituted at neighbourhood (NH) level, community level and at ULB level. Their micro finance programs are hailed on par with those recognized in many countries. Local Governments enable orderly functioning of these women groups. Urban Poverty Alleviation (UPA) Units also function within the ULBs. A minimum of two percent of the revenue income of the ULBs are statutorily earmarked for poverty alleviation related tasks. Kerala has made a success story of the Kudumbashree movement. Officers and voluntary groups of the Kudumbashree are partly trained in house.

**Anticipated Future Scenario:** All the above institutions function under the overall controls of the State Local Self Government Department (LSGD). Since IKM had till now a 'mission mode' approach in their functioning, it may be possible that IKM is merged with LSGD as an integral part of the functioning of the ULBs and the three tier Panchayats. The State considers a possibility of developing KILA as the single training institute of excellence in matters relating to local governance. In such a possibility, all the other training institutes, which had their origin in the old 'NES Block regime', are likely to be merged with KILA or absolved.

#### 4. Process of Consultations adopted in the evolving Project Proposals

The Government of India letter (D.O. No. N-11027/39/2009/IHSDP/OSD (JNNURM) dated 17 Aug. 2009) from the OSD (JNNURM) & Director (NBO) to the Principal Secretary to Government, LSGD, Kerala was copied to the Executive Director, Kudumbashree, the Director of Urban Affairs, the Chief Town Planner of the Department of Town and Country Planning, the Project Director, KSUDP (Kerala Sustainable Urban Development Project), the Director, KILA, the Executive Director of the State Suchitva Mission, the Director, IKM and the Programme Management Unit (PMU) of JNNURM, Chairman of the Municipal Chairmen's Chamber and the Chairman of the Mayors' Chamber. These are officials and political heads heading organizations of the Local Self Government Department attending to the various urban affairs related tasks. These tasks relate to Municipal Administration, Urban

74/101  
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Planning, Municipal HR, HRD, Urban Poor, Urban Cleanliness, KSUDP, JNNURM, BSUP, UIDSSMT and IHSDP.

Later, the Principal Secretary, LSGD convened a meeting of all the above to ascertain their views on the Government of India Scheme for 'Comprehensive Capacity Building for Improved Urban Governance & Poverty Alleviation'. Each one of the above stakeholders had come prepared with their ideas. These contained the training needs in each of the related areas. Their ideas were discussed and they were requested to consolidate their thoughts and put them all together in a draft proposal.

The second meeting with the above functionaries discussed the draft proposals prepared by each of the above and the most feasible proposals were picked out. Inter-organizational coordination and overlapping of the HRD requirements were discussed. It was decided that there is need to work more on Decentralised Planning & Governance and Urban Poverty Alleviation, the two areas where the State of Kerala has made innovative strides and has tremendous experience. There is need to showcase our achievements to the Country as a whole. It was agreed upon that Kerala should establish a National Resource Centre on these two subjects. It was further decided that the State needs to set up State and sub-regional / City level resource centres to carry out training programs, to carry out action research, to collect information on various topics related to urban affairs from within the country and abroad to make available them to the ULBs, to function as an information and guidance bank to the ULBs. The discussions also resulted in identifying many key areas which need to be considered in designing training modules and also in imparting training.

The seminal thoughts were pooled together and the Team Leader of the PMU/JNNURM (Administrative Staff College, Hyderabad) was requested to comprehend all the discussion points and put together the Capacity Building requirements of the State in a consolidated draft Proposal Document. The draft proposals were evolved with the technical support of the Administrative Staff College, Hyderabad.

This draft was again subjected to another round of discussions and was finalized as a document to be sent to the Ministry of Urban Development and Housing & Urban Poverty Alleviation, Government of India.

## **5. Strengths of the State of Kerala in Urban Affairs and the Need for Establishing a National Resource Centre in Kerala**

### **Decentralized Governance:**

75/101  
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The actions taken and established by the State of Kerala towards Decentralized Planning and Governance are already known to the provincial and national governments in the country. A few documentation efforts have also taken place. These actions are essentially in the following order.

- (i) **Local Government Institutions:** Consequent to the 74<sup>th</sup> CAA, the State Government of Kerala enacted new Acts concerning rural and urban areas and their administration. Based on the Kerala Municipality Act, 1994 and the Kerala Panchayat Raj Act, 1994 new Municipal Governments and the three tier Panchayats (Grama Panchayats, Block Panchayats and District Panchayats) were constituted with due election processes. Moreover the State constituted also the District Planning Committees (DPC) as provided for in the above Acts.
- (ii) **Functions of the LGs:** The above Acts provided for transfer of powers to the ULBs and PRIs. This empowerment was mostly as proposed in the 12<sup>th</sup> Schedule of the 74<sup>th</sup> CAA. This list of powers specifically mentioned the detailed roles and functions of the ULBs and the each level of the PRIs in every subject entrusted to the Local Governments.
- (iii) **Functionaries:** When the LG institutions were in place and their functional roles made clear, the State Government took effort to provide adequate staff to attend to delineated functions in various sectors. The crucial issue here was that since some of the functions, which earlier were attended to by the State line Departments and in some cases by the Parastatals, were transferred to LSGs, they had to be provided with additional manpower to attend to these transferred functions. The officers who were attending to these transferred functions were transferred to LSGs. Though the LSGs were partly given administrative authority of these transferred staff, their main administrative responsibility and technical responsibility were retained with their parent departments/Organizations. By this it was ensured that the promotion and other departmental avenues were still retained even when they worked as part of the LSGs. Moreover their parent organizations still retained technical control on the transferred staff, so that the transferred staff still had the opportunity to avail the departmental technical expertise. This system of dual control had initial teething problems which were later smoothed out to a large extent.
- (iv) **Funds:** When the LG Institutions were constituted, their functions defined, functionaries provided, the next necessity was to provide funds for them to function, especially when they were entrusted with new tasks. The State Government took an unprecedented decision to transfer nearly one third of the State's Plan funds to LSGs based on norms. The LSGs were also provided Establishment and Maintenance Grants since the LSGs (including ULBs) had weak financial capacities to pay for the establishments and to undertake maintenance and repairs of the

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transferred assets. In view of this the LSGIs had funds to manage the transferred assets and also to plan and execute new development activities.

