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**UNITED NATIONS DEVELOPMENT PROGRAMME  
PROJECT DOCUMENT  
OF THE GOVERNMENT OF INDIA**

**A PROGRAMME CONTEXT**

**A.I. Background**

1. The Tenth Plan document concludes that ‘the decade of the 1990s saw a visible shift in the focus of development planning from mere expansion of production of goods and services and the consequent growth of per capita income to planning for enhancement of human well-being. It is realized that Human development is about much more than the rise or fall of national incomes. It is about quality of life, the level of human well-being and the access to basic social services.’ This resonates with the overarching goals of the work of the United Nations system in India – to work towards the promotion of sustainable human development and the elimination of human poverty and inequalities – as well as the global mandate of United Nations Development Programme (UNDP) to establish ‘partnerships to fight poverty’. The Government of India (GOI)-UNDP Country Programme for 2003 to 2007 is aligned with these priorities, and is a reflection of the recognition that international co-operation can play a significant role in supporting GOI in addressing these issues.

2. With an average growth rate in the gross domestic product of 5.8 per cent during the first decade of reforms (1992-2001), India is among the 10 fastest growing economies in the world. India’s steady progress over the last decade towards meeting the goals of human development is reflected in the improvement of the country’s human development index (HDI) from 0.406 in 1975 to 0.571 in 1999. Yet the challenges for human development remain formidable<sup>2</sup>. Statistics on critical development indicators such as female literacy, life expectancy at birth, child mortality and incomes show that regional and interstate disparities are increasing<sup>3</sup>. There is growing public consensus on the need for proactive measures to tackle the situation of disadvantaged and vulnerable groups. The pressures on environmental and natural resources and the repercussions of their degradation on low-income livelihoods have become a source of increasing concern. In the context of rapid strides in decentralisation, there is an urgent need to strengthen the capacity of organs of local governance - rural and urban - as also to make public administration more efficient, open and accountable to the public.

3. Development co-operation in India is also being increasingly premised on human development goals and targets outlined by the Planning Commission, Government of India, in the 10<sup>th</sup> Five-Year Plan. Most of these are related to and are more ambitious than the Millennium Development Goals. The monitorable targets for the 10th plan and beyond are outlined below:<sup>4</sup>

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<sup>2</sup> <http://planningcommission.nic.in/appdraft.pdf>

<sup>3</sup> [http://www.un.org.in/CCA2.htm#The state of human development](http://www.un.org.in/CCA2.htm#The%20state%20of%20human%20development)

<sup>4</sup> Tenth Five Year Plan, Planning Commission, Government of India, Vol. 1, Chapt. 1, p. 6.

- Reduction of poverty ratio by 5 percentage points by 2007 and by 15 percentage points by 2012;
- Providing gainful and high-quality employment at least to addition to the labour force over the Tenth Plan period;
- All children in school by 2003; all children to complete 5 years of schooling by 2007;
- Reduction in gender gaps in literacy and wage rates by at least 50 per cent by 2007;
- Reduction in the decadal rate of population growth between 2001 and 2011 to 16.2 per cent;
- Increase in Literacy Rates to 75 per cent within the Tenth Plan period;
- Reduction of Infant Mortality Rate (IMR) to 45 per 1000 live births by 2007 and to 28 by 2012;
- Reduction of Maternal Mortality Ratio (MMR) to 2 per 1000 live births by 2007 and to 1 by 2012;
- Increase in forest and tree cover to 25 per cent by 2007 and 33 per cent by 2012;
- All villages to have sustained access to potable drinking water within the Plan period;
- Cleaning of all major polluted rivers by 2007 and other notified stretches by 2012.

## A.II. Thematic Focus of the new GOI-UNDP Country Programme, 2003-07

4. The United Nations Development Assistance Framework (UNDAF) and the two themes identified by the Government for priority attention for the work of the United Nations system: *promotion of gender equality and strengthening of decentralisation*) constitutes the common philosophy underlying the various projects under the new Country Programme (CP).

5. Focussed interventions are being launched under the following five inter-linked clusters of projects corresponding to the five outcomes listed in the CP document.

