

**EXPERIENCES OF WORKING ON URBAN PLANNING AND
GOVERNANCE PROJECTS WITHIN THE URBAN POVERTY
& LIVELIHOODS PORTFOLIO**

A REPORT BY

THE URBAN POVERTY & LIVELIHOODS PORTFOLIO TEAM

SUGANDHI BALIGA

POORNIMA DORE

DURANG BASU MULICK

“It is one of the most beautiful compensations of this life that no man can sincerely try to help another without helping himself.” — Ralph Waldo Emerson.

TABLE OF CONTENTS

1. AN EXECUTIVE SUMMARY.....	3
2. URBAN POVERTY AND LIVELIHOODS PORTFOLIO.....	6
3. PURPOSE OF THIS NOTE.....	8
4. ACHIEVEMENTS AND CHALLENGES OF THE THREE PROJECTS.....	9
▪ Initiation of Relocation— SPARC (Dharavi)	
▪ Initiation of Relocation— Shelter Associates (SA), Sangli	
▪ Post Relocation —CURE (Savda Ghevra)	
5. WAY FORWARD.....	15

ANNEXURES

I. FRAMEWORK OF THE URBAN DEVELOPMENT POLICY.....	21
II. THE LIFE CYCLE OF SLUM RELOCATION/ REHABILITATION PROJECTS.....	28

AN EXECUTIVE SUMMARY

At around 28%, India has a modest level of urbanisation but with the increase in scale and hence migration, the incidence of urban poverty is on the rise. According to the NSSO, 25% of the urban population is poor. According to the 2001 Census, 22.6% of urban residents live in slums. In fact, the face of poverty in the country is rapidly becoming urban. This has resulted in challenges such as housing and shelter, water, sanitation, health, education, social security and livelihoods; along with the special needs of the vulnerable groups such as women and children. However, the primary key challenges are socio-political and have to do with visibility, security and acceptance of the hitherto illegal, insecure poor as citizens.

Working with these challenges will involve major policy changes at multiple levels and is obviously, a complex process. On the other hand, at the governmental level there has been major advancement in recognising the challenge. The framework of the Urban Development Policy and the details of the different urban government schemes are given in **Annexure I**.

The total quantum or resources which are meant for the poor through various sources— Central Schemes, State Welfare Schemes, JNNURM (2005), MP/MLA funds for locality development are significant. However, the criteria for resource allocation and their interpretation by the ‘coordinating’ state government department are so rigid that there are no ‘free’, ‘flexible’ funds available to address the strategic gaps in these programs by Urban Local Bodies (ULBs). ***Since there are no local agendas reflected in the initiatives for the poor, they remain patchy and ineffective for the underprivileged.***

Under the **Urban Poverty and Livelihoods (UPL) Program**, the Trusts took the livelihoods approach which addressed the issues holistically, rather than sectorally to enhance livelihoods so that the poor can gradually move out of poverty. The focus areas are:

- (i) Informal Sector and Livelihoods
- (ii) Urban Planning and Governance

Some projects under the theme 'Urban Planning and Governance' involve the interface of livelihoods with settlement issues, and have provided result-oriented learning in terms of grant-making for the Trusts. ***An attempt has been made to document the processes underway in three livelihoods-based intervention projects.*** They are related to slum relocation, rehabilitation and comparing them to the conventional frames of grant-making.

To understand and document the learning and impact of these three initiatives, the services of an external Consultant, Dr. Amita Bhide (Faculty, TISS) were enlisted. The exercise aimed at documenting the key processes at play in these three projects.

a) Project: *Livelihoods Support for Relocated Families in Savda Ghera (Delhi) through the Centre for Urban and Regional Excellence— CURE*

b) Project: *Enabling a City-wide Sustainable Relocation Policy in Sangli through Shelter Associates.*

c) Project: *Towards More Just and Sustainable Redevelopment of Dharavi (Mumbai), through the Society for Promotion of Area Resource Centres -SPARC*

The review of these three experiences outlines the many aspects which potentially generate apprehensions among the donor agencies. One of these is the vulnerability of outcomes or results due to rarely controllable processes such as the political economy, affecting all the aforementioned projects in different ways. Developing such an understanding and assessment tools may be a prerequisite in making decisions, related to grants. ***The vulnerability of outcomes generates several uncertainties and risks which indicate that longer project cycles may therefore, be necessary to get tangible outcomes.*** It is evident that all these interventions have been political in character; at least two of them have run into the danger of being labelled and drawn into murky waters. ***Grant-making in this context has to be an act of faith, guided by facts and past histories and trajectories but appreciative and supportive of 'a sticking your neck out' approach. It needs to knowledgeably embrace risks.***

Another connecting thread in all these interventions is that they involve considerable engagement with governance and policy-making entities. Therefore, the processes of

intervention are dependent on particular constellations of decision-making, prevalent in a city. These constellations have multiple levels and dimensions which are formal and informal; official and political. Also they are dynamic and thus, can create new spaces or generate risks for intervention. There is an element of uncertainty about the outcomes. ***Grant-making in this context, involves a preparedness to appreciate and work with these complexities and uncertainties.*** The purpose of this documentation is to enable an engagement with those issues, which acquire immense significance with the challenges of growing urban poverty.

URBAN POVERTY AND LIVELIHOODS PORTFOLIO

The Trusts are Focusing on Two Major Themes:

a. Informal Sector and Livelihoods

- Migration (Rural – Rural, Rural- Urban)
- Women and Livelihoods
- Waste Management System

b. Urban Planning and Governance

- Slum Rehabilitation (Community Development and Access to Basic Services)
- Peri-Urban/ Small Town Planning
- Governance Programs
- Advocacy and Rights-based

Under the Urban Planning and Governance theme, the Trusts have supported three NGOs working closely with the government, ensuring that the slum population is included in the slum rehabilitation process.