(v) **Planning and Functional Guidelines:** Powers, functions, functionaries and funds were given to the Local Self Government Institutions and they necessarily look up to the State Government for guidance in planning activities, in mobilizing participation of people in planning activities and in development works, in dealing with staff deployed from various organizations, in managing their finances, in combining revenue and capital expenditure proposed with their own funds generated through tax and non tax revenue sources from within and the plan programs proposed with Plan funds devolved to the LSGIs by the State Governments etc. Perhaps this issue of guidelines etc. was not a 'one time task'. The process still continues since issues come up when actually trying to implement certain projects. The Government together with the State Planning Board geared up unparalleled concerted efforts, even by constituting an exclusive Decentralized Planning unit within the State Planning Board, to address almost all the issues and to bring out guidelines, regulations and action templates. Organizational support facility units like Decentralized Planning Support Mission (DSP Mission), Decentralization Committee to recommend subordinate legislations and to study relevant issues and to recommend actions, Performance Audit Wing to work concurrently with LSGIs for course corrections etc. were established.

(vi) **Capacity Building:** The State Planning Board devised a 'Campaign Mode' approach for capacity building in the LSGIs, which included:

- Inculcating the spirit of decentralized planning;
- Creating awareness on the processes;
- Encouraging acceptance in the LSGI functionaries to work with people;
- Increasing people's participation in the planning and development process;
- Developing expertise in various aspects/subjects and understanding the process of project identification and preparation of feasibility reports and DPR;
- Understanding the roles of the officers, elected representatives, standing committees, ward/ grama sabhas, ward committees, beneficiary committees, government departments etc. and their relationships and coordination;
- Approval processes for Plans, Schemes & Projects, funds etc.
- Management of Finances etc.

The people to be trained included elected members of the LSGIs, officers of the LSGIs, officers transferred to LSGIs from other organizations, officers of the Government organizations etc. Along with these, attempts were made to mobilize support from voluntary organizations, individual experts and volunteers whose

72/101

services were roped in voluntary technical experts at the State level and at district levels, as Key Resource Persons etc. This campaign mode approach referred to as 'People's Planning Campaign' was a mass movement and a historical campaign undertaken with the participation of all political parties and organizations in Kerala. Massive official supports were also made available. In fact this was a novel experiment since training and capacity building were undertaken after institutions were established, functions and functionaries were transferred and funds were devolved. In spite of this, the approach was an unprecedented success.

Perhaps it is worth documenting these efforts, preparing presentation materials and literature on these, undertaking further research on improving the system and showcasing the process and products to the other State and the Countries.

#### **Poverty Alleviation:**

#### **KUDUMBASHREE**

The concept of Community development has been very much a part of India's development history. The Urban Community Development derives its origin from the community development and extension programme launched by the Government of India during 1952. In Kerala, pioneer attempt to alleviate poverty by involving Community dated back to 1992. In 1992, the State Government initiated community mobilization as part of the Centrally sponsored urban poverty alleviation programme, **Urban Basic Services for the Poor (UBSP)** in Alleppey Municipality. The community mobilization process initiated in Alleppey Municipality gave birth to Community Development Society (CDS) – an organization of women from poor families and is known as the 'Alleppey Model'. The success of Alleppey experiment in mobilizing community for implementing UBSP programme persuaded the State Government to extend this model to all the Urban Local Bodies of the State in 1994. During 1994, similar experiment was also initiated in the rural areas of the entire Malappuram District under the **Community Based Nutrition Programme & Poverty Alleviation Programme (CBNP&PAP)** assisted by UNICEF, which later came to be referred to as the 'Malappuram Model'. The success of these two experiments persuaded the State Government to initiate a new participatory community based poverty alleviation programme in 1998, which is popularly known as **KUDUMBASHREE**.

The State Poverty Eradication Mission of Kerala alias Kudumbashree (means prosperity of the family) is a holistic, participatory, women oriented poverty reduction programme being implemented by the State Government. The specific objective of the Mission is to eradicate absolute poverty from Kerala within a decade. More than **32 lakhs of poor women** in the state, representing equal number of BPL families are the frontier warriors of this massive movement. These women have organized themselves under a three tier Community Development Society (CDS) system in each of the 58 Urban Local Bodies and 991 Grama Panchayats of the State. Reaching out families through women and reaching out community through families is the guiding slogan of the Mission.

78/101  
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Kumbashree operates through a three tier Community Based Organisation. The **Neighbourhood Group (NHG)** is the grass root level structure consists of 15 – 40 women, each representing a poor family. The second tier is the **Area Development Society (ADS)** at the ward level which is formed by federating the NHGs. The **Community Development Society (CDS)** is the apex body at the Local Government level formed by federating all the ADSs. The CDS is a registered body under the Charitable Societies Act.

Kudumbashree programme differs from other poverty alleviation programme in its strategy of planning process from below. Each Neighbourhood Group is supposed to initiate a dialogue to identify their basic needs and is prioritized on need based through collective discussions. These felt needs of the community become the "Micro Plan" of the poverty alleviation programme to be implemented. This participatory model of poverty alleviation programme enjoys support from the Local Self Governments and State Government. Kudumbashree also focuses on Micro credit, Micro enterprise development, convergent community action and women empowerment.

