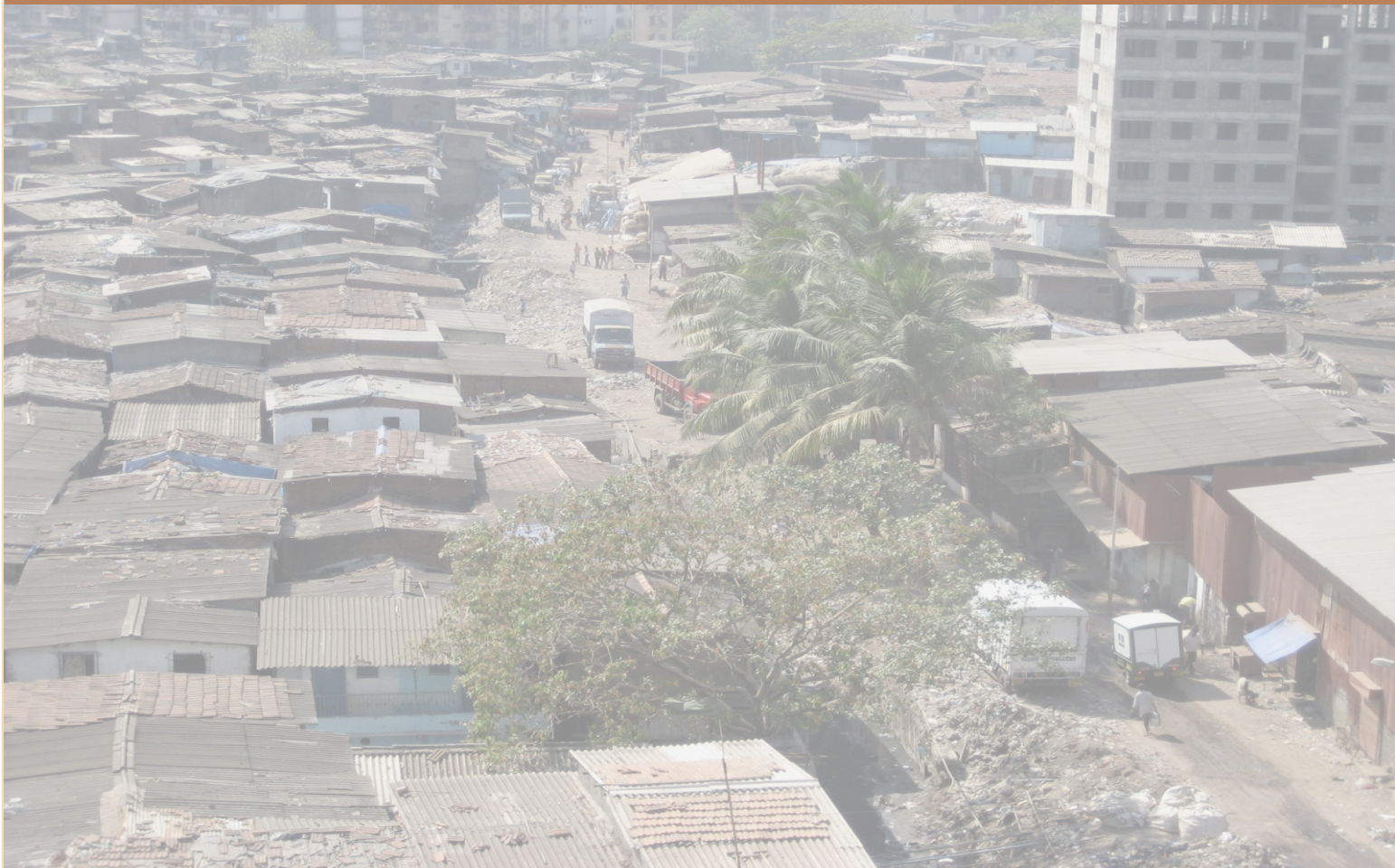




सत्यमेव जयते

Formats & Guidelines for Survey and Preparation of Slum, Household and Livelihood Profiles of Cities/Towns



**GOVERNMENT OF INDIA
MINISTRY OF HOUSING AND URBAN POVERTY ALLEVIATION
NATIONAL BUILDINGS ORGANISATION**

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Slum Profile, Household Profile and Livelihood Profile
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Slum, Poverty and Livelihood Profiles

1. Introduction

1.1 The National Buildings Organization (NBO) has been functioning as an apex organization in the country for collection, tabulation and dissemination of statistical information on housing and building construction activities. Having regard to the changing requirements under various socio-economic and statistical functions connected with housing, construction, slum development, urban poverty alleviation and related activities, and also to ensure that the schemes of the Ministry of Housing & Urban Poverty Alleviation (MoHUPA) are supported with appropriate database, MIS and knowledge inputs, the National Buildings Organization was restructured in March 2006.

1.2 The restructuring has assumed special significance in the context of the Jawaharlal Nehru National Urban Renewal Mission (JNNURM), launched on 3rd December 2005. JNNURM is the single largest initiative ever launched in the country to address the issues of urban infrastructure and basic services to the urban poor. The Mission will be implemented over a period of 7 years (2005-2012). The Government of India has committed Additional Central Assistance to States to the tune of Rs.50,000 Crore. The National Buildings Organisation is designated by MoHUPA as the nodal agency for coordination of appraisal, sanction, monitoring and review of projects under Basic Services to the Urban Poor (BSUP) and Integrated Housing & Slum Development Programme (IHSDP) components of JNNURM.

