



**TATA TRUSTS**



# ODISHA: LAND RIGHTS TO SLUM DWELLERS

Observations on detailed work flow process maps

## Abstract

The following document is a compilation of observations collected via primary and secondary investigative methods on the detailed work flow process maps with a view to detail out the process, highlight observations, and outline opportunities for improvement

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## List of acronyms

CBO	Community Based Organization
CO	Community Organizer
DC	District Collector
DGPS	Differential Global Positioning System
DM	District Magistrate
DMA	Director Municipal Administration
DRDA	District Rural Development Agency
DUDA	District Urban Development Agency
EO	Executive Officer
EOI	Expression of Interest
EWS	Economically Weaker Section
FAQ	Frequently Asked Questions
FIDR	Foundation for International Development
GCP	Ground Control Point
GIS	Geographic Information System
GPS	Global Positioning System
HH	Household
HUDD	Housing and Urban Development Department
LIS	Land Information System
MOU	Memorandum of understanding
NAC	Notified Area Council
NGO	Non-Governmental Organization
RDC	Revenue Divisional Commissioner
RFP	Request for Proposal
RI	Revenue Inspector
ROR	Record of Rights
SDA	Slum Dwellers Association
SP	Superintendent of Police
SPARC	Spatial Planning and Analysis Research Centre
TA	Technical Agency
UASRRC	Urban Area Slum Redevelopment and Rehabilitation Committee
UAV	Unmanned Aerial Vehicle
ULB	Urban Local Body
UPFW	Urban Poor Welfare Fund
USHA	Urban Slum Household Area
WC	Ward Councilor

## Preface

Landlessness and insecure land tenure are a driver of poverty around the globe, including India. However, the issue is particularly difficult to solve for because of the multiple complexities that surround the space. Apart from being a state subject with high inter-state variations, the subject is governed by a complex and competing set of laws and policies. A fractured ecosystem with divergent stakeholders and a government with overburdened resources just adds to the issue at hand.

Tackling the issue of land rights head on, the Odisha Government passed the necessary legislation in August, 2017 to assign land rights to eligible urban slum dwellers for redevelopment, rehabilitation and up-gradation of slums in the Notified Area Council (NAC) areas and Municipalities across the state. Using land rights as a stepping stone, the project aims to realize a broader vision of turning slums into livable habitats, and enhance the capacity of government bodies, to address the challenges of urban poverty.

The legislation and its implementation is expected to impact about 200,000 households residing in about 2,500 slums across the state and is expected to help accelerate traction in the area of land rights; an area that has gathered relatively low interest vis-à-vis its potential for impact.

Split into two phases, the pilot and the full-scale implementation, the initiative stands at a juncture where a successful completion of the pilot (in 54 slums spread over two districts) is now being followed by an effective buildup of the full-scale implementation (across the state).

Tata Trusts, in conjunction with a consortium of technical agencies and local ecosystem players has been assisting the government of Odisha with the implementation of the Act, with a specific focus on developing standard operating procedures, defining the scope of the work for different stakeholders and benchmarking the cost involved in executing different components (e.g., coordination with government departments, tying up with mapping and surveying agencies, project management of NGOs etc.)

The Bridgespan Group along with the Omidyar Network has been involved in this initiative from the perspective of understanding the dynamics on the ground and capturing real time learnings that can be used effectively to bridge the information asymmetry within the ecosystem. To achieve this objective, Bridgespan is working on capturing information, distilling insights, and creating dissemination material.

## Background

In India, approximately 50% of urban households (~80 million) are landless<sup>1</sup>. The problem is especially acute amongst certain disenfranchised segments of the population such as women, schedules castes and schedules tribes. While rural India has its own set of challenges, urban poverty also needs attention given the rapid pace of urbanization. The urban population is expected to account for 50% of India's population and double up to (~810M) by 2050<sup>2</sup>. Rural migrants are likely to occupy urban slums and expose themselves to a plethora of issues including inadequate access to basic amenities including healthcare, education and even legitimate identity.

As per the 2011 census, 23% of the urban population of the Odisha (~5L households) was living in slums without any security of tenure.

In light of the issue at hand, on August 30, 2017, the Odisha state assembly approved the enactment of two ordinances with a view to assign land rights to eligible slum dwellers for redevelopment, rehabilitation and up-gradation of slums. **The Odisha Land Rights to Slum Dwellers Ordinance, 2017, assured land rights**

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<sup>1</sup> [www.livemint.com](http://www.livemint.com), 'How many Indians are landless?'

<sup>2</sup> <http://www.thehindu.com>, 'India will see highest urban population rise in next 40 years'

to the urban poor households in municipalities and NACs while the slum dwellers in five municipal corporations aimed to grant property rights under the Odisha Municipal Corporation (amendment) Ordinance, 2017. These approvals heralded Odisha as the first state in India to grant land rights to the urban poor<sup>3</sup>.

This inception report focuses on the implementation of the ordinance pertaining to slum dwellers in municipalities and NACs only (The Odisha Land Rights to Slum Dwellers Act, 2017).

Key aspects of the Act are as follows:

- **Maximum area that can be settled**
  - In-situ settlement: 45 sq.m (484 sq.ft) within a Municipality and 60 sq.m (646 sq.ft) within a NAC
  - Relocation: 30 sq.m (323 sq.ft) for both Municipality and NAC
  - Households occupying more than the permissible limit, shall voluntarily vacate the excess land for completing the settlement
- **Provisions for EWS<sup>4</sup> category**
  - Land will be provided free of cost, up to a limit of 30 sq.m
    - Excess land (up to the permissible limit) will be settled based on the a benchmark value, decided by the state government
      - For Economically Weaker Section (EWS) category, land over 30 sq.m will be settled at 25% of benchmark value
      - For non-EWS category, excess land/ land in occupation will be settled at 50% of benchmark value
- **Heritable and non-transferable land rights**
  - Land rights certificate will be issued jointly for married couples and will be acceptable as a valid address proof
  - The land can only be used for residential purposes, but can be mortgaged for housing loans/ finances
- **Ownership of single certificate**
  - A slum dweller shall not hold any other certificate issued under this Act, and shall surrender them to the Authorized Officer
  - For anyone with more than one certificate (through misrepresentation), the Authorized Officer can cancel all the certificates of land rights
- **Specificity of land that can be settled**
  - Only land under the state government and Urban Local Bodies (ULBs) can be settled, with 10th August, 2017 as the cut-off date (for residence)
  - Lands under forests, railways, etc., as well as private land, cannot be settled under this Act

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<sup>3</sup> <https://thewire.in>, 'Odisha to Grant Land, Property Rights to Slum Dwellers'

<sup>4</sup> EWS is defined as households with income below INR 1.8L per year



## Introduction to process work flow maps

The implementation of the Odisha Land Rights to Slum Dwellers Act, 2017 began with the pilot in two districts – Ganjam and Puri. The pilot has been successfully completed, and about 12000 land right certificates have been issued. Currently (as on the day of publishing this report), the full-scale implementation is on-going, covering 109 municipalities and NACs across the state.

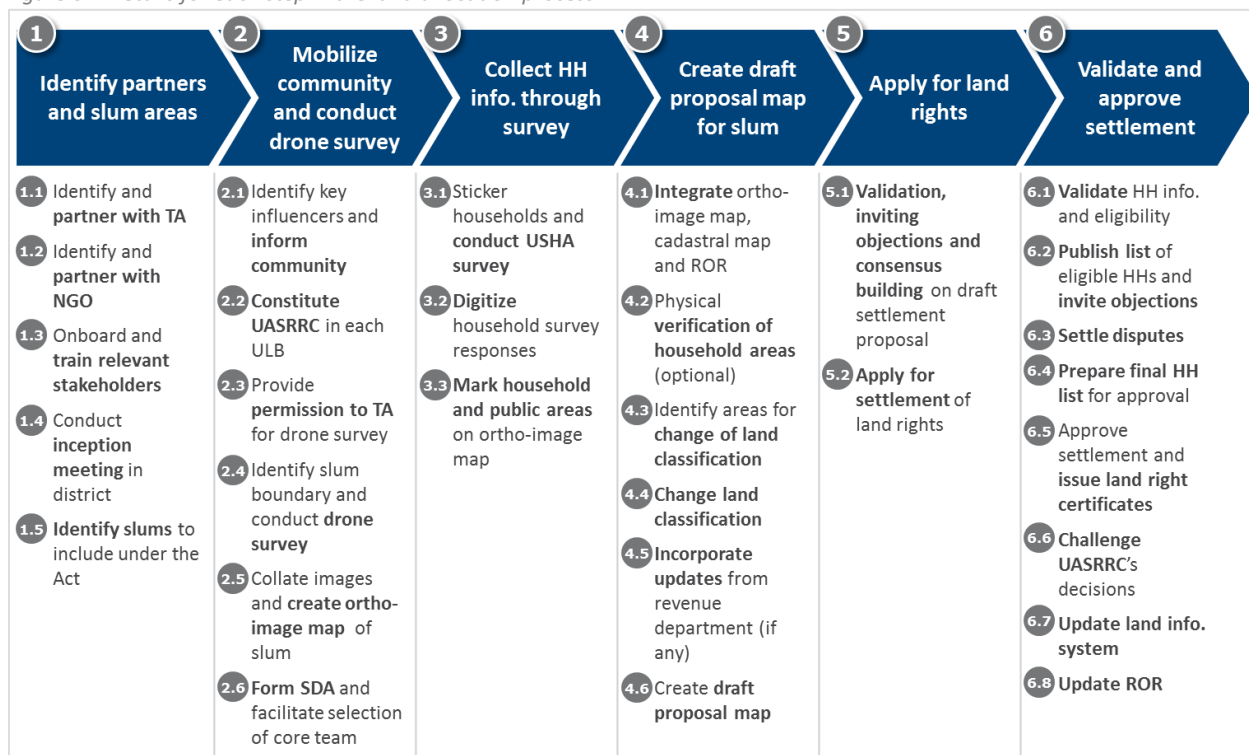
The land rights allocation process can be explained in 6 broad steps:

Figure 01: Broad steps for land right allocations



Each step has multiple activities outlined under it as follows:

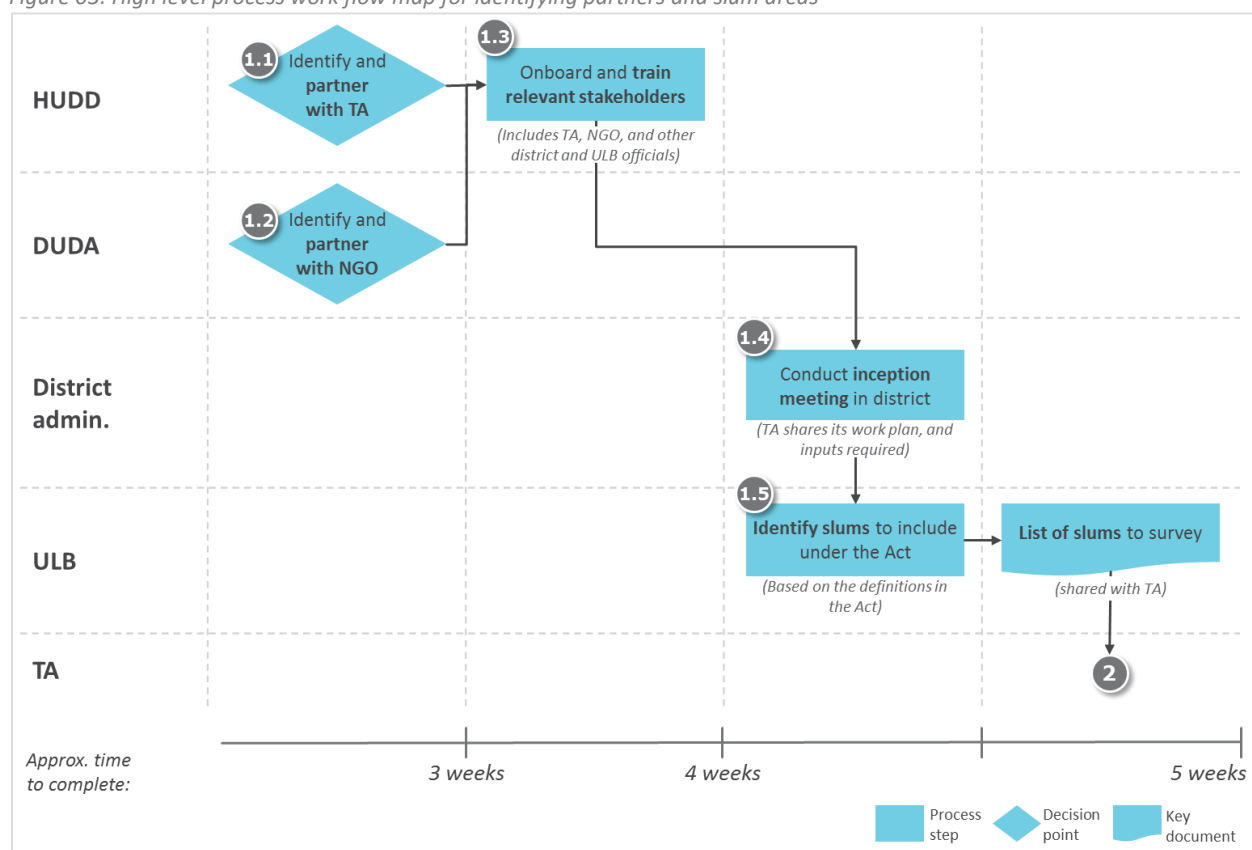
Figure 02: Details for each step in the land allocation process



Details about the specific activities, stakeholders involved as well as the timeline for each process step are described in detail below.

# 1. Identify partners and slum areas

Figure 03: High level process work flow map for identifying partners and slum areas



## 1.1 Identify and partner with technical agency

### Process snapshot

Number	Activity	Stakeholder
<b>1.1</b>	<b>Identify and partner with technical agency</b>	
1.1.1	Drafting RFP and inviting proposals	Implementing partner
1.1.2	Evaluating proposals	Implementing partner
1.1.3	Finalizing the agency	Implementing partner

### Overview

The process of settlement of land rights requires accurate mapping of the area occupied by slum dwellers including the area occupied by each individual household and major topographic features of the slum occupied lands such as roads, trains, water bodies, community buildings/spaces (school, clubs, places of worship etc.), and existing slum amenities (community toilet etc.). The maps of land occupied by slum dwellers is used to generate a slum layout map to assess the tenability of assigning land rights and development of slum amenities (road access, sanitation etc.) in future.

It is imperative to prepare base maps of the slum including the land ownership and current occupation accurately to ensure assigning of land rights including suggestions on in-situ/relocation based land settlement follows a fair and transparent procedure.

**Considering the compact, congested and very high-density occupancy in slums conventional survey techniques (total station etc.) could have been inefficient and probably more expensive.** To ensure mapping of each individual slum tenement without any human error/subjectivity and linking of household data required very large-scale mapping (1:500 scale, 5-10 cm accuracy) through aerial photographs processed through Photogrammetry and embedded in GIS. While photogrammetry was one of the solutions available, it was not the only one. Satellite imagery could have been used but satellite data would have been hard to access (only the Indian Space Research Organization (ISRO), the space agency of the Government of India, could provide access) and would have been difficult to obtain for all locations.

High resolution aerial photography is also expected to reduce conflict and ascertain not just the plots, but the boundaries. **The key value addition that drone images bring is the high resolution achieved which greatly reduces the chance of future conflicts** if the Slum Dwellers Association (SDA) has signed off on the plot and beneficiary allocation has been based on the boundaries geo-tagged on the map.

In view of the above, the implementation partner (Tata Trusts) and the technical support partner (Omidyar Network) proposed to select a technical agency that could use Unmanned Aerial Vehicle (UAV)-based high-resolution aerial photography for preparation of base maps of all individual slums. This methodology enabled the adoption of Geographic Information System (GIS)-based representation system for linking of base map and household information, integration of cadastral map and Record of Rights (ROR) of slum occupied land and facilitated a need-based information retrieval and analysis option for planning and decision making which should ultimately be reflected in an interactive Land Information System (LIS).

For the pilot phase of the project, a single agency (SPARC) was identified to conduct aerial photography but for the full-scale implementation, bids were invited from **multiple agencies** to ensure the following:

- A **larger option set** of agencies to choose from
- **Benchmarking and comparison** of costs
- **Comparison and learnings** on technical process across different vendors

For the full-scale implementation, SPARC, Transerve and Surbana Jurong were three technical agencies that were selected. The state, constituting of 30 districts was divided among the three technical agencies, with SPARC responsible for 14 districts, Transerve for 11 districts and Surbana Jurong for the remaining 5 districts. The agencies were expected to cover 46 ULBs covering about ~100,000 households in a span of six months.

The key activities involved in the process are:

### **1.1.1 Drafting Request for Proposal (RFP) and inviting proposals**

In the pilot phase no RFP was drafted. For the full-scale implementation, the implementing agency (Tata Trusts) led the process of drafting an RFP with inputs drawn from various entities and experts. The consortium of input givers included:

- Representatives from the implementing partner (Tata Trusts)
- Representatives from the technical support partners (Omidyar Network)
- Geospatial and UAV applications specialist (subject matter expert)

The RFP was structured to include the following sections outlined below. Key sections have been detailed out for reference herewith.

- Introduction & Background Information

- This section introduced the legislation and the need to bring in a technical agency and how that was integral to the engagement
- Objectives
  - Three broad objectives were outlined. They included:
    - Creation of UAV-based high-resolution aerial photography for preparing base maps of slum areas
    - GIS-enabled integration and representation of household level data and land use features
    - Setting up a LIS as an interactive and online platform to guide spatial analysis and planning
- Workload
  - Besides highlighting the quantum of work (across ULBs, zones, districts, and households) that the agency would be expected to complete, this section also included the key steps to be followed to meet the three objectives outlined above are
    - Generation of layout map of the slum
    - Mapping position and area occupied by different households along with major topographic features using UAV-based aerial mapping
    - Generation of unique household identifiers and computation of area occupied by each household
    - Linking of household information provided by the NGO (in digital form) against each dwelling unit
    - Integration of land ownership and other information as per revenue records
    - Spatial analysis and evaluation of tenability and suggestions for in-situ, shifting and relocation based assignment of land rights

Figure 04: Sample detailing out of workload by number of slums and households

Zone	District	Sl.	ULB Name	Type	No of Slum	Authorised Slum	Un-authorised Slum	No of Slum Households
Z4	Puri	22	Puri	M	63	43	20	10126
		23	Konark	NAC	13	11	2	1718
		24	Nimapara	NAC	25	22	3	2040
		25	Pipili	NAC	1	0	1	18
	Dist Total				102	76	26	13902
	Khurda	26	Khurda	M	25	18	7	1815
		27	Jatni	M	19	10	9	2905
		28	Banpur	NAC	5	5	0	615
		29	Balugaon	NAC	8	8	0	678
	Dist Total				57	41	16	6013
	ZONE TOTAL				159	117	42	19915

- Scope of Work
  - The scope of work included the following components:
    - Description on mapping of slum households and generation of outputs
      - Method for collecting maps – Use of high resolution aerial images acquired by small UAVs
      - Technical specifications for the maps with details of:
        - Spatial reference
        - Ground control points
        - Average Ground Sampling Distance (GSD) of aerial images
        - Stereo Overlap
        - Mapping Accuracy
        - Need for color images
      - Details on output which included:

- Need for very high-resolution, geo-referenced ortho-image mosaic maps
  - Need for hard copies
  - 3-D models of all surveyed base maps in standard automated Computer Aided Design (CAD) format
- Specification that base maps generated in the point above would be represented through GIS, linked to the household enumeration data as well as overlaid with the official ROR information of land type and ownership, as well as overlaid with the maps of non-household areas of the slums
- Specifications on setting up a fully functional LIS to capture the data and visualization being generated for each slum
- Deliverables
  - This section detailed out the deliverables expected of the agency and included:
    - Soft copies of the following:
      - GCP survey report and results, including Quality Assessment of Ground Control Point Survey
      - Aerial Images and table of their WGS84 coordinates in decimal units of degrees for horizontal position and in units of meters for ellipsoidal heights
      - Digital Ortho Photo in geotiff and ecw formats, trimmed such that a 10m margin is included beyond the slum area perimeter.
      - Digital Surface Model (unedited) in geotiff format, trimmed to same edge as the ortho photo
      - Point cloud, trimmed to same edge as ortho photo
      - Shape files of all mapping area polygons, Ground Control Points including non-spatial attributes such as marker description and estimated accuracy
      - Geo-referenced Tracing map of slum showing cadastral parcel nos and ROR (PDF and shapefile format)
      - 3D models of base map in standard CAD software format
    - Hard copies of the following:
      - Ortho-image map of slum (3 copies) with features
      - Layout map of the Slum showing area occupied by households, House hold number topographic features (roads, drainages, dater bodies, etc.) and revenue parcel numbers (as per cadastral map)
      - Area statement showing Household number, Occupied area (sq.m.), Revenue plot details (Parcel no, Kissam, Tenancy)
      - Final allotment layout map showing Cadastral parcel no, topographic features, different types of settlement (in-situ, shifting, relocations), Household numbers
    - GIS enabled representation of the land settlement map linked to household data and detailed land schedule for assigning rights to slum dwellers by ULB
    - Land information system
- Timeline
  - Agencies were expected to deliver on this work within a period of six months
- Eligibility Criteria
  - Agencies had to abide by the following qualifying criteria in order to apply
    - The agency had to be **qualified and experienced in the geo-spatial sciences** (geodetic and cadastral surveying, UAV operations, Structure from Motion (SfM) mapping, Geographic Information System technology, spatial analysis) and the field of GIS/ IT services

- The agency had to be able to **undertake Test Bed demonstration** when bidding for drone mapping, provide in-person video presentation to demonstrate GIS capabilities as well as provide illustrative Land Information System designs, at their own cost as part of the bidding process
- Agency should have **completed at least one Differential Global Positioning System (DGPS) survey and Geographic Information System (GIS) mapping assignment**
- The agency must not have been a defaulter in filing of Income Tax
- The agency must be registered with Provident Fund & ESI
- The agency should not have been under a declaration of ineligibility for corrupt and fraudulent practices nor should have been blacklisted by any Govt. or Govt. undertaking organizations at the time of submission of the bid

It was also specified that a consortium of agencies could bid for the project but the lead agency within the consortium would be responsible for the successful completion of the project. In addition, all qualifying criteria specified above were earmarked with sample credentials/samples that were mandated or optioned for submission.

**The RFP was sent out by the implementing partner (Tata Trusts) to ten agencies and they were provided ten days to submit their proposal.** Five agencies submitted their proposals with once agency submitting a bid only for the Land Information System.

#### Opportunities for improvement

- The RFP should be **finalized with the consensus of all relevant stakeholders** to ensure that there is alignment in terms of the technical and commercial expectations from the agencies
- Details in the RFP including aspects like the qualifying criteria should be drawn up with a view of **providing a 'level playing ground' to all comparator organizations**. Inclusion and consensus on standard clauses could help better this process and make bidding more competitive
- An **option/provision for entities to clarify their questions** either via a telephonic conversation or emails should be available during the time period allocated to them to draw up a proposal

#### 1.1.2 Evaluating proposals

**All RFPs received were reviewed via an in-person/video conference and then via a Test Bed demonstration to arrive at the final list of selected agencies. While the Test Bed demonstration helped evaluate the capabilities around creation of maps, the meetings helped clarify each firm's capabilities, approach, especially on their ability to deliver on the ground** (e.g., ability to work with government officials, experience in Odisha, awareness around the context), and commercials. In addition the evaluation, the panel also explored the proposed approaches to GIS, LIS (Transerve), and mock-up of the LIS (TCS).

Through these two rounds of assessment, the following technical criteria were tested:

- **Drone image mapping**
  - **Accuracy:** Statistical accuracy at 95% confidence interval
  - **Quality:** Quality of image and representation in line with the specifications and requirements of the actual project deliverables
  - **Methodology:** Imaging process followed and quality of technical output captured
- **GIS representation and integration**
  - **Creativity:** Creative combination and representation of data insights in innovative ways
  - **Technical Expertise:** Proficiency with geodesic data and spatial visualization tools

- **Usability:** Ease and accessibility of user-interface and seamless import/export to other platforms such as for the Land Information System
- **Design:** Professional and well-designed product with technical functionality and aesthetic appeal
- **Land Information System**
  - **Creativity:** Creative combination and representation of data onto web interface
  - **Technical Expertise:** Proficiency with web-based applications and ability to deliver to deliver professional, well-designed, functional Land Information System
  - **Usability:** Ease and accessibility of user-interface and functionalities

For commercials, agencies had the flexibility to either submit a quote per zone (there were five identified zones for this engagement) or multiple zones.

**While technical criteria accounted for 70% weightage during the selection process, commercials submitted by the agencies accounted for 30% weightage.**

Input provided by the agencies and the results of the test bed demonstrations were evaluated by the same consortium of input givers who had helped create the RFP. This included:

- Representatives from the implementing partner (Tata Trusts)
- Representatives from the technical support partners (Omidyar Network)
- An urban planner
- Representative from Foundation for Ecological Security (NGO expert)
- Geospatial and UAV applications specialist (Subject matter expert)

Post the in-person/video conference discussion, three of the qualified agencies were called in to undertake a Test Bed demonstration to map a representative test slum in Odisha. Odisha Space Applications Centre (ORSAC), in advance, marked and surveyed at least 30 well defined points at the test slums (Paradip and Jatani in Odisha). The surveyed positions were then used as bench marks to test the accuracy of each of the agency's maps which they were expected to be included as part of their bid documents within a span of five days post completion of the exercise.

Based on these multiple rounds of evaluation, including an insertion of anecdotal and expert feedback from the technical agency on the ground, it was decided to finalize three technical agencies.

### **1.1.3 Finalizing the agency**

The contracting process with the selected entities was intended to be transparent, clear, with no scope for ambiguity.

The broad areas of discussion that were included in the contracting process are:

- Key objectives of the engagement
- Scope of the engagement
- Timelines for the engagement
- Expected outputs (Frequency of delivery, nature of delivery (hard/soft copies, and technical specifications related to the output)
- Payment terms
- Terms of confidentiality and conflict of interest
- Terms of jurisdiction and arbitration

## **1.2 Identify and partner with NGO**

## Process snapshot

Number	Activity	Stakeholder
<b>1.2</b>	<b>Identifying and partnering with NGO</b>	
1.2.1	Notifying districts to begin the selection process	DMA
1.2.2	Drafting and publishing the Expression of Interest (EOI) to invite proposals	DUDA
1.2.3	Evaluating proposals received and selecting the NGO	Selection committee
1.2.4	Contracting the NGO	DUDA

## Overview

The NGO plays an integral role in the implementation process and is responsible for establishing the link between the community and other Government stakeholders at the Urban Local Body (ULB) level. Moreover, it is the responsibility of the NGO to create awareness in the community on the Act, empower them to access, and utilize the land rights that will be made available to them through the implementation of the Act.

In Odisha, one NGO (FIDR) was selected to work on the pilot phase whereas 25 NGOs are selected to support the full-scale implementation across 109 ULBs. The selection process was initiated in January 2018 and completed at the end of four weeks from date of commencement.

