



## APPRAISAL OF COMMUNITY PARTICIPATION FUND PROPOSALS

Appraisal of CPF proposals could be undertaken as a two stage process as follows:

**Stage 1** is a compliance check of the proposal requirements to ensure that all sections and documents have been submitted.

**Stage 2** is the desk appraisal which will require in-depth study of the proposal. This will ensure an institutional, financial, and proposal level assessment.

*(Undertaking field visit/ appraisal to assess the ground realities could also be thought about. But the fact that the ULB has to give consent to the proposal implies that the physical issues are addressed. Therefore, at the moment physical appraisal is being set aside, given that the ULB needs to approve the proposal. This issue, however, could be reviewed on a periodic basis, on the experiences of the CPF projects. If field visit/ appraisal is considered appropriate, we can introduce the same in the future)*

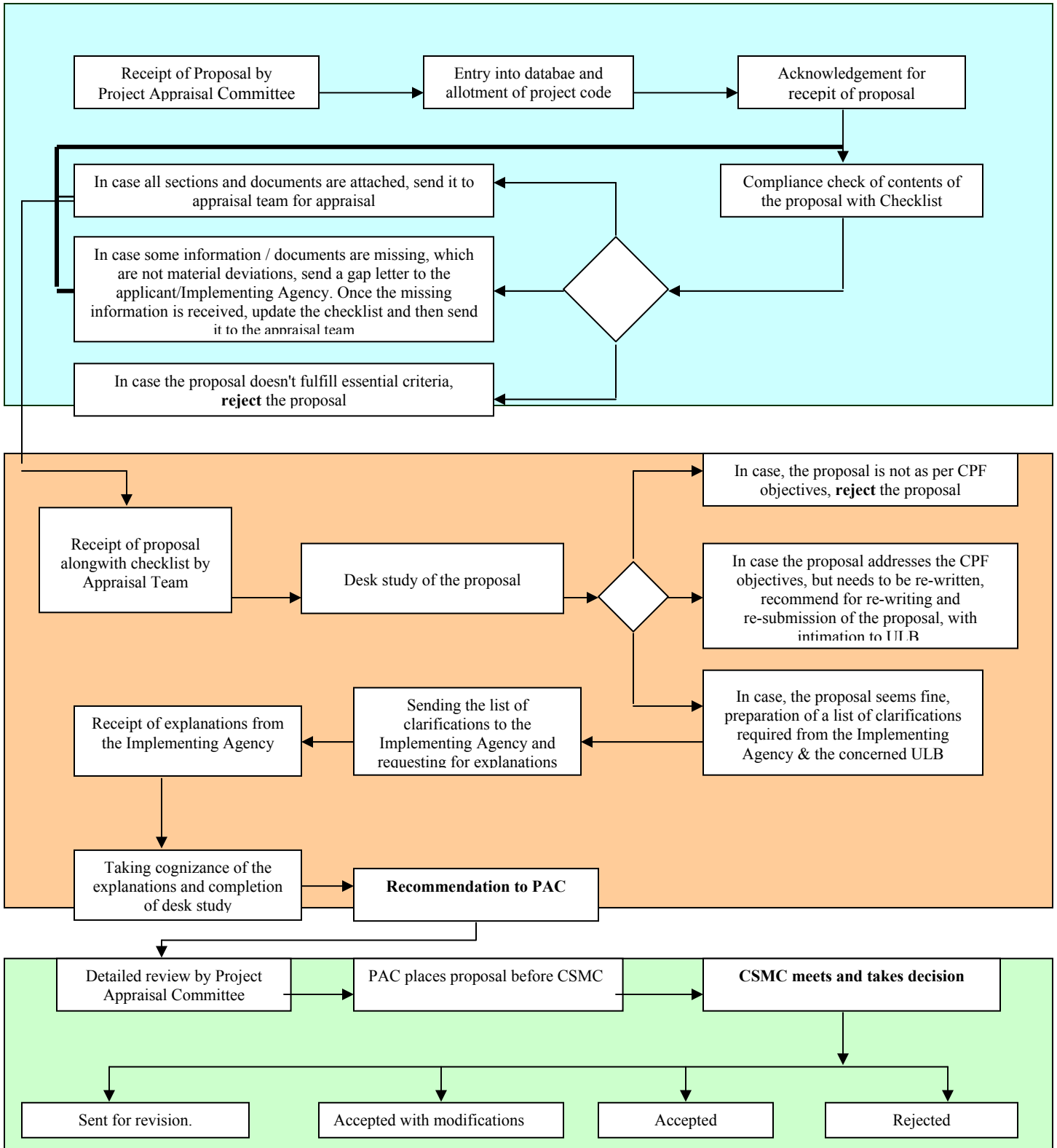
Once the desk appraisal is done, the appraising team will fill in the appraisal sheet with both quantitative and qualitative points and give their recommendation to the Project Appraisal Committee (PAC). The Committee, after having detailed review of the project, would place the same before CSMC. The CSMC may accept, reject, approve with modification or recommend for revision of the proposal.