1.3 In view of the restructured role of NBO and the launching of JNNURM, it has been decided that NBO will coordinate the conduct of various types of socio-economic surveys required for the effective implementation of JNNURM and other urban poverty alleviation programmes and preparation of statistical profiles on aspects relating to urban poverty, slums, housing, construction, projects taken up under JNNURM etc. at State and National levels.

2. Imperatives of JNNURM

2.1 JNNURM comprises two broad segments, namely (i) the Sub-Mission on Urban Infrastructure and Governance and (ii) the Sub-Mission on Basic Services to the Urban Poor (BSUP) covering 63 identified mega, metro, capital and cities of heritage and historical importance. The other cities and towns in the country are covered under the Urban Infrastructure Development Scheme for Small and Medium Towns (UIDSSMT) and Integrated Housing and Slum Development Programme (IHSDP). The Ministry of Housing & Urban Poverty Alleviation (MoHUPA) is the nodal Ministry for BSUP and IHSDP which cater to housing and basic amenities for the urban poor, especially slum dwellers.



2.2 The Basic Services to the Urban Poor (BSUP) and Integrated Housing & Slum Development Programme (IHSDP) aim at the integrated provision of the following basic amenities and services to the urban poor and slum-dwellers:

- Security of tenure at affordable prices;
- Improved housing;
- Water supply;
- Sanitation;
- Education;
- Health; and
- Social security.

Education, health and social security are to be provided through convergence of existing universal services of the Government. Care should be taken to see that the urban poor are provided housing near their place of occupation. Securing effective linkages between asset creation and asset management is a must to ensure optimal outcomes from the use of JNNURM and other resources.

2.3 JNNURM aims at achieving the following outcomes at the end of the Mission period by the Urban Local Bodies:

- Modern and transparent budgeting, accounting, financial management systems, designed and adopted for all urban services and governance functions;
- City-wide framework for planning and governance will be established and become operational;
- All urban poor people will have access to a basic level of urban services;
- Financially self-sustaining agencies for urban governance and service delivery will be established, through reforms to major revenue instruments;
- Local services and governance will be conducted in a manner that is transparent and accountable to citizens;
- e-Governance applications will be introduced in core functions of ULBs resulting in reduced cost and time of service delivery processes.

2.4 Governance reforms are central to successful implementation of JNNURM. Linked to Government of India's support to States, they are based on an enabling strategy. JNNURM envisages a series of reforms at the State and Urban Local Body levels to address issues of urban governance with a view to providing basic amenities to the poor in a sustainable manner. BSUP and IHSDP contemplate the following three key reforms in areas of pro-poor governance:

- Earmarking at least 20-25% of developed land in all housing projects (both public and private Agencies) for EWS/LIG category with a system of cross-subsidization;

(2)



- Implementation of 7-Point Charter, i.e. provision of basic services to urban poor including security of tenure at affordable prices, improved housing, water supply, sanitation and ensuring delivery of already existing universal services of the Government for education, health and social security within the Mission period as per agreed timelines; and
- Internal earmarking within local body budgets for basic services to the urban poor, eventually leading to the establishment of Basic Services to the Urban Poor Fund; and

These reforms are to be undertaken in conjunction with other reforms aimed at creating an enabling framework for good urban governance for the sustainable development and effective management of cities and towns and eradication of urban poverty.

2.5 The essence of the above reforms are: (i) the urban poor should be enabled to have access to land and not squeezed out of land market in the face of sky-rocketing land prices; (ii) all basic services have to be provided to the urban poor based on agreed milestones and deliberately planned efforts to develop “inclusive” cities; and (iii) a dedicated budget/fund be created at the city/state level to ensure steady flow of resources for urban poverty alleviation and slum upgradation, including provision of land and housing to the poor.

2.6 JNNURM provides a new hope for the urban poor, including slum-dwellers and disadvantaged sections of the urban society. The 11th Five Year Plan has adopted inclusive growth as the new paradigm of development in the country for the next 5 years. The Plan recognizes that economic growth must include focus on employment, income generation and inclusion of the poor to be sustainable. In the context of achieving the goal of inclusive growth, reforms are emphasized at the State and Urban Local Body levels under JNNURM to plan and achieve a vision of “inclusive” cities. The Ministry of Housing & Urban Poverty Alleviation has already launched a national campaign for slum-free and poverty-free cities/towns under which every city/town would prepare and implement a time-bound action plan for the provision of basic minimum amenities and affordable housing to the urban poor.

2.7 JNNURM and programmes for urban poverty alleviation such as Swarna Jayanti Shahari Rozgar Yojana have to be implemented in convergence with other Government of India initiatives. The issues of quality healthcare, primary education, social security and the like will have to be addressed in conjunction with the provision of basic physical amenities in slums and low-income settlements by converging programmes to reduce urban poverty with the schemes of Health Mission, Sarva Siksha Abhiyan, Aam Aadmi Bima Yojana, Rashtriya Swasthya Bima Yojana, Prime Minister’s Employment Generation Programme etc. Hon’ble Prime Minister of India has addressed all the State Chief Ministers in the country to accord priority to improving the conditions of the poor in cities and towns. Hon’ble Minister for Housing & Urban Poverty Alleviation has also written to Chief Ministers of all States in the country to develop vision of Slum-free Cities and Towns, design and implement a time-bound action plan to provide all basic services to the urban poor in each city/town. The preparation of municipal level action plans will require a considerable amount of data.



