



# **Rajiv Awas Yojana (RAY)**

## ***Guidelines for Preparation of Detailed Project Reports***

**2013 - 2022**



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

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## Preface

Rajiv Awas Yojana (RAY) envisages a “Slum Free India” with inclusive and equitable cities in which every citizen has access to basic civic and social services and decent shelter.

In pursuance of this vision of “Slum free India”, Rajiv Awas Yojana (RAY) was launched in June 2011 in two phases; the preparatory phase for a period of two years which ended in June 2013 and implementation phase. Central Government has approved the implementation phase for the period of 2013-2022.

RAY envisages a two-step implementation strategy i.e. preparation of Slum free City Plan of Action (SFCPoA) and preparation of projects for selected slums.

RAY Scheme Guidelines issued by the Ministry broadly describe the Scope, Coverage, Reforms, Implementation Approach, Central Assistance, Administrative and Implementation structure and Monitoring mechanisms under RAY.

However, to assist States/ULBs to implement RAY, the following operational guidelines have been prepared by the Ministry:

1. Guidelines for Reforms
2. Guidelines for GIS, MIS and GIS-MIS integration
3. Guidelines for preparation of Slum-free City Plan of Action
4. Guidelines for Community Participation
5. Guidelines for preparation of Detailed Project Reports
6. Guidelines for Project Management
7. Guidelines for Social Audit
8. Guidelines for Capacity Building
9. Quality Assurance Manual

The above mentioned guidelines are uploaded on the Ministry’s website at [www.mhupa.gov.in](http://www.mhupa.gov.in).

Operational guidelines provide a general reference framework for implementation under RAY. Feedback and suggestions are welcome and may be posted at Ministry through RAY Vaarta ([www.mhupa-ray.gov.in](http://www.mhupa-ray.gov.in)), an interactive website which serves as a common platform for discussions and dissemination of information.

## **Abbreviations**

BIS	Bureau of Indian Standards
BMTPC	Building Materials and Technology Promotion Council
BOQ	Bill of Quantities
BSUP	Basic Services to Urban Poor
CBO	Community Based Organization
CLTC	City Level Technical Cell
CPHEEO	Central Public Health and Environmental Engineering Organization
CSMC	Central Sanctioning & Monitoring Committee
CSC	Construction Supervision Consultants
DPR	Detailed Project Report
DMP	Disaster Management Plan
DSC	Design and Supervision Consultants
DU	Dwelling Unit
EIA	Environmental Impact Assessment
ESR	Elevated Storage Reservoir
EWS	Economically Weaker Section
GIS	Geographical Information System
GTS	Great Trigonometric Survey
GoI	Government of India
GPS	Global Positioning System
GLR	Ground Level Reservoir
HUDCO	Housing and Urban Development Corporation Limited
HIG	High Income Group
IHSDP	Integrated Housing and Slum Development Programme
IRC	Indian Road Congress
IS	Indian Standards
JNNURM	Jawaharlal Nehru National Urban Renewal Mission
LIG	Low Income Group
MIS	Management Information System
MoA	Memorandum of Agreement
MoHUPA	Ministry of Housing and Urban Poverty Alleviation
MoEF	Ministry of Environment and Forest

MIG	Medium Income Group
NBO	National Building Organization
NGO	Non- Governmental Organization
O&M	Operations and Maintenance
PHED	Public Health Engineering Department
PPP	Public Private Partnership
PMC	Project Management Consultant
PWD	Public Works Department
QA	Quality Assurance
QC	Quality Control
RAY	Rajiv Awas Yojana
RCC	Reinforced Cement Concrete
RWA	Resident Welfare Association
SEIAA	State Environmental Impact Assessment Agency
SFCPoA	Slum Free City Plan of Action
SHG	Self Help Group
SJSRY	Swarna Jayanti Sahari Rojgar Yojana
SLNA	State Level Nodal Agency
SLTC	State Level Technical Cell
SLMSC	State Level Monitoring and Sanctioning Committee
SOR	Schedule of Rates
SSA	Sarva Shiksha Abhiyan
TBM	Temporary Bench Mark
TPIMA	Third Party Inspection and Monitoring Agency
TSS	Total Station Survey
ToR	Terms of Reference
UGR	Under Ground Reservoir
UIDAI	Unique Identification Authority of India
ULB	Urban Local Body
UT	Union Territory

### Introduction to Guidelines for Preparation of DPR.

The objective of RAY is to make cities slum free adopting 'Whole Slum Approach'. This requires the existing slums in a city or town to be remodelled so that the residents are provided with acceptable level of housing and access to social & basic urban infrastructure of optimum standard. Accordingly, all three (i.e. housing, community facilities and urban) services require attention. At the same time, an attempt is required to ensure that slums do not grow in future. For this, adequate and affordable housing with adequate infrastructure are to be created progressively in a town to meet the demand of poor migrant workers and others who are compelled to seek shelter in slums or in slum-like conditions. Therefore the objective requires two simultaneous actions:–

- (a) Redevelopment / Up-gradation / Relocation of slums to acceptable living conditions; &
- (b) Preventive or pre-emptive action.

The guidelines for RAY provide flexibility to States/UTs and cities in deciding solutions specific to the requirements of each slum, whether redevelopment, up gradation, or relocation in consultation with community though In-situ re-development is the programme of choice.

The preparation of Detailed Project Report(s) DPRs would follow the preparation of the Slum-Free City Plan of Action (SFCPoA) (*Refer "Guidelines for Preparation of Slum Free City Plan of Action" for details*).

On the basis of prioritisation of slums in SFCPoAs, cities would be required to prepare DPRs covering 'whole slum'. As preparation of SFCPoAs may take some time, 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.

The Detailed Project Report is a document which deals with all aspects of pre-investment planning and establishes the need and feasibility of the project. The DPR is needed to seek assistance under RAY from the Government of India with sufficient details to ensure appraisal, approval and subsequent financial assistance for implementation in a timely and efficient manner.

Each DPR would be submitted by the State Level Nodal Agency with the approval of the State Level Sanctioning & Monitoring Committee for sanction by a Central Sanctioning and Monitoring Committee (CSMC). The DPRs would be submitted to the Ministry or its appointed agencies. DPRs would be appraised by appraisal agencies engaged for the purpose under the supervision of the RAY Directorate prior to placing it before Central Sanctioning and Monitoring Committee. It is essential that the DPR should conform to guidelines. A Checklist of documents & information required in DPR and Administrative & Technical checklist containing details of proposal are placed at **Annexure A and B**. All DPRs are required to be submitted with the checklist duly filled for facilitating faster approval.

These guidelines attempt to describe the process and a step-by-step approach in order to prepare DPR for selected slum(s) ready for seeking sanction under RAY by the eligible institutions i.e. Urban Local Bodies (ULBs), Para-Statal bodies and other implementation agencies.

## **1. TYPE OF PROJECTS WHICH CAN BE TAKEN UP IN DPR**

**1.1** The composition and nature of slums are likely to vary from town to town. In general, one may expect various degrees of deficiencies with regard to housing, urban infrastructure and community facilities. Considering that in various cities efforts have already started to redress the deficiencies with regard to housing and basic urban infrastructure, it is recommended to prepare an updated status of all slums, both notified and non-notified in a given town. Those slums which are already provided with pucca housing with kitchen and toilet facility as per RAY guidelines and basic infrastructure should not be taken for DPR. In other cases, gaps may exist either in terms of basic urban infrastructure or in terms of pucca housing. Therefore, typically, Interventions in selected slums can be as follows to address various levels of deficiencies:

- 1. In-situ Re-development** – Development of entire slum by providing adequate housing and infrastructure (civic and social) to the slum dwellers after demolition of the existing built structures.
- 2. In situ Up-gradation:** Development of the entire slum by filling gaps in housing and infrastructure (civic and social) to the slum dwellers without complete demolition of the existing built structures.
- 3. Slum relocation :** Intervention in this case would include adequate housing and infrastructure (civic and social) to the slum dwellers on alternate site. Relocation should be done only for untenable slums with emphasis on providing mobility and recreating livelihood linkages.

In-situ slum re-development/ up-gradation should be encouraged to ensure that development does not lead to loss of shelter of slum dweller and livelihood linkages or additional commuting hours leading to loss of income.

Temporary transit housing required to accommodate the displaced slum dwellers of intervened slums shall be proposed in the DPR.

**1.2** Depending on the specific requirement of a city / town, all these types of projects should be included in the DPR in a manner as comprehensive as possible. While selecting slums, slums located near each other and form a cluster should be preferred, to take full advantage of the available city-wide network of infrastructure. 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. It is likely that out of all slums existing in a city / town, priority slums are included in the DPR. Slums which are not included as prioritized slums may be taken up at a later stage depending upon available resources.

**1.3** Following type of housing may be considered in all these projects depending on the need of selected slum

1. **New housing:** Slum dwellers without *pucca* houses should be provided with new dwelling unit (Single storey or Multi-storied building) of carpet area between 21-27 sqm. with two rooms, kitchen, bathroom, water sealed toilet and individual potable water connection facility.
2. **Rental Housing:** Rental housing may be the preferred choice to accommodate tenants of slums, labourers, floating population and urban homeless. Recognising that managing such rental premises is challenging, States/UTs will be required to clearly enunciate mechanisms for managing such premises including fixation of rent, operation and maintenance, vacancy norms etc. The carpet area of rental DUs is expected to be between 16-20 Sqm. with shared civic infrastructures. However, rental DUs with carpet area between 21-27 Sqm can also be proposed in exceptional cases.
3. **Incremental housing:** Incremental housing may be considered in case the existing dwelling units built by the slum dwellers need improvement i.e. if the dwelling unit is a *pucca* construction but having less than the desired minimum floor space or rooms, additional provision of rooms, toilets etc. should be considered to meet the minimum criteria (In case land is not available for expansion, vertical development may be considered).

