

Hand Book

on

**Deendayal Antyodaya Yojana-
National Urban Livelihoods Mission
(DAY-NULM)**

Presented by

**Assam State Urban Livelihoods Mission Society
(ASULMS)**

Chapter- I

About DAY-NULM

1.0 Introduction

- 1.0.1** Economic development and urbanization are closely linked. Cities in India are emerging as the country's engines of economic growth, with a contribution of more than 60 per cent to GDP. As per Census of India, 2011, India's urban population is now 377 million which shows a 31 per cent increase from 2001. The Report on Conditions of Work and Promotion of Livelihoods in the Unorganized Sector by the National Commission on Enterprises in the Unorganized Sector brought out in August 2007 (NCEUS, 2007) reveals that in 2004-05, out of India's total workforce, 92 percent worked in the informal economy. The urban informal sector comprises a large part of the unorganized non-agriculture sector. Low levels of education and skill in the unorganized sector workers have resulted in their inability to access the opportunities offered by emerging markets. This underscores the criticality of skills up-gradation for better livelihoods opportunities in urban areas.
- 1.0.2** Most of the poor are involved in informal sector activities where there is a constant threat of eviction, removal, confiscation of goods and almost non-existent social security cover. Even when segments of the urban population are not income-poor, they face deprivation in terms of lack of access to sanitary living conditions and their well-being is hampered by discrimination, social exclusion, crime and violence, insecurity of tenure, hazardous environmental conditions and lack of voice in governance.
- 1.0.3** The dimensions of urban poverty can be broadly divided into three categories: (i) residential vulnerability (access to land, shelter, basic services, etc.); (ii) social vulnerability (deprivations related to factors like gender, age and social stratification, lack of social protection, inadequate voice and participation in governance structures, etc.) and (iii) occupational vulnerability (precarious livelihoods, dependence on informal sector for employment and earnings, lack of job security, poor working conditions, etc.). These vulnerabilities are inter-related. Amongst the urban poor, there are sections subject to greater vulnerability in terms of the above

classification; these include women, children, and the aged, SCs, STs, minorities and differently-able persons who deserve attention on a priority basis.

1.0.4 The National Urban Housing and Habitat Policy (NUHHP), 2007 aims to promote sustainable development of habitat in the country with a view to ensure equitable supply of land, shelter and services at affordable prices to all sections of the society. The most vulnerable of these are the urban homeless who live with no shelter or social security / protection. Recent pronouncements of the Supreme Court of India have brought into focus the plight of the urban homeless by holding that the right to dignified shelters is a necessary component of the right to life under Article 21 of the Constitution of India. There is therefore a need to develop a policy and programme for the urban homeless.

1.0.5 Urban poverty being multi-dimensional, various vulnerabilities faced by the poor in cities and towns: occupational, residential and social need to be addressed simultaneously in a comprehensive and integrated manner with a targeted focus on the vulnerable groups so that a definitive impact can be made on ground. Residential vulnerability issues are being addressed through programmes like JNNURM and RAY. The other two vulnerabilities: occupational and social can be best addressed by creating opportunities for skill development leading to market based employment and helping them to set up self-employment ventures. Urban poverty alleviation programmes need to be based on skill development and easy access to credit. It is in this context that a mission-mode approach to urban livelihoods is considered necessary in the form of the Deendayal Antyodaya Yojana-National Urban Livelihoods Mission (DAY-NULM).

1.1 DAY-NULM Mission

1.1.1 To reduce poverty and vulnerability of the urban poor households by enabling them to access gainful self-employment and skilled wage employment opportunities, resulting in an appreciable improvement in their livelihoods on a sustainable basis, through building strong grassroots level institutions of the poor. The mission would aim at providing shelter equipped with essential services to the urban homeless in a phased manner. In addition, the Mission would also address livelihood concerns of the urban

street vendors by facilitating access to suitable spaces, institutional credit, social security and skills to the urban street vendors for accessing emerging market opportunities.

1.2 Guiding Principles

1.2.1 The core belief of Deendayal Antyodaya Yojana-National Urban Livelihoods Mission (DAY-NULM) is that the poor are entrepreneurial and have innate desire to come out of poverty. The challenge is to unleash their capabilities to generate meaningful and sustainable livelihoods. The first step in this process is motivating the urban poor to form their own institutions. They and their institutions need to be provided sufficient capacity so that they can manage the external environment, access finance, expand their skills, enterprises and assets. This requires continuous and carefully designed handholding support. An external, dedicated and sensitive support structure, from the national level to the city and community levels, is required to induce social mobilisation, institution building and livelihood promotion.