- **Human development and gender equality identified through the State Human Development Reports:** In India, the state human development reports (SHDRs) are emerging as a successful vehicle for promoting the concept of human development in public policy. It is now proposed to build on the credibility and experience-base established through the first Country Co-operation Framework (CCF) to create an interface at the state level between economic policy and social concerns such as gender equality, poverty eradication and people's participation, and particularly to facilitate enhanced financing for human development. Strengthening state statistical systems for improved human development benchmarking, analysis and reporting will be undertaken to provide a solid basis for HD-oriented policy. Systematic action research on the link between development programming at the grassroots and human development strategy will be promoted.
- **Capacity building for decentralisation:** Strengthening and building the capacity of local institutions for improved district governance, and local planning and budgeting to sustain and manage development interventions at multiple levels will be the key focus of this theme. Issues in empowerment of tribal communities through the Panchayat Extension to Tribal Areas Act (PESA) will be explored. Urban governance, which has acquired a new urgency, will be addressed through building of capacity of urban local bodies. A grassroots and pavement perspective of ICT for development will be explored to support the above initiatives. Given the crosscutting focus on

decentralisation, partnerships with local institutions initiated under this programme will also provide a basis for convergent programming in other thematic areas.

- **Livelihoods and living conditions:** Livelihood and living conditions for low-income communities, and those in the informal sector will be explored at multiple levels. Analysis and inventory of innovative approaches to addressing the livelihood problems of growing urban poor population (related to different pace, causes and forms of urbanisation), compendium of laws, regulations and policies affecting the informal sector (especially women's) employment, and promoting dialogue and networking amongst the stakeholders including the CBOs and NGOs will be undertaken. Pilots will be established to test suitable integrated approaches combining sustainable livelihoods, including shelter security, transport, health and education, sanitation and services.
- **Poverty reduction and natural resource management:** The efforts towards social mobilisation and community empowerment for poverty eradication piloted during the CCF-1 will be further intensified and strengthened through integration of interventions in the areas of indigenous natural resource management for livelihoods and biodiversity conservation and sustainable utilisation of medicinal plants. The CCF-1 initiative on food security will be expanded to cover some other states, and institutional sustainability ensured through setting up of a gender resource centre to bring women's perspective and priorities to bear on policies and programmes related to agriculture and food security.
- **Vulnerability reduction and sustainable recovery:** Building on the CCF-1 experience with vulnerability reduction and sustainable recovery strategies, this initiative will be extended to cover natural disaster risks of most hazard prone districts (sudden disasters). Initially, 28 districts in Orissa, Bihar and Gujarat will be undertaken and progressively expanded to cover a total of 125 multi-hazard prone districts in 12 states. Parallely, natural risk disaster management programmes (slow disasters) will be undertaken to promote community-based planning (with a focus on women) for drought proofing as well as improving co-ordination mechanisms at state and district levels.

6. The human-development and gender equality initiatives are the fulcrum around which the latter four project clusters - having a common community participation base and focus - are being organised. Research studies will also be launched under the new Programme to systematically capture the common experiences in the overall context of human development.

### **A.III. Country Programme Strategy**

7. The new Country Programme builds on the significant achievements of the first Country Cooperation Framework; CCF-I - (1997-2002). A systematic assessment of programme performance through a number of evaluations and thematic studies culminated into a comprehensive Country Review by an independent team in late 2001, and in a Stakeholders Meeting in February 2002, the deliberations of which guided the final design of the new GO-UNDP Country Programme (CP).

8. The new CP has a number of noteworthy features.

- *First*, an attempt has been made to limit the number of projects and to enhance their focus based on specific roles for UNDP-supported development cooperation identified by stakeholders. This includes:
  - Building on the perspective ‘from below’, of low-income households and marginalised communities - rural or urban;
  - Strengthening the self-help, self-reliance capacities of these households and communities through innovative and catalytic, ‘action-research’ types of interventions;
  - Providing a common platform, to bring a diversity of development partners together to devise innovative solutions to development challenges. These partners would be, typically, a number of Government Departments at the Central, State and district levels; PRIs, NGOs and CBOs, and; other UN system and bilateral donor partners.
  - Forging international links and networking to provide the relevant examples of the most innovative practices, methodologies and institutional arrangements tested in other countries.
- *Second*, there is an emphasis on addressing the multi-sectoral dimensions of development programming. The common philosophy or common thread underlying the entire programme provides multiple opportunities for projects to mutually reinforce each other. This potential for synergy will be systematically harnessed through integrated programming at selected geographical locations/districts.
- *Third*, comprehensive monitoring and documentation of development innovations from proven success stories and effective pilot initiatives are central to the programme strategy. Particular emphasis is being placed on deriving and disseminating the findings and lessons of value for policy-makers with regard to the design and implementation of much larger public sector schemes. Each project will have a research agenda focussing, inter-alia, on the dynamic relationship between downstream programming and human development policy.
- Fourth, information and communication technology (ICT) will be harnessed to support sustainable, people-centred development under all the five result areas. India’s rich experience in the use of ICT, decentralisation and community mobilisation will be shared with other countries through knowledge networking.

