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PREPARATION OF DETAILED PROJECT REPORT

(MODULE – 5)

RAY envisages two-step implementation strategy i.e.

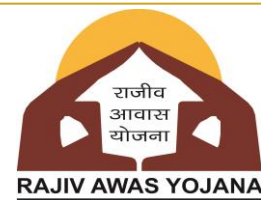
1. Preparation of Slum free City Plan of Action (SFCPoA) and
2. Preparation of projects for selected slums.

For intervention in the selected slum(s), Detailed Project Reports (DPRs) are to be prepared on 'Whole Slum basis'.

The presentation outlines :

- DPR preparation and submission process
- Types of intervention
- Admissible components
- Steps in DPR preparation
- Suggested contents of DPR

DPR PREPARATION AND SUBMISSION PROCESS



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- Implementing agencies (States/UTs/ULBs/Parastatals & Central Govt. Agencies) would be required to prepare DPRs covering 'Whole Slum' on the basis of prioritisation of slums in SFCPoAs.
- States / UTs have the liberty to submit DPRs for sanction, pending the preparation of SFCPoAs only in the first year of launch of the scheme, thereafter implementing agencies are required to prepare SFCPoA first and then DPR for selected slum.
- During the pendency of SFCPoA finalisation, cities are expected to list existing slums in the city & give reasons and justification for the selection of slum for intervention.
- While selecting slum for preparation of DPR it should be ensured by State / ULB that the slum dwellers are residing in the slum for a period of 5 years

- DPRs are required to be submitted with the executive summary, checklists and undertaking by State / ULB duly filled for facilitating faster approval.
- DPRs are to be submitted to the Ministry by the State Level Nodal Agency (SLNA) with the approval of the State Level Sanctioning & Monitoring Committee (SLSMC) for sanction by a Central Sanctioning and Monitoring Committee (CSMC).
- DPRs can be submitted to the appraisal agencies also after making entry in the IPoMS.

TYPE OF INTERVENTIONS

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Following interventions can be taken up as per requirement of Project:

- In-situ re-development (Housing and Infrastructure)
- In-situ up-gradation (Filling gaps in Housing and Infrastructure)
- Relocation (Housing & infrastructure). Only in unavoidable cases & after prior consent of slum dwellers.

Cluster of slums should be preferred to obtain advantages of integration of connectivity with city wide network of infrastructure and optimum use of land.

Execution of Project :

- Execution of projects should be taken up by ULBs.
- Preference may be given for beneficiaries led execution.
- In exceptional cases execution can be taken up by Parastatals after consent of concerned ULB.

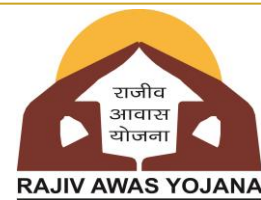
- **Housing :**

- i. New dwelling (single or multi storied) units with 21-27 Sqm carpet area (CA). (2 rooms, kitchen, bath & toilet).
- ii. Rental dwelling units (single or multi storied) with CA 16-20 Sqm with shared civic infrastructure. (21-27 Sqm in exceptional cases)
- iii. Incremental : Up-gradation of existing DUs by providing additional room, kitchen, toilet (either or all) limited to 21-27 Sqm CA.

- **Social Infrastructure :**

- i. Anganwadi, Pre schools, Child care Centres, Livelihood Centre. Multi purpose community Centre. Library cum study center, Training center for computer training with internet provisions
- ii. Community toilets, Parks and Play equipment.
- iii. Health centres/ sub Centres (if funds are not available from other scheme)

ADMISSIBLE COMPONENTS (Cont..)



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- **Basic civic Infrastructure :**

- Roads (Internal and approach), Water Supply, Sewerage, Drainage, Solid Waste Management, Street Lights, Internet cables, Rain Water Harvesting.
- Temporary transit units
- Retaining wall, fencing and boundary wall (in exceptional cases)
- Animal pen, cattle/rickshaw/ work shed
- Site Development i/c leveling & Landscaping

- **Convergence with ongoing Schemes of:**

- Health, Education and Social welfare.
- Infrastructure Connectivity.

- **Other Charges* :**

- O&M cost, up-to 4% of the project cost (One time).
- DPR preparation, PM, TPIM, social audit etc.

(**By the Centre and State in the same proportion as the funding pattern*)

ADMISSIBLE COMPONENTS (Cont..)

