



# Regional Centre for Urban and Environmental Studies

(Estd : 1968)

of

## All India Institute of Local Self-Government, Mumbai

(Estd : 1926)



**R.S. Chavan**  
Director- General

**Dr. (Prof.) Sneha Palnitkar**  
Director

**Dr. Jatin V. Modi**  
President

Advisory Committee (AC) of  
The RCUES of AILSG, Mumbai

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Government of Maharashtra

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Government, Mumbai.

**Member-Secretary**

Dr. (Prof.) Sneha Palnitkar  
Director,  
Regional Centre for Urban  
& Environmental Studies of  
All India Institute of Local Self-  
Government, Mumbai.

April 13, 2010

To,  
Dr. Ajay Suri  
South Asia Regional Adviser, Cities Alliance  
The World Bank  
70 Lodi Estate,  
New Delhi – 110003.

Sub : Cities Alliance Project on "Knowledge Support on Slum Upgrading, Urban Poverty Reduction and Affordable Housing".

Dear Dr. Suri

This is with reference to the above referred proposal. I am forwarding herewith the proposal for your kind consideration.

With best regards,

Yours sincerely,

Dr. (Prof) Sneha Palnitkar  
Director.

M.N. Roy Human Development Campus, Plot No. 6,"F" Block, Opp. Govt. Colony Bldg. No. 326,  
TPS Road No. 12, Bandra (E), Mumbai - 400 051. India.  
Tel.: 0091 - 22 - 2657 37 95 / 96 / 98 Fax : 0091 - 22 - 2657 3973  
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(Regional Centre for Urban and Environmental Studies (RCUES) of All India Institute of Local Self-Government, Mumbai is fully supported by Ministry of Urban Development, Government of India, New Delhi)

Please read carefully the "Guidelines for the Submission of Proposals" which outline the modalities for application and the criteria for the selection of proposals spelled out in the Cities Alliance Charter. Please ensure that all necessary supporting documentation is attached to this form. Additional information may also be enclosed, **but total submission should not exceed 12 pages.**

**DATE:**

**1. TITLE of PROPOSAL:**

Knowledge Support on Slum Upgrading, Urban Poverty Reduction and Affordable Housing

**2. PROPOSAL SUBMITTED BY<sup>1</sup>:**

Name and Title: Dr. (Prof.) Sneha Palnitkar, Director & Professor,  
Organisation: Regional Center for Urban & Environmental studies,  
Address: All India Institute of Local Self Government, Mumbai  
M.N.Roy Human Development Campus, Plot No. 6, 'F' Block,  
Opp. Government Colony, Bldg. No. 326, TPS Road No. 12, Next to Uttar Bhartiya  
Sangh, Bandra (East), Mumbai – 400051, India  
Telephone/Fax: +91-22-26573798/97/96, Fax: +91-22-26573973  
E-mail: snehapalnitkar@gmail.com, nrcupa@gmail.com

Contact person for questions on the application:

Name and Title: Dr. (Prof.) Sneha Palnitkar, Director & Professor,  
Organisation: Regional Center for Urban & Environmental studies,  
Address: All India Institute of Local Self Government, Mumbai  
M.N.Roy Human Development Campus, Plot No. 6, 'F' Block,  
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E-mail: snehapalnitkar@gmail.com, nrcupa@gmail.com

**3. CITIES ALLIANCE MEMBER(S) SPONSORING THE APPLICATION:**

Name and Title: Mr. Richard Clifford, Lead Urban Specialist  
Organisation: The World Bank  
Address: 1818 H Street NW, Washington DC 20433  
Telephone/Fax/E-mail: Tel: +1 202-473-7270/rclifford@worldbank.org

Name and Title: Mr. Andre Herzog, Senior Urban Specialist  
Organisation: World Bank Institute  
Address: 1818 H Street NW, Washington DC 20433  
Telephone/Fax/E-mail: +1 202-4582683/+1 202-676-0978/aherzog@worldbank.org

**4. RECIPIENT ORGANISATION: – organisation that will receive and execute the grant:**

Task Manager Name & Title: Dr. (Prof.) Sneha Palnitkar, Director & Professor,  
Organisation: Regional Center for Urban & Environmental studies,

<sup>1</sup> Country-specific proposals typically originate from local authorities, but must be sponsored by at least one member of the Cities Alliance (see [Cities Alliance Charter](#), Section D.14).

Address: All India Institute of Local Self Government, Mumbai  
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Contact Person/Title: Dr. (Prof.) Sneha Palnitkar, Director & Professor,  
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E-mail: snehapalnitkar@gmail.com, nrcupa@gmail.com

**5. OTHER IMPLEMENTING PARTIES (if any):**

Task Manager Name & Title:  
Organisation:  
Address:  
Contact Person/Title:  
Telephone/Fax/E-mail:

**INFORMATION ON PROPOSED PROJECT:**

6. Type of project (*check one*):  
City Development Strategy \_\_\_ Slum Upgrading \_\_\_ Both \_\_\_ **Yes**
7. Geographic scope of project (*specify*):  
City: \_\_\_\_\_  
Country: **India**  
Global/Regional/Multi-country: \_\_\_\_\_
8. Expected duration: **3 years**

**BUDGET SUMMARY:**

9. Amount of total budget requested from Cities Alliance funding: US Dollars \_\_\_269,980\_\_\_
10. Co-financing amount of total budget, including local partners: US Dollars \_\_\_97,826\_\_\_
11. Total project budget cost: US Dollars \_\_\_367,807\_\_\_

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**DESCRIPTION OF PROPOSED PROJECT:**

**12. Background – issues to be addressed and scope of project**

**Context**

The urban poverty in India remains high, at over 25 percent with more than 80 million poor living in the cities and towns. Manifestation of urban poverty is more in terms of access to acceptable levels of shelter, water, sanitation, health services, education and social security, than livelihoods and calorie-intake. Slum population in the country doubled during the period 1981 – 91, rising from 27.9 million to 61.8 million.