This participatory poverty alleviation programme is a role model and was recognized nationally as well as internationally. In 2002, Kudumbashree won the prestigious **Common Wealth Association for Public Administration and Management (CAPAM)** award for its innovation in participatory poverty alleviation. Thus Kudumbashree movement has immense potential as a tool to fight poverty and as a movement to empower the poor women. Required documentation has to take place to showcase the achievements through Kudumbashree. This is a movement worth replication in the other parts of the country. Innovative studies need also happen to improve upon this model of Poverty Alleviation.

The State feels that considering the experience it has gained during the last two decades in the areas of Decentralization and the success of Kudumbashree model of urban poverty alleviation programs, it may be worth showing these to the other states in the country. Efforts towards this may also help in further studies and action research in improving the models. In view of this it is necessary to establish a **National Resource Centre (NRC) in Kerala focusing on the two areas of –**

- Decentralized Planning and Urban Governance and
- Urban Poverty Alleviation

## 6. Proposals for Capacity Building through Establishment of National and State Resource Centres and Community /Sub regional Centres

### 6.1 DETAILS OF THE RECOMMENDED PROPOSALS

79/101  
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## 6.1 A Establishment of National Resource Centre

The State of Kerala proposes to establish One National Resource Centre – with two focus areas; one in the subject of **Decentralized Planning and Development** and the second in the subject of **Urban Poverty Alleviation**.

This National Resource Centre (NRC) is proposed to be established within the KILA and shall be provided expertise through by the State Planning Board and the Kudumbashree, in the respective subjects. NRC would function as a separate unit within the KILA, exclusively manned by separate experts. Office facilities are available in the KILA, but the NRC has to be manned by competent staff/experts and they have to be provided with logistics. In view of this the proposals include the following:

### (1) NRC Unit on Decentralization

- Expenditure on engaging one Senior Subject Expert in Decentralization (Decentralized Planning and Development) for 03 years
- Expenditure on engaging two middle level Subject Experts in Decentralization for 03 years
- Engaging Research Associates on project based contracts
- Engaging an Office Assistant for 03 years
- Providing required logistics for the Unit

### (2) NRC Unit on Urban Poverty Alleviation

- Expenditure on engaging one Senior Subject Expert in Urban Poverty Alleviation for 03 years
- Expenditure on engaging two middle level Subject Experts in UPA for 03 years
- Engaging Research Associates for project based contracts
- Engaging an Office Assistant for 03 years
- Providing required logistics for the Unit

## 6.1 B Establishment of State Urban Resource Centre

Government of Kerala proposes to establish a State Resource Centre in Urban Affairs, preferably as a new centre at Thiruvananthapuram, the State capital. Though the SRC may technically be considered as part of KILA, the new SRC is expected to function from its new premises to be developed at Thiruvananthapuram with exclusive Staff, so that the Centre can be reached by all the ULBs since their functionaries often travel down to the State capital for many an official event.

The State Urban Resource Centre is proposed to be established attached to the KILA taking into account the existing manpower in the KILA, their expertise and the availability of infrastructure in the KILA. It shall be necessary to provide the required additional expertise and manpower and also the additional logistic needs.

The functions of the SURC are envisaged as follows:

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**(I) Repository for Information and data - as a resource centre on urban issues for the Local Self Governments**

- To act as a Repository of all relevant Acts, Rules, Government Orders and Amendments including the background and rationale of recent amendments
- To act as a knowledge bank on urban governance, urban planning, urban infrastructure planning, urban finance, PPP, urban sanitation, urban poverty alleviation etc.
- To provide expert advice to the ULBs on various urban issues
- To network with other resource agencies like ASCI, NIUA, RCUES etc.
- To collect, collate and compile best practices on the various urban issues
- To empanel resource persons, professional experts and professional groups to draw expertise in specific areas as and when required and to make available such expertise to the ULBs who seek such services
- To interact with SRCs in other States and learn from their experiences

**(II) Documentation**

- Library support (existing KILA library + library resources from ASCI and other resource centres)
- To compile best practices on urban development issues (from within the state, other states and from the other countries), document them and make them available to LSGs
- Preparation of subject documents and guidelines on various urban issues

**(III) Research and Consultancy**

- Undertaking research in specific relevant topics with in-house experts and also jointly with other State and National level institutions /NGOs
- Evaluation and Impact Studies on Local Government programs and projects
- Provide technical expertise and assistance in planning and project preparation (CDP, DPR...) of Local Government Institutions
- Develop modules for innovative approaches in planning, housing slum improvement, infrastructure development, PPP, Social audit etc.
- Enable LSGs in preparation of EOI, RFP, TOR, Selection of Consultants, Preparation of Agreement document etc. for specific UD projects
- Enable ULBs in identification and prioritization of projects for PPP, help them in structuring of projects /services for PPP

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It is proposed that Policy and Action Research Studies of two broad categories need to be taken up. Policy Studies among other subjects may also include: Unique functions of the ULBs, Pedestrian facilities in the urban areas and Concerns of the Children, the Aged, the Destitute, and the Disabled. Similarly Research Studies shall among other things include: Impact of the trends in de-pedestrianization of the cities, Real estate development in Kerala and its impact on land use and land value, Concerns of migrant labour and the street vendors, Malnutrition among the urban poor, Urban Coastal Community and their livelihood issues etc.

**(iv) Training**

- Organizing training programs in relevant topics to Local Government functionaries, Town and Country Planners, Elected Representatives, NGOs and Consultants/ Service Providers (training programs can be organised at SURC and also at different regional centres and at times at the project sites)
- Training of Trainers (TOT)
- Preparation of training materials on various subjects

**(v) SURC to function as a Think Tank (Brain Trust) on urban affairs –**

- SURC would be developed as a 'Think Tank' on urban affairs with selected (handpicked) subject experts who can meet and deliberate on various important issues relating to urbanization, urban development, urban governance, public participation, delivery of services by ULBs, urban poor, urban housing etc. and come out with recommendations to advise/guide State Government and ULBs –
- The group can also discuss 'major concepts / projects' at the conceptual stage itself so that the State can formulate such projects and accord approval for further action.