1.2.2 DAY-NULM believes that any livelihood promotion programme can be scaled up in a time bound manner only if driven by the poor and their institutions. Such strong institutional platforms support the poor in building up their own human, social, financial, and other assets. This in turn, enables them access to rights, entitlements, opportunities and services from the public and private sectors, while enhancing their solidarity, voice and bargaining power.

1.2.3 As per the Constitution (74th Amendment) Act, 1992, urban poverty alleviation is a legitimate function of the Urban Local Bodies (ULB). Therefore, ULBs would need to undertake a lead role for all issues and programmes concerning the urban poor in cities/towns, including skills and livelihoods.

1.2.4 DAY-NULM would aim at universal coverage of the urban poor for skill development and credit facilities. It will strive for skills training of the urban poor for market-based jobs and self employment, facilitating easy access to credit.

1.2.5 Street vendors constitute an important segment of the urban population at the bottom of the pyramid. Street vending provides a source of self-employment, and thus acts as a measure of urban poverty alleviation without

major Government intervention. They have a prominent place in the urban supply chain and are an integral part of the economic growth process within urban areas. DAY-NULM would aim at facilitating access to suitable spaces, institutional credit, social security and skills to the urban street vendors for accessing emerging market opportunities.

1.2.6 Urban homeless persons who live without shelter or social security/protection are the most vulnerable class, even while they contribute towards sustaining cities with their cheap labour. Life on the streets involves surviving continuously at the edge, in a physically brutalized and challenging environment. There is a need for appropriate policy intervention to address the challenges faced by homeless people, with regard to shelter, social housing and social protection. Accordingly, DAY-NULM would aim at providing shelter equipped with essential services to the urban homeless in a phased manner.

1.2.7 DAY-NULM would place a very high emphasis on convergence with schemes/programmes of the relevant line Ministries/Departments and programmes of state governments dealing with skills, livelihoods, entrepreneurship development, health, education, social assistance, etc. An alliance strategy will be sought with all concerned departments to promote skills training of rural-urban migrants as a bridge between the livelihoods of the rural and urban poor.

1.2.8 DAY-NULM would aim at partnership with the private sector in providing skill training, employment and operation of shelter for homeless. It will strive for active participation of private and civil society sectors in providing shelter to the urban homeless, skill training and placement of the urban poor and also in facilitating technological, marketing and handholding support for the urban poor entrepreneurs who want to be self-employed and set up their own small businesses or manufacturing units.

1.3 Values

1.3.1 The mission will espouse the following values:

- i. Ownership and productive involvement of the urban poor and their institutions in all processes;

- ii. Transparency in programme design and implementation, including institution - building and capacity strengthening;
- iii. Accountability of government functionaries and the community;
- iv. Partnerships with industry and other stakeholders; and
- v. Community self-reliance, self-dependence, self-help and mutual-help.

1.4 Strategy

1.4.1 DAY-NULM will adopt the following strategy:

- i. Building capacity of the urban poor, their institutions and the machinery involved in the implementation of livelihoods development and poverty alleviation programmes through handholding support;
- ii. Enhancing and expanding existing livelihoods options of the urban poor;
- iii. Building skills to enable access to growing market-based job opportunities offered by emerging urban economies;
- iv. Training for and support to the establishment of micro-enterprises by the urban poor – self and group;
- v. Ensure availability and access for the urban homeless population to permanent 24- hour shelters including the basic infrastructural facilities like water supply, sanitation, safety and security;
- vi. Cater to the needs of especially vulnerable segments of the urban homeless like the dependent children, aged, disabled, mentally ill, and recovering patients etc., by creating special sections within homeless shelters and provisioning special service linkages for them;
- vii. To establish strong rights-based linkages with other programmes which cover the right of the urban homeless to food, healthcare, education, etc. and ensure access for homeless populations to various entitlements, including to social security pensions, PDS, ICDS, feeding programmes, drinking water, sanitation, identity, financial inclusion, school admission etc., and to affordable housing;
- viii. To address livelihood concerns of the urban street vendors by facilitating access to suitable spaces, institutional credit, social security and skills to the urban street vendors for accessing emerging market opportunities.

