

Kolkata Urban Services for the Poor



Guidelines

for

**PLANNING, IMPLEMENTATION &
POST CONSTRUCTION MANAGEMENT
OF WORKS FROM SLUM LEVEL
INFRASTRUCTURE FUND**

2007 - 08

under KUSP

Change Management Unit

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1. INTRODUCTION AND BACKGROUND

1.1 Introduction

The Kolkata Urban Services for the Poor (KUSP) Project aims to improve urban planning and governance and access to basic services for the poor and support an enabling environment for economic growth in the Kolkata Metropolitan Area (KMA). The Project is being implemented in 40 ULBs within the KMA area. The distinctive feature of KUSP is its support for a metropolis-wide approach that addresses multiple dimensions of poverty and develops strategies for the inclusion of the poor and the marginalized in development processes. KUSP professes to make the linkage between Urban Local Bodies (ULBs) and target communities as the cornerstone of its functioning.

KUSP seeks to support organisation development capacity building of municipalities, state support organisations and infrastructure at the community, town and inter-municipal level. Preparation of comprehensive Draft Development Plans (DDP) by each municipality, covering all municipal functions, is central to KUSP implementation. The project is to be implemented over 8 years.

To meet its objectives, KUSP proposes to support:

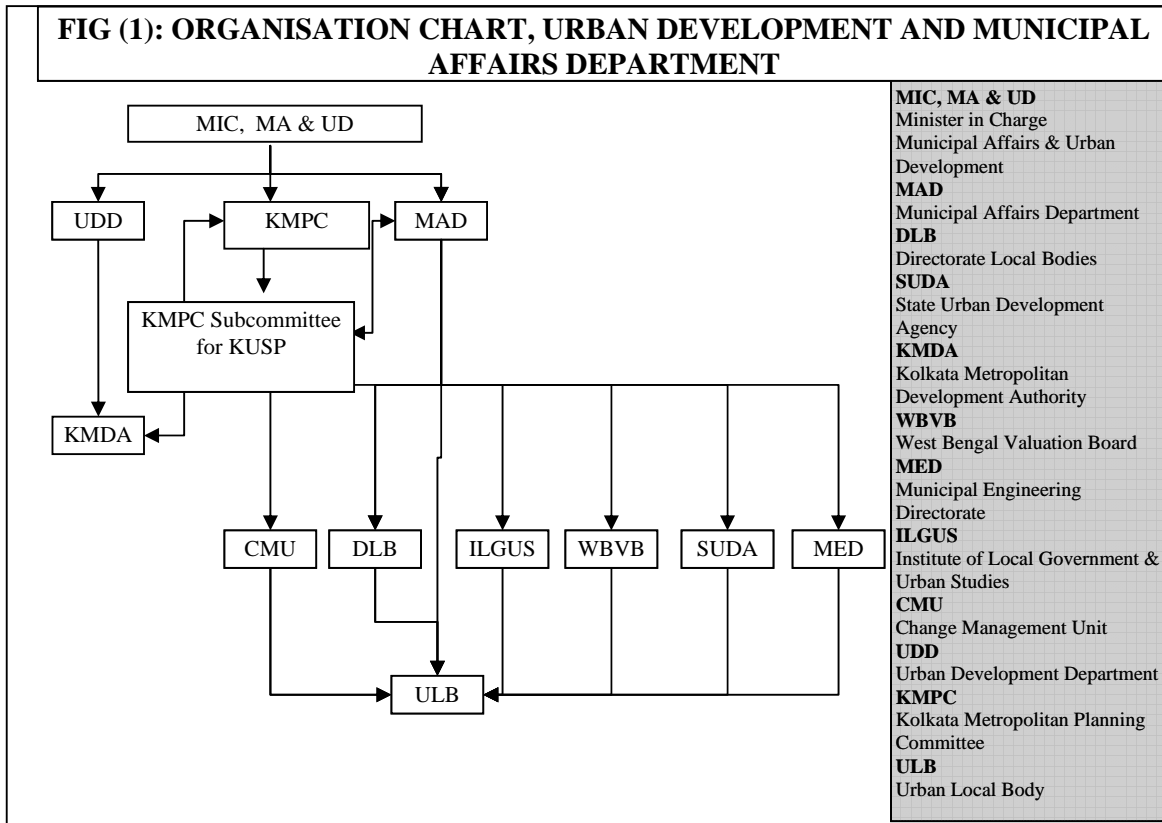
1. Infrastructure improvements at the level of:
 - a. Slums: focusing on rehabilitating and building assets for water supply, sanitation, drainage and small access roads;
 - b. Wards: ward offices, community centres and other public buildings;
 - c. Municipalities: focussing on rehabilitating and filling critical gaps in the town network mainly for basic water supply and sanitation services;
 - d. Trans-municipal infrastructure: partial contribution towards meeting the cost of water supply and sanitation projects that serve two or more municipalities;
2. Organisation Development of municipalities and state agencies;
3. Refurbishment of ULBs and state agencies (with IT software and hardware);
4. Staffing and running costs for programme management and supervision;
5. Economic development: support to a process of economic planning and visioning and support to possible enterprise development activities

Slum level infrastructure improvements under KUSP, therefore focus on rehabilitating and building assets for improving basic services – water supply, sanitation, drainage and access roads, solid waste management, and community centres. The improvements are proposed to be implemented through community participation at all stages and building up linkages between communities and ULBs to ensure sustainability.

1.2 Stakeholders

Municipal Affairs Department, GoWB is the nodal department and the principal implementing agency with strategic oversight by Kolkata Metropolitan Planning Committee. ((KMPC). The KMDA under the overall supervision of Municipal Affairs Department is the

lead agency to implement trans-municipal infrastructure. The Municipal Affairs Department has set-up a Change Management Unit (CMU), with project management responsibilities for KUSP. The CMU was established as a registered society with Municipal Affairs Department and GoWB representatives on its Governing council. The KUSP Project Memorandum envisages that in four years time, the functions of the CMU will be taken over by various agencies. The functional relationship of organisations involved in implementation of KUSP is shown in Figure (1) below.



Municipal Affairs Department leads project implementation. Other organisations that provide their support are:

- Change Management Unit (CMU);
- Directorate of Local Bodies (DLB);
- State Urban Development Agency (SUDA);
- Kolkata Metropolitan Development Authority (KMDA);
- West Bengal Valuation Board (WBVB);
- Municipal Engineering Directorate (MED);
- Institute of Local Government and Urban Studies (ILGUS)

Key institutions and their role in implementation of Slum Infrastructure are listed below:

Change Management Unit

- Policy direction for implementation
- Fund allocation

- Administrative Approval of comprehensive schemes
- Transfer of funds to ULBs
- Financial monitoring

Kolkata Metropolitan Development Authority (KMDA) has deputed engineers in all project ULBs to strengthen technical capacity;

Municipal Engineering Directorate (MED) provides:

- Engineering design support to ULB engineers;
- Technical Sanction for the schemes prepared by ULBs;
- Periodically supervisory inputs for slum infrastructure works;

Institute of Local Government and Urban Studies provides training for:

- CDS members;
- ULB engineers;

Apart from these, other institutions that support implementation include:

Quality Assurance Agency (QAA)

- Construction quality monitoring through periodical supervision;

Accounts Support Agency (ASA)

- Auditing of financial expenditure on monthly basis

Participating Urban Local Bodies

ULBs are key stakeholders having most crucial role in the success of the project. They are facilitators of slum infrastructure improvement implementation. While ULBs will receive financial support to invest in infrastructure improvement, the burden on them for the operation and maintenance of the improved services will increase proportionately. In order to take care of this burden, KUSP seeks to develop and build linkages between beneficiary communities and the ULB. As facilitating bodies, the ULBs will need to proactively solicit community participation at various stages viz. planning, implementation and post construction O&M management of infrastructure and services.

Key ULB responsibilities from slum infrastructure improvement, operation and maintenance are outlined below.

- Formation of Project Facilitation Team;
- Community Mobilisation and organisation;
- Preparation of comprehensive scheme (planning, design and prioritisation) through participatory method;
- Execution of infrastructure improvements;
- Institutionalising of post construction O&M management arrangements to ensure sustainable services to the urban poor;
- Financing O&M of infrastructure
- Monitoring services and infrastructure maintenance

1.3 Community Development Societies

Community Development Societies (CDSs) formed under the SJSRY have been recommended as a construction agency for slum infrastructure. CDS are representative organisation of BPL families who are expected to develop and maintain linkages with slum communities. Further, CDSs can also be engaged in taking up O&M of slum infrastructure.

