

## 1. Background

- 1.1 The Ministry of Housing & Urban Poverty Alleviation is the nodal Ministry of the Government of India dealing with urban poverty alleviation, including slum development and housing the urban poor. The Ministry is implementing a number of programmes such as Jawaharlal Nehru National Urban Renewal Mission (JNNURM) and Swarna Jayanti Shahri Rozgar Yojana (SJSRY), wherein a people-centric approach has been contemplated to achieve the stipulated outcomes in a sustainable manner. As a part of such an approach, the formation and strengthening of organisations of the poor is considered necessary. Such arrangements will ensure the proper targeting and convergence of the safety nets / programmes for the poor as a package to maximize their impact and enable the poor to manage the schemes themselves for their own welfare and development.
- 1.2 The Community Development Network (CDN) initiative aims at ensuring the involvement of the poor in the provision of basic services through the creation of a network of community development societies, self-help groups and other civil society organisations for poverty reduction and livelihoods development. CDN also envisages capacity building support to these organisations through a network of resource institutions dealing with urban poverty, slums and livelihoods issues of the urban poor.

## 2. Ongoing Initiatives of Government of India

### 2.1 Jawaharlal Nehru National Urban Renewal Mission (JNNURM)

- 2.1.1 The Jawaharlal Nehru National Urban Renewal Mission (JNNURM) is the single largest initiative ever launched by the Government of India to address the problems of infrastructure and basic services to the poor in cities and towns in a holistic manner. It envisages reform-driven, fast-track and planned development of cities, with focus on efficiency in urban infrastructure/service delivery mechanism, community participation and accountability of Urban Local Bodies (ULBs) towards citizens. The Mission is to be implemented over a period of 7 years (2005-2012) with Central Assistance to States to the tune of Rs.50,000 Crore. Elected ULBs are to play a vital role in the implementation of JNNURM. Capacity building of local bodies and agencies connected with the provision of urban infrastructure, housing and civic amenities and services are critical to the success of JNNURM.
2. 1.2 JNNURM comprises two broad segments, namely (i) the Sub-Mission on Urban Infrastructure and Governance and (ii) the Sub-Mission on Basic Services to the Urban Poor (BSUP) covering 63 identified cities comprising of mega, metro, capital and cities of heritage and historical importance. Other cities and towns are covered



under the Urban Infrastructure Development Scheme for Small and Medium Towns (UIDSSMT) and Integrated Housing and Slum Development Programme (IHSDP).

2.1.3 JNNURM envisages achieving the following outcomes at the end of the Mission period by the Urban Local Bodies:

- Modern and transparent budgeting, accounting, financial management systems, designed and adopted for all urban services and governance functions;
- City-wide framework for planning and governance will be established and become operational;
- All urban poor people will have access to a basic level of urban services;
- Financially self-sustaining agencies for urban governance and service delivery will be established, through reforms to major revenue instruments;
- Local services and governance will be conducted in a manner that is transparent and accountable to citizens;
- e-Governance applications will be introduced in core functions of ULBs resulting in reduced cost and time of service delivery processes.

2.1.4 The Basic Services to the Urban Poor (BSUP) and Integrated Housing & Slum Development Programme (IHSDP) components under JNNURM aim at integrated provision of the following basic amenities and services to the urban poor and slum-dwellers:

- Security of tenure at affordable prices;
- Improved housing;
- Water supply;
- Sanitation;
- Education;
- Health; and
- Social security.

2.1.5 JNNURM contemplates that cities develop planned urban perspective frameworks for a period of 20-25 years (with 5-yearly updates) indicating policies, programmes and strategies of meeting fund requirements. This perspective plan is to be followed by preparation of Development Plans integrating land use with services, urban transport and environment management for every five-year plan period. In this

context, a City Development Plan (CDP) needs to be prepared before a city can access Mission funds. Cities will be required to prepare Detailed Project Reports (DPRs) for undertaking projects under in identified areas.

2. 1.6 Governance reforms are central to the successful implementation of JNNURM. Linked to Government of India's support to States, they are based on an enabling strategy. JNNURM envisages a series of reforms at the State and Urban Local Body levels to address issues of urban governance and urban poverty alleviation with basic amenities to the poor in a sustainable manner.
- 2.1.7 The Basic Services to Urban Poor (BSUP) and Integrated Housing & Slum Development Programme (IHSDP) contemplate the following key reforms in areas of pro-poor governance:
- Internal earmarking within local body budgets for basic services to the urban poor;
  - Implementation of 7-Point Charter, i.e. provision of basic services to urban poor including security of tenure at affordable prices, improved housing, water supply, sanitation and ensuring delivery of already existing universal services of the Government for education, health and social security within the Mission period as per agreed timelines;
  - 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.

These reforms are to be undertaken in conjunction with other reforms aimed at creating an enabling framework of good urban governance for sustainable development of cities and towns.

## **2.2 Swarna Jayanti Shahari Rozgar Yojana (SJSRY)**

- 2.2.1 Swarna Jayanti Shahari Rozgar Yojana (SJSRY) was launched on 01.12.1997 with a view to provide gainful employment to the urban unemployed or underemployed through encouraging the setting up of self-employment ventures or provision of wage employment. It subsumed the earlier three urban poverty alleviation schemes, namely Urban Basic Services for the Poor (UBSP), Nehru Rojgar Yojana (NRY) and Prime Minister's Integrated Urban Poverty Eradication Programme (PMIUPEP). SJSRY is the only urban poverty alleviation programme of the Government of India, catering to the livelihood needs of the Below Poverty Line (BPL) urban population. It prescribes identification of the poorest of the poor beneficiaries amongst the BPL urban population. The two major components of SJSRY are:



- (i) The Urban Self Employment Programme (USEP)
- (ii) The Urban Wage Employment Programme (UWEP)

2.2.2 SJSRY primarily focuses on the setting up of micro-enterprises (both individual and group) for self-employment in order to provide and facilitate sustainable livelihoods. It also lays stress on imparting skill training to the targeted population in a variety of trades and services so as to enhance their employability. In addition, the component of wage employment under the programme provides for utilization of the services of the urban poor in the creation of socially and economically useful public assets. The highlight of the programme is the empowerment of women through facilitating them to form thrift & credit societies as also to organise self-help groups. This will further inculcate the habit of saving as also getting together to set up micro-enterprises which are exclusively women-based.

