

Jawaharlal Nehru National Urban Renewal Mission

Sub-Mission for Urban Infrastructure and Governance

Toolkit for
Community Participation Fund

Content

1. Introduction to the Fund	1
2. Programme Approach	2
3. Implementation Arrangements	4
4. Community Contribution	8
5. Role of Urban Local Bodies and Other Agencies	9
6. General Instructions for Submitting Proposal	10
7. Checklist of Enclosures	11
8. Frequently Asked Questions on CPF	12
9. Annexure	15

INTRODUCTION TO THE FUND

The Jawaharlal Nehru National Urban Renewal Mission (JNNURM) was launched on December 3rd, 2005 with the primary objective of creating economically productive, efficient, equitable and responsive cities in the country. It is the largest ever national urban initiative & envisages central government support of Rs. 50,000 crore over seven years period. JNNURM includes two Sub-Missions one on Urban Infrastructure and Governance and the second on Basic Services to the Urban Poor.

One refreshing aspect of JNNURM is that it acknowledges that each city needs to evolve its own solutions and responses, although the underlying urban governance structures are not necessarily different. Cities will ultimately have to find their own destinies, harnessing their economic opportunities as well as the passion and energies of their residents. This approach ensures that local solutions emerge to address local issues; it is also consistent with calls for greater decentralisation, local democracy and citizen participation.

JNNURM requires State Governments to enact a Community Participation Law, to enable constitution of Area Sabhas within municipal wards. States are also required to enact a Public Disclosure Law mandating Urban Local Bodies(ULBs) to periodically disclose information to its citizens. The Mission also requires that the City Development Plans being submitted to the Mission are formed with due level of stakeholder consultation at the grassroots level.

At the same time, it is being increasingly realized that communities have little capacity to participate. Providing the platform for participation as described above is only one aspect of enabling community participation; the other is to ensure that communities have capacity to fully utilize these spaces, and participate meaningfully. This issue is even more acute with respect to the urban poor.

To address this issue, a Community Participation Fund (CPF) has been established. The primary objective of this Fund is to create capacities in the communities to effectively engage and contribute in improving their living environment. It is meant to catalyze the process of community participation by creating a “Participatory Incubator” in some sense allowing communities to experience the process of collective decision-making for themselves and taking full accountability for these decisions on themselves.

This toolkit provides the necessary information for the Community Participation Fund of the Jawaharlal Nehru National Urban Renewal Mission (JNNURM). It serves as a broad set of guidelines for the fund. It will be revised from time to time by the JNNURM Mission Directorate, with feedback from the National Technical Advisory Group(NTAG), based on inputs and experiences on the ground.

PROGRAMME APPROACH

The programme has been designed to maintain a fine balance between being prescriptive and allowing demand driven (as expressed by community) initiatives emerge at their own pace. Therefore, eligibility of projects and applicants will be more driven by well-laid out principles rather than specific rules.

Eligible projects

As stated earlier, the primary objective of this Fund is to create capacities in the communities to effectively engage and contribute in improving their living environment. Creation / upgradation of local infrastructure is really a by-product or rather incidental to the process. Some of the key principles to be applied while examining the eligibility of projects seeking funding support from CPF are described below:

- a) The projects should result in enhanced community capacity to effectively engage and take on responsibilities.
- b) There should be a clear plan for operation, maintenance and sustenance of the project/ activity undertaken.
- c) Community consultation, comprehensiveness, wide accessibility of the outputs/benefits and alignment to the City Development Plan(CDP) of the city must form the basis of the projects.
- d) Projects with a religious focus would not be eligible.
- e) Project proposals shall only be entertained from cities that have signed the Memorandum of Agreement (MoA) under JNNURM.
- f) The project cost should be a maximum of Rs. 10 lakhs (Rupees Ten Lakhs only).
- g) Community contribution into the project should be a minimum of 10 % of the project cost. This requirement may be relaxed up to 5% in case of projects involving the urban poor.
- h) The project implementation duration should typically not stretch beyond 12 months.

Illustrative projects

The list of project types mentioned below is only for purposes of illustration and is by no means exhaustive or the only set of projects eligible. Such projects may include:-

- (a) A group water distribution project for a slum, managed by a user's group.
- (b) A crèche for the children of working mothers.
- (c) Counseling (for education / employment), assistance in improving life skills such as opening bank accounts and legal education centers.
- (d) Special centers for the elderly, multi-purpose community centers.
- (e) Building/rebuilding a local vegetable market.
- (f) Educating & regulating hawkers, creation of hawking zone infrastructure

¹ A common place can be requested for multiple uses and dovetailed with other government aided programmes such as adult education.

- (g) Improving the traffic and safety conditions around a local school
- (h) The empowerment of communities with information achieved through
 - development of local language content;
 - repackaging of globally available information to local community needs;
 - broadcasting of information through the local media;
 - procurement and distribution of appropriate technology for information sharing;
- (i) Setting up mechanisms for interface with ULBs / elected representatives.
- (j) Community-based information systems and services.

Note: *Priority would be given to sectors such as municipal solid waste; safe drinking water facility and utilization of non-conventional energy to meet the domestic energy requirements.*

Eligible applicants

Communities could submit projects for CPF approval, through one or more Area Sabhas. Area Sabhas are the grassroots community participation platforms being established in municipalities under the Community Participation Law required under JNNURM, composed of the voters in one or more polling stations. Establishing these Area Sabhas will require laws to be passed. However, till such time Area Sabhas are constituted, the projects could be submitted by Community Based Organisations (CBOs) (such as Resident Welfare Associations (RWAs), Neighbourhood Groups, Youth Clubs, and Market Committees) as representatives of urban communities. However, Self Help Groups (SHGs), through which financial benefits are received, would not be permitted to apply for the projects under CPF.