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- The upper ceiling of Rs 5 Lakh per DU (i/c cost of civic and social infrastructure) for cities with population more than 5 lakh and for North East & Special category States irrespective of population.
- The upper ceiling of Rs 4 Lakh per DU (i/c cost of civic and social infrastructure) for cities with population less than 5 lakh.
- Cost of civic infrastructure and social amenities per DU should not exceed 25% of the cost.
- **Following components are not admissible for GoI funding**
 - Contingencies as percentage considered in DPR
 - Price Escalation and any percentage above SOR
 - Tender Premium.
 - Departmental Charges of Implementing Agency.

1. Selection of Slum –

- i. Cities are expected to list existing slums in the city & give reasons and justification for the selection of slum for intervention.
- ii. DPR is to be prepared for one or more slums based on type of project suitable to tackle the problem faced by selected slum.
- iii. While deciding type of project it is to be ensured that slum dwellers / communities views are taken into account.

2. Land possession and land use –

It is to be ensured that :

- i. The land is in the possession of ULB and free from encroachment.
The land use is residential.
- ii. The proposal is on tenable land.

3. Survey and Mapping of selected slum –

- i. Readable Plan (Scale 1:500) showing physical boundary of slum, roads, lanes, manhole positions, drains, boundary of dwelling units, community property (if any), open space, electric poles, trees, telephone poles etc.
- ii. Contour Maps indicating ground slope and direction of drainage. Survey should extend to existing nallahs / drains to capture ground and invert elevations.
- iii. House type, (such as Kutcha / dilapidated, semi Pucca and Pucca, etc.) shall be noted giving an identification number.
- iv. Infrastructure maps showing existing underground utilities
- v. Surrounding area up to a reasonable distance, say 100 m to depict adjoining road / property and administrative boundaries.

4. **Assessment of deficiencies in slums –**

- Deficiencies are to be assessed in terms of :
 - i. Housing
 - ii. Basic civic infrastructure. and
 - iii. Social amenities (Community facilities)

Assessment of demand needs to be done to meet the current deficiency and to bridge the gap between the future and the present demand.

5. **Integration of social infrastructure –**

The DPR should aim at integrating social infra as under :

- i. Education,
 - ii. Health and
 - iii. Social security.
- Apart from provisions, it is to be ensured that operationalising these facilities is also taken care of during project preparation and implementation.

6. Establish linkage with citywide network :

- For all types of projects, in-slum infrastructure requires to be linked with city-wide infrastructure
- It is to be checked whether the city-wide system is capable to deliver *the increased demand* exerted by development of slum and up-gradation.

7. Statutory Approvals –

- Statutory approvals as per bye laws, master plan, fire safety norms, Environmental clearance etc. as applicable for the project are to be taken. These type of approvals are only illustrative and may be vary for different ULBs/Cities .
- The stipulations / regulations might undergo change. States / ULBs are expected to get the clearance / approval from appropriate authorities as per amended stipulations / regulations.

8. Preparation of detailed design after assessment of Demand / Gap

- The Housing design should be done as per National Building Code, BIS Codes.
- The design of Infrastructure components should be done as per CPHEEO Manuals, IRC Codes with amendments and other relevant specifications as applicable.
- The design should be finalised after proper geotechnical and hydrological investigation
- Conservation of the environment and ecology should be built into the habitat planning.
- The DPR should include hazard resistant planning and design, taking into account proper site selection.

9. Estimate Project Cost –

- The cost estimates have to be worked out on the basis of Detailed Bill of Quantities (BOQ), with detailed measurement of L,B,D/H using applicable current Schedule of Rates (SOR).
- If the applicable SORs relates to a year which is one or more years prior to 'current' year, appropriate cost index may be applied to update such rates, as approved by competent authority.
- In addition to permanent works, temporary transit accommodation cost should be also included in the estimate.
- The DPR shall be submitted duly authenticated and cost estimates shall be certified by competent technical authority at ULB and State/UT level.

10. Implementation and Management arrangements

The arrangement should mention the role of:

- State Level Nodal Agency (SLNA) & State Level Technical Cell (SLTC),
- City Level Mission & City Level Technical Cell (CLTC),
- Project Management Consultants
- Third Party Inspection & Monitoring Agency (TPIMA)

The DPR should provide a time-bound action plan including :

- Tendering, Appointment of Contractors,
- Construction Schedule, Post-construction activities.
- Measurable milestone through IPoMS.
- Quality Assurance and Quality Control
- Project Schedule in the form of Gantt chart
 - i. Showing monthly targets.
 - ii. Quarterly Fund requirement.
 - iii. Schedule of slum-wise Project Delivery

11. O&M arrangements of the assets –

- O & M cost up-to 4% of the project cost (One time).