**6.1 C Establishment of City / Sub-Regional level Urban Resource Centres**

The State proposes to establish Community Urban Resource Centres at City level in all the five cities (Thiruvananthapuram, Kollam, Kochi, Thrissur and Kozhikode) in Kerala. In addition twelve (12) local level Urban Resource Centres are proposed in the various districts to cater to the Municipal towns in the sub-regions. These URCs would be linked / networked with the SURC, to effectively cater to the town level resource needs drawing capacity from the SURC.

**6.1 D Design and Development of Training Modules**

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Development of training modules is considered as an important task in Capacity Building. The State Government Institute under the Local Self Government Department - KILA has been functioning as the nodal training agency for the LSGTs in Kerala. Many often some of the Municipal functionaries who have undergone various training programs in the KILA have mentioned that different interpretations are given on the same subject by different subject experts in different programs. The same subject is dealt with differently in different training modules. At present the KILA has very few training modules. Appreciating the fact that even when we have a training module for any topic, it may be necessary to give some freedom to the resource persons to expand the same with new ideas, concepts, case studies etc., it is imperative to design training modules on various selected subjects.

In consultation with the various stakeholder agencies, it is proposed to develop training modules on subjects like Council functioning, functioning of Standing Committees, Functioning of Working Groups, ULB – Kudumbashree partnership, City leadership focusing on Councilors, Conflict resolution within the councils, Inter- departmental convergence especially in poverty alleviation programs, relationship between the Councils and the Departments transferred to the ULBs, Relationship with professionals, Municipal service delivery functions with focus on health, urban poor, urban hygiene, and social service sectors, E-Governance, Urban Planning, City Development Plan (CDP), Land Use Planning, New emerging Planning Tools, Convergence Planning especially with regard to CSS, Urban Finance, Identification, project formulation, project implementation and project monitoring & evaluation, Preparation of feasibility reports and DPRs, Project Financing, Public Private Partnership in urban infrastructure development and delivery of services, Local Investment & Local Economic Development, Sanitation and Environment, Solid Waste Management, Municipal Revenue and Financial Management, Accounts and auditing, Public Health, Affordable Housing, Disaster Management, Planning for the differently abled persons etc. Since traffic and transportation have become major development issues in the Kerala cities, a focused module on Urban Transport is also proposed. It is proposed to develop about 45 training modules. Pedagogy and session guides for the training programs are also to be developed.

### 6.1 E Conduct of Training Programs

Having prepared Training Modules on various selected subjects, phased and structured training programs are proposed to be organized through KILA adequately supported by the SURC. Training would be imparted both as Residential Programs, for subjects which may need more than one day to cover and as No Residential Programs for subjects, which can be covered in one day programs. Whether a particular subject would require residential program or non residential program would also be decided by the nature of participation. When senior level elected representatives (Mayors and Municipal Chairpersons) find it difficult to be away from their HQ for more

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than a day (depending on the timing of the program), it may have to be arranged as one day non residential program. Moreover, when training is proposed to be conducted at local level centres for lower level Municipal functionaries, it may be sufficient to arrange non residential programs, even if the duration of training extends to more than one day. These would be proposed when designing Training Modules on various selected subjects.

Tentative estimation of the number of Training Programs and whether they are Residential or Non Residential are given in the Costing Table attached.

#### **6.1 F Conduct of Seminars / Workshops /Exposure – Study Visits**

In order to familiarize the Municipal functionaries on the various aspects of urban planning, development and urban governance matters, Seminars and Workshops would be arranged. These would be arranged as National level events, Regional level events and as State level and local level programs, depending on the subjects and their importance. There are various Schemes proposed by Government of India, information and approach on these may have to be disseminated through National level and State level seminars and workshops. However, Regional level Workshops may have to be arranged on similar programs and schemes which are implemented by the Southern States, so that there happens opportunities to learn from each other's experiences.

The details on the number of seminars and workshops that can be held in the State are given in the Cost Table attached.

Perhaps it may not be sufficient for the Municipal functionaries and decision makers to get information through seminars and workshops. The best way, of course, is to learn from 'seeing'. There is also need to learn from the urban situations existing in various places and to learn how they have tackled various issues. It is proposed to arrange Exposure Visits for the Planners and the Municipal Functionaries to visit various States in India and also to see other Cities and towns within the State.

#### **6.1 G Networking**

The State Urban Resource Centre would be networked with the national and international level institutions to access knowledge from around the Globe. Networking with the World Bank Institute and the UN Institute for Habitat Studies may benefit the State immensely. The information thus acquired would be compiled, processed and made available to the ULBs and UPA functionaries. Networking of the ULBs and CDS units with the State to the City level and regional level Research Centres would also be considered. The SURC is expected to be networked with local and sub-regional level urban resource centres.

#### **6.1 H Development of E-Tools for Monitoring, Information Systems, Urban Plan Administration etc.**

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It is proposed to develop e-tools for poverty monitoring, poverty information systems, local monitoring and reporting systems, skill upgradation, urban management, urban plan administration etc. E- Tools would also be developed for effective urban land management and urban governance related tasks. Bio metric mapping of the urban poor and e-planning are two areas which are expected to be given importance. IKM / IT Mission can be entrusted to do this. It is expected that as a result of adequate tools to monitor and guide actions and also to plan future strategies, urban affairs may be handled effectively at the State and local levels.