1.5 DAY-NULM Mission Cities and Target Population

1.5.1 In the 12th Five Year Plan, DAY-NULM was implemented in all District Headquarter Towns and all other cities with a population of 1,00,000 or more as per 2011 Census. However, other towns may be allowed in exceptional cases on request of the states.

1.5.2 The primary target of DAY-NULM is the urban poor, including the urban homeless. The Socio-economic and Caste Census (SECC), 2011 for identification of urban poor is currently under progress. Accordingly, as an interim measure, the target of DAY-NULM will be the urban population identified presently as below poverty line population in urban areas by the States/UTs. The coverage may be broadened to include families of disadvantaged groups like SCs, STs, women, minorities, disabled etc. subject to a maximum of 25 percent of the above urban poor population.

1.6 Components of DAY-NULM

The following are the components of DAY-NULM:

- i. Social Mobilization & Institution Development (SM&ID)
- ii. Employment through Skills Training & Placement (EST&P)
- iii. Self Employment Programme (SEP)
- iv. Shelters for Urban Homeless (SUH)
- v. Support to Urban Street Vendors (SUSV)
- vi. Capacity Building & Training (CB&T)
- vii. Innovative & Special Projects (I&SP)

Chapter- II

Components of DAY-NULM

2.0 SOCIAL MOBILIZATION & INSTITUTION DEVELOPMENT (SM&ID)

1.0.1 The Assam State Urban Livelihoods Mission strongly believes that for the mobilisation of urban poor households to form their own institutions is an important investment for an effective and sustainable poverty reduction programme. The Mission envisages mobilisation of urban poor households into a three tiered structure with Self-Help Groups (SHGs) at the grass-root level, Area Level Federations (ALFs) at the slum/ward level and City Level Federations (CLFs) at the city level.

2.0.1 Formation of SHGs

SHG is a group of 10 to 20 urban poor women, formed with an objective of doing credit and thrift among themselves, income generation and manifold social activities. Normally, women SHGs will be formed, however male SHGs of 'differently-abled persons' will be allowed to form. The ground rules for every SHG is to follow the 'PANCHASUTRA' as under:

- ❖ Regular Meeting
- ❖ Regular Saving
- ❖ Internal Lending
- ❖ Timely repayment of loan
- ❖ Maintenance of Books of record

2.0.1.1 Revolving Fund (RF) to SHGs

The Mission will provide RF amounting Rs. 10,000/- to SHGs to form the corpus of the group. The basic eligibility for getting RF is that a SHG should be functional for a period of at least three (3) months and thereafter, SHGs will be graded on the basis of 'PANCHASUTRA'.

2.0.2 Area Level Federation (ALF)

It is an association/federation of 10 to 20 SHGs located in the same ward/locality. The objective of ALF is to support member SHGs, their capacity building, bank linkage, convergence with various agencies for support etc. The ALF will be registered under Assam Cooperative Societies Act, 2007. Registered ALFs will receive Rs.50,000/- as revolving fund.

2.0.3 City Level Federation (CLF)

All ALFs in a city and town are to be represented at the CLF and it will work with ALFs, member SHGs, line departments and financial institutions to ensure social and economic empowerment.

2.0.4 City Livelihoods Centre (CLC)

City Livelihoods Centre (CLC) is a platform for the SHG members whereby they can offer their goods and services in an organized manner to the potential buyers. The urban poor can access information and business support services as when needed. The ULB will be required to allocate space/ premises (Minimum 1000 sq. ft.) for establishing the CLC. Initially, 1 (one) CLC will be established in each 25 HQ towns/cities.

2.1 EMPLOYMENT THROUGH SKILLS TRAINING & PLACEMENT (EST&P)

2.1.1 What is EST&P?

Employment through Skills Training & Placement (EST&P) is a component under DAY-NULM which is designed to provide skills to the unskilled urban poor as well as to upgrade their existing skills. The programme will provide skills training of the urban poor to enable them to set-up self employment ventures and for salaried jobs in the private sector.

2.1.2 What are its Objectives?

The objective of the skills training under this component is to provide salaried job (in private sector) or self-employment through training in structured, market oriented certified courses, thereby increasing income and livelihoods of urban poor and increase their standard of living.

2.1.3 What is Skills Training?

Based on the demand of skilled human resources in job market, skills trainings are designed to give short term training in various courses, so that youth can be trained, skilled and groomed within short period of time to make them fit to work in industries/corporate/business house, etc.