In this perspective, the 11<sup>th</sup> Five Year Plan (2007 – 12) emphasizes 'inclusive growth' and inclusion of the poor for equitable development in the country. The urban development strategy of Government of India (GoI) aims to enhance the efficiency of cities to support continued economic growth and poverty alleviation through urban reforms, capacity building and investments under the Jawaharlal Nehru National Urban Renewal Mission (JNNURM), which was launched in November 2005 in selected 63 cities.<sup>2</sup> The investment components of the Mission consists of two sub-programmes, including Basic Services for Urban Poor (BSUP) implemented by Ministry of Housing and Urban

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<sup>2</sup> Concurrently with JNNURM, the GoI launched the Urban Infrastructure Development Scheme for Small and Medium Towns (UIDSSMT) and Integrated Housing and Slum Development Programme (IHSDP), covering all cities/towns except those covered under JNNURM.

Poverty Alleviation (MoHUPA), Government of India (GoI), with investments supporting integration of poor with service delivery systems and integrated development of slums. The main objectives of BSUP are as follows:

1. Focused attention to integrated development of basic services to the urban poor.
2. Provision of basic services to urban poor including security of tenure at affordable prices, improved housing, water supply, sanitation and ensuring delivery through convergence of other already existing universal services of the Government for education, health and social security.
3. Secure effective linkages between asset creation and asset management so that the basic services to the urban poor created in the cities, are not only maintained efficiently but also become self-sustaining over time.
4. Ensure adequate investment of funds to fulfill deficiencies in the basic services to the urban poor.
5. Scale up delivery of civic amenities and provision of utilities with emphasis on universal access to urban poor.

In June 2009, the President of India announced Rajiv Awas Yojana (RAY) for slum-dwellers and the urban poor, envisioning a "slum-free India" by encouraging states and union territories (UTs) to remove slums-like conditions in urban centres in an integrated manner. This is proposed to be achieved through a multi-pronged approach focusing on:

- Bringing existing slums within the formal system and enabling them to avail of the same level of services as the formal/planned settlements;
- Redressing the failures of the formal delivery system that led to creation of slums; and
- Addressing the shortages of urban land and housing that keep shelter out of reach of the urban poor and force them to resort to 'extra-legal' solutions in a bid to retain their sources of livelihood and employment.

RAY intends to incentivize states/UTs that are willing to commit themselves to the vision of slums-free states/UTs, draw up and implement slum-free city action plans to reach the goal, systematically and in a time-bound manner.

Swarna Jayanti Shahari Rozgar Yojana (SJSRY) addresses the issues of urban poverty with focus on the livelihood needs of the urban poor. The programme focuses on the setting up of micro enterprises (both individual and group) for self-employment in order to promote sustainable livelihoods.

Interest Subsidy for Housing the Urban Poor (ISHUP) Scheme, launched in 2009, provides home loan with Central Government subsidy to Economically Weaker Sections (EWS)/Low-Income Groups (LIG). A subsidy of 5% p.a. is paid on interest charged on the admissible loan amount for EWS and LIG, over the full period of the loan - generally ranging from 15-20 years. The mechanism for disbursement of subsidy is by computing the Net Present Value (NPV) of the subsidy amount based on notional discount rate of 9% p.a. (equivalent to Government Security rate) for the period of the loan and on the interest chargeable at the time the loan is contracted.

#### *Urban reforms for delivery of basic services to urban poor*

The major focus of MoHUPA in urban poverty reduction and slum upgrading is on institutionalising the following at city-level:

1. Reservation of land for housing the urban poor, including change in master plans for inclusive/incentive zoning to provide space for the poor. Earmarking of at least 20 – 25 percent developed land in housing projects for economically weaker sections and low income groups with a system of cross-subsidisation.
2. Internal earmarking of budgets for basic services to the urban poor - re-orientation of the municipalities to needs of the poor and 25% of municipal budget earmarked for provision of services to the poor. The focus on urban poverty sub-plan to be backed by earmarked municipal budget, with provision to carry forward the unutilized funds to next year. An urban poverty fund is being created at the national, state and local levels for provision of basic services for urban poor.
3. City vision to provide land tenure, affordable shelter, water and sanitation, education, health and security to urban poor as entitlements to achieve "slums-free cities".

#### *National Strategy for Urban Poor*

The National Strategy for Urban Poor (NSUP) project, a joint initiative of MoHUPA and United Nations Development Programme (UNDP), addressed the key concerns in promoting urban poverty alleviation and sustainable urban livelihoods. The objective was to support development of a national strategy for urban poverty reduction at the Centre and in the states, based on informed debate, national and international best practices, and experiences and research findings on the causes and potential responses to urban poverty. The project recognized that institutional reforms are critical for improving efficiency and accelerating progress towards human development. The project was dovetailed with JNNURM – BSUP and IHSDP, and other initiatives of MoHUPA.