### **6.1 J Dedicated Cell in SURC for Core Programs**

Perhaps this would be projected as the most important Unit within the SURC. The State expects substantial results from the research studies promoted by the Dedicated Cell, which is proposed to be established within the SURC to organize and manage research studies, to prepare subject wise study documents, to provide technical assistance to ULBs and the SPEM (State Poverty Eradication Mission) on specific issues relating to affordable housing, basic services to the urban poor, livelihood projects for the urban poor, urban planning including Strategic Planning, Urban Land Management, Urban Transport, Informal Sector, Urban Health, Environmental Issues, Water Management, Urban Database Management etc. In fact if properly equipped, this Dedicated Cell through the SURC may also function as an advisory body to the State Government on matters relating to Urban Affairs.

This proposed Dedicated Cell within the SURC shall function with three units:

**Unit 1: Urban Poor** related topics

**Unit 2: Urban Sanitation and Environment**

**Unit 3: Urban Planning and Development**

The Dedicated Cell is proposed to work with three senior Resource Persons and three Subject Assistants. Services of research associates would be sourced as and when necessary. Linkages with established Research Institutions and NGOs would also be considered. Expenditure is assessed for remuneration for the above resource persons for three years, logistic supports, expenditure on travel, carrying out studies etc., guiding research work, documentation, interaction with ULBs, the State Department of Town and Country Planning, Directorate of Urban Affairs and the Kudumbashree (SPEM) for providing technical support etc.

It is hoped that the SURC with the Dedicated Cell focusing as an advanced urban study centre would give more effective direction to the urbanization in the state and enable the State Government to bank on the SURC for advice and help in formulating Urban Policies. The State Planning Board and the Department of Town and Country Planning Department would

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be able to utilize the expertise and facilities in the SURC to give them required direction in their effective functioning.

### **6.1 H Research Studies, Case Studies, Best Practices, Evaluation Studies and other Documentation**

The State Urban Resource Centre proposes to arrange for carrying out action research studies in selected topics. Best Practices in urban planning, urban poverty alleviation, micro finance, PPP, use of improvised tools for urban development, topics relevant to Kerala like affordable housing to the low income groups, accessibility to urban land etc. would be selected for various studies through identified Study Groups or Consultants. Best Practices from within the State, from the other States and from abroad would be collected and documented for the benefit of the ULBs, Planners, Administrators and other stakeholders. The studies would be suitably documented for reference and adoption. The intention is to make this a good data bank for everyone including those studying urban related topics. The information in this data bank would be gradually digitized and made available online so that these can be accessed by any ULB and scholar in urban affairs.

### **6.1 I Partnership for Sustainable Habitat Development**

It is proposed to establish a partnership with the **Laurie Baker Centre for Habitat Studies** in order to leverage its expertise in the domain of sustainable, eco friendly and cost effective technology and affordable housing based on the principles and work of Laurie Baker. The Laurie Baker Centre, would design and develop capacity building programmes on architectural design and aesthetics with special focus on planning, design and construction of human settlements for socially and economically disadvantaged groups. It is envisaged that the partnership would have two key interventions- (i) upgrading existing infrastructure and resources and (ii) design, development and delivery of training and capacity building programmes for professional architects/planners/engineers, officers and elected representatives. (Details are provided in Section 6.2 Item 14). These interventions would result in systematic building of capacities and practical application of the expertise acquired in developing sustainable habitats.

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## 6.2 Consolidated Scheme Proposals with estimated Project Cost

No.	Component	Unit	Cost/unit in Rs. Lakhs	Est. Cost in Rs. Lakhs
1	Establishment of a National Urban Resource Centre - With focus in the two fields of Decentralization and Urban Poverty Alleviation, the two specializations /strengths already developed in Kerala - Including engagement of experts, research associates, providing logistic arrangements etc. for 3 years - To be located in the Kerala Institute of Local Administration (KILA)	Assessed for both the focal units within the NRC together		1600.00
2	Establishment of State Urban Resource Centre -	1	Total amount as detailed below in (2 a) and (2 b)	962.00
2 a	SURC to be established as part of KILA and to function from a new campus to be developed at Thiruvananthapuram with exclusive organizational set up (cost to develop a new campus - land and building - about 1500 sq.m. of land and (2 storied building) and to provide office facilities like furniture, library, computers etc.) -		850.00 includes Rs. 425 lakhs (+Rs. 425 lakhs from Gok as counterpart funding) to develop a new Centre at Thiruvananthapuram and Rs. 112 lakhs for expenditure on Staff Remuneration etc. for three years]	850.00

41

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2 b	Manpower to run the SURC - One Director/Chief of SURC, three unit heads (Urban R&D, Data Bank & Documentation and Training & HRD) and necessary support personnel (all on contract basis) with other logistic supports	Chief - Rs. 50000/pm 3 Unit Heads @ Rs. 30000/pm three Support Personnel @ Rs. 15000 (av.) /pm each; (plus 33% of the salaries as other allowances); and operational expenses of Rs. 12 lakhs per year	25.34 lakhs p.a. as salaries and allowances plus operational cost of Rs. 36 lakhs for 3 years	76 lakhs for HR + 36 lakhs as operational expenses - Total of Rs. 112 lakhs
3	Development of Training Modules - - on various aspects relating to Urban Poverty Alleviation, Urban Planning & Development and Urban Governance (to be arranged to be developed by experts in the subjects through the State Poverty Eradication Mission, Department of Town and Country Planning and the KILA)	45 modules Indicative list of subjects given in Para 6.1 D	0.50	22.50
4	Training Programmes		Total amount as detailed below in (4.1 a to 4.2 c)	182.45
4.1	Residential Programmes			
4.1a	Residential Training Programs for senior policy makers	10 programs @2 days with 20 persons/program	Rs. 5000/person (0.05x20x2x10)	20.00
4.1b	Residential Training Programs for officers at Municipal level/ community organizations/ resource persons	40 programs @2 days with 30 persons/program	Rs. 3500/person (0.035x30x2x40)	84.00