### 2.3 Skill Development Mission

2.3.1 The Ministry of Housing & Urban Poverty Alleviation is contemplating a programme for Skills Training for Employment Promotion amongst the Urban Poor (STEP-UP). Enhancing skills and knowledge is going to be the key for generating productive employment in the new globalising urban economies. Major changes in the Indian economy and the accelerated rate of industrial and service sector growth imply a great demand for vocational skills. These skills are often in new, innovative and emerging sectors of technology. However, given the large number of people who have not been covered through the formal education system, innovative approaches and mechanisms would have to be developed to cater the needs of capacity building in the informal system, including those for vocational skills and manual skills.

2.3.2 A large number of workers engaged in the urban economy as self-employed in the informal sector, regular low wage/salaried workers and casual workers fall in the category of 'urban poor'. They play a key role in wealth creation, development of housing and infrastructure and enhancing the quality of life to the urbanites. However, they are themselves subject to denial of shelter, basic civic amenities, healthy urban environment and a dignified life. Therefore, in the context of poverty alleviation and employment generation programmes, the critical role of training in imparting the need based skills to improve productivity, incomes and equitable access to employment opportunities seems particularly obvious. Lack of adequate skills among the urban poor is one of the basic reasons for persistent poverty.

2.3.3 To meet the goals of slum development, poverty alleviation and employment generation of the poor, there is an urgent need to provide a national framework for

addressing the needs of capacity building, including skill formation of the urban poor, especially youth and mobilising the community for empowerment. Lessons from successful rural poverty alleviation programmes in some States suggest that the best way to enable the poor circumvent poverty is to organise them.

## **2.4. Capacity Building for Urban Poverty Alleviation**

2. 4.1. The Constitution (74<sup>th</sup> Amendment) Act, 1992 envisages urban poverty alleviation and slum up gradation as belonging to the legitimate domain of urban local bodies. In this regard, the municipalities must be enabled to have both institutional and human resource capacities to meet the emerging urban challenges. They must have specialized capacity in certain core areas to steer the visioning of slum-free cities and eradicating urban poverty. In terms of institutional resource capacities, there is a need to create/strengthen Urban Poverty Alleviation & Livelihoods (UPA&L) Cells at ULB and State levels to plan, design, monitor and evaluate programmes of service delivery to the poor. These cells need to have access to a range of expertise in areas such as project development and management, financial management, participatory planning and appraisal, poverty alleviation, livelihoods development, social and environmental analysis, development management, social accountability and audit, leadership and team work, change management, pro-poor governance, resource mobilisation for poverty alleviation etc. They must conduct slum and poverty surveys, develop and map slum and poverty profiles, prepare policies, programmes and projects, mobilize resources, work with the poor and their organisations, oversee project implementation, document and disseminate best practices and undertake reforms for sustainability. In addition to municipalities, there is also a need to strengthen capacity of other stakeholders, including the civil society, working for the causes of the poor.
2. 4.2 In the above background, the National Programme on Capacity Building for Urban Poverty Alleviation was launched by the Ministry of Housing & Urban Poverty Alleviation in March 2007. This programme aims to support implementation of JnNURM and other related programmes effectively and to strengthen the institutional framework and human resource capacity in Urban Local Bodies, State Governments and other stakeholders. It seeks to assist Municipalities, State Government Departments and Agencies, community groups, civil society and the urban poor in development/ enhancement of their capacities to overcome poverty. It includes empowerment with knowledge, skill, technology, methods, partnerships, research, networks, exchanges and institutional designs. It envisages a holistic approach to plan, design, implement, monitor and evaluate programmes, learn lessons and plough the learning back to policy-making and designing.



2.4.3 The indicative outputs from the National Programme on Capacity Building for Urban Poverty Alleviation include, but not limited to:

- (a) Preparation and delivery of training modules for urban poverty reduction and livelihood development, covering aspects such as:
  - i. Background knowledge of slum/poverty profiles, livelihood profiles, enumeration methods and estimation techniques, slum mapping, poverty alleviation and livelihood development planning, gender budgeting etc.
  - ii. Urban poor in city development processes – knowledge of their social, economic and physical conditions and their contributions to city, state and national GDP;
  - iii. Preparation and implementation of pro-poor City Development Plans with components of Slum Development Plans and Urban Sector Reform Agenda under JNNURM;
  - iv. Need identification for projects, effective formulation and design of DPRs, sustainability analysis, monitoring and evaluation, social audit etc.;
  - v. Mainstreaming initiatives for the urban poor including livelihoods development and their linkage with the formal sector economy – subsidy and tariff management; and
  - vi. Application of e-governance tools for tracking and managing poverty alleviation programmes.
- (b) City Managers' Forum on Urban Poverty & Livelihoods – a knowledge network of Municipal Commissioners, civic administrators, city managers and other administrative/technical personnel in ULBs to share and learn from each others' experiences, contributing to the overall knowledge pool for urban poverty alleviation. This forum is administered by the Yashwantrao Chavan Academy of Development Administration, Pune and would meet at regular intervals, apart from being a perpetual online forum for exchange of knowledge, education, information and communication on poverty alleviation.
- (c) Mayors' Forum for Fight against Urban Poverty – a conclave of Mayors, Municipal Chairpersons and other elected representatives of Municipal Governments to discuss poverty alleviation issues and serve as a voice and accountability platform for the urban poor. This is administered by the Regional Centre for Urban Environmental Studies, All India Institute of Local Self Government, Mumbai. It would debate on issues of importance, review progress of urban

poverty alleviation programmes including JNNURM and other livelihoods initiatives and make suggestions for action.