### *National Programme on Capacity Building for Urban Poverty Alleviation*

The NSUP project is an integral part of the National Programme on Capacity Building for Urban Poverty Alleviation launched in March 2007 by MoHUPA, adopting a national framework to address institutional and human resource constraints in the implementation of programmes for urban poverty alleviation, slum upgrading and housing the urban poor. A Network of Resource Centres on Urban Poverty, Slums and Housing; Mayors' Forum for Fight against Urban Poverty; City Managers' Forum for Urban Poverty Alleviation and Livelihoods Development; and, Researchers' Colloquium on Urban Poverty and Livelihoods have also been launched to promote knowledge management among various stakeholders, under the NSUP Project. The initiatives would lead to mainstreaming of urban poverty and livelihood issues in city development processes.

The major initiatives of MoHUPA include the following:

- i. Launching of National Campaign on Slum-Free Cities
- ii. Formulating Urban Poverty Reduction Strategies under Government of India-UNDP Project on National Strategy for Urban Poor  
In the perspective of the JNNURM and UNDP-supported National Strategy for Urban Poor in India, to attain the Millennium Development Goals (MDGs) targets, the Urban Poverty Reduction Strategies (UPRS) Project aimed to strategically address the various dimensions of urban poverty resulting in preparation and implementation of projects under JNNURM resulting in projects for improvement of living conditions and livelihood of the urban poor in a city.
- iii. Network of Resource Centres on Urban Poverty, Slums and Housing  
The National Building Organisation (NBO), under the MoHUPA, has been designated as a National Resource Centre/Repository of the database on MIS for urban housing, poverty and slums. A National Network of Resource Centres (NNRC) has been established to broad base the capacity building network for the urban poverty alleviation issues in the country - workshops (National and Regional), training programmes, research studies, and action research on urban poverty related issues and support for the dedicated UPA Cell established at the Centres to deal exclusively with the urban poverty sector.
- iv. Mayors' Forum for Fight against Urban Poverty  
The All India Institute of Local Self-Government (AIIILSG), Mumbai will anchor the Mayors' Forum and will organise Mayors' Conferences at periodic intervals, develop communication material specially tailored to address the role of Mayors, organise multi-stakeholder policy advocacy events, and, arrange visits of Mayors to various innovative projects in urban poverty alleviation.  
  
The Mayors' Forum for fight against Urban Poverty would catalyse, *interalia*, establishment of city level Data Centre and Resource Centre on urban poverty and livelihoods, City UPA Cell, development of city/slum poverty profiles, strategy and action plan for poverty alleviation, action research on urban poverty and livelihood issues, development of MIS/GIS for tracking urban poverty alleviation and livelihood development, effective implementation of JNNURM and other programmes, resource mobilisation and earmarking of funds for urban poverty alleviation, a framework for responsive responsible, sensitive and pro-poor civic governance, development of institutional and human resource capacity, partnerships with civil society and private sector and an agenda for inclusive city to usher in slum-free city and to eradicate urban poverty.
- v. City Managers' Forum for Urban Poverty Alleviation and Livelihoods Development
- vi. Researchers' Colloquium on Urban Poverty and Livelihoods.  
The colloquium is a technical group of researchers devoted to urban poverty and livelihood issues which will meet at regular intervals, bringing out research and evaluation studies and making suggestions to Central, State and City Governments regarding policy and programme changes and modalities of reforms. The forum will specially serve as a conduit to develop the capacity of young researchers in national, regional and local resource institutions, training centres, universities etc. in undertaking action research projects.

MoHUPA has undertaken Information, Education and Communication (IEC) initiatives under its various schemes/programmes. The initiative include training, seminars, capacity building workshops, and advocacy and publicity measures involving both print and electronic media, background research, development of theme papers, documentation of best practices, preparation of statistical profiles, conduct of field surveys, action research studies, among others.

### **Scope of the Project**

In the perspective of urban reforms agenda of MoHUPA, current focus on 'inclusive growth' in the country under 11<sup>th</sup> Five Year Plan and targeted implementation of projects and programmes in a mission mode, the Project aims at providing knowledge support to the Ministry on key issues that are central to achieving success in its mission and

objectives. In the context of the assessment/expressed needs of the Ministry, **the Project would facilitate its access to a comprehensive inventory of knowledge products, mainly global good practices and would include policy notes and customized research.** The knowledge recipients under the Project would include, besides the Ministry, the various networks established by the Ministry to support states and cities in mainstreaming urban poverty issues. These include national resource centres and forum for mayors, city managers and researchers.

### 13. Objectives

The main objective of the Knowledge Support Project is to provide flexible, long-term, programmatic support to the objectives and mission of the Ministry. The following are broadly the areas of support over the term of the Project:

1. The CA (members and Secretariat) would provide information on international experiences, and/or access to expertise on:
  - a. inclusive urban planning;
  - b. in the perspective of achieving the GoI goal of affordable housing for low-income households (RAY), and provide access of affordable institutional housing finance, use of subsidy (interest rate subsidy and capital grants), financial intermediation, mortgage guarantee among other instruments, and the mechanisms of efficiently targeting the poor;
  - c. strategies for social housing and city-wide slum upgrading;
  - d. GIS-based information system for implementing city-wide slum upgrading programme;
  - e. since community action has emerged as an efficient service delivery mechanism particularly in the low-income neighbourhoods, experiences in installing mechanisms supporting community action for speedy service delivery to the poor;
  - f. land tenure for slum-dwellers;
  - g. innovative practices for poverty alleviation and livelihoods support, including conditional cash transfers; and
  - h. strengthening municipal finances.
2. Knowledge and technical support for drafting policy notes and model legislations, for example, model legislation for assigning property rights and modifications in master planning processes for inclusive urban planning; policy note on partnering with private sector in slum upgrading and development of affordable housing stock; framework for financing slum upgrading and affordable housing; among others.
3. Facilitate the Ministry in developing a network of global good practices on property rights/rights to city/slum free cities and a global expert group on land, housing, services, financing and urban planning, as resource for drawing expert inputs. The process has been initiated with an international workshop on slum upgrading in Udaipur on January 29 – 30, 2010.
4. Establish a Knowledge Support unit within the Ministry to act as a conduit for flow of information on global good practices and technical inputs to the Ministry, national resource centres and forum of mayors, city managers and researchers, and also flow of information from the Ministry to CA to inform the global community about the innovative housing and urban poverty reduction policies and programmes in India. The national resource centres would be supported by CA members through the electronic communications media to provide information on good practices in land planning, municipal finance and basic services for inclusive city development.
5. Exposure visit to international best practices in urban poverty reduction.