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4.1c	Residential Training Programs on e-Governance (at SURC and Sub regional Centres)	12 programs @2 days with 20 persons/program	Rs. 5000/person (0.05x20x2x12)	24.00
4.2	<b>Non Residential Programmes</b>			
4.2a	Non residential Training Programs for officers at Municipal level/CBOs/resource persons	50 programs for one day with 25 persons/batch	Rs. 2500/person (0.025x25x50)	31.25
4.2b	Non residential Training Programs for senior level functionaries	20 one day programs with 20 persons/batch	Rs. 4000/person (0.04x20x20)	16.00
4.2c	Non residential one day Training Programs on e-Governance (to be conducted in various cities & towns/ within the ULB facilities)	12 programs with 15 persons/batch	Rs. 4000/person (0.04x15x12)	7.20
5	<b>Exposure visits</b> - to learn from best practices - to be designed to cover all ULB Chairpersons, all Standing Committee Chairpersons, all Leaders of Opposition and the Municipal Officers		<b>Total amount as detailed in (5 a) and (5 b) below</b>	<b>95.00</b>
5a	Exposure Visits to other States	10 groups	5.00	50.00
5b	Exposure and interaction Visits within the State	15 groups	3.00	45.00

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26

6	<b>Seminars / Workshops</b>		<b>Total amount as detailed in (6 a) to (6 c)</b>	<b>51.00</b>
6 a	State level Seminars /Workshops	12	2.00	24.00
6 b	Regional level Seminars/Workshops	4	3.00	12.00
6 c	National level Seminars/Workshops (one on Urban Poverty Alleviation (Kudumbashree), one on Decentralised Planning and Urban Governance and the third in the sector of Urban Planning)	3	5.00	15.00
7	External Resource Persons for seminars/workshops	30 resource persons @ 2 persons /program for 15 programs	0.50	15.00
8	Establishment of City/Community Urban Resource Centres – as satellite centres of SURC – to serve as resource centres for areas related to urban poverty alleviation and also for subjects related to urban management	5 Community centres in the cities of TVM, KLM, EKM, TCR and KZD and 12 district /sub regional level centres to cater to the ULBs in the sub region	25.00 Matching fund from State Govt./ULB	125.00
9	Research Studies promoted by SURC in coordination with existing reputed academic institutions/research institutions/state departments etc. (see Annexure for an indicative list of research areas)	25 studies	5.00	125.00

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<p><b>10</b> <b>Networking</b> – to network with national and international level institutions to access knowledge from around the Globe and also to network ULBs and CDS units with the State and regional level Research Centres</p>	<p>Lumpsum</p>	<p>30.00</p>	<p>30.00</p>
<p><b>11</b> <b>e-Tools</b> for poverty monitoring, poverty information systems, local monitoring and reporting systems, skill upgradation, urban management, urban plan administration etc.</p>	<p>Lumpsum</p>	<p>100.00</p>	<p>100.00</p>
<p><b>12</b> Conduct of case studies, best practices, evaluation studies, documentation, IEC etc. –to compile valuable experiences in the areas of urban planning and development and document them</p>	<p>30 studies</p>	<p>5.00</p>	<p>150.00</p>
<p><b>13</b> <b>Dedicated Cell in SURC</b> for Core Programs – Considered as an important R&amp;D Division within SURC - Proposed to have three focus areas under separate units –</p> <ul style="list-style-type: none"> <li>• Unit 1: Urban Poverty Alleviation</li> <li>• Unit 2: Urban Sanitation and Environment</li> <li>• Unit 3: Urban Planning and Development</li> </ul> <p>Each unit under an Expert supported by skeletal staff. The Experts can source researchers as when necessary.</p>	<p>3 Researchers, logistic supports, expenditure on travel, carrying out studies, guiding research work, documentation, interaction with ULBs and the SPEM for providing technical support etc.</p>	<p>100.00</p>	<p>100.00</p>

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14	Partnership for Sustainable Habitat Development	Infrastructure for training halls, board/lodge IT and staff support for archival facilities Long term and short duration training and capacity building programmes	1041.25
14a	Infrastructure Training facilities/seminar halls/classrooms./accommodation/board facilities/equipment	200	400
14b	Archiving-IT support and staffing Training Programmes	641.25	
	Sustainable development training -architecture graduates	30 nos*15 days*3500 per day* 3 years	47.25
	Induction training for engineers/architecture graduates	60 nos*30 days*3500 per day*3 years	189.00
	Sustainable development training for effective planning for elected representatives	100 nos*10 days*2000 per day*3 years	60.00
	Production training –use of renewable building materials	20 nos*90 days*2000 per	108.00

26 6/2/10

	Multi technician training group on building technology/sustainable habitat		day*3 years 20 nos*180 days*2000 per day*3 years	216.00
	Executive training in sustainable architecture		20 nos*5 days*3500 per day*3 years	10.50
	Innovations in sustainable /Baker model architecture		20 nos*5 days*3500 per day*3 years	10.50
	Total Estimated Cost: Rs.4599.2 lakhs Forty Five Crore , Ninety Nine lakhs and Two Thousand only			

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## 7. Conclusion

The State of Kerala now experiences more than 26 percent urban content in the population with 60 statutory towns. The 15 urban agglomerations attract more and more population increasing the density of population in these agglomerations. Simultaneously the rural areas get more and more urbanized, perhaps leading to a continuous urban strip along the whole length and breadth of Kerala. This trend upsets the environmental setting of the State gradually changing the geographical features of the land.