1.4 With regard to housing, full flexibility of approach is available for the manner of construction and arrangement of funds. Following models for execution may be adopted:

- a. **Beneficiary-led Execution:** Beneficiaries may be involved for construction of DUs which would result in better monitoring and implementation. Implementing agencies should ensure timely availability of funds required for the smooth progress and completion of projects. Funds to beneficiary should be released in four installments, the first of which would be before commencement of construction (10%), second once construction is up to plinth level (30%), third after construction up to roof level (40%) and final installment on completion of construction (20%). The exact quantum may be varied by implementing agencies as per local conditions.
- b. **Executing Agencies:** Execution of housing projects should be taken up preferably by ULBs. In case, States/UTs decide to execute the projects through Parastatal i.e. Housing Boards, Development Authorities etc. then consent of the concerned ULB should be taken before assigning projects to such Parastatals.

1.5 Projects for slums located on lands of Central Government/Central Government Undertakings /Autonomous bodies created under the Act of Parliament are also eligible under RAY. The land owning agencies will have the discretion to prepare DPR on its own or in partnership with State/UT governments and concerned ULBs. In case, DPR is prepared by the land owning agency on its own and no State share is envisaged, then DPR may be directly submitted for consideration to Ministry of Housing and Urban Poverty Alleviation. If DPRs are prepared in partnership with States/ULBs then these should be submitted through SLNA with approval of the SLSMC.



1.6 States/UTs are encouraged to come up with innovative projects for which fund is earmarked. The key objective would be to incentivize innovation and encourage new approaches and solutions to improve the quality and quantity of shelter and services for the urban poor/slum dwellers. The innovative approaches may include:

- Innovations in planning, demonstrating integrated livelihoods, shelter and services or convergence
- Innovative or cost effective and green building design and technologies
- Financial innovation in the delivery of city/state wide programmes (e.g. community fund, incremental savings etc.)

## **2. STEPS IN DPR PREPARATION**

### **Step (i): Selection of project for the slum:**

On the basis of description in last chapter, first step in DPR preparation is to decide the type of project which is suitable to tackle the problem faced by selected slum. While deciding type of project it is to be ensured that slum dwellers / communities views are taken into account. After selecting the slum, the preparation of improvement plan of the selected slum, often called 'micro-planning', should be done involving the community. This activity should aim at making the best possible choices with regard to layout, locations of community facilities and urban infrastructure, keeping in mind the requirements of public health and safety as per Disaster Management Plan. (Refer "Guidelines for Community Participation for details)

### **Step (ii): Land possession and Land use:**

Before formulating the project proposal for slums, States must ensure that the land / project area is under the possession of ULB and free from all encroachment and encumbrance. The land use of the proposed project land should be residential.

The location of slums should also be examined with reference to following:

1. Industrial land-use and/or close to hazardous industries
2. Cultural or religious sites / structures / locations / zones
3. Heritage sites / structures / locations / zones
4. Coastal Regulation Zones / Areas
5. Urban forestry / reserve forest areas / forest land
6. Waterway of natural drainage courses, Flood-ways
7. Conserved structures / lakes / rock formations / steep slopes
8. River-beds or of the stream / river and tank beds
9. Any other environmentally sensitive location that may fall in restricted area / prohibited area, such as near landfill sites, within high tide line, Landslide area etc.

If an existing slum is located in any of the above-mentioned areas, it would be required to be relocated at an appropriate location either in full or in part. However in situ redevelopment can be taken up after change of land use to residential if applicable or taking proper mitigation measures.

### **Step (iii) : Survey and Mapping of selected Slum :**

For detailed planning and design of housing and infrastructure within slums, integration with city-wide network of urban infrastructure, it is required to create detailed plan by carrying out Total Station Survey<sup>1</sup> (Physical survey by Total Station) for the slum(s). The

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<sup>1</sup> In case if the slum is too congested to carry out Total Station Survey, other method like plane table and auto-levels can be used to do the in-filling, while establishing the slum boundary and main features using Total Station instrument.

Survey shall be carried out to generate the following drawings/maps using AutoCAD or similar software:

1. Plan to a scale of 1:200 to 1:500 ( i.e. readable, depending on site condition) showing physical boundary of slum, roads, lanes, sewer/drain manhole positions, roadside drains, boundary of each dwelling, community property<sup>2</sup> (if any), open space and all surface features like electric poles, trees, telephone poles. Ground Elevations are to be noted, referenced to GTS datum.
2. Contour Map showing contours depending upon site conditions and topography, indicating ground slope and direction of drainage. Survey should extend to existing nallahs / drains, capturing ground and invert elevations of such receiving course(s) of drainage.
3. Using appropriate legend / notation, house type, (such as kutcha, semi pucca, pucca, dilapidated etc.) shall be noted; each house / dwelling shall be given an identification number which would be the same as given during socio-economic survey using modified NBO format.
4. Infrastructure maps showing existing underground utilities, like water distribution pipes and their diameter if available, sewer lines and their diameter if available, electric lines, telephone lines/ cable etc. These drawings may be prepared by plotting underground services using secondary sources of information or any other method as appropriate
5. Surrounding area up to a reasonable distance, say 100 m to depict adjoining road / property and administrative boundaries like ward boundary, zoning boundary etc. where applicable. It should be ensured that main drain is surveyed up-to the outfall (Discharge point) so that connectivity can be ensured.

It may be noted that during survey, representatives of the ULB and / or Utility Authority (e.g., Water, Sewerage, Electricity etc.) as well as community volunteers should participate actively and satisfy themselves about the survey being carried out to ensure that nothing is left out.

The drawings so prepared from TSS shall then be transferred to the GIS database using software conversion techniques. Slum base map, Digital Elevation Model (DEM)<sup>3</sup>, Relief map & slope map of slum shall be prepared using TSS data for cities with population more than 3 lacs (2011 census) or the cities where work is already started under preparatory phase. (Refer “Guidelines for GIS, MIS and GIS – MIS Integration” for details).

Relief map shall be used to generate 3D view of the slum base map during the preparation of DPR. Preparation of 3D view is not mandatory but discretionary. 3D views so generated may be discussed with the community to help them understand the existing housing & infrastructure condition and the proposed development models. It is suggested that 2-3 development models may be prepared for facilitating discussion and finalization of the

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<sup>2</sup> This includes common properties like community toilet, community centre, informal markets etc.

<sup>3</sup> DEM will help to analyse ground condition of slum, topography, ground slope and direction of drainage. Further, this will also help to identify the vulnerable areas like prone to flooding/water logging and landslides (in case of hilly areas).

most suitable model for the type of intervention selected for the slum. The process would yield appropriate and affordable alternatives for layout, re-alignment, spaces for livelihood etc. Broad plan for realignment may be discussed by the community before the technical feasibility is carried out so that conflicts can be avoided during the implementation phase as in this entire process some houses may have to part with some land to allow infrastructure to be laid out. (Refer “Guidelines for Community Participation for details)

During survey, the identification number is to be given for (a) house / dwelling unit and (b) household. It may be noted that in one house, two households may be present. Thus combination of the two IDs (i.e. ID of dwelling unit and household) would pinpoint to each household and should be used to ensure proper and verifiable linkage of socio-economic data and housing condition / property data.

### **Step (iv) : Assessment of Deficiencies in selected slum(s) :**

Deficiencies are to be assessed in terms of (a) housing; (b) basic civic and social infrastructure; and (c) socio-economic conditions. Slum Profile and Household Survey would establish the existing deficiencies for all these three parameters.

The quantum of housing deficiency (in terms of existing inadequate housing) can be assessed from the combined results of slum physical survey and slum household survey. Following the RAY principles, it is to be determined how many dwelling units need to be provided by replacing or building new housing in lieu of existing inadequate housing using the criteria of 21-27sqm. carpet area for each dwelling unit with 2 rooms, kitchen and bathroom and toilet (separate) facility in single story and / or multi-storied building.

During the assessment of housing needs, it may be determined that houses / dwelling units built by the slum dwellers may need improvement i.e. if the dwelling unit is a *pucca* construction but having less than the desired minimum floor space or rooms, additional provision of rooms, toilets etc. should be considered to meet the minimum criteria so as to facilitate housing unit up-gradation (In case land is not available for expansion, vertical development may be considered). Provision of individual water supply, sanitation and electricity connection should also be considered, where so required. This type of projects would fall in the category of incremental housing

The assessment of deficiency in social infrastructure should be made by comparing the requirement of each element (e.g. Anganwadi, Livelihood Centre etc.) according to the norms of provision as stipulated in the planning norms in the Master Plan or State Planning norms, whichever is applicable vis-à-vis the actual availability. However, in doing so, groups or clusters of slums may be taken up, if they exist in close proximity to one another. This way, optimum use of land and other resources may be achieved.

The infrastructure within slum comprising road/lanes, water supply, sewerage and sanitation, electrification and storm water drainage should be planned in an integrated manner connecting with city-wide network. In case of specific problem because of which

the in-slum infrastructure cannot be connected with city wide network, then standalone infrastructure components can be considered.

The cost of user charges for water, electricity, and sanitation services as imposed by the ULBs and/or service providers shall be borne by the individual beneficiaries.

The project would include connection and installation of meters for basic services of water, electricity and sewage individual connections, which shall not be charged to the beneficiaries.

### **Step (v) : Integration of Social Infrastructure**

The Project planning should ensure convergence of education, health and social security with other on-going schemes. It is also to be ensured that operationalizing these components is also taken care of during project preparation.