### 14. Methodology and sequencing of activities

Please refer to Section 20

### 15. Deliverables

MoHUPA would engage with specialized institutions to prepare the following policy notes using its own resources and funds available under the DFID programme to support national policies for urban poverty reduction, ADB Technical Assistance for promoting inclusive urban development in Indian cities and the proposed CA project:

1. **Management Information Systems for Slum-Free Cities**  
Development of Slum-MIS based on the survey of slums, households and skill assessment and livelihood being undertaken by NBO. The project will initially support the development of an MIS Manual and deployment of the tool in select few cities.
2. **GIS for Slum Mapping**  
Development of a GIS manual for mapping slums to be integrated to the MIS system (activity 1) so as to develop a GIS enabled Slum Information System.
3. **Development of legal framework for property rights to slum dwellers**  
Development of legal framework for property rights to slum dwellers for existing slums and the prevention of future slums. The focus will be on assigning dwelling space to slum dwellers/the urban poor either in the form of ownership or leasehold rights. A draft model framework/legislation is to be prepared for circulation and wider consultation.
4. **Slum-free City/State Plans**  
Development of templates for Slum-free City Plans and Slum-free State Plans. Under the proposed RAY, the states and cities are supposed to prepared state and city-levels plans for slum-free cities. The Project intends to develop templates in order to assist the cities and states in developing these plans.
5. **Inclusive Urban Planning**  
Developing a model for Inclusive Urban Planning for inclusive urban development and growth. Under RAY, the poor are to be made central to the planning process; such plans need to comprise the revision of existing norms to facilitate the inclusion of slum improvement and development. This process should also ensure that pro-poor aspects like space for livelihoods and related linkages such as transport infrastructure needed by the urban poor are provided for. This component proposes to support RAY for this purpose by the development of a model for inclusive urban planning ensuring the participation of the urban poor in this process.
6. **Community mobilization involving Community Development Groups/ NGOs/CBOs**  
Develop model for inclusive community participation in RAY from concept to commissioning. In order to support this initiative under RAY and include the poor in the planning process, the project proposes to harness the capacities of local communities in the planning and redevelopment of slum areas and provision of affordable housing through participatory processes.
7. **Livelihood promotion through skills training and capacity building for the urban poor**  
The 12th Schedule of the 74th Constitutional Amendment Act of India, defines 18 tasks in the functional domain of the Urban Local Bodies inter alia including urban poverty alleviation and economic & social development. The capacity of ULBs therefore needs to be strengthened in order to enable them to facilitate local socio-economic development through livelihood initiatives for the urban poor. Models for this exist in certain cities e.g. Pune and with other Ministries of the Government of India e.g. MoRD, MSME, M/o Labour & Employment. This component proposes to conduct capacity building initiatives with elected representatives of cities and key ULB officials, among other key stakeholders.
8. **Credit flow for Affordable Housing**  
Addressing issues of credit flow to the urban poor for housing, income poverty and lack of tenurial security predispose the urban poor to lack of credit in everyday life. In particular, formal financial institutions and markets are inaccessible to the urban poor due to lack of income, housing and other structural deficiencies. It is therefore necessary to ensure that the urban poor have credible and secure access to credit.
9. **Strengthening options for financing ULBs**  
Constitutionally built-in imbalances in functions and finances assigned to various levels of government eventually reflect in the high dependency of local bodies on State Governments and the latter, in turn, on Central Government for funds. For strengthening the finances of urban local governments, the Central Finance Commission (CFC) had earlier suggested measures to augment the consolidated fund of the states to supplement the resources of municipalities devolved on the basis of the respective SFC recommendations. However, the progress in the implementation of SFC recommendations in several states has not been very encouraging. This component proposes an assessment to examine the trends in major revenue sources and expenditures of municipalities and assess their fiscal position and in doing so, suggest measures for improving the municipal financial system especially land taxation for pro-poor budgets.



In this perspective, the **deliverables in the first year of the Project** are as follows:

1. Knowledge Support Unit within the Ministry.
2. Policy Notes on-
  - a. Slum-free City/State Plans templates
  - b. Community mobilisation involving community development groups/NGOs/CBOs
  - c. Credit flow for affordable housing
  - d. Options for strengthening municipal finances
3. Exposure visit of 10 officials to Thailand to study the slum upgrading projects being implemented in partnership with the community.
4. 6 National conferences with participation of officials from state departments, city agencies and resource institutions on key themes for the first year – citywide slum upgrading; property rights for slum-dwellers; modifications in urban plans for citywide slum upgrading and development of affordable housing stock; financing of slum upgrading; PPP in slum redevelopment; and, community participation.
5. Development of knowledge base on international best practices, as inputs for the above-mentioned 9 policy notes.
6. **Network of best practices** in property rights/right to city/slum free cities, identifying nodal persons at country/city level to liaise with Gol on sharing information on good practices – policies and programmes.
7. CA/WBI/WB assistance to the Ministry to constitute an **Expert group** on land; housing; services; financing; and, planning, to draw on the expert resources as and when required.