3. Survey Objectives

3.1 The Ministry of Housing and Urban Poverty Alleviation (MoHUPA), along with its attached office, namely the National Buildings Organization, are engaged in design, implementation, monitoring and evaluation (DIME) of a variety of programmes and schemes pertaining to urban poverty alleviation. The advent of JNNURM has led to a realization that the data base for undertaking such a huge programme like JNNURM is grossly inadequate. JNNURM calls for the preparation of City Development Plans (CDPs) and meaningful development of CDPs requires a strong data base. In the absence of adequate and reliable data, the CDPs of cities and towns already prepared after the launching of JNNURM have not adequately addressed the concerns of the urban poor, especially slum-dwellers. The Ministry of Urban Development and the Ministry of Housing & Urban Poverty Alleviation are currently undertaking an exercise for the preparation of second-generation CDPs.

3.2 For the effective implementation of JNNURM and other programmes like Swarna Jayanti Shahari Rozgar Yojana (SJSRY), a large amount of data pertaining to the state of urban poverty and slums in various parts of the country needs to be collected. Given the enormity of the Mission and the magnitude of the issues posed by the multiple dimensions urban poverty in India, a need is perceived to systematize the data collected for effective design, implementation, monitoring and evaluation of schemes. The data is also proposed to strengthen the central statistical systems pertaining to urban poverty, slums and housing for a better understanding of the issues for dissemination at local, provincial, national and international levels.

3.3 The implementation of both projects and reforms under JNNURM calls for support to Central and State Governments and Urban Local Bodies by way of data base, MIS, action research and capacity building. There is a need for the development of a national information system and knowledge base with focus on urban poverty for the purpose of planning, policy-making, project formulation, implementation, monitoring and review, especially in the areas of slum development, provision of basic services to the poor, and affordable housing. This is in consonance with the objective of the 11th Five Year Plan which has adopted 'inclusive growth' as the key development paradigm for the country.

3.4 It is essential that for statistical, administrative and other reasons, the data relating to urban poverty, slums, livelihoods, delivery of civic amenities and housing to the poor are collected and collated at a single source. State Governments and Urban Local Bodies have been conducting their own surveys and maintaining data base. However, such data lacks broad uniformity across the country.

3.5 In this background, it has been decided to provide part financial support to the State Governments/ULBs for the development of Slums, Urban Poverty and Livelihoods Profiles including socio-economic surveys under the 1% JNNURM funds and Plan Scheme of Urban Statistics for HR & Assessments (USHA), being implemented by NBO.



4. Role and Responsibility of ULBs

4.1 The specific role and responsibility of the Urban Local Bodies (ULBs) will include, but not be limited to:

- a. Preparation of work plan, design and development of survey.
- b. Work plan must clearly indicate tangible deliverables from each of the tasks assigned along with the time frame.
- c. Seeking validation and approval of competent authority of the State Government/ SLNA.
- d. Quality assurance and testing of datasets created using approved formats, including sampling size, criteria, coverage and measure of representative nature of sample, logical strength of findings, exceptions etc.
- e. Maintenance of the data base on slum, poverty and livelihood profiles.
- f. Facilitate processes to ensure that the requirements of urban poor are adequately reflected with supporting database in the City Development Plans (CDPs) prepared by the city.
- g. Facilitate processes to ensure that the requirements of urban poor are adequately reflected with supporting database in the DPRs prepared by cities under JNNURM (BSUP & IHSDP).
- h. Management of funds received from Central and State Government for the purpose
- i. Submission of utilization certificates in the format as prescribed by the Ministry

4.2 The formats of the slum, poverty and livelihood profiles to be undertaken by the ULBs are annexed.

5. Financing Pattern & Eligibility Criteria

5.1 National Buildings Organisation, Ministry of Housing and Urban Poverty Alleviation will provide a one time grant-in-aid for the development of slums, urban poverty and livelihoods profiles including socio-economic surveys to the State Governments / Municipal Corporations, Municipalities and District Administration selected for Basic Services to Urban Poor (BSUP) and Integrated Housing & Slum Development Programme (IHSDP) in this First Round of National Survey. This one-time grant to State Governments / UT Administrations will be at the following scales:

- Rs.10 lakhs per city for cities with population more than 4 million,
- Rs. 7 lakhs per city with population between 1 and 4 million,
- Rs.5 lakhs per city for cities with population between 5 lakh and 1 million,



- Rs.3 lakhs per city for cities with population between 1 lakh and 5 lakhs and
- Rs.2 lakhs per city for cities with population less than 1 lakh

5.2 The costs will be fully met under Urban Statistics for HR & Assessments (USHA) scheme being implemented by NBO. Additional amounts, required if any, will have to be met by State Governments/Urban Local Bodies which have been undertaking surveys from time to time with their own funds – without any support from the Government of India so far. The present support under USHA is meant to incentivise the development of a national information system.

6. Selection of Cities

State Government will be supported for the development of slum, urban poverty and livelihoods profiles for all the 63 identified cities under JNNURM (BSUP) and other cities/towns covered under IHSDP as selected by the State Governments, in a phased manner. The selection will be made by the State Level Nodal Agency for JNNURM/ Department dealing with Municipalities. In case of States where the nodal agency is located outside the Municipal Administration/Local Governments, coordination is a must with the Department dealing with Urban Local Bodies.

7. Components Admissible

7.1 The support from Ministry for the ULBs/District Administration (in case of States which are implementing JNNURM projects with agencies other than Urban Local Bodies) would be limited to:

- Development of Slum Profile
- Development of Urban Poverty Profile
- Development of Livelihoods profiles (including socio-economic surveys).

7.2 The following items are **ineligible** for support from NBO under USHA:

- Capital expenditure on equipment like computers, photo copier, telephone etc.
- Construction / renovation of office space / office furniture
- Purchase of vehicles
- Regular salary.