1.4 Community Organisation

Slum Communities are the primary project stakeholders. A representative organisation should be formed in each slum, which will act as an interface between the ULB and the community. These organisations will be called “*Bustee Works Management Committee (BWMC)*”. ULBs should then engage these organisations in planning, supervision and maintenance work.

1.5 Slum Infrastructure Guidelines

In order to steer the implementation of KUSP, the Change Management Unit (CMU) had prepared slum infrastructure guidelines, which were revised at the beginning of Year-3. This document presents the **fourth revision of the CMU guidelines**.

These guidelines are meant to be used by ULBs, MED, CMU, CDS and BWMC to oversee the implementation and operation & maintenance of slum infrastructure improvements.

These have been developed based on lessons learnt from a review of slum infrastructure improvements carried out in Year-1, 2 & 3. Based on this, slum infrastructure upgradation should be undertaken in phased manner as presented below:

Phase 1: Preparatory activities like selection of Slum, Formation of Project Facilitation Team (PFT) and Bustee Works Management Committee (BWMC).

Phase 2: Community Mobilisation

Phase 3: Planning

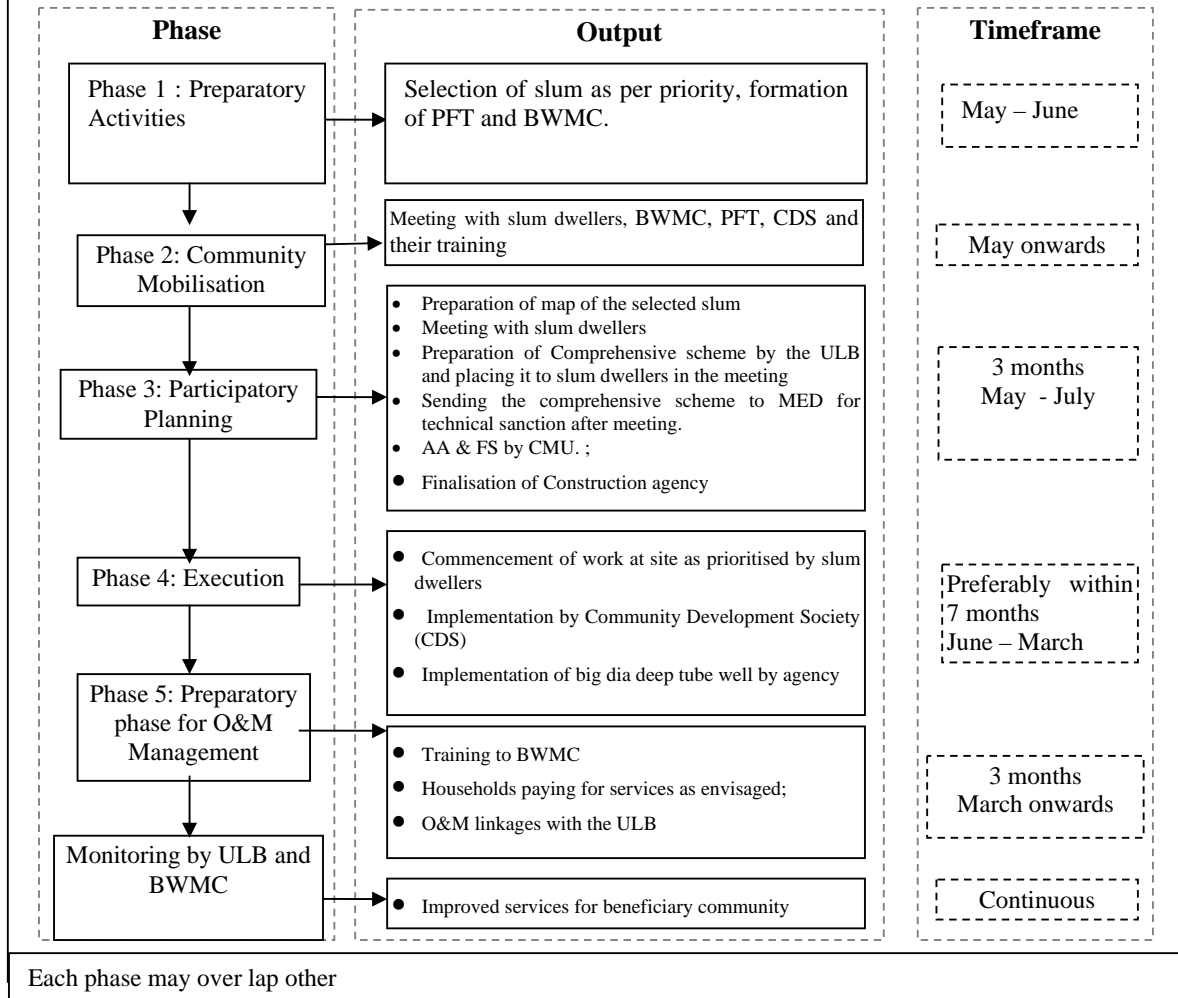
Phase 4: Execution; and

Phase 5: O&M Management

Detailed activities under each Phase have been outlined in these guidelines. Each ULB shall form Project Facilitation Team (PFT) and Bustee Works Management Committee (BWMC) to undertake slum infrastructure implementation, its operation and maintenance.

These guidelines will be revised from time to time by CMU during the lifetime of KUSP, depending upon project or programme needs.¹

FIG (1): PROCESS FLOW DIAGRAM: IMPLEMENTATION OF SLUM LEVEL INFRASTRUCTURE WORK



2. PHASE -1 : PREPARATORY ACTIVITIES

2.1 Step – 1 : Selection of slums

The CMU, with the help of ULBs, has completed Quick Slum Survey (QSS) covering socio-economic and infrastructure deficiencies in all slums. All slum-based households were interviewed by the ULBs. Household responses were rated and later averaged at the slum level to rank each slum. Thus, based on socio-economic and infrastructure deficiency, slums have been ranked and categorised ranging from high to low deficiency into categories A, B, C, D and E. The slum rankings have been communicated to the ULBs by CMU. The selection of slum to be taken up by the ULBs is to be done as follows. At first, category – A slums are to be taken up. If all the slums in category - A are exhausted, category - B slums will be taken up. Similarly after completion of all slums in category - B, category - C slums will be taken up and so on.

If there are no category – A slums in the ULB, work for category –B slums will be taken up. If there no category –A and Category-B slums, Category - C slums should be taken up first and so on. Priority of slum in a particular category will be decided by the ULBs. For Example if there are three slums in category – A, the ULB will decide which one among the three slums will be taken up first.

Priority for utilisation of fund allotted in 2007 – 2008 :

1st priority – To utilise the fund in completion of balance schemes for which AA & FS had been issued for the year 2006-07.

2nd priority – If ULB finds that for want of fund / time / and or any other reason, the schemes which they had prepared for work during 2006-07 is not comprehensive, they shall prepare those schemes as comprehensive one and submit it to MED for getting AA & FS.

3rd priority – If fund is available after completion of 1st & 2nd priority, the same will be utilised for implementation of new schemes as per guideline.

It may be noted that in slums situated on service land (land belonging to Central / State Government, Municipality, Factory etc.), if there is a possibility that the land will be reclaimed and put to other use by the land owner, no permanent assets can be created on that land. However, the ULB may arrange basic infrastructure like water and sanitation on land just outside service land for the benefit of slum dwellers. The ULB may ensure that before taking up any scheme of slum in next higher category say category ‘B’, for the slum located in service land, which belongs to lower category i.e. category ‘A’, arrangement for basic infrastructure like water and sanitation has been provided by them on land just out side the service land for the benefit of dwellers of slum located on service land.

Principle of allotment of fund for slum level infrastructure work is furnished in Table – I (**Annexure – 1**)

The tentative allotment for the year 2007-08 in favour of the ULBs is enclosed (**Annexure – 2**). The firm allotment for 2007 – 08 will be communicated in April 2007. Meanwhile the ULBs will go ahead with their preparatory and planning works based on the tentative

allotment.

Based on the tentative allotment, the ULB will select the slums as per the above principles, in which they will take up slum level infrastructure work in 2007-08.