- a) **Project:** *Towards More Just and Sustainable Redevelopment of Dharavi (Mumbai) through the Society for Promotion of Area Resource Centres—SPARC.* **This is at the initiation level of the relocation stage** (Annexure II).

When the Rs. 9,250 crore Dharavi Redevelopment Project (DRP), (which is overseen by the Slum Rehabilitation Authority) began to be mooted seriously by the state government in 2006, SPARC (Sustainable Practice Action Research Community) started working informally with a group of retired bureaucrats, socially concerned architects, interested professionals, and the Director of a school of architecture, the Kamala Raheja Vidyanidhi Institute of Architecture. This group privately referred to as, the Concerned Citizens for Dharavi (CCD) was initiated with both the communities of Dharavi and the Government of Maharashtra. The CCD lobbied and campaigned nationally and internationally to make the DRP responsive to the needs of the poor. After some initial

meetings with CCD the GOM agreed to induct the CCD as a Committee of Experts who would advise the DRP.

b) **Project:** *Enabling a City-wide Sustainable Relocation Policy in Sangli through Shelter Associates.* (**This project is at a pre- relocation stage** (Annexure II).

Under the JNNURM, the city had obtained approvals for 7 projects (under the Integrated Housing and Slum Development Program (IHSDP)) for which Shelter Associates (SA) were approached in 2008 as a community mobilising agency. The government had made a commitment to support the construction and physical infrastructures while the Tata Trusts contributed towards the mobilisation of communities for relocation. Shelter Associates was appointed as a consultant by the city to submit a proposal by Feb 2009, under the IHSDP scheme. SA is a NGO working in Pune comprising architects, social workers, GIS experts and community workers. This project now involves the relocation of 29 settlements in the city and is *one of the first planned interventions in slums with a city-wide scale in the country.*

c) **Project:** *Livelihoods Support for Relocated Families in Savda Ghera (Delhi) through the Centre for Urban and Regional Excellence— CURE.* (**This is at the post-relocation stage** (Annexure II).

In 2008—2009, the Tata Trusts project started as a complementary program in partnership with the Government of Delhi. This was done through a program called Sanjha Prayas— crafted along the lines of the Bhagidari Program to promote participatory governance among the low income communities in Delhi. As of now, the partnership with the Government of Delhi through Sanjha Prayas has ended its first phase. The second phase is however, on hold due to the Commonwealth Games which were organised in October 2010.

While the Urban Policy framework of the Ministry of Urban Development outlines the efforts to be made in terms of creating the basic urban infrastructure, implementation of the JNNURM, ensuring financial and legal compliances among others, there are several deficits in the same. These include (among others) inadequate decentralisation, a lack of consistency, a lack of investment in institution building, inadequate outreach.

PURPOSE OF THIS NOTE

Detailed process documentation has been done to trace the history of the three organisations, its work in the current projects as also, the value addition that support from the Tata Trusts has made so far. The purpose of this note is to share an abridged version of this documentation. It is to be noted that while these projects are located in cities with distinctive cultures of inclusion/exclusion and involve highly diverse scales of operation, there are several connecting themes. The most important of these linkages is that all the projects involve work with communities who are already relocated or are under threat of being relocated. As such, all the interventions involve relocation as a beginning point and converting it to a meaningful opportunity for a more secure and legal life in the city. In the first case, it has meant a nuanced resistance; in the second, it has meant the use of the technique of mapping to evolve more rational and just decisions and in the third case, it has meant engaging with a range of governing institutions to press for more inclusion.

Major Achievements through SPARC's Intervention

- The government's policy for rehabilitation was 'structure for structure'. Due to this policy, only the structures on the ground were recognised while the mezzanine levels were considered as part of the same structure. The people residing there were not counted as separate families but now they have been made visible due to policy makers. Solutions are under consideration.
- According to the Government rules, every eligible slum dweller is entitled to a free unit of 225 sq. Feet. With pressures from civil society, the GOM made a decision to give 300 sq feet. Also, those who required additional areas could buy it at the constructional cost.
- When the bidders presented their proposal to COE, they were required to include their ideas about community participation in the design and the planning process. Those who had ignored this aspect were provided guidance on how to work on it.
- The Dharavi Bachao Andolan which is the rainbow organisation of all the local Dharavi residents, NGOs like SPARC, concerned citizens, political parties and small scale industry operators became involved in the consultative processes.
- KRVI's architectural plan on Sector 4 has been an excellent alternative plan and will attract many builders to rehabilitate the slum dwellers. It negates vertical planning and stresses on horizontal planning to develop the slums. The plan involves alternative financing and institutional models of redevelopment. One of the key features being, that the community gets back 55% of the space for Resettlement and Rehabilitation, excluding areas for roads, amenities and public services. Currently, there is an initiative for 10-12 housing cooperatives to collectively prepare a plan for 1000-1500 families. The idea is to allow the representatives of each society to work with KRVI professionals and prepare the Redevelopment Plan. The community consultation process is on-going and a cluster Redevelopment Plan has to be worked out.
- The new planning guidelines recommend the distance between the buildings as also, the distribution of open spaces in the rehabilitated buildings to carry out livelihoods activities.
- Communities like Kolis were the original inhabitants of Dharavi. They had been living there since 1800 and therefore, could not be categorised as slum dwellers. Also, the Kumbhars were given land on lease by the GOM after they were relocated there. Since these two communities could not be included in the scheme, the GOM's idea of one size fits all had to be given up.