#### **16. Expected outcomes and related monitoring indicators and plans**

- Operational KSU with dedicated experts
- Flow of information between KSU and CA-S and development of knowledge base on international best practices on various policy issues
- The four policy notes
- Exposure visit to international best practice in urban poverty reduction
- Knowledge dissemination through national workshops
- Network of best practices in land tenure
- Formation of expert groups on various policy issues

#### **17. Sources of Investments to Implement the Follow-up Programmes:**

The Project would provide policy support to the Ministry in implementing the BSUP component of JNNURM, RAY, IHSDP, IHSUP and SJSRY, These programmes have allocated budgets under the Plan and Non-Plan Schemes of Gol. MoHUPA, also, proposes to mobilize around US\$ 2 billion from the World Bank for implementation of RAY.

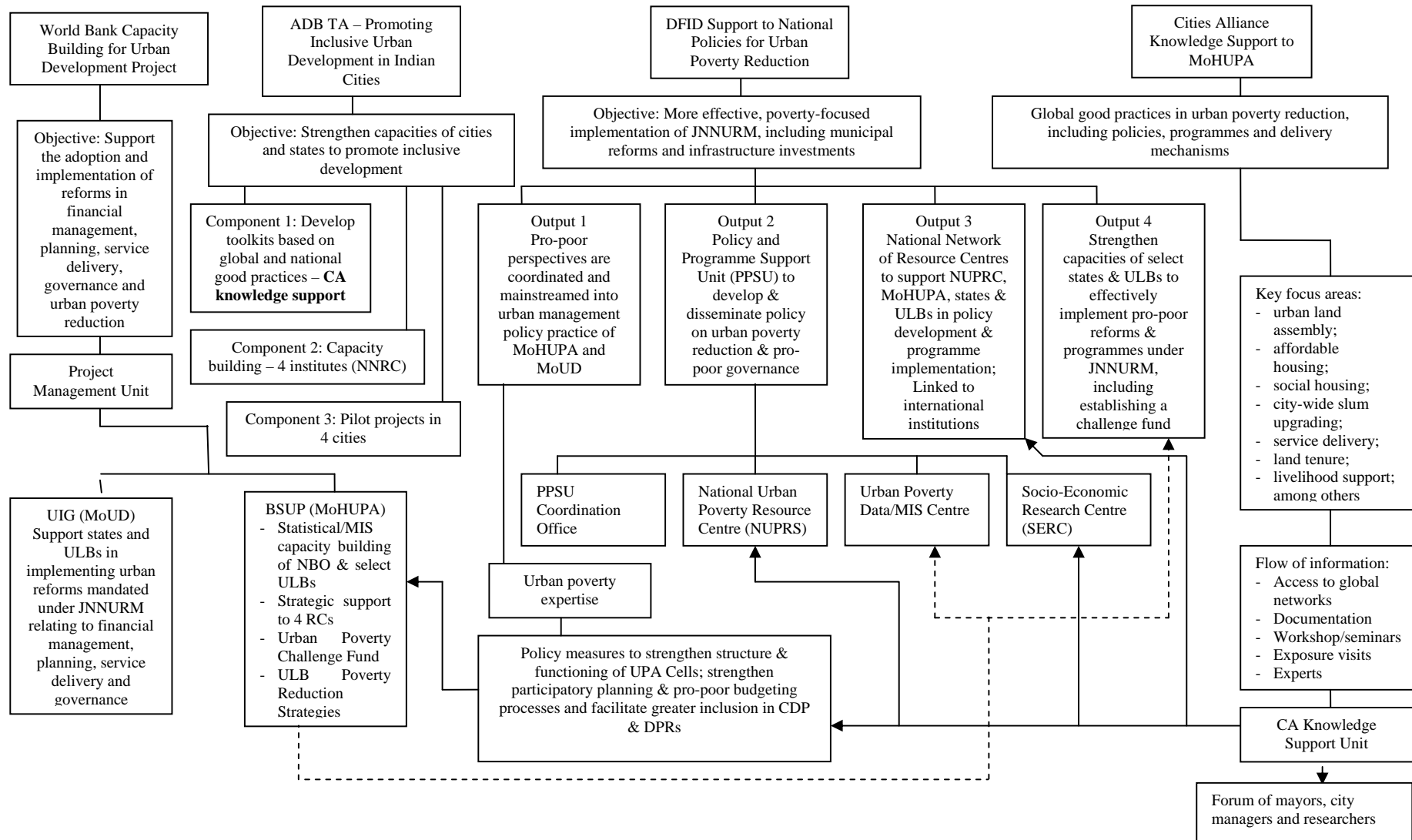
#### **18. Partnerships:**

MoHUPA is the main recipient of the knowledge support and the Project would also be supporting the national resource centres and forum of mayors, city managers and researches. MoHUPA has assigned these networks with specific roles in building the capacity of the cities to implement programmes for slum upgrading, urban poverty reduction and affordable housing.

The Project would also converge with the on-going/proposed activities of bi-lateral and multi-lateral agencies (CA members) with MoHUPA. The convergence plan is presented in Chart I.



Chart I: CA Knowledge Support in the perspective of DFID, ADB and World Bank Programmes with MoHUPA





## **19. Government Commitment and Approval:**

The Project is supported by MoHUPA.