Components of Slum Infrastructure Improvements and norms are furnished in **Annexure – 3**

Time Frame

1 month (April – May)

2.2 Step - 2 : Formation of Project Facilitation Team (PFT)

After receiving allotment from CMU, the ULBs can initiate formation of Project Facilitation Team (PFT). The PFT shall comprise of the following personnel from the ULB:

1. Mayor / Chairman of ULB
2. MIC / CIC (slum) of ULB
3. Councillor of the Ward where the slum to be taken up falls.
4. Municipal Engineer
5. Urban Planner
6. Town Project officer
7. Consultant (Poverty and Livelihood)
8. Community Organiser

CDSs and BWMC shall provide support to the PFT in community mobilisation and awareness campaigns.

Time Frame

1 month (April – May)

2.3 Step – 3 : Formation of Bustee Works Management Committee (BWMC)

The following steps should be taken for formation of Bustee Works Management Committee (BWMC)

- a. The PFT with CDS members and RCVs of the ULB will arrange a meeting (1st) with all slum dwellers of the selected slum.
- b. At this meeting the need for formation of BWMC for looking after Planning, Implementation and Operation & Maintenance Plan for Slum Level Infrastructure Work will be explained to the slum dwellers.
- c. The stock of work done and assets created under slum level infrastructure works of that particular slum will be listed at this meeting.
- d. At this meeting the ULB will brief the slum dwellers about the constitution, role and function of the BWMC and its relationship with the CDS, RCV and ULB.
- e. A similar next meeting (2nd) will be held at which the BWMC will be elected as per constitution through informal election. If one meeting is not sufficient, more such meetings may be arranged.
- f. Minutes of each meeting with signature of the participants should be maintained.

2.3.1 Constitution, role and function of the Bustee Works Management Committee (BWMC)

- i) The BWMC will consist of minimum 5 members, all of whom will be residents of that particular slum.
- ii) In addition, one RCV from that slum will be member.
- iii) The BWMC can co-opt permanent invitee members from CDS, Honorary Health Worker (HHW) and Ward Committee.
- iv) There will be at least two female members in the BWMC.
- v) The members of the BWMC may be from BPL / APL or both.
- vi) At least one member will belong to a Neighbourhood Group (NHG) from that slum.
- vii) The BWMC will be elected through an informal (by raising hands) process of election.
- viii) There should be good publicity to ensure wide attendance.
- ix) At least 40% of slum dwellers should be present in the meeting during election of BWMC.
- x) The BWMC will be an independent body. The ULB will be responsible for overseeing the work of BWMC.
- xi) The BWMC will take active parts in different functions like :
 - a) Planning of schemes
 - b) Support in implementation of schemes
 - c) Awareness generation
 - d) Operation & Maintenance of the Assets
- xii) The BWMC will hold office for a period of two years, after which a new committee should be elected. If any member resigns or moves out of the slums or is incapable of functioning for any reason, another member will be elected in his / her place within one month.
- xiii) Each BWMC will open and operate a separate bank account in a Nationalised Bank. This bank account will function as the O&M fund for that slum.
- xiv) The BWMC will be authorized by the ULB to raise funds for O&M as is elaborated under item no. 13 (page – 24).
- xv) The ULB will make matching contribution against the fund raised by the BWMC through user charges to encourage the process.
- xvi) The BWMC will report to the slum dwellers in a meeting held once in six months on revenue, expenditure and maintenance issues. This meeting will be attended by Local Councillor, ULB Engineer, Community Organizer, Town Project Officer, Consultant (Poverty and Livelihood) and CDS member. A minute of this meeting should be drawn with signature of the participants.
- xvii) There should be an agreed upon O&M Plan between the ULB, CDS and BWMC for the assets created in that particular slum under KUSP as listed in 1st meeting. This O & M Plan should be finalised before completion of the infrastructure works.
- xviii) They will need interim hand holding which will be extended by the ULB by

providing their technical person and accounts person for technical and accounts support. Otherwise the ULB can take help of local NGOs / CSOs for providing support to BWMC.

- xix) Chairman, Secretary and Cashier will be selected within the BWMC. Bank account will be operated by any two of them jointly.
- xx) Useful to define the relationship between the CDS, RCV and the BWMC for the reasons mentioned at para 1.4 above

Timeframe

1month (May)

2.3.2. Relationship between the CDS, RCV, BWMC and ULB

The BWMC, one of the members of which is the RCV from the selected slum, will work in close coordination with the CDS. In case of any dispute between the BWMC and the CDS, the matter will be taken up with the ULB for resolution.

Responsibilities

BWMC	:	1) Planning the work
		2) Assisting CDS in implementation
		3) Taking charge of Operation and Maintenance of assets created
CDS	:	1) Implementing the work
		2) Assisting BWMC in O & M
RCV	:	1) Liaisoning between slum dwellers, BWMC, CDS and ULB
ULB (UPE Cell, Engineering Works Deptt. Cell)	:	1) Preparation of scheme as per guidelines
		2) Overseeing the entire work
		3) Formation of BWMC
		4) Awarding contract to CDS
		5) Preparation of O & M Plan with BWMC & CDS
		6) Regular monitoring and supervision
		7) Capacity Building of CDS and BWMC
		8) Dispute resolution
		9) Liaisoning with MED, CMU

3. PHASE - 2 : COMMUNITY MOBILISATION

Community Mobilisation is central to the success of any participatory project. Further, the quality of mobilisation and empowerment is critical to the sustainability of the interventions.

KUSP envisages that communities participate at each stage of work. Women and vulnerable sections (poor and tenants) should be utilised in decision making at all stages of project. KUSP envisages that the communities also participate in O&M management and services. If communities can be mobilised and utilised from the very initial stage i.e. planning stage in decision making and can be engaged in implementation, a sense of ownership can be created among the communities. This is very much necessary for success of any project.

3.1 Activities

- Rapport building with the community should be undertaken by PFT through frequent visits to the settlement and dialogue with the residents;
- Implementation of Hygiene Education: A series of awareness campaigns on the importance of hygiene; linkages between hygiene and sanitation and health; solid waste / drainage / road clearance campaigns through *Shramadaan* (Voluntary labour); use of street plays to spread awareness.
- Identification of resources: A comprehensive survey of skilled and unskilled manpower resources (masons, labourers engaged in construction activity), who could take part in construction;
- Small equipment support: Provision of small equipment used in cleaning drains, clearance of accumulated solid waste; provision of stop cocks for taps where they are missing;
- Improvement in services: During the mobilisation phase, ULBs shall make an effort to improve services such as solid waste collection and drain cleaning, either through existing conservancy staff or by introducing door-to-door collection. Another area of improvements should be water supply.
- Securing commitment of community on :
 - a) Stoppage of open defecation --- there shall be no open defecation by people of the slums
 - b) Stoppage of throwing garbage --- no one will throw garbage in the open space/ drains / canals but garbage will be kept at designated place or collected from house and taken to dumping ground.
 - c) Cleanliness of slum --- every one will work towards maintaining cleanliness in the slum.
 - d) Other commitments the community may feel like making for e.g. total literacy.
- Awareness about Health hazards that crop up from open defecation, unhygienic condition of surrounding like congested drain, open space, unsafe drinking water, mosquito breeding due to stagnant water etc.
- Encouragement of voluntary contribution in slums work. For example if the labour is contributed voluntarily, the savings on account of labour component can be used for other works like street lighting etc.
- Formation of BWMC

ULBs need not restrict themselves to this set of interventions. They can take up additional activities, depending upon the local situation. Keeping the community's interest alive is a tough task and hence continuous dialogue and contact is crucial. The activities outlined under this phase shall be continued over subsequent phases.

Implementation of these activities will require a series of discussions and meetings with the community.

Timeframe

May onwards

4. PHASE - 3 : PARTICIPATORY PLANNING

4.1 Preparation of Slum Map by Plane Table Survey

Plane table survey of the selected slums showing all shelters and existing infrastructure

As soon as the slum is selected, a Plane Table survey (scale 1:500) of the selected slum may be prepared by the ULB showing all shelters, existing infrastructures, and levels in all strategic points required to design drainage. ULBs may prepare it departmentally / through MED / through other private agencies calling for competitive tenders. The cost may be charged to contingency (restricted to 3%) which is provided in the sanctioned schemes.

Time Frame

1-2 months (May – June)

4.2 Participatory Planning

Planning through participatory method

Participatory planning of slum level infrastructure improvements is the next crucial phase in which community participation in the selection of appropriate infrastructure options is very important.

The preparation of the schemes for the slum level infrastructure work will be made in active consultation with the slum dwellers of the selected slum by arranging meetings where members of BWMC, CDS and PFT will remain present.