*(To begin with, the TAG Coordination Cell (on behalf of Technical Advisory Group) could be entrusted with the Desk Appraisal of the proposals. But as proposals start pouring in, the TAG Coordination Cell wouldn't be in a position to handle all this with the current manpower and expertise. It would certainly require additional hands for support.)*

The steps in the selection process, compliance checklist, and appraisal sheet along with final score sheet with recommendations are given as under:

### **Steps in Selection Process:**

The following flow diagram shows the various steps involved in appraisal and selection of a project under CPF:



## PROPOSAL CHECKLIST

**Name of the Implementing Agency: Jaihindpuram Vattara Kalanjiam**  
**Project Identification code: MAD-03**

**Project title: Establishing Slum Information Centres for slum dwellers.**

Answer the following questions\*:

- |   |                                     |     |                                     |    |
|---|-------------------------------------|-----|-------------------------------------|----|
| <b>1. Has the proposal been endorsed by the majority of the members of Area Sabha(s)/ voters of the project area?</b>   | <input checked="" type="checkbox"/> | Yes | <input type="checkbox"/>            | No |
| <b>2. Has the proposal been endorsed by the concerned ULB?</b>  | <input checked="" type="checkbox"/> | Yes | <input type="checkbox"/>            | No |
| <b>3. Has the city (from where proposal has arrived) Signed MoA under JNNURM?</b>                                       | <input checked="" type="checkbox"/> | Yes | <input type="checkbox"/>            | No |
| <b>4. Is the Implementing Agency/ CBO under question a Self Help Group (SHG) dealing with micro-finance activities?</b> | <input type="checkbox"/>            | Yes | <input checked="" type="checkbox"/> | No |
| <b>5. Does the proposal have a religious focus?</b>   | <input type="checkbox"/>            | Yes | <input checked="" type="checkbox"/> | No |
| 6. Has the proposal been submitted with all enclosures?   | <input checked="" type="checkbox"/> | Yes | <input type="checkbox"/>            | No |
| 7.. Have the consultative processes adopted in project formulation been documented and form a part of the proposal?     | <input checked="" type="checkbox"/> | Yes | <input type="checkbox"/>            | No |
| 8. Has the proposal been signed by the elected representative of ward/area?   | <input checked="" type="checkbox"/> | Yes | <input type="checkbox"/>            | No |
| 9. Has a soft copy been provided?   | <input checked="" type="checkbox"/> | Yes | <input type="checkbox"/>            | No |
| 10. Does the proposal have the Cover Page as per format?  | <input checked="" type="checkbox"/> | Yes | <input type="checkbox"/>            | No |
| 11.. Have both technical and financial proposals been submitted?  | <input checked="" type="checkbox"/> | Yes | <input type="checkbox"/>            | No |
| 12. Is the technical proposal as per the prescribed format and does it contain all relevant sections?                   | <input checked="" type="checkbox"/> | Yes | <input type="checkbox"/>            | No |
| 13. Is the financial proposal as per format?  | <input checked="" type="checkbox"/> | Yes | <input type="checkbox"/>            | No |

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\* The first five (5) questions form the essential criteria. If answer to any of the first three (3) criteria is "No", and that of the next two is "Yes", the proposal gets rejected.