9. The new CP reflects a continued commitment to national direction and ownership. Programme execution arrangements will be further strengthened – and, where possible, simplified in order to maximise management efficiency and results-orientation. Partnerships initiated under the first CCF will be vigorously pursued. High priority will be given to building alliances with the Indian corporate sector and the voluntary sector to draw on their experience and expertise.

## **B. PROJECT BACKGROUND**

### **B.I Development Context**

#### **National**

10. Under rapidly-changing globalisation and urbanisation scenarios all over India, the various pressures leading to the growth and variety of illegal urban livelihoods within poor urban neighbourhoods (the so-called 'informal' sector) are poorly understood, or are rarely given positive support. Public responses have been piecemeal and half-hearted, and often reversed, as political priorities and ideologies have changed. Nevertheless, as the country rapidly approaches a watershed (within the next twenty years) where the population majority is going to be living in towns and cities, and where most urban citizens (perhaps 60%) will be slum-dwellers and illegal ("neglected" ?) squatters, there is an urgent need to comprehensively review the existing attitude and approach to urban poverty issues. Many of the newly urban are the rural poor who have fled from villages in desperation. Mainstream economic policies have produced and aggravated their poverty – it is gradually being recognised that palliatives of the rural public works type will not solve the problem, since the growth process itself will continue to produce more of the urban unemployed and poor. Whether rural or urban, alternative paths need to be charted and followed on the basis of creating sustainable livelihoods for the entire population, accompanied by a national human settlements policy that will produce more rational, equitable and environmentally manageable use of land and space for everyone. It is commonly recognised that a major part of legal urban space is used and kept for the benefit of the minuscule minority of most privileged city dwellers. It is becoming a matter of concern that the urban 'beautification', greening and "development" are further impacting low-income livelihoods in a negative way.

11. Urban poverty, and the growth of slums in India, reflects a highly-skewed development process that has favoured the cities and their affluent citizens. Industry, services, and modern infrastructure have been totally concentrated in the cities (coinciding with the locus of political power and administration), providing the major source of new employment opportunities after Independence. A growing scarcity of land and natural resources in the countryside as a result of population growth, over-exploitation of land and water, and the rapid death of craft occupations, along with more miserable conditions of health, education, communications and utility support, have steadily fed the rural exodus to the towns. At the same time in the cities and towns, land availability, affordable housing construction and a minimum standard of services, have never kept pace with this huge influx, which will certainly swell the urban population to more than half of the total over the next two decades. The worst casualty has been the paucity of livelihoods, with the poor filling the ranks of the so-called "informal sector". It is this last factor – the livelihoods of the urban poor – that this project seeks to address.

12. India today is still a predominantly rural country (65%), and hence the concerns of poverty have quite naturally been associated with rural conditions, linked to factors such as famine, drought and other natural calamities, as also to growing landlessness and marginalisation of poor farmers, artisans, etc. It is only now beginning to be acknowledged that India is a rapidly urbanizing nation with over 400 million people living in urban areas. This realisation remains to be translated into public concern with the response to urban poverty. While the cash incomes of slum-dwellers may be higher than their village relatives -and some water, lighting and canned entertainment may be available ---- city slums are generally far worse in terms of the living environment: violence, insecurity, and constant confrontation with ugliness, squalor and disease, with air pollution levels that are among the world's highest.