In one or more meetings, the map prepared by Plane Table survey will be placed and explained to the slum dwellers and their opinion about future work on the following fields will be sought.

- a) Water supply – location, no. of beneficiary, street tap / house connections.
- b) Sanitation – location of Two Pit Pour Flush latrine / Community latrine, name and no. of beneficiaries, contribution of cost by the beneficiaries.

- Design of Toilets is to be decided.
- c) Drainage – location, position and level of outfall
- d) Roads – Brick Paved / Bituminous
- e) Solid Waste Management – Door to Door collection and its disposal to dumping / Composting grounds or secondary collection point, contribution of cost by the beneficiaries.
- f) Community Centre – It should be mentioned how the community centre is to be used and cost recovery through commercial hiring may also be discussed. Design of community centre may also be discussed.

The opinion of the slum dwellers about their demands, priority, contribution, design and mode of use will be recorded. Various options of different designs of Two Pit Pour Flush latrine, Community latrine, Community Centre, Stand post etc. will be discussed in this meeting and appropriate design should be finalised. The slum dwellers should opine in this meeting if they can make some savings in the scheme by contributing voluntary labour and in such case, the savings on account of labour can be utilised in other works like street lighting etc. Minutes of the meetings will be drawn and the same will be sent to MED with the schemes as annexure.

Time Frame

1-3 months (May – July)

4.3 Preparation of Comprehensive Scheme for the slum

Municipal Engineers to prepare comprehensive scheme for infrastructure development in the selected slums as per guidelines based on out come

- i) A draft comprehensive scheme, which will be prepared by the Municipal Engineers as per Slum Level Infrastructure Guideline 2007-08 and as per the opinion of the slum dwellers received and will be placed to the slum dwellers in a meeting where members of BWMC, CDS and PFT will also remain present. The draft scheme will be explained in details by the Municipal Engineers to the slum dwellers. If the slum dwellers suggest any addition or alteration, the same will be recorded in minutes of the meeting.
- ii) If there is no suggestion from the slum dwellers about any addition / alteration in the draft scheme prepared by the Municipal Engineer, the draft scheme will be considered as final scheme. Prioritisation of work and mode of implementation of work will be finalised by the slum dwellers. Minutes of the meeting(s) will be drawn and the same will be annexed with the scheme to MED for approval. **The format placed in (Annexure – 4) on Operation and Maintenance Plan of Slum Level Infrastructure Work to be implemented under KUSP during 2007-08, duly filled in, must be Annexed with the final scheme and submitted to MED.**

Time Frame

1-3 months (May – July)

4.4. Finalisation of the scheme, if there is any suggestion from slum dwellers for modification

Final Meeting with the slum dwellers of selected slums explaining the final scheme prepared by Municipal Engineers incorporating

- i) If the slum dwellers suggest any addition or alteration in the draft scheme prepared by the Municipal Engineers, the draft scheme will be modified as far as practicable and a final scheme will be prepared incorporating the suggestions of the slum dwellers..
- ii) The final scheme will be placed, explained and passed in a meeting with the slum dwellers where members of BWMC, CDS and PFT will remain present. Minutes of this meeting will be drawn and annexed with the schemes, which will be submitted to MED for approval. **The format placed in (Annexure – 4) on Operation and Maintenance Plan of Slum Level Infrastructure Work to be implemented under KUSP during 2007-08, duly filled, in must be Annexed with the final scheme and submitted to MED.**

Time Frame

1-3 months (May – July)

4.5 Submission of scheme for technical approval

ULB will send the final scheme to MED for technical approval with intimation to CMU

ULB will send the scheme along with all documents of beneficiary participation as mentioned in item 2, 3 & 4 to Municipal Engineering Directorate (MED) with an intimation to CMU with an Abstract Report in the prescribed format (**Annexure-5**) for Technical Approval. MED will visit the sites and examine carefully technical viability and proposed cost estimates before forwarding the same to CMU with technical approval. While sending the schemes to CMU, MED will check if all the prescribed Annexures have been submitted by the ULBs with the schemes. If any scheme submitted by the ULB is found not to contain all the Annexures, the schemes should be sent back to the ULBs by MED for resubmission.

Time Frame

2 months (June – July)

4.6 Administrative Approval and Financial Sanction

On receipt of technically approved schemes from MED, CMU will issue AA & FS for the scheme

CMU on receipt of technically approved schemes should make note of the contents of the Abstract Report (shown in **Annexure-5**) in the database for future monitoring both in engineering and account sector. Administrative Approval and Financial Sanction (AA & FS) will be given by Project Director, CMU on the basis of clearance from Engineering Expert and Financial Adviser of CMU. Copy of AA & FS will be sent to CE, MED and DLB for their record and taking necessary action. It has also to be noted that CMU may not issue AA & FS, if Operation and Maintenance Plan for slums works done in first two years have not been prepared.

Time Frame

10 days (June – July)

5. PHASE - 4: EXECUTION

5.1 Contract with Community Development Society (CDS)

ULBs will enter into a contract with CDS for execution of the scheme after getting AA & FS from CMU

This is a phase of translating the plan into reality. The PFT and construction agency shall ensure appropriate sequencing of activities so that there are minimal problems and timely execution of quality works according to specifications. Frequent meetings shall be held with the BWMC and Slum dwellers to solicit their involvement in short term planning and ensuring good coordination during construction period. The activities under this phase will typically begin after receiving a communication from CMU on Administrative Approval and Financial Sanction of the comprehensive scheme.

All works of Slum Level Infrastructure except the works of big diameter tube wells will be executed through a contract between ULB & CDS as per guideline.

A contract agreement between ULB and CDS at a rate 15% higher than estimated cost put to tender should be executed. However, for items purchased directly by ULB / CDS, e.g. pipelines the 15% above criteria will not be applicable. Mobilisation advance may be given to CDS, which will be deducted from their running account bill. No earnest money is required to be deposited with the Tender Agreement. However Security deposit @ 10% should be deducted from each running bill of the CDS. This security deposit will be refunded after the guarantee period is over. Other deduction as per statute like IT and others, if applicable, shall also be deducted from the running bills of CDS.

In case of execution of agreement with agency other than CDS, action will be taken as per Municipal Accounts and Finance Rules of GoWB.

(The BWMC will collect 10% of the cost of construction from each beneficiary family for whom individual toilets are being constructed. If the contribution is not deposited, then the construction work will not be taken up, even if it has been sanctioned.

Similarly the BWMC will collect 5% of the cost of community latrine from the beneficiary families for whom the community latrines are constructed. If the contribution is not deposited, then the construction work will not be taken up, even if it has been sanctioned.)

Time Frame

Preferably within 7 months (June – March)

5.2 Construction and Supervision

Construction and Supervision

The PFT together with the BWMC and CDS shall develop a detailed infrastructure execution plan outlining a sequence of activities. Emphasis shall be placed on first completing under ground work such as waterline, sewer-line, drainage etc. on before taking up construction of roads to enable systemic work execution and minimum disturbance to community activities and life.

Labour for the work: Skilled / Unskilled labour if available in the selected slum will be engaged as far as possible. The BWMC may prepare a list of available unskilled / skilled labour in the slum prior to commencement of the work.

Construction supervision: The joint responsibility for construction supervision and ensuring quality shall lie with beneficiaries, Municipal engineers, BWMC and the CDS. Works will also be inspected by Quality Assurance Agencies (QAA) engaged by DFID to assure quality of work. MED engineers will also supervise the work.

Commissioning and testing: Infrastructure such as the water supply network, sewerage network, tube-wells and toilets shall be appropriately tested at the time of commissioning. For example, water from new tube-wells shall be tested for quality, arsenic content before allowing their use for consumption; water supply networks shall be tested for leakages; ground water will be tested on a preliminary basis in the area where community toilets are being constructed, in order to understand possible subsequent deterioration in quality; and so on as per good practice.

As-built drawings: After completion of infrastructure works, Municipal engineers shall prepare detailed as-built drawings. A minimum of five sets shall be made of these as-built drawings. One set of as-built drawings shall be provided to the BWMC for future reference and use; Municipal engineers shall maintain another set with them, while third set shall be submitted to MED and DLB.

Updating Asset Registers: One set of as-built drawings, shall be handed over to maintenance section of the ULB for updating their asset registers.

Developing settlement level asset registers: PFT shall open new registers for each settlement and provide details of municipal infrastructure available in the settlement (existing and new additions under KUSP). The register shall be maintained by the BWMC and updated as and when new assets are added or modified.