Details of existing Education and Health facilities need to be prepared. Based on the data collected, requirement for Education and Health facilities in the proposal may be assessed. In case the existing facilities are adequate for the proposed settlement, the same may not be proposed. Otherwise, provision for these facilities need to be ensured in the proposal. If adequate land is not available for these facilities at the project site, provision for alternate arrangements in the adjoining area should be made.

It is reiterated that only pre-schools/ anganwadis and health centres/sub-centres (only if funds are not available from any other State/Central schemes) are eligible for Central assistance. Additional education and health facilities required as per norms will have to be converged with other State/Central scheme and will not be eligible for Central assistance.

### **Step (vi) : Establishing Linkages with City-wide infrastructure Network**

For all types of projects, proposed in-slum infrastructure requires to be linked with city-wide infrastructure – these include roads, electricity network, water supply network, sewerage network, storm water drainage and solid waste management system. When project sites are located in the developed parts of the town, this may or may not present a problem as far as *system availability* is concerned but 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. If a shortfall in capacity is determined, a supplementary project may have to be taken up under other State / Central Government schemes as this cannot be funded under RAY. The adequacy of existing water supply system in the slum needs to be checked with respect to increase in water supply to slums (either in-situ development or relocated slums) from existing status to full city level status @ 135 lpcd. Due to increase in water supply, there would be a consequent increase in wastewater generation. Clearly, the wastewater so generated would need treatment. If there is an existing Sewage Treatment Plant, its rated capacity should be checked against the overall increase in sewage generation. In case of shortfall, a programme of enhancing or augmenting the capacity should be taken up. Suitability of the decentralised sewage treatment plant should be

explored. In such cases, treatment processes shall be so chosen so that their operations should be simple and maintenance affordable.

**Step (vii) : Preparation of Detailed Designs after assessment of Demand / Gap**

The assessment of demand of housing and infrastructure shall be made to meet the current deficiency and also to bridge the gap between the future and the present demand of housing and infrastructure with due attention to plan the layout (after reconfiguration of plots, if possible), total sanitation (with provision of individual toilets and water supply to each household) and provision of adequate green spaces as per (modified, if necessary) town planning norms.

DPR should be prepared on the basis of assessment of the demand/gap and following the various technical standards. A list of Admissible components under RAY is placed at **Annexure E**

The houses are to be designed by qualified architects and engineers, conforming to the National Building Code and other relevant Bureau of Indian Standards (BIS) Codes. The National Building Code (NBC) lays down provisions designed to protect the safety of the public with regard to structural sufficiency, fire hazards and health aspects of the buildings. The sizes as per standards for low income housing units in NBC-2005 are as under:

S.No.	Unit	Minimum Area ( Sqm)	Minimum width ( m)	Remark
1	Living room	9.00	2.50	Total area of both the habitable rooms to be not less than 15.5 sq.m
2	Bedroom	6.50	2.10	
3	Kitchen	3.30	1.50	
4	Bath room	1.20	1.00	
5	Toilet	0.90	0.90	
	Total	20.90 ( Say 21.00)		

*\*The minimum width of individual balcony, where provided, shall be 0.9m and shall not be more than 1.2m and it shall not project beyond the plot line and on roads or pathways.*

With regard to housing, full flexibility of approach is available for the manner of construction and arrangement of funds for construction viz. to follow a beneficiary-led housing model, individually or in the case of multi-storied housing by housing associations, with design and technical support from the ULB/State, or construction of housing through State parastatals or private partners or by the option of Rental housing or by delineating a mix of methods.

The design of urban infrastructure should be carried out as per the provisions of Central Public Health and Environmental Engineering Organization (CPHEEO) manuals, Indian Road Congress (IRC) codes, BIS codes with relevant amendments and other relevant

specifications. (For details, web site [www.cpheeo.nic.in](http://www.cpheeo.nic.in) , [www.irc.org.in](http://www.irc.org.in) and [www.bis.org.in](http://www.bis.org.in) be referred).

It is required that the ULB/ Implementation agency to take into account the provisions of the City Development Plan, City Sanitation Plan etc. to achieve synergy with ongoing schemes/programmes. Service plans and cross sections of the infrastructure components need to be clearly indicated on drawing with proper dimensions on an appropriate scale. The length of link infrastructure for integration with city-wide network should be clearly marked in the drawings.

For proposed infrastructure components, source (Tube well or Municipal water for water supply) disposal (Septic tank, Dewats or Municipal sewer for sewerage), storage (GSR/ESR or individual tanks) etc. should be clearly spelt out in the DPR. Integration of proposed infrastructure with city level infrastructure should be mentioned.

Conservation of the environment and ecology should be built into the habitat planning, which includes water conservation through reducing strategies ( use of dual pour cistern for flushing and low flow plumbing fixtures), handling of household waste ( segregation of bio-degradable waste for composting), reduced dependency on virgin material (i.e. wood for doors and windows), use of renewable sources of energy ( i.e. Solar lights), rain-water harvesting (provision of open spaces and rain water collection system apart from roof water harvesting), innovative and energy efficient technologies ( i.e. orientation of building to get maximum benefit of natural light). For green technologies, Green Rating for Integrated Habitat Assessment (GRIHA) guidelines ( [www.grihainida.org](http://www.grihainida.org)) promoted by Ministry of Non-Renewable Energy and guidelines of Indian Green Building Council ( [www.igbc.in](http://www.igbc.in)) may be referred.

The DPR should include hazard resistant planning and design, taking into account proper site selection. Housing and infrastructure need to be constructed to avoid loss or threat to life and economic losses.

There are three basic concerns in disaster management in slum areas –

- (i) The shelters/buildings may lack considerations of safety against earthquake, cyclone etc.
- (ii) The area in which slums are located are often prone to disasters like landslides, flood and man-made hazards such as fire, explosion, chemical release etc. and
- (iii) Lack of access for relief and rescue operation in case of an incidence of disaster. Access of Fire tenders and Ambulances inside slum is often just not available, because the road/lane is too narrow.



While buildings are to be designed and built to meet the requirements of general structural safety against cyclone, earthquake etc., items under (ii) and (iii) require proper planning to result in provision of adequate space for access roads. This can be done without much difficulty in case of relocation projects, however for in-situ redevelopment and up-gradation of existing slum(s), this requires an involved exercise with communities, because they will have to agree for re-plotting, providing space for improved access roads, in case they own the land on which dwellings are located. An attempt should be made to provide main access road with a minimum width of 6 m to allow entry of fire tenders and ambulance in to the slum. The ULB should ensure building by-laws being enforced with regard to minimum width of roads. Disaster Mitigation Measures have also been mentioned in **Annexure- F**.

Thus the DPRs should categorically include Disaster Management Plan as per the requirement of Disaster Management act 2005 for the slum(s) under consideration to respond to identified disasters (Incidence Response System), provide relief and rescue and also disaster prevention measures.

“Guidelines on Multi-Hazard Resistant Construction of EWS Housing Projects”, developed by the Building Materials & Technology Promotion Council (BMTPC), Ministry of Housing & Urban Poverty Alleviation, Government of India may be referred to for housing design and construction with relevant IS Codes and updated amendments.

### **Step (viii) : 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. The stipulations / regulations might undergo change. States / ULBs are expected to get the clearance / approval from appropriate authorities as per amended stipulations / regulations.

It is to be ensured that statutory approvals are obtained before submission of DPR to the MoHUPA for CSMC approval.

### **Step (ix) : Estimation of Project Cost**

Cost estimates have to be worked out on the basis of detailed bill of quantities (with detailed measurements of length, breadth, and depth / height for each item), using the current Schedule of Rates of the State Government or relevant SOR as applicable. If the applicable Schedule of Rates relates to a year, which is one or more years prior to ‘current’ year, an appropriate cost index may be applied to update such rates, as approved by the competent authority.



In addition to permanent works, temporary transit accommodation cost may be included in the estimate of DPR for in-situ redevelopment with new housing.

The DPR shall be submitted duly authenticated and cost estimates shall be certified by competent technical authority at ULB and State/UT level.

Project Cost Estimate in DPR should include the charges of DPR preparation, Project Management, Third Party Inspection & Monitoring (TPIM), social audit. These charges will be shared between Central and State Govt. as per applicable sharing pattern.

The elements of cost such as price escalation, departmental charges of implementing agencies, any mark-up above current SOR, tender premium, contingencies etc., may form part of project cost, but GoI contribution will not be admissible for such cost. The State government/ ULB will have to bear such costs.

The cost estimate should be prepared slum-wise, collating detailed estimates for various items of work along with quantity, rate and amount using MS Excel or similar software, so that any revision or modification may be incorporated easily. Each slum should thus have a Cost Summary sheet. For example, in the DPR, if there were 5 slums, there would be 5 summary sheets. The total figure of such 5 summary sheets should be collated in to the Main Cost Summary, giving the estimated project cost. Of the Total Project Cost, the share of the State Government, ULB, Beneficiaries and Government of India should be shown separately, as admissible. Implementing Agencies preparing the DPRs will have to give the financial model and commitment of State/ULB share to complete the project.

An Executive Summary indicating physical and financial detail of the project needs to be included in the DPR as per **Annexure 'C'**

### **Step (x) : Implementation and Management arrangements**

The DPR should clearly bring out the implementation and management arrangements of the project, dealing with administrative structure, implementing agencies against various components of the project. If more than one agency is involved, a clear description of method to achieve co-ordination among them should be described.

The DPR should provide a time-bound action plan including tendering, appointment of contractors, construction schedule for transit accommodation and phasing of new housing in case of in-situ redevelopment, quality assurance & quality control and post-construction activities, including project delivery. Among other things, the action plan should include, (i) project schedule in the form of a Gantt chart, showing monthly target; (ii) quarterly fund requirement to match the project schedule; and (iii) schedule of slum-wise project delivery

The implementation and management arrangement should mention the role of the State Level Nodal Agency (SLNA), State Level Technical Cell (SLTC), City Level Mission Directorate, City Level Technical Cell (CLTC) and Project Management Consultant (PMC).