**The selection of the NGO takes place at the district level and is spearheaded by District Urban Development Agency (DUDA). Entities however ‘bid’ for ULBs which are therefore the geo-units for this activity. NGOs can also bid for multiple ULBs, within and beyond one district at a time.**

The key activities involved in the process are:

### 1.2.1 Notifying districts to begin the selection process

The District Municipal Administration (DMA) sends a notification to all the offices of the District Collector (DC) and District Magistrate (DM) of all districts. The notification advises the districts to begin the NGO selection process and outlines the broad scope of work that has been defined for NGOs. Housing and Urban Development Department (HUDD) outlines these roles to ensure that communication across districts is uniform and standardized. The notification is appended below:



Figure 05: Notification outlining the broad scope of work for NGOs

Scope of work for NGO		
Sl.No.	Activity	Output/ Deliverables
1	Discussion on the scope of the work with NAC/Municipality, slum dwellers and other stakeholders;	Sensitise all related stakeholders
2	Mobilisation and formation of Slum Dweller's Association (SDA) in each slum;	SDA formed in all intervening slums
3	Stickering of households	All households in slums are numbered and the list of head of the households along with the house number submitted to NAC/Municipality
4	Door-to-door slum household data collection for all households in agreed questionnaire	Electronic USHA survey data collected verified, final USHA survey and application form along with required supporting documents are submitted to the NAC/ Municipality
5	Providing assistance and undertaking consensus building activities during physical land survey process undertaken by NAC/Municipality and Tahasil officials;	Physical survey undertaken by NAC / Municipality completed
6	Empowering and enabling the SDA in preparing the list of slum dwellers eligible for issue of certificate of land rights;	List of eligible slum dwellers is prepared by SDA and submitted to NAC/Municipality
7	Facilitate the SDA and support the NAC/Municipality officials in identifying the quantum of land to be settled with each slum dweller;	Land area to be settled for each households has to be finalized by SDA and NAC/Municipality officials
8	Facilitate the SDA in preparing a plan for re-layout of the slum area, if agreed, within the boundaries of the slum fixed by the NAC/ Municipality;	Re-layout plan of slum is done in consultation with SDA
9	Inviting objections and suggestions to the plan and final proposal in two phase i.e. one by SDA and 2 <sup>nd</sup> one by Urban Area Slum Rehabilitation and Redevelopment Committee;	Final plan and proposal is submitted to NAC / Municipality in the first phase by SDA and in 2 <sup>nd</sup> phase if any objection or suggestion comes in response to the publication by the Committee
10	Coordination with the technical agency / NAC/Municipality and SDA for finalizing the slum layout plan and sharing with the Urban Area Slum Rehabilitation and Redevelopment Committee, for vetting and final approval	Re-layout plan is prepared for vetting and final approval of Urban Area Slum Rehabilitation and Redevelopment Committee
11	Coordinate with different agencies working for the same project	Coordination done for above mentioned activities
12	Monitoring of field level functionaries and surveyor of the implementing partners	The timeline of implementation is met and all required documents submitted to NAC / Municipality

### Opportunities for improvement

- **Communication** to all related parties involved right from creation of an EOI to the final selection of entities should be **from a single point of contact to avoid**
  - **Ambiguity** on structure of orders and instructions
  - **Multiple** feedback and **communication loops**
  - **Confusion** on formal and informal channels of communication

### 1.2.2 Drafting and publishing the Expression of Interest (EOI) to invite proposals

An Expression of Interest (EOI) for the selection of the NGO was drafted based on the experience from the pilot implementation. Most importantly the EOI details the roles and responsibilities of a selected NGO, which include the following -

- Conduct house to house survey and community mobilization of the slum selected for the settlement of land rights
  - Both socio-economic house hold survey and spatial surveys should be covered
  - The incumbent should also capture the individual basic profiles of slum dwellers to facilitate future linkage with any government database (e.g. Aadhaar)
- Support the Revenue Authorities (or an equivalent authority as identified and designated) during the measurement of the land in actual occupation of the slum dwellers and preparation of layout plan
- Provide qualitative input and expert input in preparation of redevelopment / rehabilitation plans
- Assist the authorized redevelopment and rehabilitation committee in analysis of spatial and socio-economic data
- Support dissemination of information and dialogues with different stakeholders
- Facilitate the creation and stabilization of Slum Dwellers Association (SDA)
  - Conduct meetings with the members of the different Associations
  - Prepare the list of eligible slum dwellers for issue of certificates of land rights
  - Identify the quantity of land to be settled with each slum dwellers
  - Assist in preparing and finalizing plan for re-layout of the slum area if any within the boundaries of the slum fixed by the ULB
  - Invite inputs from the slum dwellers to the plan and arrive at an amicable consensus
  - Compile the final plan and submit to the Urban Area Slum Re-habitation and Re-development Committee (UASRRC) for final approval

**The process of finalizing an EOI lies with District Urban Development Agency (DUDA). DUDA can engage with external experts to help draft and finalize an EOI accompanied by the minimum qualifying criteria for interested NGOs.** The salient features of qualifying criteria includes the following but may be extended depending on factors such as geography under consideration, budgetary limitations, bandwidth to provide supervisory support, and complexity of responsibilities outlined.

Sample qualifying criteria:

- **Legal entity**
  - All qualifying entities should be registered under an appropriate Act (e.g. Indian Trust Act, 1920 or the Indian Companies Act, 1956)
  - All entities should have a qualifying level of experience (full scale operations of no less than five years)
  - All entities must be registered with GST, PAN and Up-to-date IT Return for last three years
- **Technical capacity**
  - Entities should have successfully completed at least one engagement with a public administration body preferable (not mandatory) in the field of social mobilization / rights based activities covering at the least 250 households
  - Entities should have successfully undertaken at least one project in the area of urban planning (preferred and not mandatory)
  - Entities should have had successful previous experience in the areas of spatial surveys
- **Size of operations**
  - Entities should have had at least an annual average turnover of INR one million over the last three financial years
- **Qualification of staff**
  - Entities should be able to provide details of currently employed staff who have demonstrated capabilities to carry out work as specified under the category 'Technical category'
- **Presence of the organization in the region**
  - Entities are expected to have some level of presence in the geography outlined in the EOI

The EOI is aimed to be as exhaustive as possible outlining details that minimize ambiguity and elicit clear and comprehensive responses from the interested entities. Key sections of the EOI have been outlined below:

*Figure 06: Sample table of contents for an EOI*

a	Background to the project
b	Key objectives of the engagement
c	Scope of the engagement
d	Timelines for the engagement
e	Qualification eligibility criteria
f	Expected outputs
g	Detailed commercials
h	Payment terms
i	Evaluation and selection criteria
j	Guidelines for submission
k	Terms of confidentiality and conflict of interest
l	Terms of jurisdiction and arbitration

The EOI was published in three newspapers in the state under consideration. At least one of the newspapers is in the local vernacular.

## Opportunities for improvement

- A **pre-bid meeting** should be organized where NGOs can be convened to share details on project and to **provide an opportunity to the NGOs to clarify their doubts** around the scope of work, deliverables, etc.
- The EOI should **finalized with the consensus of all relevant stakeholders** to ensure that there is alignment in terms of the roles defined for the NGO and the commercials agreed.
  - Feedback especially from experts (public or private individuals or entities) in the areas of community mobilization and data collection/survey management should be solicited
- For future EOIs, additional aspects could be considered as qualifying criteria:
  - Technical
    - **Prior experience with digitization and planned incorporation of digitization and technology in work plan**
    - Adequate financial and organizational strength to run the operating details of the engagement
    - Presence of qualified leadership that can align with, interact with, and support the public authority during the course of the work
    - Presence of mature and proven methods of audits, checks, and balances to ensure accuracy of deliverables and outputs
  - Commercial
    - Presence of adequate reserve and working capital to honor mode and frequency of payment as described in the EOI
    - Presence of an audit team to verify authenticated and qualified expense and cost reports
- Current focus on digitization capabilities of entities selected is minimal. Given the importance of collection, archiving, and database management in the documentation process, **the digitization capabilities of entities should be assessed via qualification criteria, during the shortlisting process** and should be closely linked to the payment schedule on the successful completion of the aforementioned activities. It is also important to include and define the level of digital capability required for an NGO to bid for the activity. (For e.g. the NGO should be inept at collecting data with the help of tablets and then feeding it in the App that will archive and process the data for further processing). Although the state requires that the USHA survey is in hard copy and will serve as a case document for settling land, there could be a provision to use digital signatures that could then be printed and archived for the purpose of compliance
- External research suggests the when the EOI is published, the following ideal practices to should accompany an advert in the print media
  - Publication of EOI in technical journals circulated in the region
  - Publication of EOI on the website of the department and the state administration
  - A follow up advert in all previously engaged channels mid-way through the period
  - **An option/provision for entities to clarify their questions either via a telephonic conversation or emails**

Sample EOI that can be used in future engagements is appended at end of the report for reference.

### 1.2.3 Evaluating proposals received

The proposals are evaluated by the **selection committee**, which is formed at the district level and comprises:

- District collector
- Project Director, District Rural Development Agency (DRDA)
- Project Director, District Urban Development Agency (DUDA) (10 out of 30 districts)
- Sub-collector

- Tehsildar (From all the tehsils within the district)

Evaluation of applications are completed on the basis of the following two broad criteria –

- **Technical criteria:** To assess how best the entities are suited to deliver on the engagement based on the approach, methodology and technical expertise that the NGOs furnish in their proposal
- **Commercial criteria:** To assess which entity provides the best economic value for services provided rather than the most inexpensive option. It was observed that NGOs had quoted extremely low rates that were difficult to justify. Hence an indicative price range INR 100 – 150 per household was provided by the Director Municipal Administration (DMA) to District Collectors (DCs)/ District Magistrates (DMs), through a notification, based on the costs from the pilot implementation (document available). It was also suggested that price can be lower, but must not exceed the upper limit. The notification is included below for reference

Figure 07: Notification for the selection of NGO (with guidelines around payment)

**Government of Odisha**  
**Housing & Urban Development Department**  
\*\*\*\*\*

No. 26295 /HUD., Bhubaneswar, Dated the 14.11.17  
HUD-DIR-SCH-02/2017

From  
**Sri Sangramjit Nayak**  
Director Municipal Administration &  
Ex- Officio Addl. Secretary to Government.

To  
**All Collectors and District Magistrates**

Sub: Selection of NGO/CBO for smooth implementation of "Odisha Land Rights to Slum Dwellers Act, 2017"

Madam/Sir,

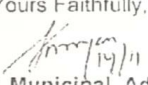
I, would like to invite reference to the subject cited above and in this regard I am to say that selection of NGO/CBO for each ULB to facilitate the implementation of Odisha Land Rights to Slum Dwellers Act, 2017 is the most important work for inspection of the programme.

In this regard a lot of deliberation has also been done in the Collectors' Conference held on 28.10.17 and in many cluster level meetings held by this Department in many places.

As specific time line has been fixed for issue of Land Right certificates to eligible Slum Dwellers, support from NGO/CBO is absolutely essential to achieve the desired objectives. It is therefore decided to take the help of NGO/CBO to facilitate the process for its expeditious implementation in the given time line. The scope of NGO and deliverables are enclosed here with for your reference.

The NGO/CBO may be selected in each ULB by inviting Expression of Interest and during selection their interventions and deliverables in the respective ULBs may be examined. In case the NGO/CBO is not available in the exiting ULBs, those who are working in the nearby ULBs of the District may be selected basing on their credentials. During the pilot implementation in Puri and Ganjam Districts, it was brought to the notice that approximately Rs. 100 to Rs 150 per household is to be paid to the NGO/CBO for their work from commencement to completion. The price is only indicative and may be far less in some areas. But the upper limit may not cross the indicated price. The Department will also subsequently impart training to the NGO/CBO members to enhance their capacities.

I would therefore request you to take immediate action in this regard and intimate this Department for further action.

Yours Faithfully,  
  
Director Municipal Administration  
& Ex- Officio Addl. Secretary to Govt.



The technical criteria that was used, for evaluation of proposals in Ganjam include:

Technical Criteria	Marks allotted	Maximum marks
<b>Experience of the firm in relevant field of scope of work</b>		<b>70</b>
• Having experience less than 2 years	15	30
• Having experience more than 2 years and less than 5 years	20	
• Having experience more than 05 years	30	
<b>Competency of manpower</b>		
• Having manpower of more than 05 staffs per ULB with professional competency as per Technical Bid	30	30
• Having manpower more than 02 and less than 05 per ULB with professional competency as per Technical Bid	20	
• Having manpower of less than 02 per ULB with professional competency as per Technical Bid	10	
<b>Financial strength of the firm</b>		
• Having turnover more than 10 Lakh and less than 20 Lakh	5	10
• Having turnover more than 20 Lakh and less than 50 Lakh	7	
• Having turnover more than 50 Lakh	10	
<b>Commercial Criteria</b>	<b>Marks allotted</b>	<b>Maximum marks</b>
<b>Commercial quote</b>		<b>30</b>

The firm securing minimum 50% of total marks in the technical evaluation qualified for opening of commercial bid. For the commercial bid, a maximum of 30 marks was awarded to the lowest bidder. The final score was calculated by adding together the marks of the technical and commercial bids.

Proposals were assessed in accordance with a quality and cost based selection system. All proposals were evaluated based on the established eligibility criteria. The Selection Committee carried out a detailed evaluation of the technical bids. Only those entities that qualified on all the criteria established in the EOI were considered as overall complete and compliant as per the requirement. Qualifying in the technical evaluation ensured the movement (of entities) for a financial evaluation.

#### Opportunities for improvement

- **Evaluation of proposals received across districts should be made as consistent as possible.** Few considerations include:
  - Creation of selection panels that are as similar to each other as possible in terms of technical and professional qualifications and tenure
  - Creation of detailed guidelines on criteria to evaluate proposals against with suggested weights
  - Creation of detailed guidelines on when to disqualify proposals
  - Creation of guidelines on how to document final evaluations and how to work dispute resolution

#### 1.2.4 Contracting with selected NGOs

The contracting process with the selected entities is intended to be transparent, clear, with no scope for ambiguity, and within the stipulated time of 7 days after the completion of the shortlisting process. This process is led by representatives from DUDA or the specific ULB on behalf of DUDA.

Once the NGO is selected, a work order is issued by the Project Director, District Urban Development Agency. The issuance of the work order marks the start of NGO's activities on the ground in the district. Unlike the Technical agency, the NGO does not require additional permission from the state government or the district administration to begin work. Though the details vary from district to district, the work order typically outlines the following topics:

- Scope of work
- Timeline
- Payment terms
- Arbitration

The work order issued during the full-scale implementation in one the districts is included below for reference.

Figure 08: Work order for NGO

**DISTRICT URBAN DEVELOPMENT AGENCY**  
KEONJHAR

Letter No. 176 /DUDA Date: 04-01-2018

To,  
NIYATEE FOUNDATION,  
MIG M, 11/8, Panchasakha Nagar  
Dumduma, Khandagiri  
Bhubaneswar, 751019  
ODISHA

Sub: Engagement for USHA Survey in the ULBs of Keonjhar District-Award of Work

Sir,

It has been decided to offer you the work order for conducting USHA survey in "Keonjhar, Joda, Barbil, Anandapur Municipality & Champua NAC". So, you are instructed to start the assigned work & complete the same as per timeline.

The terms and conditions of the engagement shall be as follows:-

**Scope of Work**

The illustrative scope of works shall include as given below,

1. Conducting house to house survey and Community Mobilization of the selected slum-both Socio-Economic house hold survey and spatial surveys.
2. To support the Revenue Authorities and ULB staff during the measurement of the land in actual occupation of the Slum Dwellers and preparation of layout plan.
3. Assistance / perspective sharing in preparation of Slum Redevelopment / Rehabilitation Plans:
  - a. Assisting the Slum Redevelopment and Rehabilitation Committee in analysis of spatial and socio-economic data.
  - b. Activities for dissemination of information and dialogues with different stakeholders.
  - c. To capture the basic profile of the Slum Dweller and link the beneficiary identification with Aadhar /Biometric system.

**Facilitation to the Slum Dwellers Association:**

- a. Conducting Meeting with the members of the Slum Dwellers Association
- b. Preparing the list of eligible Slum Dwellers for issue of certificates of land rights.
- c. Identifying the quantity of land to be settled with each slum dwellers.
- d. To assist in preparing and finalizing plan for re-layout of the slum area if any within the boundaries of the slum fixed by the ULB.
- e. Inviting objection / suggestion to the plan and arriving at consensus.
- f. Compiling the final plan and submit to the Urban Area Slum Re-habilitation and Re-development Committee for final approval.
- g. Assist the Urban Area Slum Rehabilitation and Redevelopment Committee in issue of Certificate of Land Rights to the eligible slum dwellers, organising camps/ events etc.

**Time Line**

All the activities must be completed in accordance with the time line fixed by DUDA, Keonjhar i.e. 60 days from issue of work order.

**Payment Terms:**

1. The price offered for Rs 117/- per house hold is final.
2. The price cannot be enhanced during the course of survey.
3. Payments will be released by the concerned ULBs on Final approval by the Slum Rehabilitation and Redevelopment Committee and distribution of Certificate of Land Rights to Slum Dwellers.

**Arbitration**

All disputes, differences, claims and demands arising under the contract shall be referred to Project Director, DRDA-cum-DUDA, Keonjhar for final decision and the same shall be binding on you.

Yours faithfully  
PROJECT DIRECTOR, DUDA,  
KEONJHAR

### Opportunities for improvement

- **Solicitation of proposals from entities, the selection and contracting process for entities should be done as close to the actual commencement of the engagement as possible (ideally within a month)**
  - Extended delays between selection and onboarding of entities may lead to unforeseen hurdles in the form of movement of staff/personnel, change in scope of work, refinement of scope etc.

## 1.3 Onboard and train relevant stakeholders

## Process snapshot

Number	Activity	Stakeholder
<b>1.3</b>	<b>Onboard and train relevant stakeholders</b>	
1.3.1	Creating the training material	TA, NGO
1.3.2	Conducting initial onboarding/training program	TA, NGO, Implementing partner
1.3.3	Conducting follow-up sensitization training program	Implementing partner

## Overview

Once all external entities (NGOs and technical agencies) were selected, an onboarding/training was organized by Department of Housing and Urban Development (HUDD) in collaboration with the Tata Trusts (implementing partner) to achieve the following objectives:

- Bring all important stakeholders across the state from the district and ULB together and **share details on the Act, the specific legislations, and the relevant legalities**
- **Ensure uniform understanding across the stakeholders on the role of the NGO, technical agency and highlight the specific roles and asks of and from each actor in the process**
- **Inform the district authorities and ULBs on the schedule of events to help them prepare for the implementation in their particular jurisdiction**

The main participants in the trainings scheduled post the selection process included representatives from the following entities:

- **State level representatives:** The commissioner cum secretary, Mission director and other junior representatives were present from the state department
- **District level representatives:** Members from the district administration including PDs, APDs and coordinators were present
- **Urban Local Bodies (ULBs):** Executive officers and community organizers from all geographic regions were invited for the trainings
- **NGOs:** Leadership of selected NGOs participated in the trainings. However, it was noted that actual team leads/members who would be involved in the execution were not a part of the training. This is likely because the expectation is for the leads to go back and train their respective teams
- **Technical Agencies:** Representatives from the technical agency attended the program
- **Revenue Department:** The Tehsildars and other representatives from the revenue department were invited for the meeting

Once the full-scale implementation was underway, two additional trainings were conducted.

- The first training was conducted with a purpose of sensitizing key stakeholders on the various urban initiatives and how they would work vis-à-vis converting urban slums into livable habitats. This was conducted in May 2018 in Bhubaneswar and was a daylong event.
- The second training was conducted in October 2018 for field officers and surveyor of NGOs and the DUDA staff working across the 30 districts. During the ongoing full-scale implementation, inconsistency and errors were observed in the survey data across NGOs and districts. Hence, a 2-day residential training was conducted in 12 clusters across multiple locations, consisting of classroom sessions, practice exercises and field visits. Participants were trained on relevant process steps including community mobilization, formation of Slum Dwellers Association (SDA), conducting the Urban Slum Household Area (USHA) survey, using the mobile application, digitizing the survey responses, etc. The training resulted in a significant increase in the quality of survey data collected.



The key activities involved in the onboarding and training of relevant stakeholders include the following:

### 1.3.1 Creating the training material

**The core content for the training sessions (onboarding and sensitization) were sourced from the entities involved in the pilot process (NGO, technical agency) in collaboration with Tata Trusts, the implementing partner.** For example, FIDR created the material that was used for the training of NGOs and SPARC created the material on role and requirements of the technical agency. Tata Trusts, the implementing partner was responsible for project managing the training program. While the onboarding training was a combination of indoor presentations and a field visit, the sensitizing training was a day long indoor session.

The core content created and delivered at the onboarding training was as follows:

- Presentations:

Name of presentation	Description	Trainer	Duration
Introduction to Land Rights to Slum Dwellers Act , Rule 2017	Introduction to the legislation, its provisions, definitions, and what it entailed	Commissioner cum Secretary	90 minutes
Role of technical agency in settlement of land rights	Detailed role and activities carried out by the technical agency including timelines and output	SPARC	45 minutes
Roles and responsibilities of NGO	Detailed role and expectations from the NGO	FIDR	45 minutes
Roles and responsibilities of the ULBS and Tehsildars	Expectations and role of the ULB and the revenue department	Representatives from HUDD, Executive Officers and Tehsiladars	45 minutes
From Slum to livable habitat	Convergence of land rights act with other legislations, e.g. Awaas Yojana, Swachch Bharat, etc.	HUDD (Town planner)	45 minutes
Field Visit plan	Schedule of activities for the field visit	Tata Trusts	20 minutes

- Field visit: The field visit was designed to help clarify, via demonstration and samples, the following for the attendees:
  - Different types of maps such as ortho map, tracing map and settlement plans
  - The process of 'sticking' and linking households to maps
  - USHA survey
  - Sample physical verification

For the sensitizing training which was held in May 2018, material was created and delivered for the following sessions:

- Introduction to the legislation and 'JAAGA' – Odisha Livable Habitat Mission
- Discussion on 'AWAAS' – Odisha Urban Housing Mission
- Swatch Bharat Mission
- Aahar
- National Urban Livelihoods Mission
- Roles of NGOs and technical agencies in implementing of these programs
- Training needs assessment

## Opportunities for improvement

- **Training and onboarding of external agencies for a pilot phase of a program is essential and should be considered for any future engagements**
- While **designing future training programs**, the following objectives could be considered:
  - **Bridge any skill gaps** (e.g. using tablets for data capture of NGOs, holding meetings with slum dwellers etc.) that might exist among relevant stakeholders to ensure maximum efficiency during the execution period
  - **Provide a platform for stakeholders to ask and clarify questions** that they may have
- Given the feedback on the core content that has been delivered so far, **future content** could be created/designed keeping the **following principles** in place:
  - **Clarity:** Design teams need to take their time at the onset of any course design process to achieve and agree on clarity on several issues including purpose of the course, target group, aims and objectives, learning outcomes, process plan, responsibilities, piloting and testing, evaluation, etc.
  - **Capacity:** Assessing the required capacity of the design and development team, those who will be involved in the administration and logistics of piloting and running the courses and the overall management team is also fundamental.
  - **Consistency:** Consistency of approach once agreed upon maintains the quality of the design process. Once there is clarity on aims and objectives and the design team moves into the details of methods and training approach and techniques, it is important to stay consistent with what the training is trying to achieve and stay focused on the main purpose.
  - **Commitment:** This is largely what makes or breaks any design and development process. Commitment not just of the design team but of all stakeholders involved in terms of supporting the design team efforts financially, administratively, logistically, etc. The best design efforts falter and cannot be sustained when there is lack of commitment
- **Expert opinion from the public/private space could be solicited** to create robust and more interesting material
- While reviewing content that has been prepared, it could be vetted for the following two aspects:
  - **Customization of messages according to the participant groups and their needs**
  - **Customization of messages for the leadership and the task force**
- As an addition to in-person delivered training content, **takeaway materials could be created and made available to participants**. These material should ideally demonstrate the following characteristics:
  - They should be **available in a format that is easily accessible**
  - They should be **kept updated at all times**

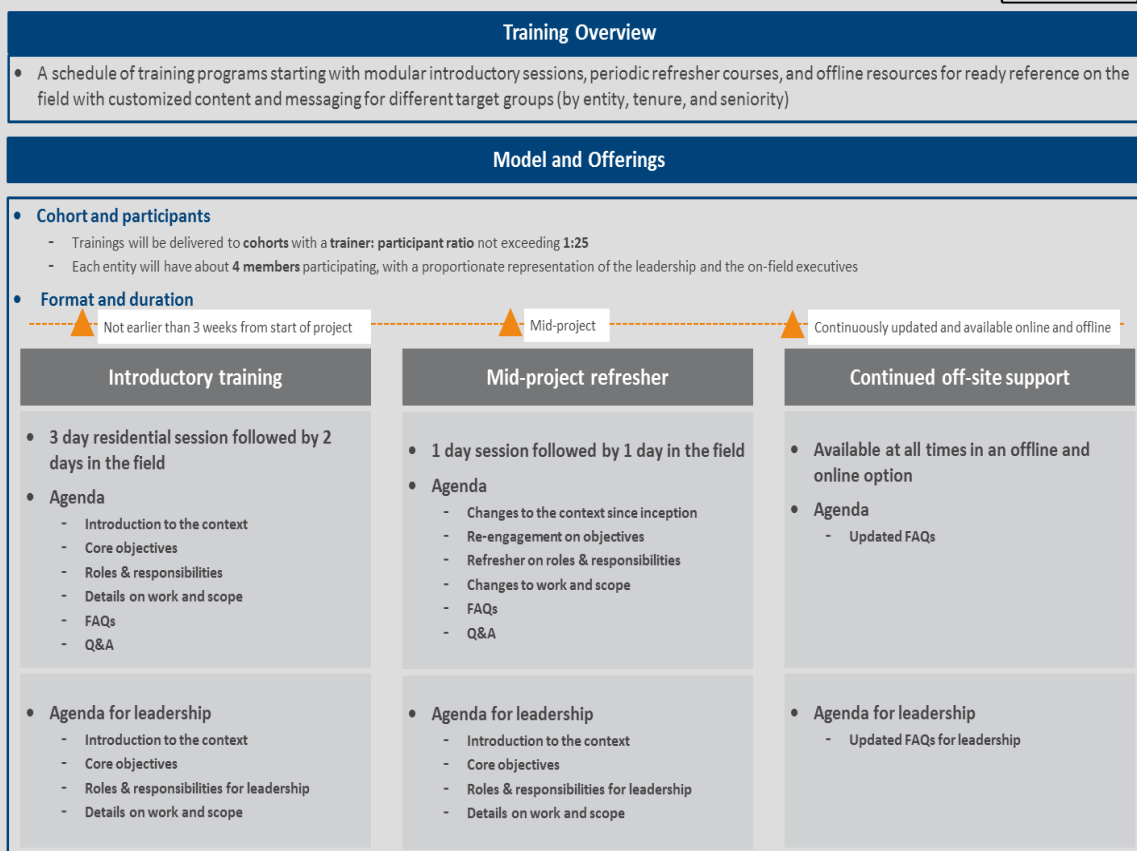
### 1.3.2 Conducting initial onboarding/training program

There was no onboarding/training session for the pilot phase of the program. For the full-scale implementation phase, the onboarding/training sessions were completed in February 2018, through a combination of classroom sessions and field visits over a span of six days. 525 participants from various entities converged in Bhubaneswar and trainings were conducted in 5 batches. Tata Trusts, the implementing partner, was instrumental in managing the event right from creation of the material to the actual delivery.

## Opportunities for improvement

- **Training could be conducted closer to the actual start of implementation** (~ within 3 weeks), with more engaging and interactive sessions through discussions, exercises and workshops
- In order to ensure effective training, it is **essential to invest in training the trainers**. For future trainings, once the content for participants has been solicited and largely agreed upon, it is essential to prepare a guide for trainers to ensure a consistent delivery and messaging as trainings proceed. The following activities could be considered while working on training the trainers:
  - Familiarizing trainers with a guide to the core content to be delivered
  - Running pilot test-runs to ensure smoothening out of delivery related glitches
  - Creating a feedback loop to ensure development of trainers to a level commensurate with the training
- In order to make the training sessions more useful, **innovative methods of delivery could be explored**
  - **Interactive sessions, break-out groups, working sessions, group discussions, and peer to peer learning** could be some of the methods deployed to incite interest among participants and also provide a platform for query resolutions real-time
- **Takeaway materials** can be made available to participants with:
  - **Updated FAQs sections that are customized according to stakeholders and more visually appealing**
  - **Flash drives with videos and other interacting material that can be used by the stakeholders to further train their teams**
- An illustrative training schema is appended below to enunciate some of the suggested improvements across the various steps

**ILLUSTRATIVE**



### 1.3.3 Conducting follow-up sensitization training program

This onboarding training exercise was followed up with another program at the end of May 2018 in Bhubaneswar, once the full-scale implementation was well underway where 275 individuals from all the thirty districts (including the district coordinator and the team leads from all districts) of Odisha participated. This was a 'sensitization' training program with a forward looking objective of understanding the various urban initiatives and how they would work vis-à-vis converting urban slums into livable habitats.

Unlike the onboarding program in February 2018, this program did not include a component of field visit and was exclusively delivered via in-house presentations and dialogues. Similar to the session in February, Tata Trusts, the implementing partner led the way in organizing this training session.