Time Frame

Preferably within 7 months (June – March)

5.3 Training and Capacity Building

CDS will implement the works with help of Bustee Works Management Committee (BWMC) of the slum and PFT

Necessary skill up-gradation of the CDS functionaries and BWMC members will be arranged by ILGUS / CMU through training, which will cover guidelines for planning, implementation & post work management, basic field engineering, contract and accounts. Contents of training materials may be seen in **Annexure-6**. CDS may also appoint technical and accounts personnel (part time or full time). CDS during execution of the works will keep close contact with BWMC and utilize local human resource in execution and supervision as far as possible.

Time Frame

Preferably within 7 months (June – March)

6. PHASE – 5 : PREPARATORY PHASE FOR O&M MANAGEMENT

6.1. O&M Plan

6.1 On completion of the scheme ULBs will enter into an agreement with BWMC and CDS for post work management as

GUIDELINE FOR FORMULATION AND IMPLEMENTATION OF “ OPERATION AND MAINTENANCE PLAN FOR SLUM LEVEL INFRASTRUCTURE WORK” IMPLEMENTED UNDER KUSP

1. The assets created in slums from KUSP fund are required to be properly used and

maintained.

2. For this purpose each ULB may formulate and implement a fully resourced 'Operation and Maintenance Plan' for each slum where infrastructure works have been undertaken from KUSP funds. This guideline will be in operation with effect from April, 2007 or from date as is finalised.
3. The Bustee Works Management Committee (BWMC) will look after 'Operation and Maintenance Plan' for each slum.
4. The works that have been implemented from KUSP fund are :
 - **Water Supply –**
 - a. Piped water supply with stand posts
 - b. Small dia deep tube well
 - c. Big dia deep tube well
 - **Sanitation –**
 - a) Two Pit pour flush latrine
 - b) Community latrine
 - **Drainage –**
 - **Road –**
 - a) Bituminous
 - b) Brick paved
 - **Solid Waste Management**
 - **Community Centre**
5. **Maintenance for water supply can be divided into two parts viz.**

First Part :

a. Daily cleaning

b. Petty repair

i) Daily cleaning and Petty repair : (5a & 5b)

Petty repair involves mainly replacement of street stand posts, repairing of hand pump and platform. It is to be ascertained by the ULB / Bustee Works Management Committee (BWMC) how much money is roughly required per month for meeting the cost of this petty repair and daily cleaning. The cost of petty repair works and daily cleaning { Item no 5a, 5b, 6b (i & ii), 7(i), 9(i) and 10(i)} is to be met from collection of fund from the Beneficiaries.

The Bustee Works Management Committee (BWMC) will supervise this “Daily cleaning and petty repair work”.

Second Part :

c. Major repair

d. Periodical testing of water

ii) Major repair and Periodical testing of water : (5c & 5d)

The major repair works, which will mainly take place in case of deep tube-wells and piped water supply, are mainly rejoining of dejointed pipes, replacement of cracked pipes, replacement of pump, motor etc. It is desirable that these major repair works be implemented by the ULBs from their fund by engaging CDS / contractors or ULB staff. Periodical testing of water is to be conducted by ULBs and the methodology and frequency of such testing may be discussed and decided in consultation with CDS and the BWMC. The members of BWMC may be given training for testing of water by using simple water testing kits. The test report should be displayed in the Notice Board of the ULB.

6. Maintenance (Sanitation)

a. **Two Pit pour flush latrine :**

This is to be maintained by the Beneficiaries for whom this has been constructed from their own fund. It is noticed that in some places these latrines are not being properly used and maintained. In some places the children are not using this latrine. The ULBs should arrange for creation of awareness amongst people by engaging members of

Community Development Society (CDS) and Bustee Works Management Committee (BWMC) through regular campaigning for its proper maintenance and use.

b. Community latrine :

Daily cleaning and petty repair work :

- i. It requires daily cleaning (once, twice or more) by engaging a sweeper on contract.
- ii. Replacement of Bib cock and other petty repairing work

It is to be ascertained by the ULB / BWMC as to how much money is required per month for carrying out the work of item (i & ii). The cost of item (i & ii) is to be met from ULB fund / Beneficiary Contribution / or a combination of both in every month. This decision may be taken. The BWMC is required to collect the contribution from Beneficiaries every month and supervise the work. Lessons will be taken from CLHI as and when the same are available.

Major repair and maintenance work :

- iii. Periodical maintenance of latrine structure by way of plastering, colour washing, door, window, floor repairing, replacement of broken (W.C.) pan, cleaning of septic tank etc.
Major repair and maintenance work should be implemented by the ULBs from their fund by engaging CDS / contractor or ULB staff.

7. Maintenance (Drainage)

- i) Petty repair, operation and maintenance :

It requires cleaning at least once or twice in a week and occasional petty repair.

It is to be decided by the ULBs as to whether they can get the work (item i above) done by their existing staff. If yes, the staff executing this work should report to the BWMC who will supervise their work. The BWMC will maintain the attendance of the staff attending the work and report on weekly basis to the ULB regarding their attendance and performance. If no, this work should be executed by the BWMC, for which the BWMC will first decide how much money will be required in every month for getting this work done. Once the amount is ascertained, the ULBs may decide whether this expenditure may be fully met from the contribution of the Beneficiaries only or proportionately shared by ULB and Beneficiaries. The BWMC will collect the contribution from Beneficiaries. It is to be decided how the contribution be collected. The BWMC will supervise the work.

- ii) Major maintenance and repairing work like plastering, reconstruction of damaged

portion and other works may be needed from time to time. Major maintenance and repairing work should be executed by the ULBs from their fund by engaging CDS / contractor or ULB staff.

8. Maintenance (Road)

- i) Maintenance of Brick paved road :
Sweeping, petty repair and maintenance will be implemented by the BWMC for which they will collect contribution from Beneficiaries.
- ii) Maintenance of Bituminous Road :
Road will be maintained from ULB fund. It is desirable that the municipal conservancy staff, who is responsible for sweeping the road, should report to the ULB / BWMC of the area who will supervise their work. The BWMC will have the responsibility of reporting to the ULB in the event that this work is not being implemented properly.
All other major works (repairing and maintenance) will be executed by ULBs from their fund.

9. Maintenance of Solid waste management (only applicable for places where it exists)

- i) Daily door to door collection and depositing it in near by container / trailer
It is to be ascertained if ULBs can do the work with their existing staff. If yes, the staff engaged for this work will report to the BWMC who will supervise their work. The BWMC will maintain the attendance of the staff attending the work and report on weekly basis to the ULB regarding their attendance and performance. If no, the work should be executed by the BWMC for which ULB / BWMC will first assess how much money will be required every month if the work is executed by an agency / group of persons engaged on contract basis. Once the amount is ensured, the ULB may decide whether this expenditure be fully met from the contribution of the Beneficiaries only or proportionately shared by ULB and Beneficiaries. The BWMC will collect the contribution from Beneficiaries every month. BWMC will supervise the work. It is recommended that SHGs may be entrusted with this task of willing.
- ii) Transporting from container / trailer to dumping / composting ground
The ULBs will execute the work from their fund.

10. Maintenance (Community Centre)

- i) Keeping key of the room, daily sweeping and cleaning of the room and toilet.
It is desirable that responsibility of keeping the key of the room and its daily sweeping and cleaning {item (i) above} should be with the BWMC. For this purpose the BWMC will assess how much money will be required for getting the work done in every month and how they will get this work carried out. It is proposed that for meeting the day to day maintenance cost, the BWMC can hire out the community centre for different purposes for e.g.
 - a. Carrying out exhibition of different products like readymade garments, dress materials, small scale industry products etc.
 - b. Social parties
 - c. Meeting of out side agencies for commercial purposes
If fund collected in this manner is not sufficient, the maintenance cost may be met from fund of ULB / Beneficiary contribution / or both of them and decision may be taken on this.
- ii) Major repair and maintenance work.
This will be done by ULB from their fund.

11. Duties of Bustee Works Management Committee (BWMC)

- 1. They will maintain a register showing the existing services / structures under their control :
 - i. Water supply –
 - a. What is the length of water line
 - b. What is the diameter and material of water line
 - c. How many stand posts are there
 - d. How many small dia-deep tube wells are there and their status (functioning / defunct)
 - e. How many big dia deep tube wells are there and their status (functioning / defunct)

They will maintain a register for keeping stock of materials which are often required for day to day maintenance work like bib cock, short pipe for stand posts etc.
 - ii. Sanitation, Drainage, Solid waste management, Community Centre
 - a) They will maintain a register showing number of existing Two Pit pour flush latrines, community latrines and community centres under their control with their status. They will also maintain a register of consumable goods like Muratic acid, brush, broom, towel, soap etc. which will be required for maintenance purpose.