<b>Box 1: Estimates of incidence of poverty in India</b>						
Year	Poverty ratio (%)			Number of poor (million)		
	Rural	Urban	Combined	Rural	Urban	Combined
1973-74	56.4	49.0	54.9	261.3	60.0	321.3
1977-78	53.1	45.2	51.3	264.3	64.6	328.9

1983	45.7	40.8	44.5	252.0	70.9	322.9
1987-88	39.1	38.2	38.9	231.9	75.2	307.1
1993-94	37.3	32.4	36.0	244.0	76.3	320.3
1999-00	27.1	23.6	26.1	193.2	67.1	260.3
2007*	21.1	15.1	19.3	170.5	49.6	220.1

\*Poverty projection for 2007

Source: Tenth Five Year Plan, Vol.1, Planning Commission.

13. Slums are often viewed as eyesores or rings of misery. It is not often appreciated that these slums and squatters colonies are an inseparable part of urban society, home to an enormous unorganised and informal economic sector which provides a variety of services to the better-off segments of the cities. The poor represent an extremely important element of the urban work force – they contribute substantially to total productivity as also to labour market competitiveness. It is vital, therefore, that urban slums/informal settlements be looked at as an integrated element of urban life, their contribution to the economy recognised, and provision made to ensure that they have access to affordable and decent housing and basic amenities and facilities, (feasible through a more effective mobilisation of community resources and skills in addition to public resources and funds). The Census of 2001 in which slum surveys were conducted only for towns with population of 50,000+, estimated the total number of people living in slums at 61.8 million. The actual numbers of all those living in insecure and precarious conditions, outside legalised tenancy, constitute about one-half of all urban concentrations, making up nearly 200 million people.

14. The unprecedented rates of urbanization and increasing poverty have resulted in an uncontrolled proliferation of slums – some officially recognised and many unrecognised. In the former, residents have the right to make demands on the authorities/political system in terms of basic living amenities but are rarely heard, whereas the latter are generally occupied by squatters without legal recognition or rights. Whether slum or squatters colonies, these constitute neglected parts of the cities where both housing and living conditions are appallingly grim. Legitimate ownership housing is a distant dream; most are rented or, more likely, illegal dwellings in ‘raw’ settlements. Those living in rented homes face the threat of eviction while illegal squatters live under the constant fear of demolition of their abode. Both groups also live under the threat of relocation to distant outlying area as part of the drive to “clean up” the inner cities. Without security of occupancy or tenure they do not have the means to protest against any of these actions. Occupancy and tenancy issues thus assume significance in any attempt to understand the nature of urban poverty

15. More often than not the populations of slums /squatters colonies lack the most basic municipal services, such as water supply, sanitation, waste disposal systems, storm drainage, street lighting, paved roads or any other infrastructure. There are few schools, clinics or other basic health facilities within reach. There is an absence of safe areas for children to play in, or for the community to meet and socialise. There is no visible law-and-order mechanism to safeguard the inhabitants and their rights, with the ‘guardians’ usually viewed with great mistrust. There is no social security system in place i.e. there is no provision for either the unemployed or for the old and vulnerable sections of the community - those that have ceased to work because of old age, illness or congenital problems. These citizens, on the edge of survival, are thus particularly vulnerable to disease, crime, violence and insecurity, squalor, air- and water-pollution, environmental hazards, natural disasters in every form, as well as exploitation of all kinds. In many parts of the country, even the faint promise of jobs has faded. Nevertheless, the

shackles of gender and rural stratification feel lighter in the slums, while hope - amazingly – remains alive, as with migrant communities everywhere.

16. Urbanisation has spawned a host of concern areas which need to be studied and understood if livelihood programmes are to be successful. Since urban poverty includes problems of shelter, lack of basic services essential for daily life, constant threat to the disruption of informal enterprise and the lack of opportunities to improve their lives, it becomes imperative to look at trends in urbanisation and its effect on these issues. A better understanding of the nature, causes and characteristics of town and city growth in different parts of the country should certainly help in formulating and implementing policies that would provide sustainable livelihoods for the urban poor.

17. With their lack of formal education, and little effort on the part of the authorities to disseminate relevant information, slum-dwellers have little concrete knowledge of income and job opportunities provided by the state, or of their legal rights to services and facilities. Neither are they aware of their right to access this kind of information. They are thus in a weak position to demand their rights, or to seek legitimate responses to their search for improved living conditions and employment opportunities. There are efforts being made by NGOs and other volunteer organisations to raise their awareness of these issues, but these efforts need to be multiplied manifold in order to have any sustainable, system-wide effect. In addition, there is a need to facilitate greater sharing and exchange of information and knowledge, experiences and practices both within the country and internationally.