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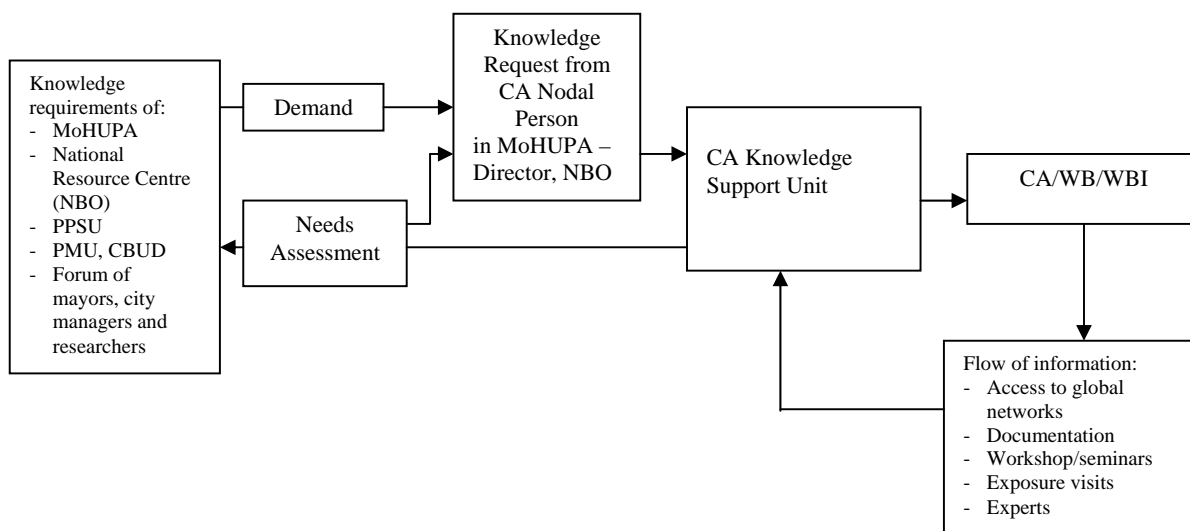
## **IMPLEMENTATION AND FINANCING PLANS:**

### **20. Implementation arrangements**

The key roles assigned under the Project are as follows:

1. MOHUPA: Project Steering Committee of the Ministry, chaired by Additional Secretary and Director (NURM) and with Director (NBO) as the convener, would decide on annual activities and budget, and agencies/consultants for these activities, and key specialist positions in Knowledge Support Unit (KSU), their qualification and ToR. The Committee would also be responsible for monitoring the Project activities.
2. AILSG: Anchoring institution and responsible for managing CA grant funds, making recommendation to the Ministry on candidates for position of KSU specialists, organizing conferences on themes decided by the Ministry, and managing contracts for specialized tasks.
3. Specialised Agencies/Consultants: Preparation of policy notes and other technical papers on themes decided by the Ministry.
4. KSU: The responsibilities would be as follows:
  - i. Facilitate the key activities under the Project and provide a general conduit for CA knowledge products.
  - ii. Facilitate intra-India networking/knowledge sharing
  - iii. Act as feedback loop to CA and provide information on demands for new knowledge products.
  - iv. Provide a conduit for CA members to provide their knowledge products to India network.
  - v. Contextualise the knowledge products to the specific needs of the Ministry.
  - vi. Interface with other CA networks such as University Network and LGA Network.

The delivery mechanism for flow of knowledge products from CA/WB/WBI is presented below:



5. CA/World Bank/World Bank Institute: Meet the knowledge demand, as expressed by KSU, by sharing existing knowledge products and drawing on international to develop new customized knowledge products.

#### Assignment of Key Tasks:

1. Templates for Slum-free City/State Plans - School of Planning and Architecture, Delhi.
2. Community mobilization involving Community Development Groups/ NGOs/CBOs - SPARC, Mumbai
3. Credit flow for Affordable Housing - IFMR, Chennai
4. Strengthening options for financing ULBs - CGG, Hyderabad
5. National conferences with participation of officials from state departments, city agencies and resource institutions on key themes - AILSG
6. Network of practitioners and pool of global experts: CA/WB/WBI

#### Specialist Positions in KSU: Terms of Reference

##### Coordinator, CA Project and Social Development and Knowledge Management Expert/Team Leader

- Convening Project Steering Committee for implementation of annual work plans;
- Ensuring coordination of various functions and tasks within the unit so as to meet the overall objective of providing knowledge support for effective policy analysis, advocacy and practical advisory services;
- Developing annual plan of project activities and the budget for the 2<sup>nd</sup> and 3<sup>rd</sup> year, for the approval of Project Steering Committee;
- Accessing knowledge support from CA and its networks, in the form of information on global good practices and technical assistance, relevant to the 7 point charter of JNNURM and designing and implementation of RAY, and to meet the knowledge needs of the national resource centres and networks of mayors, city managers and researchers;
- Based on the inputs received from CA and its networks and consultants appointed under the Project, develop knowledge products covering social development issues, directly relevant to the mission and objectives of the Ministry;
- Overall coordination with agencies/consultants appointed under the Project for preparing policy notes/technical papers;
- Produce, where appropriate, written contributions to case studies, best practice papers and guidance notes, manuals and training materials, relating to social development issues;
- Developing working relationships with relevant officials and Ministries at the national, state and city level to ensure a continuous exchange of ideas and where relevant, capacity building on key policy concerns of M/o HUPA.;
- Working with country partners and thematic research coordinators on policy-focused outputs;
- Assisting in the preparation of material for submission to journals and conferences; and
- Liaise with Project Director (AILSG) to complete the CA periodic reporting requirements.