2. They will maintain an attendance Register for the persons attending duties. They should also maintain a register of income (collection) and expenditure.
3. The Bustee Works Management Committee (BWMC) will be responsible for awareness generation amongst the slum dwellers for upkeep and maintenance of the assets created.

12. Function of ULB for operation and maintenance work through BWMC :

- i) Formation of Bustee Works Management Committee (BWMC) through a process of election.
- ii) One cashier to be elected among the BWMC for keeping accounts
- iii) O&M Plan as per format to be discussed with all slum dwellers and agreed and a Tripartite Agreement signed by ULB, CDS and Bustee Works Management Committee
- iv) ULB to pass the O&M Plan by Board of Council and earmark funds as required
- v) ULB to allot work to one engineer and one accounts person to supervise, implement of O&M Plan and keep in regular touch with the BWMC to ascertain and solve minor problems. Local councilor may also be asked to supervise along with the engineer and liaise with the BWMC.
- vi) Necessary corrective action from time to time may be taken by ULB

13. Funding pattern for Operation and Maintenance work by BWMC – collection of Fund from Beneficiaries :

- i) One time collection @ 10 % of the cost of Two-pit latrine from each Beneficiary family before creation of the asset.
- ii) One time collection @ 5% of the cost of community latrine from the Beneficiary families for whom the community latrine will be constructed before creation of the asset.
- ii) One time collection of fund from Beneficiaries will help in creating a corpus fund which can be utilized in operation and maintenance of assets.
- iii) Attempt should be taken for monthly contribution from Beneficiary families for maintenance of Brick paved road, drain, street stand post, small diameter tube-well etc.

14. Arrangement for training to the members of the BWMC for petty repair, operation and maintenance work should be made by the ULB.

A format for Operation and Maintenance Plan of Slum Level Infrastructure Work

by the BWMC is given (Annexure –4) which is to be filled up and agreed between the ULB, CDS and BWMC.

Time Frame

3 months (March onwards)

6.2 Training and support to BWMC

Training and support to BWMC

ULB will arrange training of BWMC for Operation and Maintenance of assets. Handholding is to be extended by ULB to BWMC by providing technical persons and accounts persons for guidance to BWMC. Help of local Community Support Organisations / Non-Governmental Organisations for providing support may also be taken.

Time Frame

March onwards

6.3 Awareness campaign and collection of funds from households

Awareness Campaign and collection of funds from households for proper use and maintenance of assets created.

Awareness Campaign will take place by BWMC / ULB as per guideline of Operation and Maintenance Plan for Slum Level Infrastructure Work implemented under KUSP. **(PHASE – 5, item –1)**. Collection from Households for individual / community toilets is to be made before the work commences and deposited into Bank Account of BWMC. Other collections is to be made as decided by BWMC.

Time Frame

March onwards

Check List for submission of the schemes

1. While submitting the schemes to MED, the enclosures as per Check list – A (Ref : Annexure – 8) shall be submitted. The Annexure – 8 shall also be duly filled – in.

2. For getting AA & FS from CMU, the enclosures as per Check list – B (Ref : Annexure – 9) shall be submitted. The Annexure – 9 shall also be duly filled – in.

Annexure

Annexure – 3

COMPONENTS OF SLUM INFRASTRUCTURE IMPROVEMENTS AND NORMS

The Project Memorandum states that “the principle of rehabilitating existing infrastructure assets before implementing new works will be followed”. Preference shall, therefore, be given for rehabilitating existing infrastructure assets to implementation of new works.

Components of Slum Infrastructure Improvements

Various components that could be taken up under slum level infrastructure improvements include:

1. Water Supply

Works that can be taken up under the water supply component include:

- Replacement of old water supply pipes to improve the network efficiency;
- Extension of water distribution network in new areas;
- Laying new water distribution network;
- Provision of house connections;
- Provision of street stand-posts;
- Installation of small diameter deep hand tube-wells;
- Installation of big diameter deep tube-wells

While planning improvements in water supply, the PFT and BWMC shall consider following:

- Promote household connections as much as possible. These provide the highest level of service and improve municipal revenues;
- One street stand-post shall be shared by 20 households;
- One hand tube-well shall be shared by 30 households – these shall be provided in areas that do not have piped water supply.
- Deep tube-wells (big diameter) shall be considered only in case of scarcity of water in selected as well as few adjoining slums. This is suggested in order to optimise the expenditure. It is necessary to obtain a certificate on need from the MED for the provision of such tube-wells.
- Piped water supply to new areas shall be considered only if source is available within 700 meter distance;
- Minimum diameter of water distribution pipe shall be 100 mm;
- Material for water supply pipes could be – Cast Iron (CI) / Ductile Iron (DI) / High Density Poly Ethylene (HDPE)

2. Sanitation

Works that can be taken up under the sanitation component include:

- Construction of individual household latrines with two Pit Pour Flush latrine or connected to sewers; a few options for two Pit Pour Flush latrine is enclosed. Beneficiaries can select the option according to their suitability.
- Construction of individual latrines connected to common septic tank through local area sewer network;
- Construction of community toilets connected to septic tank or sewers
- Laying of sewer pipes

While planning improvements in Sanitation, PFT and BWMC shall consider following:

- Provide sewerage facilities in areas where existing network is available within 500 meters and slope and ground condition permit;
- Sewers shall be designed as small-bore shallow sewers as described in the Government of India *Manual on Sewerage and Sewage Treatment*. The minimum diameter of sewers for small-bore sewers can be 100 mm. However it is desirable to use sewer pipes of minimum 150 mm diameter.
- In case the number of users per individual latrine are less than 15 – construct Two Pit Pour Flush latrines;
- In case the number of users per individual latrine are more than 15 – construct latrines with septic tank based disposal system
- While planning community latrines, the following shall be considered:
 - a. Separate entrance for men and women’s sections;
 - b. Provision for children;
 - c. Provision for elderly and disabled with barrier free design;
 - d. Provision of caretaker’s room to enable proper maintenance;
 - e. O & M arrangements will be made as per guideline prepared by CMU and approved by DFID (**Ref : PHASE – 5 of Guideline**).
 - f. It may be explored if the roof of the community latrine can be used for commercial purpose. Community latrine and community hall may also be combined.

The ULBs may consider for making lighting arrangement from their own funds / other sources / beneficiary contributions.

3. Roads

Works that can be taken up under the roads component include:

- Brick pavements with sand filled joints;
- Construction of bituminous roads;

While planning improvements in roads, the PFT and BWMC shall consider the following:

- Bituminous pavements shall be considered only on roads where a 10 tonne capacity roller can enter;
- Brick pavements shall be provided with sand filled joints;
- Planning of roads and drainage shall be done simultaneously as these two

- components are linked;
- Execution of roads and drainage work will be undertaken only after other planned underground or excavation works are completed.

4. Drainage

Works that can be taken up under the drainage component include:

- Renovation of existing drains;
- Construction of new drains;
- Construction of link drains;

While planning improvements in drains, the PFT and BWMC shall consider following:

- Municipal Engineer shall take levels along the longitudinal section of the drain and use same in designing drainage network and determine the outfall points and ensure that there is no local flooding that is induced by the drainage.

5. Solid Waste Management

Works to be taken up under solid waste management (SWM) will be guided by overall SWM policy adopted by a particular ULB. The SWM options adopted, in any given slum shall fit into this overall framework. The SWM in slums taken up should be changed to door to door collection preferably segregated

- **Door-to-door collection:** A sweeper is engaged to collect waste from every household. The sweeper can also be given responsibility for cleaning streets and drains. Solid waste can be segregated at household into organic compostible waste (e.g., leftover eatables such as rice, vegetables, bread; fruit / vegetable peelings and so on) and non-compostible waste (e.g., earth, glass, metal, and so on). Some of the non-compostible waste can be recycled. The sweeper transports collected waste to a transfer point for onward disposal at designated dumping site. Indicative slum level management arrangements are listed below:
 - a. Managed by ULB by engaging a sweeper;
 - b. Managed by ULB through a contractor (professional contractor / CDS / BWMC / SHG);
 - c. Managed by BWMC by engaging a sweeper who is paid a monthly service charge by all users;
- **Community Bins:** Community bins (covered) are placed at locations determined by local community. Households dispose off garbage in these bins and a sweeper is engaged to transfer the waste to the nearest transfer point. The sweeper can also be given responsibility for cleaning streets and drains. Under this option, segregation at household level is generally not attempted. Here again, any of the three management arrangements listed above for door-to-door collection can be implemented. However, Community Bin system should be a temporary system and “ door to door” collection should be introduced with in 6 months.