2.1.4 What are the areas where Skill Training is given?

There are various sectors and many courses under each sector available where training is given. Some of the prominent sectors where training can be given are Automotive Repairs, Electrical, Electronics, Telecom, Retail, Tourism & Hospitality, Aviation, Security, Health Care, Beauty & Wellness, Construction, Fabrication, Plumbing, Construction, Telecommunication, Fast Moving Consumer Goods (FMCG), Information Technology, Media & Entertainment, Apparel, Textile & Handloom, Handicraft, Food Processing, Rubber, Cement, Coal, Tea, Oil & Gas, Banking Financial Services & Insurance (BFSI).

2.1.5 Who can participate?

Any urban poor from Municipal area who have not undergone skills training under SJSRY/DAY-NULM in last 3 years are eligible to get training. Qualification of candidate may vary depending on the courses and generally it ranges from Class V to Graduation/ITI/Diploma in Engineering.

2.1.6 Whom to Contact?

Local Urban Local Bodies (ULBs) i.e. Municipal Corporation, Municipal Board or Town Committees may be contacted. Every ULB has its own Chairperson, Vice Chairperson, Ward Commissioners/Councillors and administration wise it is run by 'Executive Officer', who is from Assam Civil Service Cadre. The Executive Officer is again designated as 'City Project

Officer' for DAY-NULM. The elected representatives or City Project Officer may be contacted for any correspondence regarding the Mission. In addition to this, all District HQ ULBs is having a City Mission Management Unit (CMMU) to manage the Mission, headed by a City Project Officer and assisted by City Project Manager- Social & Infrastructure Development, City Project Manager – Skills & Microenterprise and support staffs. One can approach the City Project Manager – Skills & Microenterprise also for all kind of matters related to skills training.

2.1.7 How to Register and Apply?

One can approach Municipal Corporation, Municipal Boards or Town Committees available in his/her area and can get Application Form and information of types of courses where training can be obtained. The Application Form can be submitted in the City Mission Management Unit and subsequently the candidates will be registered and will get opportunity for screening test, counseling before final selection, etc. City Project Manager – Skills & Microenterprise will intimate the candidates about the probable date of counseling, date of final selection, start of training, etc.

2.1.8 What Documents to provide by applicant?

Along with the filled-up Application Format, Applicants will have to submit (i) Personal Identity Proof like Voter ID, PAN Card, Passport; (ii) Address Proof like Ration Card, Electricity Bill; (iii) Testimonials in support of Educational Qualification; (iv) Caste Certificate (if applicable); (v) Age Proof; (vi) Proof of Income from Circle Officer or any other competent authority; (vii) Passport photo (2 nos.).

2.1.9 Who gives the Training?

The Trainings are provided by Skills Training Providers (STPs) selected by DAY-NULM based on certain criteria and parameters. Trainings are provided mainly through National Skill Development Corporation (NSDC) empanelled Agencies or through other reputed Agencies who are empanelled by ASULMS prior to start of training.

2.1.10 Where Training is provided?

Normally, trainings are provided in local cities and towns and are non-residential. However, depending on demand of trade and certain situations, non residential trainings are arranged in central locations, where trainees are sourced from various places and trainings are provided in common places.

2.1.11 What support is provided to trainees?

All trainings are Free of Cost which includes boarding & lodging (in case of residential training). In addition to this, candidates who gets training outside Assam can get to and fro transport cost, subject to a maximum of Rs. 5,000/-. In all non-residential courses, women and PwD candidates will be reimbursed conveyance cost for Rs.1,000/- (if the Training Centre is within District of Domicile) or Rs. 1500/- (if the Training Centre is outside the District of Domicile). Candidates successfully trained and placed are eligible to get 'post placement support' @ Rs. 1500/- for 1 month for men and 2 months for women (in case of placement within District of Domicile) and 2

months for men and 3 months for women (in case of placement outside the District of Domicile).

2.1.12 What is seek from the candidates?

Candidates who are serious to earn their livelihood by building their skills are encouraged to apply. Candidates should regularly attend the training and should complete it. They should appear for assessment process so that they get certificates. Candidates should be open to go for placement after completion of training.

2.1.13 What will be achieved by the Candidate?

Candidate will obtain skills training for definite duration, one certificate and a job in private sector.