The Challenges Faced by SPARC

- Today with the developers' pursuit, issues of livelihoods and humane living conditions are being completely ignored. However, this plan emphasises on the existing ground conditions and thereby provides a set of guidelines which should form a base study for all the future slum development projects.
- The purpose is to ensure that the people are consulted at every stage of data collection, design formulation and implementation.
- The support from the Trusts can have a good outcome; keeping some form of optimism regarding the alternative plan done by KRVI which is supported by it. Its alternative designs suggest institutional and design options for moving forward through the stalemate of DRP and the survey also makes several aspects of entitlements that were invisible earlier.
- Though there are significant contributions from the state, Concerned Citizens of Dharavi (CCD) consistently puts itself on the line to press for inclusion of issues and widen the DRP frame. Various Government bodies such as the Housing Secretary, the Commissioner, MCGM (Municipal Corporation of Greater Mumbai) and the Chief Minister are being invoked for the same. CCD acts as an advisor in evaluating the bids and provides guidance on how to elicit participation from the people. The global recession and other factors have led to a reduction in the number of bidders to 9 and only 7 developers, submitted MOUs, even after an extension period was given. This has prolonged the timelines.

Stage: Initiation of Relocation- Shelter Associates (SA), Sangli

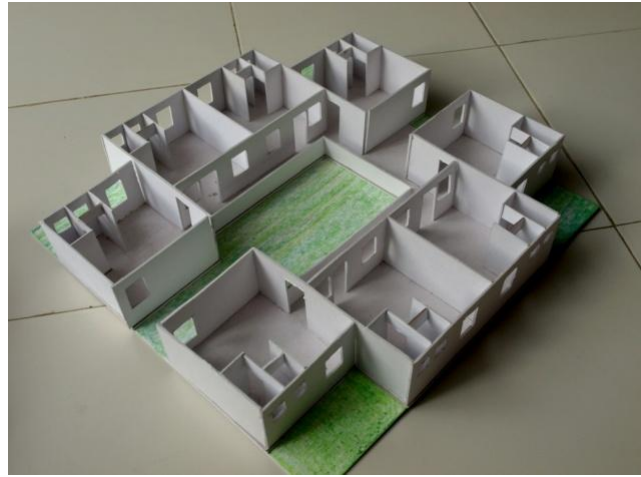
There are about 78 slums in Sangli with 25-30 slums built on private land. The population within the communities is largely homogenous and composes of migrants from the regions close by. Here, the livelihoods pursued are very marginal and largely consist of labour work. Service levels are quite poor and transactions and transfers in the slum properties are few. The rentals cost approx. Rs. 300-350. Sangli was a Municipal Council till 1997. The Sangli Kupwadi Miraj Municipal Corporation (SKMMC) was formed in 1998 by merging the adjoining areas of Sangli, Miraj and Kupwad, thus, making it eligible for declaration as a Corporation.

Major Achievements through Shelter Associates' Interventions

- The unique feature of this proposal is its city-wide perspective of slum improvement and development, using remote sensing technology and GIS software. SA designed social housing, which would rehabilitate the existing dwellers on the site as well as create an extra housing stock that could absorb the neighbouring slums that need to be relocated.
- The GOI approved this project as one which had a special, holistic and innovative approach.
- The participatory mapping exercise which was initiated by SA, opened up possibilities of relocation at walking distances, to specific sites rather than a few large ones and some sites which actually offered slum residents to come closer to the city. Therefore, it highlighted the value of more comprehensive planning, Rapid surveys in the slums have been done spatially and a linked database on these slums has been developed.
- So far, community mobilisation has taken off very successfully— 6 workshops have been conducted in batches of 40 for kids between the ages of 10-12. A series of modules have been planned for one day long workshops which will cover water, sanitation, health, hygiene and solid waste management. These workshops are essential for the children as they will help to make them responsible for maintaining their own community.
- Through the socio-economic surveys, Shelter Associates has identified nearly 2500 children from these settlements who fall between the 10-12 year age group and 5 modules covering the abovementioned topics. This has been experimented with a group of 60 children as one day workshops. The response has been tremendous.
- 30 Self Help groups have been initiated in 13 slum communities which are linked to banks. Higher levels of awareness about safe cooking have been spread and more than 100 smokeless chullahs are in use. Along with this, 10 women have been trained to stitch cloth bags as part of the livelihoods efforts.
- The designs of the model houses have been shown to women in 3D forms and their feedback has been taken.
- YASHADA, the Home Minister, the Housing Secretary GOM, have all been supporters of the project since its inception.



A sample design plan of the interiors.



A model of the ground and generic upper floors.

Challenges in Sangli

The last 8 months have been difficult for the project due to the lack of transparency on the part of the local government. Despite repeated efforts by the social workers and submitting the town planning layouts for 3 sites (out of 7) and detailed working drawings in January and February 2010, SMKMC did not respond about the progress. In May 2010, a model exhibition which was hosted by SA with the community members from Indira Nagar and Sangli and seen as an opportunity to start a dialogue with the city administration, was disrupted by unruly members of the community due to vested interests. In September 2010, SA learnt from the contractor that they had been asked to redo the site layout for town planning approvals and also design the site infrastructure for all the sites. As the Corporation has been resisting signing the MoU with the citizens' committee, the momentum has been slightly slow. Besides this, there is also a threat that since Sangli is a homogenous settlement where different communities have been housed together, it can generate friction, power plays and a few forms of exclusion.