The above items and other administrative costs will have to be borne by the State Government/Urban Local Body concerned.



8. General Instructions

8.1 The State Department in charge of Municipalities/ Urban Local Bodies or State Level Nodal Agency for JNNURM (BSUP/IHSDP) will coordinate the conduct of slum/ poverty/livelihood surveys in cities and towns. In case the SLNA is located in a Department other than that dealing with Urban Local Bodies, a coordination mechanism should be in place with the assignment of a central role to the Urban Local Bodies (ULB). Every City/ Town covered under the survey will designate a Nodal Cell (drawing personnel from Urban Community Development departments) for the purpose of survey with a team of supervisors headed by the Municipal Commissioner / Chief Executive of the City/Town. The resource persons engaged under the Project Implementation Unit (PIU) / UPA Cell in the ULB could be assigned the tasks of conducting training programmes / administering the surveys and providing technical support to the team. At the Central level, Director (NBO) will be the overall in charge officer for the conduct of the three surveys across the country. At the State level, the concerned Nodal Agency / Department will identify a senior officer who will be in charge of coordinating with Director (NBO) and guiding the conduct of surveys in the State, compiling survey information and sending the required details to the Government of India. The Municipal Commissioner / Chief Executive of the city will be responsible for the actual conduct of surveys at the city/town level.

8.2 The survey should be participatory duly involving community structures like NHGs, NHCs & CDS and reputed NGOs working in the area.

8.3 Each supervisor will head a team consisting of 5-10 investigators/ surveyors depending upon the population and area to be covered for the survey. The supervisor will be responsible for timely and accurate canvassing of schedules and will frequently visit the field for random inspections. It shall be the duty of the supervisor to scrutinize the information collected by the investigators and make the necessary corrections, if any. Once vetted/approved by the supervisor, the PIU / UPA cell/nodal cell in the municipal authority will compile the information recorded in the schedule.

Coverage:

- The schedule is to be canvassed for each urban block having slum(s).
- Information on each slum, (irrespective of whether notified or non-notified) found in the entire town/City will be collected. As per the state government / ULB identification the slum will be regarded as notified and non notified slum and the schedule will be canvassed accordingly.

Structure of the schedule

During the survey, the following schedules of enquiry will be canvassed:

Part A: General Information of Slum Area

Part B: Slum Profile of Urban Local Body



Part C: Particulars of Survey Operations

Annexure-I: Detailed Slum Survey

Annexure-II: Detailed Household Survey

Annexure-III: Detailed Livelihoods Survey

Part A

Part A of the schedule contains general information of the City/town covered under the survey. Part A of the schedule will be filled by the nodal cell in the municipal authority.

State code: Each state has been assigned a State specific code in the Census 2001, the same code has to be used in this survey.

District code: The District code will be the one used in the Census 2001 for the District where the city is located.

City/Town code: The City/Town code will be the one used in the Census 2001.

Part-B

Part B of the schedule contains the general information of slums located in the city/town/ULB. The information will be filled in by the nodal cell in Urban Local Body for conduct of the survey in the municipal area.

- A spatial/sketch map of the City/Town/ULB with location of every slum will be drawn indicating the location of the particular slum under survey.

Part- C

Part C of the schedule contains particulars of the survey operation.

Remarks by investigator: Any relevant remarks relating to the problems encountered in collecting the data will be recorded in this block by the investigator. If the investigator feels that certain information given by the informant is of doubtful nature, it may also be indicated with comments, if any. Any other comment, which may help to make proper assessment of the entries made in the schedule, may also be recorded here.

Comments by other supervisory officer: The views of the supervisory officer on any aspect pertaining to the characteristics under enquiry in this schedule relating to the household may be recorded in this block.



9. Instructions for Investigators/Surveyors

9.1 Instructions for canvassing Annexure-I: Slum Survey

Slum code: A 3-digit unique code for each slum will be generated by the Urban Local Body responsible for conducting the survey.

Information on each slum, notified or non-notified, located within the boundaries of the City/Town/ULB will be collected through Annexure-I. This schedule is meant for recording of some broad information about the particular slum.

The information is to be collected by interviewing one or more knowledgeable persons. Information for most of the items is to be recorded in code. If more than one code is applicable for any particular item, then the code which applies to the major part of the slum will be recorded. Information like Name, Area, Notified, Non-notified, Date of notification of the slum, Ownership or land where slum is located, Type of Area surrounding the Slum, Whether located in Core City/Town or Fringe area, Physical location of Slum, Whether the Slum has Electricity, Dwelling Units Structure (for Majority of Houses), Approach Road/Lane/Constructed Path to the Slum, Distance from the nearest Motorable Road, Internal Road, Major Source of Drinking Water, Latrine Facility used by most of the Residents, Type of Drainage system, Does the Slum have Underground Sewerage System, Garbage Disposal Arrangement, Frequency of Garbage Collection, Location of Pre-primary School, Location of Primary School, Existence of Adult Education Centre, No. of Adult Education Centres, Non-Formal/vocational Training Institutions, Existence of Health Facilities, Distance of Health Facilities, Availability of Facilities within the Slum and Self-help Groups/ Slum Dwellers Association in slum, etc. will be recorded using the codes given under each item. Since all the items are self explanatory, further instructions for each item are not required.

9.2 Instruction for canvassing Annexure-II: Household Poverty Survey

Listing of Households: After canvassing the Annexure-I, the next step is to list all the households (including those found to be temporarily locked after ascertaining the temporariness of locking of households through local enquiry).

Coverage: Information for every household located within the boundaries of the particular slum area under survey will be collected through Annexure-II.