## 1.4 Conduct inception meeting in the district

### Process snapshot

Number	Activity	Stakeholder
<b>1.4</b>	<b>Conduct inception meeting in the district</b>	
1.4.1	Notifying district for conducting the inception meeting	HUDD
1.4.2	Coordinating with key stakeholders and organizing meeting	DUDA
1.4.3	Conducting inception meeting in the district	TA and impl. partner
1.4.4	Sharing information and following up	ULB

### Overview

**Inception meetings are done at a district level, with the primary objective of bringing together all the relevant stakeholders in the district, and enabling initial introductions amongst them.** The key stakeholders present in the inception meeting include representatives from the district administration and revenue department, Urban Local Body (ULB), Technical Agency (TA) and NGO selected to work in the district, and Tata Trusts as the implementing partner. The inception meeting marks the project implementation kick-off in the district, and facilitates discussion and troubleshooting, as well as, future communication amongst the attendees.

During the pilot implementation, the inception meeting was conducted in Ganjam and not in Puri. It was subsequently noted that more issues arose in Puri during implementation, in the form of miscommunication and lack of accurate information. Typical issues included lack of clarity amongst stakeholders regarding their roles, accountability and overall schedule. Moreover there were issues in co-ordination, information exchange and best practice sharing amongst ULBs. Such problems did not arise in Ganjam and made a clear case to include inception meetings as a platform that brought together all the stakeholders at the district level for initiation of process implementation in that district.

The key activities involved in the process are:

### 1.4.1 Notifying district for conducting the inception meeting

After district selection, scheduling the inception meeting is the first order of work. **The Director Municipal Administration, HUDD sends a notification to the District Collector and District Magistrate asking to organize an inception meeting in the district.** The notification outlines the key stakeholders to be included, schedule of the inception meeting and drone survey, and the technical agency working in the district. The full-scale implementation was done zone-wise, and the notification sent to the Zone 1 districts is included below for reference.

Figure 09: Notification for organizing the inception meetings

**Government of Odisha**  
**Housing & Urban Development Department.**

No. ୮୮୩ \*\*\*\*\*  
HUD-DIR-SOI-02/2017 /HUD, Bhubaneswar, dated the 17.3.18

From: Sri Sangramjit Nayak, IAS  
Director Municipal Administration

To: The Collector and District Magistrate,  
Nayagarh, Bhadrak, Puri, Ganjam, Cuttack, Kendrapara,  
Balasore, Dhenkanal, Khurda, Jagatsinghpur, Boudh, Jajpur


Sub: Initiation of drone survey and permission for drone flying for  
implementation of Odisha Land Rights to Slum Dwellers Act, 2017.

Madam/ Sir,


I would like to invite a reference to the subject cited above and to say that Tata Trusts is working with this Dept. to provide technical support for drone survey and slum mapping for implementation of Odisha Land Rights to Slum Dwellers Act, 2017.

You are, therefore, requested to organize an inception meeting as per the enclosed schedule involving PD, DUDA, Tehsildar, Executive Officer of ULBS, members of UAS&RC and NGOs representatives of your district and to issue drone flying /survey permission to concerned Technical Agencies selected by Tata Trusts to initiate the drone survey work.


It is reiterated that the date line for completion of survey has to be strictly adhered to and necessary assistance to the Technical Agency may be provided as and when required. In this regard Sri Shishir Dash, Area Manager Tata Trusts (Mob No- 9437037166) may be contacted for better coordination facilitating the survey work.

Yours faithfully,  
  
Director Municipal Administration

Memo No. ୮୮୪ /HUD, Dated 17.3.18  
Copy forwarded to the Executive Officers, all ULBs of concerned district for information and necessary action. They are requested to provide ULB wise list of slums (ULB Name, Ward No., Slum Name, Revenue Village, Plot No., and Approximate Number of households) along with copies of cadastral maps and provision of ROR copies of slum inhabited plots to organize drone survey at the time of meeting.

  
Director Municipal Administration

Memo No. ୮୮୫ /HUD, Dated 17.3.18  
Copy to Sri Shishir Dash, Area Manager, Tata Trusts, 6th Floor, Forum Mart, Unit-3, Kharvel Nagar, Bhubaneswar for information with reference to his letter dt. 16.03.2018.

  
Director Municipal Administration

**Schedule**

Sl. No.	Districts	Date of inception meeting & start of the Drone Survey	Date of completion of Drone Survey	Name of Technical Agency selected by Tata Trusts
1.	Nayagarh	19 <sup>th</sup> March, 2018	31 <sup>st</sup> March, 2018	Spatial Planning and Analysis Research Centre Pvt. Ltd (SPARC)
2.	Bhadrak	20 <sup>th</sup> March, 2018	8 <sup>th</sup> April, 2018	SPARC
3.	Puri	21 <sup>st</sup> March, 2018	15 <sup>th</sup> April, 2018	SPARC
4.	Ganjam	20 <sup>th</sup> March, 2018	23 <sup>rd</sup> April, 2018	SPARC
5.	Cuttack	23 <sup>rd</sup> March, 2018	10 <sup>th</sup> April, 2018	Transerve
6.	Kendrapara	23 <sup>rd</sup> March, 2018	20 <sup>th</sup> April, 2018	Transerve
7.	Balasore	19 <sup>th</sup> April, 2018	15 <sup>th</sup> May, 2018	SPARC
8.	Dhenkanal	10 <sup>th</sup> April, 2018	15 <sup>th</sup> April, 2018	SPARC
9.	Khurda	16 <sup>th</sup> April, 2018	30 <sup>th</sup> April, 2018	SPARC
10.	Jagatsinghpur	25 <sup>th</sup> April, 2018	10 <sup>th</sup> May, 2018	Transerve
11.	Boudh	25 <sup>th</sup> April, 2018	30 <sup>th</sup> April, 2018	SPARC
12.	Jajpur	25 <sup>th</sup> April, 2018	30 <sup>th</sup> April, 2018	SPARC

### 1.4.2 Coordinating with key stakeholders and organizing meeting

The District Collector and/ or District Magistrate asks the district project coordinator/ team leader from DUDA to organize the inception meeting. **The district project coordinator/ team leader is responsible for coordinating with the relevant stakeholders and organizing the inception meeting in the district.** The primary attendees in an inception meeting include:

- **Representatives from district administration**
  - District Collector and/ or sub-collector (as per availability)
  - Additional District Magistrate (as per availability)
  - Project Director, DUDA
  - District coordinator/ team leader, DUDA
- **Representatives from revenue department**
  - Tehsildars and/ or Additional Tehsildars
  - Revenue Inspectors
  - Tax collectors and/ or Amins/ surveyors (as per availability)
- **Representatives from ULB**
  - Executive Officer
  - Community Officers and/ or Ward Councilors
- **Representatives from technical agency**, including district project coordinator
- **Representatives from NGO**, including district project coordinator
- **Representatives from the implementing partner** (Tata Trusts)

There is very little coordination between the district administration, implementing partner (Tata Trusts) and technical agency before the inception meeting to align on content, usually leading to sharing information that may not be customized or relevant to the audience in the meeting. There is also not much clarity on the exact number and nature of attendees in terms of seniority and role.

### Opportunities for improvement

- The inception meetings can to **be more structured through alignment, before the meeting, among the key actors** (district administration, implementing partner and technical agency). This can be done through a discussion amongst the key actors (either in-person or on over phone), in the week before the meeting. Alignment on the following topics is recommended:
  - **Role of each key actor** in the meeting
  - Meeting attendees, and the **messaging for each attendee/ stakeholder**
  - **Content of the presentation** by technical agency

### 1.4.3 Conducting inception meeting in the district

The inception meeting typically lasts for about 60 to 90 minutes, and follows the below agenda:

- **Meeting agenda and Act overview**
  - Generally, the implementing partner (Tata Trusts) convenes the meeting, and sets the agenda by defining the objective of the meeting, and providing an overview of:
    - Basic rules and provisions of the Act (eligible slums, household area to be settled, nature of land rights provided, etc.)
    - Broad steps of the implementation process (identification of slum areas, drone survey, USHA survey, creation of layout maps and settlement proposal, application and verification, etc.)
    - Stakeholders involved (district administration, revenue department, ULB, implementing partner (Tata Trusts), technical agency, NGO, Slum Dwellers Association, etc.)
- **Round of introductions**
- **Address by leadership** (from district administration)
  - Address by the top representative from the district administration (District Collector in most cases), explaining the vision and objective behind the Act, and an ask for everyone's support and cooperation during implementation
- **Presentation by technical agency**
  - The technical agency gives a presentation, outlining its role, activities and support required (details are iterated below)

The implementing partner (Tata Trusts) supports the whole discussion, by adding details where required and clarifying the questions raised.

**The presentation by the technical agency is the major agenda item of the meeting.** Though the details and structure varies with the technical agency, the presentation broadly details out the following:

- **Objective and role**
  - Technical agency gives a background about their understanding of Act, their role and activities including conducting the drone survey, creating ortho-image maps, creating layout maps and settlement plans, developing GIS database, etc.
  - Technical agency also shares its qualifications and past experience, for working on the current implementation
- **Approach and methodology**
  - Technical agency provides an overview of the various steps involved such as preparatory work, GCP establishment, aerial photography, generation of ortho-image map, integration of cadastral maps, ROR and ortho-image map, etc.
  - Relevant samples images are included for better understanding of the attendees
- **Work plan for district**



- Technical agency shares the initial estimates of the slums in the district, and work plan for the various ULBs and activities
- **Support required**
  - Technical agency shares the support/ information it requires from the different stakeholders, including slum details from the ULB, tenancy and land type details from the revenue department, household details from the NGO, permission for conducting the drone survey, etc.
- **Deliverables**
  - Technical agency provides details on the output, and expected timeline, including ortho-image maps, slum layout maps, settlement plans, etc.

It was observed that the inception meetings presently are not very well structured, both in terms of roles and format.

- Often the implementing partner (Tata Trusts) drives the meetings and also add to the technical agency's presentations to ensure that the information shared is relevant and interesting for the audience present. Translation may be required on occasion
- The meeting is mostly in a presentation format and tends to take a monologue format without any time carved out for interactions or dialogue. Potentially, this makes it difficult to estimate whether the understanding is uniform across all attendees and the content and to-do items are well understood
- There are not many opportunities for addressing doubts, and attendees commonly had queries around definition of the slum, type of slum to be included (e.g. recognized, unrecognized, etc.), type of land covered (e.g. private, forest, railway, etc.), household area to be settled (built-up or including the areas outside), etc.

## Opportunities for improvement

- The inception meeting can be **designed to be more district/ stakeholder specific**, to provide clarity on the role and expectation
  - The **content/ messaging can be customized** for the specific district, including highlighting any context related issues or challenges (e.g., districts where in-situ land rights may not be possible)
  - The **attendees (stakeholders) can be pre-wired** on details on the relevant topics and input required (if any)
    - The communication that will be sent out to each attendee, should also be discussed and drafted by the key actors (district administration, implementing partner and technical agency)
  - **Detailed action items (with timelines) for each stakeholder** can be drafted and shared during the meeting
- The format of the inception meeting can be **made more engaging and participative, by having interactive discussions, any activity/ workshops, smaller group conversations, etc.** Opportunities for discussion and clarifying stakeholder issues can be created, by allotting time at the end of the meeting for smaller group conversations between relevant stakeholders
  - **Implementing partner can have a discussion with the NGO**, to clarify questions and provide guidance on how to carry the field activities
  - **Technical agency can have a discussion with the representatives from the ULB and revenue department**, around identification of slum areas in the district and the data available/ needed
- The following broad agenda can be followed for the inception meetings

Agenda item	Description	Owner	Time
<b>Meeting agenda and objectives</b>	Setting the agenda and defining the objectives for the meeting	District administration	10 min.
<b>Round of introductions</b>	Introduction by all participants, including the name, organization and position	District administration	10 min.
<b>Address by district leadership</b>	Explaining the vision and objective of the Act, and ask for everyone's support and cooperation	District Collector	10 min.
<b>Overview of the Act</b>	Providing an overview of the Act, covering the rules and provisions, broad steps of the implementation process and stakeholders involved	Implementing partner, in collaboration with district administration	15 min.
<b>Stakeholder-specific roles and input</b>	Outlining the role, action items, timelines and input required from each stakeholder	District administration, in collaboration with implementing partner	20 min.
<b>Presentation by technical agency</b>	Outlining the role, work plan for district, deliverables and support required	Technical agency	15 min.
<b>Smaller group conversations among stakeholders</b>	Clarifying questions and issues of the NGO and ULB, through one-on-one conversations	Implementing partner and technical agency	30 min.



It was also observed that the level of engagement/ interest in the meeting varied from district to district, which in turn was determined by the representation of the district leadership.

#### Opportunities for improvement

- The **district administration can take more ownership** of conducting and driving the inception meetings
  - Leadership from the district administration (District Collector and/ or Additional District Magistrate) must attend/ be involved, to ensure each stakeholder is involved and provides the information/ support required and there are no delays

#### 1.4.4 Sharing information and following up

**The ULB is expected to provide details to the technical agency on the number of slums/ households, for conducting the drone survey.** If the representatives from the ULB have this information available, it is passed on to the technical agency. However, in most cases, this information is not available due to lack in clarity amongst ULBs on data availability and exact requirement. In such cases the district administration asks the ULB to have the slum details ready, and the technical agency follows up with the representatives from the ULB to get the required information. In order to ensure future communication, an attendance sheet is passed, where all the attendees fill in their contact details. This is archived by the technical agency, and shared with others, as required.

On a few occasions, the District Collector was not present during the inception meeting. In such cases the implementing partner (Tata Trusts) and technical agency meet the District Collector the next day, to update him/ her on the implementation process and ask for the support required.

#### Opportunities for improvement

- **Follow-up channels can be established/ confirmed during the inception meeting**, so any questions/ issues in the future can be addressed
  - Stakeholder specific FAQs can be created and shared after the meeting, along with any other materials/ presentations from the inception meeting
- Once the inception meeting is conducted in a district, feedback from it must be incorporated for future meetings in other districts, to modify the agenda, participants, content, etc. (if required)

### 1.5 Identify slums to include under the Act

#### Process snapshot

Number	Activity	Stakeholder
<b>1.5</b>	<b>Identify slums to include under the Act</b>	
1.5.1	Identifying eligible slums in Urban Local Body (ULB)	ULB
1.5.2	Sharing slum details	ULB

#### Overview

One of the key activities for starting the implementation process on ground is identifying the slums and households that are eligible for land rights under the Act. **This is done at the ULB level, with the Executive Officer responsible for providing this information to the technical agency, as an input for the drone survey.** The Director Municipal Administration, HUDD sends a notification to the Executive Officer asking to share the slum data with the technical agency within 7 days. Format in which this data should be

submitted is also specified in the notification. The notification sent during the full-scale implementation, is included below for reference.

Figure 10: Notification asking for slum details

**Government of Odisha**  
**Housing & Urban Development Department**  
\*\*\*\*\*

No. 6159 /HUD., Bhubaneswar dated the 6.3.18  
HUD-DIR-SCH-02/17

From  
**Sri Sangramjit Nayak, IAS**  
Director Municipal Administration &  
Ex-Officio Addl. Secretary to Government

To  
**The Executive Officer**  
All Municipalities/NACs

**Sub: Advance Information for Settlement of Land Rights to Slum Dwellers.**

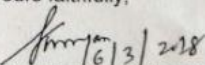
Sir,

I would like to invite a reference to the subject cited above and to say that this Dept. have already initiated steps for finalization of Technical Agencies and they will be instructed very soon to visit your ULB for slum mapping of household and submission of required data to you. Hence, the physical verification of boundary as well as household is extremely important prior to the start of the work by the Technical Agencies. Besides, there may be untenable lands on which slums might have developed and these lands can be made tenable observing due procedure of law, so that the same can be settled in favour of the eligible slum dwellers. Further, steps for relocation in case of untenable lands can also be thought of in future.

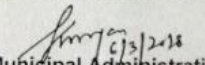
Therefore, you are requested to keep the information in readiness at your level in the following Format within 7 days for taking further action.

Sl No.	Slum Name	Revenue Village	Khata No	Plot no	Owner/ Tenancy of the land	Kissam	Tenability Remark	Approximate no. of Households
1.								
2.								

(Note- EOs are required to identify the slums & their outer limits (boundary) in advance to ensure Drone survey of the complete and correct areas)

Yours faithfully,  
  
**Director Municipal Administration &  
Ex -Officio Addl. Secretary to Govt.**

Memo No. 6160 /HUD., Dated 6.3.18  
Copy forwarded to the Collector & District Magistrate of all districts of State/ All Project Director, DRDA-cum-PD, DUDA of the State for information and necessary action.

  
**Director Municipal Administration &  
Ex -Officio Addl. Secretary to Govt.**

### 1.5.1 Identifying eligible slums in ULB

The Executive Officer, with input from the community organizers and ward councilors at the ULB, is expected to identify the slums within their purview, which are eligible for settlement. The eligibility is determined on the basis of the definitions and provisions in the Act. Most importantly the slum must have at least 20 households and must be on state government owned land. This poses certain challenges in identifying the slum areas for settlement, as there are cases where there are clusters of households with less than 20 households or in some instances the slum may lie (wholly or partially) on the land not under the state government, such as forest, railway or endowment land. There is not much guidance in the Act, on how such issues must be resolved.

The notification to the Executive Officer also specifies the details and format in which data should be available. For each eligible slum, the following details are required:

- Slum name
- Revenue village
- Khata number
- Plot number
- Owner/ tenancy of the land
- Kissam
- Tenability remark
- Approximate number of households

The data shared by one of the ULB during the full-scale implementation is included below for reference.

Figure 11: Data shared by the ULB

OFFICE OF THE  
**NOTIFIED AREA COUNCIL, ATHGARH**

No. .... Date .....

To  
The Project Director, DRDA-cum-  
PD, DUDA, Cuttack

Sub: Advance information for settlement of Land Rights to Slum Dwellers of Athgarh NAC.

Ref: Letter No.028/DUDA dt.14.3.18

Sir,  
With reference to the subject & letter cited above, I am furnishing herewith the detail information for settlement of Land Rights to Slum Dwellers in respect of Athgarh NAC is given below.

Sl. No.	Slum Name	Revenue village	Khata No	Plot No.	Owner/ Tenancy of the land	Kissam	Tenability Remarks	Approximate no. of households
1	Nizigarh near new Bus Stand	Nizigarh	786	1733	Tehasildar, Athgarh	Patita	-	30
2	Rasarasikpur near UGME School	Rasarasikpur	45	92	Tehasildar, Athgarh	Mundia	-	17
3	Nizigarh (Kalubasti)	Nizigarh	786	1733	Tehasildar, Athgarh	Patita	-	165
4	Harisaranpur near Stadium	Harisaranpur	171	311	Tehasildar, Athgarh	Puratan Patita	-	52

Yours faithfully,

sd -  
Executive Officer,  
N.A.C, Athagarh

Memo No. 363. dt. 21.3.18.

Copy submitted to the Director, Municipal Administration & Ex-Officio, Addl. Secretary to Govt., H & UD Department, Odisha, Bhubaneswar for favour of kind information and necessary action.

sd -  
Executive Officer,  
N.A.C, Athagarh  
21/3/18

Memo No. .... dt. ....

Copy submitted to the Collector & District Magistrate, Cuttack for favour of kind information and necessary action.

sd -  
Executive Officer,  
N.A.C, Athagarh

It was observed that the ULBs struggle to identify the eligible slums, due to a lack of clarity around which slums are eligible for inclusion, based on the definition in the Act, type of land, etc. In most cases ULBs do not have the updated and accurate slum data as baseline. Generally, the ULBs do not maintain the slum data and refer to past data, which in most cases is Census 2011. Outdated and inaccurate data is not very beneficial to the technical agency as they face issues in identifying areas to carry out the drone survey.

#### Opportunities for improvement

- **Capacity building of ULBs** is required
  - At an individual level, **customized trainings can be provided to the representatives from the ULB to clarify the definitions and provision of the Act**, guidance on how to tackle exceptions and identify different types of land, so that they are better equipped to accurately identify eligible slums
  - At an institutional level, **capacity of the ULB should be built to collect and maintain the accurate slum data**. Moving forward, the current slum database that will be developed, should be updated regularly, so that it can be used for baseline mapping in future exercises

#### 1.5.2 Sharing slum details

**Once the slum are identified, their details are shared with the technical agency, before the inception meeting in the district.** The technical agency uses this data as a starting point to identify the areas to be covered under the drone survey.

Due to these issues highlighted above, ULBs often are not able to provide the latest/ accurate slum data to the technical agency. In some cases, they share estimates (based on on-ground experience and/ or past data) with the technical agency, and in others, they do not share any information with the technical agency before or during the inception meeting.

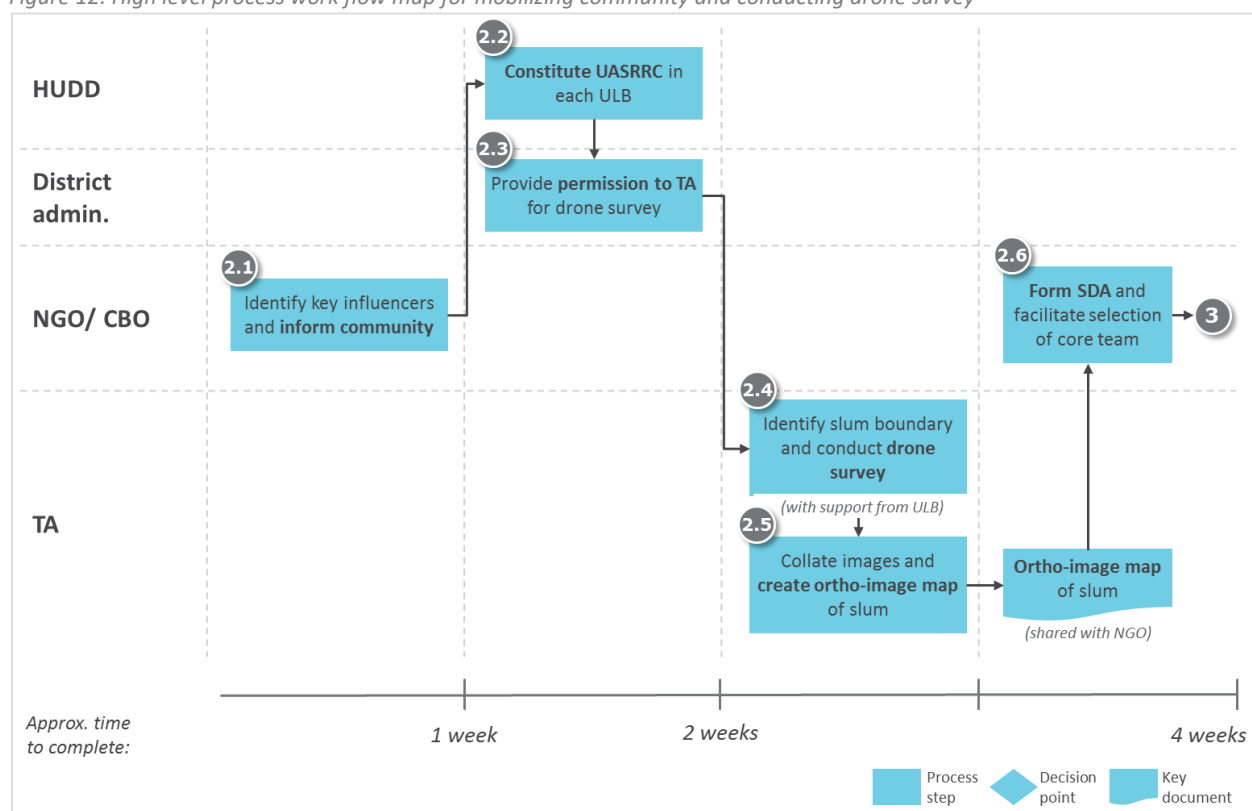
**Certain information about the slums that is required, such as revenue village, owner/ tenancy of the land, etc., is available with the revenue department.** It was observed that due to accurate communication from the higher authorities, there is limited co-ordination between the ULB and the revenue department, and as a result the data is not reconciled and hence not available with the ULB.

#### Opportunities for improvement

- There can be **better coordination and information sharing between the ULB and revenue department**
  - **The revenue department is a key stakeholder in the process and should be involved from the stages of inception so that land laws, boundaries and other land related technicalities are better defined and understood**
  - Apprising the revenue department of the data requirement that needs to be furnished will also add efficiency to the process and enable the ULBs to submit comprehensive, updated and accurate slum data to the technical agency

## 2. Mobilize community and conduct drone survey

Figure 12: High level process work flow map for mobilizing community and conducting drone survey



### 2.1 Identify key influencers and inform community

#### Process snapshot

Number	Activity	Stakeholder
<b>2.1</b>	<b>Identify key influencers and inform community</b>	
2.1.1	Reaching out to the community and identifying key influencers	NGO
2.1.2	Educating the community about the Act and implementation activities	NGO

#### Overview

One of the key responsibilities of the NGO in the implementation process is to create community awareness. Once the slums eligible for land rights are identified, the NGOs begin the mobilization process. **This includes reaching out to the community members, identifying the key influencers, building awareness and sharing information about the Act and related activities.** The objective of community mobilization is twofold:

- **To familiarize the slum dweller with the details about the Act**, its benefits, rules and provisions, eligibility and their role in the process
- **To inform the community about upcoming activities**, such as the drone survey, Slum Dwellers Association (SDA) formation, Urban Slum Household Area (USHA) survey, etc.

NGOs disseminate this information in various ways:

- Pasting posters in slums
- Organizing community group meetings
- One-on-one interactions with slum dwellers

### 2.1.1 Reaching out to the community and identifying key influencers

Community mobilization is essential to ensure that the slum dwellers understand the overall objective of the Act and the accurate purpose of various activities (such as the drone survey, SDA, USHA survey, etc.). Mobilization also informs them of the different stakeholders who will be present on the ground. Slum surveys are not viewed positively by residents due to the fear of eviction, so it is important to assure them and seek their cooperation sensitively. Further explaining the implementation process and the activities ensures that slum dwellers extend their cooperation while the technical activities are carried out.

Once the eligible slums are identified at the inception meeting, the slum details are shared by the ULB with the NGO so that they can deploy their field force and begin mobilization. There is no set sequence of slums defined for the NGO to follow. The NGO typically follows the schedule set out by the technical agency for the drone survey. **The community mobilization and awareness building in a slum starts a few days prior to the drone survey.** While this may not be true in all slums, the practice is encouraged so that slum dwellers are not shocked or resistant to the technical agency as they are conducting the drone survey. Securing buy-in from community members is likely to facilitate cooperation and goodwill.

**As a first step the NGO reaches out to the key influencers in the community.** The NGOs selected for implementation are invariably familiar with the local landscape and have prior networks and connects. This assists them in identifying the key influencers and important community level stakeholders. **Typically, key influencers are people who are active and known in the community, and they assist the NGO in connecting with other community members and disseminating key messages.** The NGO also coordinates with the representatives from the ULB, and requests them to attend the mobilization activities. This helps the NGO to build trust and credibility in the community. It also minimizes any undue external pressure regarding inclusion or exclusion of households or boundary of the slum. Establishing that the ULB has the authority in these decisions, puts the NGO in a neutral position and enables them to streamline the scope of their work.