The political leadership is trying to portray it as a slum-free city by promoting it as a holistic city-wide view of development of slums. Shelter Associates is a professional group and when it commenced operations in Sangli, it had the experience of working on sanitation issues which was a remarkable positive experience in Pune. YASHADA, the Home Minister and the Housing Secretary, GOM have all been supporting the project since its inception. Therefore, SA has taken steps to institutionalise the participation of the slum communities. This has been done by forming committees and equipping them with information that would enable them to supervise the project. The Citizen's Committee will also contribute and audit the project in the public's interest. Therefore, apart from livelihood activities, facilities and amenities, behavioural and organisational dimensions figured with such interventions. Through such interventions, the women have received a lot of confidence and ownership and also a feeling of belongingness pertaining to any decision taken on the project.

Stage: Post Relocation —CURE (Savda Ghevra)

This project supported by the Trusts, aimed at restoring livelihoods which were disrupted due to the long distance relocation to Delhi, with the locale being Savda Ghevra, which is emerging as one of the largest resettlement colonies in Delhi and is expected to absorb 21,000 households. The starting point has been the partnership between the Centre for Urban and Regional Excellence (CURE), a development NGO, focussing on pro-poor policy advocacy and the Government of Delhi through a program called Sanjha Prayas (SP). Though the Sanjha Prayas program was committed towards pro-poor governance, it did not include the component of recreation of livelihoods. Therefore, the Trusts' project started in partnership with the Government of Delhi as a complementary program in 2008—2009, through Sanjha Prayas—crafted along the lines of the Bhagidari program to promote participatory governance among the low income communities in Delhi.

Major Achievements through CURE's Interventions

- Establishment of community groups through different kinds of campaigns which have led to large scale familiarisation with sectors, issues and people.
- Through training, 150 plus people in construction have been certified, the youth have been trained in computers and for employment in hospitality and retail industry and the women have been trained in construction by MHT.
- Value chain analyses on home based work, identification of possible products, skill training certification, creating groups of bag makers through skills-matching, resources and market opportunities and learning from the CAP foundation and USAID, transferred to the Self Help Groups have been enhanced.
- The bag making group involves about 30 women and is in the process of establishing itself and is expanding product range.
- A screen printing group of 6-8 members has formally established itself with bank accounts and Pan Cards.
- The proposal for a bakery products unit has been developed.
- A child care centre has been opened and is operational with the acceptance of the community.
- Provisions have been made for channels of communication and grievance redressal which is routed only through the CURE staff and not by independent contact.
- A significant level of credibility has been established with a few Government departments like GoNCT, DJB (Delhi Jal Board), NDPL (North Delhi Power Limited) and the Municipal Corporation of Delhi.
- About 6 transport routes have been activated; sanitation work is in progress, community toilets are operational now. Municipal dispensary has been established and is operational, 4 schools are operational and the water supply through tankers has been regularised.
- Design of regularised water supply and sewerage network has been submitted.
- Weekly markets have been established.
- 150+ people in construction certified, youth trained in computers and for employment in hospitality and retail industry through PPP.
- The settlement has group dynamics and some degree of organisation. New people who relocate, find it much more bearable than those who moved in 4-5 years back.



A woman does door –to–door waste collection and segregation.

Workers segregate waste for vermicomposting.

Challenges in Savda Ghevra

In this case, community building has not been an easy process. There is a lack of communication with Delhi, due to the distance.

The first phase of Sanjha Prayas has ended and the proposals for the second phase have been delayed due to the preoccupation with the Commonwealth Games and also as it is a low priority issue since the elections are not due soon. It is apprehended that there might be a dilution or omission of CURE as a facilitating factor which may harm the project to some degree. However, the founder brings a considerable amount of personal credibility and impact, which can counter this possibility. Another problem is that the relocation colonies are being clubbed together in areas of low value; Savda Ghevra is one such resettlement site in the north-west edge of Delhi.



A model block layout design made in a community housing workshop.



A sample design of the interiors.

WAY FORWARD

This documentation of the processes of engagement of the three NGOs in different cities with the urban poor and in particular, the circumstances of relocation maps the interventions of these NGOs and the contradictory space in which these interventions take place. To summarise these experiences, some of the implications for grant-making have been discussed:

a. The Space within which the NGOs Operate

The space occupied by the NGOs is a highly contested but potent terrain. ***Prior to grant-making, its contours need to be well-understood.*** The review of these three experiences reveals the following key features of this space:

- **State-dominated Space:** It is evident that the space within which these interventions take place is a largely state-dominated space. This means that any intervention is highly contingent upon and shaped by the contours of legislations, development plans, policies, schemes, projects. These further influence the flow of resources and attention or lack thereof to the urban poor communities. These legislations etc. also define the envelopes of intervention as they act as regulatory mechanisms too. Thus, it is a highly constrained space if strict legal boundaries are followed. The model which is being attempted in Dharavi can mould policy in other new developments; the initiatives attempted in Sangli

have been included in the formulation of the Rajiv Awas Yojana. Besides, CURE's work in Savda Ghevra has also generated interest in the state government of Delhi.