Proposals from CBOs must be endorsed by a minimum of 51% of voters in the polling booth locality (localities) of the project area, either directly or with the help of the local NGOs and signed by the elected representative of the ward/area. The consent of the voters should be for the CPF Project as well as for the Implementing Agency/CBO/Area Sabha. *The community is actively encouraged to consider ULB also as an implementing agency option.* Once Area Sabhas have been constituted, even Ward Committees could forward proposals with a minimum consent of half the members of Area Sabhas within that ward endorsing the particular project.

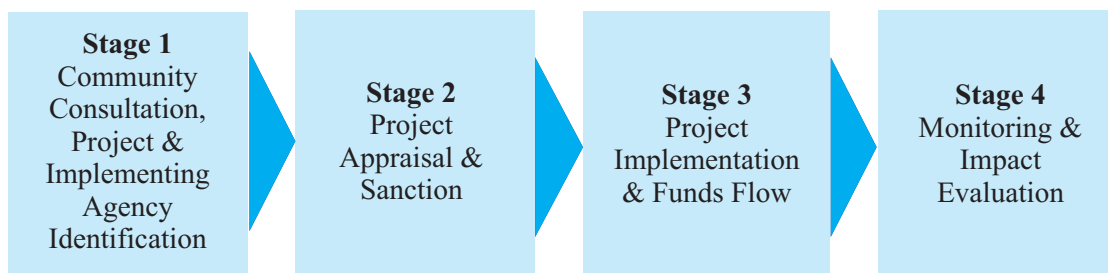
Individuals, NGOs, ULBs, profit-oriented private sector organisations or any other types of Government institutions would be considered ineligible to access CPF.

IMPLEMENTATION ARRANGEMENTS

Overall process

The overall process for undertaking projects supported by CPF can be broadly described in four stages.

Stage 1 Community Consultation , Project & Implementing Agency Identification .



The felt needs of the communities should be discussed with involvement of all concerned stakeholders. Citizens those impacted by a project and those benefited from should collectively discuss and evolve the project. The communities may seek support from professionals from within, NGOs and other experts to help formulate the project and prepare necessary documentation.

Documentation of consultative processes adopted in project formulation is critical and should necessarily form part of the project proposal. The proposals should be signed by an Office Bearer of the Implementing Agency. To be eligible for consideration, the project proposal should have endorsements from the citizens as mentioned in the earlier section. In case the project is being implemented by a CBO, a resolution by the community to that effect, nominating the CBO to act as the Implementing Agency should form a part of the proposal.

Subsequent to constitution of Area Sabhas, the entire process of project formulation, stakeholder consultation and collective decision making should be anchored by the Area Sabha through discussions in the general body of the Area Sabha.

Endorsement from the Municipality is also critical to ensure that there is no duplication of works being undertaken by the community under CPF & the ULB.

Stage 2 - Project Appraisal and Sanction

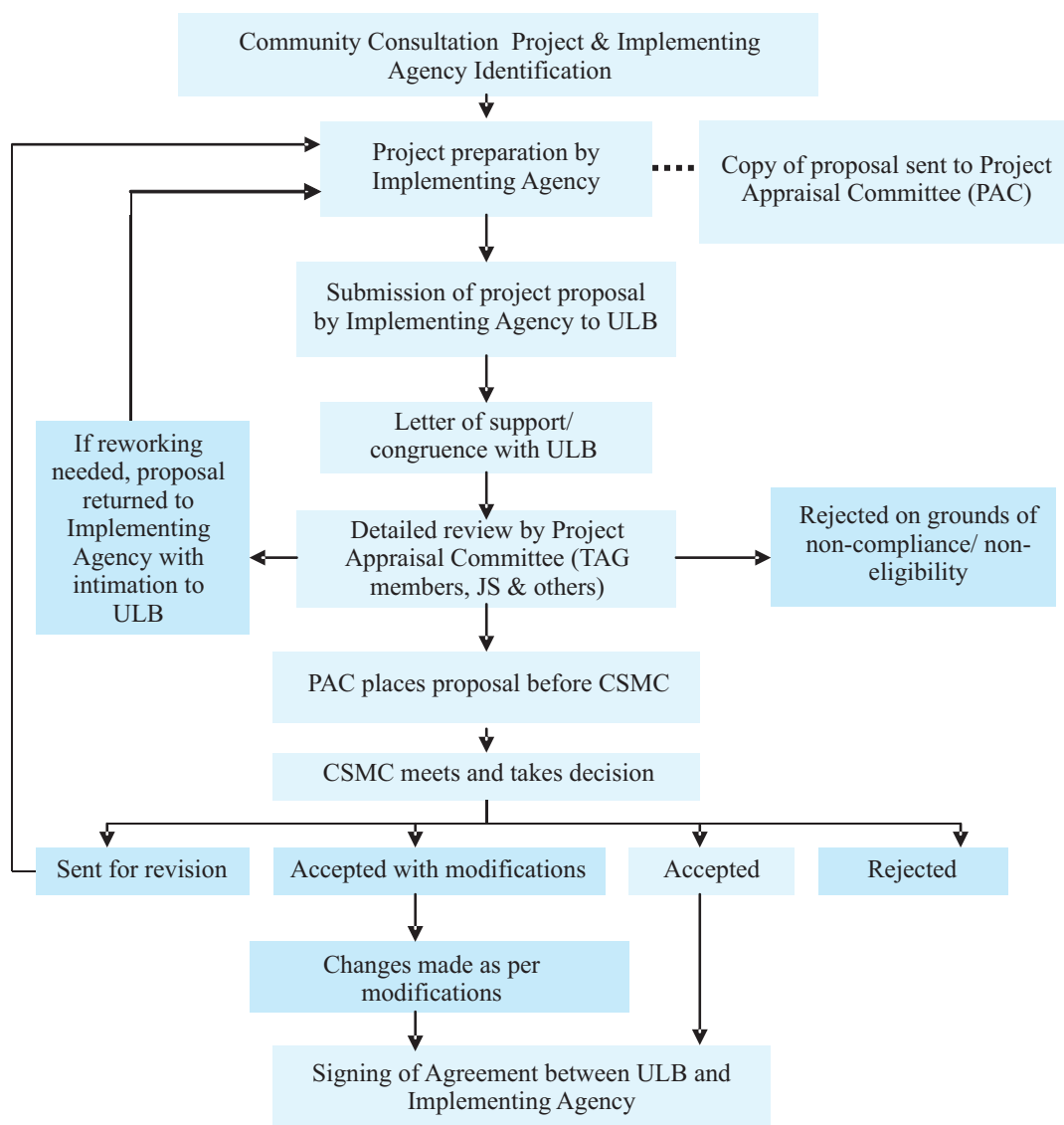
The Implementing Agency should submit its project proposal directly to the concerned Urban Local Body (ULB) /Municipal Corporation, with copies of the same forwarded to the Project Appraisal Committee (PAC) consisting of National Technical Advisory Group members, Joint Secretary and other proposed officials from the Mission. After a preliminary scrutiny of the proposal with respect to eligibility and compliance requirements, the Municipal Corporation is required to send across to the PAC endorsement letters (Annexure- 5) on the project proposals. Such letters from the Municipal Corporations should typically be forwarded within 2 weeks of submission of the proposal by the Implementing Agency.