After completion, projects should be handed over to the beneficiaries in a timely manner. As-built drawings of all completed projects should be vetted and handed over to the ULB. The necessary administrative structure, overseen by the SLNA, should be in place to ensure successful project delivery to avoid unprofitable expenditure as well as suffering of people, for whose benefit the project has been undertaken. The ULB should record project handing over and delivery, and furnish the information to the SLNA. The SLNA, in turn, should furnish such project completion information to the MoHUPA, GoI.

### **Step (xi): Operation and Maintenance plan of proposed assets**

Operation and Maintenance of assets created under the project has always been a matter of concern due to lack of resources available to project owners to carry out maintenance. Although the annual budget requirement for maintenance is miniscule compared to the project cost, huge investments have simply suffered due to negligence in continued budget allocation.

Maintenance of the assets created under the scheme should preferably be carried out by the beneficiary or their group, if necessary in partnership with ULBs. An O&M fund up-to 4% of the project cost is admissible under the scheme. Central Government will contribute one-time to this O&M fund in the 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.

Maintenance Fund should be utilized as a Corpus Fund and placed at the disposal of the ULB. This fund should be used for implementation of O&M plan as agreed by the Committee for maintenance of community assets like common structure of multi storey buildings, community centres etc. As far as the common infrastructure (e.g., roads, water supply, sewerage, drainage, street lighting etc.) is concerned, the O&M (created as in-slum assets) should be treated as part of the city-wide infrastructure and the implementing authority / ULB should look after the O&M of such infrastructure. Furthermore, it is considered appropriate that the beneficiaries would pay user charges for the infrastructure and maintenance charges for housing and other buildings, for which the concerned authorities should work out appropriate user & maintenance charges with suitable cross subsidization. In addition, the administrative arrangement for attending to complaints and regular maintenance to ensure on-time maintenance also needs to be worked out.

In the DPR, the component wise details of an annual O&M plan indicating the expenditure to be incurred vis-à-vis revenue generated from the maintenance charges, summarizing all these aspects – administrative, financial and operational, should be clearly spelt out.

### **3. SUGGESTED CONTENTS OF DETAILED PROJECT REPORT**

1. Checklist of Documents / Information required in the DPR (As per Annexure A)
2. Administrative and Technical checklist (As per Annexure B)
3. Executive Summary (As per Annexure C)
4. Introduction

*<General introduction shall include write up on: Rajiv Awas Yojana (RAY): The scope and status of RAY in the respective state and town, timelines for making slum-free action plan, and the status of various cells to be constituted under RAY. It may further include progress made in various Central / State-funded projects in slums like JNNURM (BSUP, IHSDP), ILCS, SJSRY etc. The contents shall also include list of slums and a slum map of whole city (where available).>*

5. Salient features of Slum Free City Plan and its Linkage with proposed project and Justification of project.

*<General introduction on status of preparation of SFCPoA. Summary of findings of SFCPoA. Spatial, demographic and socio-economic profiles of slums; Physical infrastructure within and in the vicinity of slums and proposed relocation areas including connectivity infrastructure: road network (within and in the vicinity of slums), water supply, sewerage, drainage, electricity and communication networks, and other physical infrastructure facilities. Social infrastructure facilities (education, health, banking, community hall, livelihoods centres, informal sector markets etc.) in or near the slum pockets and proposed relocation sites; shelter – existing status with respect to age, condition and height of structure and proposed changes including redefined plot boundaries; Tenure Status - analysis of the existing tenure arrangements between the owners and occupiers or any other parties involved; proposed tenure arrangements, including assignment of property rights etc.; Choice of development model for housing and/or infrastructure – PPP, Beneficiary built, Community-based, Public agency-led, etc.; Resource mobilization strategy; Implementation strategy, including phasing and monitoring and community mobilization; Measures for preventing future growth of slums – reservation of land for EWS/LIG in all future housing colonies, undertaking affordable housing in partnership, adopting slum-free city policy, addressing regional and urban planning issues to make the same inclusive, etc..>*

*Prioritization for proposed project as per the deficiency matrix / tenability analysis and rationale shall be spelt clearly. >*

6. Project Concept and Scope

*<Introduction of slum(s), : General description of slum(s), Age of slum(s), Area of slum(s), Demographic profile, Social infrastructure etc. as per finding from slum survey.>*

*Location of slum, with map showing surrounding areas and trunk infrastructure available for the integration with proposed infrastructure of the slum.*

*Tenural Status, Land use and Land Possession status in proposed project area*

*Existing basic infrastructure i.e. water supply; sewerage, roads, drains, solid waste management, electrification, available and its coverage.*

*Strategy adopted for the slum improvement / development i.e. In-situ up-gradation, In-situ Redevelopment, and relocation (only in unavoidable cases). Brief of proposed components (Housing and Infrastructure).>*

### 7. Description of Project and Planning

#### a) Slum Survey

*<Outcome of Socio economic survey and Livelihood survey integration shall be done as per modified NBO format circulated by the Ministry on 13<sup>th</sup> May 2013(As per Annexure G)>*

- Physical survey ( TSS)

*< Base Map showing Planning boundary / Physical boundaries, open plots, Existing Physical features like roads, lanes, sewer/drain manhole positions, roadside drains, boundary of each dwelling (such as kutcha, semi pucca, pucca, dilapidated etc.), community property (if any), open space and all surface features like electric poles, trees, telephone poles. Ground Elevations are to be referenced to GTS datum. List and location of TBM's shall be provided on map. Infrastructure maps showing existing underground utilities, like water distribution pipes, sewer lines, telephone lines, gas pipelines etc. These drawings may be prepared by plotting underground services using secondary sources of information or any other method as appropriate. Surrounding area up to a reasonable distance, say 100 m to depict adjoining road / property and administrative boundaries like ward boundary, zoning boundary etc. where applicable.>*

#### b) Community Participation

*<Micro Planning in the slums, list of institutions and persons involved in Micro Planning, Description of Slum wise Micro-Planning Process, Focus Group Discussions for Beneficiaries identification/ UIDAI, Beneficiaries consent for relocation, accepting DUs on upper floors in multi storied building and financial contribution, Community involvement from planning stage to allotment, finalisation of layout plan using 3D models, O&M plan, Beneficiaries contribution and mobilization.>*

#### c) Provision of Housing

*<Planning & Design of Single/ Multi storied building. No. of units, Cost per unit, Unit design philosophy, Basis for planning, Structural design, Proposed area of the dwelling*

*unit, Density of proposed houses , Ground coverage of proposed housing , Area under roads, green area, detailed housing designs (Plan/ Section/ Elevation / Sectional Elevation) Type of material / Technology used in housing construction, Local material used in housing, provision of individual service connections (i.e Water supply, Sewerage , & Electricity) >*

d) Provision of Community Facilities

*<Planning & Design of Anganwadi, pre-schools, child care centre, Livelihood Centre, Multi-purpose Community Centre, Library cum study centre, Training centre for computer training with internet provisions, Community Park etc. as applicable. Detailed building designs (Plan/ Section/ Elevation / Sectional Elevation) Type of material / Technology / Local material used .Justification of providing / Not providing Community facilities. Deficiency in education and health facilities >*

e) Provision of basic civic Infrastructure & Integration with city wide network

Water Supply:

*<Existing water supply system in project and adjoining area. Basis for designing of proposed water supply system, sources of water supply, quality of water , provision for treatment of water, length and diameter of water supply line proposed, provision for rain water harvesting, provision for water meters, provision of storage (ESR / GSR/ UGR), type of material >*

Sewerage:

*<Existing sewerage system in project and adjoining area. Basis for designing of proposed Sewerage System and its treatment , length and diameter of sewerage line proposed, Number of Septic Tanks, Septic tanks shall be designed as per relevant IS Codes. Manhole etc.(whichever is applicable), Sewage disposal point, type of material >*

Storm Water drains:

*<Existing storm water drainage system in project and adjoining area. Design & planning aspects, Length of storm water drains proposed and type of materials used. Drainage disposal points.>*

Roads & Pavements:

*<Type / length / width and material of roads & pavements proposed, Road side plantation etc, >*

Street Lighting:

*Total no. of street lighting poles, centre to centre distance from each other, type of wiring etc. Provision of Transformer if required,*

**Solid Waste Management:**

*<Existing solid waste management system . System proposed for collection and transportation of solid waste and nearest disposal point. Details of proposed Waste Depots (dhalao) ,Dustbins ,R.C. container >*

**Parks and Open Spaces:**

*<Provision of organized open spaces with location marked in the site layout plan.>*

**Community toilets:**

*<Existing Community toilets. No. of community toilets/complexes proposed along with justification of their need and location, Unit design, Design philosophy, Basis for planning>*

f) Adoption of green technology in the project

*<Details of any green material / Technology adopted in planning and designs such as water conservation through reducing strategies, handling of household waste, reduced dependency on virgin material i.e. wood for doors and windows, use of renewable sources of energy, rain-water harvesting, innovative and energy efficient technologies etc.>*

g) Disaster Management and Mitigation

*<Status of Disaster management plan in State / District / City. Management mechanism for likely hazards in town/ slum.(Earthquake/ Fire / Flood/ Landslide / Cyclones or any other risks), Mitigation Strategies adopted for buildings and infrastructure as stipulated at Annexure F >*

h) Statutory approval including environmental clearance ( as applicable)

*<Write up on statutory approval requirements of the project as per applicable guidelines.>*

**8. Project Cost Estimate**

- Abstract cost estimates
  - a. Component wise abstract for each slum.
  - b. Consolidated Component wise abstract for all slums.
- Detailed Estimates



<Cost estimates worked out on the basis of detailed bill of quantities (with detailed measurements of Length, Breadth, and Depth / Height for each item), using applicable Schedule of Rates. If the applicable Schedule of Rates 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>

9. Project Implementation & Management Framework
  - a) Institutional capacity in terms of infrastructure, manpower, experience, with regard to Project Implementation, etc.
  - b) Institutional Framework for implementation i.e Creation of RAY Cell comprising of officials from concerned departments or any other alternate arrangement.
  - c) Implementation schedule ( Bar Chart )
  - d) Process proposed to be followed for award of construction work.
  - e) Quarterly component wise investment schedule vis-a-vis means of finance (Central/State/ULB/Beneficiaries share)
  - f) Project Management Set-up
  - g) Monitoring mechanism at State ,ULB and Community level.
  - h) Quality Control & Quality Assurance Plan.
  