- **Control of Politico-economic Interests:** By virtue of this space being state-dominated and the nature of the institutions themselves in relation to politico-economic interests at multiple levels, the poor communities are a site where several of these interests are played out. The interests vary from petty rents to contractual to interests in land and its development potential. Some of these interests are local but as in the case of Dharavi, they are international too. The degree of entrenchment is deepened by the dependence of the communities on these very interests, who provide them with essential services. Further, it means that the projects and interventions are subjected to uncertainties, caused by specific moments of volatility in the interplay of these interests. These can have both positive as well as negative consequences for those projects which seek to make a difference. The Sangli project thus, faces threats from the local political economy while deriving support from the national.
- **Strongly Entrenched History of Non-Acceptance of the Poor:** A long and deeply entrenched non-acceptance of the poor takes multifarious forms and expresses itself in declaring them illegal, restricting the scope of legal options for stay in the city, dual service standards, retaining rights of eviction and restricting voice. Such a deep entrenchment makes the process of pro-poor governance, a considerably uphill task and makes for much longer timelines before any concrete and sustained outcomes can be seen. On the other hand, the last few years have seen a formal acknowledgment of these historical mistakes; especially, at the national level and represent an opening of tremendous significance.
- **Issues of Scale and Heterogeneity:** The urban poor are not homogenous; they have highly different origins, attributes, locales and circumstances. It means that the interests of the poor themselves may be overlapping, conflicting and often difficult to reconcile. The issue of scale and its interface with political processes means that multiple individuals and institutions represent the poor and some sections may not be represented at all. This further implicates organisations, working in this sector into the direct realm of politics along with other stage players. Hence, many NGOs shy away from this kind of complicated work. In Dharavi, there are over 14 NGOs doing work but only a couple have chosen to engage with the issue of redevelopment. It needs to be

recognised that such detachment in itself, is a political choice; that which refuses to engage with situations, adversely impacting the poor.

b. The Nature of Organisations

There are not many NGOs with an expertise of the urban governance and habitat sector. Further, there are significant variations in the capabilities of NGOs at the knowledge, man power and resource level. Further, the character of this contradictory, contested and slippery space influences the nature of the NGO field, itself. The NGOS have taken on multiple forms to deal with these contradictions. All the three organisations have developed distinct strategic features which offer tremendous learning.

- Shelter Associates and CURE posit themselves as consultant NGOs while promoting various people institutions. This positioning enables them to exploit those spaces, created by the current climate of pro-poor governance and operate through projects in multiple cities. This, while retaining a clear commitment to work as enablers of the poor communities in the cities, where they work. It has meant flexible organisational structures and identification of the key elements of cross learning. An interesting additional feature of CURE's work is its academic stance, which enables it to analyse and review experiences through a certain distance and make collaborations at multiple levels. However, this same climate of opening the spaces of pro-poor governance has spawned consultants of questionable integrity. Thus, SA was put into the same league as that of the other consultants by adversaries as seen in the recent events in Sangli.
- SPARC has the longest history amongst the three of evolving multiple forms— a people's organisation (NSDF), a NGO (SPARC), a credit collaborative (Mahila Milan) and a construction company. It is not always clear how the relationships between these multiple forms work and how they hold together. However, each of these forms work on distinct agendas that clearly address the urban poor communities. SPARC largely works with the bureaucracy but in Dharavi, they have been instrumental in working through a community-based alliance that defies the notion of conventional politics, based on officially stated value positions and is more like a coalition on connecting themes. Even so, it is this nature of alliance that has been able to bring a wide cross-section of community interests on board and been able to develop redevelopment as a political

agenda. This kind of engagement which may be considered devoid of an 'organic -ness,' when viewed through conventional lenses has in fact, proved to be necessary for effective resistance.

The three examples thus, illustrate that the nature of the terrain is grey and is a misfit in the conventional indicators of organisational work. However, when seen in relation to the context, it is clear that it is the indicators which need to change in response to the changed realities.

c. What are the Implications for Grant-making?

Supporting interventions in the urban poor habitat is imperative in the current context of intensity and scale of urban poverty. The specific situations under which, these supported projects have been initiated are critical points in the life of the concerned communities. These critical points have in fact, been turned into opportunities to demonstrate and make a difference. ***If a grant-making institution is committed to the goal of well-being, supporting such interventions is vital.*** The review of these three experiences outlines several aspects which potentially, generate apprehensions among donor agencies. It also suggests ways in which these can be addressed.

- **Vulnerability of Outcomes to Rarely Controllable Processes:** All the three projects, demonstrate the vulnerability of outcomes to politico-economic exigencies. As discussed earlier, this can have positive or threatening impacts on projects. Thus, while a particular political economy enabled the Shelter project in Sangli to upscale, the local political economy has posed multiple threats to it. However, the politico-economic factor itself can be a unit for intervention. Thus, CURE has managed to work with the contractor and local councillors, SPARC has been able to invoke multiple forums including the market, and Shelter has taken on the local political economy, through a larger level support and formation of a citizens' group. The capacity of these organisations to understand these factors, the ability to command resources and the scale to engage with them has made a difference. ***This implies that there is a need for grant-makers to understand and***

appreciate politico-economic and other factors develop tools for the same and assess grantee organisations vis-à-vis the issues they engage with. Developing such an understanding and assessment tools, may be a prerequisite for grant-making decisions.

- **Uncertainty and Risks:** The vulnerability of outcomes generates several uncertainties and risks. The manifested outcomes of these risks are in terms of the inability to produce tangible outcomes in tangible timelines. There are also other risks associated with the particular processes of mobilisation. This is compounded by the fact that typically, grant-making follows cycles of 1-3 years and these have been shortening in recent times. The experience of working in these three projects has shown that to demonstrate the outcomes and impacts, these periods are extremely short. Longer project cycles may thus, be necessary. Further, a careful delineation of processes at multiple levels may be necessary for the donors to get an idea of forward movement rather than impact indicators. Specific measures such as insurance etc. may be necessary to mitigate certain kinds of risks.

x.....x.....x

ANNEXURES

ANNEXURE I

FRAMEWORK OF THE URBAN DEVELOPMENT POLICY

ANNEXURE II

THE LIFE CYCLE OF SLUM RELOCATION/REHABILITATION PROJECTS

ANNEXURE I

FRAMEWORK OF THE URBAN DEVELOPMENT POLICY

Slums and the urban poor are considered to be co-synonymous; even so, all the poor do not necessarily, live in slums and many of the sections such as pavement dwellers, street children and destitute have more or less been ignored by the policy makers. A majority of the urban poor settlements are located on unsafe and inaccessible marginal lands including riverbeds, hill slopes, sanitary landfills, railway lines, etc. The mission of the Urban Development Policy is to help promote cities as engines of economic growth through improving the quality of urban life, by facilitating the creation of quality urban infrastructure with assured service levels and efficient governance.