The Appraisal Committee shall carry out a detailed review, with possible visit(s) to the site and discussions with the communities and the Implementing Agency. It would cover both the project and the institutional assessment of the Implementing Agency. The objectives of CPF and guiding principles for project eligibility shall be important criteria in appraising projects. The representative

character of the Implementing Agency, its past performance and organizational capacity will be important criteria in assessing the Implementing Agency.

Appraised projects will be placed by the PAC before the CSMC for sanction. Once the projects are sanctioned, the Implementing Agency shall enter into a written agreement with the Municipal Corporation. Such agreement is only to formalize the commitments by the Implementing Agency and the ULB for their respective roles in the project.

The typical process flow for submission, appraisal and sanction of projects is illustrated below:



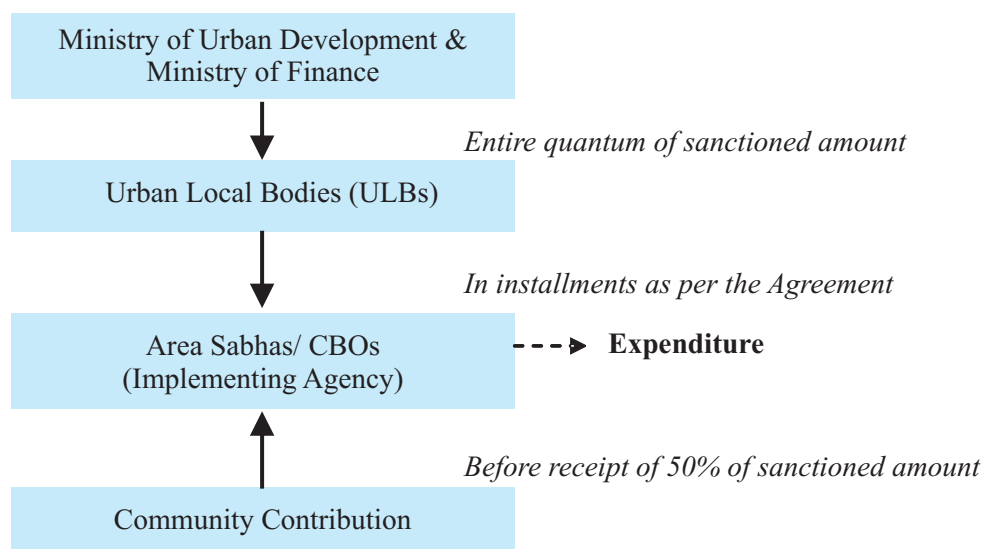
To begin with, the operations of CPF are designed to be fairly centralized, however, it is envisaged that within a year the operations will be rapidly decentralized as State level mechanisms fall in place.

As the scale of the activities under CPF grows, a concept such as a professional Fund Manager to take on some of the roles of the ULB and also undertake detailed appraisal of the projects, can be considered. Such a Professional Fund Manager may be appointed to service the requirements of one or more States and play all coordination roles related to activities supported by CPF.

Stage 3 - Project Implementation and Funds Flow

The CSMC will examine the projects and accord its sanction. The CSMC may make observations on one or more projects / types of projects prior to according its approval.

The flow of funds during project implementation is illustrated below:



Mission Directorate will coordinate the transfer of the entire quantum of funds sanctioned for a particular project to the corresponding ULB. The ULB will then transfer funds to the Implementing Agency in installments, in line with the schedule as specified in the Agreement. The contribution by the community into the project cost should be collected and deployed into the project through a separate bank account opened for this purpose, prior to release of the 50% of the sanctioned amount (first installment) by the ULB.

The Implementing Agency should implement the project as scheduled and specified in the Agreement. Participation by the community through the stages of implementation is as critical as the participation in the initial stages of project conception and formulation.

Stage 4 Monitoring and Impact Evaluation

Vigilance by the community during and after project implementation is the most effective and enduring mechanism for monitoring community based projects / activities. At the end of the project, the community would have to endorse the completion of the project to their satisfaction. Decision making processes similar to that adopted for project conception and formulation in Stage 1 may be adopted. Basically through CPF an enabling environment has to be created for the community oversight of all the projects being undertaken by the ULB in its area.

¹ The Central Sanctioning and Monitoring Committee (CSMC) may delegate its powers for projects under CPF to a Sub-Committee constituted for the same.