##### Livelihoods Specialist

- Coordination with Team Leader, KSU for various functions and tasks within the unit so as to meet the overall objective of providing knowledge support for effective policy analysis, advocacy and practical advisory services;
- Provide perspective on livelihood issues for developing annual plan of project activities and the budget for the 2<sup>nd</sup> and 3<sup>rd</sup> year;
- Based on the inputs received from CA and its networks and consultants appointed under the Project, develop knowledge products covering livelihood issues, directly relevant to the mission and objectives of the Ministry;
- Produce, where appropriate, written contributions to case studies, best practice papers and guidance notes, manuals and training materials, relating to livelihood issues;
- Support the Team Leader in developing working relationships with relevant officials and Ministries at the national, state and city level to ensure a continuous exchange of ideas and where relevant, capacity building on key policy concerns of M/o HUPA relating to livelihood issues;
- Coordination with agencies/consultants appointed under the Project for preparing policy notes/technical papers relating to livelihood issues;
- Working with country partners and thematic research coordinators on livelihoods policy-focused outputs;
- Assisting in the preparation of material for submission to journals and conferences;
- Analyse and evaluate policies, strategies and programmes that impact livelihoods of different target groups at national level and suggest appropriate modifications;
- Provide direct technical and strategic knowledge support to State Urban Development Agencies, NNRCs and UPA& L Cell/PMU/PIU on livelihoods planning and programming;
- Build partnerships and network support with State governments, multi/bilateral agencies working on livelihoods, NNRC, SUDA and ULBs; and

- Produce, on-demand research material for policy briefs, intra and inter-Governmental advocacy and communications.

#### Legal Counsel

- Coordination with Team Leader, KSU for various functions and tasks within the unit so as to meet the overall objective of providing knowledge support for effective policy analysis, advocacy and practical advisory services;
- Examine the legal modalities for facilitating the objectives and goals prescribed under RAY particularly the provision of property rights for the urban poor/slum dwellers;
- Examine the state level urban legislations in the country with specific reference to slums, municipalities, town planning, urban development, municipal law, urban poverty, secure land tenure, housing for the poor, etc;
- Analyze the laws and legislations as it affect the urban poor/ slum dwellers;
- Develop the concept outlining the context, laws and legislations affecting the slum dwellers/urban poor and current status of debate on these issues in order to outline the steps necessary to make the laws and legislations pro-poor;
- Assist senior policy experts identified by the Ministry in drafting a Model Legal Framework for according property rights to the urban poor; to be disseminated as a template to States for incorporation as a state legislation;
- Assist state governments in drafting the Law to give Property Rights to the Urban Poor, or to amend existing laws for the same;
- Provide perspective on legal issues relating to assigning property rights to slum-dwellers, for developing annual plan of project activities and the budget for the 2<sup>nd</sup> and 3<sup>rd</sup> year;
- Based on the inputs received from CA and its networks and consultants appointed under the Project, develop knowledge products covering legal issues relating to assigning property rights to slum-dwellers, directly relevant to the mission and objectives of the Ministry;
- Produce, where appropriate, written contributions to case studies, best practice papers and guidance notes, manuals and training materials, relating to legal issues relating to assigning property rights to slum-dwellers;
- Support the Team Leader in developing working relationships with relevant officials and Ministries at the national, state and city level to ensure a continuous exchange of ideas and where relevant, capacity building on key policy concerns of M/o HUPA relating to legal issues relating to assigning property rights to slum-dwellers;
- Coordination with agencies/consultants appointed under the Project for preparing policy notes/technical papers relating to legal issues relating to assigning property rights to slum-dwellers;
- Working with country partners and thematic research coordinators for policy-focused outputs on legal issues relating to assigning property rights to slum-dwellers;
- Assisting in the preparation of material for submission to journals and conferences;
- Analyse and evaluate policies, strategies and programmes that impact assigning of property rights to slum-dwellers;
- Provide direct technical and strategic knowledge support to State Urban Development Agencies, NNRCs and UPA& L Cell/PMU/PIU on legal issues relating to property rights of slum-dwellers; and
- Produce, on-demand research material for policy briefs, intra and inter-Governmental advocacy and communications.

#### Urban Planning Expert

- Coordination with Team Leader, KSU for various functions and tasks within the unit so as to meet the overall objective of providing knowledge support for effective policy analysis, advocacy and practical advisory services;
- Primary responsibility would be to provide knowledge support to the state and city level governments identified by MoHUPA for preparation of city level & slum level plans by adopting pro-poor planning mechanisms and initiatives;
- Analyse and evaluate existing state level policies & plans (including the regional planning aspects affecting urban plans) for addressing urban poverty issues;
- Analyse the city level plans in partnership with city governments & state nodal agencies (including strategies and programmes related to urban planning mechanisms) for identifying bottlenecks in catering to needs of different target groups among the urban poor; And suggest appropriate modifications to the bottlenecks for achieving inclusive planning and municipal administration;
- Provide perspective on slum redevelopment/rehabilitation issues, for developing annual plan of project activities and the budget for the 2<sup>nd</sup> and 3<sup>rd</sup> year;

- Based on the inputs received from CA and its networks and consultants appointed under the Project, develop knowledge products covering slum redevelopment/rehabilitation issues, directly relevant to the mission and objectives of the Ministry;
- Produce, where appropriate, written contributions to case studies, best practice papers and guidance notes, manuals and training materials, relating to slum redevelopment/rehabilitation issues;
- Support the Team Leader in developing working relationships with relevant officials and Ministries at the national, state and city level to ensure a continuous exchange of ideas and where relevant, capacity building on key policy concerns of M/o HUPA relating to legal issues relating to slum redevelopment/rehabilitation issues;
- Coordination with agencies/consultants appointed under the Project for preparing policy notes/technical papers relating to slum redevelopment/rehabilitation issues;
- Working with country partners and thematic research coordinators for policy-focused outputs on slum redevelopment/rehabilitation issues;
- Assisting in the preparation of material for submission to journals and conferences;
- Provide direct technical and strategic knowledge support to State Urban Development Agencies, NNRCs and UPA& L Cell/PMU/PIU on slum redevelopment/rehabilitation issues; and
- Produce, on-demand research material for policy briefs, intra and inter-Governmental advocacy and communications.