2.1.14 Who are involved and what are their roles?

- Mainly ULBs, CMMUs, STPs and State Mission Management Unit (SMMUs) are involved in implementing the project.
- ULBs and CMMUs are the first contact and they facilitate candidate registration, candidate counseling, candidate selection and monitoring of training. They will also look after the placement of candidates and post placement retention.
- STPs are responsible for candidate counseling, setting up of training infrastructure, imparting quality training, job placement of trained candidates and post placement tracking.
- SMMU mainly looks after the aspect of engagement and management of quality STPs, management of certification agencies, development of policy guidelines and broad strategies for implementation, monitoring of ongoing training, etc.

2.2 SELF EMPLOYMENT PROGRAMME (SEP)

The main aim of SEP component is to reduce poverty of the urban poor by providing them with self employment opportunities through bank linkage.

2.2.1 There are three sub components under SEP:

1. Self employment programme, Individual (SEP-I).
2. Self employment programme, Group (SEP-G).
3. SHG Bank linkage.

2.2.2 Details of three sub components are as under:

Criterion	Individual Enterprise	Group Enterprise	SHG Bank Linkage
Beneficiary	Individual urban poor	Group of urban poor (minimum 5 members)	Healthy SHGs following 'Panchasutra'
Loan Purpose	To set up a microenterprise	To set up a microenterprise	SHG internal lending
Max. Amount of Loan	Rs. 2 Lakh	Rs. 10 Lakh	No Maximum Limit

Criterion	Individual Enterprise	Group Enterprise	SHG Bank Linkage
Subsidy	Interest subsidy over and above 7% per annum rate of interest	Interest subsidy over and above 7% per annum rate of interest	<ul style="list-style-type: none"> Interest subsidy over and above 7% per annum rate of interest Additional 3% interest subvention available ONLY IF: <ul style="list-style-type: none"> (a) all SHG members are women; (b) all instalments paid on time
Subsidy to be paid by DAY-NULM to the banks	Difference between prevailing bank rate and 7%	Difference between prevailing bank rate and 7%	Difference between prevailing bank rate and 7%. Additional 3% will be reimbursed to all women SHGs who repay their entire bank loan on time

2.3 SHELTER FOR URBAN HOMELESS (SUH)

2.3.1 Importance

As per guiding principle 2.7 of the Mission Document, Urban homeless persons who live without shelter or social security/protection are the most vulnerable class, even while they contribute towards sustaining cities with their cheap labour. Life

on the streets involves surviving continuously at the edge, in a physically brutalized and challenging environment. There is a need for appropriate policy intervention to address the challenges faced by homeless people, with regard to shelter, social housing and social protection. Accordingly, DAY-NULM would aim at providing shelters equipped with essential services to the urban homeless in a phased manner. It is being monitored by the honourable Supreme Court of India. The sole aim of the Govt. and the Supreme Court is to help the poorest of the poor with a place to stay.

2.3.2 Norms

1. For every 1 lakh urban population, permanent – **24x7 - all weather community shelters**. Depending upon local conditions, each shelter could cater to 50 - 100 persons. Cities are free to plan above this norm, if there is a perceived need, but these estimations provide a base number of shelters, which each city is legally bound to provide.
2. All necessary **infrastructural facilities** to be put in place – kitchen, water, sanitation, electricity, recreation, etc. A minimum space of 5 square meters or **50 sq. ft. per person** to be provided.
3. **Location of shelters** to be close to the places of concentration of homeless persons and their work places.
4. Linkages with social security and other entitlements to be ensured.
5. Shelter Management Committees to be set up to run and manage the shelters.
6. Shelters to be run on a **PPCP mode** - associating with agencies identified by the State including Building Centers, PSUs, NGOs, CBOs, Private Sector Enterprises, etc., for construction and management.

2.3.3 Definition of Urban Homeless

Persons who do not have a house, either self-owned or rented, but instead live and sleep at pavements, parks, railway stations, bus stations, places of worship, outside shops and factories, at constructions sites, under bridges, in hume pipes and other places under the open sky, or places unfit for human habitation spend their nights and/or days at shelters, transit homes, short stay homes, beggars' homes and children's homes live in temporary structures with or without walls under plastic sheets or thatch roofs on pavements, parks, 'nallah' beds and other common spaces. Within this group, there are multiple degrees of vulnerability. For instance, there are single women, the infirm and old, the disabled and persons who have special needs such as floating migrant populations unable to find labour or food, those involved in substance abuse and patients suffering from debilitating diseases.