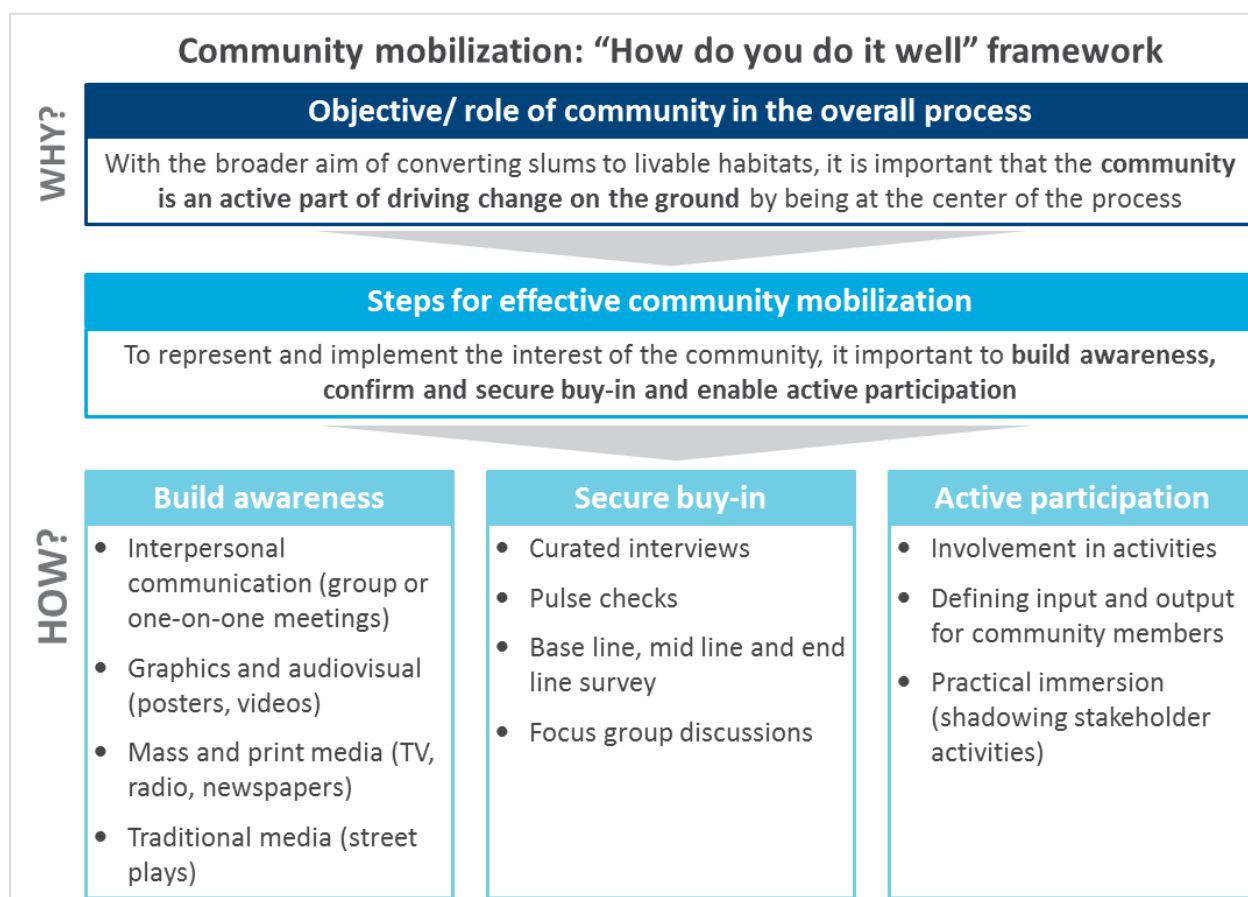
Community mobilization is carried out in a number of ways. **Often, the representatives from the NGO visit the slums with representatives from the ULB, and interact with the community members either one-on-one or in groups. In some cases, they put up posters in public places in the slum and make public announcements.**

It was observed that the mobilization approach and activities on the ground are not consistent across slums and/ or NGOs. The format and frequency of mobilization activities is also not standardized across slums. There seems to be a lack of clarity around the key influencers, such as who is eligible, how they can be identified, what their role is, etc. NGOs exercise their judgement in choosing the mobilization tool that might work best for a particular slum or demographic context. There is also a variance in when NGOs begin activities, and in some instances mobilization started after the drone survey. NGOs also noted that for a few slums, ULB representatives did not attend the mobilization activity.

The following “how do you do it well” framework on community mobilization effectively can be used as a guiding tool to come up with effective strategy and activities for mobilizing the community.

*Figure 13: Community mobilization: “How do you do it well” framework*





### 2.1.2 Educating the community about the Act and implementation activities

Through the different mobilization activities, the representatives from the NGO inform the community members about the Act. This includes the Act’s objectives and benefits, eligibility, rules and provisions and the nature of rights provided. The NGO also informs the slum dwellers about the future activities in the implementation process. The main activities covered are:

- **Drone survey:** The NGO discusses drone survey to be carried out by the technical agency, informs the slum dwellers about the survey schedule and requests for their cooperation. This is done to ensure minimal interference and disruption during the activity
- **Formation of Slum Dwellers Association (SDA):** The NGO gives an overview on the SDA, its composition and role. Information on the date of SDA formation and importance of attending the SDA formation event is explained and emphasized
- **Household USHA survey:** The NGO informs the community members about the household USHA survey to be conducted and requests them to ensure they have the requisite documents ready. Major documents required include proof of identity and address, proof of income and photographs

It was observed that that there is no consistency in the messaging and information shared with the community, across districts and/ or NGOs. It mostly depends on the NGO representative on the ground interacting with the community members, and their understanding of the Act and related activities. In the pilot districts, where most of the implementation process has been completed, it was observed that understanding across the community on the Act and its implications was inconsistent. Further most beneficiaries were doubtful and confused in terms of the status of implementation and the intention of the government.

### Opportunities for improvement

- The **schedule and start of mobilization activities could be more clearly defined** with consensus of all stakeholders preferably at the end of the inception meeting
  - Adhering to a set schedule is helpful as it ensures that the initial mobilization and awareness building starts before the drone survey is conducted by the technical agency
- **Role and level of engagement of the ULB representatives** in the community mobilization process could be clearly defined in the Act
  - This could be communicated by the district administration to the ULB to ensure their presence and support
- There could be **clarity on what constitutes community mobilization**: Defining specific activities and formalizing them will ensure that NGOs follow a consistent and efficient method of awareness building across slums, including the types of activity (format and audience) and the duration and frequency for each
  - Specific details about the community mobilization activities to be carried out could be added either in the EOI or work order which can be used as guidelines by the NGOs
- The **messaging and information shared with the community should be standardized and consistent** across NGOs and districts
  - **Supporting materials** (booklets, pamphlets, etc.) to build a uniform understanding and maintain consistency in messaging could be developed and provided to the NGOs
  - Few **critical messages which are currently missing, could be included** in the information disseminated. These could include
    - Purpose of NGO and other stakeholders is not to evict the slum dwellers
    - Community members do not have to pay to anyone (except for the final settlement to the ULB)
  - The **messages and language should be simple** and designed in a way that they are understood by the community members
    - For example, household area to settled could be explained in local units (*nali*), instead of sq. meters or sq. feet
- Community mobilization could be **done in a staggered manner over a longer period of time**, rather than just at the start of the process and activities
  - Status update on the implementation process and expected timeline for getting the land rights certificate, could be shared in the later stages

## 2.2 Constitute UASRRC in each ULB

### Process snapshot

Number	Activity	Stakeholder
2.2	Constituting Urban Area Slum Redevelopment and Rehabilitation Committee (UASRRC) in each ULB	HUDD

### Overview

One of the entities to be constituted for the implementation process (as specified in the Act) is the Urban Area Slum Redevelopment and Rehabilitation Committees (UASRRC) in each ULB. It is the responsibility of the Department of Housing and Urban Development (HUDD) to constitute the UASRRC. This was done through a notification by the Commission-cum-Secretary, to the respective ULBs.

Figure 14: Notification for constitution of UASRRC



# The Odisha Gazette



EXTRAORDINARY  
PUBLISHED BY AUTHORITY

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## HOUSING & URBAN DEVELOPMENT DEPARTMENT

### NOTIFICATION

The 8th December, 2017

**S.R.O. No.633/2017**— In exercise of the powers conferred under sub-section (1) of Section-6 of the Odisha Land Rights to Slum Dwellers Act, 2017 (Odisha Act 10 of 2017), the State Government do hereby constitute an **"Urban Area Slum Redevelopment & Rehabilitation Committee"** for **Angul Municipality** consisting of following members and such committee shall have the authority to function and exercise powers vested under the above cited Act and the relevant Rules.

(a)	The Collector of the District	Chairperson
(b)	An elected representative of the Urban Local Body nominated by the Municipal Council	Member
(c)	Superintendent of Police or his representative, not below the rank of Deputy Superintendent of Police or Sub-Divisional Police Officer (SDPO)	Member
(d)	Tehsildar of the district (Tehsildar of the concerned ULB)	Member
(e)	Executive Officer of the Urban Local Body	Member
(f)	One Urban Planner to be nominated by the Collector	Member
(g)	One representative from any Community Based Organization or Slum Dwellers who are resident in the slums in the respective urban area - to be nominated by the Collector	Member
(h)	One representative of a reputed Non-Government Organization or Civil Society Organizations working in the Urban Area of the State - to be nominated by the Collector	Member

[No. 28854-HUD-DIR-SCH-02/2017/HUD.]

By Order of the Governor

G. MATHI VATHANAN

Commissioner-cum-Secretary to Government

The UASRRCs typically consists of the following members:

- District Collector (Head)
- An elected representative of ULB who is nominated by the respective Municipal Council
- Superintendent of Police (or a representative not below the rank of Deputy Superintendent of Police (DSP) or Sub-divisional police officer (SDPO))
- Tehsildar (of the corresponding ULB)
- Executive Officer (EO) of ULB
- One urban planner (who is nominated by the District Collector)
- One CBO/ slum dwellers representative (who is nominated by the District Collector)
- One NGO representative (who is nominated by the District Collector)

The UASRRC has two major roles to play:

- **Formulating the scrutiny sub-committee:**

- The role of the scrutiny sub-committee is to **validate household information and documents, that are submitted by the ULB as supporting material for the applications for settlements by the Slum Dwellers Association, and determine eligibility for issuance of land rights** (details of each of these activities have been provided in the last step of the process – Step 6: Validate and approve plan)
- **Preparing the list of slum dwellers eligible for issuance of land rights.** This role has two sub-activities:
  - Preparing and publishing the **initial list of eligible households**, inviting objections, and settling disputes
  - Preparing **final lists of eligible households** for approval by the head of UASRRC, which id be the District Collector

### Opportunities for improvement

- **Representatives from other departments (e.g., health, water, sanitation) could be included** in the UASRRCs, for effectively achieving long term goal of converting slums into livable habitats
- Keeping in mind the rich composition of UASRRCs and the long term goal of working on livable habitats as a mission, **the role of the Committee could be expanded beyond its current focus** to include the following (illustrative):
  - Provide qualitative **inputs on urban planning** (e.g. creation of common areas/public spaces) under ‘JAAGA’ – Odisha Livable Habitat Mission
  - **Provide verified data on housing** that can be of importance to ‘AWAAS’ – Odisha Urban Housing Mission
  - **Provide relevant input and information for other government schemes**, such as National Urban Livelihoods Mission, Swachch Bharat Mission, Aahar – the food program in Odisha

## 2.3 Provide permission to TA for drone survey

### Process snapshot

Number	Activity	Stakeholder
2.3	Provide permission to technical agency (TA) for drone survey	District Collector

### Overview

Unmanned aerial operations are regulated by the government to ensure the safety of other users of airspace and persons on the ground. Flying of any unmanned aerial vehicles in India above a height of 300 meters from the ground requires prior approval, irrespective of the purpose behind the activity. During implementation, the Unmanned Aerial Vehicles (UAVs) were not expected to fly above 200 meters from the ground. The Directorate General of Civil Aviation (DGCA) (the Indian governmental regulatory body for civil aviation under the Ministry of Civil Aviation) provided a blanket approval to the state government of Odisha (to the Department of Housing and Urban Development) to go ahead with aerial surveys.

**The Department of Housing and Urban Development (HUDD) through the Director of Municipal Administration (DMA) empowered the District Collector (DC) with the authority to issues the permits for flying the drones.** The permits were signed by the District Collector and addressed to the implementing partner (Tata Trusts). A copy of the permits were sent to the Director Municipal Administration, Additional Secretary at HUDD, ULB officials, Executive Officers and the Superintendents of Police for the records. The permits contains procedural details such as need to inform the Executive

Officers about the dates of survey, permissible timings for the survey and also details such as maximum height that the drones were allowed to fly to (80 – 100 meters).



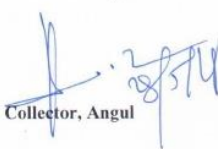

While no documents or requests were submitted by the technical agency to seek the approval, the District Collector implicitly relied on the selection and vetting done by the implementing partner (Tata Trusts). During this entire process, the technical agencies did not directly interact with the offices of the District Collector for approval orders. The point of contact for both the district administration and the agencies was the implementing partner (Tata Trusts).

However, it is to be noted, that **there were certain areas for which the District Collector or the state government were not authorized to provide an approval for the drone survey**. These include slums on land belonging to/ classified as (not exhaustive):

- **Defense or space research**
- **Prison sites**
- **Port authorities**

Follow up approvals had to be sought from other central agencies.

Figure 15: Letter providing permission for drone survey

		<b>DISTRICT URBAN DEVELOPMENT AGENCY: (ANGUL)</b> DISTRICT: ANGUL PIN-759122 Email: <a href="mailto:dudaangul@gmail.com">dudaangul@gmail.com</a> ori-dangul@nic.in Phone: 06754-230144			
Letter No: -		1644		Date:- 28.05.18	
<b>To</b>					
Sri Shishir Dash, Area Manager, Tata Trusts, Bhubaneswar.					
<b>Sub: Permission for undertaking Drone Flying Survey for Odisha Land Rights to Slum Dwellers Act 2017 in slum area of Angul Municipality, Talcher Municipality &amp; Athamallik NAC by Tata Trusts</b>					
<b>Sir,</b>					
<p>With reference to the subject cited above, I am to inform you that you are hereby permitted to undertake the Drone Flying Survey in slums of Angul Municipality, Talcher Municipality and Athamallik NAC between 7 AM to 5 PM in fixed days. The dates fixed by you for drone flying survey must be communicated in advance to this office with a copy to the concerned Executive Officers. The survey is allowed to be conducted from maximum of 80 to 100 meters of height and within the boundary limit of the slum or as will be identified by the said Executive officers of the Urban Local Bodies. You are directed to organize the same in consultation with the Concerned Executive Officers.</p>					
<p style="text-align: right;">Yours faithfully,</p> <p style="text-align: right;"> Collector, Angul</p>					
Memo No 1645 Dt. 28-05-18					
Copy submitted to Director Municipal Administration and Ex-Officio, Addl. Secretary to Govt. in H & UD Deptt., Odisha for kind information.					
<p style="text-align: right;"> Collector, Angul</p>					

### Opportunities for improvement

- **Timely processing of permission** from the office of the District Collector could aid efficient initiation of aerial surveys in slums
- **Alternate mechanisms for drone survey, such as manual measurements and mapping, could be incorporated in the Act** for inclusion of slum lands where permission for drone survey could not be obtained

## 2.4 Identify slum boundary and conduct drone survey

### Process snapshot

Number	Activity	Stakeholder
2.4	Identify slum boundary and conduct drone survey	
2.4.1	Identifying slum boundaries	TA, EO
2.4.2	Preparing and conducting the drone survey	TA

### Overview

Once the permission from the District Collector has been received to fly unmanned aerial vehicles (also commonly referred to as drones) in a district, the technical agencies meet with multiple stakeholders at the Urban Local Body (ULB) level (Executive Officers, Community Organizers, Ward Councilors) as necessary. This is done to identify the eligible slums, including their boundary and other details (land type, tenancy and ownership, number of households, etc.), and contextual understanding on matters such as ease of access to the communities and the slums and keenness of local government bodies.

#### 2.4.1 Identifying slum boundaries

This sub-step begins with the process of identifying slums in which the surveys need to be completed followed by a prioritization of these slums.

The TA arranges in-person discussions with representatives from the ULB (Executive Officers, Community Organizers, and Ward Councilors) and the revenue department (Revenue Inspectors). It was observed that different technical agencies followed different approaches, with one technical agency (SPARC) involving the revenue department in these discussions, while the other (Transerve) did not. This was done to get slum information that was not available with the ULB such as land type and ownership, as well as verifying the slum boundary. Based on on-ground experience and past data, eligible slums for the drone survey are identified, with details (land type and owners, no. of households, etc.)

**All slums in a district are not eligible to receive land rights under the Act** because of multiple reasons, some of which have been illustrated below:

- A cluster of houses could technically be specified as a slum but **most households already have land titles**
- A major section, if not the entire **slum is located on a piece of land wherein in-situ rehabilitation is not possible** (for example, if a slum is located on land that belongs to the Railways, in-situ rehabilitation is not possible)

Figure 16: Sample list of slums and the households therein

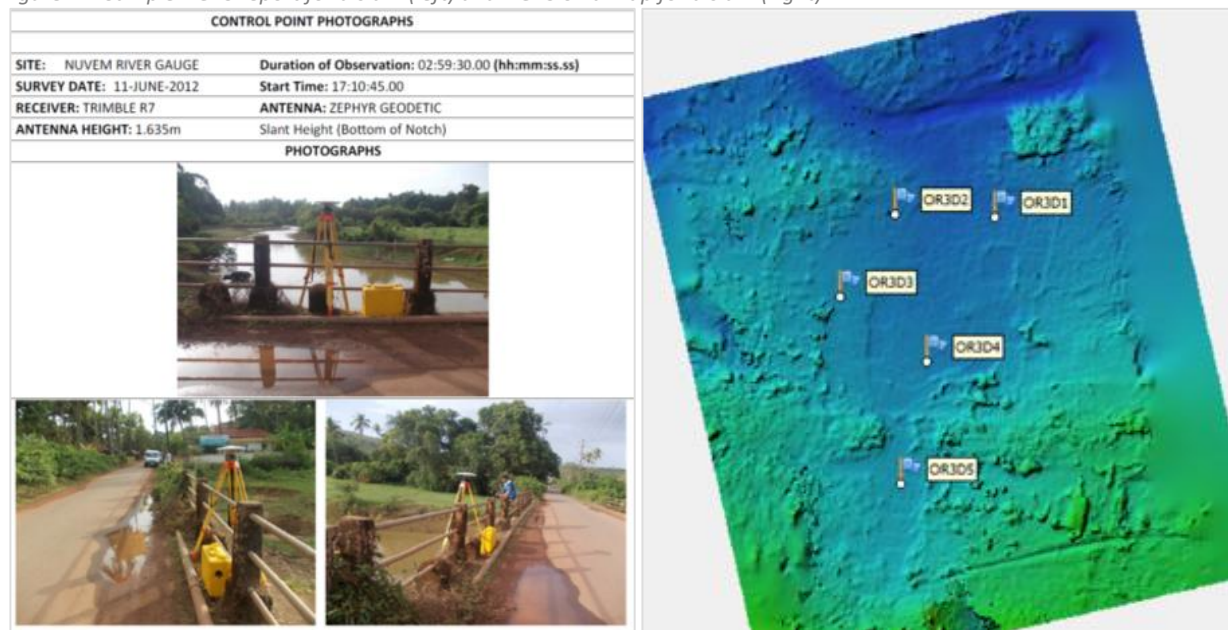


S.No.	District	Town	No. of Slums	No. of Slum Households
1	Cuttack	Choudwar	17	2269
2		Banki	10	1200
3		Athagarh	16	2497

As per interviews, **boundaries for the eligible slums are finalized using two methods**. Either the boundaries are **marked on a map using Google Earth, with assistance from the ULB and revenue department** representatives or a physical tour of the slums is completed to achieve the same objective. It was observed that in over half the slums, the number of household units and the slum boundaries varied from the data provided by the ULB. The first method (use of Google Earth) was typically used for larger slums or slums that had clearly identified boundaries and was more of an exception than the usual method. For most slums, clearly defined boundaries did not exist and a physical tour had to be completed before finalizing the boundaries. After marking of boundaries, the technical agency creates a list of slums with details which are verified and signed by the Executive Officer.

For the eligible slums, **technical agency also need to factor in local contextual details such as ease of access to the communities and the slums and keenness of local government bodies to assist in this initiative**. Excessive interference or resistance can not only delay but at times stall the process of aerial surveys. This information is informally gathered via discussions with the local Executive Officer with no formal protocol or documentation in place.

Figure 17: Sample DGPS report for a slum (left) and DGPS on a map for a slum (right)



### Opportunities for improvement

- **Trainings for key stakeholders to better understand and identify slum areas**, land type, Act details, etc. could aid in reducing time spent by TAs in collecting slum level data
- **Ensuring that the community has been appropriately informed about the Act** and the need for drone surveys, before the TA does the survey, can smoothen the process
- **Active involvement of the District Collectors and officials from DUDA (District Urban Development Authority), especially at the initial phase** (when TA collect slum level data) can help expedite data collection and cooperation from ULB officials
- **Alternate sources of records could be considered when data maintained by ULBs is inadequate, outdated, or in a physically dilapidated condition** (E.g., if the land records maintained by a ULB is not in a usable condition, copies of the same could be attained from the “Rajaswa Bhawan”, Office of Land Records & Surveys, Cuttack)

### 2.4.2 Preparing and conducting the drone survey

The next step for the eligible slums involved establishing differential GPS (DGPS). DGPS is a system that provides positional corrections to GPS signals. DGPS uses a fixed, known position to adjust real time GPS signals to eliminate pseudorange errors<sup>5</sup>. In the case of this engagement, establishing DGPS helped eliminate pseudorange errors from the GPS of the drones. In order to complete this step, the technical agencies collected the coordinates of the fixed, known positions (approximately five-six per slum) known as Ground Control Points (GCPs) a day or two before the actual aerial surveys. The GPS of the GCPs obtained on ground is triangulated with the GPS of the drone for better accuracy.

The technical agency conducted the drone survey by flying the drones over identified slum areas to collect multiple high-definition aerial images. The drone survey usually took about 15 minutes per slum. Pre and post work on the survey added up to an hour of work for every slum. The images captured by the drone are used to create ortho-images for the slums.

Figure 18: Sample quadcopter drone used for aerial surveys



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<sup>5</sup> Pseudorange errors are the errors that arise because of the difference in coordinates recorded using the manual process (DGPS) and via the drone. While agencies that typically have the lowest pseudorange errors are selected during the selection process (using Test bed demonstration), elimination of pseudorange errors in totality is not possible for an agency.

## 2.5 Collate images and create ortho-image map of slum

### Process snapshot

Number	Activity	Stakeholder
2.5	Collate images and create ortho-image map of slum	TA

### Overview

Once the drone survey is completed, the technical agency process the aerial images collected to:

- **Stitch the multiple images to create coherent ortho-image map of the slum**, including some extra area beyond the boundary to avoid missing out any household
- **Account for pseudo-range errors based on differential GPS (DGPS) collected**

Typically, this activity ranged between three and five days (post completion of the actual survey), and in most cases is completed within the timeline. The collation and processing of images requires just about 1-3 hours. However, substantial time is spent in transferring the images and maps back and forth between the slum and the processing lab/ office, which is at a distance from the slum (e.g., Bhubaneswar for SPARC and Goa for Transerve). This is done because as per terms of engagement, the technical agencies are required to provide physical copies to the ortho-image map to the implementing partner/NGOs.

While most maps delivered had no technical errors, there were observed instances when changes were needed. **Some of the cases when edits were requested for include:**

- When **slums/slum areas were ineligible and had been included in the maps**
- When **slums were too large and one single map could not accommodate the picture** (housing units appeared too small for recognition) and the maps had to be broken up to multiple ones for use
- When **maps were not readable, as printing was unclear or size/ resolution was inadequate**

Figure 19: Ortho-image map of a slum



### Opportunities for improvement

- **Detailed specifications could be provided to the technical agency on when to break up a map,** on ideal pixel resolutions, and on quality of output to reduce instances of rework on compiled ortho-image maps of slums
- **In order to fasten the process, soft copies of the map can be provided to the implementing partner/ NGO and it could be printed locally**
  - This depends on the availability and investment in printing facility that is technically compatible

## 2.6 Form SDA and facilitate selection of core team

### Process snapshot

Number	Activity	Stakeholder
<b>2.6</b>	<b>Form Slum Dwellers Association (SDA) and facilitate selection of core team</b>	
2.6.1	Organizing a large group meeting for the formation of SDA	NGO
2.6.2	Informing the community about the details of the Act and requirements from the community	NGO
2.6.3	Getting signatures from household members and facilitating the selection of core members	NGO

### Overview

After the drone survey, a community based entity called the Slum Dwellers Association (SDA) is formed in each slum. **The SDA constitutes members from each household in the slum. A core management team consisting of a President, Secretary and Treasurer is also elected for each SDA by the community.** The NGO is responsible for forming the SDA, facilitating the selection of core team, and supporting the SDA in its future activities.

**The SDA is a non-registered entity, acting on behalf of the members of the community and assisting the other stakeholders in the implementation of the Act.** However, the SDA as an entity is not explicitly defined in the Act. In essence, the SDA is envisaged an entity that truly represents the interests and preferences of the community. It also aspires to take the role of ensuring that implementation of the ground involves active participation by the community. The key roles and responsibility of the SDA includes:

- **Assisting the NGO in community mobilization and the Urban Slum Household Area (USHA) survey,** and ensuring uniform community awareness and buy-in
- **Initial validation and building consensus on the draft slum settlement proposal** provided by the technical agency. The draft settlement proposal details out household layout and area to be settled for each household, based on which the Slum Dwellers Association applies for land right to the Urban Area Slum Redevelopment and Rehabilitation Committee (UASRRC)
- **Applying for land rights** to the UASRRC
- Moving forward, it is envisioned that the SDA by design **will play a key role in the JAAGA' - Odisha Livable Habitat Mission**, for converting slums into livable habitats
  - The SDA has a crucial role the utilization of the Urban Poor Welfare Fund – devised from the payments received from slum dwellers for settlement of the land - to build infrastructure/ facilities in the slum, such as roads, street lights, etc.  
(Details about the Urban Poor Welfare Fund (UPFW) are covered in Process step 6: Validate and approve plan)



Despite the substantial role that the SDA has been drafted to play currently and in the future, it was observed that not much has been done to build the capacity of its members. In most cases, there is a lack of clarity among the core members on their roles and responsibilities. Further, no training or material is provided to support and guide them through the process of implementation. While the NGO is expected to hand hold the SDA with various activities throughout the process, how this can be achieved has not been outlined or institutionalized. In the interest of time, the NGOs carried out the role of the SDA during the pilot phase.

#### Opportunities for improvement

- The **scope of work for the SDA could be more clearly defined and formalized**, both in the land rights implementation process and in the livable habitat mission
  - Registering the SDA can also be considered. However, that will bring its own set of challenges in terms of cost, compliance (audits, meetings, etc.) and coordination
- **Competency of the members of the SDA could be built through capacity building and providing other support**, to empower and prepare them to carry out the various activities. These could be done through
  - Providing clarity on their role and responsibilities, stakeholders to coordinate with, etc.
  - Training on the technical aspects of work, such as reading an ortho-image map, creating a slum layout proposal, etc.
  - Involving the members of SDA in the execution of relevant activities to provide members with practical experience

### 2.6.1 Organizing meeting for the formation of Slum Dwellers Association

The NGO schedules the formation of the SDA in each slum. This is decided based on the schedule of other implementation activities (as the SDA is formed after the drone survey) and the availability of the representatives from the ULB. The NGO also selects a place to carry out the formation meeting. Generally, public/common areas in the slum, such as community hall, school or a field are selected. **Once the date and venue is finalized, representatives from the NGO coordinate with the two key stakeholders:**

- **Community:** During the mobilization and awareness building activities prior to the drone survey, the NGO informs the community members, specifically the key influencers, about the day for the formation meeting and request the presence of at least one member from each household
- **Urban Local Body:** The NGO also coordinates with representatives from the ULB and request their presence for during the formation meeting. Community Organizer, Ward Councilor and/ or Executive Officer choose to attend the SDA formation meeting. It is important to have some representation from the ULB, during the SDA formation meeting to assert credibility and agency to NGO

In few cases the representatives from the ULB were not available, leading to delays in the implementation. It was also observed that in a few slums the formation of SDA was done without any representatives from the ULB.