Depending upon the choice of management arrangement (presented above), the PFT and BWMC can propose the procurement of following equipment / infrastructure under KUSP:

- Cycle van;
- Hand cart;
- Solid waste bin (covered);
- Safety gear such as gloves, gumboots;
- Cleaning equipment such as spade, basket, etc.;

6. Community Centre

Community centres can be used by communities for various activities – meetings, organising training programmes, running libraries. Communities can also lend these for marriage or other social functions and use the funds to maintain the centre.

While planning a community centre, PFT and BWMC can consider providing amenities such as water supply, electricity, toilets.

General Precautions

Few additional precautions that need to be considered while planning, designing and implementing infrastructure improvements under KUSP are listed below:

- Execution of individual / community toilets shall not begin until community / individuals have deposited their contribution as per O & M guideline.
- Land cannot be purchased using Slum Level Infrastructure Funds (SLIF);
- No work outside selected slum can be implemented from SLIF;
- SLIF funds can not be spent on Operation and Maintenance of existing infrastructure;
- Interventions proposed under the comprehensive slum improvement scheme shall be prioritised in such a manner that overall expenditure does not exceed the allocation. The cost of balance work of the comprehensive scheme will be met from the next year's allocation
- Final expenditure shall not exceed the scheme amount for which TS, AA and FS has been accorded;
- All works shall be executed as per standard drawings or designs technically designed by the MED;
- All works excepted big dia-deep tube well shall be executed through CDS Sub-contracting is not allowed;
- Testing of water quality, including arsenic test, is obligatory, before it can be supplied to user;
- All estimates shall be prepared basing upon prevailing Schedule of Rates (SoR) of PWD or PHED or KMDA;
- A Specimen showing Principle for preparation of Scheme Estimate is enclosed (Annexure – 7)
- A separate comprehensive slum improvement scheme shall be prepared for each

slum;

- Third party quality check has been introduced for slum level infrastructure work; DFID has engaged Third Party Quality Assurance Agency (QAA) for the purpose. Each months reports on the quality of the work inspected by the QAA shall be submitted to CMU within first week of next month. If no adverse report is received by CMU within first week of the month, it will be assessed that the work executed during the preceding month has been done satisfactorily. In case of adverse report, by the QAA, payment for the work shall have to be stopped or deducted (if already made). Corrective steps shall have to be taken on an urgent basis if communication is received from QAA.

Slum infrastructure works cannot be taken up in service land (i.e. land which belongs to the Government, railway, roads, drains, sewers canal, bridge etc.) which may be required now or in future for operation, maintenance and / or extension of services (e.g. railway, canal, bridge, drainage etc.). However, ULB may provide basic services like water, sanitation, solid waste disposal facility etc. just outside the service land for the benefit of the slum dwellers.

Operation and Maintenance Plan of Proposed Slum Level Infrastructure Work under KUSP during 2007-08

Name of ULB :

Annexure -4

Name of Slum :

Category of slum as per Q. S. S.

Sl. No.	Item	* Who will be responsible for (2)	* Recurrence of Operation	Total	Likely cost per month	* How the cost will be met	* Who will collect the beneficiary contribution & maintain accounts	* Supervision will be done by	Name of Responsible Persons	Details of the activity	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
(A)	Sanitation										
1	Campaign for generation of awareness amongst users	Bustee Works Management Committee (BWMC) / ULB	Once in a week / fortnight / month	--	Rs.	From ULB fund / Beneficiary Contribution/ both of them (Specify share of each)	BWMC	ULB / BWMC			
2. a.	Maintenance of Community Latrine (cleaning and petty repair work)	ULB conservancy staff / person engaged on contract by ULB under control of BWMC	Once / twice in a day (Nos.)	Rs.	From ULB fund / Beneficiary Contribution / both of them (Specify share of each)	BWMC	ULB / BWMC			
b.	Maintenance of Community Latrine (major repair)	ULB / CDS	As and when required (Nos.)	Rs.	From ULB fund	---	ULB / CDS			

** Please put ✓ mark against the system the ULB would like to follow*

Sl. No.	Item	* Who will be responsible for (2)	* Recurrence of Operation	Total	Likely cost per month	* How the cost will be met	* Who will collect the beneficiary contribution & maintain accounts	* Supervision will be done by	Name of responsible person	Details of the activity	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
3.	Maintenance of Individual Two Pit pour flush latrine	The user	--- (Nos.)	---	By the user	---	BWMC			
(B)	Drain and Sewer line										
1	Maintenance of Drain (Petty repair and maintenance)	ULB conservancy staff / person engaged on contract by ULB / BWMC	At least once / twice in a week (Mtr.)	Rs.	From ULB fund / Beneficiary Contribution/ both of them (Specify share of each)	BWMC	ULB / BWMC			
2	Maintenance of Drain (Major repair)	ULB / CDS	As and when required (Mtr.)	Rs.	From ULB fund	---	ULB / CDS			
3	Maintenance of Sewer line	ULB conservancy staff	As and when required (Mtr.)	Rs.	From ULB fund	---	ULB / CDS			
(C)	Water Supply										
1	Maintenance of Small dia deep tube well (petty repair and daily cleaning)	ULB / person engaged on contract by ULB / BWMC	As and when required (Nos.)	Rs.	From ULB fund / Beneficiary Contribution / both of them (Specify share of each)	BWMC	ULB / BWMC			

** Please put \checkmark mark against the system the ULB would like to follow*

Sl. No.	Item	* Who will be responsible for (2)	* Recurrence of Operation	Total	Likely cost per month	* How the cost will be met	* Who will collect the beneficiary contribution & maintain accounts	* Supervision will be done by	Name of responsible person	Details of the activity	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
2.	Maintenance of Small dia deep tube well (major repair)	ULB / CDS	As and when required (Nos.)	Rs.	From ULB fund	---	ULB / CDS			
3.	Maintenance of Big dia tube well	ULB	As and when required (Nos.)	Rs.	From ULB fund	_____	ULB / CDS			
4.	Maintenance of Water line (major repair)	ULB	As and when required (Mtr.)	Rs.	From ULB fund	_____	ULB /CDS			
5.	Maintenance of Street stand post and daily cleaning of platform (Petty repair)	ULB / BWMC	As and when required (Nos.)	Rs.	From ULB fund / Beneficiary Contribution / both of them (Specify share of each)	BWMC	BWMC			

** Please put \surd mark against the system the ULB would like to follow*

Sl. No.	Item	* Who will be responsible for (2)	* Recurrence of Operation	Total	Likely cost per month	* How the cost will be met	* Who will collect the beneficiary contribution & maintain accounts	* Supervision will be done by	Name of responsible person	Details of the activity	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
(D)	Solid Waste Management										
1.	Maintenance of Solid Waste Management (door to door collection) in places where it exists	ULB conservancy staff / person engaged on contract by ULB / BWMC	Daily (No. of Houses Covered)	Rs.	From ULB fund / Beneficiary Contribution / both of them (Specify share of each)	BWMC	BWMC			
2.	Transport from container / trailer to dumping / composting ground in places where it exists	ULB / CDS	Daily / twice in a week (No. of Houses Covered)	Rs.	From ULB fund	_____	ULB / CDS			
(E)	Road										
1.	Maintenance of Bituminous Road	ULB / CDS	As and when required (Mtr.)	Rs.	From ULB fund	_____	ULB / CDS			
2.	Maintenance of Brick paved Road	ULB / BWMC	As and when required (Mtr.)	Rs.	From ULB fund / Beneficiary Contribution / both of them (Specify share of each)	BWMC	BWMC			

** Please put ✓ mark against the system the ULB would like to follow*

Sl. No.	Item	* Who will be responsible for (2)	* Recurrence of Operation	Total	Likely cost per month	* How the cost will be met	* Who will collect the beneficiary contribution & maintain accounts	* Supervision will be done by	Name of responsible person	Details of the activity	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
(F)	Community Centre										
1.	Maintenance of Community Centre (petty repair & daily cleaning)	By person engaged on contract by ULB under control of BWMC for daily maintenance	Regular (No.)	Rs.	From ULB fund / Beneficiary Contribution / both of them (Specify share of each)	BWMC	BWMC			
2.	Maintenance of Community Centre (major repair)	By ULB / CDS	As and when required (No.)	Rs.	From ULB Fund	---	ULB / CDS			
	Total Cost per month									

Name of BWMC Members :

- 1) 2) 3)
- 4) 5) 6)

Name of Bank and Account No. of BWMC :

Name of Office bearers of BWMC : Cashier – Shri / Smt.
Chairman – Shri / Smt.
Secretary – Shri / Smt.