- (d) Colloquium of Researchers on Urban Poverty – a technical group of researchers devoted to urban poverty and livelihood issues will meet at regular intervals, bring out research and evaluation studies and will make suggestions to Central, State and City Governments regarding policy and programme changes and reforms to be undertaken along with modalities for implementation. This is to be administered by the Centre for Good Governance, Hyderabad.

### **3. Community Development Network**

- 3.1 While formulating and implementing meaningful programmes for the urban poor, it is necessary to take note of the changing perspective on poverty that stresses the importance of multiple deprivations caused by poverty besides low income. It is essential to recognize that the process of poverty elimination will not achieve its objectives unless the poor play an active and responsive role and, eventually, take charge of the process and lead it. The external interveners, on the other hand, play a major part in the beginning but, gradually, they need to transfer initiative to the poor and eventually withdraw.
- 3.2 In this background it is proposed to establish a Community Development Network (CDN) for empowerment of the urban poor so as to plan and execute programmes for sustainable urban poverty alleviation, starting with JnNURM. The CDN is an association of non-profit community development organisations. The network will enable the urban poor to form their own organisations and give them a collective voice in the arena of civic governance by enhancing their bargaining power; it will place emphasis on influencing the policy and implementation environment within which civil society organisations are situated. Under the Swarna Jayanti Shahari Rozgar Yojana, community based organizations in the form of Neighbourhood Groups (NHGs); Neighbourhood Committees (NHCs) and Community Development Society (CDS) have been established to create community structures to organise the urban poor. (Copy of extracts from SJSRY Guidelines at Annexure I). These organisations will participate in the CDN themselves or with support from other civil society organisations and resource institutions working in the areas of urban poverty alleviation, livelihoods development and community mobilisation. Other organisations working for the cause of poverty can also participate in the CDN.



## 4. CDN – Mission & Objectives

### 4.1 Mission:

CDN will strive to strengthen non-profit community development organizations working for organising or empowering the urban poor and provide them a collective voice in their effort to overcome poverty.

### 4.2 Objectives

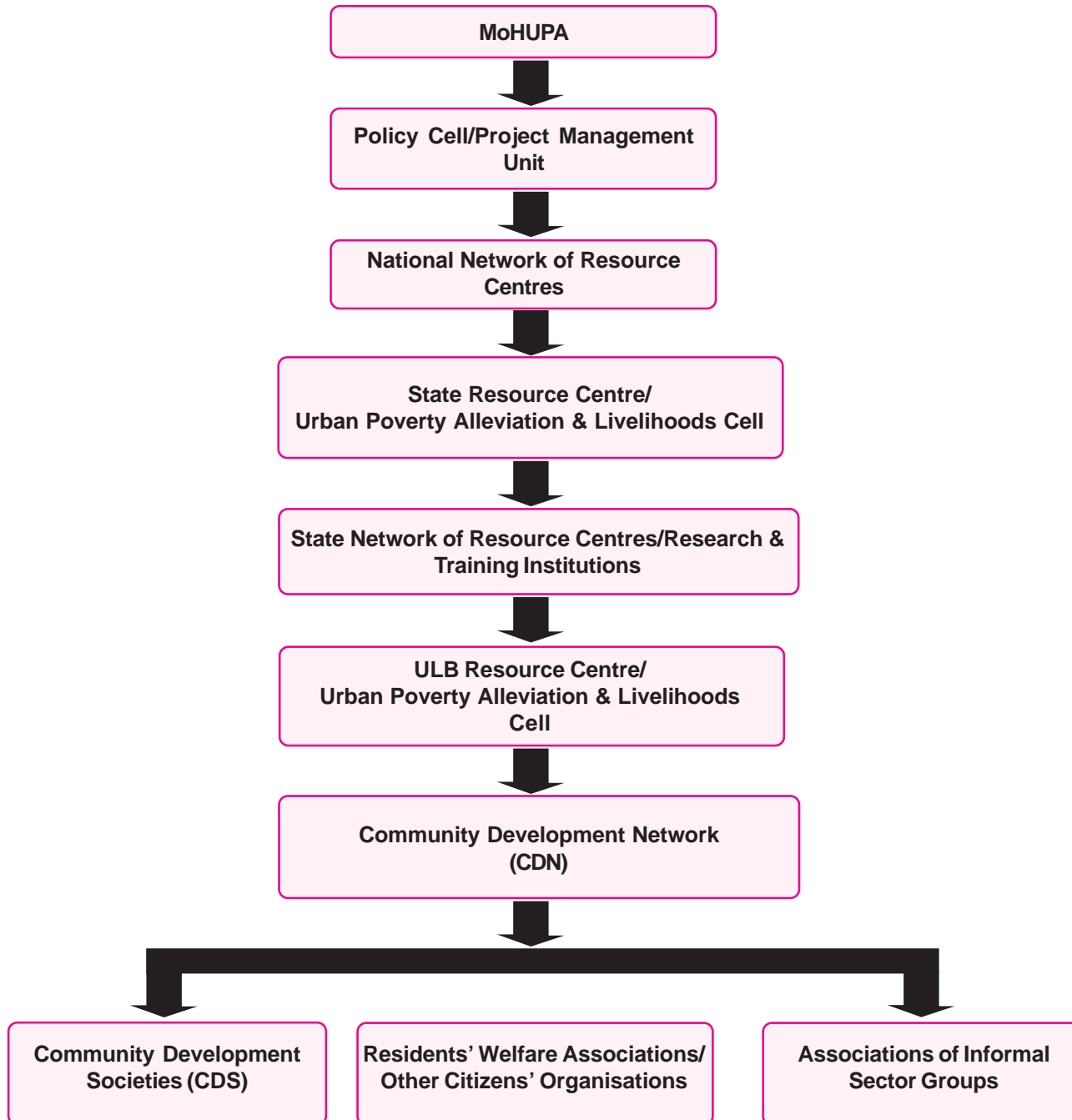
The overall objectives of CDN are:

- To ensure community ‘ownership’ of JnNURM and other poverty alleviation initiatives like SJSRY, thereby enhance the project sustainability;
- To develop innovative individual projects, with the objective of addressing service gaps or capacity constraints within and between local communities and in civil society organisations and resource institutions working for the urban poor;
- To involve the local and wider community in community relations and project implementation works which contribute to breaking down barriers and contribute to inclusive and sustainable development based on spirit of the 7-Point Charter;
- To encourage and enable community groups to participate in JnNURM project activities at various stages, including planning, implementation, monitoring, evaluation and social audit; and
- To enhance opportunities for effective community participation and execution of participatory community development projects in local areas, contributing to the attainment of the City Vision – paradigm of ‘think globally and act locally’.

### 4.3 Structure

The CDN will be rooted at the city/ULB level. It is suggested that it functions as a non-profit organisation registered under the Societies Registration Act. It will comprise of different networks consisting of members of community structures such as CDS, informal sector associations, resident welfare associations, groups of street children, destitute, etc. and resource organisations. The proposed structure envisaged for CDN is as follows:





4.4 The UPA&L Cell at the ULB has the responsibility for the organisation of the three categories of groups at the level of ward(s). The representatives from these groups will form the apex body at the ULB level in the form of CDN facilitated by a representation from the ULB. It will further be federated into the State level, facilitated by the State UPA& L Cell/State Resource Centre.

4.5 The CDN will act as an association of different networks such as the CDS system created under SJSRY, resident welfare associations, associations of informal sector groups and resource institutions working on urban poverty and livelihoods issues. The network will play the role of building up of the vision of inclusive city under JnNURM and enable the effective implementation of community development works through participatory techniques. It will assist various organisations/ associations of the poor



involved in such work. CDN will also give them a collective voice in the political arena by enhancing their bargaining power and offering a platform for influencing the policy environment. It will also encourage peoples' participation by facilitating involvement of the people in democratic structures and formation of self-help groups to deal with issues that affect their lives, based on empowered citizenship, autonomy, shared power, skills, knowledge and experience.

- 4.6 The core programme areas of CDN will be: (a) Community mobilisation and capacity building for poverty alleviation; (b) Urban poverty alleviation and livelihood promotion and (c) Slum development/upgradation and delivery of basic services, including the 7-Point Charter.

## 5. CPF - Community Participation Fund

- 5.1 JnNURM anticipates greater decentralisation, local democracy and citizen participation in civic affairs. But it is realized that capacity of the communities has to be considerably strengthened for an effective and meaningful participation in the JnNURM activities. To address this issue, a Community Participation Fund (CPF) has been established by the Ministry of Urban Development with the support of the Technical Advisory Group of JnNURM. The primary objective of this Fund is to create capacities in the communities to effectively engage and contribute in improving their living environment. It is meant to catalyse the process of community mobilisation and participation by creating a "Participatory Incubator" in some sense – allowing communities to experience the process of collective decision-making for themselves, and taking full accountability for these decisions on themselves. In the context of CDN, the scope of CPF, envisaged in the CPF Toolkit prepared by the Technical Advisory Group of JnNURM, has been extended. Members of CDN, including community level organisations and resource institutions working for the urban poor can access CPF following the Toolkit guidelines. They can also access the sources of funds available for CDN under various schemes of the Ministry of Housing & Urban Poverty Alleviation including 5% funds meant for IEC under BSUP & IHSDP. The latter categories of projects need not be projects requiring the approval of Area Sabha. The members of CDN can access funds from the Ministry of Housing & Urban Poverty Alleviation based on proposals involving innovative community development initiatives following the procedures prescribed in Annexure II directly rather than through the medium of Area Sabha.
- 5.2 The funding support under CPF in the Ministry of Housing & Urban Poverty Alleviation is meant for projects conceived and designed by the local communities, their organisations and resource institutions, which can be submitted either as Area Sabha or CDN projects. Projects could be submitted by Community Based Organisations (such

as RWAs, Neighbourhood Groups, Youth Clubs, Informal Sector Associations and Resource Institutions) as representatives of urban communities or resource institutions involving community organisations and groups. They can be submitted through urban local bodies or resource institutions identified under the Network of National Resource Centres (Annexure III).

### 5.3 CPF – Key Objectives

The primary objectives of Community Participation Fund that can be accessed by CDN are:

- To engage the community in the process of JNNURM and other programmes of the Ministry of Housing & Urban Poverty Alleviation and to facilitate transparency, accountability and ownership in the implementation of projects;
- To implement community-conceived and community-managed initiatives for community development and address critical gaps in infrastructure and services and capacity constraints in the community;
- To encourage local innovation and demonstrate the importance of community cohesion, solidarity and participation to improve the sustainability of projects and programmes,
- To facilitate close participation of community groups in JNNURM from City Development Plan (CDP) stage to the completion of social audit of the executed projects; and
- To enhance community empowerment, especially the empowerment of women and children, strengthen the disadvantaged and marginalized sections of the society and effectively execute poverty alleviation, slum upgradation and livelihoods development projects in local areas.