14. Is the proposal in English?  Yes  No
15. Is the proposal initialed on all pages by the authorized person/applicant?  Yes  No
16. Are the technical and financial proposals within the page limit of 20 pages?  Yes  No
17. Are the enclosures signed in original and certified as true copy?  Yes  No
18. Checklist for list of enclosures:

No.	Description of Enclosures	Submitted		Remarks
		Yes	No	
1.	Copy of CBO* formation/ registration	√		
2.	Copy of CBO Bye Laws/Memorandum and articles of Association	√		
3.	Process documentation of consultative process adopted in project formulation	√		
4.	Endorsement/consent letter by the community, signed by the majority of voters in the polling both locality and by the elected representative of the Area Sabha/ Ward	√		
5.	Copy of resolution authorizing a person to sign the proposal and submit all necessary papers	√		
6.	Brief CVs of key project personnel nominated by the community to work on the project	√		

For the NGOs supporting the Community/Implementing Agency in project formulation, the following enclosures should be attached:

**Not Applicable: as the project is being directly executed by the CBO**

Enclosure No.	Description of Enclosures	Submitted		Remarks
		Yes	No	
7.	Copy of Society/ Organisation/ Company Registration/ Incorporation Certificate			
8.	Copy of Organisation Bye Laws/ Memorandum and Articles of Association			
9.	List of Governing Body Members			
10..	Copy of Audited Financial Statements for the last three years along with Auditor's Certificate/Report			

\* RWA/ Neighbourhood Group/Youth Club/ Marketing Committee/Area Sabha, etc.

## **DESK APPRAISAL**

### **1. INSTITUTIONAL ASSESSMENT**

#### **1. Registration Details:**

##### **A. Registered under:**

- Societies Registration Act
- Trust Act
- Cooperatives Act
- Trade Union Act
- Companies Act
- Any other

##### **B. Year of Registration - 2005**

#### **2. Do the vision and mission of the Implementing Agency indicate any political, religious undertones?**

- Yes  No.

#### **3. Is the Implementing Agency capable of helping the concerned community/CB(s) in executing such project?**

- Yes  No.

#### **4. Does the CBO/Implementing Agency have a Governing Body/Executive Body?**

- Yes  No.

##### **If Yes, frequency of meetings**

- Monthly
- Quarterly
- Annually
- No Policy

#### **5. What is the involvement & commitment of the Authorised Person/Chief Functionary to the community?**

- Full Time  Part-Time.  Not Known.

#### **6. What is the involvement & commitment of the Authorised Person/Chief Functionary to the Implementing Agency?**

- Full Time  Part-Time.

7. **The Authorised Person/Chief Functionary is a**
- Government Servant       Businessman/Contractor  
 Development practitioner    Others (specify)
8. **Does the Implementing Agency have any experience of working with ULBs?**
- Yes                                       No.
9. **Does the community/Implementing Agency have adequate infrastructure (building, equipment, and facilities) to implement the project?**
- Yes                                       No.                                       Not Known.
- Remarks:
10. **Does the Community/Implementing Agency maintain monitoring systems to review its programme?**
- Yes                                       No.                                       Not Clear
- If Yes,
- A.  Internal                                       External  
B.  Monthly                                       Quarterly    Half Yearly    Annually

**B. PROJECT ASSESSMENT**

1. **Who are the targeted beneficiaries of the project?**
- Urban poor/ Slum dwellers    Women.  
 Children                                       Others
2. **Does the project proposal match the objectives & focal areas of CPF?**
- Yes                                       No.
3. **Does the project duration conform to the CPF project requirement (12 months)?**
- Yes                                       No.
4. **Is the envisaged duration adequate to implement the project?**
- Yes                                       No.