## 21. Project schedule and delivery targets

The project activities are time bound in nature with each activity having corresponding scheduled deliverables. The Project Schedule and Delivery Targets are as follows:

### Project Schedule

Sn.	Activities	First Year			
		Q 1	Q 2	Q 3	Q 4
1.	Templates for Slum-free city/state plans				
2.	Community mobilisation				
3.	Credit flows for affordable housing				
4.	Municipal finance				
5.	National conferences				
6.	Network of practitioners				
7.	Pool of global experts				

## 22. Financing plan for the First Year

### A. CITIES ALIANCE GRANT REQUEST

Components / Main Activities	Total (US\$)	Type of Expenditure			
		Consulting Services (US\$)	Training/ Capacity Building (US\$)	Dissemination Costs (US\$)	Other (US\$)
<b>PROJECT ACTIVITIES</b>					
Component/ Activity #1: Knowledge Support Unit	108,696	108,696			
Component/ Activity #2: Preparation of 4 Policy Notes	108,696	108,696			
Component/Activity #3: 6 days Exposure Visit to Thailand	23,500		23,500		
<i>Sub-Total – Project Activities</i>	<i>240,892</i>	<i>217,392</i>	<i>23,500</i>		
<b>PROJECT ADMINISTRATION &amp; SUPERVISION</b>					
Independent Audit (1):	5,000				
Supervision Costs (2):	24,088				
<i>Sub-Total – Project Administration &amp; Supervision</i>	<i>29,088</i>				
<b>TOTAL A (Cities Alliance Grant Request)</b>	<b>269,981</b>				

### B. CO-FINANCING

Co-financing Partner #1: MoHUPA	97,826			65,217	32,609
Co-financing Partner #2:					
Co-financing Partner #3:					
<b>TOTAL B (Co-Financing)</b>	<b>97,826</b>				

### C. TOTAL

<b>TOTAL PROJECT BUDGET COST (A + B)</b>	<b>367,807</b>				
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See Guidelines for more information.

(1) An external audit is required upon completion or termination of project activities. Categorise this type of expenditure as "other."

(2) Incremental costs associated with the management of the project, up to a maximum of 15 percent of the Cities Alliance grant request. Categorise this type of expenditure as "other." Detailed cost break down required in Section 23 Costing Assumptions



### 23. Costing assumptions

Activity	Total Amount		CA	MoHUPA
	in INR	in US\$	in US\$	
		(US\$ 1 = INR 46)		
<b>Activity I: Knowledge Support Unit</b>				
1. 4 Specialists @ INR 75,000 per month	3,600,000	78,261	78,261	
2. 1 Support Person @ INR 40,000 per month for 12 months	480,000	10,435	10,435	
3. Local travel @ INR 30,000 pm for 12 months	360,000	7,826	7,826	
4. EBE, consumables & communications @ INR 50,000 pm	600,000	13,043		13,043
5. Office space @ INR 75,000 per month	900,000	19,565		19,565
6. Domestic travel - 24 visits; air fare INR 15,000 per trip and per diem @ INR 2,000 for 100 days	560,000	12,174	12,174	
<i>Total Activity I</i>	6,500,000	141,304	108,696	32,609
<b>Activity II: Preparation of Policy Notes</b>				
1. Professional Fee for 400 man-days @ INR 10,000 per day	4,000,000	86,957	86,957	
2. Travel cost and report reproduction	1,000,000	21,739	21,739	
<i>Total Activity II</i>	5,000,000	108,696	108,696	-
<b>Activity III: 6 days Exposure visit to Thailand for 10 officials</b>				
1. Air Fare @ US\$ 1,000 per person	460,000	10,000	10,000	
2. Hotel/Per diem @ US\$ 225 per person per day	621,000	13,500	13,500	
<i>Total Activity III</i>	1,081,000	23,500	23,500	
<b>Activity IV: 6 one-day national conferences @ INR 5 lakh per conference</b>				
	3,000,000	65,217		65,217
Supervision (10% of CA grant)	1,108,100	24,089	24,089	
Audit Fee	230,000	5,000	5,000	
<b>Total Budget for First Year Activities</b>	<b>16,919,100</b>	<b>367,807</b>	<b>269,980</b>	<b>97,826</b>

### 25. Co-financing arrangements

Co-financing Source	Description of Co-Financing
1.	
2.	
3.	
4.	

Is all co-financing confirmed/committed? Yes

### 26. Additional Financial Management Information from Recipient

- a. Is the Recipient a registered organization under the countries/cities legal requirement? - **(Yes/No)**  
b. Can the recipient provide proof of registration and years of operation? - **(Yes/No)**

- c. Does the recipient have prior experience managing other Donor funds and provide documentation to support this? (Yes/No)
- d. Does the recipient have or can open a bank account? - (Yes/No)
- e. Is the recipient audited annually? - (Yes/No)
- f. Do you produce periodic financial reports for monitoring and evaluation? (Yes/No)