Source of Information: The information is to be collected by interviewing the head of the household/one or more knowledgeable persons in the household. Information for most of the items are to be recorded in code. The codes are mentioned in the schedule, wherever applicable.

Head of the Household: The head of the household is a person who is recognized as such by the household. He/she is the person generally who bears the chief responsibility for managing the affairs of the household and need not necessarily be the principal earning member of household.



9.3 Instruction for canvassing Annexure-III: Livelihoods Survey

Coverage: Information for every member of the household under survey will be collected through Annexure-III.

Source of Information: The information is to be collected by interviewing the head of the household/one or more knowledgeable persons in the household. Information for most of the items are to be recorded in code. The codes are mentioned in the schedule, wherever applicable.

10. Tabulation Plan

The National Buildings Organisation will develop a suitable tabulation plan for entering the data collected, compiling and collating the same. NBO will develop an e-tool with the participation of select State Governments so that State-wise uniformity can be maintained and a national information system can be developed. Director (NBO)/Deputy Director (Data & MIS) in NBO will render assistance to states in the preparation and implementation of tabulation plans.



ANNEXURE

**Government of India
Ministry of Housing & Urban Poverty Alleviation
(National Buildings Organisation)**

.....

SCHEDULES FOR SLUM/SOCIO-ECONOMIC SURVEY IN CITIES & TOWNS

- Part A: General Information – City/Town**
- Part B: Slum Profile of City/Town**
- Part C: Particulars of Survey Operations**
- Annexure-I: Detailed Slum Survey**
- Annexure-II: Detailed Household Survey (General)**
- Annexure-III: Detailed Livelihoods Survey**

Nodal Agency at Gol Level: National Buildings Organisation

[Attention: Shri D. S. Negi, Director (NBO) & OSD (JNNURM, Room No.210, Nirman Bhavan, New Delhi -110108, Tel. No. 011- 23061692, Fax No. 011-23061542, Email: dpsnegi@yahoo.co.in]

(For all clarifications & submission of data please contact the above address)



PART-A

I. GENERAL INFORMATION – CITY/TOWN

1(a) State Code	<input type="text"/>	1(b) Name of State	<input type="text"/>
2(a) District Code	<input type="text"/>	2(b) Name of District	<input type="text"/>
3(a) City/Town Code	<input type="text"/>	3(b) Name of City/Town	<input type="text"/>
4(a) City/Town Popn. (2001 Census)	<input type="text"/>	4(b) City/Town No. of Households (2001 Census)	<input type="text"/>

PART-B

II. CITY/TOWN SLUM PROFILE

5. Summary of Basic Information on Slums - 2009

Notified Slums							
Sl. No.	Name of Slum	Ownership of Land where slum is located*	Area in Sq. Kms	Slum Population	No. of Slum Households	BPL Population	No. of BPL Households
Total	-	-					
Non-Notified Slums							
Sl. No.	Name of Slum	Ownership of Land where slum is located*	Area in Sq. Kms	Slum Population	No. of Slum Households	BPL Population	No. of BPL Households
Total	-	-					
Grand Total	-	-					

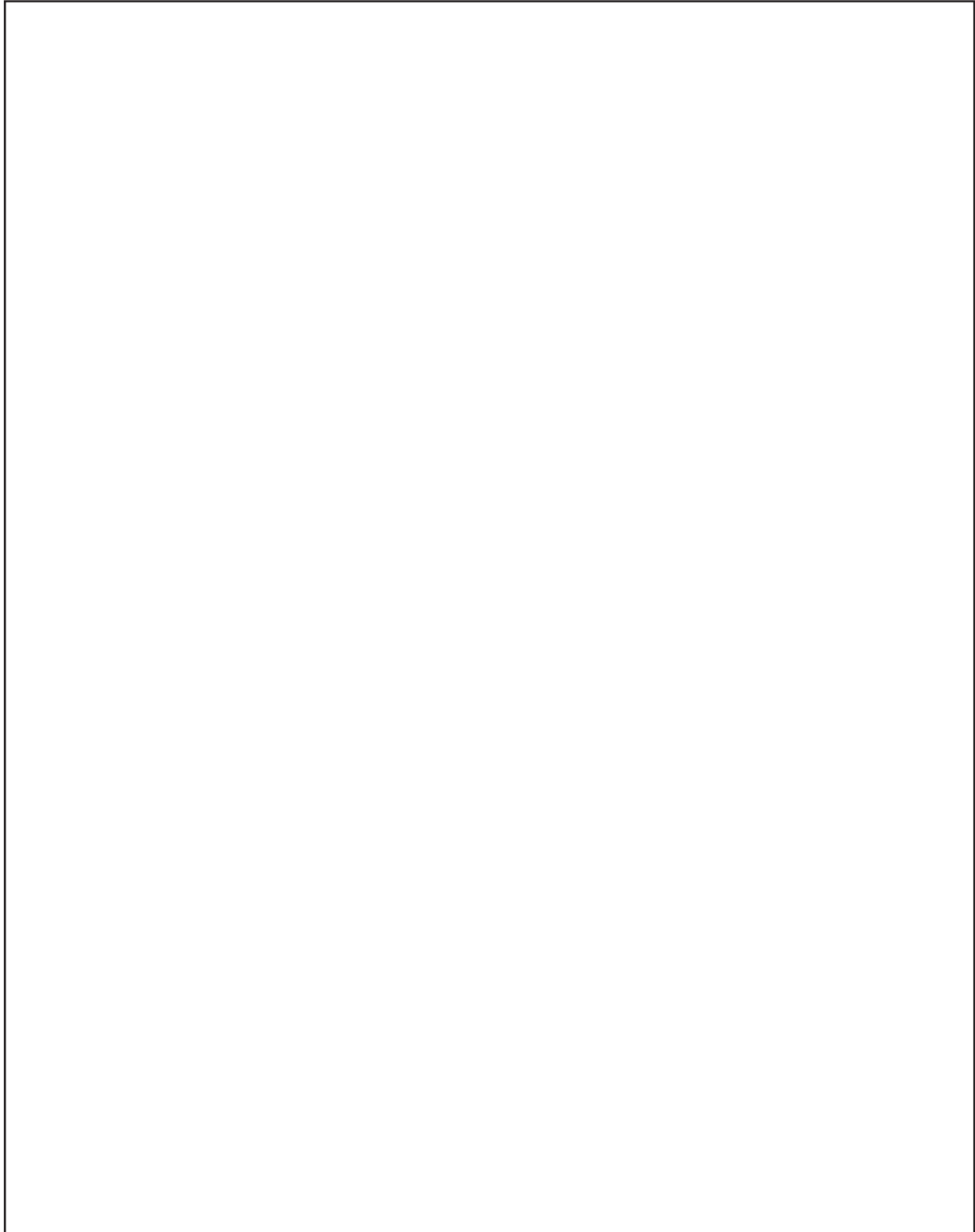
* Public: Local Body -01, State Government - 02, Central Government – 03;
Private – 04, Other - 05