### 5.4. Projects to be Funded

The support under CPF will be provided to project activities which may fall in one or more of the following areas:

- Development of small-scale urban water and sanitation projects, including community toilets to be managed by users' groups;
- Small business unit/workplace/workshed in slums which can act as a common facility / micro-business centre/show room for products of people who want to set up their own enterprises and which can be used for other purposes such as training centres and meeting places for slum dwellers;



- Vendors' markets, vending outlets and hawking zones including provision of basic amenities to street vendors;
- Multi-purpose community centres such as health centres, child care centres, community service centres, local markets, night shelters etc.
- Community contracting-based public works taken up by the users' groups with the support from the ULB concerned;
- Information kiosks in slums for access to relevant information on urban basic services and schemes/projects and programmes of the ULB, State and Central Governments, general information on health education, social security, trade and market information, information on products and services etc;
- Designing and implementing innovative partnerships. This area includes support to local level stakeholders engaged in the design and implementation of innovative partnerships to provide basic services to the poor and livelihoods promotion;
- Counselling centres for adolescent boys and girls in improving life skills such as education, vocational, training, financial inclusion, legal education, book-keeping and accounting practices etc.
- Short stay home for house maids, women in distress etc.;
- Other innovative projects including capacity-building initiatives.

## 5.5 Project Selection Criteria

The general criteria laid down for selection of projects under CPF are as follows:

- The projects should result in enhanced community capacity to effectively engage and take on responsibilities;
- There should be a clear plan for operation, maintenance and sustenance of the project/ activity undertaken;
- Community consultation, comprehensiveness, wide accessibility of the outputs/ benefits, and alignment to the CDP of the city must form the basis of the projects;
- Projects with a religious focus would not be eligible, although faith-based organisations can submit proposals benefiting the community at large e.g. HIV Aids prevention;
- Activities which are generally executed by ULBs/parastatal agencies under their regular budgets and normal programmes are not eligible;

- Project proposals shall only be entertained from cities that have signed the Memorandum of Agreement under JNNURM;
- The project cost should be a maximum of Rs.10 lakhs (Rupees Ten Lakhs only);
- Community contribution into the project should be a minimum of 10 % of the project cost. This requirement may be relaxed up to 5% in case of projects involving the urban poor.
- The project implementation duration should typically not stretch beyond 12 to 18 months.
- The projects will be funded out of 5% meant for IEC activities and sanctioned by the Central Sanctioning & Monitoring Committee. It may also be funded under the GOI-UNDP supported project 'National Strategy for Urban Poor' and other schemes like SJSRY.

#### **5.6 Location of Projects**

The CPF could be taken up by all the cities nationally, but initially the projects would focus on the 63 cities covered under BSUP and those cities/towns covered under IHSDP.

#### **5.7 Financial Limit of Projects**

While there will be no lower limit for any project, the average funding for each project would not exceed Rs.10,00,000. All projects funded from the CPF will have community contribution to a minimum extent of 10% of the project cost. In case of projects largely involving urban poor communities, this requirement may be relaxed up to 5% during the appraisal process.

#### **5.8 Process flow**

Projects may be submitted by any CBO/ CSO/ Community Development Society/ area development society/resource institution, which is a member of CDN to the State Level Nodal Agency through the concerned ULB or a resource centre included in the National Network of Resource Centres. State Level Nodal Agency will appraise the project proposals and will place them to the CPF sanction committee at the State level consisting of Principal Secretary/Secretary (UD/LSG/Housing) as chairman and representatives from Ministry of Housing & Urban Poverty Alleviation and Nodal Officer (SLNA), one civil society representative and a subject expert nominated by the State Government as members. Upon receipt of proposal from SLNA after the approval by the CPF sanction committee, MoHUPA will sanction and release the amount to the SLNA for onward transmission to the executing agency. After the completion of the project, a final output compliance report and a final financial report (balance sheet) will need to be provided



by the concerned executing agency (CBO/CSO/CDS/ADS – CDN Member), which will be submitted to the MoH&UPA through SLNA

## 6. Network of Resource Centres

- 6.1. The CPF projects may be monitored by a designated resource centre based on a monitoring fee of 1% of the project cost. It is perceived that in the face of challenges of managing large projects under BSUP and IHSDP and undertaking reforms, the State Governments and ULBs would need constant support from a network of national, state and municipal resource centres on urban poverty and livelihoods. These centers would specialize and assist in areas such as development, implementation, monitoring and evaluation of CDPs and projects, MIS and GIS, emerging urban poverty and livelihood issues, affordable housing, provision of basic amenities to the poor, urban informal sector, vulnerability of the urban poor, resource mobilization for urban poverty alleviation, professional management of municipal services, use of ICT for efficiency improvement and good urban governance. They will become centers of excellence in action research, banks of best practices and agents for change management for pro-poor policy-making and programme implementation.
- 6.2 The following institutions are identified as National Resource Centres on Urban Poverty & Livelihoods under the National Programme on Capacity Building for Urban Poverty Alleviation considering the nature of their activities and focus areas:

Name	Operational & Thematic Areas
Yeshwantrao Chavan Academy of Development Administration, Pune	<p>Operational areas: Research, Management development, Secretariat for City Managers' Forum on Urban Poverty and Livelihoods</p> <p>Thematic areas: Basic services to the urban poor, Urban livelihoods, Skill development, Slum/ City/ State poverty profiling and mapping, Project development and management, Capacity building of Urban managers and officials</p>
All India Institute of Local Self Government, Mumbai	<p>Operational areas: Research, Information, Education &amp; Communication, Capacity building, Secretariat for Mayors' Forum for Fight against Urban Poverty</p> <p>Thematic areas: Land tenure, Micro-finance, Urban livelihoods, Public-private-community partnerships, Gender issues, Community empowerment, Capacity building of local non-officials, Consultations of Mayors and Municipal Chairpersons</p>
Centre for Good Governance, Hyderabad	<p>Operational areas: Research, Good governance, e-Governance - Development and deployment of ICT tools, Change Management, Secretariat for Researchers' Colloquium on Urban Poverty &amp; Livelihoods</p> <p>Thematic areas: Urban governance, pro-poor service delivery, development of e-Tools for tracking and monitoring urban poverty alleviation and livelihood development programmes, Governance reforms, Change management, MIS for JNNURM</p>
National Institute of Urban Affairs, New Delhi	<p>Operational areas: Research, Management development</p> <p>Thematic areas: Urban poverty reduction strategy, Public-private-people partnerships, Reform agenda under JNNURM</p>
Human Settlements Management institute, New Delhi	<p>Operational areas: Research, Management development</p> <p>Thematic areas: Spatial planning, human settlements development, Urban management, Land tenure, Affordable shelter, Slum development, Urban poverty alleviation, Urban employment &amp; livelihoods</p>
Entrepreneurship Development Institute, Ahmedabad	<p>Operational Area: Entrepreneurship development, Thematic areas: Sustainable urban livelihoods, Skill building for emerging markets</p>