#### Opportunities for improvement

- It is important to **ensure that some representation from the ULB is present** in formation meeting of SDA. This helps the NGO build agency, trust and credibility with the community, and circumvent the any political influence from leaders
  - This could be included in the Act and/ or communicated by the district administration to the ULB to ensure their presence and coordination, and avoid delays

## 2.6.2 Informing the community about the details of the Act and requirements from the community

During the meeting the NGO informs the community members about the details of Act, the role of SDA, election of core members of the SDA, requirements from the community, etc. Typically, the meeting for the formation of the SDA lasts for about one hour long, and follows the following format:

- Representative from the ULB provides an overview on the objectives of the Act and the various process activities
- NGO reiterates the key points of the Act, role of SDA and election of core members and the documents required from the community during the USHA survey
- Inviting and clarifying the questions and doubts from the community

The key aspects of the Act are shared by the representatives from the NGO with the community. It is observed that the session is not interactive. The key messages shared include:

- **Objectives of the Act**, and the government's vision to provide land rights to slum dwellers across the state
- **Benefits of getting land rights**, especially as a proof for residence and for eligibility for other government schemes
- **Eligibility for getting land rights**, most importantly the cut-off date (August 10, 2017)
- **Rules of the Act**, such as the maximum household area that can be settled in different cases
- **Provisions for Economically Weaker Section (EWS) category**, such as limit for free land and cost for excess land
- **Nature of land rights given**, most importantly the joint nature of the rights and only one certificate to be issued
- **Land rights as the stepping stone to livable slums**, including other supporting government schemes

The NGO also informs community members about the USHA survey, and requests the community members to ensure they have the requisite documents ready before the survey. The main documents required are:

- **Proof of identity and address**, such as Aadhaar card, Voter ID, etc.
- **Proof of income**, such as ration card, income certificate, etc.
- **Photographs** of the husband and wife

It was observed that the format and messaging in the formation meeting varies with NGOs and/ or slums. Also, in most cases, there are not many questions raised by the community members. The typical questions include clarification of documents required, timeline for getting the certificate, etc.

### Opportunities for improvement

- The meeting for the formation of SDA could be **more standardized** through
  - Clearly **defining and documenting the roles and responsibilities** of SDA
  - **Codifying the messaging to the community**, format of the meeting and resolution book, composition/ representation of SDA, etc.
  - **Documenting the issues** and doubts raised by the community
  - **Leaving them with an FAQ section** that can be used for reference
- The meeting could be made **more interactive and engaging through a dialogue with the community members**, showing videos about the Act and implementation, etc.

### 2.6.3 Getting signatures from household members and facilitating the selection of core members

After the relevant information is disseminated to the community, a resolution book is created for each slum. This is a register (notebook) with the list of household members, and details such as the day of formation meeting, attendees, and names and signatures of 3 core SDA members. The NGO creates are two copies of the resolution book – one they give to the ULB and the other they keep for themselves. The NGO, with assistance from the community makes sure that every household is included in the list. **One member from each household, present in the meeting, signs the resolution book which marks their inclusion in the SDA as a member.** The cover page in the resolution book used by one of the NGOs during the full-scale is included below for reference.

Figure 20: Cover page of resolution book

**ଅଧିବେଶନ-୧**

ସ୍ଥାନ :  
ତାରିଖ :

ଅବଧି ତା..... ରିଖ, ....., ସମୟ .....

ଘଟିକାରେ ..... ଏନ୍.ଏ.ସି.ର ..... ନଂ. ଖାର୍ତ୍ତରେ, ସମସ୍ତ ବସ୍ତି  
ବାସିନ୍ଦାଙ୍କ ସହଯୋଗରେ ଏକ ସାଧାରଣ ସଭା ଆୟୋଜନ ହୋଇଥିଲା । ଉକ୍ତ ସଭାରେ ଶ୍ରୀ/  
ଶ୍ରୀମତୀ ....., ଉକ୍ତ ବସ୍ତିର କାର୍ଯ୍ୟକାରୀ, ସଭା ପତିତ୍ୱ  
କରିଥିଲେ ।

ଏହି ବୈଠକରେ ଏଫ.ଆଇ.ଡି.ଆର୍. ସଂସ୍ଥାର କର୍ମକର୍ତ୍ତା, ଏବଂ .....  
..... ଏନ୍.ଏ.ସି.ର କର୍ମକର୍ତ୍ତା ତଥା .....  
.....

ଉପସ୍ଥିତ ଥିଲେ । ଏହି ସଭାରେ ଏଫ.ଆଇ.ଡି.ଆର୍. ସଂସ୍ଥାର କର୍ମକର୍ତ୍ତା ଏବଂ ଏନ୍.ଏ.ସି.ର  
କର୍ମକର୍ତ୍ତାମାନେ “ଓଡ଼ିଶା ସରକାରଙ୍କ ବସ୍ତି ବାସିନ୍ଦା ଜମି ଅଧିକାର ଆଇନ-୨୦୧୭” ବିଷୟରେ  
ସମ୍ପୂର୍ଣ୍ଣ ରୂପେ ବୁଝାଇଥିଲେ । ବସ୍ତିର ସମସ୍ତ ବାସିନ୍ଦା ଏହା ବୁଝିବା ପରେ, ସେମାନଙ୍କ ବିଭିନ୍ନ ପ୍ରଶ୍ନ  
ଗୁଡ଼ିକର ଉତ୍ତର ମଧ୍ୟ ବୁଝାଇ ଦିଆଗଲା । ଉକ୍ତ ବସ୍ତିର ସମସ୍ତ ସଭ୍ୟ/ସଭ୍ୟା, ବସ୍ତିର ଏକ ସଂଘ  
ଗଠନ କଲେ ଏବଂ ନିମ୍ନଲିଖିତ ବ୍ୟକ୍ତିମାନଙ୍କୁ ସର୍ବସମ୍ମତିକ୍ରମେ ମନୋନୀତ କଲେ ।

୧. ସଭାନେତ୍ରୀ :.....

୨. ସମ୍ପାଦିକା :.....

ସକ୍ରିୟ ବ୍ୟକ୍ତିଙ୍କ ନାମ :

୧. ....

୨. :.....

ଶେଷର ବସ୍ତି ବାସିନ୍ଦା, ଏଫ.ଆଇ.ଡି.ଆର୍.ର କର୍ମକର୍ତ୍ତା, ଏନ୍.ଏ.ସି.ର କର୍ମକର୍ତ୍ତା ଏବଂ  
ସର୍ବୋପରି ସଭାପତିଙ୍କୁ ଧନ୍ୟବାଦ ଦେଇ ସଭାକାର୍ଯ୍ୟ ସମାପନ କରାଗଲା ।

ଉପସ୍ଥିତ ସଭ୍ୟ/ସଭ୍ୟା

**Additionally, the NGO informs the community members about the three core members of the SDA, which act as office bearers. These are**

- President
- Secretary
- Treasurer

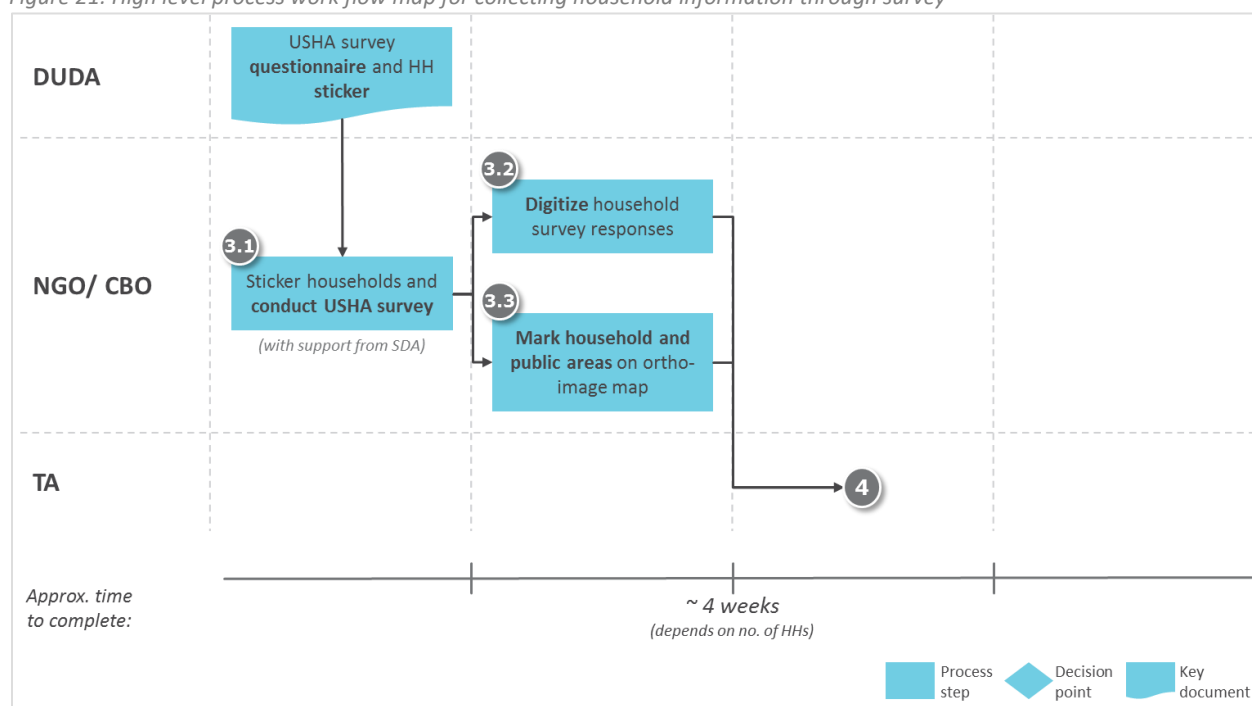
**These are elected by the community by informal consensus. Generally, people with competence, experience and influence are selected.** Though the core team is provided some additional context and details around their role and responsibilities of the SDA, no additional training or support is provided.

#### **Opportunities for improvement**

- **Details about the core team could be more clearly defined, such their roles and responsibilities, tenure, etc., and additional capacity building and support should be provided** so that they can fully participate in activities during implementation and as the process moves to the livable habitat building
  - Information on different **government schemes and access channels** can be shared
  - Information on **important stakeholders at the district and ULB level** can be shared
  - **Technical skills** (including but not limited to advanced numeracy, internet literacy etc.) can be built

### 3. Collect household information through survey

Figure 21: High level process work flow map for collecting household information through survey



#### 3.1 Sticker households and conduct USHA survey

##### Process snapshot

Number	Activity	Stakeholder
3.1	Sticker households and conduct Urban Slum Household Area (USHA) survey	
3.1.1	Procuring the USHA survey questionnaire and household stickers	NGO
3.1.2	Conducting door-to-door survey in the slum	NGO
3.1.3	Stickering each household with a unique ID	NGO

##### Overview

The Urban Slum Household Area (USHA) survey is one of the key steps in the implementation process. **The objective of the USHA survey is to collect data on slum households for determining the eligibility and area to be settled.** The details collected include:

- Demographic and socio-economic status
- Infrastructure of the dwelling unit
- Plot and land area occupied

**The NGOs also collect photographs of the applicants and supporting documents for proof of identity, address and income.** These documents along with the survey responses are used to determine the eligibility of the household for getting the land rights, and as input for calculating the area to be settled.

The USHA survey questionnaire also includes the land rights application submitted to the District Collector. The application consists of different sections for verification by entities, such as:

- Slum Dwellers Association
- Scrutiny Sub-Committee

- Urban Area Slum Redevelopment and Rehabilitation Committee (UASRRC)

In addition to the survey, the NGO also stickers each household with a unique identification number to mark its inclusion in the survey, and for referencing the household during future activities.

The representatives from the NGO procure the questionnaire and stickers from the District Urban Development Agency (DUDA), and conduct a door-to-door survey to collect responses and sticker the surveyed households. **They are supported by representatives from the Slum Dwellers Association (SDA) and Urban Local Body (ULB).** The representatives from the SDA guide the NGO through the slum, introduce them to the household members, and provide an initial verification of the respondent. The representatives from the ULB provide agency and credibility to the NGO with the community.

It is during the USHA survey that the NGO makes a number of observations on the different kind of living arrangements and situations that need to be evaluated closely – as they are not the norms – to settle for land rights. **Examples include when two families live under a single roof, which in most cases is a son and daughter-in law, living with their parents. The above living arrangements requires that two land right certificates are provided to the two families, if eligible.** To enable this, they are considered as separate households with two USHA survey responses collected and two stickers provided. The division of the land area for settlement for each family, is decided by the family. **Another situation that calls for close evaluation is when a slum dweller perceives ownership of more than one house in the same slum or a different (but eligible under the Act) slum.** In such cases, the NGO ascertains this information and clarifies that only one land title will be provided.

This is one of the most resource and time-intensive step in the overall implementation process. Many stakeholders have raised concerns over NGOs falling behind schedule and not being able to complete each earmarked step on time. NGOs find that the time taken to complete one household survey can sometimes go up to 20 minutes, and exceptions noted above only make the process more complicated. Moreover, the level of detail that the survey warrants make the information extraction process lengthy. Sometimes, NGOs face significant churn in the ground-level staff during the USHA survey process. Further, the survey document NGOs were informed about at the training stage has undergone iteration. (Details on the changes made are discussed below).

#### Opportunities for improvement

- It is important to **finalize the format and details of the USHA survey questionnaire before discussing it with the NGO**, either during the tendering process or trainings, to avoid confusion and setting false expectations around the scope of work
- Though some of the common exceptions faced (for example, multiple families in one house or one individual have multiple households) were discussed during the training provided, they have not been documented. Such **common exceptions could be documented and the step taken codified**, and provided to the NGO before starting the survey on the ground

#### 3.1.1 Procuring the USHA survey questionnaire and household stickers

Before starting the activity on the ground, the NGO procures the USHA survey questionnaire and household stickers from the respective DUDA. **It is the responsibility of DUDA to provide the printed copies of the questionnaire and stickers to the NGO.** The questionnaire is available in both English and Oriya. Most NGOs use the Oriya version while conducting the USHA survey.

**The format and details of both the survey questionnaire and household sticker were changed after the pilot, for the full-scale implementation.** This was done at the state level, with assistance from the

implementing partner (Tata Trusts), based on the learnings from the pilot. The modifications made the USHA survey questionnaire include:

- **Capturing additional details:**
  - Annual household income
  - Date of occupying, revenue village, khata and plot number, and classification for household plot
  - Surroundings and type of wall for the dwelling unit
  - Breaking up ownership of other land between same Urban Local Body or any other Urban Local Body
- **Deleting certain fields:**
  - Caste
  - Identification documents for all household members (instead of just applicant)
  - Number of rooms in the dwelling unit
- **Changing the format:**
  - Capturing the applicant details upfront
  - Removing response codes for few fields, such as gender, and relationship with applicant
  - Adding signature of Urban Local Body officer and NGO member along with the Secretary and President, in the declaration by the SDA
  - Specifying the nodal officer as an officer from Tehsil office, Urban Local Body officer and Head of Scrutiny Sub-Committee in the declaration by the Scrutiny Sub-Committee
  - Removing the payment amount for settlement in the declaration by the Urban Area Slum Redevelopment and Rehabilitation Committee (UASRRC)

**The USHA survey questionnaire is about 8 pages long with different sections to capture the various details, as outlined below:**

- **Household and member details:** These are used to determine the eligibility for each slum household, by capturing:
  - Location details, such as name of municipality, slum, street, house number (unique ID, as in the sticker), etc.
  - Applicant details, such as name, age, and father's/ husband's name, type of identification document, etc.
  - Household member details, including name, gender, age, relationship, dependency, etc.
  - Household's economic status, including annual income, type of EWS proof, etc.
  - Dwelling unit details, such as type of wall and roof, presence of toilet, access to public road, etc.
  - Ownership of any other land
  - Declaration by respondent (slum dweller), and signature of surveyor (NGO representative)

This section from the USHA survey questionnaire used during full-scale implementation is included below for reference.

*Figure 22: USHA survey questionnaire (household and member details)*



<p style="text-align: center;"><b>District ULB Slum Family</b></p> <p style="text-align: center;"><b>OD-USHA-20</b>    <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p style="text-align: center;"><b>Urban Slum Household Area Survey Format</b></p> <p style="text-align: center;"><b>(Part 1: For Tab Based Survey and Hard Copy Print)</b></p> <p>Survey Date: _____</p> <ol style="list-style-type: none"> <li>Name of the Municipality/NAC : _____</li> <li>Ward No.: _____</li> <li>Name of Slum: _____</li> <li>Street/Lane: _____</li> <li>House Number (As per <b>stickering</b>): _____</li> <li>Name of the Applicant : _____</li> <li>Age of the Applicant: _____</li> <li>Father's/ Husband's Name: _____</li> <li>Household Level General Information:</li> </ol> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th>S.No.</th> <th>Name</th> <th>Gender</th> <th>Age</th> <th>Relationship to Applicant</th> <th>Dependant of the applicant (Yes/No)</th> </tr> <tr><td>1</td><td></td><td></td><td></td><td>Self</td><td></td></tr> <tr><td>2</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>3</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>4</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>5</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>6</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>7</td><td></td><td></td><td></td><td></td><td></td></tr> </table> <p>10. Average annual income of the Family: Rs. _____</p> <p>11. Does the family possess any EWS Proof? (Only in case of EWS) <input type="checkbox"/> Yes - 01 <input type="checkbox"/> No - 02</p> <p>a. If Yes, <input type="checkbox"/> NFSA 2013 Ration card - 01 <input type="checkbox"/> Income Certificate - 02</p> <p>b. Picture/ Photocopy of EWS Proof: <input type="checkbox"/> Attached - 01 <input type="checkbox"/> Not Attached - 02</p>	S.No.	Name	Gender	Age	Relationship to Applicant	Dependant of the applicant (Yes/No)	1				Self		2						3						4						5						6						7						<p>12. Government documents / ID Cards of the applicants (For identification of eligible beneficiaries)</p> <p><i>*Attach copies of necessary documents.</i></p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th>Proofs</th> <th>ID Card Number</th> <th>Date of issue of the ID Card</th> </tr> <tr><td>Aadhaar Card - 01</td><td></td><td></td></tr> <tr><td>Voter identity Card - 02</td><td></td><td></td></tr> <tr><td>Bank passbook - 03</td><td></td><td></td></tr> <tr><td>Ration Card under NFSA 2013</td><td></td><td></td></tr> <tr><td>- 04 - Smart Card under</td><td></td><td></td></tr> <tr><td>RSBY - 05</td><td></td><td></td></tr> <tr><td>Govt. Order - 06</td><td></td><td></td></tr> <tr><td>Govt. Notification - 07</td><td></td><td></td></tr> <tr><td>Govt. Circular - 08 Govt.</td><td></td><td></td></tr> <tr><td>Resolution - 09</td><td></td><td></td></tr> <tr><td>Possession Certificate - 10</td><td></td><td></td></tr> <tr><td>Rent agreement - 11</td><td></td><td></td></tr> <tr><td>Electricity bill - 12</td><td></td><td></td></tr> <tr><td>LPG connection card - 13</td><td></td><td></td></tr> <tr><td>Others - Specify - 99</td><td></td><td></td></tr> <tr><td>None - 88</td><td></td><td></td></tr> </table> <p>Identity Proof of the Applicant</p> <p>Residence Proof of the Applicant</p> <p>Aadhaar No. (If available)</p> <p>Identity Proof of the Spouse of the Applicant</p> <p>Aadhaar No. (If available)</p>	Proofs	ID Card Number	Date of issue of the ID Card	Aadhaar Card - 01			Voter identity Card - 02			Bank passbook - 03			Ration Card under NFSA 2013			- 04 - Smart Card under			RSBY - 05			Govt. Order - 06			Govt. Notification - 07			Govt. Circular - 08 Govt.			Resolution - 09			Possession Certificate - 10			Rent agreement - 11			Electricity bill - 12			LPG connection card - 13			Others - Specify - 99			None - 88			<p>13. Details of the dwelling house:</p> <p>a. Type of Wall: <input type="checkbox"/> Brick-01 <input type="checkbox"/> Mud-02 <input type="checkbox"/> Thatch, grass, wood, bamboo etc-03</p> <p>b. Type of Roof: <input type="checkbox"/> Concrete-01 <input type="checkbox"/> Tiles - 02 <input type="checkbox"/> Grass, thatch, bamboo, mud etc - 03</p> <p>c. Does the House have Toilet? : <input type="checkbox"/> Yes - 01 <input type="checkbox"/> No - 02</p> <p>d. Whether the dwelling unit has access to Public Road: Direct - 01; Indirect - 02</p> <p>14. If the applicant or any of his/her family members have any land ownership in any ULB? <input type="checkbox"/> Yes - 01 <input type="checkbox"/> No - 02</p> <p>15. If the applicant or any of his/her family members have any land ownership in the same ULB? <input type="checkbox"/> Yes - 01 <input type="checkbox"/> No - 02</p> <p style="text-align: center;"><b>Declaration:</b></p> <p>I do hereby declare that the information furnished by me in the form is true to the best of my knowledge and belief. If this is found as false, I'll be punished as per the law.</p> <p>Signature/thumb impression of the Respondent (Relationship of the respondent with the Applicant)</p> <p>Place: _____ Date: _____</p> <p style="text-align: center;">Name of Surveyor      Signature of Surveyor</p> <p>Date: _____ Place: _____</p>
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- **Area and plot details:** In addition to household and member details, the survey also captures details about the household plot, area and infrastructure. These are used as part of the land rights application document, for determining the area to be settled. These include:
  - Plot details, such as date/ year since occupying the plot, revenue village, khata number, plot number, classification (khasam), actual area in physical occupation, etc.
  - Surroundings details of dwelling unit in the four directions
  - Additional area to be obtained through payment
  - Layout plan of applicant's plot
  - Land area in possession, claimed and to be settled
  - Rate of settlement
  - Declaration by applicant and spouse

Though these details are part of USHA survey questionnaire, this section is completed after the technical agency has provided the layout map/ draft settlement proposal to the SDA. The draft settlement proposal is created by the technical agency after getting the household details from the NGOs and the land details from the revenue department, and consists of the details about the settlement (land area, type of settlement, etc.) for each household. This section from the USHA survey questionnaire used during full-scale implementation is included below for reference.

Figure 23: USHA survey questionnaire (area and plot details)

<p style="text-align: center;"><b>APPLICATION FORM</b></p> <p style="text-align: center;"><b>(Part 2: Hard Copy)</b></p> <ol style="list-style-type: none"> <li>Name of the Applicant: _____</li> <li>Spouse's Name (Where required): _____</li> <li>Details of the dwelling house and plot:</li> </ol> <table border="1" style="width:100%; border-collapse: collapse;"> <tr><td colspan="2">From which date/ year occupying the plot</td></tr> <tr><td>Name of the revenue village/ mouza</td><td></td></tr> <tr><td>Khata no. of the plot</td><td></td></tr> <tr><td>Plot no.</td><td></td></tr> <tr><td>Classification (khasam) of the plot</td><td></td></tr> <tr><td>Actual area in physical occupation (in sq. ft.)</td><td></td></tr> </table> <p>4. Surroundings of the dwelling unit:</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th>Direction</th> <th>Details</th> </tr> <tr><td>East</td><td></td></tr> <tr><td>West</td><td></td></tr> <tr><td>North</td><td></td></tr> <tr><td>South</td><td></td></tr> </table> <p>5. Additional area desired to be obtained within the permissible limit through payment : (Please ✓) <input type="checkbox"/> Yes: <input type="checkbox"/> No:</p> <p>6. Additional area to be given on payment (in sq. ft.): _____</p> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <div style="border: 1px solid black; padding: 5px; text-align: center;">       Passport Size Photo of the Applicant     </div> <div style="border: 1px solid black; padding: 5px; text-align: center;">       Passport Size Photo of the Applicant's Spouse     </div> </div>	From which date/ year occupying the plot		Name of the revenue village/ mouza		Khata no. of the plot		Plot no.		Classification (khasam) of the plot		Actual area in physical occupation (in sq. ft.)		Direction	Details	East		West		North		South		<p style="text-align: center;"><b>Declaration:</b></p> <p>I/We do hereby declare that the information furnished by me/us is true to the best of my/our knowledge and belief. The conditions for the granting of Certificate of Land rights were clearly shown/ read and explained to me. I/we have neither suppressed any information nor misrepresented any facts as stated above. If ever it is found that the information furnished by me/us is false and fabricated, I/We will be penalised as per the provision of the law.</p> <p>I/We currently occupy _____ sq. ft. of land and I am/ We are agreeable to take the right for _____ sq. ft. of land. I/ We agree to pay Rs. _____ /- (Rupees _____ only) towards the cost of excess land of _____ sq. ft.</p> <p>I/ We also agree to surrender the _____ sq. ft. of excess land that is in my/ our possession/ occupation to the Authorised officer.</p> <p>Signature/thumb impression of the Applicant    Signature/thumb impression of the Spouse</p> <p>Date: _____ Date: _____</p> <p>Place: _____ Place: _____</p>	<p style="text-align: center;"><b>Layout Plan of Applicant's Plot:</b></p> <div style="border: 1px solid black; height: 150px; margin: 10px;"></div> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><b>Land Area: (sq. ft.)</b></p> <ul style="list-style-type: none"> <li>In actual possession:</li> <li>Area claimed:</li> <li>Actual land area to be settled:</li> </ul> <p>Signature of the officer prepared _____</p> </div> <div style="width: 45%;"> <p><b>Quantum of Land to be settled: (sq. ft.)</b></p> <ul style="list-style-type: none"> <li>Eligible Land:</li> <li>Balanced land to be settled:</li> <li>Rate of settlement value : Rs. _____</li> </ul> <p>Signature of the officer prepared _____</p> </div> </div>
From which date/ year occupying the plot																								
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Actual area in physical occupation (in sq. ft.)																								
Direction	Details																							
East																								
West																								
North																								
South																								



- **Verification by different entities:** The USHA survey questionnaire also has sections for verification of the land rights application for various entities. These include:
  - **Verification by the SDA**, with signatures from the Secretary and President of SDA, ULB officer and NGO member after confirming household eligibility and actual occupancy
  - **Verification by the Scrutiny Sub-Committee**, with signatures from the officer from Tehsil office, Urban Local Body officer and Head of Scrutiny Sub-Committee after confirming veracity of the documents submitted, land in possession and eligible for settlement and payment to be made
  - **Final approval (or rejection) by UASRRC**, with the signature of the District Collector or Authorized Officer

Details in this section are also filled at a later stage, after the land rights application is submitted. This section from the USHA survey questionnaire used during full-scale implementation is included below for reference.

Figure 24: USHA survey questionnaire (verification by different entities)


<p style="text-align: center;"><b>For the use of Slum Dweller Association (SDA)</b></p> <p>As per the provision of the act, the applicant Ms/ Mrs/ Mr. _____ &amp; Ms/ Mrs/ Mr. _____ is/ are eligible / not eligible <input type="checkbox"/> for getting the certificate of land rights. Actual occupancy right is _____ sq. ft.</p> <table style="width: 100%;"> <tr> <td style="width: 50%;">Signature of the Secretary of SDA</td> <td style="width: 50%;">Signature of the president of SDA</td> </tr> <tr> <td>Name of the Secretary of SDA</td> <td>Name of the President of SDA</td> </tr> <tr> <td>Date:</td> <td>Date:</td> </tr> <tr> <td>Place:</td> <td>Place:</td> </tr> </table> <table style="width: 100%;"> <tr> <td style="width: 50%;">Signature of the ULB Officer</td> <td style="width: 50%;">Signature of the NGO Member</td> </tr> <tr> <td>Name of the ULB Officer</td> <td>Name of the NGO Member</td> </tr> <tr> <td>Date:</td> <td>Date:</td> </tr> <tr> <td>Place:</td> <td>Place:</td> </tr> </table>	Signature of the Secretary of SDA	Signature of the president of SDA	Name of the Secretary of SDA	Name of the President of SDA	Date:	Date:	Place:	Place:	Signature of the ULB Officer	Signature of the NGO Member	Name of the ULB Officer	Name of the NGO Member	Date:	Date:	Place:	Place:	<p style="text-align: center;"><b>For the use of Scrutiny Sub-Committee</b></p> <p>The documents submitted by the applicant have been verified and found correct <input type="checkbox"/> / incorrect <input type="checkbox"/> . The land in actual occupation by the applicant is _____ sq. ft. The applicant is eligible for issue of land right for an area of _____ sq. ft. subject to the payment of Rs. _____ (Strike out if not required).</p> <p><b>Remarks (if any)</b></p> <table style="width: 100%;"> <tr> <td style="width: 50%;">Signature and Seal of the Officer from Tehsil Office</td> <td style="width: 50%;">Signature and Seal of the Head of the Scrutiny Sub-Committee</td> </tr> <tr> <td></td> <td>Place:</td> </tr> <tr> <td>Signature and Seal of the ULB Officer</td> <td>Date:</td> </tr> </table> <p style="text-align: center;"><b>For the use of Slum Redevelopment and Rehabilitation Committee:</b></p> <p>_____ sq. ft. of land was settled in favour of the applicant and land right was issued. The application was rejected as the applicant is not eligible as per the act. (Strike out if not required).</p> <table style="width: 100%;"> <tr> <td style="width: 50%;">Name of the Collector/ Authorised Officer</td> <td style="width: 50%;">Signature of the Collector/ Authorised officer</td> </tr> <tr> <td></td> <td>Place:</td> </tr> <tr> <td></td> <td>Date:</td> </tr> <tr> <td colspan="2">Designation of the Authorised Officer</td> </tr> </table>	Signature and Seal of the Officer from Tehsil Office	Signature and Seal of the Head of the Scrutiny Sub-Committee		Place:	Signature and Seal of the ULB Officer	Date:	Name of the Collector/ Authorised Officer	Signature of the Collector/ Authorised officer		Place:		Date:	Designation of the Authorised Officer	
Signature of the Secretary of SDA	Signature of the president of SDA																														
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Date:	Date:																														
Place:	Place:																														
Signature of the ULB Officer	Signature of the NGO Member																														
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Date:	Date:																														
Place:	Place:																														
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Designation of the Authorised Officer																															

**For the household sticker used in the full-scale implemenattion, more details around the geographic location of the household were added.** These details are used to create the unique identifier for the household. The sticker/ unique identifier has the following information:

- District code
- Urban Local Body code
- Ward number
- Street/ lane number
- House number

These are assigned by the NGO to each household, based on its location. The household sticker used during the full-scale implementation is included below for reference.