6. Spatial/Sketch Map of the City/Town showing Location of Slums

City/Town Map showing Location of Slums

(Notified Slums shown in Green, Non-notified Slums shown in Red)





PART-C

III. PARTICULARS OF SURVEY OPERATIONS

Investigator/Surveyor

Supervisor

7. Name

8. Date(s) of

DD

MM

YY

DD

MM

YY

(a) Survey

(b) Receipt of Questionnaire

(c) Scrutiny

(d) Receipt by Nodal Cell in Urban Local Body

9. Signature

10. Remarks by Investigator/Surveyor:

11. Comments by the Supervisor



Annexure-I

Slum Survey/Profile

(Enclose Map of the Slum being surveyed)

I. BASIC INFORMATION ON SLUM

1. Name of Slum

1a. Slum Code

[A three digit unique code to be generated by the ULB]

2. Location – Ward No/Name

3. Age of Slum in Years

4. Area of Slum (Sq. metres)

5. Whether located in Core City/Town or Fringe area

Core City/Town - 01, Fringe Area -02

6. Type of Area surrounding Slum

Residential - 01, Industrial - 02, Commercial – 03, Institutional – 04, Other – 49

7. Physical Location of Slum

Along Nallah (Major Stormwater Drain) – 01, Along Other Drains - 02, Along Railway Line - 03, Along Major Transport Alignment – 04, Along River / Water Body Bank – 05, On River/ Water Body Bed – 06, Others (Hazardous or Objectionable) – 07, Others (Non-Hazardous/Non-objectionable) – 08]

8. Is the Slum Notified/Declared? Yes – 01, No-02

9. If Yes (01) in 8, state Year of Notification

II. LAND STATUS

10. Ownership of Land where Slum is located

Public: Local Body -01, State Government - 02, Railways - 03, Defense - 04, Airport - 05, Government of India other than Railways, Defense or Airport – 06; Private – 07, Others – 49, Not known – 99.

11. Please specify Ownership of Land
(To whom land belongs)



III. DEMOGRAPHIC PROFILE

12. Population & Health

	SCs	STs	OBCs	Others	Total	Minorities (out of total)
Total Population in Slum						
BPL Population in Slum						
No. of Households in Slum						
No. of BPL Households						
No. of Women-headed Households						
No of Persons older than 65 Years						
No of Child Labourers						
No. of Physically Challenged Persons						
No. of Mentally Challenged Persons						
No. of Persons with HIV-AIDs						
No. of Persons with Tuberculosis						
No. of Persons with Respiratory Diseases including Asthma						
No. of Persons with Other Chronic Diseases						

13. Literacy - Education

	SCs	STs	OBCs	Others	Total	Minorities (out of total)
Total No of literates Persons						
No. of Male literates						
No. of Female literates						
No. of BPL literates Persons						
No. of Male BPL literates						
No. of Female BPL literates						
School Dropouts – Male (No.)						
School Dropouts – Female (No.)						



IV. HOUSING STATUS

14. Dwelling Units Structure

	Pucca (No.)	Semi-Pucca (No)	Katcha (No.)	Total (No.)
Dwelling Units				
With Electricity				

15. Land Tenure Status

	With Patta	Possession Certificate/ - Occupancy Right	Encroached Private Land	Encroached-Public Land	On Rent	Other	Total
Dwelling Units Nos.							

V. ECONOMIC STATUS OF HOUSEHOLDS

16. Economic Status (Monthly income of HHs)

	Monthly Income					
	Less than Rs. 500	Rs.500- Rs.1000	Rs.1000- Rs.1500	Rs.1500- Rs 2000	Rs.2000- Rs.3000	More than Rs.3000
No. of Households						

VI. OCCUPATION STATUS OF HOUSEHOLDS

17. Occupational Status

	Self-employed	Salaried	Regular wage	Casual labour	Others
No. of Households					



VII. ACCESS TO PHYSICAL INFRASTRUCTURE

18a. Source of Drinking Water (No. of HHs covered)