2.3.4 Role & Responsibility of ULB

1. To conduct systematic survey;
2. To bring in land for the Shelter for Urban Homeless;
3. Submit DPR summary format to be forwarded to Govt. of India;
4. To finalize Operations & Management plan for the shelter, Shelter Management Committees to be set up to run and manage the shelters;
5. To enter the Detailed Project Report in the DAY-NULM MIS for consideration.

2.4 SUPPORT TO URBAN STREET VENDORS (SUSV)

2.4.1 Important Documents for Street Vendors

- ▶ Special Act for the Street Vendors:- The Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014 ,was passed on 5th March 2014.
- ▶ The Street Vendors (Protection of Livelihood and Regulation of Street Vending), Rules, 2016 was notified on 26th February 2016 by Govt. of Assam.
- ▶ SCHEME- Shall be notified by the Government.
- ▶ SUSV Guidelines of DAY-NULM.

2.4.2 SUSV Objectives

The objective of this component is to address the vulnerabilities of the urban street vendors through a multi-pronged approach. This includes:

- – Survey of street vendors and issue of Identity Cards;
- – Development of city street vending plans;
- – Infrastructure development of vending zones in the city;
- – Training and Skills Development;
- – Financial Inclusion;
- – Access to credit & working capital;
- - Linkages to social security schemes.

2.4.3 Role of ULBs

1. Constitution of Town Vending Committee and In line with the objectives;
2. Survey and Issue of Identity Cards;
3. Preparation of City Street Vending Plan (CSVP);
4. ULB to prepare a Detailed Implementation Plan (DIP);
5. Training and Skill Development of the street vendors;
6. Financial Inclusion- ensuring bank accounts;
7. Access to Credit- through Loans from banks.
8. Linkages with social security schemes like Mudra Loan, etc.

2.4.4 The above 7 sub components include the following 5 sub activities:

- A. Identification & Notification of vending zones and to allocate vendors. DIPs to be prepared and submitted to SMMU.
- B. As per the Act and Guidelines, at least one day training of the street vendors is to be done to inform them about the Act and their rights (4.16 at page 6 of the Guidelines).
- C. Other trainings to be included under EST&P component of DAY-NULM (4.18 at page 7 of the Guidelines).
- D. Financial Inclusion-
ULB to organize financial literacy programmes through CLCs (under SMI&D component) or others, etc.
- E. Help the Street Vendors with access to credit in convergence with the SEP component of DAY-NULM.

2.4.5 Process of Approval of DIP & CSVP

The ULBs have to send the proposals of City Street Vending Plan and Detailed Implementation Plan to State Office for consideration and the State Office shall place the proposals to the Project Sanctioning Committee of the Govt. of Assam.

2.5 CAPACITY BUILDING & TRAINING (CB&T)

2.5.1 Objectives

2.5.1.1 The key objectives of the Capacity Building and Training (CB&T) component are:

- a. To transform the role of M/o HUPA and State Agencies in charge of urban poverty alleviation into providers of high quality technical assistance in the field of livelihood promotion and urban poverty alleviation;
- b. To build strong institutional structures at the National, State, and City levels for efficient implementation of the DAY-NULM and;
- c. To build capacity of the urban poor, their institutions and the machinery involved in the implementation of DAY-NULM.

2.5.2 Administration and Implementation structure at State level

2.5.2.1 In every State/UT a State Urban Livelihoods Mission (SULM) will be established as a registered society which will be responsible for implementation of DAY-NULM in the state/UT. However, State/UT may designate an autonomous body already working in the field of poverty alleviation and livelihood promotion as the SULM. SULM will be managed by a State Mission Director appointed by the State Government. In addition, the State Government would also appoint required government officials to assist the State Mission Director in respect of Finance and accounts, establishment matters and other such supporting functions.

2.5.2.1 State Mission Management Unit (SMMU), a dedicated support team at the state level, will be established to support State Mission Director, SULM in the implementation and monitoring of DAY-NULM at the state/UT level. This unit will be funded by the DAY-NULM.

2.5.2.2 SMMU will be staffed with technical specialists having expertise in various fields like poverty alleviation, social mobilisation, financial inclusion, livelihoods promotion, human resources, etc.

2.5.2.3 Funding under DAY-NULM will be provided for a maximum of six technical experts at SMMU level for big states and four technical experts for small states.