The Framework of the Urban Development Policy Involves:

- Facilitating the creation of basic urban infrastructure relating to water supply, sanitation, urban transport to improve service levels and coverage by 2017.
- Creating an enabled policy environment for efficient and inclusive urban governance.
- Facilitating the implementation of urban sector reforms under the Jawaharlal Nehru National Urban Renewal Mission.
- Capacity building of key stake holders including elected representatives for efficient urban management.
- To facilitate planned development of the National Capital region through preparing a functional plan and approval of Zonal Developmental Plans 2021, submitted by the District Development Authority (DDA) to the Ministry. This also includes, approval of the competent authority on finalisation of the Policy on regularisation of unauthorised affluent colonies, including Sainik farms to be obtained by Ministry.
- Timely release of government grants to DDA and the construction of 4 related projects of CWG-D-2010.
- Creation of residential facilities for government officials and office space for officials.
- Central Public Works Department - construction of GPOA.
- Implementation of an e-tendering system in Central Public Works Department.

- Efficient functioning of the Results Framework Document System, which involves the timely submission of drafts for approval and finalise a strategic plan.
- Develop a Results Framework Document for all responsibility Centres which also involves creating a 'Savottam' complaint to implement, monitor and review the citizen's charter and also to redress and monitor public grievances.
- Ensuring compliance to the financial accountability Framework.

Policy Deficits:

Inadequate Decentralisation: In spite of the compliances of the State Governments to the 74th CAA on paper as part of the JNNURM conditionality, it appears that this compliance is more in letter than in spirit.

Lack of Consistency: While there are some policies which threaten to displace livelihoods and are silent on how to include those displaced in the benefits of development, there are also others, which are cast in extremely positive terms but the direction and momentum of policies is often not sustained, resulting in contradictions. This was evidently clear in the National Urban Policy which is in a draft form since 2002 and has now been followed by approaches in JNNURM, which are significantly different.

Lack of Investment in Institution Building: Inadequate outreach or letting people come to the system, reinforcing its power. For the poor who are at a psychological distance from the administration, this poses a major block to access the system directly.

Inadequate Free Resources: Reluctance in the ULBs to allocate funds to the poor through various sources like Central Schemes, State Welfare Schemes, JNNURM, MP/MLA funds for locality development.

Absence of Output and Performance Management: Data gaps, faulty designs, lack of integration between services, no consideration of asset management, inability to tap the people's contribution, over-linkage of issues to tenure which has denied access to basic services to people who stay in areas of an uncertain tenure.

The outlines of the programs and policies indicate a failure to address the issue of creating local institutions and structures which can take up this agenda effectively; which can be

single windows for the poor, populating these departments with people of the right orientation and empowering them to interface with other institutions and capacity building.

SCHEMES

The 74th Constitutional Amendment passed in 1992 is the critical legislative framework that guides urban governance. The provisions of the Act lead to decentralisation at the lowest level of governance promoting participative local.

Urban Renewal – Helping the Urban Poor Realise their Right to Housing

The National Common Minimum Program (NCMP) of the Government has attached the highest priority to social housing and urban renewal. To achieve this objective, the Jawaharlal Nehru National Urban Renewal Mission (JNNURM) was launched on 3 December 2005 for 63 select cities.

JNNURM's Sub-Mission on Urban Basic Services to the Urban Poor (BSUP) and the Integrated Housing and Slum Development Program (IHSDP) are initiatives aimed at addressing the issues / concerns of the urban poor and slum dwellers vis-à-vis their right to housing and access to basic infrastructure services.

a. Integrated Housing and Slum Development Program (IHSDP)

The National Urban Housing and Habitat Policy of 2007, aims to promote a shift to a demand driven approach for housing of the poor and the EWS through the proactive financial policy including micro-financing and self help group programs.

The Integrated Housing and Slum Development Program (IHSDP) was launched, subsuming the existing Valmiki Ambedkar Awas Yojana (VAMBAY) and the discontinued National Slum Development Scheme (NSDP). IHSDP is to be implemented in the non-JNNURM cities/towns.

The Objectives of IHSDP are:

- Holistic slum development.
- Healthy and enabling urban environment.
- Adequate shelter and basic infrastructure facilities to the slum dwellers of the identified urban areas.

b. Sub-Mission on Basic Services to the Urban Poor (BSUP) under the JNNURM

The Sub-Mission on Basic Services to the Urban Poor (BSUP) under the JNNURM was launched to emphasise the thrust on the integrated development of slums through projects for providing shelter, basic services and other related civic amenities with a view to provide utilities to the urban poor.

The Specific Objectives of BSUP are:

- Focused attention to integrated development of basic services to the urban poor.
- Security of the tenure at an affordable price, improved housing, water supply, sanitation.
- Convergence of services in the fields of education, health and social security.
- As far as possible, providing housing near the place of occupation of the urban poor.
- Effective linkage between asset creation and asset management to ensure efficiency.
- Scaling up delivery of civic amenities and provision of utilities with emphasis on universal access to urban poor.
- Ensuring adequate investment of funds to fulfil deficiencies in the basic services to the urban poor.

The Jawaharlal Nehru National Urban Renewal Mission introduced in 2005 has the following Objectives:

- a) Integrated development of infrastructure services.
- b) To ensure adequate funds to fulfil deficiencies.
- c) Planned development of cities.
- d) Provision of services to the urban poor.
- e) Redevelopment of old cities.
- f) Secure effective linkages between asset creation and asset management.