Such a fast changing settlement characteristic need to be studied in depth not only to equip the Planners to face the challenges but also to know the most environmentally sustainable urbanization trend that Kerala needs and to guide settlement development accordingly. Research studies have to be undertaken to understand these and to evolve concepts of settlement development that need to be encouraged in Kerala. In addition capacity building is also required to equip the urban functionaries to face the challenges. Consequent to the 74<sup>th</sup> CAA, the State of Kerala has made faster strides in the direction of 'Decentralization' and empowering the Gram Panchayats and the Urban Local Bodies to function as Local Governments. The last one decade of this experience conveys to the State the inadequacies of the process. Glaring gaps are identified in the areas of capabilities in the Municipal functionaries to face new challenges in urban governance, capacity in Policy makers to foresee the future of the urbanization trends, exposure to new approaches in urban planning and urban development, newer tools in Plan administration and project implementation, capability in management of urban finances and new requirements in tackling issues related to urban poor etc.

Due to the steady decrease in the land-man ratio and increasing demand of land for various competing uses, land values increase beyond the means of a larger percentage of population. This is especially true in the case of urban land. Since the land market is mainly dealt by the private sector, the urban poor are hardly able to access urban land. Marginalisation of a good percentage of the urban population happens due to various reasons, especially in a market economy. Enabling the poor to access not only land and housing but also to engage themselves in urban economic pursuits is of concern to the State.

It is in this in this context that the State of Kerala looks forward to avail of the central scheme to establish National level and State level Urban Resource Centres and in Capacity Building. The opportunity for advanced research and studies in 'urban' related subjects is a long felt need of the State.

Proposals have been evolved to strengthen Local Self Government Department, Department of Town and Country Planning, Department of Urban Affairs, Kudumbashree, Kerala Institute of Local Administration and the Suchitva Mission by

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establishing National Urban Resource Centre, State Urban Resource Centre and a Dedicated Urban Research and Study Cell within SURC. These proposals are expected to act as 'Think Tank' for the State and also to guide ULBs at the micro level in effective urban administration.

Three major areas in which the State and the Country would directly get benefits in the realization of these proposals are:

- (i) The State gets an opportunity to study further and improve on its two proven strengths of Decentralised Governance and Urban Poverty Alleviation. By bringing these two subjects under a National Centre, the State can not only study further and improve on these subjects, but can also showcase these to the other States, with required orientation and training facilities to familiarise them on these two subjects.
- (ii) The State gets an opportunity to strengthen its resources with regard to study and research and documentation in subjects relating to urbanization, urban planning and urban development. By setting up a State Urban Resource Centre, with a dedicated R&D Cell within it, the State gets an institutional arrangement for regular studies and research in urban affairs and an Advisory Body to the State in matters related to 'urban'.
- (iii) Capacity Building exercises now undertaken in a piecemeal manner can be streamlined. By designing Training Modules it would be possible to regularize the course content in various subjects and to draw subject experts in the capacity building programs. This would improve the quality of the training programs. Capacity Building Programs would further be improved by taking the Municipal functionaries to visit the best practices and learn from the experiences of various cities through the Exposure Visit programs.

Proposals of under various items estimated to cost Rs. 4599.20 lakhs have been evolved broadly following Government of India Guidelines in this regard.

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## ANNEXURE 1

### INDICATIVE LIST OF TRAINING MODULES

#### A. SUBJECTS CONCERNING URBAN POOR

1. Studies on Urban Poor including Slum households, pavement dwellers, informal sector, street vendors, migrant labourers, destitute, poor single women, women headed households and their livelihood Profiles
2. Strengthening of CBOs / NGOs working for urban poor
3. Slum Improvement Programs leading to Slum Free Towns & Cities
4. Developing Livelihood Action Plans for the Poor
5. Gender Issues among Urban Poor
6. Interventions in Social Development for the Urban Poor
7. ULB action programs for improving the living conditions of the urban poor and ULB Capacity Building
8. Affordable Housing for the urban poor – scope & magnitude, land, design, finance and construction
9. ULBs and Community Network

#### B. SUBJECTS RELATING TO URBAN GOVERNANCE

10. General Administration of ULBs
11. Office Management in ULBs
12. Financial Management in ULBs
13. Public Works Management in ULBs
14. Municipal Budgeting – various forms of budgeting and their effectiveness
15. GIS based Property Tax Administration
16. ULB Interventions in Public Health and Sanitation – existing, mandated and optional, aspirations of the people and coordinating ULB actions with other agencies working in the area of Health and Sanitation
17. Revenue and Accounting Reforms in ULBs
18. Citizens Charter, RTI, Public Disclosure and Social Audit
19. Gender Issues in Urban Areas and Development and Gender
20. Database, Compilation of Urban Statistics and Documentation
21. Participatory Planning, Participatory Budgeting and Participatory Development

28/10/10

22. Public Private Partnership (PPP) in Urban Development, Urban Infrastructure Development and in Delivery of Services
23. Time Management with regard to ULBs
24. Public Interface and Stress Management

(Continued in Page 2)

**C. SUBJECTS RELATING TO URBAN PLANNING, URBAN DEVELOPMENT, INFRASTRUCTURE PLANNING AND PROJECT PLANNING**

25. Master Plans and City Development Plans – scope, contents, approach and need and how they should be used and interpreted by ULBs
26. Project Identification, Project Formulation, Preparation of DPR, Project Financing and Project Monitoring
27. Identification of Projects for PPP, Various forms of PPP, Structuring of Projects for PPP, Preparation of Concessionaire Documents and Inviting Project Partners
28. Urban Land Management – Land Data, Mapping, Urban Land Use Planning, Zoning Regulations and land Use Monitoring
29. Plan Implementation Tools like GIS, TDR, Plot Reconstitution Technique 'PRT' (Land Pooling/ Land Assembly/ Land Reconstitution), TOD, Accommodation reservation etc.
30. Emerging Trends in Urban Planning - practices around the World
31. Revisiting Urban Planning Theories
32. Gender Issues in Planning
33. Urban Housing
34. Management of Change
35. Urban Rural Integration in Planning
36. Statutory Towns and Cities and Urban Agglomerations – their Planning and development consequences and imperatives
37. Conservation – heritage, land and waterbodies
38. Urban Sanitation – urban drainage, sewerage, solid waste and public areas
39. Concept of Green Cities – energy efficient towns, urban environment, vegetation and and greenery, land use planning relating to green concept etc.