Name	Operational & Thematic Areas
Administrative Staff College of India, Hyderabad	Operational areas: Research, Management development, Change management  Thematic area: City development planning, Service delivery to the urban poor, Urban sector reform agenda
National Building Organisation, Ministry of Housing & Urban Poverty Alleviation, New Delhi	Operational areas: Data-base on slums, poverty, housing & construction, Project appraisal under JNNURM  Thematic areas: National Resource Centre on Urban Poverty & Slums, Data Centre and MIS Cell in MoHUPA, Project Management & Support Unit for JNNURM, Capacity building programme in MIS/GIS/projects tracking system for JNNURM.

- 6.3 The above resource centres on urban poverty and livelihoods may partner with reputed academic institutions, universities and the civil society organizations. The list includes National Institute of Public Finance & Policy, New Delhi, Lal Bahadur Shastri National Academy of Administration, Mussoorie, Institute of Economic Growth, Delhi, Jawaharlal Nehru University, New Delhi, Indian Institutes of Management, National Schools of Planning & Architecture and CEPT University, Ahmedabad. They will aim at bridging the divide between research, policy and implementation. The objective is to usher in sharing of knowledge, expertise, experience and best practices for civic service delivery and people-centric pro-poor governance. The resource centres would assist in building systemic as well as human resource capacity needed for effective implementation of JNNURM and SJSRY.
- 6.4 The National Programme on Capacity Building for Urban Poverty Alleviation has proposed to support a network of national, regional, state and municipal resource centres, training institutions, urban local bodies, civil society organisations and special advocacy forums with a view to incorporate urban poverty issues in policies, programmes and projects at all levels. The Community Participation Fund projects may be anchored by one of the National Resource Centres or a State Resource Centre working on urban poverty, slums and livelihoods. Capacity building for community development activities, including planning and managing community development projects can be undertaken by the resource centres with support under JNNURM, other programmes and funding received through externally-aided projects. The Ministry of Housing & Urban Poverty Alleviation has already identified and empanelled a national network of resource centres to undertake capacity building activities for urban poverty alleviation (see Annexure III).



## Annexure I

### Community-based Structures under Swarna Jayanti Shahari Rozgar Yojana (SJSRY Guidelines)

The community based organizations include Neighbourhood Groups (NHGs); Neighbourhood Committees (NHCs) and Community Development Society (CDS).

#### I. Neighbourhood Group (NHG)

This is an informal association of women living in mohalla or basti or neighbourhood group of manageable size (preferably of 10 to 40 to represent urban poor or slum families). Geographic contiguity and homogeneity should be the basis to carve out the boundaries of the NHGs. At least one woman resident among them who is willing to serve as a volunteer should be selected as a Resident Community Volunteer (RCV) through community consensus or election or any other democratic process. There should be a change or rotation (if need be) of such volunteers at periodical intervals. The responsibilities of RCVs include:

- (i) to serve as a channel of information and communication among the families in the cluster;
- (ii) to represent the views of the groups in the neighbourhood committees and community development societies and other forums;
- (iii) to support planning, implementation and monitoring of activities at the neighbourhood level;
- (iv) to foster and encourage participation in community improvement; and
- (v) to motivate the community for being members of thrift and credit society; and to contribute to community development fund.

#### II. Neighbourhood Committees (NHCs)

A Neighbourhood Committee (NHC) is a more formal association of women from the above neighbourhood groups located in close proximity and as far as feasible within the same electoral ward. The Committee should consist of all the RCVs from the neighbourhood groups as executives (with voting right) of NHC. There can also be provision for honorary membership without a voting right for Community Organisers (COs), representatives from other sectoral programmes in the community like ICDS supervisor, school teacher, ANM etc. The Convener/President of the NHC will be selected/elected by the executive members of the NHC. The convener will ensure that the meetings are convened on regular basis. The NHC would be responsible:

- (i) to identify local problems and priorities;
- (ii) to provide suggestions for groups involvement in meeting community needs and goals (mini-plans);
- (iii) to support local action with partnership of responsible agencies including community contracts;



- (iv) to provide feedback to agencies of programme effectiveness and out-reach especially for children and women;
- (v) to develop community capacity through training in association with COs, NGOs and other sectoral departments;
- (vi) to develop community based thrift and credit system as well as neighbourhood development fund;
- (vii) to facilitate the recovery of loans from the beneficiaries in time; and
- (viii) to assist/carry out community surveys in accordance with the guidelines.

The NHC may be registered under the Societies Registration Act, or other appropriate Acts if so desired. If registered, these NHC may also apply for grants-in-aid under various schemes.