The next tier of oversight on the project implementation will be played by the concerned municipality. It will have a Committee (existing or new one) which could meet on regular intervals and monitor and evaluate the CPF projects. Apart from making independent assessments of the implementation processes and impact of the projects, the municipality will assist the Implementing Agency in any hurdles faced and seek to resolve them.

In addition to the above, the Implementing Agency would have to submit brief Quarterly Progress Reports and Certificates of Utilisation of funds to the ULB. The ULB will scrutinize and consolidate project-wise reports and submit consolidated progress reports and Utilization Certificates to the Mission Directorate, Ministry of Urban Development on a Quarterly basis.

The concerned State Level Nodal Agency (SLNA) and the National Technical Advisory Group (NTAG) will also undertake periodic assessments of the impact of initiatives supported by the CPF at the city, state and national levels.

COMMUNITY CONTRIBUTION

All projects funded from the CPF will have community contribution to a minimum extent of 10% of the project cost. In case of projects largely involving urban poor communities, this requirement may be relaxed up to 5% during the appraisal process. And this percentage issue will be revisited based on the implementation experiences.

Contribution from community will be for the entire project cost including proposal preparation and administrative expenses. Community contribution shall be collected and kept in a separate account opened for this purpose, prior to release of 50% of the sanctioned amount by the ULB.

Community contribution should preferably be made by as large a set of members of the beneficiary community as possible. It is encouraged that the community members contribute in reasonable proportion to the benefits they are likely to receive. However, there is no restriction for one or more persons or philanthropy organizations contributing on behalf of the community, but no contribution made by a contractor will be acceptable.

Similarly local area development grants of MPs and MLAs or any other Government grants shall not be eligible towards community contribution.

ACCOUNTING AND AUDIT

Accounting

Separate cash book and ledger accounts shall be maintained for the project by the Implementing Agency. The ULB too shall maintain a clear record of disbursements made and expenditures claimed vide submission of Utilisation Certifications. Accounting for the project shall be done on a cash basis. The balance of funds as per cash book shall be reconciled with balance as per the project bank account on a monthly basis.

All payments at project level shall be done by cheque, to the extent possible & will be consistent with the procedures of the concerned ULB. At the end of the project, a Project Completion Certificate shall be prepared and sent to the ULB.

Audit

Audit of accounts of the ULB pertaining to CPF funds transfers shall be done as part of routine audit of the ULB. The Implementing Agency should necessarily get its project accounts audited at the end of the project. The accounts shall be audited by a Chartered Accountant. Accounts of the Implementing Agency would be open to any further audit by CAG or State Government.

ROLE OF URBAN LOCAL BODIES AND OTHER AGENCIES

Role of ULB/ other elected representatives

The ULB shall play the central role in the overall implementation of the CPF projects. It will provide guidance to the community / Implementing Agency in terms of selection of site, providing technical assistance and data for the proposal and shall receive all proposals from the applicants, coordinate appraisal of the proposal by the Project Appraisal Committee to be placed for sanction before the CSMC.

The ULB will send endorsement letter (communicating its statement of support or dissent for the proposed project) (Annexure-5) to the Project Appraisal Committee (PAC) within two weeks of the receipt of the proposal. In case of dissent, the same shall be accompanied with reasons for dissent. The CSMC shall consider the ULB's support or dissent for a project, while examining the proposal for sanction.

Once the project is sanctioned, funds shall also flow through the ULB. Upon receipt of funds from Ministry of Urban Development, the ULB shall remit funds to the individual projects. It shall receive all reports and utilization statements from the projects, consolidate the same and send it to Ministry of Urban Development for reporting.

Role of State Level Nodal Agency

SLNA shall play the role of the coordinating agency at the State Level. It will also help in monitoring and evaluation of the CPF projects as assigned to it from time to time.

Role of Support Agencies

Support agencies e.g. NGOs and educational institutions, professional experts shall support the community / Implementing Agency in project formulation and preparation of proposals. The support agencies can also play a role during implementation of the project by providing technical and managerial support.

Role of Mission Directorate, Ministry of Urban Development

The Mission Directorate, Ministry of Urban Development shall maintain oversight over the performance of the CPF and shall be accountable for the outcomes and impact achieved through the activities of the Fund. The Mission Directorate shall trigger improvements in the guidelines of the Fund and finalization of the Operations Manual.

Preparation of budgets, receiving funds from Ministry of Finance (MoF), disbursement of funds to the ULBs, receipt of reports from ULBs, consolidating the same at Fund level and reporting to CSMC, shall be done by the Mission Directorate. Mission Directorate shall also be responsible for calling the CSMC meetings and getting the project approved on a regular basis.

Role of National Technical Advisory Group

The National Technical Advisory Group shall play an active role with respect to the CPF in monitoring performance and impact of the activities supported by the Fund. The National TAG would advise on course correction, reach out and communication and other measures to attain the intended objectives. TAG shall also recommend changes to the guidelines on a regular basis, based on implementation experience.

Role of Project Appraisal Committee

The Project Appraisal Committee shall review all the project proposals placed before it by the concerned ULBs. Till such time the operations of CPF are decentralized and State level mechanisms fall in place, it would cover both the project as well as the institutional assessment of the Implementing Agency. It would carry out a detailed review, including visit to the site and discussions with the community and the Implementing Agency.

GENERAL INSTRUCTIONS FOR SUBMITTING PROPOSAL.

All proposals must be in the prescribed format (Annexure-2) including a cover page (Annexure-1). All sections must be submitted together, with each section clearly marked. Please read the guidelines carefully before filling the formats. Proposals not as per the prescribed format or instructions shall be liable for rejection.