2.5.2.4 In the event that the SMMU positions are not filled, government staff may be deputed for these positions subject to the following conditions being fulfilled:

- a. The official must fulfil all eligibility criteria required for the position;
- b. The position is temporarily filled, and only until such time that the appropriate candidate becomes available;
- c. Payment towards salary and allowances will be limited to norms under DAY-NULM. Any extra payment for salary/ allowances will have to be met by the state government.

2.5.2.5 DAY-NULM will support SMMU costs for a period of five years. States should build their internal capacities to implement urban poverty alleviation programmes after five years.

2.5.2.6 The overall responsibilities of the SMMU will include, but not be limited to, the following:

- a. To facilitate implementation of DAY-NULM in the state through ULBs;
- b. To facilitate establishment of CMMUs at city level;
- c. To provide professional and technical inputs on specific components of DAY-NULM;
- d. To prepare Urban Poverty Reduction Strategy/Livelihood Development Plan for the state;
- e. To support cities in preparation of City Livelihood Development Plans;
- f. To coordinate and develop convergence with other Missions and programmes in the state;
- g. To organize state level capacity building programmes, workshops, seminars and cross-learning visits, etc. of key government staff as well as technical experts involved in implementation of DAY-NULM at CMMU and SMMU levels;
- h. To document the progress and process of implementation and best practices of DAY-NULM;
- i. To undertake/commission studies to assess the impact of the DAY-NULM;
- j. To coordinate with various departments of state government, central government, banks and such organisations to help implementation of DAY-NULM at the state level.

2.5.3 Administration and Implementation structure at City level

2.5.3.1 At the city level, the DAY-NULM activities will be implemented through Urban Local Bodies (ULBs). City Mission Management Unit (CMMU), headed by a City Project Officer (CPO) appointed by State government will be formed.

2.5.3.2 The CMMU will be staffed with technical specialists having expertise in various fields like social mobilisation, institution and capacity building, livelihoods/Micro enterprises, micro finance etc which will be funded under DAY-NULM. In addition, the State Government/ULB will also appoint other officials to deal with Finance and accounts, establishment matters and other such support services.

2.5.3.3 Funding under DAY-NULM will be provided for a maximum of four technical experts at the city level for cities having more than 5 lakh population, three technical experts for cities with population of 3 to 5 lakh population and two technical experts for cities below 3 lakh population.

2.5.3.4 Community Organisers (COs) will also be appointed in the city. Each CO will cover at least 3000 urban poor families. COs should be recruited as per the requirement at city level subject to availability of funds. However, at least one CO should be positioned in every city covered under DAY-NULM.

2.5.3.5 In the event that the CMMU positions are not filled, government/ ULB staff may be deputed for these positions subject to the following conditions being fulfilled:

- a. The official must fulfil all eligibility criteria required for the position;
- b. The position is temporarily filled only until such time that the appropriate candidate becomes available;
- c. Payment towards salary and allowances will be limited to norms under DAY-NULM. Any extra payment for salary/ allowances will have to be met by the state government or ULBs.

2.5.3.6 Support to CMMU by DAY-NULM will be limited to five years only. Within this period, cities should build their internal capacities for effective implementation of urban poverty alleviation programmes after five years.

2.6 INNOVATIVE & SPECIAL PROJECTS (I&SP)

2.6.1 Introduction

2.6.1.1 In keeping with the mission's need to learn from, support and inculcate innovative initiatives, the Deendayal Antyodaya Yojana-National Urban Livelihoods Mission (DAY-NULM) will promote novel approaches in the form of innovative and special projects. The objective of projects under this component will be to implement a time-bound programme to demonstrate an approach that is likely to have wide implications for sustaining urban poverty alleviation efforts.

2.6.1.2 A project taken up under this component may include pioneering approaches, innovations to strategies under DAY-NULM, or catalysing efforts in geographical areas where these have not been undertaken before. These projects may also include activities not possible to address through the normal course of DAY-NULM implementation. Further, special projects to address livelihood issues of most vulnerable sections like physically-challenged, rag pickers, domestic workers, rickshaw pullers, sanitation workers and other such vulnerable groups may also be taken up.

2.6.1.3 Innovative / special projects may be undertaken on a partnership mode involving CBOs, NGOs, semi-government Organisations, private sector, industry associations, government departments/ agencies, urban local bodies, national/state/city resource centres or international organisations.