Figure 25: Household sticker



**GOVERNMENT OF ODISHA**  
Housing & Urban Development Department

# USHA SURVEY

(ODISHA LAND RIGHTS TO SLUM DWELLERS RULES, 2017)

ULB NAME - \_\_\_\_\_ SLUM NAME - \_\_\_\_\_

DISTRICT CODE		ULB CODE		WARD NO.		STREET / LANE NUMBER		HOUSE NUMBER	

It was observed that in some cases there was a delay in providing the USHA questionnaire and/ or the household stickers to the NGO by DUDA.

### 3.1.2 Conducting door-to-door survey

The NGO conducts a door-to-door survey to get the USHA questionnaire filled. The NGO informs community members in advance about the date for the USHA survey. **During the survey, representatives from the NGO go door-to-door to administer the survey. They are assisted by the members of the SDA who guide them through the slum and facilitate interactions with each household, as well as verify the authenticity of respondent.** Sometimes, representatives from the ULB such as the Community Officer and/ or the Ward Councilor also accompanies the NGO during the USHA survey, providing agency and credibility to the NGO.

The representatives collect the survey responses, supporting documents and photographs from the applicant. During the initial full-scale implementation, it was observed that in many cases **the NGO collect the responses manually and not digitally** (The process and reasons behind this are covered in detail in Process step 3.2: Digitize household survey responses). On average, a NGO covers 20 households in a day with a team of 2-3 people. One household takes about 15 -20 minutes.

Generally, household members are ready with the information and documents required. However, it was observed that in a few cases, the household members were not present during the USHA survey as they were out for work. **Since it is the responsibility of the Slum Dwellers Association to make sure that every household is covered, they try to ensure they are covered by the NGO at a later day.**

#### Opportunities for improvement

- It is important to **communicate the date and requirements for USHA survey to the community in advance** so they are present and ready with the information and documents required, and the survey could be completed quickly
  - Core members of the SDA can be leveraged to inform the community about the USHA survey details

### 3.1.3 Sticking each household with a unique ID

In addition to getting the household information and documents, the NGO representative also provide a unique identifier to each household surveyed. **This unique identifier is based on the location detail of**

**the house. The same identifier is used in the USHA survey, as well as in future activities to reference the house.** The identifier is put on a sticker, which is pasted on the front wall/ door of the each household. The sticker marks the inclusion of the household in the USHA survey, and highlights the unique identifier for referencing the household in future visits for verification.

The NGO does not follow a set sequence of households for the purpose of the survey. Generally, the representative from the NGO enter from one side of the slum and follow the road, surveying one household after another. The household number in the unique identifier is also assigned on the same basis.

The slum dwellers consider the sticker as an important document provided to them. In most cases, they do not put up the sticker on the front wall/ door and store it safely within the house, or put up a photocopy of the sticker.

#### Opportunities for improvement

- Representative from the NGO could paste the sticker themselves, and **educate the slum dwellers on why the sticker should be put up in front of the house**

## 3.2 Digitize household survey responses

### Process snapshot

Number	Activity	Stakeholder
3.2	Digitize household survey responses	NGO

### Overview

**After conducting the Urban Slum Household Area (USHA) survey on the ground, the NGO provides the responses both in hard copy and digital format.** The objective for both formats is different:

- The hard copy of the responses is submitted to the Urban Local Body (ULB). It is also a part of the land rights application, shared with and verified by the relevant stakeholders such as the Scrutiny Sub-Committee and the Urban Area Slum Redevelopment and Rehabilitation Committee (UASRRC). The hard copy is maintained by the government for record-keeping.
- The digital copy is given to the technical agency, to update the applicant and household information on the land information system

In addition to the survey responses, photographs and supporting documents are also submitted in digital format by the NGO. **Tablets were provided by the implementing partner (Tata Trusts) to the NGOs, free of cost, for capturing the survey responses and documents in a digital format.** Once the implementation is complete, the NGOs are expected to return the tablets back to the implementing partner (Tata Trusts). 'Survey123 for ArcGIS' is the application used to capture survey responses. The application can be used on any android based smartphone or tablet.

It was expected that the paper and digital responses will be filled simultaneously while conducting the USHA survey in the slum. However, it was observed that in most cases the NGO representatives captured details manually alone, while conducting the door-to-door survey. The digital entries are either made by another NGO representative or after the survey. This effectively means that digitization of responses is a separate activity, requiring additional time and resources.

It was observed that many NGOs do not have digital capabilities, which leads to inaccurate and/ or incomplete digital data. Additionally, there were technical issues with the tablet provided, such as issues with data entry, and difficulty in connecting and uploading data. To make sure that the digital data is accurate, the implementing partner (Tata Trusts) does a quality check on the data uploaded (for ~10% of the responses). In case of any issues or missing data, the NGO/ ULB is asked to verify and update the information. It was also observed that NGOs did not have clarity on the format of the digital responses to be submitted, as it was not communicated in-detail. The training in October 2018 was conducted to train NGOs on these issues to ensure more consistent and accurate capture of information and digitization.

#### Opportunities for improvement

- **Only digital responses could be collected**, while conducting the USHA survey on the ground.
  - Print-outs of digital copy could be provided the concerned government entities for verification and record keeping
- The **format of the digital responses could be more clearly defined and communicated** to the NGOs
- **Better quality tablets** could be provided to ensure seamless data entry and upload

### 3.3 Mark household and public areas on ortho-image map

#### Process snapshot

Number	Activity	Stakeholder
3.3	Mark household and public areas on ortho-image map	NGO

#### Overview

The ortho-image map generated by the technical agency is provided to the NGO. **The NGO marks the households and public areas in the slum on the map during the Urban Slum Household Area (USHA) survey, and gives it back to the technical agency. These markings provide information on the existing household and public areas, and the overall layout of the slum.** This is used as an input by the technical agency, along with the USHA survey responses, to calculate the area to be settled for each household and plan the layout for the slum for settlement.

The representatives from the NGO carry the ortho-image while conducting the USHA survey, and number each household and mark the household boundary on the map. The number, on the sticker is used to number the households. The slum roads and access road to each household are also marked. Additionally, public areas such as structures (e.g. temples, community halls, etc.) and common areas (e.g. ponds, fields, etc.) are also marked. The representatives from the NGO use different color pens to mark the different structures on the map. A marked ortho-image map used during the full-scale implementation is included below for reference.

*Figure 26: Marked ortho-image map of slum*



The marked ortho-image map is used by the technical agency to create the settlement plan for the slum. The household boundary is used to calculate the area occupied. In most cases, the boundary marked overlaps with the household structure captured in the drone image. However, the NGO updates the household boundary if there are discrepancies on the ground. **In case of two families living within the same household, the NGO marks a line dividing the household into two parts, based on existing living arrangement or by asking the household members about the area division.** The NGO also marks entrances and the access to road for both households.

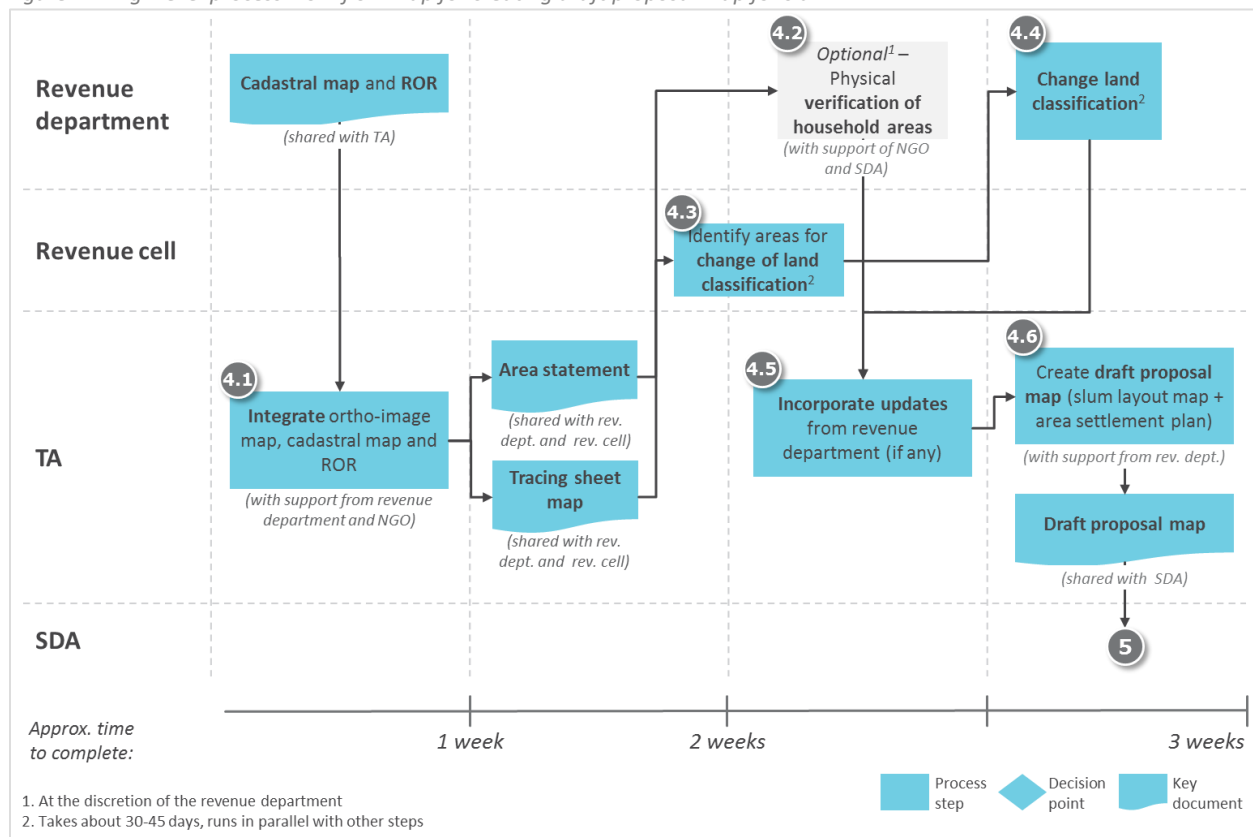
The roads and public areas marked by the NGO are used by the technical agency to determine the layout for settlement, and identify areas for shifting households (relocation a household within the same slum), if required. While determining the layout, it is important to ensure that every household is directly connected by a road. If this is not possible, the household can be shifted to an empty area in the slum. Once the household layout and settlement is created by the technical agency, these are passed to the revenue department for verification, and eventually to the SDA for agreement by the community.

### Opportunities for improvement

- It is important to ensure that the **NGOs mark the ortho-image maps clearly and accurately** (especially in the case of two families, when demarcation is required), for correct calculation of the area for settlement
  - Focus on these details and exceptions could be increased during the trainings provided

## 4. Create draft proposal map for slum

Figure 27: High level process work flow map for creating draft proposal map for slum



### 4.1 Integrate ortho-image map, cadastral map and ROR

#### Process snapshot

Number	Activity	Stakeholder
4.1	Integrate ortho-image map, cadastral map and Record of Rights (ROR)	Technical Agency

#### Overview

Details for this step have been gathered through discussions with the implementing partner (Tata Trusts) and the technical agency (SPARC), given their experience in executing this step during the pilot phase and full-scale implementation of the project.

Post the creation of the marked ortho-image maps, steps need to be taken to begin building the draft proposal map. The draft proposal map is the document that is submitted to the Slum Dwellers Association (SDA) for validation and consensus before the application for the settlement of land rights can be initiated. The draft settlement map is created using approved (by the revenue department) area statements and tracing sheet maps, which consist of household details and land details. Steps 4.1 through 4.5 outline how the approved two documents are created whereas Step 4.6 outlines the contents of the draft proposal map. Steps 4.3 and 4.4 were added as an additional step during the course of full-scale implementation.

The technical agency procures the cadastral maps and ROR (Record of Rights) from the revenue department and the marked ortho-image map (containing details of households and public areas) from



the NGO. The cadastral maps and ROR are land records maintained by the revenue department, capturing details such as land ownership and type of use.

With this input from the revenue department and NGO, the technical agency integrates the marked ortho-image, cadastral maps and ROR and identifies the household areas to be settled. Interviews suggest that at times the cadastral maps and ROR were outdated and did not reflect the changes on the ground. In other instances, technical agency pointed out that cadastral maps are usually at a district level and to identify or work on land details at the slum level on such maps was tedious.

This exercise led to the creation of two documents:

- Area statements: An area statement is a household-level list with location and tenant details and the area occupied
- Tracing sheet maps: A tracing sheet map is a transparent map, with household boundaries and numbers, used for creating the slum layout map

Both these documents are then handed over to the revenue department for verification of household areas and land details (type, ownership, etc.) (Which is an optional step) and incorporation of any updates that they may have. Additionally, these documents are given to the revenue cell to identify potential slums that lie in untenable lands and see if their land classification can be changed, so the households do not have to be relocated and can be settled in-situ.

Figure 28: Area statement

Sl No	House No	Beneficiary Name 1	Beneficiary Name 2	Occupied Area Remarks	Occupied Area (Sqft)	Village Name	Khata No	Rev Plot No	Kissam	RoR Tenant	RoR Area (Ac)	Area (Sqm)	Allotted Area (Ac.)	Allotted Area (Sqft)	Settlement Remarks
1	1	Reena Das	Bharan Das	Ok	32.744	Hinjili S6(GA)	1539	1000	Bill Dofasli Ek	Sri Swapneswar Mahaprabhu Bije	0.198	3.042			
2	2	Jhunu Nayak	Kabi Nayak	Ok	29.493	Hinjili S6(GA)	1539	1000	Bill Dofasli Ek	Sri Swapneswar Mahaprabhu Bije	0.198	2.74			
3	3	Pinki Kumari Das	Sanjaya Das	Ok	105.755	Hinjili S6(GA)	1539	1000	Bill Dofasli Ek	Sri Swapneswar Mahaprabhu Bije	0.198	9.825			
4	4	Anita Das	Kiran Das	Ok	240.799	Hinjili S6(GA)	1539	1000	Bill Dofasli Ek	Sri Swapneswar Mahaprabhu Bije	0.198	22.371			
5	5	Jhili Das	Gandhi Das	Ok	296.869	Hinjili S6(GA)	1539	1000	Bill Dofasli Ek	Sri Swapneswar Mahaprabhu Bije	0.198	27.58			
6	6	Jhunu Das	Subash Das	Pay	325.468	Hinjili S6(GA)	1539	1000	Bill Dofasli Ek	Sri Swapneswar Mahaprabhu Bije	0.198	30.237			
7	7	Bishnu Das	Sankar Das	Ok	237.527	Hinjili S6(GA)	1539	1000	Bill Dofasli Ek	Sri Swapneswar Mahaprabhu Bije	0.198	22.067			
8	8	Sundari Das	Balaran Das	Ok	183.858	Hinjili S6(GA)	1539	1000	Bill Dofasli Ek	Sri Swapneswar Mahaprabhu Bije	0.198	17.081			
9	9	Chhaya Das	Malusu Das	Pay	338.288	Hinjili S6(GA)	1539	1000	Bill Dofasli Ek	Sri Swapneswar Mahaprabhu Bije	0.198	31.428			
10	10	Jhila Das	Kangali Das	Ok	254.857	Hinjili S6(GA)	1539	1000	Bill Dofasli Ek	Sri Swapneswar Mahaprabhu Bije	0.198	23.677			
11	11	Saila Das	Bira Das	Ok	185.828	Hinjili S6(GA)	1539	1000	Bill Dofasli Ek	Sri Swapneswar Mahaprabhu Bije	0.198	17.264			
12	12	Urmila Das	Magati Das	Ok	274.878	Hinjili S6(GA)	1539	1000	Bill Dofasli Ek	Sri Swapneswar Mahaprabhu Bije	0.198	25.537			
13	13	Santosh Das	Maheswar Das	Ok	239.023	Hinjili S6(GA)	1548	2983	Kenal	Jala Sechana Bibhaga	0.54	22.206			
14	14	Namita Das	Daka Das	Ok	214.030	Hinjili S6(GA)	1548	2983	Kenal	Jala Sechana Bibhaga	0.54	19.884			
15	15	Saraswati Das	Sukuru Das	Ok	183.772	Hinjili S6(GA)	1548	2983	Kenal	Jala Sechana Bibhaga	0.54	17.073			

Figure 29: Tracing sheet map



### Opportunities for improvement

- In most cases the revenue departments have **limited copies of the cadastral maps** and are unwilling to share them with the technical agency:
  - **Multiple copies** of the cadastral maps could be **procured before the commencement of this step** to avoid delays
  - **Alternate sources** for cadastral maps could be provided to technical agency before the commencement of the process so that they could **get the copies without delays** (e.g. cadastral maps could be sourced from the office of the Director of Land Records & Surveys, Cuttack for the state of Odisha)

## 4.2 Physical verification of household areas

### Process snapshot

Number	Activity	Stakeholder
4.2	Physical verification of household areas	Revenue department

### Overview

*Details for this step have been gathered through discussions with the implementing partner (Tata Trusts), given their experience in executing this step during the pilot phase and full-scale implementation of the project.*

On receiving the area statement and the tracing sheet map from the technical agency, the revenue department has the option to physically verify details such as the household ownership and land area. The physical verification is done primarily to confirm the accuracy of the data captured (area of households) through the drone survey. Physical verification is typically not done for all the households enumerated in the area statements but ~5% of total records. The physical verification is carried out by Amins or other officers of the revenue department. The houses to be verified are selected by random sampling. The verification of household areas typically takes 2-3 days to be completed for an Urban Local Body. Members of the NGO and the SDA accompany the Amins/other officers of the revenue department to introduce them to the slum dwellers and act as facilitators and a link between the community and the officials.

On completion of the activity, the revenue department can do either of the following:

- In case there are no errors or updates to be requested, the department can sign the area statement and the tracing map and send them back to the technical agency (for them to create slum layout maps with area settlement maps)
- In case there are errors/deviations/updates that need to be corrected, they can send these suggestions to the technical agency for updating. This then becomes an iterative process, till the records are in line with what the revenue department has physically observed
  - It is to be noted that no deviations/errors were observed during the physical verification conducted during the pilot phase of this project

There is no report or an output that is submitted at the end of the physical verification process.



### Opportunities for improvement

- Interviews suggest that there **are limited of Amins** in the state of Odisha to conduct the physical verification process. It would be beneficial to work on **increasing the number of Amins available for this process**

## 4.3 Identify areas for change of land classification

### Process snapshot

Number	Activity	Stakeholder
4.3	Identify areas for change of land classification	Revenue cell

### Overview

*Details for this step have been gathered through discussions with the implementing partner (Tata Trusts) and the revenue cell, given their experience in executing this step during the full-scale implementation of the project.*

During the pilot phase, if a household was on untenable land (as per its classification), it could not be settled in-situ and was proposed to be relocated. However, in many cases the classification of the land as recorded in the cadastral map and ROR does not reflect the true current character and function of the land. Additionally, relocating households is a costly process (as it requires the government to buy the new land to relocate), and can disrupts livelihoods of the slums dwellers (which is closely linked to the place of residence in most cases). Thus, for slum households on land classified as untenable but having different characteristic and usage in reality, it is more feasible and effective to settle such households in-situ rather than relocating. For lands that are truly untenable (for instance, railway, forest or defense land), the slum households needs to be relocated.

This approach was adopted during the full-scale implementation of the project, and additional steps (Step 4.4 and 4.5) were incorporated in the process. The implementing partner (Tata Trusts) constituted a separate team called the revenue cell for this purpose during the full-scale implementation. The Revenue cell has three key functions:

- **Identify lands that are classified as untenable, but have lost their character and function and can be used for settlement of slum households**
- **Coordinate with the revenue departments in various districts to facilitate and expedite the process of conversion of land classification**
- **Identify tenable lands for households that need to be relocated**

The area statement and the tracing sheet map developed by the technical agency consists of details about the land classification, as recorded in the cadastral map and ROR. Upon receiving these documents, the revenue cell identifies lands that have lost their recorded character and function and are suitable for settlement, with input from the technical agency. Common examples of such land include:

- Land classified as grazing land (*gochar*), but are already have houses built on it or are being used for other purposes
- Land earmarked for roads, graveyards, etc., but haven been overestimated and can be used for settlement

Once such areas have been identified, the revenue cell informs respective district revenue department to confirm the land details on the ground and change its classification so it can be settled in situ and the land rights certificate is issued at the earliest

## Opportunities for improvement

- **Cadastral maps and ROR should ideally have updated land classification** to reflect the true character and function of the land. This **information can be shared with the ULB** during the start of the implementation process so slum households lying on untenable lands that can be reclassified can be identified during the initial steps

#### 4.4 Change land classification

## Process snapshot

Number	Activity	Stakeholder
4.4	Change land classification	Revenue department

## Overview

*Details for this step have been gathered through discussions with the implementing partner (Tata Trusts) and the revenue cell, given their experience in executing this step during the full-scale implementation of the project.*

After obtaining the details for the untenable land identified for reclassification, the district revenue department undertakes field visits to verify current character and function of the land and confirm its feasibility for slum household settlement. This is done by issuing a spot visit memorandum for the Tehsildar and Revenue Inspector to visit and confirm reclassification of the land. The spot visit memorandum for reclassification of land during the full-scale implementation is included below for reference.

Figure 30: Spot visit memorandum for reclassification of land

### Spot Visit Memorandum

Spot visit Memorandum of Sri -----OAS / ORS Tahasildar / Addl. Tahasildar ----- for  
issue of land verification of Slum Dwellers in Mouza: -----for changing of Kissam Gochar / Panimahar/Rasta  
-----etc. on the following schedule of Land made on Dte -----.

My self, -----Revenue Supervisor, -----Revenue Inspector -----  
visited the spot on the following schedule of land for eventual issue of LRC for the Slum Dwellers after changing  
of Kissam Gochar / Panimahar / Rasta ----- for Kissam Patit Abadajogya Anabadi Khata.

### Schedule of Land

Mouza	Khata No.	Plot No.	Area	Kissam
-------	-----------	----------	------	--------

On Spot visit it appear that the Kisam Gochar has lost its character after functioning ULB in the said  
mouza and existing house by slum dwellers. Hence these patch of land in fit for establishment of Slum  
Dwellers Basti at Mouza -----S--- Khata No-----Plot No -----Area-----Kissam  
Gochar may be converted to Kissam Patit Reserved for Slum Dwellers.

Signature of RI	Signature of RS	Signature of Tahasildar
-----------------	-----------------	-------------------------

Following the confirmation for reclassification of land after the spot visit, the revenue department issues an order sheet for changing the classification of land under the Orissa Survey and Settlement Act 1958. After the land is reclassified, it is considered tenable and can be used for in-situ settlement of slum households. The order sheet for reclassification of land from the full-scale implementation is included below for reference.

Figure 31: Order sheet for reclassification of land

Schedule-LIII, Form No.- 320																																						
ORDER SHEET																																						
Date	From	To																																				
Tahasil-	PS-	Village -																																				
Dist -	Sub-Divn -----	Revenue Misc. Case No. ----																																				
Nature of case: For change of classification u/s 34(e) of Orissa Survey & Settlement Act 1958																																						
Sl. No of Order and Date	Order of the authority and Signature	Remarks																																				
	<p>On Receipt of the application of the executive officer -----Municipality / NAC and in pursuance of the provision of ODISHA Land rights act to slum Dwellers Act 2017, this case under U/R 34 (E of Orissa Survey and settlement Act is initiated for change of classification to make the schedule of land leasable. Register a case. The RK is asked to furnish the up to date ROR position. The RI ----- to verify and report the position. All report should be furnished within 3 days.</p> <p><b>Schedule of Land</b></p> <table border="1"> <thead> <tr> <th>Mouza</th> <th>PS No</th> <th>Khata No.</th> <th>Plot No.</th> <th>Area</th> <th>Kisam</th> </tr> </thead> <tbody> <tr> <td colspan="6">Tahasilidar</td> </tr> </tbody> </table> <p>Put up on Date -----</p> <p>Issue proclamation inviting objection within a period of 15 days. It need to the published in the locality / NAC / Municipality / Nijarata Office and office notice board.</p> <p>Put up on date----- Tahasilidar</p> <p>This case has been initiated for change of classification of schedule below land from</p>	Mouza	PS No	Khata No.	Plot No.	Area	Kisam	Tahasilidar						<p>AAA Rakhita (Pahada, Nala, Parbata to Patit Kisam) so as to make the land leasable for issuing land rights to the beneficiaries under Odisha land rights to slum Dwellers Act 2017.</p> <p><b>Schedule of Land</b></p> <table border="1"> <thead> <tr> <th>Mouza</th> <th>PS No</th> <th>Khata No.</th> <th>Plot No.</th> <th>Area</th> <th>Kisam</th> </tr> </thead> <tbody> <tr> <td colspan="6">Tahasilidar</td> </tr> </tbody> </table> <p>The position of the existing ROR is as follows</p> <p><b>Schedule of Land</b></p> <table border="1"> <thead> <tr> <th>Mouza</th> <th>PS No</th> <th>Khata No.</th> <th>Plot No.</th> <th>Area</th> <th>Kisam</th> </tr> </thead> <tbody> <tr> <td colspan="6"> <p>Out of the above area an extend of Ac ----- is required for change of classification to patit. Presently the land is not used under the said Kisam rather it is under the occupation of Slum Dwellers. The change of classification can be made within the parameters set by Government. Case taken up today. General notice has been duly published and SR back. No objection received from any quarter. The EO ----- / his authorised representative in present.</p> <p>Under the circumstances the case is allowed put up after appeal period is over</p> <p>Order pronounced in the open Court</p> <p>Tahasilidar</p> <p>Appeal period is over. As ascertained no appeal is filed. Effect the necessary correction of ROR. RK and OIC Computer to give effect to the order in the ROR. Send a copy of ROR to Executive Officer / Collector ----- for further action.</p> <p>Tahasilidar</p> </td> </tr> </tbody> </table>	Mouza	PS No	Khata No.	Plot No.	Area	Kisam	Tahasilidar						Mouza	PS No	Khata No.	Plot No.	Area	Kisam	<p>Out of the above area an extend of Ac ----- is required for change of classification to patit. Presently the land is not used under the said Kisam rather it is under the occupation of Slum Dwellers. The change of classification can be made within the parameters set by Government. Case taken up today. General notice has been duly published and SR back. No objection received from any quarter. The EO ----- / his authorised representative in present.</p> <p>Under the circumstances the case is allowed put up after appeal period is over</p> <p>Order pronounced in the open Court</p> <p>Tahasilidar</p> <p>Appeal period is over. As ascertained no appeal is filed. Effect the necessary correction of ROR. RK and OIC Computer to give effect to the order in the ROR. Send a copy of ROR to Executive Officer / Collector ----- for further action.</p> <p>Tahasilidar</p>					
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Both Steps. 4.3 and 4.4 only happen for slum households on untenable lands and run in parallel with the other steps, and take about 30-45 days for completion. Once the land reclassification is done, the households go through the following steps (as all other households) in the implementation process.