1. All information provided in the proposal should be correct. In case any misrepresentation or wrong information is provided, the proposal shall be liable for rejection.
2. Project proposals to be submitted by the communities (Area Sabhas/ Community Based Organizations) must have an endorsement/consent of the majority (at least 51%) of the voters in the polling booth locality (localities) of the project area, either directly or with the help of the local NGOs and signed by the elected representative of the Ward/Area Sabha.
3. The consent of the voters should be for the CPF Project as well as for the Implementing Agency (i.e. CBO/Area Sabha).
4. Project proposals in duplicate should be prepared in English, neatly typed in single lined space on A4 white paper and be sent to
 - the concerned Urban Local Body/ Municipality (Addresses as given in Annexure-6);
 - the Project Appraisal Committee (Address: Joint Secretary (UD) / Mission Directorate (JNNURM), Ministry of Urban Development, Nirman Bhavan, New Delhi -110 001).
5. The project proposal should be neatly bound with consecutive page numbering
6. The entire document should not exceed 20 pages (excluding the enclosures).
7. Project proposals along with all enclosures should be put in two separate envelopes (meant for concerned ULB and the Project Appraisal Committee) and marked “Proposal for Community Participation Fund” on the envelopes.
8. All enclosures should also be submitted in two copies. The Project Appraisal Committee may also be sent a disk version (soft copy) of the proposal fully readable by MS Word for Windows.
9. The language must be simple, clear and to the point.
10. Hand written proposals will not be accepted.
11. Proposals sent by fax will not be accepted.
12. The project proposals must be of minimum 6 months duration and not exceeding beyond 12 months.

13. The proposal should be signed on each page by the authorized person (Resolution authorizing the person should be attached as Enclosure).

(For more information, please visit our website: <http://www.jnnurm.nic.in> , or email us at jnnurm-tag@nic.in or call us on 011-2306 1375)

CHECKLIST OF ENCLOSURES

Before submitting the proposals, please ensure that the following enclosures are attached. All enclosures should be signed in original and “Certified as True Copy”. To the extent possible, enclose English versions of the enclosures or a translated version in English.

1. Copy of CBO (RWA/ Neighbourhood Groups/Youth Club/ Marketing Committees)/ Area Sabha formation/ registration, if any (Enclosure-1)
2. Copy of CBO Bye Laws/ Memorandum and Articles of Association (Enclosure-2)

Incase the ULB is the implementing agency then the above mentioned are not required.

3. Process documentation of consultative process adopted in project formulation. (Enclosure-3)
4. Endorsement/consent letter by the community (Annexure-3), signed by the majority (at least 51%) of the voters in the polling booth locality (localities) of the project area and by the elected representative of the Area Sabha / Ward. (Enclosure-4).
5. Copy of resolution authorizing a person to sign the proposal and submit all necessary papers including amendments, sign agreements and make representations before Project Appraisal Committee with respect to CPF. (Enclosure-5).
6. Brief CVs of key project personnel nominated by the Community to work in the project. The CV should not be more than two pages per CV. (Enclosure-6) (Annexure-4).

The following documents of the NGOs supporting the community/ Implementing Agency in project formulation is required:

1. Copy of Society/Organisation/Company Registration/ Incorporation Certificate (Enclosure-7)
2. Copy of Organisation Bye Laws/ Memorandum and Articles of Association (Enclosure-8)
3. List of Governing Body members (Name, Designation, Address, Phone Number, Relationship with Chief Functionary, if any) (Enclosure-9)
4. Copy of Audited Financial Statements for the last three years along with Auditor's Certificate/ Report. (Enclosure-10)

FREQUENTLY ASKED QUESTIONS (FAQs) ON COMMUNITY PARTICIPATION FUND

a. Why do we need a CPF?

As described earlier, the “idea” of community participation is difficult to realise on-the-ground. Critically, communities lack the platforms to participate and the capacity to engage meaningfully in such platforms. Hence, CPF is meant to catalyse the process of community participation by creating a “Participation Incubator” in some sense allowing communities to experience the process of collective decision-making for themselves and taking full accountability for these decisions on themselves.

b. There have been many instances of community-based projects. What is the relevance of CPF to JNNURM?

JNNURM envisages the establishment of permanent structures at the grassroots for community participation, called Area Sabhas. These Area Sabhas are not meant to be created and dismantled for projects, but remain as continuing participatory platforms for communities. However, due to a variety of reasons, it is reasonable to believe that these platforms will not become established overnight, nor will citizens have the capacity to fully utilise these spaces if such space is indeed provided. CPF, by providing the preparation and capacity building funds for participation, allows communities to begin experiencing participation, and hence prepare themselves through baby steps for the larger, permanent process of participation as envisaged in JNNURM.

c. How will increased community participation help the larger JNNURM goals?

One of the stated goals of JNNURM is that cities define their own goals for themselves, become more autonomous, and more accountable to their citizens. Hence, this is a bottom-up view of urban local governance, whose success will be driven by two critical ingredients: one, the opportunity for all the city's local stakeholders to participate in defining the city's goals (including the poor); and two, the accountability of the city to these stakeholders, as much if not more than to other levels of government, state or central. Neither of these is possible without well-functioning platforms of participation and accountability like the Area Sabha as envisaged in JNNURM.

d. What will be the kinds of projects encouraged in CPF?

Some examples of the types of CPF projects have been provided. While this is not an exhaustive list, clear guidelines established for CPF funding both on what will be funded and also what will not be funded are there. CPF projects need to be local in nature, not too technically complex and relatively quick to implement.

e. Why do we need to have the members of the polling booth/Area Sabha approve the project?

The CPF is meant to prepare communities to participate in long-term platforms like the Area Sabha that are conceived in JNNURM. Also, community participation cannot become divorced from the larger processes of the local government and must in fact strengthen these processes by taking them to the people. Hence, CPF projects are not meant to support any kind of community projects, but only those where the participatory structures are being linked into municipal governance

processes. The polling booth is the smallest footprint for such processes with a clearly defined list of registered voters, thus entailing no confusion about the composition of the community, yielding way to the Area Sabha concept in the future.

f. The requirement for Area Sabhas in JNNURM will take a few years to get established. What will happen to CPF in the meantime? How will people participate when there are no Area Sabhas?