The mission also has a complement called sub-mission for Basic Services to the Urban Poor. This is administered by the Ministry of Urban Employment and Poverty Alleviation. The main

thrust of the sub-mission is on integrated development of the slums, through projects for providing shelter, basic services and other related civic amenities with a view to providing utilities to the urban poor. The earlier programs of the sub-mission i.e. The Basic Services for the Urban Poor and Integrated Slum and Housing Development Program have now been subsumed into the Rajiv Awas Yojana.

Rajiv Awas Yojana (RAY) introduced in October 2009, envisages slum-free cities through the enablement of slums to come within the formal system and thereby, avail of the same level of amenities and by redressing the factors that encourage the emergence of slums. The RAY represents the first formal recognition of the historical exclusion of the poor and attempts to engage with these issues in an upfront manner. Various state governments are now in the process of preparing their operational strategies for the scheme. These are early days but the RAY undoubtedly, represents a huge policy advance in terms of inclusive governance.

a. Institutional Reform to Ensure Decentralisation and Accountability

Implementation of both the above schemes (BSUP and IHSDP) is linked to a set of reforms that need to be undertaken by the States/Urban Local Bodies/Parastatals. Central assistance under BSUP and IHSDP is dependent upon the state governments and the ULBs / Parastatals agreeing to the reform platform. Institutional reform is being promoted by the GoI to ensure decentralisation, transparency in the government's functioning and to promote accountability of service providers / ULBs towards the citizens.

The Reform Agenda includes the following Mandatory Reforms:

- Implementation of decentralisation measures as envisaged in the Seventy Fourth Constitutional Amendment to ensure a meaningful association / engagement of ULBs in the planning function as well as delivering services to the citizens.
- Enactment of the community participation law to institutionalise the citizens' participation and introducing the concept of the Area Sabha in the urban areas.
- Assigning or associating elected ULBs into a 'city planning function' over a period of five years; transferring all special agencies that deliver civic services in urban areas and creating accountability platforms for all urban, civic service providers in transition.

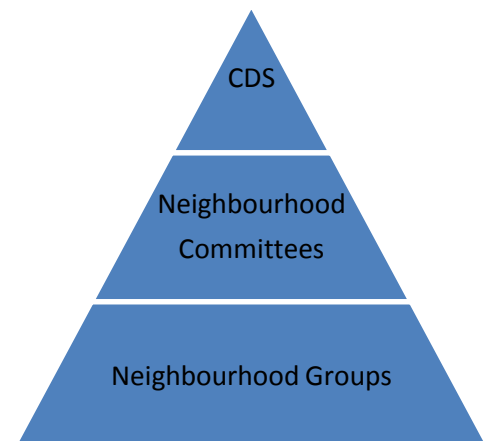
- Enactment of Public Disclosure Law to ensure preparing the medium-term fiscal plan of ULBs and releasing the quarterly performance information to all stakeholders.
- Revision of bye-laws to streamline the approval process for construction of buildings, development of sites, etc.
- Simplification of legal and procedural frameworks for conversion of agricultural land for non-agricultural purposes.
- Introduction of the computerised process of registration of land and property.

b. Promoting Informal Sector Employment

To promote the informal sector’s employment, a number of policy initiatives and schemes have been undertaken by the Ministry of Urban Employment and Poverty Alleviation. The existing scheme titled “Swarna Jayanti Shahari Rozgar Yojana” (SJSRY) and the National Policy on Urban Street Vendors (NPUSV) are some initiatives. The Sub Mission on Basic Services to the Urban Poor (BSUP) and the Integrated Housing and Slum Development Program (IHSDP) also intend to create a lot of employment opportunities among the informal sector. Building centres have imparted training in building trades to thousands of artisans promoting their wage and self-employment as well.

i. Swarna Jayanti Shahari Rozgar Yojana (SJSRY)

The Swarna Jayanti Shahari Rozgar Yojana was launched in December 1997¹. The program aimed at providing gainful employment to the urban unemployed and underemployed poor through encouraging the setting up of self-employment ventures or provision of wage employment. The scheme uses three instruments for employment generation: capacity building and credit assistance for micro enterprises; opportunities for earning wages under municipal works; and intermediation in household savings.



¹ Subsuming three earlier schemes, namely, Urban Basic Services Program, Nehru Rozgar Yojana, and Prime Ministers Integrated Urban Poverty Eradication Program

SJSRY has two basic components: The Urban Self-Employment Program² (USEP) and the Urban Wage Employment Program³ (UWEP).

The Swarna Jayanti Shahari Rozgar Yojana rests on the foundation of community empowerment. Towards this end, community organisations like Neighbourhood Groups (NHGs), Neighbourhood Committees (NHCs) and Community Development Societies (CDSs)⁴ are set up in target areas. The CDSs are the focal point for the purpose of identification of beneficiaries, preparation of applications, monitoring of recovery and providing any other support, necessary to the program. The CDSs also identify viable projects, suitable for a particular area. These bodies are to be registered under the Societies Registration Act or other appropriate Acts to facilitate direct access to funds from various schemes and a wider finance and credit base.

The National Policy for Urban Street Vendors (NPUSV) was formulated by the Ministry of Urban Employment and Poverty Alleviation. The overarching objective of the Policy is to provide and promote a supportive environment to street vendors for earning livelihoods, as well as to ensure the absence of congestion and maintenance of hygiene in public spaces and streets. The objective of the policy is to provide legal protection, facilities, regulatory framework and self-compliance, promote organisation of street vendors and create a participatory mechanism for vendors, rehabilitation of child vendors and also to create social security and provide financial services to them.