10. Operation & Maintenance Plan
  - a) Mechanism proposed/adopted for asset management.
  - b) Details of revenue generation from the assets created through maintenance charges.
  - c) Requirement of funds for operation and maintenance of services (component wise).
  - d) Identifying and earmarking funds for maintenance of assets.
  - e) Provision of corpus fund as envisaged in guidelines.
  - f) Involvement of community in Operation and Maintenance.
  - g) Responsibility of ULB in O & M
  
11. 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 as per format given below

Component	Central Share	State Share	ULB Share	Beneficiary Share	Total Project Cost
Housing					
Infrastructure					
*O&M charges up-to 4%					
*DPR preparation, PM, TPIM, Social Audit charges					
Others					
Total					
<b>* These charges will be shared between Central and State Govt. as per applicable sharing pattern</b>					

### 12. Drawings –

- Location Plan(s) of city and slum(s), Land use map
- Physical survey maps and Contour plans
- Photograph covering the entire slum
- Existing Slum/Area layout Plan (Foot prints of existing houses and infrastructure connectivity)
- Slum/Area layout Plan (Foot prints of proposed houses and infrastructure connectivity)
- On site Infrastructure service plan (water supply, sewerage, roads, drainage etc.) and linkage with city wide infrastructure ,
- Architectural and Structural Drawings of Buildings
- L- Section / Cross section/ Elevation as applicable for roads, Drains, Sewers, Water supply, Boundary wall, Retaining Wall, Gate etc.

### Annexures to DPR:

1. List of Beneficiaries giving their category (GEN/ SC/ST/Minority/ OBC, others)
2. Sample copy of consent of beneficiaries
3. Sample copy of house holds survey.
4. Copy of Act/ Legislation for conferment of tenure rights
5. Sample copy of allotment letter indicating ownership rights.
6. Minutes of SLSMC meeting indicating approval of project.
7. Copy of MoA signed between ULB/parastatals, State and MoHUPA.
8. Reforms – Status and Proposals
9. Undertaking by ULB and SLNA (As per Annexure D)
10. Details of existing educational and health facilities for scheme
11. Copies of statutory approvals
12. Photographs covering existing housing and infrastructure of the entire slum
13. Photo graphs of Micro planning with the community



**Annexure - A - Check list of Documents / information required in the DPR of RAY**

1. State :
2. City :
3. Project Name :
4. Project Cost (Rs in Lacs) :

S. No.	Description	Yes	No
1	Duly authenticated Admin. & Tech. checklist of DPR is enclosed		
2	Duly authenticated Executive Summary is enclosed		
3	Duly authenticated Detailed cost estimates are enclosed		
4	Following duly authenticated drawings enclosed: <ul style="list-style-type: none"> <li>▪ Location plans</li> <li>▪ Survey maps and contour plans</li> <li>▪ Existing Slum/ Area layout and service plans</li> <li>▪ Building plans, Architectural &amp; Structural drawings</li> <li>▪ L- section /Cross-sections/ Elevations as applicable for roads, drains, sewer etc.</li> </ul>		
5	Following duly authenticated annexures enclosed: <ul style="list-style-type: none"> <li>▪ Undertaking (signed by ULB/SLNA)</li> <li>▪ List of Beneficiaries</li> <li>▪ Sample copy of consent of beneficiaries</li> <li>▪ Sample copy of household survey</li> <li>▪ Sample copy of allotment letter indicating ownership rights</li> <li>▪ Copy of SLSMC approval</li> <li>▪ Copies of statutory approval required</li> <li>▪ Photographs of existing slum covering housing and infrastructure conditions and micro-planning</li> <li>▪ Certificate regarding “As is where is” basis, if there is no Master Plan for the region</li> </ul>		

**Signature of the State Level Nodal Officer**

Name & Designation:  
 Address:  
 Fax No:  
 Telephone No.  
 Mobile No:  
 E-mail:

**Signature of the CEO/Commissioner of ULB/Implementing Agency**

Name & Designation:  
 Address:  
 Fax No:  
 Telephone No.  
 Mobile No:  
 E-mail:

**Annexure - B - Administrative & Technical Checklist**

1. Name of the State :
2. Name of the City :
3. Name of Project :
4. Project Cost ( Rs in Lacs):
5. Nodal Agency :
6. Implementing agency :
7. Total Urban Population of the city as per census 2011:
8. Total Slum Population of the city as per census 2011:
9. Slum(s) population as per census 2011:
10. No of slums covered in the DPR :

S. No.	Description	YES	NO
1. (a)	Has the State adopted a policy towards conferring land tenure rights to slum dwellers ?.		
(b)	Have the beneficiaries covered in the DPR been provided with lease rights?		
(c)	Have the beneficiaries covered in the DPR been resident of the slum for 5 years at the DPR preparation stage.		
2. (a)	Has Slum Free City Plan (SFCP) been prepared and forwarded to MoHUPA?		
(b)	If yes, has the Slum Free City Plan (SFCP) been accepted by MoHUPA?		
(c)	If not , what is the stage of SFCP preparation?		
3.	Has the State Slum Policy been prepared and adopted?		
4.	Has MoA for reforms been signed with MoHUPA?		
5.	Has State Level Sanctioning and Monitoring Committee (SLSMC) been Constituted?		
6. (a)	Has the DPR been approved by the SLSMC?		
6. (b)	If not, has the DPR been forwarded by the designated Nodal Agency?		
7.	Is the implementation authority identified with State Govt. approval?		
8.	Whether elected Local Body is in Place?		
9.	Does a Valid City Master Plan exist?		
10. (a)	Has a City Sanitation Plan (CSP) been prepared?		
(b)	If yes, is the DPR prepared keeping CSP in view?		
11. (a)	Has a Disaster Management Plan (DMP) been prepared for the City?		
(b)	If yes, is the DPR prepared keeping City DMP in view		
(c)	If no, is a DMP for the slums included in the DPR?		
12.	Has the Final List of Slums (with census data) after de-notification been prepared?		
13.	Is the Slum(s) notified or non-notified?		
14.	If SFCP is not complete, has tenability & deficiency assessment of slum(s) and preparation of slum level GIS maps been completed and furnished in the DPR?		
15. (a)	Is the Project land in possession of implementing agency and free from any encroachments and encumbrance?		
(b)	if not, provide status of proposed land.		
16.	Has Socio-economic survey of slum(s) been completed using modified NBO format circulated by the Ministry on 13 <sup>th</sup> May 2013		
17.	Has Physical (Total station) survey of slum(s) been completed?		
18.	Have Beneficiaries been identified and is the list enclosed in DPR?		
19.	Whether caste-wise breakup of beneficiaries furnished		
20.	Has the entire slum(s) has been taken up for housing and infrastructure improvement while formulating the DPR? ( Whole slum approach adopted)		
21.	Have detailed cost estimates been prepared with State Schedule of Rate. Mention year of SOR?		
22.	If cost index is applied on old SoR, has it been certified by Competent		

S. No.	Description	YES	NO
	Authority?		
23.	Is the DPR for in situ re-development/ up-gradation?		
24. (a)	Is the DPR for relocation?		
(b)	If Yes, Distance of proposed site from existing location		
(c)	Whether beneficiaries consent has been obtained for the proposed project		
25.	Project Cost (Rs in lacs) and in percentage of Housing to Infrastructure <ul style="list-style-type: none"> <li>• Housing</li> <li>• Infrastructure</li> <li><b>Sub-Total</b></li> <li>• Contingency</li> <li>• Escalation</li> <li>• Departmental charges</li> <li>• Any other</li> <li><b>Total</b></li> </ul>		
26.	Has the Cost sharing among State and ULB been formally agreed upon?		
27.	Have the tie-ups for beneficiary contribution been indicated?		
28.	Central share requested (Rs in lacs)		
29.	State share (Rs in lacs) and in percentage <ul style="list-style-type: none"> <li>• State Grant</li> <li>• ULB/Agency's own funds</li> <li>• Beneficiary contribution</li> <li>• Any other</li> </ul>		
30.	i) Project Duration ii) Proposed Date of commencement		
31.	No. of DUs - <ul style="list-style-type: none"> <li>New</li> <li>Up-gradation</li> <li>Transit</li> <li>Rental</li> <li>Dormitories / Any other</li> </ul> If only Infrastructure provided, then give no of DUs benefitted		
32.	Carpet area of a DU ( Sqm)		
33.	Density (DU/hectare)		
34. (a)	Is the Land use of the proposed site residential as per the Master plan?		
(b)	If not residential, whether change of land use is being proposed?		
35.	Coverage area under proposed project components <ul style="list-style-type: none"> <li>• Residential</li> <li>• Commercial</li> <li>• Facilities</li> <li>• Green area</li> <li>• Roads and Pavements</li> <li>• Any other (Specify)</li> </ul>	Area (Sqm)	Area (%)
36.	Status of statutory approvals from : <ul style="list-style-type: none"> <li>• Town &amp; Country Planning Deptt.</li> <li>• Municipal Corporation</li> <li>• Fire Department</li> <li>• Pollution Control Board</li> <li>• Min. of Environment</li> <li>• Coastal Regulatory Authority etc.</li> </ul>		
37.	Are Green Technologies or any cost effective technologies being adopted in the project ?		
38.	Has Disaster resistant technology been adopted?		
39.	Whether the basic civic infrastructure is connected or proposed to be connected to City wide infrastructure?		
(a)	Water Supply		
(b)	Sewerage		
(c)	Roads		
(d)	Storm Water Drains		

S. No.	Description	YES	NO
(e)	Street lighting		
(f)	Solid Waste Management		
(g)	Any Other ( Specify)		
40.	Whether provision of following social amenities has been made in the DPR?		
(a)	Community centre.		
(b)	Livelihood centre.		
(c )	Anganwadi.		
(d)	Parks & open spaces.		
(e)	Any other (Specify).		
41.	Whether provision for convergence of the Central and State Government Schemes in the following sectors has been made in the DPR:		
(a)	Health		
(b)	Education		
(c )	Social Security including accidental and medical insurance, old age pension, old age homes etc.		
42.	Has Separate provision for upkeep and maintenance of public assets to be created through this project been made?		
43. (a)	Is any component of the project on PPP basis?		
(b)	If yes, what are the components?		
44.	Innovative approaches adopted in the project.		