The concept of the CPF is precisely to prepare communities to participate in platforms that are being established. While Area Sabhas will take time to get established, they will be defined around the footprint of the polling booth one or more depending on the nature and extent of the project proposal. Hence, the CPF requirement of having approval from fifty percent members of the polling booth will prepare community members to participate in future Area Sabha structures.

g. Why do we need to have the elected representative approve the project?

As mentioned earlier, community participation in JNNURM is being envisaged as deepening the process of local governance. It is disruptive to establish community participation mechanisms that are not linked into the existing process of local elected government, as has been seen in some early examples in community-based rural development projects.

h. Who will maintain these CPF project assets once they are created?

One of the assessment conditions for CPF projects is clear visibility on the continuing operations and maintenance of assets being created, both from a financial standpoint, as well as from a responsibility standpoint.

i. Will all the money for the CPF project come only from CPF?

One of the mandatory conditions of CPF is that 5% - 10% of project funds comes from the community themselves. The amount could be less for urban poor projects and higher for the general category of projects.

j. This process of over-consultation at the grassroots level is too idealistic. Will people actually be able to discuss, negotiate and agree on anything, let alone a project and then be able to carry it out over time?

It is true that there is a lot of capacity building required at the grassroots, for people to make collective decisions. However, this is why CPF is needed. If participatory processes are recognised as being central to making larger processes of governance work, then communities must begin to experience this participation in small steps. CPF is meant to prepare communities for this process, which is why some funds are being set aside in each project for capacity building.

In any event, if communities cannot come together, they will not be able to submit a CPF proposal. It is not envisaged that CPF will result in an avalanche of proposals within a short period. However, it will catalyse the process and - if well documented and shared across cities - result in communities learning from each others' experiences.

k. What is the role being envisaged for NGOs?

Communities may need local capacity on many fronts. They could seek the support of grassroots NGOs for these issues, in project preparation, ongoing functioning, capacity building and so on. NGOs could play a critical role in ensuring that communities come together and get comfortable in the process of participation on all aspects of the process.

l. Why should the CPF projects be appraised first by the Technical Advisory Group/PAC, rather than the Ministry itself directly?

The terms of reference for the TAG requires it to ensure greater participation and citizen involvement. CPF is envisaged as one of the key tools to make this happen. Given that the membership of TAG is made of civil society representatives, it also creates an institutional process in JNNURM where communities could prepare projects, apply for approval, procure approval and execute these projects completely, through a channel established exclusively for this purpose, starting at the City-level TAG wherever they have been set up and then the National Technical Advisory Group. It must be noted that the role of the TAGs will not be to deal with the release of funds; that is purely a matter for the Ministry of Urban Development.

ANNEXURE

Annexure-1

Cover Page

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

Proposal Format

SECTION A: TECHNICAL

1. Executive Summary

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

2. Information on Implementing Agency (CBO/Area Sabha) (not needed if ULB is the implementing agency)

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

- Target group addressed:
- Who are the main target group of the CBO's/Area Sabha's programme interventions? For e.g. Urban poor, slum dwellers, people below the poverty line, children, women, Schedule Tribe, Schedule Caste, Backward Classes, Dalit, Labour, etc.
- Involvement with community
- Support Agency/NGO (if any):
Specify the nature, purpose and periodicity of support
- Systems in place for technical and financial management
- Brief description of the systems in place for collection, analysis and storage of project and programme information
- Capability to handle funds
- Reliable accounting system and internal control
- Compliance to audit/ other laws

3. Project Information

- Project Background

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

- Project Planning and Conceptualization

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

- Project Design:
 - ◆ Project Goal : Write about what the project seeks to achieve at the end of the period. The goal description should not exceed three sentences.
 - ◆ Project Objectives :
 - ◆ The project proposal should address the identified needs through a set of three to four broad objectives.
 - ◆ How would these objectives help in addressing the problem of the community and in achieving the ultimate project goal?
 - ◆ Activities : Project work plan and deliverables for the proposed duration (activities & milestones and project activity scheduling & implementation chart).

4. Project Implementation :

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

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

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

5. Outcomes :

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

6. Project Duration :

The project proposals must be minimum of 6 months and maximum 12 months duration.

7. Target Group :

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

8. Roles and Responsibilities :

- Roles and responsibilities of community.
- Roles and responsibilities of various other stakeholders.

9. Project Monitoring and Documentation :

Please specify the following :

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

10. Project Limitations and Risks :

Please indicate the following :

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

11. Project Sustainability and Replicability :

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

SECTION B: FINANCIAL

1. Budget Requirements

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

2. Demarcation of responsibilities for Operations and Maintenance:

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

Annexure-3

Format for Endorsement/Consent of the Community

This is to certify that the proposal has been endorsed by the majority of the members of Area Sabha(s)/ voters of the project area. We nominate (name of the CBO/No. of Area Sabha) as the Implementing Agency for this project. A resolution to this effect (vide meetings held on) bearing signatures of the majority of the members of Area Sabha(s)/ voters of the project area is attached.

(Signed by the designated
Office Bearer of the CBO/Area Sabha)

(Signed by the elected representative
of
Ward/Area Sabha)

Format for CVs

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

Annexure-5

Urban Local Body Endorsement Format

Name of the Project:.....

Name of the Implementing Agency:.....

Approved Disapproved

*Reason for Endorsement/ Disapproval

*A certificate stating that the projected work in the proposal is not included in the proposed works of the ULB.