Source →	Individual tap	Public tap	Tubewell/ Borewell/ Handpump	Open well	Tank/ pond	River/ Canal/ Lake/ Spring	Water Tanker	Others
No. of Households using								
Existing Situation	No. of individual taps	No. of public taps	No. of tubewell bore wells/ hand pumps	Duration of water supply (less than 1 hour-01 daily, 1-2 hrs daily-02, more than 2 hrs daily - 03, once a week - 04, twice a week – 05, not regular -06, no supply - 99)				

18b. Connectivity to City-wide Water Supply System

Is the slum connected to city-wide water supply trunk systems:
Fully connected 01, Partially connected 02, Not connected 03

19a. Drainage & Sewerage Facility

	Stormwater Drainage	Underground Drainage/Sewer Lines	Digester	Not Connected to Sewer or Digester
No. of HHs having access to				

19b. Connectivity to City-wide Storm-water Drainage System

Is the slum connected to city-wide storm-water drainage systems?
Fully connected 01, Partially connected 02, Not connected 03

19c. Connectivity to City-wide Sewerage System

Is the slum connected to city-wide trunk sewerage systems?
Fully connected 01, Partially connected 02, Not connected 03

19d. Whether the Slum is prone to flooding due to rains:

Not prone - 01, Upto 15 days – 02, 15-30 Days – 03, More than a Month - 04



20. Sanitation

Latrine Facility used by the households										
	Public/Community Latrine			Shared Latrine			Own Latrine			Open Defecation
	Septic tank/flush	Service latrine	Pit	Septic tank/flush	Service latrine	Pit	Septic tank/flush	Service latrine	Pit	
No. of H.Hs										

21. Solid Waste Management

21a. Frequency of Garbage Disposal

Daily – 01, Once in 2 days - 02, Once in a week - 03, Once in 15 days - 04, No collection - 99

21b. Arrangement for Garbage Disposal

Municipal staff – 01, Municipal Contractor – 02, Residents themselves – 03, Others – 04, No arrangement - 99

21c. Frequency of Clearance of Open Drains

Daily – 01, Once in 2 days - 02, Once in a week - 03, Once in 15 days - 04, No clearance – 99

22. Approach Road/Lane/Constructed Path to the Slum

Motorable pucca -01, Motorable katcha -02, Non-motorable pucca -03, Non-motorable kaccha-04

23. Distance from the nearest Motorable Road

Less than 0.5 kms -01, 0.5 to 1.0 km.-02, 1.0 km to 2.0 km. -03, 2.0 km to 5.0 km. – 04, more than 5.0 km-05

24. Internal Road

Motorable pucca-01, Motorable kutchi-02, Non-motorable pucca-03, Non-motorable katchi-04

25. Whether Street light facility is available in the Slum

(Yes- 01, No- 02)

VIII. Education Facilities

Please use the following codes for the information being collected in 26 to 30

Within the slum area - 01, Outside the slum area: with distance Less than 0.5 kms - 02, 0.5 to 1.0 km.- 03, 1.0 km to 2.0 km. - 04, 2.0 km to 5.0 km. -05, more than 5.0 km-06



26. Pre-primary School:

a. Anganwadi under ICDS

If 01, then number

b. Municipal pre-school

If 01, then number

c. Private pre-school

If 01, then number

27. Primary School:

a. Municipal

If 01, then number

b. State Government

If 01, then number

c. Private

If 01, then number

28. High School

a. Municipal

If 01, then number

b. State Government

If 01, then distance (code)

c. Private

If 01, then number

29. Adult Education Centre

If 01, then number

30. Non-formal Education Centre

If 01, then number



IX. Health Facilities

31. Existence of Health Facilities:

Within the slum area - 01,

Outside the slum area: with distance Less than 0.5 kms -02, 0.5 to 1.0 km.- 03, 1.0 km to 2.0 km. - 04, 2.0 km to 5.0 km. -05, more than 5.0 km-06

Urban Health Post

Primary Health Centre

Government Hospital

Maternity Centre

Private Clinic

Registered Medical Practitioner (RMP)

Ayurvedic Doctor/Vaidya

X. Social Development/Welfare

32. Availability of Facilities within Slum:

Specify Number: 0, 01, 02, 03

Community Hall

Livelihood/Production Centre

Vocational training/Training-cum-production Centre

Street Children Rehabilitation Centre

Night Shelter

Old Age Home

33a. Old Age Pension (No. of Holders)

33b. Widow Pension (No. of Holders)



33c. Disabled Pension (No. of Holders)

33d. General Insurance (No. covered)

33e. Health Insurance (No. covered)

34. Self Help Groups/DWCUA Groups in Slum

Specify Number: 0, 01, 02, 03

35. Thrift and Credit Societies in Slum

Specify Number: 0, 01, 02, 03

36a. Slum-dwellers Association [Yes- 01, No- 02]

36b. Youth Associations

Specify Number: 0, 01, 02, 03

36c. Women's Associations/ Mahila Samithis

Specify Number: 0, 01, 02, 03

**XI. Additional Infrastructure Requirement
(To be filled up by Municipal Engineer/Executive Officer)**

Item	Existing	Additional Requirement	Estimated Cost
Water Supply			
Pipelines (Rmts)			
Individual Taps (Nos.)			
Borewells (Nos.)			
Connectivity to Trunk Lines (Rmts)			
Drainage/Sewerage			
Stormwater Drainage (Rmts.)			
Connectivity to Main Drains (Rmts.)			
Sewer Lines (Rmts)			
Connectivity to Trunk Sewers (Rmts)			
Roads			
Internal Roads – CC (Rmts)			
Internal Roads – BT (Rmts.)			
Internal Roads – Others (Rmts)			
Approach Roads – CC (Rmts)			
Approach Roads – Others (Rmts)			
Street Lighting			
Street Light Poles (Nos.)			
Street Lights (Nos)			
Sanitation			
Individual Toilets (Nos)			
Community Toilets (Nos)			
Seats in Community Toilets (Nos.)			
Dumper Bins (Nos)			
Community Facilities			
Community Halls (No of Rooms)			
Livelihood / Production Centres (No of Rooms)			
Anganwadis /Pre-schools (No of Rooms)			
Primary Schools (No of Class Rooms)			
Health Centres (No. of Rooms)			
Others (Specify)			