(As per applicable ratio for the city i.e. 50:50 for cities with population more than 5 lakh, 75:25 for cities with population less than 5 lakh and 80:20 for cities in NE and special category States).

- The maintenance fund should be utilised as corpus fund and placed at the disposal of ULBs to administer involving the communities.

SUGGESTED CONTENTS OF DPR

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- Checklist of documents required in the DPR.
- Administrative and Technical checklist
- Executive Summary
- Introduction
- Salient features of SFCP & its linkage with the project
- Justification of the project (Prioritisation)
- Project Concept and Scope
- Description of Project and Planning
 - **Slum Survey**
 - i. Socio economic survey and Livelihood survey(Modified NBO format)
 - ii. Physical survey (TSS) (House footprints and infrastructure details of the area)
 - iii. Validation of data by competent authority
 - iv. Beneficiaries identification through UIDAI.

- **Community Participation**

- i. Focus Group Discussions,
- ii. Beneficiaries consent for relocation, accepting DUs on upper floors in multistoried building and financial contribution,
- iii. Community involvement from planning stage to allotment, O&M plan,
- iv. Beneficiaries contribution and mobilization. Photographs of activities.

- **Provision of Housing**

- i. Planning & Design of Single/ Multistoried building. Type/Area/Cost
- ii. Disaster Management and Mitigation strategies
- iii. Adoption of green technology in the project

- **Provision of Community Facilities**

- Planning & Design of Anganwadi, Health Centre/sub-Centre, Livelihood Centre, Multi-purpose Community Centre, Community Park, Community Toilet, Informal Education Centre, Informal sector Markets etc. as applicable

- **Provision of Urban Infrastructure**

- Planning & Design of Roads, Water Supply, Sewerage, Storm Water Drainage, Solid Waste Management, Rain Water Harvesting and Streetlights

SUGGESTED CONTENTS OF DPR (Cont..)



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- Statutory approvals including Environmental Clearance (if required)
- Project Cost Estimate using current SOR (Abstract & Detailed Estimate)
- Project Implementation & Management Framework
 - i. Institutional Capacity (Infrastructure, man power etc)
 - ii. Institutional framework (Creation of Cells)
 - iii. Implementation schedule (Bar Chart)
 - iv. Quarterly component wise investment schedule vis-a-vis means of finance (Central/State/ULB/Beneficiaries share)
 - v. Project Management Set-up
 - vi. Monitoring mechanism at State/ULB/Community level
 - vii. Quality Control & Quality Assurance plan
- Operation & Maintenance Plan
 - i. Mechanism proposed
 - ii. Fund requirement, creation of corpus fund

SUGGESTED CONTENTS OF DPR (Cont..)



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- **Financing Arrangement:** Component wise financial statement for each slum indicating cost, Central/State/ULB/Beneficiaries share or/and any other share. One consolidated statement covering all slums should also be furnished.
- **Drawings –**
 - i. Location Plan(s) of City and Slum(s), Land use map
 - ii. Physical survey maps, Contour plans
 - iii. Photographs covering the entire slum and Community participation
 - iv. Slum/Area layout Plan (Foot prints of existing / proposed houses and infrastructure connectivity)
 - v. On site Infrastructure service plan (water supply, sewerage, roads, drainage etc.) and linkage with city wide infrastructure ,
 - vi. Architectural and Structural Drawings of Buildings
 - vii. L section/ Cross section/ Elevation of Roads, SWD, Sewerage, Water Supply, Boundary Wall, Retaining Wall etc.

SUGGESTED CONTENTS OF DPR (Cont..)

- **Annexures to DPR:**
 - i. List of Beneficiaries
 - ii. Sample copy of consent of beneficiaries
 - iii. Sample copy of house holds survey.
 - iv. Copy of Act/ Legislation for conferment of tenure rights
 - v. Sample copy of allotment letter indicating ownership / lease rights.
 - vi. Copy of minutes of SLSMC indicating approval of project.
 - vii. Copies of MoA signed between ULB/parastatals, State and MoHUPA.
 - viii. Reforms – Status and Proposals
 - ix. Undertakings of ULB and SLNA
 - x. Details of educational and health facilities for scheme
 - xi. Copies of statutory approvals
 - xii. Photographs covering existing housing and infrastructure of entire slum
 - xiii. Photographs of ‘Micro Planning’ with the community

Discussion forum on RAY VAARTA available at www.mhupa-ray.gov.in can be used for queries related to DPR preparation

Thank You