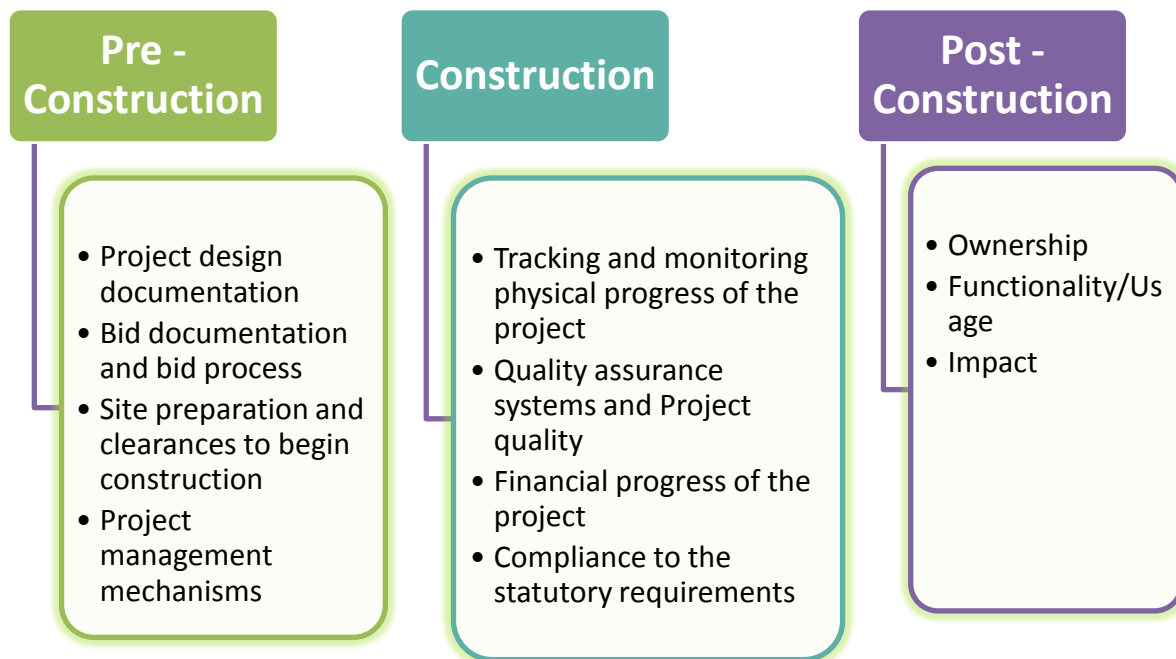
² The Urban Self-Employment Program (USEP) has the following sub-components

- Providing assistance to individual urban poor beneficiaries for setting up gainful self-employment ventures.
- Providing assistance to groups of urban poor women for setting up gainful self-employment ventures - Development of Women and Children in the Urban Areas.
- Training beneficiaries, potential beneficiaries and other persons for up-gradation and acquisition of vocational and entrepreneurial skills.

³ The Urban Wage Employment Program (UWEP) aims at providing wage employment to beneficiaries living below the poverty line within the jurisdiction of urban local bodies by utilising their labour for construction of socially and economically useful public assets.

ANNEXURE II

THE LIFE CYCLE OF SLUM RELOCATION/REHABILITATION PROJECTS



PRE CONSTRUCTION

Identification, checking the authenticity of the beneficiary list, checking the extent of completion of design (for sanctioned projects- yet to start) with respect to the sanctioned DPR (Detail Project Report) Review adherence to technical standards in the detailed designs/drawings prepared; the project implementation plan (level of detail, interdependencies, linkage to resources, etc.); check the sequence of design documentation with respect to project implementation plan tracking the probability of escalation in project cost and time delay in implementation on account of variation in design criteria, estimated quantities, unit costs, and other reasons related to design aspects; review the test reports to examine adequacy of all surveys that are needed to be carried out for project design and check land availability to implement the project, appointment of architects and agreements between members, Societies and NGOs, and commencement of construction.

CONSTRUCTION

Review the physical performance accomplished in the project with respect to the milestones projected in the DPR or the project implementation plan finalised at the pre-construction stage; review of rescheduling of the milestones on the basis of performance. Finding the reasons for abnormal delays in project activities and advising on remedial measures; reporting on methodology and frequency of tests carried out by the contractor/quality assurance consultant by examining Requests for Inspection (RFI) and reports. Ensure that they are in line with good industry practices and confirm that the materials used for construction are as per the specifications of the contract agreement. Report the quantum and timelines of contribution of funds from all the counter parties of the project by verifying receipt statements and project bank accounts, consideration of compensation awarded, incentives and / or to be paid as per the records and reporting on court cases and other litigations.

POST CONSTRUCTION

This stage involves confirming the ownership – that the DU (Development Units) are owned and used by the beneficiaries envisaged in the Detail Project Report, Functionality/Usage– that the DUs are being utilised for the purpose of residing and impact – that the assets created, have contributed substantially in the improvement of the quality of life of the people.

The cycle involves identification of the project, legal and regulatory reform, technology support and its transfer, infrastructure, sustainability concerns, employment issues ranging from housing to formation of the Cooperative Housing Society.

When the slum dwellers are rehabilitated, many advantages are new and unfamiliar to them. Technical and financial assistance, guidance and follow up procedures are NGO inputs to facilitate the smooth transition from slum to home. All these interventions include, initiating educational programs, income generating activities, solid waste /environmental management, cultural events of community bondage, Balwadis, women's and children's education, registration of cooperatives etc.

These activities of community mobilisation come within the purview of our Urban Livelihood projects, related to slum relocation and rehabilitation.