** Please put √ mark against the system the ULB would like to follow*

We agree to implement the above plan as per responsibilities allocated.

Representative of BWMC

Representative of CDS

Representative of ULB

ABSTRACT REPORT (TO BE FURNISHED WITH EACH ESTIMATE)

Approval of Schemes of Slum Level Infrastructure under KUSP for Year Four : (2007 -08)

Annexure-5

Name of ULB : Corporation / Municipality

Total Allocation for Slum Level Infrastructure for the ULB : Rs. lakh

Total No. of CDS in the ULB : Nos.

1.	Name of Slum selected by Quick Slum Survey			
2.	Category of Slum			
3.	CDS No.			
4.	Ward No.			
5.	NHC No.			
6.	Area of Slum (approx.) in Sq. Km.			
7.	Population in Slum (approx.)			
8.	No. of BPL families in slum			
9.	No. of SC / ST families in the slum	SC No.	ST No.	OBC No.
10.	Slum Boundary	North		
		South		
		East		
		West		
11.	Name of BWMC Members :			
12.	Name of Bank and Account No. of BWMC :			
13.	Name of Office bearers of BWMC :	Chairman - Shri / Smt. Secretary - Shri / Smt. Cashier - Shri / Smt.		

Sl. No.	Item	Existing status		Proposals in the Scheme		Estimated Cost	Remarks		
14.	Water Supply	1.1.Street Taps	with stopcock Nos	Repairing & replacement of old pipelines mtr.				
			without stopcock nos					
		Hand Tube Wells	 nos	Extension of Pipe Line mtr				
		House Connections	 nos	Street stand Posts nos.				
		Average flow per min per tap	 ltrs	Hand Tube Well nos.				
		Supply hours	 hrs	Deep Tube Well no.				
					Name of slums covered by the deep tube well				Population
				
.....								
			<u>TOTAL</u>						
Present Supply rate	 lpcd				Expected augmented rate of supply lpcd			

Sl. No	Item	Existing status		Proposals in the Scheme		Estimated Cost	Remarks
					<i>Sub Total</i>		
15.	Sanitation	Latrine seats connected to septic tank within household	nos	Latrine seats connected to septic tank within household		
		Latrine seats connected to two pit pour flush latrine within house holds	nos	Latrine seats connected to two pit pour flush latrine within house holds		
		No. of community latrine Seats in community latrine	nosnos	No. of community latrine		
		Average No. of users per seats = $\frac{\text{Population}}{\text{Total No. of seats}}$ Norm : One seat to be provided upto 15 users				Expected average No. of users per seat after completion of the scheme	
					<i>Sub Total</i>		
16.	Drainage	Total Length of Pucca Drain	Goodmtr	Renovation of existing Pucca Drains		
			Badmtr			
			Very Badmtr			
		Total Length of 1.1.1.1.Kutchra Drain	mtr	Construction of Pucca Drains		
Length of Sewer	mtr	Length of Sewer dia mtr dia mtr dia mtr				
					<i>Sub Total</i>		

Sl. No	Item	Existing status		Proposals in the Scheme	Estimated Cost	Remarks
17.	Solid Waste Management	No. of days garbage collected per week from the slum days	<i>Applicable only for</i> door to door Collection System in the slum		
				1.2.1 For existing schemes (if further required) Procurement of equipments including cycle vans		
				Procurement of Personal safety gears		
				1.2.2 For new schemes Procurement of equipments including cycle vans		
				Procurement of Personal safety gears		
		Procurement of Community Bins				
		Existence of Door to door collection system	Y/N			
				<i>Sub Total</i>		

Sl. No	Item	Existing status			Proposals in the Scheme	Estimated Cost	Remarks
18.	Internal roads & pathways	Total Length of Paved Road	Good	mtr	Renovation of existing Pucca Roads mtr.		
			Bad	mtr			
			Very Bad	mtr			
		Total Length of Kutcha road	mtr	Construction of new roads mtr			
	1.3.			<i>Sub Total</i>			
19.	Community Center within slum	Whether existing		Y/N	Repairing / New Construction of Community Center in the slum		
	1.4.			<i>Sub Total</i>			
20.	Name the schedules followed for preparation of estimate	--	--	--	Names of Schedule	--	--

This is to certify that :

- i) no land cost has been included in the schemes.
- ii) no scheme has been proposed in any service land i.e. Land belonging to Govt./Railway by the side of Rly. Track/Roads/Drains/Sewers/Canal/Bridge etc. which may be required now or in future for operation, maintenance and or extension of services like railway, canal, bridge, drainage etc.
- iii) in the meeting held on with the Mayor/ Chairman, CDS, local Councillor, MIC/CIC in charge of slum development, Municipal Engineers, Town Project Officer, Consultant (Poverty & Livelihood), RCVs and slum dwellers, Bustee Works Management Committee (BWMC) was formed. The minutes of the meeting is enclosed.
- iv) the comprehensive scheme has been prepared as per guideline of CMU
- v) in the meeting held onwith the Mayor/Chairman and others as noted in sl. (iii), the comprehensive scheme was presented to the beneficiaries and their reaction against each component was documented, schemed passed and prioritisation was finalized. The minutes of the meeting is enclosed.
- vi) the local body undertakes to operate and maintain the assets created under this programme as per O & M guideline accepted by them. The formal attached with O & M guideline, duly filled in is enclosed.

- Enclosures :**
- 1. *Detailed estimates*
 - 2. *Minutes of the meeting for item (iii)*
 - 3. *Minutes of the meeting for item (v)*
 - 4. *Filled-in format for O & M guideline (Ref. Annexure - 4)*

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Engineer of ULB

.....
Mayor / Chairperson

Annexure –6

POINTS OF TRAINING MODULES FOR GRASSROOT LEVEL WORKERS, BWMC & PFT

1. Training Modules for Grass Root Level Workers and BWMC	
Water Supply	<ul style="list-style-type: none"> • Different Sources • Different pipe materials used • Jointing of pipes • Jointing material • Chart showing requirement of lead in jointing of pipes • Appurtenances used in water supply • Mode of laying of pipelines • Hydraulic testing of pipelines • Disinfections of pipelines • Mode of sinking of tube well • Ferrule connection
Two Pit Pour Flush Latrine	<ul style="list-style-type: none"> • Guideline • Fitting, Fixing of Trap and Pan • Mode of construction of flooring • Mode of fixing of distribution box • Construction of Leach Pit
Sewerage	<ul style="list-style-type: none"> • How to lay sewer line • Precaution for laying of sewer line • Testing of sewer line • Testing of manhole
Road/Pavement	<ul style="list-style-type: none"> • Construction method • Materials and tools required
Solid Waste Management	<ul style="list-style-type: none"> • Types of solid waste • Segregation at source • Collection from source and transportation • Composting and its use
2. Project Facilitation Team (PFT) and BWMC	
Concept and importance of community participation	
Participatory infrastructure planning	
Mobilising communities for collective action	
Elements of participation and mobilisation	
Community capacity building	
Linkages between water supply / sanitation and health	
Role of Project Facilitation Team	

Trainings for all stakeholders at all levels should have a strong component on the health hazards of present practices. And inputs on how community monitoring for behavioural changes can be ensured.

Annexure – 7

Principle for preparation of Scheme Estimate :

Step – 1 : To prepare estimate as per bill of quantities			
Sl. No.	Items	Rate	Amount (Rs.)
1.	-----	-----	-----
2.	-----	-----	-----
3.	-----	-----	-----
4.	and so on	-----	-----
Total			“A”

Step - 2

To add for work contingency @ 3% on “A”	“B”
Total = (A + B)	

Step - 3

To add @ 15% for CDS on (A + B)	“C”
---------------------------------------	-----

Step - 4

To add for difference of cost of materials	“D”
Total value of the scheme = (A + B + C + D)	