### III. Community Development Society (CDS)

The CDS is a formal association of all the neighbourhood development committees at the town level based on common goals and objectives. The CDS may consist of elected/selected representatives of NHCs as executive members (with voting right); and other members with honorary membership (with no voting right) which may include community organizers, representatives of NGOs, sectoral department, leading citizens, elected representatives of the area and other resource persons. The Community Development Society (CDS) should be registered under the Societies Registration Act or other appropriate Acts to provide access to grant-in-aid under various schemes and for a wider financial and credit base. The CDS would be responsible:

- (i) to represent needs of all the communities, especially women and children;
- (ii) liaise and link-up with agencies and departments to promote action in the community towards fulfilment of their needs;
- (iii) to identify specific training and arrange for their organization;
- (iv) to facilitate community surveys to be carried out to identify the genuine beneficiaries for economic and shelter benefits;
- (v) to prepare community plans and proposals, mobilizing resources from the community, town or sectoral departments;
- (vi) to extend help to Bank in coordination with UPA&L Cell, for ensuring repayment of loans by the beneficiaries in time; and
- (vii) to create small community assets in low income areas in consultation with town UPA&L Cell and Urban Local Body (ULB).

**Annexure II**

**Formats for Submission of Proposals for availing Community Participation  
Fund for CDN Projects**

1. Title of the project :  
Location (Name of the ULB)
2. Details of the Applicant CBO/Area Sabha/CDN Member :  
Name/Regd. No. :  
Address :  
Telephone with STD Code :  
E-mail, if any :
3. Authorised person(s)/office bearer(s)
4. Name and designation of Nodal Contact Person :  
Address :  
Phone No. with STD Code :  
Mobile No. , if any:
5. Name of the Support Agency/Resource Institution, if any :  
Address :  
Phone No. with STD Code :  
Mobile No., if any :
6. Project Duration (Months) :
7. Total Project Cost (Lakh Rs.) :
8. Funds requested for CPF :
9. Date of Submission :



## Proposal Format

### Section A : Technical

#### 1. Executive Summary

An Executive Summary of not exceeding 2 pages, should be provided. The purpose is to provide a snapshot of the community needs and the project to the reader. It should contain the major highlights of the project, major activities, project area, timelines and major outcomes and outputs.

#### 2. Information on Implementing Agency (CBO/CDN) (not needed if ULB or Resource Institution is the implementing agency)

Please give brief information on background and primary area of focus (area of activity)

##### 2.1 Target group addressed

2.1.1 Who are the main target group of the CBO's/CDN's programme interventions? For e.g. urban poor, slum dwellers, people below the poverty line, children, women, Schedule Tribes, Schedule Castes, Backward Classes, Informal Sector Workers, etc.

2.1.2 Involvement with community

##### 2.2 Support Agency/Institution (if any):

Specify the nature, purpose and periodicity of support

##### 2.3 Systems in place for technical and financial management

- Brief description of the systems in place for collection, analysis and storage of project and programme information
- Capability to handle funds
- Reliable accounting system and internal control
- Compliance to audit/other laws.

#### 3. Project Information

##### 3.1 Project Background

(Give brief description of the project area and location (provide a sketch map and approach to the site)

##### 3.2 Project Planning and Conceptualisation

Please write present situation/context of the project, need of the project intervention (e.g. limitation or absence of intervention by ULB), specific needs/ issues to be addressed by the project, details of project planning process including involvement of the project beneficiaries, linkage of the project with CDP/City Poverty Alleviation Strategy and proposed role of ULB in the project.

### 3.3 Project Design :

#### Particulars

#### Project Goal :

Write about what the project seeks to achieve at the end of the period. The goal should not be more than three sentences

#### Project Objectives :

- The project proposal should address the identified needs through a set of three to four broad objectives.
- How would these objectives help in addressing the problem of the community and in achieving the ultimate project goal?

#### Activities :

Project work plan and deliverables for the proposed duration (activities and milestones and project activity scheduling and implementation chart).

#### Project Implementation

Specify whether the Implementing Agency would be helped by any support agency, e.g. NGO, resource institution, professional expert in project formulation and implementation. If the answer is affirmative, please specify if the support agency is an existing one or a newly established.

Describe the process that will be used to implement the project. Please be specific about the role of the community and the methods to be used to facilitate and encourage broad community participation. Describe the community members involved in the project, indicating how many have already announced support for the project.

Provide composition of the project team and their assigned role in the project.

#### Outcomes :

- Major outcomes of the project including aim to achieve by the end of the project (Outcomes must be tangible and measurable, to the extent possible).

#### Project Duration :

The project proposals must be of minimum of six months and maximum 18 months duration.

#### Target Group :

Target group (size and type of target group) which are expected to benefit from the activities. The proposed initiative should engage communities and /or have a direct impact on them. The initiatives should be collective and /or have institutional backing and not be centered on individual efforts.



### **Roles and Responsibilities**

- Roles and responsibilities of community
- Roles and responsibility of the capacity building/resource institution
- Roles and responsibilities of other various stakeholders.

### **Project Monitoring and Documentation :**

Please specify the following :

- Internal and external review mechanisms during the implementation of the project and assessment of their impact.
- Indicators for monitoring progress
- Reporting the progress of the project and its duration (Reporting has to be on a quarterly basis)
- Plan for documentation of project interventions during the entire project duration i.e. through video film, photographs, articles, documentaries, case studies, baseline, etc.
- Ensuring quality in delivery of project activities.
- Sharing of experience, and documentations of project learning's

### **Project Limitations and Risks :**

Please indicate

- External factors that may affect the project success
- Measures for minimizing the risks

### **Project Sustainability and Replicability :**

- Please describe whether the proposed project or the elements of it would be sustained and how would be replicated once this funding is over.
- How would external factors, if any, such as laws and regulations, social obstacles or local financing, affect sustainability and replicability?

### **Section B : Financial**

#### **1. Budget Requirements**

Give details of a budget with total project income and expenses, and list proposed community contribution, including costs to be incurred on project activities, administration, overheads and recurring expenses.