**Signature of the State Level Nodal Officer**

Name & Designation:

Address:

Fax No:

Telephone No.

Mobile No:

E-mail:

**Signature of the CEO/Commissioner of ULB/  
Implementing Agency**

Name & Designation:

Address:

Fax No:

Telephone No.

Mobile No:

E-mail:

## Annexure - C -Executive Summary

### Project Details

1.State
2.City
3.Project Name
4.Project Cost (Rs in lacs)
5.Central Share (Rs in lacs)
6.State Share (Rs in lacs)
7. ULB Share (Rs in lacs)
8. Beneficiary Share (Rs in Lacs)
9. Infrastructure cost per dwelling unit
10.SOR Adopted

### Project Contributions (Physical + Financial) (Rs. In lacs)

	Scheme Component	Type	Qty. in Nos	Rate (in Rs/U nit)	Proposed Project Cost	Appraised Project Cost	Central share	State Govt. Share	ULB Share	(Rs in lacs) Beneficiaries Share
<b>A. HOUSING</b>										
1	New in-situ									
2	Up-gradation									
3	Rental									
4	Transit									
<b>Total Housing Cost Sub Total (A)</b>										
<b>B. INFRASTRUCTURE</b>										
<b>1</b>	<b>Roads</b>									
(i)	BT Road									
(ii)	CC Road									
(iii)	Interlocking Block									
(iv)	Culverts									
<b>2</b>	<b>Water Supply</b>									
(i)	UGSR									
(ii)	SR									
(iii)	Pipeline (Rising Main & Distribution)									
(iv)	Pump station & tube well									
<b>3</b>	<b>Storm Water Drains</b>									
(i)	Onsite drain & Culvert									
<b>4</b>	<b>Sewerage</b>									
(i)	Pipeline (Main trunk line & distribution) and STP									
<b>5</b>	<b>Street Lighting</b>									
(i)	HT/LT / supply line works / street light pole and transformers									
<b>6</b>	<b>Solid Waste Management</b>									

	Scheme Component	Type	Qty. in Nos.	Rate (in Rs/Unit)	Proposed Project Cost	Appraised Project Cost	Central share	State Govt. Share	ULB Share	Beneficiaries Share	(Rs in lacs)
7	<b>Rain water Harvesting</b>										
8	<b>Social Infrastructure</b>										
(i)	Parks / boundary wall / horticulture										
(ii)	Community Hall cum Women Training Centre										
(iii)	Livelihood center										
(v)	Health Facility										
(vi)	Education Facility										
(vii)	Social Security Provision										
	Any Other										
<b>Sub Total (B)</b>											
<b>Total (A+B)</b>											
<b>Ratio of Housing to Infrastructure</b>											
<b>C Operation and Maintenance Cost</b>											
	* O&M up-to 4% of project cost										
<b>Sub Total (C)</b>											
<b>Sub Total (A+B+C)</b>											
<b>D Other Cost</b>											
1	*DPR Preparation, PM, TPIM, Social Audit charges										
2	Contingencies etc.										
<b>Sub Total (D)</b>											
<b>Grand Total (A+B+C+D)</b>											

\* *These charges will be shared between Central and State Government as per applicable sharing pattern*

**Signature of the  
ULB Level  
Competent  
Technical Officer**

Name &  
Designation:  
Address:  
Fax No:  
Telephone No.  
Mobile No:  
E-mail:

**Signature of the  
CEO/Commissioner of ULB/  
Implementing Agency**

Name & Designation:

**Signature of the State  
Level Competent  
Technical Officer**

Name & Designation:  
Address:  
Fax No:  
Telephone No.  
Mobile No:  
E-mail:

**Signature  
of the State  
Level Nodal  
Officer**

Name &  
Designation:

**Annexure - D - Undertaking**  
(To be signed by ULB and SLNA)

**Name of Project:** \_\_\_\_\_

**Project Cost : Rs \_\_\_\_\_ lacs**

1. Title of the project land is clear and under the possession of the Urban Local Body/State Government/Beneficiary.
2. Land use is residential i.e. in conformity with the Town Planning norms. & the land is free from all encumbrances.
3. The estimates have been prepared as per applicable departmental SOR along with current cost index (if required) certified by competent authority .The estimates have been signed by the competent Engineer of the ULB and State. The quantity and estimate calculations as included in the DPR conform to the proposed design / plan with due adequacy & correctness of design.
4. Certified that all statutory approvals (such as Environmental clearance, Fire fighting, Town Planning approval, etc.) as applicable have been obtained from the competent authorities and project components have been designed in line with the applicable Municipal Byelaws.
5. This is to certify that necessary measures will be taken by the Urban Local Body for safeguarding the spaces from further encroachment. The organized green spaces/play grounds/public open spaces shown in the layout plan of the slums shall be developed/ maintained by the ULB.
6. That the houses not taken up in the project are pucca in nature, i.e. structurally sound with safe foundation & RCC roof and adequate natural lighting & ventilation having individual toilet and individual tap water supply connection.
7. Slums covered under the scheme shall be de-notified after implementation of all development works and construction of new houses.
8. Allotment of dwelling space shall be made in the name of the wife or in the joint name of wife & husband of the identified beneficiary.
9. Whole slum approach has been adopted while formulating the slum development plan. All Katcha (Temporary) and semi pucca (Semi permanent) houses have been addressed and taken up for reconstruction/ up-gradation. It is ensured that all the basic infrastructure facilities i.e. water supply; sewerage, roads, drains, solid waste management, electrification, etc. have been provided. Other social infrastructure facilities like health, education and other community facilities have been adequately provided / converged with existing schemes.
10. Beneficiaries have given their consent for implementation of the project as proposed in the DPR. All the Beneficiaries have confirmed their willingness to contribute their financial contribution for the Dwelling Units as proposed in the DPR.
11. The beneficiary contribution proposed is minimum 12%( Gen Category)/10% (SC/ST/BC/OBC, PH & Other weaker sections) of Dwelling unit cost. In case of higher contribution it is certified that the EMI burden (bank/soft loan) does not exceed 25% of monthly income of beneficiary household.

12. The project will be implemented in ..... months from the date of sanction from Govt. of India.
13. All procurement shall be done through a transparent Bidding Process in conformity with guidelines of the State Govt.
14. Required basic infrastructure (water supply, sewerage, roads, drains, solid waste management, electrification) are provided at site through integration with city level network / independent system and in line with master plan.
15. Although comprehensive infrastructure facility within the slum area, covering all the slum dwellers has been proposed in the DPR, however if any part/component is left uncovered that will taken up by the ULB from its own resources and no further demand of funds will be placed with MoHUPA, Govt. of India, for this purpose.
16. Operation and Maintenance of the assets created (housing and infrastructure) shall be done by ULB through involvement of beneficiaries/RWA.
17. ULB shall ensure adequate health and education facilities after assessing the existing facilities in the nearby area of the slum. ULB shall also provide social security to the beneficiaries through ongoing schemes of State/Central Government.
18. ULB undertakes to extend all necessary support in terms of manpower, machineries etc. for smooth operation of all the social infrastructure facilities proposed under the scheme including health & educational facilities as applicable.
19. The structural safety aspects of the buildings and infrastructure components proposed in the project have been ensured by designing the as per the requirements of National Building Code and relevant IS Codes and Manuals.
20. Undertake to constitute a beneficiary committee, which would supervise construction at various levels; foundation, basement, lintel, roof, completion, occupation etc. & undertake social audit of the site after completion of the project. It is also undertaken to ensure quality control systems-both internal and external, so that the constructions are undertaken with utmost quality.
21. Any escalation in the project cost would be borne by State Govt./ ULB.
22. The project components proposed in the DPR were never taken up / funded under any Central/State or any other schemes.

**Signature of the State Level Nodal Officer**

Name & Designation:

Address:

Fax No:

Telephone No.

Mobile No:

E-mail:

**Signature of the CEO/Commissioner of ULB/Implementing Agency**

Name & Designation:

Address:

Fax No:

Telephone No.

Mobile No:

E-mail:



### **Annexure – E - Admissible Components**

- **Housing –**
  - New dwelling unit (Single story and / or Multi-storied) of carpet area between 21 to 27 sq. m. with two rooms, kitchen, bathroom, water sealed toilet and individual potable water connection facility.
  - Rental dwelling units of carpet area between 16-20 Sqm with shared civic infrastructure. Rental DUs with carpet area between 21-27 Sqm are also admissible in exceptional cases.
  - Incremental housing - Up-gradation of existing dwelling unit by providing additional room, kitchen & toilet (either or all). Central support will be limited to carpet area of 21 to 27 sq. m.. Repair and renewal of existing dwelling units will not be admissible.
  