### Opportunities for improvement

- Revenue staff can be informed and trained on confirming and reclassifying land as it is a new activity

## 4.5 Incorporate updates from revenue department (if any)

### Process snapshot

Number	Activity	Stakeholder
4.5	Incorporate updates from revenue department (if any)	Technical agency

## Overview

*Details for this step have been gathered through discussions with the implementing partner (Tata Trusts) and the technical agency (SPARC), given their experience in executing this step during the pilot phase and full-scale implementation of the project.*

This step comes into play only when the revenue department identifies errors/ modifications/ updates on either the area statements or the tracing sheet maps or when reclassification of untenable land is done. This is an iterative step wherein the revenue department and the technical agency go back and forth reconciling data till the revenue department is satisfied with the veracity of data and signs on the two documents (area statements and tracing sheet maps).

While there were no deviations/errors observed during the physical verification conducted during the pilot phase of this project, illustrative errors or deviations could include (not exhaustive):

- Revenue plot number in the area statements do not match those on the tracing sheet maps
- Category of land mentioned in the area statements (for e.g. 'Jalashaya') do not match the records of the revenue department
- Area recorded (by acre or square meters) do not match with the physical verification by the revenue department

(Details about cases/examples for which land is reclassified is included in Process step 4.3: Identify areas for change of land classification)

The output from this step is the updated (if required) and finalized area statement and tracing sheet map.

## 4.6 Create draft proposal map

### Process snapshot

Number	Activity	Stakeholder
4.6	Create draft proposal map	Technical agency

## Overview

*Details for this step have been gathered through discussions with the implementing partner (Tata Trusts) and the technical agency (SPARC), given their experience in executing this step during the pilot phase and full-scale implementation of the project.*

Steps 4.1 through 4.5 outlined above help the technical agency in procuring validated area statements and tracing sheet maps. Using these documents as input, the technical agencies work in-house in creating a draft proposal map for the perusal of the Slum Dwellers Association (SDA). The draft proposal map looks similar to the tracing sheet map but has the following differences:

- Type of paper: While the tracing sheet map is prepared on a tracing paper, the draft proposal map is prepared on A3 white paper
- Color: While the tracing sheet map is etched out in black and white, the draft proposal map is color coded to identify richer detail

The contents of the draft proposal map include the following:

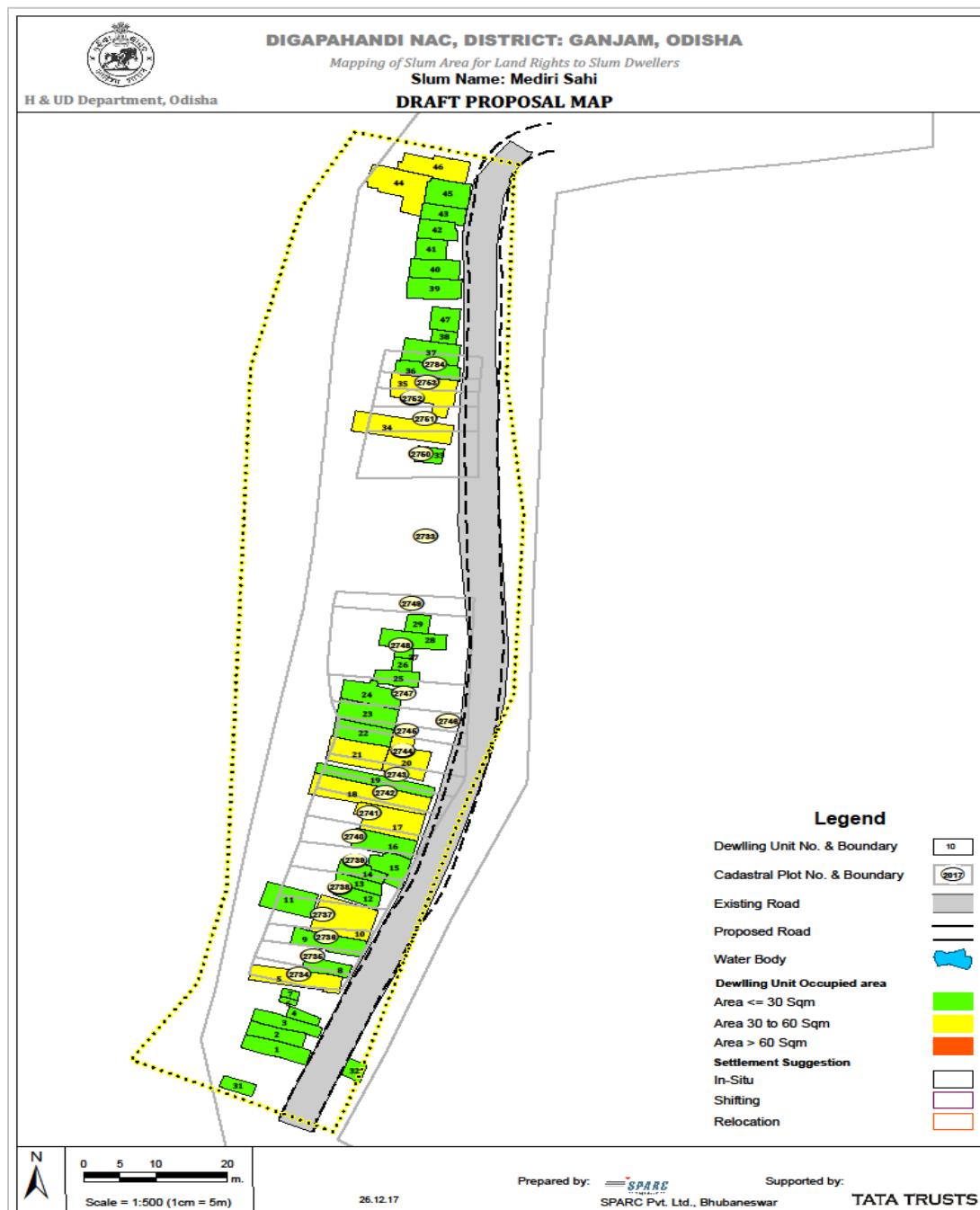
- Occupied area – Each household on the map is color coded based on their occupied area
  - Households with an area less than 30 square meters are marked in green
  - Households with an area between 30 and 60 square meters are marked in yellow
  - Households with an area greater than 60 square meters are marked in red

- Location suggestion – Each household is outlined with a different color to denote location suggestions
  - Houses which are proposed for in-situ rehabilitation are marked in black
  - Houses which are proposed for shifting (within the slum; for multiple reasons as such unavailability of road in front of the house) are marked in mauve
  - Houses which are proposed for relocation (outside the slum; for multiple reasons such as location of the house on a land type not eligible for rehabilitation) are marked in red
- Structure number – Each household has a structure number which had been provided during the ‘sticking’ process (Step 3.1) by the NGO. This number is mentioned in the draft proposal map and corresponds to the ‘House Number’ in the area statement
- Cadastral plot number and boundary – Each household has a corresponding cadastral plot number which had already been assigned by the revenue department in the past in accordance with their records. This number is distinguished from the structure number by an oval outline within which it is printed.
- Existing road – All existing roads within the slum are marked in a shade of grey
- Proposed road – Based on a directive that all household units should have access to a road in front of them, the technical agency, works in-house, to outline (using black dotted lines) proposed roads that would be required to comply with this directive
- Water body – All water bodies are marked out in blue
- Non-residential structure – All public spaces and non-residential structures are marked out with diagonal grey lines. These structures should have already been identified by the NGO while marking out public areas on the ortho-maps (Step 3.3)
- Slum boundary – The identified boundary of the slum (Step 2.4) is outlined with black dots encircled in yellow

The draft proposal map is created on a 1:500 scale (1 centimeter = 5 meters).

This map along with the area statements is then submitted to the Slum Dwellers Association for validation and consensus building on the area and type of settlement proposed for each household.

*Figure 32: Draft proposal map*

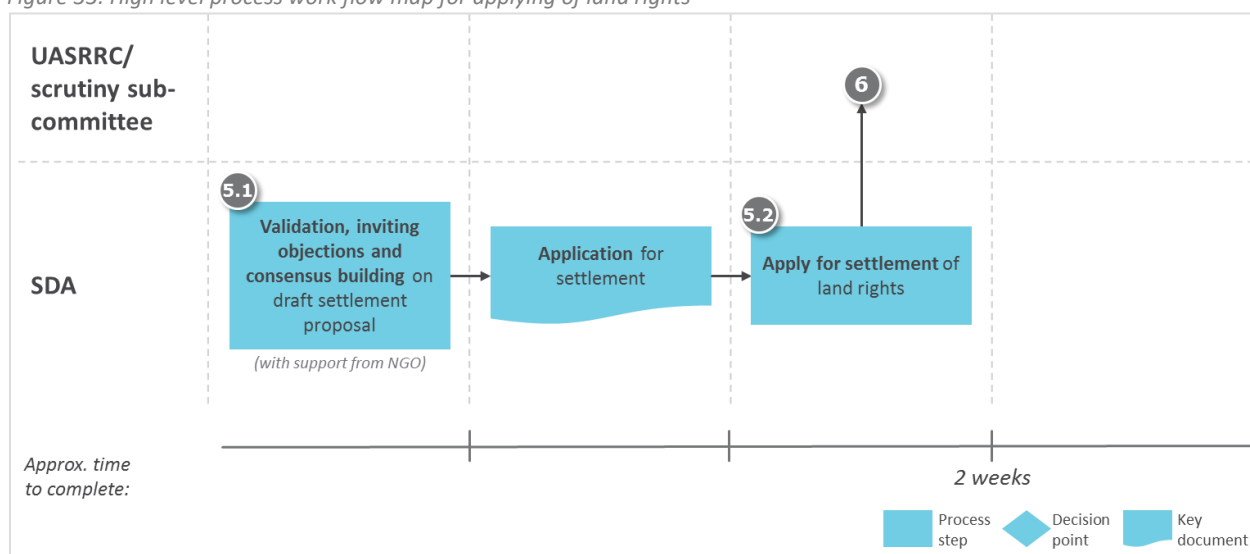


### Opportunities for improvement

- An **urban planner should ideally be involved** in the creation of the draft proposal map to provide expert inputs on aspects such as proposed roads and public spaces and structures
  - Given the dearth of urban planners in Odisha, getting experts on board for this engagement might be a challenge
- Technical agencies opine that a draft proposal map **should ideally be created post the completion of the dispute resolution phase** to reduce iterations and conflicts later on

## 5. Apply for land rights

Figure 33: High level process work flow map for applying of land rights



### 5.1 Validation, inviting objections and consensus building on draft settlement proposal

#### Process snapshot

Number	Activity	Stakeholder
5.1	Validation, inviting objections and consensus building on draft settlement proposal	SDA

#### Overview

Details for this step have been gathered through discussions with the implementing partner (Tata Trusts), given their experience in executing this step during the pilot phase and full-scale implementation of the project.

The purpose of this step is to submit the draft proposal map and the area statements created by the technical agency (with inputs from the revenue department and the NGOs) and submit them to the Slum Dwellers Association (SDA). The SDA further validates the data, invites objections and builds consensus before submitting the application for the settlement of land rights. The creation of the draft proposal map for the slum before this step are all completed by actors (such as the NGO, technical agency, and the revenue department) that are not the ultimate beneficiaries of this process (the slum dwellers). This step acts as a link between the various agencies and the slum dwellers in securing collective buy-in and validation by the community (via the SDA) of the proposed settlement plan.

The role of the SDA is critical in this process as it looks at establishing two outcomes:

- Validating all the individual and household details (as presented in the maps and the area statements), ensuring all households are included, and ensuring that public areas are marked properly
- Inviting objections from slum dwellers around proposed settlement details, such as area and payment
- Building consensus among slum dwellers in exceptional cases such as (not exhaustive):
  - When shifting is required within the slum (for multiple reasons as such unavailability of road in front of the house or the land is untenable)



- When relocation is required outside the slum (for multiple reasons such as location of the house on a land type not eligible for rehabilitation)
- When giving up of excess land (beyond the permissible limit) is required 45 sq.m (484 sq.ft) within a Municipality or 60 sq.m (646 sq.ft) within a NAC)

It is to be noted that this step was completed by the NGO during the pilot phase. Interviews have indicated that the reason behind this decision was a paucity of time and the need to ultimately hand out land right certificates in a short duration. While the NGOs did work on the validation aspect of the step, no consensus building steps with the community were taken. The exact role of the SDAs in this process was not defined during the pilot phase; understanding their experience in completing this step could be observed for further details during the full-scale implementation.

### Opportunities for improvement

- **Focused capacity building initiatives** could be taken to ensure that the SDAs are ready to perform their duties and answer any questions the slum dwellers may have during this step. Sample initiatives (not exhaustive) could include:
  - Training SDA members in **what to check and how to check in the digitized documents** (e.g., Area statements) that need to be validated
  - Training SDA members in **reading draft proposal maps**
  - Training SDA members in **soft skills related to building consensus** among slum dwellers
  - Training SDA members in the **basics of urban planning** so that they could not only understand the principles applied in the draft proposal map but also provide qualitative inputs to better the same

## 5.2 Apply for settlement of land rights

### Process snapshot

Number	Activity	Stakeholder
5.2	Apply for settlement of land rights	SDA

### Overview

*Details for this step have been gathered through discussions with the implementing partner (Tata Trusts), given their experience in executing this step during the pilot phase and full-scale implementation of the project.*

Once the validation and consensus building exercise has been completed by the Slum Dwellers Association (SDA), NGO in the case of the pilot phase, they submit the household application to the Urban Area Slum Redevelopment and Rehabilitation Committee (UASRRC), to begin validating household information and eligibility (Step 6.1). The application consists of the following documents:

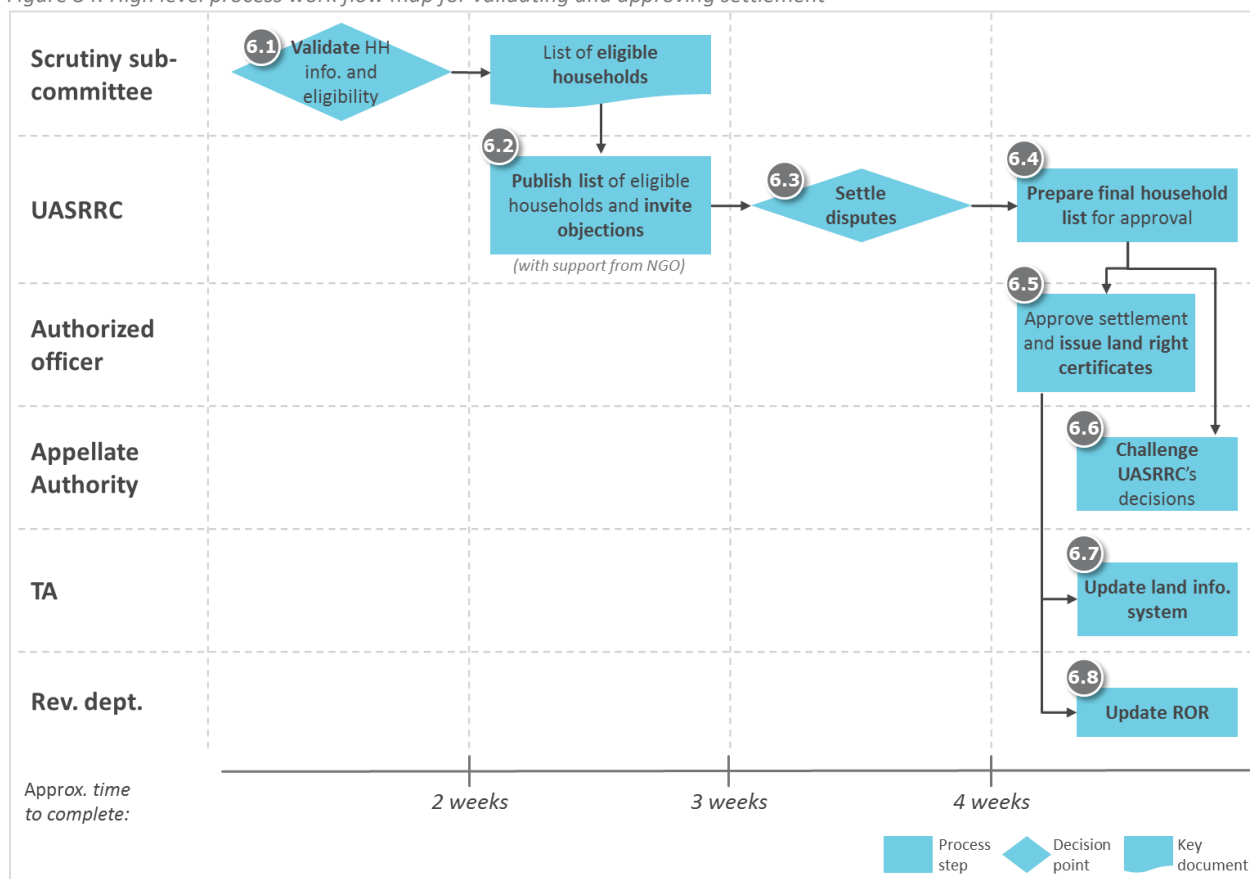
- USHA survey form, which includes
  - Applicant and household details and supporting documents collected by NGO
  - Individual household application verified by SDA
  - Plot layout verified by the revenue department
- Area statements and the draft proposal maps created by technical agency

It is to be noted that this step was completed by the NGO during the pilot phase. Interviews have indicated that the reason behind this decision was a paucity of time and the need to ultimately hand out land right certificates in a short duration. The exact role of the SDAs in this process was not defined during the pilot

phase; understanding the same as well as their experience in completing this step could be observed for further details during the full-scale implementation.

## 6. Validate and approve settlement

Figure 34: High level process work flow map for validating and approving settlement



### 6.1 Validate household information and eligibility

#### Process snapshot

Number	Activity	Stakeholder
6.1	Validate household information and eligibility	Scrutiny sub-committee

#### Overview

Details for this step have been gathered through discussions with the implementing partner (Tata Trusts), given their experience in executing this step during the pilot phase and full-scale implementation of the project.

The Urban Area Slum Redevelopment and Rehabilitation Committee (UASRRC) constitutes a sub-committee called the Scrutiny Sub-Committee, within itself (Details described in Process step 2: Constitute UASRRC in each ULB). The application for the settlement of land rights consists of household details and supporting documents, and is submitted to the UASRRC by the Slum Dwellers Association (SDA) with support from the NGO. There are suggestive guidelines on the composition of the Scrutiny Sub-Committee, which should include representatives from:

- Senior district officials
- Tehsil
- ULB

- NGO
- Integrated Child Development Services (ICDS) organizations
- Health and family welfare organizations

A notification for formation of Scrutiny Sub-Committee is sent by the Director Municipal Administration to District Collector and District Magistrate. The notification sent during the full-scale implementation, with suggestive guidelines on the composition of Scrutiny Sub-Committee is included below for reference.

Figure 35: Notification for forming Scrutiny Sub-committee

**Government of Odisha**  
**Housing & Urban Development Department.**

No. 4268 /HUD., Bhubaneswar, dated the 16.2.18  
HUD-DIR-SCH-02/2017

From: **Sri Sangramjit Nayak, IAS**  
Director Municipal Administration &  
Ex-Officio Addl. Secretary to Government

To: **The Collector and District Magistrates,  
All Districts**

Sub: **Implementation of Slum Land Settlement- invitation of objections and suggestions and constitution of Scrutiny Sub-Committee.**

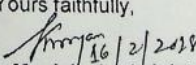
Madam/Sir,

I would like to invite reference to the subject cited above, and in this connection I am directed to say that, Government is keen for implementation of the Odisha Land Rights to Slum Dwellers Act and Rules for immediate benefit of Slum Dwellers residing in the Urban Areas. In this regard this Dept. have already intimated about the Role and Responsibilities of the NGO which will work from commencement to completion of the process. Since it involves community mobilization initiative and as per the requirement Slum Dwellers Association has to be formed for ratification of list of beneficiaries and other information at the Slum Level. Accordingly, 15 days time may be provided for finalization, objections and suggestions validate the list of beneficiaries other related data to avoid litigation in future.

It was also informed during Cluster Level review meeting that a Scrutiny Sub-Committee may be constituted for each ULB under the chairmanship of a senior Officer of the District along with field functionaries from Tahasil, ULB, NGO, ICDS Organizations, Health and Family Welfare Organization to bring transparency in the process prior to placement of the proposal before the UASRRC.

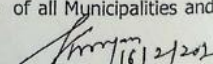
Similarly at the level of UASRRC, after completion of the scrutiny objections and suggestions may be invited by giving a period of 15 days prior to approval of the list of beneficiaries.

I would therefore request you to constitute a Scrutiny Sub-Committee for each ULB by involving suggested Officer/Officials and other stakeholders and to ensure the invitation of objections & suggestions at different level for proper implementation of Act & Rule.

Yours faithfully,  
  
Director Municipal Administration &  
Ex-Officio Addl. Secretary to Govt

Memo No. 4269 /HUD., Dated 16.2.18

Copy to all PD, DRDA-cum-PD, DUDA/Executive Officers of all Municipalities and NACs for information and necessary follow up action.

  
Director Municipal Administration &  
Ex-Officio Addl. Secretary to Govt

The land rights application is passed to the Scrutiny Sub-Committee by the UASRRC. **The Scrutiny Sub-Committee is responsible for verifying the applicant and household information, and determining the eligibility and settlement details (area, layout, etc.).** The revenue department, ULB and NGO supports the Scrutiny Sub-Committee in verification of land type and classification, household details and layout,

etc., by providing additional clarifications (if required). In a few cases, if required, members of the Scrutiny Sub-Committee go for a physical verification of the household/ land.

The land rights application submitted is at a household level, and consists of the following details:

- Demographic and socio-economic details about the applicant and household, from the USHA survey responses
- Documents as proof of identity, residence and income, submitted during the USHA survey
- Existing land/ plot details (area, type, etc.) and dwelling unit details (type of roof, access to road, etc.), from the USHA survey responses
- Land details to be settled (area, layout plan, etc.), from settlement proposal approved by the Slum Dwellers Association

**With the information submitted, the Scrutiny Sub-Committee verifies the eligibility of the applicant and their spouse by checking the validity of the documents submitted as proof of identity, residence and income.** Few reasons for which an individual can be deemed ineligible for getting the land rights include:

- If the applicant's documents submitted are not complete and/ or not valid
- If the applicant owns additional land in any urban area in the state
- If the applicant is applying for multiple pieces of land under the act

**The Scrutiny Sub-Committee also verifies the eligibility of the household for settlement, based on the type of dwelling unit, land area, etc. as defined under the Act.** A few cases under which a household can be deemed as ineligible for settlement include:

- If the applicant has occupied the house/ land after the cut-off date (of 10 Aug, 2017)
- If the household is permanent structure occupying more land area than the upper ceiling limit (of 45 sq.m. for Municipality and 60 sq.m. for Notified Area Council). The notification outlining this exclusion criteria sent during the full-scale implementation, is included below for reference.

*Figure 36: Notification outlining the exclusion criteria for household size*

**Government of Odisha**  
**Housing & Urban Development Department.**

\*\*\*\*\*  
No. 1606 /HUD., Bhubaneswar, dated the 17-1-18  
HUD-DIR-SCH-02/2017

From

**Sri Sangramjit Nayak, IAS**  
Director Municipal Administration

To

**The Collector & District Magistrates,**  
All Districts

**Sub: Exclusion of dwelling unit from settlement as per the Odisha Land Rights to Slum Dwellers Act, 2017.**

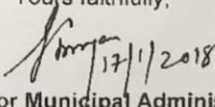
Madam/Sir,

I would like to invite a reference to the subject cited above and to say that doubts have arisen during pilot implementation of slum land settlement in different ULBs of Puri & Ganjam district regarding settlement of land in respect of dwelling unit having a permanent structure with an area of more than upper ceiling limit as prescribed in the Odisha Land Rights to Slum Dwellers Act & Rules, 2017.

In this regard it is clarified that these kind of dwelling units where permanent structures have already been constructed having plinth area more than the upper ceiling so fixed, may not be considered under the above referred Act.

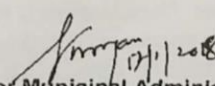
This should be followed scrupulously and instruction to the field functionaries may be issued during time of survey and physical verification.

Yours faithfully,

  
17/1/2018  
**Director Municipal Administration**

Memc No. 1607 /HUD., Dated 17-1-18

Copy forwarded to all PD, DRDA-cum-PD, DUDA of the State/Executive Officer, all ULBs for information & necessary action.

  
17/1/2018  
**Director Municipal Administration**

- If the land is not owned by the state government. Household lying on private land, on lands under the central government (e.g. forest, railway, defence, etc) cannot be settled by the state government

The household considered ineligible can become eligible, if the dispute around ineligibility is resolved (Details on the different type of dispute and their resolution discussed in Process step 6.3: Settle disputes).

**Additionally, the Scrutiny Sub-Committee also verifies the land area calculated by the technical agency and calculates the payment to be made for settlement, as per the Act.** According to the Act, the maximum land area for in-situ settlement is 45 sq.m. for Municipality and 60 sq.m. in Notified Area Council, and 30 sq.m for relocation for both Municipality and NAC. **The Scrutiny Sub-Committee verifies that the payment for any additional land areas is in accordance to the economic status of the household and benchmark value for the land area, and checks the validity of the documents for household income**

**proof.** As per the Act, land is provided free of cost to the EWS category up to a limit of 30 sq.m. Excess land (up to the permissible limit) is settled at 25% of benchmark value for the EWS category and 50% of benchmark value for non-EWS category. The benchmark value is the land rate for the area, determined by the revenue department. The benchmark value varies a lot in different areas, and hence the payment to be made by the slum dweller also varies. Typically, the payment to be made by the slum dweller for the settlement of land varies between INR 2,000 to INR 15,000.

The payment is made to the ULB, who provides a receipt for it. The payment can either be made through cash, cheque or demand draft. During the pilot, due to time constraints, the ULB representatives collected the payment in cash from households in the slum.

Based on the verification, the Scrutiny Sub-Committee generates a list of households that are eligible for settlement, and submits it to the UASRRC.

## 6.2 Publish list of eligible households and invite objections

### Process snapshot

Number	Activity	Stakeholder
6.2	Publish list of eligible households and invite objections	UASRRC

### Overview

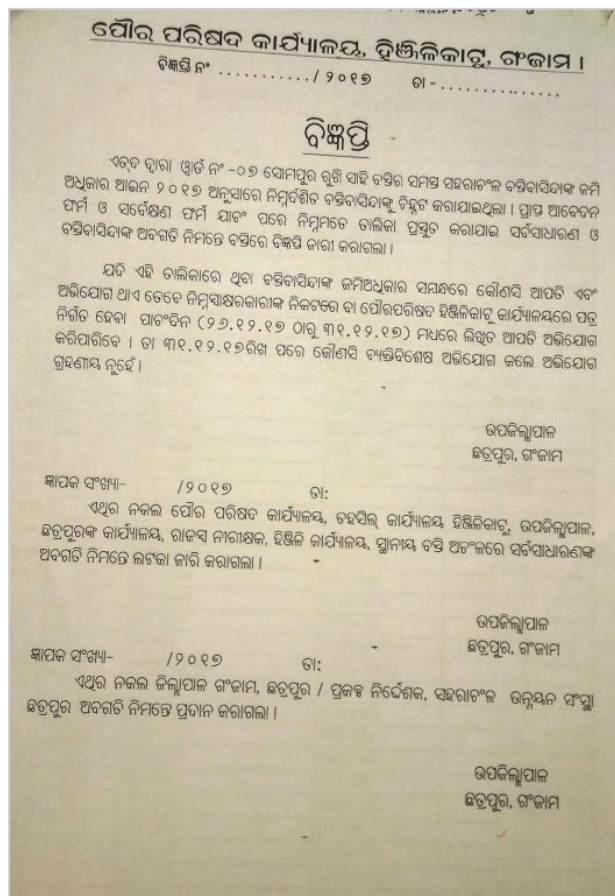
*Details for this step have been gathered through discussions with the implementing partner (Tata Trusts), given their experience in executing this step during the pilot phase and full-scale implementation of the project.*

It is the responsibility of the Urban Area Slum Redevelopment and Rehabilitation Committee (UASRRC) to publish the list of households eligible for settlement which can then be used to inform the slum dwellers about the status of their land rights application and invite objections. This is the initial list of households, developed by the Scrutiny Sub-Committee, based on the verification of the household information and documents.