(Signed by the competent authority of
Municipal Corporation)

Addresses of concerned Urban Local Bodies (Municipalities)

(For an updated list of the addresses, kindly visit our website: <http://www.jnnurm.nic.in>)

Sl. No.	State / Municipal Corporation	Address
(1)	Andhra Pradesh	
	i. Hyderabad	Commissioner, Municipal Corporation of Hyderabad Tank Bund Road, Hyderabad. Phone : 040-23225267 Fax : 040-23220430
	ii. Vishakhapatnam	Commissioner, Greater Visakhapatnam Municipal Corporation Tenneti Bhavanam, Aseelametta Junction, Visakhapatnam-530 002. Phone : 0891 2746300 Fax: 0891- 2568545, 2758585
	iii. Vijayawada	Commissioner, Vijayawada Municipal Corporation Jawaharlal Nehru Building Vijayawada. Phone : 0866-2421058 Fax : 0866-2423022
(2)	Arunachal Pradesh Itanagar	Chief Executive Officer, Itanagar Municipal Council, Itanagar. Phone : 0360-2212540 Fax : 0360-2212446
(3)	Assam Guwahati	Commissioner, Guwahati Municipal Corporation Pan Bazar, Kamrup, Guwahati. Phone : 0361-2360470 Fax : 0361-2361800
(4)	Bihar i. Patna	Commissioner, Patna Municipal Corporation Patna- 800001. Phone : 0612-2222205 Fax : 0612-2230788, 2222098

ii. Bodh Gaya	Commissioner, Gaya Municipal Corporation, Gaya. Phone : 0631-2423001 Fax : 0631-2423003 , 2227903
(5) Chandigarh Chandigarh	Commissioner, Chandigarh Municipal Corporation 30, Bays Building, Sector 17-B Chandigarh – 160017. Phone : 0172- 2708765, 2701235 Fax: 0172-2721234
(6) Chhattisgarh Raipur	Commissioner, Raipur Municipal Corporation, Raipur. Phone : 0771-4040415
(7) Delhi Delhi	Commissioner, Delhi Municipal Corporation, Town Hall , Delhi. Phone : 011-23312652, 23739363 , 23961012
(8) Goa Panaji	Commissioner, Panaji Municipal Corporation, Panaji. Phone : 0832-2237160 Fax : 0832- 2426998
(9) Gujarat i. Ahmedabad	Commissioner, Ahmedabad Municipal Corporation Sardar Patel Bhavan Danapith, Ahmedabad – 380001. Phone : 079-25352828, 25391811-30 Ext.654/27545061 Fax: 079-25354638, 27551299
ii. Surat	Commissioner, Surat Municipal Corporation Muglisara, Surat 395003 . Phone : 0261-2422244, 2423751 to 56 Fax : 0261- 2422110
iii. Vadodara	Commissioner, Vadodara Municipal Corporation Khanderao Market, Muglisaraj Mahal Road Vadodara – 34000. Phone : 0265-2433344, 2433116, 2433345, 2433131 Fax : 0261 – 2433060

iv. Rajkot	Commissioner, Rajkot Municipal Corporation Dr. Ambedkar Bhawan, Dhebar Road Rajkot – 360001. Phone : 0281-2229940, 2224133 Fax : 0281-2224258
(10) Haryana Faridabad	Commissioner, Faridabad Municipal Corporation Opp. B.K. Hospital, B.K. Chowk NIT Faridabad, Haryana. Phone: 0129-2416464-65 Fax : 0129-2416465, 2410892
(11) Himachal Pradesh Shimla	Commissioner, Shimla Municipal Corporation The Mall, Shimla – I, Himachal Pradesh. Phone: 0177-2812899 Fax : 0177-2802346, 2812899
(12) Jammu and Kashmir i. Jammu	Commissioner, Jammu Municipal Corporation Jammu-180001. Phone : 0191-2547846 Fax : 0191-2542192, 2547846
ii. Srinagar	Commissioner, Municipal Corporation, Karan Nagar, Srinagar. Phone : 0194-2470466 Fax : 0194-2476931
(13) Jharkhand i. Ranchi	Commissioner cum Administrator, Ranchi Municipal Corporation, Ranchi. Phone : 0651-2203469 Fax : 0651-2211777
ii. Jamshedpur	Special Officer, Jamshedpur Notified Area Authority Jamshedpur. Phone : 0657-2423280
iii. Dhanbad	Special Officer , Dhanbad Municipality, Dhanbad. Phone : 0326-2306366 Fax : 0326-2301925

<p>(14) Karnataka i. Bangalore</p>	<p>Commissioner, Bangalore City Corporation N.R. Square Bangalore-560002. Phone : 080-22221286, 22237455, 22975550 Fax : 080-22223194 , 2223194</p>
<p>ii. Mysore</p>	<p>Commissioner, Mysore City Corporation Sayajio Rao Road Post Box No. 27 Mysore-570024. Phone : 0821:2418803 Fax : 0821-2529033</p>
<p>(15) Kerela i. Cochin</p>	<p>Secretary, Kochi Municipal Corporation Kochi. Phone : 0484-2351211, 2369007 Fax : 0484-2369023</p>
<p>ii. Thiruvananthapuram</p>	<p>Secretary, Trivandrum Municipal Corporation Trivandrum. Phone:0471-2332085, 2320821 Fax : 0471-2332083</p>
<p>(16) Madhya Pradesh i. Bhopal</p>	<p>Commissioner, Bhopal Municipal Corporation Bhopal. Phone : 0755-4286239 , 2542070 Fax : 0755-2539806</p>
<p>ii. Ujjain</p>	<p>Commissioner, Ujjain Municipal Corporation Kshtrapati Shivaji Bhavan, Agar Road Ujjain-456006. Phone : 0734-2550659 & 4013106 Fax : 0734-2560200</p>
<p>iii. Indore</p>	<p>Commissioner, Indore Municipal Corporation Indore. Phone : 0731-2431610, 2546009 Fax : 0731-2434489</p>