#### **2. Demarcation of responsibilities for Operations and Maintenance :**

(Also indicate costs involved in maintenance and mechanisms for meeting these costs)

## Format of CVs

S.No.	Particulars	Details
1	Name of Proposed Person/Office Bearer	
2	Proposed position and tasks	
3	Name of organisation	
4	Profession	
5	Year of birth	
6	Years of experience	
7	Years with the CBO/CDN/Community Development Organisation	
8	Nationality	
9	Membership of professional bodies	
10	Narrative description of select experience	
11	Details of education (Degree, Year of passing, Name of University and location)	
12	Employment record (Name of organization, position held, tenure)	
13	Languages known (proficiency in Read/Write/Speak)	

## Urban Local Body (ULB) Endorsement Format

Name of the Project :

Name of the Implementing Agency :

Approved

Disapproved

- Reason for Endorsement/Disapproval
- A Certificate stating that the projected work is not included in the proposed works of the ULB.

(Signed by the competent authority of  
Municipal Corporation)



## Annexure III

National Network of Resource Centres on  
Urban Poverty & Livelihoods & their Core Areas of Specialisation

	Core Areas of Specialization	Sl. No.	Institutions
I.	Human Settlements Management/Housing/ Urban Infrastructure/ Land Management	1.	CEPT University, Ahmedabad
		2.	School of Planning & Architecture, New Delhi
		3.	Housing & Urban Development Corporation, New Delhi
		4.	Human Settlement Management Institute (HSMI), New Delhi
		5.	Building Materials & Technology Promotion Council (BMTPC), New Delhi
		6.	Yashwantrao Chavan Academy of Development Administration (YASHADA), Pune
		7.	Administrative Staff College of India (ASCI), Hyderabad
		8.	National Institute of Urban Affairs (NIUA), New Delhi.
		9.	Centre for Good Governance (CGG), Hyderabad
		10.	All India Institute of Local Self Government (AIILSG), Mumbai
		11.	Sardar Patel Institute of Public Administration (SPIPA), Ahmedabad
		12.	Haryana Institute of Public Administration (HIPA), Gurgaon
II.	Urban Management & Governance	1.	Administrative Staff College of India (ASCI), Hyderabad
		2.	Centre for Good Governance (CGG), Hyderabad
		3.	Indian Institute of Public Administration (IIPA), New Delhi
		4.	Yashwantrao Chavan Academy of Development Administration (YASHADA), Pune
		5.	National Institute of Urban Affairs (NIUA), New Delhi
		6.	Human Settlement Management Institute (HSMI), New Delhi



		7.	All India Institute of Local Self Government (AIIILSG), Mumbai
		8.	Sardar Patel Institute of Public Administration (SPIPA), Ahmedabad
		9.	Haryana Institute of Public Administration (HIPA), Gurgaon
		10.	Kerala Institute of Local Administration (KILA), Thrissur, Kerala
		11.	HCM Rajasthan State Institute of Public Administration( RIPA), Jaipur
		12.	Administrative Training Institute(ATI), Mysore
		13.	Uttarakhand Academy of Administration, Nainital
		14.	Dr. MCR HRD Institute, Hyderabad
		15	Regional Centre for Urban & Environmental Studies, Hyderabad
		16	Regional Centre for Urban & Environmental Studies, Lucknow
III.	Basic Services to the Urban Poor	1.	Administrative Staff College of India (ASCI), Hyderabad
		2.	National Academy of Training and Research in Social Studies , New Delhi,
		3.	Centre for Good Governance (CGG), Hyderabad
		4.	Human Settlement Management Institute (HSMI), New Delhi
		5.	National Institute of Urban Affairs (NIUA), New Delhi
		6.	Yashwantrao Chavan Academy of Development Administration (YASHADA), Pune
		7.	All India Institute of Local Self Government (AIIILSG), Mumbai
		8.	Sardar Patel Institute of Public Administration (SPIPA), Ahmedabad
		9.	Administrative Training Institute(ATI), Mysore
		10.	HCM Rajasthan State Institute of Public Administration( RIPA), Jaipur



		11.	Haryana Institute of Public Administration (HIPA), Gurgaon
		12.	Dr. MCR HRD Institute, Hyderabad
		13.	Uttarakhand Academy of Administration, Nainital
		14.	Kerala Institute of Local Administration (KILA), Thrissur, Kerala
		15.	Institute of Local Government Studies, Kolkata
		16.	Regional Centre for Urban and Environmental Studies, AILSG, Lucknow
		17.	Regional Centre for Urban and Environmental Studies, Hyderabad
IV.	Skill & Livelihoods Development, Small & Micro Enterprise Development	1.	Entrepreneurship Development Institute of India(EDI), Ahmedabad
		2.	National Institute for Entrepreneurship & Small Business Development (NIESBUD), NOIDA
		3.	National Institute for Micro, Small and Medium Enterprise (NIMSME), Hyderabad
		4.	Indian Institute of Entrepreneurship (IIE), Guwahati
		5.	V. V. Giri National Labour Institute, Noida
		6.	Regional Centre for Urban & Environmental Studies (RCUES), Lucknow
		7.	Regional Centre for Urban & Environmental Studies (RCUES), Hyderabad
V.	Project Development & Management	1.	CEPT University, Ahmedabad
		2.	Housing & Urban Development Corporation, New Delhi
		3.	Building Materials & Technology Promotion Council (BMTPC), New Delhi
		4.	Yashwantrao Chavan Academy of Development Administration (YASHADA), Pune
		5.	Centre for Good Governance(CGGS), Hyderabad

VI.	Social Security	1.	V. V. Giri National Labour Institute, Noida
		2.	National Academy of Training and Research in Social Studies , New Delhi,
		3.	All India Institute of Local Self Government(AILSG),Mumbai
VII.	E-Governance	1.	Centre for Good Governance, Hyderabad.
		2.	Yashwantrao Chavan Academy of Development Administration (YASHADA), Pune

Additional institutions can be empanelled based on approval secured from Secretary, Housing & Urban Poverty Alleviation.