- **Social Infrastructure –**
  - Anganwadi, Livelihood centre, Multi-purpose community centre, Library cum Study centre, Training centre for computer programs with internet provision.
  - Informal education centre, Urban health centres/sub-centres (only if funds are not available from any other State/National schemes).
  - Community parks, community toilet and cost of fixed play equipment if a children's playground is being proposed.
  - Shops/ kiosks, which are either owned by the State/ULB or by slum community.
  - Lift well, Fire-fighting arrangements/equipment & parking
  
- **Basic Civic Infrastructure –**
  - Provision of roads, pathways, water supply, sewerage, drainage, solid waste management, rain water harvesting, solar and streetlights/ cables, internet cables etc. within the slum and up to the city-wide network.
  - Temporary Transit housing.
  - Retaining wall, Fencing and boundary wall.
  - Animal pen, cattle/rickshaw /work sheds
  - Site development including leveling and landscaping.

***Note- There is an upper ceiling of Rs 5 lakh per DU for cities with population more than 5 lakhs. This ceiling would be at Rs 4 lakhs per DU for smaller cities with population less than 5 lakhs. In North East (NE) and special category States, upper ceiling would be at Rs 5 lakh per DU irrespective of population of the city. Upper ceilings, as above, would also include cost of civic infrastructure and social amenities. Cost of civic infrastructure and social amenities per DU should not exceed 25% of cost.***

- **Other Charges-**
  - O & M Cost up-to 4% of the project cost.
  - DPR preparation, Project Management, Third Party Inspection and Monitoring (TPIM), Social audit charges will be admissible.

***(Note- These charges will be shared between Central and State Government as per applicable sharing pattern)***

**Annexure- F - Mitigation measures against Hazards/Disasters**

<b>Type of Hazards/Disasters</b>		<b>Mitigation Measures</b>
<b>Hydrological Hazards</b>	Floods and cloud bursts	<ul style="list-style-type: none"> <li>• It should be ensured that the proposed projects are not on flood plains.</li> <li>• If the project area is prone to flooding then proper remedial measures such as construction of embankments should be ensured so that no flooding occurs in project area.</li> </ul>
<b>Geological Hazards</b>	Earthquakes Landslides Mudflow Tsunami	<ul style="list-style-type: none"> <li>• Earthquake-Resistant Design should be ensured for Construction of New Structures as per National Building Code 2005 and other safety codes.</li> <li>• Undertaking mandatory technical audits of structural designs of major projects by the respective competent authorities.</li> <li>• Use of various on-site, in-situ technologies, as well as satellite observations in monitoring landslide effects and contributing factors for early-warning purposes</li> <li>• Forecasting and providing early warning of adverse conditions likely to lead to landslide activity</li> <li>• Strengthening capacities of communities and local institutions to cope with landslide hazards</li> <li>• Preparing contingency recovery plans, including pre-positioning of technical manpower and material resources for likely landslide events</li> <li>• Mountain conservation methods, including soil conservation, forest and watershed management, and appropriate land-use techniques</li> <li>• Restricting inappropriate development in landslide / Mudflow prone areas</li> </ul>
<b>Human induced Hazards</b>	Terrorism, Industrial and Chemical accidents, Gas leakages	<ul style="list-style-type: none"> <li>• Trash cans and garbage disposal units should be located as far away for the building as possible, with least 10m stand-off at distance.</li> <li>• Parking lots should be located away from high-risk buildings to minimize blast effects of potential vehicle bombs.</li> <li>• Proper warning system should be placed in nearby industries for alerting inhabitants in case of industrial disaster.</li> </ul>
<b>Meteorological Hazards (Climate and weather related)</b>	Cyclones, floods, Tropical storms, Drought, climate change	<ul style="list-style-type: none"> <li>• The history of meteorological hazards at the proposed site should be analysed. In case area is prone to meteorological hazards then risk awareness and assessment; early warning systems including forecasting, dissemination of warnings, preparedness measures and reaction capacities should be properly planned..</li> </ul>

<b>Type of Hazards/Disasters</b>		<b>Mitigation Measures</b>
<b>Atmospheric Hazards</b>	Excess rainfall, Heavy snowfalls, High wind speeds, Extreme temperatures	<ul style="list-style-type: none"> <li>• Proper sloping roofs shall be provided in areas of heavy snowfall and rainfall</li> <li>• Proper analysis of snow load shall be done in case of snow fall areas.</li> <li>• The buildings shall be designed to withstand wind loads</li> <li>• Proper insulation materials shall be used in case of places with extreme temperatures with due consideration to height of roof and provision of ventilation.</li> </ul>
<b>Threats to Municipal Water Supply and storage.</b>		<ul style="list-style-type: none"> <li>• Access to water storage tanks and water treatment plants, through manholes, must be security-controlled to prevent deliberate attempts of contamination. Also, regular inspection and testing must be undertaken to ensure that waterborne are not introduced</li> </ul>
<b>Fire</b>		<ul style="list-style-type: none"> <li>• Flammable fuel storages shall be located at a distance of at least 30m from public access areas, like entrances parking lots and material loading areas. Also, access to these areas must be restricted and always under lock &amp; seal. In a hilly terrain site, such storages should be placed downhill of the operational buildings and critical facilities.</li> <li>• Common escape routes including staircases, lighting facilities should be provided so that people are able to move within the escape route from a building during the hours of darkness.</li> <li>• Proper arrangement for extinguishing fire such as sand buckets, Fire hydrants and other fire extinguishers shall be provided.</li> </ul>
<b>Other Measures</b>		<ul style="list-style-type: none"> <li>• Communication systems based on different technologies and/or networks shall be put in place for communicating within the slum and outside. All communication system equipment and cables shall be adequately concealed and protected.</li> <li>• Strengthening disaster preparedness of all stakeholders</li> <li>• Promotion and strengthening of monitoring and warning systems</li> </ul>

**Annexure – G – Modified NBO Formats  
(Annexure-II of modified NBO format)**

**DETAILED HOUSEHOLD SURVEY**

**I. GENERAL INFORMATION**

**1. Name of Slum**

**2. Location - Ward No/Name**

**3. House/Flat/Door No.**

**II. HOUSEHOLD LEVEL GENERAL INFORMATION**

**family**

**4. Name of head of the**

**5. Father's name**

**6. Sex [Male: 01, Female: 02]**

**7. Caste**

[General-01, SC-02, ST-03, OBC-04]

**8. Religion**

[Hindu-01, Muslim-02, Christian-03, Sikh-04, Jainism-05, Buddhism- 06, Zoroastrianism-07, Others-49]

**9. Minority status (in State/UT)**

[Non-minority-01, Minority- 02]

**10. If female-headed household then status of female head**

- Married-01
- Widowed-02
- Abandoned/Single-03
- Divorced-04
- Unwed mother-05
- Other-49

**11. Number of family members**

Male  
Female  
Total


**12. Number of illiterate adult members  
(Age more than 14 years)**

Male  
Female  
Total


**13. Number of children in age-group**

Male


<b>6-14 not attending school</b>	Female	
	Total	<input type="text"/>
<b>14. Number of handicapped persons</b>	Physi	<input type="text"/>
	Mentally	<input type="text"/>
	Total	<input type="text"/>
<b>15. If, major earning member is female, whether</b>		<input type="text"/>
<ul style="list-style-type: none"> <li>▪ Married-01</li> <li>▪ Widowed-02</li> <li>▪ Abandoned/Single-03</li> <li>▪ Divorced-04</li> <li>▪ Unwed mother-05</li> <li>▪ Other-49</li> </ul>		
<b>16. Is your family below poverty line?</b>		<input type="text"/>
<ul style="list-style-type: none"> <li>▪ Yes-01</li> <li>▪ No-02</li> <li>▪ Don't know-99</li> </ul>		
<b>17 a. If 01 in 16, does the family possess BPL card?</b>		<input type="text"/>
<b>17 b. Does your family possess any identification docu</b>		<input type="text"/>
<ul style="list-style-type: none"> <li>▪ Yes-01</li> <li>▪ No-02</li> </ul>		<input type="text"/>
<b>If 01 in 17 b, specify the type of documentation</b>		<input type="text"/>
Voter I Card-01, Ration Card-02, Electricity Bill-03, Water Bill- 04, Telephone Bill- 05, Driving Licence -06, Bank Account -07, Passport-08, Aadhar Card-09, Any Other-49		
<b>III. HOUSEHOLD LEVEL DETAILED INFORMATION</b>		
<b>18. Land tenure status</b>		<input type="text"/>
[Patta-01, Possession Certificate/Occupancy Right-02, Private Land Encroached -03, Public Land Encroached -04 Rented – 05, Other-49]		
<b>19. Type/structure of the house</b>		<input type="text"/>
[Pucca-01, Semi-Pucca-02, Katcha-03]		
<b>20. Type of roof</b>		<input type="text"/>
[Grass/thatched-01, Tarpaulin-02, Wooden -03, Asbestos/Steel Sheet-04, Tiled-05, CC Slab-06, StoneSlab-07, Other- 49]		
<b>21 a.. Type of flooring</b>		<input type="text"/>
[Mud-01, Brick-02, Stone-03, Cement-04, Tiles-05, Other-49]		
<b>21 b. Size of existing dwelling unit (built up area in sq meters)</b>		<input type="text"/>