**D. URBAN TRANSPORT**

40. Traffic in Towns
41. Traffic and Urban land Use Planning
42. Urban Transport Modes including Mass Transport Options
43. Pedestrian Facilities
44. Transit Oriented Development
45. Road Planning and Utility Networks

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## ANNEXURE 2

### SOME OF THE POSSIBLE AREAS FOR RESEARCH STUDIES

1. Pedestrian facilities in the towns & cities, how Kerala cities have become depedestrianised- pedestrian needs - how pedestrian oriented traffic and transportation can be developed - pedestrian policy for cities etc.
2. Impact of real estate development on urban infrastructure, urban environment, land prices and housing
3. Evaluation of Public Housing in Kerala
4. Affordable Housing – earlier attempts, need for state intervention, design options, housing finances, role of NGOs etc.
5. Urban Transport
6. Migrant workers and street vendors
7. Urban Conservation- as an imperative in urban planning - conservation of heritage, water bodies, natural terrain and scenic areas
8. Tourism, urban environment and infrastructure development
9. Municipal – Kudumbasree Partnership and scope for further strengthening of bonds for institutionalising a better working relationship
10. Municipal Plan Formulation with focus on Convergence in Planning and Development
11. Urban Infrastructure Investment Options and on methods to stimulate local investment
12. Urban Agriculture – scope and possibilities for increasing production for food sustainability and also as option for creating economic opportunities for the under employed and unemployed
13. Gender dimensions in urban development
14. Urban Health – status, issues and challenges

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15. Affordable sewerage systems for small and medium towns – existing scenarios, need and scope with technological options
16. Solid Waste Management – status, impact of MSW Rules of MoUD, further challenges, options, role of PPP etc.
17. Municipal Finances in Kerala – where we are, challenges and future actions
18. Urbanisation in Kerala – trends, impact and challenges and need for guided urbanisation
19. Challenges of water related issues in urbanisation in Kerala

### ANNEXURE 3

#### CASE STUDIES, BEST PRACTICES, EVALUATION STUDIES AND DOCUMENTATION

##### Indicative List of Topics

1. Cost Effective Sewerage Systems for Small and Medium Towns in Kerala and Financing Such Projects
2. Capacity Building for the Urban Poor – Kerala Experiences and Beyond
3. Water Conservation – effectiveness of Conservation Strategies in Urban Areas
4. Best practices in PPP models – Way forward and Options
5. Urban Health Strategies – Public Health initiatives in the urban areas of Kerala
6. Best practices in Municipal Finance Management in Kerala
7. Traffic in Towns – case studies of the major cities in Kerala and future options
8. Gender dimensions in Urban Development – case studies of Thiruvananthapuram, Kochi and Kozhikode Cities
9. Study of Informal Sector and Migrant Workers in Kochi – Challenges in Urban Planning
10. Decentralised Governance – Case Study of Thiruvananthapuram Capital City
11. Planned Convergence – as a tool for effective urban planning and development – case study of Kochi UA
12. Housing the Millions – case studies in Affordable Housing practiced in Kerala and available options in comparison to experiments elsewhere
13. Micro Enterprises Development among the Poor – past experiences in Kerala and Challenges
14. The Changing Imperatives in Preparation of Urban Development Plans
15. Population Growth, Land Use and Land Value – Trends in Kerala and future challenges

29/10/11



16. Urban Slums in Kerala – Definition of Slum, Parameters for identifying slums, Slum Characteristics, Slum Improvement options, Financing Slum Improvement projects etc.
17. Urban Roads – governance, management and upkeep, development of management tools etc.
18. Options for Financing Urban Infrastructure Development
19. Study on MPC – its constitution, functional relationship with ULBs, with DPC and with District Panchayat
20. Study of the PDS in Kerala and its future dynamics in Food Security for the Urban Poor

The above is only an indicative list of topics for which studies, research and documentation can be arranged through the SURC. The subjects would be detailed out and TOR for the Study Groups / Consultants would be prepared soon after this Proposal is approved. The Experts in the Dedicated Cell in the State Urban Resource Centre would manage the subject studies with the participation of the respective Department / Organisation who has overseeing responsibilities on the subject.

#### ANNEXURE 4

##### CONSOLIDATED SHEET SHOWING SCHEME PROPOSALS UNDER VARIOUS HEADS

No.	Component	Total estimated Expenditure in Rs. Lakhs
1	Establishment of <b>National Urban Resource Centre (NURC)</b> in the two sectors of (i) Decentralization and (ii) UPA/ Kudumbashree	1600.00
2	Establishment of <b>State Urban Resource Centre (SURC)</b>	962.00
3	Development of <b>Training Modules</b>	22.50
4	Conduct of <b>Training Programs</b> (both residential and non-residential)	182.45
5	<b>Exposure Visits</b>	95.00
6	<b>Seminars/ Workshops</b> (National, Regional and State levels)	51.00
7	<b>External Resource Persons</b> for the Seminars and Workshops etc.	15.00
8	Establishment of <b>Community Resource Centres</b> (in the 5 cities & 12 local centres to cater to sub-regional levels)	125.00

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9	Conduct of Research Studies	125.00
10	Networking between the various Resource Centres and the ULBs and UPA Units	30.00
11	e-Tools for Urban Governance and Urban Poverty Alleviation	100.00
12	Conduct of Case Studies, Best Practices, Evaluation Studies, Documentation etc.	150.00
13	Establishment and working of Dedicated Cell within the SURC for research studies in the 3 focal areas	100.00
14	Partnership for Development of Sustainable Habitat	1041.25
	<b>Estimated Total Expenditure</b>	<b>Rs. 4599.2 lakhs</b>

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