5. **What is the involvement of local community in the project?**
- Planning                       Contribution  
 Implementers                       Stakeholder
6. **How was the project proposal evolved and designed?**
- Demand driven                       From the Implementing Agency  
 Others
7. **Do the objectives, activities and outputs conform to the stated Goal?**
- Yes                       No.
8. **What are the tools to be used for monitoring of the project?**
- Progress Reports                       Physical verification  
 Media                       Documentation
9. **What are the indicators to measure the outputs?**
- Qualitative     Quantitative     Both
10. **Are the outputs and outcomes tangible and measurable to the extent possible?**
- Yes                       No.
11. **Is the project amenable to sustainability and replicability?**
- Yes                       No.
12. **Are the likely limitations and risks to implement the project critical in nature?**
- Yes                       No.

**C. FINANCIAL ASSESSMENT**

1. **Is the Government of India contribution within the prescribed limit?**
- Yes                       No.

Total Project cost: Rs 10, 79,600

Remarks: **Support sought from GoI under CPF is 9.5 lakhs.**

2. **Is the community contribution into the project a minimum of 10% of the project?**
- Yes                       No.



**Implementation Plan:**

**PERT CHART for the PROJECT**

S.no	Activity Component	Budget (Rs.)	1	2	3	4	5	6	7	8	9	10	11	12
1	Project planning meeting for slum dwellers	45,000												
2	Advocating and concept seeding the importance of SIC	9,000												
3	Publications and disseminating information about the SICs and roles & responsibilities of public	21500												
4	Collaboration with identified stakeholders													
5	Establishing SICs with Kiosk and internet	7,22,000												
6	Project cost - Operational maintenance	195000												
7	Documentation and Publication	50,000												
8	Review meetings and field visits	37,100												
<b>Total (inclusive of community contribution)</b>		<b>10,79,600</b>												

**3. What is the stage of collecting community contribution by the implementing agency?**

- Collection already started  
 To start only after sanctioning of the proposal

4. **Have any such activity been included in the financial proposal which cannot be funded under CPF? NOT APPLICABLE**

- |  |   |
|--|---|
| <input type="checkbox"/> Proposal preparation activities     | <input type="checkbox"/> Religious/political activities |
| <input type="checkbox"/> Unlawful/violent activities         | <input type="checkbox"/> Scholarships                   |
| <input type="checkbox"/> Sponsorship                         | <input type="checkbox"/> Welfare activities             |
| <input type="checkbox"/> Commercial ventures                 | <input type="checkbox"/> Welfare activities             |
| <input type="checkbox"/> Core funding not related to project | <input type="checkbox"/> Others (specify)               |

5. **Is there clear demarcation of responsibilities for operations and maintenance?**

- Yes  No.

6. **Have the costs involved in maintenance and mechanisms been indicated in the proposal?**

- Yes  No.

7. **Do the finance and accounting unit of Implementing Agency show capability to handle the project on a day-to-day basis?**

- Yes  No.


8. **Is the proposed mechanism for audit in place?**

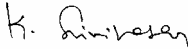
- Yes  No.

Remarks: ***Accounts are to be mandatorily audited at the end of the project. These would also be open to further audit by CAG or State Government***

**Name of the Implementing Agency: Jaihindpuram Vattara Kalanjiam**  
**Proposal Title: Establishing Slum Information Centres for slum dwellers**  
**Project Cost: Rs. 10,79,600/-**  
**Support Sought under CPF: 9.5 lakhs**  
**Proposal Code: MAD-03**  
**Objectives: To facilitate slum dwellers with a range of services & information through slum information centres.**

***Proposal suitable for consideration under CPF.***

  
(Rakesh K Singh)  
Sr. Coordinator (TAG Sect.)

  
(K.Srinivasan )  
(Assistant NURM-I)