2.6.1.4 The proposals for Innovative & Special Projects must be situated in the cities covered by DAY-NULM.

2.6.2 Project Proposal

2.6.2.1 Government departments / agencies, urban local bodies, and registered bodies such as CBOs, NGOs, semi-government organisations, the private sector, industry associations, educational and/or research institutions, and national / state / city resource centres may propose projects under this component to the State/UT Government / SULM in the prescribed format at Annexure I with an advance copy of the proposal to the National Mission Directorate, DAY-NULM.

2.6.2.2 The State Government / SULM will examine the proposal in terms of profile and experience of the agency proposing the project, justification and feasibility of the project, funding details, modalities for implementation, time schedule for completion etc., and send their recommendations/comments along with the proposal to the National Mission Directorate, DAY-NULM.

2.6.2.3 The consent of the State Government / ULB or any other agency who will be required to maintain the assets, or sustain the project after the project period is required to be produced at the time of recommending the project to the National Mission Directorate, DAY-NULM.

2.6.2.4 All proposals received from the State Government / SULM will also be screened by the National Mission Directorate, DAY-NULM. For projects requiring professional appraisal, the National Mission Directorate, DAY-NULM may engage an agency for this purpose, and the cost of appraisal will be paid to such agency out of the A&OE funds under DAY-NULM.

2.6.3 Sanction of Projects

2.6.3.1 The project proposals recommended by the State/UT Governments/SULM will be considered by the **Project Approval Committee (PAC)**, constituted by the Ministry of HUPA for approval of the projects. The PAC, at the time of sanction of the project, will also prescribe the time schedule within which the project will be completed. However, this may be revised taking into account unforeseen factors or other such circumstances by the National Mission Directorate, DAY-NULM.

2.6.3.2 Representatives of the agencies proposing projects may be called to make presentations or provide clarifications at the meetings of the PAC, if considered necessary.

2.6.3.3 The PAC may also invite technical experts and the appraisal agency as attendees to the meetings to provide inputs on the proposals received under this component.

2.6.4 Funding Pattern

2.6.4.1 Under DAY-NULM, up to five (5) percent of the total Central Funds will be used for Special & Innovative Projects. This component will be centrally administered and no state share will be required for the projects sanctioned under this component. The funding support for a project under this component will depend on the nature of projects and will not be subject to the funding norms under other existing components of DAY-NULM.

2.6.4.2 On approval of the project by the PAC, the National Mission Directorate, DAY-NULM will release the funds to the State Government / SULM for onward release to the implementing agency. The Funds will be released to the State/UT Government/SULM in appropriate number of instalments as approved by the PAC. Second and subsequent instalments will be released only after submission of Utilization Certificate for at least 75% of the funds already released.

2.6.4.3 A bi-partite agreement will be signed for the implementation of the project between the concerned State Government (SULM) and the agency undertaking the project. This agreement must have clear project outputs and deliverables, and must clearly indicate payment milestones.

2.6.4.4 The SULM will be required to maintain a separate account for funds released under this component. As funds released to the State/UT Governments/SULM under this component are meant for particular projects, therefore the release of Grants-in-Aid to States for implementation of other components of DAY-NULM will not depend on the utilisation of funds released for projects under I&SP component.

2.6.4.5 Audit of the approved I&SP project is required to be carried by an Auditor (Chartered Accountant) appointed for the purpose. The audit may preferably be done through a Chartered Accountant empanelled by the CAG or the Income Tax Department.

2.6.4.6 The interest amount accrued on the deposits of I&SP Project funds in Banks at State and Implementing Agency levels shall be treated as part of the Project funds and shall be utilized on Project activities only. Accordingly, the interest earned on funds should be shown separately and should be added to the available funds while claiming subsequent instalments.

2.6.5 Monitoring & Evaluation

2.6.5.1 The implementing agencies shall report quarterly progress in formats prescribed from time-to-time, indicating achievements and any key issues in implementation. Whenever the outcome of the projects is in terms of

coverage of beneficiaries, the number of women beneficiaries should be separately reflected in the project proposal and progress reports.

2.6.5.2 On completion of the project, the implementing agency shall submit a report on the implementation, learning and suggestions for scaling-up and incorporation of the learning into DAY-NULM State Government and DAY-NULM Mission Directorate.

2.6.5.3 Normally, project proposals will have a provision of evaluation by a professional agency on completion of the project. The cost of evaluation will be incorporated in the project cost itself. However, for the purpose of evaluation of these projects, the National Mission Directorate, DAY-NULM may also engage a separate agency if needed and the cost of evaluation will be paid to the selected agency from out of A&OE funds under DAY-NULM.