**A notice is put up in the office of the Urban Local Body (ULB), and the representatives from the ULB inform the community members with assistance from Slum Dwellers Association (SDA) members.** The representatives from the NGO also play a critical role in supporting the ULB, in informing the community and assisting them in raising objections (if any). The notice invites objections from the community members, specifies the last date for submission of objections, and should include the list of eligible households, with details such as household number, applicant name, land area under occupation and to be settled, revenue plot details, EWS category, etc. The notice for inviting objections, including the initial list of eligible households, issued during the pilot implementation is added below for reference.

*Figure 37: Notice for inviting objecting, including initial list of eligible households*





ବିଭିନ୍ନ ବସିବାସିଦାଙ୍କ କମି ବିଭିନ୍ନ ତାଲିକା			
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କ୍ର. ନଂ / ପର ନଂ	ବିବାହାରୀଙ୍କ ନାମ	ସାମା / ସାମାଙ୍କ ନାମ	ଫଣିଆ
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The notice informs the slum dwellers whether he/ she is eligible and the settlement details. This also serves as an opportunity to raise concerns if they believe that the decision of the UASRRC is not correct, either in terms of eligibility or any settlement details. The list is displayed for 1 week, during which the community members can check their details and raise objections. There is no specific format for submission of objections. In most cases, the slum dweller write their grievance on a paper and submit it to the Executive Officer. The Executive Officer collects all the objections raised and submits it to the UASRRC.

In case there are no objections, the slum dwellers are also expected to pay the settlement amount, as specified by the UASRRC. The payment is made towards the Urban Poor Welfare Fund (UPWF), used for creation of the urban infrastructure and facilities in the slum. The UPWF is constituted at ULB level, in a joint account under the Executive Officer and Project Director, District Urban Development Agency (DUDA). The notification issued during the full-scale implementation, for the creation of UPWF is included below for reference.

Figure 38: Notification for creation of Urban Poor Welfare Fund

**Government of Odisha**  
**Housing & Urban Development Department.**

\*\*\*\*\*  
No. 1200 /HUD., Bhubaneswar, dated the 12.1.18  
HUD-DIR-SCH-02/2017

From

**Sri Sangramjit Nayak, IAS**  
Director Municipal Administration

To

**The Executive Officer,**  
All ULBs

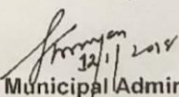
**Sub: Constitution of a Fund called the "Urban Poor Welfare Fund" for Implementation of Odisha Land Rights to Slum Dwellers Act, 2017.**

Madam/Sir,

I would like to invite a reference to the subject cited above and in this connection I am directed to request you to constitute the Urban Poor Welfare Fund at the level of each Urban Local Body under Section -10 of the Odisha Land Rights to Slum Dwellers Act, 2017( Odisha Act 10 of 2017) read with Rule-9 of Odisha Land Rights to Slum Dwellers Rules, 2017 to which the amount received in this regard will be credited.

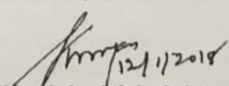
I would therefore request you to open a separate Joint Bank Account both in the name of Executive Officer and Project Director, DUDA in any Nationalised Bank.

Yours faithfully,

  
Director Municipal Administration

Memo No. 1201 /HUD., Dated 12.1.18

Copy to the Collector & District Magistrate of the State/ PD, DRDA-cum-PD, DUDA of the State for information and necessary action.

  
Director Municipal Administration

It was observed that in the pilot phase, there were no objections raised by the community members. During the full-scale implementation the common objections raised included:

- Payment for settlement is not in accordance to the EWS status of the applicant. Such objections constitute about 35% of all objections raised, and is due to the lack of availability/submission of income proof by the applicant
- Mismatch of the applicant's name in the application submitted for land rights and the documents submitted as proof of identity. This happens in about 30% of the objections raised
- Eligible household not being included in the list for settlement. Such cases are mostly due to lack of submission of all the required documents, and constitute about 25% of the objections raised
- Objections around the measurement of the area to be settled. Such objections are about 5-8%, and are mostly due the community members' expectation of getting the whole area of the plot/land settled, as opposed to only the built-up area (as specific by the Act and measured by the drone)

- Remaining objections are cases where the community members do want the settlement due to various miscellaneous reasons

## 6.3 Settle disputes

### Process snapshot

Number	Activity	Stakeholder
6.3	Settle disputes	UASRRC

### Overview

*Details for this step have been gathered through discussions with the implementing partner (Tata Trusts) and other relevant government officials, given their experience in executing this step during the pilot phase and full-scale implementation of the project.*

The objections raised by the slum dwellers are collected by the Executive Officer and submitted to the Urban Area Slum Redevelopment and Rehabilitation Committee (UASRRC). **It is the responsibility of the UASRRC to decide how these objections and any other disputes can be resolved, suggest appropriate actions and update the household eligibility status and/ or settlement details. If a dispute cannot be resolved, the household is considered ineligible for land rights.**

The UASRRC is headed by the District Collector and consists of representation from the Urban Local Body (ULB), revenue department and NGO (Details about the composition of UASRRC is included in Process step 2.2: Constitute UASRRC in each ULB). Generally decisions around disputes are taken by the committee through discussion and consensus. **However, in case a consensus is not reached, the District Collector takes an executive decision.** The District Collector incorporates input from the different stakeholders to make their decision.

The dispute resolution process takes about 1-2<sup>6</sup> months. If the dispute is resolved, the household is considered eligible and put on a final list for getting the land rights certificate. **A household can be under dispute if it is considered ineligible by the Sub-Scrutiny Committee or if an objection is raised by the community.** A few examples of the dispute and their resolution are outlined below:

- **Applicant considered ineligible by the Scrutiny Sub-Committee**
  - Applicants with incomplete/ invalid documents can be eligible, provided they submit all the required documents
  - Applicants who have applied for multiple land rights certificate can be eligible, provided they apply for only one and withdraw all other applications
  - Applicants who already own land in an urban area of the state or are occupying the household/ land after the cut-off date are considered ineligible
- **Households considered ineligible by the Scrutiny Sub-Committee**
  - Households with non-permanent structures, occupying more than the permissible limit area can be eligible, provided they vacate the excess land
  - Household with permanent structures, occupying more than the permissible limit area are considered ineligible
- **Land not owned by the state government**
  - Households on untenable lands (e.g. grazing lands, land earmarked for roads, etc.) can be settled, if the classification of the land is changed

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<sup>6</sup> As the implementation process will play out, this timeframe will vary depending on the number and nature of disputes

- Households on endowment land can be settled, if the government owns the land. The state government is looking to buy such lands and have asked the district administration to submit a price
- Household on private land, central government land (forest, railways, defence, etc.) or untenable land cannot be settled in-situ. In such cases, the household can be relocated if the community/ occupant agrees
- **Objections raised by the community:** These are resolved on a case-by-case basis by the UASRRC. In most cases, the UASRRC checks the information, asks for required documents and updates the settlement details accordingly. The implementing partner (Tata Trusts) and relevant government officials facilitate and assist community members, for instance, by organizing camps in the slum to provide income certificates

#### Opportunities for improvement

- Details on the **different types of disputes and their resolution can be documented (especially change in land classification and relocation)**, and the concerned stakeholders can be informed in advance

## 6.4 Prepare final household list for approval

### Process snapshot

Number	Activity	Stakeholder
6.4	Prepare final list of households for approval	UASRRC

### Overview

*Details for this step have been gathered through discussions with the implementing partner (Tata Trusts), given their experience in executing this step during the pilot phase and full-scale implementation of the project.*

Once the disputes are resolved, the Urban Area Slum Redevelopment and Rehabilitation Committee (UASRRC) create a final list of households. **The final list consists of households eligible for settlement (for which there was no dispute or the disputes had been resolved) and the payment for settlement had been made.** The list consists of applicant, household and settlement details, similar to the initial household list. The final list of eligible households is given to Authorized Officer for approval. The final list of eligible household from the pilot implementation is included below for reference.

*Figure 39: Final list of eligible household list (cover and first page)*



### Distribution of Patta of slum wise of Konark NAC

Ward No.	Name of the Slum	Total no. of house surveyed	Total No. of beneficiary selected in the first phase	Total No. of Patta distributed	Total No. of leftout beneficiary whose house has been surveyed	Total no. of beneficiary are coming under the criteria	Remarks
1	Chandrabhaga Nolia Sahi	1274	670	370	705	Verification processing going on	
2	Mausimaa Sahi	174	65	36	79	-do-	
3	Madhipur Gochhayat Sahi	223	34	8	87	-do-	
<b>TOTAL</b>		<b>1671</b>	<b>769</b>	<b>414</b>	<b>871</b>		

ULB Name: Konark Slum Name: Mausima Sahi Tahasil: Gop Category: EWS													
Sl. No.	House No.	Beneficiary Name	Occupied Area Remarks	Occupied Area (Sqft)	Village Name	Khata No.	Rev Plot No.	Kisam	RoR tenant	RoR Area (Ac.)	Area (Sqm)	Area on Payment (Sqm)	Payment Due 25% of BMV (in INR)
1	4	Daitari behera	Pay	581.499	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	54.023	24.02	10774.32
2	6	Kanakalata Biswal	Pay	353.594	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	32.850	2.85	1278.23
3	7	Subash swain	Pay	542.350	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	50.386	20.39	9143.12
4	12	Kapil Nayak	Pay	472.848	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	43.929	13.93	6247.15
5	14	Purastam behera	OK	280.400	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	26.050	0.00	0.00
6	17	Ananta ku das	Pay	558.679	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	51.903	21.90	9823.50
7	18	Basanta ku oja	OK	227.269	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	21.114	0.00	0.00
8	19	Manas ranjan das	OK	198.185	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	18.412	0.00	0.00
9	20	Sura behera	OK	77.371	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	7.188	0.00	0.00
10	21	Debabrat pradhan	OK	260.863	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	24.235	0.00	0.00
11	22	Padmanava rout	Pay	352.755	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	32.772	2.77	1243.24
12	24	Pradosh ku Nayak	Pay	418.113	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	38.844	8.84	3966.53
13	25	Sarbeswar sahu	OK	227.388	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	21.125	0.00	0.00
14	26	Chitta Ranjan oja	OK	277.268	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	25.759	0.00	0.00
15	27	Ashish pradhan	Pay	564.599	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	52.453	22.45	10070.17
16	30	Ramesh Prasad	Pay	395.593	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	36.789	6.79	3044.87
17	33	Sanjay ku Parida	Pay	523.621	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	48.646	18.65	8302.73
18	34	Parbati palauri	Pay	378.222	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	35.138	5.14	2304.39
19	35	Nitai Kumar Pal	Pay	398.265	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	37.000	7.00	3139.50
20	38	Balaram Patra	Pay	597.354	Konark S4	415	1604	Balibanta	Govt. of Odisha	94.50	55.496	25.50	11434.96

The list is also submitted to the Urban Local Body (ULB). Representatives from the ULB, with support from the NGO, informs the community about the eligible households. During the pilot implementation, about 3200 total applications were submitted, out of which 2200 households were on the final list to get land rights certificates. The remaining were either ineligible or disputed.

## 6.5 Approve settlement and issue land right certificates

### Process snapshot

Number	Activity	Stakeholder
6.5	Approve settlement and issue land right certificates	Authorized Officer

## Overview

Details for this step have been gathered through discussions with the implementing partner (Tata Trusts), given their experience in executing this step during the pilot phase and full-scale implementation of the project.

Once the final list of household eligible for getting land rights is created by the Urban Area Slum Redevelopment and Rehabilitation Committee (UASRRC), it is passed to Authorized Officer. **The Authorized Officer approves the settlement for the listed households, and issues the certificate of land rights.** In addition to the household settlement, the Authorized Officer also approves the slum layout and new slum infrastructure/ amenities, such as roads (if any). **The Authorized Officer for approving and issuing the land rights is the Head of the UASRRC, which is the District Collector.**

The land rights certificate issued includes details about:

- Occupant and their family
- Address and location
- Identification documents and economic status
- Settlement details, such as area and payment

The certificate of land rights issued during pilot implementation, is included below for reference.

Figure 40: Certificate of land rights issued

Form - I [See Rule 6 (e)] CERTIFICATE OF LAND RIGHT		
<b>Certificate No.:</b>		
<b>Name (s) of holder (s) of land rights (including spouse)</b>		
Name:	Name:	
<b>Family details</b>		
Name of the father/ mother:	Name of dependent family members:	
<b>Address</b>		
Road/Street/Basti:	District:	Municipality /NAC:
	Ward No.:	Phone No.:
<b>Other details</b>		
Aadhaar No./Identification No.:	EWS/Other than EWS:	Other Information:
<b>Details of land settled:</b>		
Description of boundaries by prominent landmarks:	Area (in sq.m):	Settlement amount, if any (in Rs.):
	Mode of Payment:	Receipt No. & Date:
<p><i>This right is heritable, but not alienable or transferable under sub section (3) of section 3 of the Ordinance.</i></p> <p><i>This right may be mortgaged for the purpose of raising finance in form of housing loan from any financial institution.</i></p> <p><i>The right shall be acceptable as evidence for address proof of residence.</i></p> <p>I/We, the undersigned, hereby, for and on behalf of the Government of Odisha affix my/our signature(s) to issue the above certificate of land rights.</p> <p>Date: District Collector/Authorized Officer</p>		

## 6.6 Challenge UASRRC's decisions

### Process snapshot

Number	Activity	Stakeholder
6.6	Challenge UASRRC decisions	

### Overview

*Details for this step have been gathered through discussions with the implementing partner (Tata Trusts), given their experience in executing this step during the pilot phase and full-scale implementation of the project.*

After the land rights certificates have been issued, the Act also provides a provision to challenge the decision made. **In case someone does not agree with the UASRRC or Authorized Officer's decision, they can appeal against it to the Appellate Authority. As per the Act, the Revenue Divisional Commissioner for the respective ULB is considered as the Appellate Authority.** The Appellate Authority listens to the appeal, makes a decision as it seems fit and passes orders (including interim orders) – sending a copy to the concerned parties and UASRRC or Authorized Officer. The form for appeal used during the pilot implementation, is included below for reference.

Figure 41: Form for appeals

**Form - II**  
[See rule 8 (1)]  
**FORM FOR APPEAL**

To,  
The Appellate Authority  
..... (Name & Address)

1. Name and Address of the Appellant (including phone No.): .....

2. Name of the Committee / Authorised Officer against the decision of whom the appeal is preferred: .....

3. Details of order of the Committee / Authorised Officer: No. .... dated .....

4. Date of receipt of the order by the Appellant: .....

5. Brief facts leading to the appeal: .....

6. Relief Sought: .....

7. Grounds for the Relief: .....

8. Any other information necessary for deciding the appeal: .....

9. List of enclosures, if any: .....

**Declaration**

I, ..... son of ..... residing at ..... verify that the contents of the above appeal filed by me are true to the best of my knowledge and belief.

Name of the appellant: ..... Signature: .....

Date: .....

Place: .....

[No.21429-HUD-13-LEGIS-67-POLICY-15-34/2017/HUD.]

By Order of the Governor

G. MATHI VATHANAN  
Commissioner-cum-Secretary to Government



## 6.7 Update Land Information System

### Process snapshot

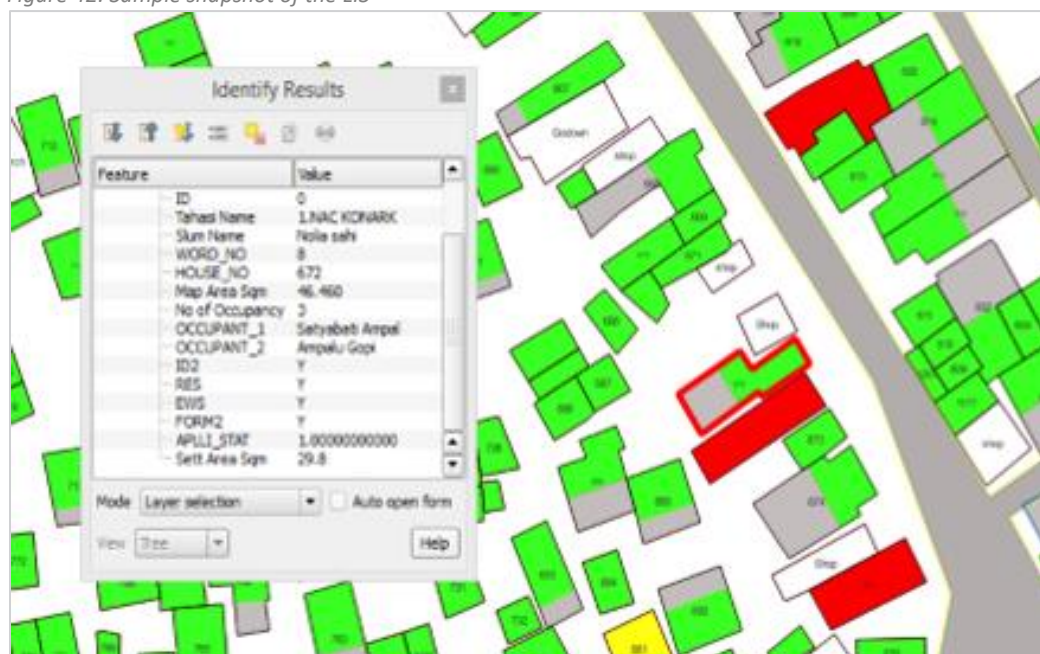
Number	Activity	Stakeholder
6.7	Update Land Information System (LIS)	Technical Agency

### Overview

Details for this step have been gathered through discussions with the implementing partner (Tata Trusts), given their experience in executing this step during the pilot phase and full-scale implementation of the project.

Once the disputes are resolved and the land rights certificate is issued, the Land Information System (LIS) is updated to reflect the new settlement. **The LIS is a household/ plot level database consisting of information about the land updated after the final settlement (location details, area, ownership, classification, etc.) and the occupants (name, demographic details, economic status, etc.).** The objective of the LIS is to create a holistic and updated database of slum households that can be used in the future as a baseline or for implementation of any other government scheme. **It is the responsibility of the technical agency to create and update the LIS.** The technical agency updates the required details in the LIS from the USHA survey and final settlement issued by the UASRRC. A sample snapshot of the LIS proposed by one of the technical agency is included below for reference.

Figure 42: Sample snapshot of the LIS



## 6.8 Update ROR

### Process snapshot

Number	Activity	Stakeholder
6.7	Update Record of Rights	Revenue department

## Overview

*Details for this step have been gathered through discussions with the implementing partner (Tata Trusts), given their experience in executing this step during the pilot phase and full-scale implementation of the project.*

Once the land rights certificate has been issued, the slum dweller is the legitimate owner of the land. This change should also be reflected in the government records. The cadastral maps and Record of Rights (ROR) are the major land records maintained by the revenue department, capturing details such as land ownership and type of use. **After the land rights certificate is issued, the revenue department updates cadastral maps and ROR.** The updates reflect two major changes in terms of:

- Ownership of land
- Land type/ classification

## Appendix

### 1. Sample expression of interest (EOI)

#### Context

The relevant government authority invites sealed cover Expression of Interest (EOI) in prescribed formats from intending reputed Non-Government Organizations (NGO) / Community Based Organizations (CBO) / Registered Agency, having credibility and experience in the field of Social Mobilization / Rights Based Activity/ Socio-Economic Household Survey and Spatial Survey for the project to be taken-up in slum areas of \_\_\_\_\_ who can carry out a door to door slum House Hold Survey named as “Urban Slum House Hold Area (USHA) Survey” (or relevant name of survey) with the involvement of Slum Dwellers Association (or relevant local slum dwellers association).

#### Definition

A Slum Dweller refers to “insert appropriate definition of slum as per the local laws” as per insert local ordinance/Act that defines a slum dweller.

#### Tender fees

Tender papers can be downloaded from insert appropriate webpage. The bidders are required to submit cost of tender paper of insert appropriate cost only in shape of account payee demand draft in favor of insert appropriate payee.

#### Scope of Work

The illustrative scope of works shall include as given below. However, the detailed scope of work shall be intimated to the selected NGO/CBO/ Registered Agency, at the time of final selection and award of work.

- Conducting house to house survey and community mobilization of the selected slum- both Socio-Economic house hold survey and spatial surveys
- Supporting the Revenue Authorities during the measurement of the land in actual occupation of the Slum Dwellers and preparation of layout plan
- Providing assistance / perspective sharing in preparation of Slum Redevelopment / Rehabilitation Plans:
  - Assisting the Slum Redevelopment and Rehabilitation Committee in analysis of spatial and socio-economic data
  - Working on dissemination of information and dialogues with different stakeholders
  - Capturing the basic profile of the Slum Dweller and linking the beneficiary identification with Aadhaar /Biometric system
- Provide facilitation to the Slum Dwellers Association (insert relevant local slum dwellers association):
  - Conducting meetings with the members of the Slum Dwellers Association
  - Preparing the list of eligible Slum Dwellers for issue of certificates of land rights
  - Identifying the quantity of land to be settled with each slum dwellers
  - Assisting in preparing and finalizing plan for re-layout of the slum area if any within the boundaries of the slum fixed by the ULB
  - Inviting objection / suggestion to the plan and arriving at consensus
  - Compiling the final plan and submitting to the Urban Area Slum Re-habitation and Re-development Committee (insert relevant scrutiny committee) for final approval

#### Pre-Qualification Criteria

All EOIs will primarily be evaluated on the basis of pre-qualification criteria. The insert appropriate committee/designated group of authorities will carry out a detail evaluation of the proposals, only those who have submitted documents detailed below:

Requirement	Specifics	Documents to be submitted
<b>Legal Entity</b>	<ul style="list-style-type: none"> <li>The NGO/CBO/Registered Firm must be registered under S.R.Act-1860 / Indian Trust Act, 1920, Indian Companies Act, 1956 &amp; be in existence for more than 05 years</li> <li>The NGO/CBO/Registered Firm must be registered with GST, PAN and have up-to-date IT Returns for last 03 years</li> </ul>	<ul style="list-style-type: none"> <li>Certificate of Registration of Entity</li> <li>GST Registration Certificate</li> <li>PAN/TAN</li> <li>I.T Returns for last 03 years</li> </ul>
<b>Technical Capability</b>	<ul style="list-style-type: none"> <li>The NGO/CBO/Registered Firm must have successfully undertaken at least one project in Government Sector in India, primarily related to Socio-Economic Household survey of at least 100 households</li> <li>The NGO/CBO/Registered Firm must have successfully undertaken at least one project in Urban Planning</li> <li>The NGO/CBO/Registered Firm must have successfully undertaken at least one project related to Spatial Survey of patch of land and its measurement, preparation of Layout Plan, etc.</li> </ul>	<ul style="list-style-type: none"> <li>Award of Contract /Work Order issued by the Office / Agency / Client</li> <li>Work Completion Certificate issued by the Office / Agency/ Client</li> </ul>
<b>Average Annual Turn Over</b>	Annual Turn Over during last three Financial Year (as per the last published Balance Sheet) should be minimum of Rs.10.00 Lakh	Copy of the Audited Balance Sheet for last three financial years
<b>Professional qualification of key staff</b>	The NGO/CBO/Registered Firm must have successfully undertaken at least one project in Urban Planning	Relevant Educational qualification certificates issued by the Concerned Educational Institutions /Board/Universities
<b>Local Presence of NGO/ CBO/ Registered firm</b>	CBO/NGO/Registered Firm shall provide No of staffs to be engaged ULB wise rationally in view of given timeline to complete all the task as per assignment	Self-certified letter on existence of local office along with necessary evidence
<b>Digitization capabilities</b>	The NGO/CBO/Registered Firm must have adequate experience and demonstrated success in digitally collecting records/information and digitizing manually collected data primarily related to Socio-Economic Household survey of at least 100 households	<ul style="list-style-type: none"> <li>Award of Contract /Work Order issued by the Office / Agency / Client</li> <li>Work Completion Certificate issued by the Office / Agency/ Client</li> <li>Self-certified sample deliverables from previous projects</li> </ul>

### Window for clarification

All NGOs /CBOs /Registered Firms interested in applying for the process are encouraged to read, understand, and then ask any questions that they may have regarding the tendering process and the scope of work at a pre-bid meeting to be organized on \_\_\_\_\_ at \_\_\_\_\_ between \_\_\_\_\_ and \_\_\_\_\_. Organizations are not required to submit their queries in advance and can get their queries answered in this pre-bid meeting. The meeting will be non-evaluative in nature.

## Submission of Expression of Interests

The NGO/CBO/Registered Firm shall submit their tender paper in the following manner:

- Section A: Technical Bid
- Section B: Financial Bid

The responses must be submitted on or before \_\_\_\_\_ addressed to [the insert relevant authority with official address](#) through Registered /Speed Post only. The tender papers will be opened on \_\_\_\_\_ at \_\_\_\_\_.

The [insert appropriate committee/designated group of authorities](#) shall open all the applications received in presence of [the insert relevant authorities](#) of the NGOs / CBOs / Registered Firms and scrutinize the same. If required original documents with reference to the application shall be called for to produce.

## Criteria for Evaluation

EOIs will be assessed in accordance with quality and cost based selection system. All EOIs will primarily be evaluated on the basis of eligibility criteria. The [insert appropriate committee/designated group of authorities](#) will carry out a detailed evaluation of the Technical Bid, those who qualifies all eligibility criteria by taking into the account of overall completeness and compliance with the requirement. Qualifying in the technical evaluation will only be considered for further financial bid evaluation.

## Evaluation of tender

Initial scrutiny of bids will be held and incomplete tender papers will be treated as non-responsive and liable to be rejected.

## Technical and financial evaluation

The evaluation will be done on following criteria:

Technical Criteria	Marks allotted	Maximum marks
<b>Experience of the firm in relevant field of scope of work</b>		<b>70</b>
• Having experience less than 2 years	15	30
• Having experience more than 2 years and less than 5 years	20	
• Having experience more than 05 years	30	
<b>Competency of manpower</b>		
• Having manpower of more than 05 staffs per ULB with professional competency as per Technical Bid	30	30
• Having manpower more than 02 and less than 05 per ULB with professional competency as per Technical Bid	20	
• Having manpower of less than 02 per ULB with professional competency as per Technical Bid	10	
<b>Financial strength of the firm</b>		
• Having turnover more than 10 Lakh and less than 20 Lakh	5	10
• Having turnover more than 20 Lakh and less than 50 Lakh	7	
• Having turnover more than 50 Lakh	10	
<b>Commercial Criteria</b>	<b>Marks allotted</b>	<b>Maximum marks</b>
<b>Commercial quote</b>		<b>30</b>

- The firm securing minimum 50% of total marks in Technical evaluation will qualify for opening of Financial Bid

- The Bidder will be evaluated on the price quoted in the Financial Bid. The firm quoting lowest will be awarded maximum mark i.e. 30. The bidders quoting more than the L1 will be awarded on weighted average method

### **Award of Contract**

The contract will be awarded to the successful bidder whose proposal has been determined to be substantially responsive and has been determined as the most responsive as per the above criteria.

### **Payment Terms**

Payments will be released by the insert state/district level relevant authority to the CBO/NGO/Registered Agency on final approval by insert appropriate committee/designated group of authorities and distribution of insert appropriate legal land title.

### **Confidentiality**

CBOs/NGOs/Registered Agencies are expected to act in good faith and not disclose to third party any news or information relating to this proposal during the bidding process without prior written consent of [insert appropriate committee/designated group of authorities](#), unless required to do so under any law, by any competent court, governmental or regulatory authority.

### **Arbitration**

The [insert appropriate committee/designated group of authorities](#) reserves all rights to reject or accept any or all application(s) without assigning any reason thereof.

All disputes, differences, claims and demands arising under the contract shall be referred to [insert appropriate committee/designated group of authorities](#) for final decision and the same shall be binding on all the parties.