- 22. House lighting**   
 [Electricity connection-01, Kerosene-02, Firewood-03, Other-49]
- 23 Fuel for cooking**   
 [Gas-01, Electricity-02, Kerosene-03, Charcoal-04, Firewood-05, Other-49]
- 24a Source of drinking water**   
 [Within premises- Tap-01, Tubewell/handpump-02, Open well-03]  
 [Outside premises- Public tap-04, Tube well/Bore well/Hand pump-05, Open well-06, Tank/pond-07, River/Canal/Lake/Spring -08, Water tanker-09, Other-49]
- 24b If piped water supply then duration**   
 [Duration of water supply: Less than 1 hour daily -01, 1-2 hrs daily-02, more than 2 hrs daily - 03, once a week - 04, twice a week - 05, not regular - 06, no supply - 99]
- 25. If outside premises, then distance from drinking water**   
 [Less than 0.5 kms -01, 0.5 to 1.0 km.-02, 1.0 km to 2.0 km. - 03, 2.0 km to 5.0 km. -04, more than 5.0 km.-05]
- 26. Existence of toilet facility**   
 [Own septic tank/flush latrine-01, Own dry latrine-02, Shared septic tank/flush latrine - 03, Shared dry latrine-04, Community septic tank/flush latrine-05, Community dry latrine-06, Open defecation-07]
- 27. Bathroom facility**   
 [Within premises -01, Outside premises-02, Community bath -03, No bathroom-04]
- 28. Road in front of house**   
 [Motorable pucca -01, Motorable katcha -02, Non-motorable pucca -03, Non-motorable katcha-04]
- 29. Type of pre-school available**   
 [Municipal - 01, Government - 02, Private-03]
- 30. Type of primary school available**   
 [Municipal - 01, Government - 02, Private-03]
- 31. Type of high school available**   
 [Municipal - 01, Government - 02, Private-03]
- 32. Type of health facility access**   
 [Primary Health Centre - 01, Government Hospital-02, Maternity Centre-03, Private Clinic-04, RMP-05, Ayurvedic Doctor/Vaidya-06]
- 33. Access to welfare benefits by any family member**   
 [Old Age Pension - 01, Widow Pension - 02, Disabled Pension - 03, Health Insurance - 04, General Insurance - 05, Other - 49]
- 34. Consumer Durables [Yes-01, No-02]**
- Electric Fan

▪ Refrigerator	
▪ Cooler	
▪ Residential Telephone	
▪ Mobile Phone	
▪ B/W Television	
▪ Colour Television	
▪ Sewing Machine	
▪ Furniture	
▪ Bicycle	
▪ Rickshaw	
▪ Push Cart	
▪ Bullock Cart	
▪ Two Wheeler	
▪ Three Wheeler	
▪ Taxi/Car	
▪ Car	

**35. Live Stock [Yes-01, No-02]**

▪ Buffalo	
▪ Cow	
▪ Sheep/Goat	
▪ Pig	
▪ Hen/Cock	
▪ Donkey	

**IV. MIGRATION DETAILS OF HOUSEHOLD, If applicable**

**36. Number of Years of Stay in this Town/City**

• 0 to 1 year -01,	
• 1 to 3 years- 02,	
• 3 to 5 years- 03,	
• More than 5 years-04	

**37 a. . Whether Migrated from:**

[Rural Area to Urban Area: 01, Urban Area to Urban Area: 02]

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**37 b. If 02 in 37, then whether the family owns a house in any city country**

**38. Migration Type** [Seasonal-01, Permanent-02]

**39. Reasons for Migration**

- Unemployment-01
- Low wage-02
- Debt-03
- Drought-04
- Conflict-05
- Education -06
- Marriage-07
- Others-49

**IV. INCOME-EXPENDITURE DETAILS OF HOUSEHOLD**

<b>40. Number of earning adult members</b>	Male	<input type="text"/>
	Female	<input type="text"/>
	Total	<input type="text"/>

<b>41. Number of earning non-adult members</b>	Male	<input type="text"/>
	Female	<input type="text"/>
	Total	<input type="text"/>

**42. Average monthly income of household (in Rs.)**

**43. Average monthly expenditure of household (in Rs.)**

**44. Debt outstanding as on date of survey (in Rs.)**

**45. Signature/Thumb Impression of Head of House**



(Annexure-III of modified NBO format)

**DETAILED LIVELIHOODS SURVEY**

**I. Details of Earning Members of the Household**

**1. Earning Members:**

**1a: General Details**

Sl. No.	Name	Relation to Head of Family	Age	Sex (code)	Caste (code)	Religion (code)
1	2	3	4	5	6	7

**Sex (Code):** Male: 01, Female: 02

**Caste (Code):** General-01, SC-02, ST-03, OBC-04

**Religion (Code):** Hindu-01, Muslim-02, Christian-03, Sikh-04, Jainism-05, Buddhism-06, Zoroastrianism-07, Others-49

**1b: Education & Training**

Educational Qualification (Code)	Skill Training Acquired (Code)	Type of institution from whom skill training received (Code)
8	9	10

**Educational qualification (Code):** No education – 01, Primary school – 02, Middle school – 03, Matriculate – 04, Certificate – 05, Diploma – 06, Graduate – 07, Post-graduate – 08, Technical (e.g. Engineering) – 07, Any Other - 49

**Skill training acquired (Code):** Pre-employment Training – 01, In-Service Training – 02, Skill Upgradation – 03, Apprenticeship – 04, Soft Skills/Life Skill Programme - 05, Entrepreneurship - 06, Hereditary-07, Any Other – 49, No skills training – 99

**Type of institution from which skills training acquired (Code):** ITI – 01, Polytechnic – 02, Vocational schools – 03, Technical Schools/Institutes – 04, Any Other – 49

**1c: Employment & Earnings**

Employment status (Code)	Place of work (Code)	Time of work (Code)	Monthly earning (Code)
11	12	13	14

**Employment status (Code):** Self-employed (01), Salaried (02), Regular wage ((03), Casual labour (04), Others (05)

**Place of work (Code):** Within the slum area – 01, Outside the slum area: within distance Less than 0.5 kms - 02, 0.5 to 1.0 km.- 03, 1.0 km to 2.0 km. - 04, 2.0 km to 5.0 km. -05, more than 5.0 km-06

**Time of work (Code):** Whole day- 01, Half day-02, Part time-03, 3 Months in a year- 04, 6 Months in a year-05, Whole year-06

**Monthly earning (Code):** Less than Rs. 500 – 01, 500 to 1000 – 02, 1000 to 1500 – 03, 1500 to 2000 – 04, 2000 to 3000 – 05, More than 3000 - 06

**2. Source of earning/ livelihood (code):**

Male earners: Primary occupation

Secondary occupation

Female earners: Primary occupation

Secondary occupation

**Unskilled Labour:** Agriculture/horticulture - 01, Hawking/street vending - 02, Domestic servant - 03, Sanitation worker- 04, Rigpicker - 05, Watchman - 06, Construction worker - 07, Industrial worker - 08, Contract worker - 09, Casual Labourer - 10.

**Skilled Labour:** Electrician -11, Electronics gadget repairing – 12, Plumbing – 13, Tailoring - 14, Weaving – 15, Artisan / craftsman/ handicraft and cottage based production work -16, Beautician, hairdressing & related work – 17, Driving – 18, Auto repair/motor mechanic work –19, Mechanical engineering related works – 20, Chemical engineering related works – 21, Shoe-making/leather-related work - 22, Photography and related work – 23, Work related to childcare, nutrition, pre-schools and crèche-24, Health and paramedical services related work - 25, Office related work – 26, Printing related work - 27, Hotel and restaurant related work - 28, Tourism related activity - 29, Security-related work – 30, Computer-related work – 31, Creative arts / artists – 32, Laundry related work - 33, Toy-making - 34, Candle-making - 35, Artificial jewellery -36, Embroidery/knitting - 37, Cooking-38, Bakery - 39, Mason - 40, Carpenter-41, Painter-42 Food processing/preservation-43

**Other Profession:** Petty trader-44, Rickshaw puller – 45, Cycle-rickshaw driver-46, Pushcart driver-47, Auto Rickshaw driver - 48, Retail sale – 49, Pig/Poultry/ Cow/ Buffalo rearing -50, Others - 99

**3. Main Reason for Unemployment of Unemployed Member of the Household (Code):**

Illiterate - 01, Lack of vocation skill - 02, Lack of job opportunity - 03, Disability - 04, Low wage-05, Lack of capital to invest-06, Loss of earlier job-07, Closure of unit-08, Lack of work in the enterprise (for self-employed person) - 09, Lack of work in the area (for casual labour)-10, Lay-off without pay-11, Employer harsh-12, Health hazard-13, Other - 49

**4. Preferred Area for Training/Skill Enhancement (Code)**

Male earners: For Primary occupation

For Secondary occupation

Female earners: For Primary occupation

For Secondary occupation

Mechanical engineering trades-01, electrical and electronic engineering trades-02, computer trades-03, civil engineering and building construction related works-04, chemical engineering trades-05, leather related work-06, textile related works-07, catering, nutrition, hotel and restaurant related work-08, artisan/craftsman/handicraft and cottage based production work-09, creative arts/artists-10, agriculture and crop production related skills and food preservation related work-11, non-crop based agriculture and other related activities-12, health and paramedical services related work-13, office and business related work-14, driving and motor mechanic work-15, beautician, hairdressing & related work-16, work related to tour operators/travel managers-17, photography and related work-18, work related to childcare, nutrition, pre-school and crèche-19, journalism, mass communication and media related work-20, printing technology related work-21, Tailoring /weaving – 22, Entrepreneurship Development Programmes-23, other-49

**5. Suggestions regarding imparting of Training/Skill Enhancement programmes**

**6. Suggestions regarding post-Training/Skill Enhancement programmes – Self Employment, Market-based Employment etc.**

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