Household Poverty Survey/Profile

I. GENERAL INFORMATION

1. Name of Slum
2. Location - Ward No/Name
3. House/Flat/Door No.

II. HOUSEHOLD LEVEL GENERAL INFORMATION

4. Name of head of the family
5. Father's name
6. Sex [Male: 01, Female: 02]
7. Caste
[General-01, SC-02, ST-03, OBC-04]
8. Religion
[Hindu-01, Muslim-02, Christian-03, Sikh-04, Jainism-05, Buddhism-06, Zoroastrianism-07, Others-49]
9. Minority status (in State/UT)
[Non-minority-01, Minority-02]
10. If female-headed household then status of female head
 - Married-01
 - Widowed-02
 - Abandoned/Single-03
 - Divorced-04
 - Unwed mother-05
 - Other-49
11. Number of family members

Male	<input type="text"/>
Female	<input type="text"/>
Total	<input type="text"/>



12. Number of illiterate adult members (Age more than 14 years)	Male	<input type="text"/>
	Female	<input type="text"/>
	Total	<input type="text"/>
13. Number of children in age-group 6-14 not attending school	Male	<input type="text"/>
	Female	<input type="text"/>
	Total	<input type="text"/>
14. Number of handicapped persons	Physically	<input type="text"/>
	Mentally	<input type="text"/>
	Total	<input type="text"/>
15. If, major earning member is female, whether		<input type="text"/>
<ul style="list-style-type: none"> ▪ Married-01 ▪ Widowed-02 ▪ Abandoned/Single-03 ▪ Divorced-04 ▪ Unwed mother-05 ▪ Other-49 		
16. Is your family below poverty line?		<input type="text"/>
<ul style="list-style-type: none"> ▪ Yes-01 ▪ No-02 ▪ Don't know-99 		

17. If 01 in 16, does the family possess BPL card?

III. HOUSEHOLD LEVEL DETAILED INFORMATION

18. Land tenure status
 [Patta-01, Possession Certificate/Occupancy Right-02,
 Private Land Encroached -03, Public Land Encroached -04
 Rented – 05, Other-49]

19. Type/structure of the house
 [Pucca-01, Semi-Pucca-02, Katcha-03]

20. Type of roof
 [Grass/thatched-01, Tarpaulin-02, Wooden -03,
 Asbestos-04, Tiled-05, Cement/Slab-06, Other- 49]

21. Type of flooring
 [Mud-01, Brick-02, Stone-03, Cement-04, Tiles-05, Other-49]



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



33. Access to welfare benefits by any family member
 [Old Age Pension – 01, Widow Pension – 02, Disabled Pension – 03
 Health Insurance – 04, General Insurance – 05, Other – 49]

34. Consumer Durables [Yes-01, No-02]

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

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

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

IV. MIGRATION DETAILS OF HOUSEHOLD, *If applicable*

36. Number of Years of Stay in this Town/City
 • 0 to 1 year -01, • 1 to 3 years- 02,
 • 3 to 5 years- 03, • More than 5 years-04



37. Whether Migrated from:

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

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

39. Reasons for Migration

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

IV. INCOME-EXPENDITURE DETAILS OF HOUSEHOLD

40. Number of earning adult members

Male

Female

Total

41. Number of earning non-adult members

Male

Female

Total

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

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

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

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



Annexure-III

Livehoods Survey/profile

I. Details of Earning Members of the Household

1. Earning Members:

1a: General Details

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

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

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

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

1b: Education & Training

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

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

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

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



1c: Employment & Earnings

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

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

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

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

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

2. Source of earning/ livelihood (code):

Male earners:	Primary occupation	<input type="text"/>
	Secondary occupation	<input type="text"/>
Female earners:	Primary occupation	<input type="text"/>
	Secondary occupation	<input type="text"/>

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

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



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

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

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

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

Male earners:	For Primary occupation	<input type="text"/>
	For Secondary occupation	<input type="text"/>
Female earners:	For Primary occupation	<input type="text"/>
	For Secondary occupation	<input type="text"/>

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

5. Suggestions regarding imparting of Training/Skill Enhancement programmes

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



**Form GFR 19
Deleted**

**Form GFR 19-A
[See Rule 212(1)]**

Form of Utilization Certificate

1. Certified that out of Rs. Grants-in-aid sanctioned during the year in favour of under this Ministry / Department Letter No. given in the margin and Rs. on account of unspent balance of the previous year, a sum of Rs. has been utilized for the purpose of For which it was sanctioned and that the balance of Rs. remaining unutilized at the end of the year has been surrendered to Government (vide No., dated) / will be adjusted towards the grant-in-aid payable during the next year.

Sl. No.	Letter No. and date	Amount
	Total	

2. Certified that I have satisfied myself that the conditions on which grants-in-aid was sanctioned have been duly fulfilled / are being fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purposed for which it was sanctioned.

Kind of checks exercised

- 1.
- 2.
- 3.
- 4.
- 5.

Signature

Designation

Date



सत्यमेव जयते

For further details please contact:

Director (NBO) & OSD (JNNURM)
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