iv. Jabalpur	Commissioner, Jabalpur Municipal Corporation, Jabalpur. Phone 0761-2400262 Fax : 0761-2407977
(17) Maharashtra	
i. Nashik	Commissioner, Nashik Municipal Corporation Nashik-422002. Phone : 0253-2578206 Phone : 0253-2575631 to 34 Fax : 0253-2577936, 2315704
ii. Pune	Commissioner, Pune Municipal Corporation, Pune. Phone : 0212-25501103 , 25501105 (o) 25652416 Fax : 0212-25501104
iii. Nagpur	Commissioner, Nagpur Municipal Corporation Civil Line Nagpur. Phone : 0712-2562001 Fax : 0712-2561584
iv. Greater Mumbai	Commissioner, Brihan Mumbai Municipal Corporation, Mumbai. Phone : 022-2620525. Fax : 022-2655927
v. Nanded	Commissioner Nanded Waghala city Municipal Corporation Nanded- 431601. Phone : 0242-234710, 234577, 234404 Fax : 02462-232071
(18) Manipur Imphal	Commissioner (MAHUD), Secretary to C.M. Manipur, Imphal. Phone : 0385-2220151 , 2450048
(19) Meghalaya Shillong	Commissioner & Secretary, Urban Affairs Government of Meghalaya, Main Secretariat Building Shillong-793001 Phone : 0364-2225669, 2210359 Fax : 0364-2226424, 2222464, 2220202

<p>(20) Mizoram Aizwal</p>	<p>Director, Local Administration Department Government of Mizoram, Aizwal. Phone : 0389-2322446, 2322815</p>
<p>(21) Nagaland Kohima</p>	<p>Chief Executive Officer, Kohima Municipal Corporation Old Secretariat Complex, Kohima. Phone: 0370-2270051 Fax : 0370-2291771</p>
<p>(22) Orissa i. Bhubaneswar</p>	<p>Commissioner, Bhubaneswar Municipal Corporation Vivekananda Marg, Gautam Nagar-14, Bhubaneswar. Phone : 0674-2431403 Fax : 0674-2432895</p>
<p>ii. Puri</p>	<p>Executive Officer, Puri Municipal Council, Puri. Phone : 06752-222122 Fax : 06752-223791</p>
<p>(23) Pondicherry Pondicherry</p>	<p>Commissioner, Pondicherry Municipality, Pondicherry. Phone : 0413-:2334074 Fax : 0413-2336469</p>
<p>(24) Punjab i. Amritsar</p>	<p>Commissioner, Amritsar Municipal Corporation Amritsar-143001. Phone : 0183-2545155, 2535499 Fax : 0183-2545155</p>
<p>ii. Ludhiana</p>	<p>Commissioner, Ludhiana Municipal Corporation Ludhiana. Phone : 0161-2740551</p>
<p>(25) Rajasthan i. Jaipur</p>	<p>Commissioner, Jaipur Municipal Corporation, Jaipur. Phone : 0141-2742823 Fax : 0141 2742823</p>

ii. Ajmer-Pushkar	Commissioner, Ajmer Municipal Council Ajmer. Phone : 0415-2429920 , 2429971 Fax : 0145-2429953
(26) Sikkim Gangtok	Principal Secretary ,UD &Housing Dept. Govt. of Sikkim Gangtok-737101. Phone : 03592-222726 , 202726, 202349 Fax : 03592-205087
(27) Tamil Nadu i. Chennai	Commissioner, Chennai Municipal Corporation Ripon building, 16 Periyar E.V.R Salai Chennai-600003. Phone : 044-25381330, 25383783, 25384510, 25384231 Fax : 044-25383962
ii. Madurai	Commissioner, Corporation of Madurai Annamali High, Thallakulam Madurai- 625002. Phone : 0452-2530521-26 Fax : 0452-2533272
iii. Coimbatore	Commissioner, Coimbatore City Corporation Big Bazar Street Coimbatore-641001. Phone : 0422-2396026 Fax : 0422-2390167
(28) Tripura Agartala	Chief Executive Officer, Agartala Municipal Council Agartala. Telefax : 0381-2325149
(29) Uttar Pradesh i. Lucknow	Commissioner, Nagar Nigam, Triloknath Road Lalbagh, Hazratganj Lucknow. Phone : 0522-2622440 Fax : 0522-2620297

ii. Varanasi	Commissioner, Varanasi Municipal Corporation Varanasi. Phone : 0542-2221702 Fax : 0542-2221702
iii. Agra	Commissioner, Agra Municipal Corporation, Agra. Phone : 0562-2850670 Fax : 0562-2850499
iv. Kanpur	Commissioner, Kanpur Municipal Corporation Kanpur. Phone : 0512-2546194 Fax : 0512-2531662
v. Allahabad	Commissioner, Allahabad Municipal Corporation Allahabad. Phone : 0532-2422538 Fax : 0532-2603833
vi. Meerut	Commissioner, Meerut Municipal Corporation Meerut. Phone : 0121-2515133
vii. Mathura	Executive Officer, Nagar Palika Parishad, Mathura. Phone : 0565-2406229 Fax : 0565-2505070
(30) Uttarakhand	
i. Dehradun	Mukhya Nagar Adhikari, Dehradun Municipal Corporation Dehradun. Phone : 0135-2653572, 2657884 Fax: 0135-2651060
ii. Nainital	Commissioner, Nainital Municipal Board, Nainital. Phone : 05942-235153, 237084 Fax : 05942-231741
iii. Haridwar	Executive Officer, Haridwar Municipal Board Haridwar. Tel-Fax : 01334-227006

<p>(31) West Bengal i. Asansol</p>	<p>Chief Executive Officer, Asansol Municipal Corporation Asansol. Phone : 0341-2202491, 2209478 Fax : 0341-2202491</p>
<p>ii. Kolkata</p>	<p>Commissioner, Kolkata Municipal Corporation 5, S.N. Banerjee Road Kolkata-700013. Phone : 033-22861034, 22861334 Fax : 033-22440201/2564</p>