18. Various elements of the relationship between the nature of urban-poor livelihoods and urban poverty also require better analysis and understanding. Government initiatives in the past on providing urban employment opportunities and generating income have not always succeeded - in addition they have rarely been directly linked to the issue of improving living conditions and enhancing the quality of life of the urban poor. Since urban poverty has largely been seen through the eyes of rural poverty-reduction programmes, interventions to address urban poverty have, usually, been designed as poor imitations of the former, thus yielding limited results. There is thus a need to comprehensively study the characteristics of urban poverty as distinguished from rural poverty. It has become a cliché that while rural poverty is about incomes, urban poverty is about living conditions. The problems of shelter, the lack of basic services essential to daily life, the constant threat to the disruption of informal enterprise, and other kinds of deprivations that the urban poor suffer are matters for urgent and comprehensive analysis.

19. Any employment-livelihood intervention must also look at both countryside and towns simultaneously. More than ever, it is difficult to define where rural ends and urban begins. Similarly, as most livelihoods are home-based, even in the urban “informal sector”, living conditions and services must be analysed and dealt with in integrated fashion.

#### **Box II**

Status of Urban Poverty, Slums and Availability of Basic Services in India and Major States

	Urban Population below Poverty Line (1983) (Percent)	Estimated slum Population (Percent) (1983)	Households with safe Drinking Water (%) (1991)	Households having Toilet Facility (%) (1991)	Households having Electricity (1991) (%)
A.P.	29.15	33	73.82	54.60	73.31
Assam	21.6	20	64.07	86.06	63.21
Bihar	37.0	40	73.39	56.54	58.77
Gujarat	17.3	21	87.23	65.71	82.96
Haryana	16.9	18	93.18	64.25	89.13
Karnataka	29.2	16	81.38	62.52	76.27
Kerala	30.1	10	38.68	72.65	67.65
M.P.	31.1	18	79.45	53.00	72.52
Mahara-shtra	23.3	35	90.50	64.45	86.07
Orissa	29.5	22	62.80	49.27	62.11
Punjab	21.0	27	94.24	73.23	94.60
Rajasthan	26.1	16	86.51	62.27	76.67
Tamil Nadu	30.9	22	74.17	57.47	76.80
Uttar Pradesh	40.0	20	85.78	66.54	67.76
West Bengal	26.5	34	86.23	78.75	70.19
All India	28.1	26	63.58	81.58	75.93

- Sources: (1) NIUA (1988)-Dimensions of urban poverty in India-Research Study Report No.26.  
(2) Census of India, 1991, Housing and Amenities, A brief analysis, Paper II of 1993, RGI, New Delhi.

### The National Capital Region (NCR)

20. As background to the NCR component, Delhi's urbanisation challenge is second to no other city in India. From an administrative, bureaucratic centre with barely a million inhabitants at the time of Independence 55 years ago, it has become one of the country's 3 largest urban concentrations in both area (the largest) and population, with an estimated 14 million working and living in the city (12.9 million in the 1991 Census). The process of urban sprawl appears unending, radiating 50 miles in every direction and eating further each year into the farmlands of Uttar Pradesh and Haryana. Higher-than-average incomes suck in poor migrants from as far away as Tamil Nadu and Bangladesh. Yet urban space is clearly the preserve of the motorized rich and powerful. Those with low and uncertain incomes have to survive for the most part in distant "resettlement colonies," deprived of the most basic amenities and employment opportunities. The deficiencies of water, power and affordable transport are becoming acute, while pollution levels are among the highest in the world. Delhi also has the most complex administrative structure of all cities, with overlapping and conflicting mandates and responsibilities shared between the Lieutenant Governor, State Government, Development Authorities, Municipalities, HUDCO, etc.

21. In a federal structure where urban management is a state subject, there are limitations on the power and jurisdiction of the Central Ministry of Urban Development. Yet the visibility of change in the capital exercises its own power as an example and model over developments elsewhere. If the city's low-income majority were to find better prospects for their livelihoods and living conditions, were to show the way in organising themselves for greater equity and better entitlements, it would be an uplifting example that other states could not ignore. If the instruments of Delhi's urban governance were to demonstrate greater enlightenment in understanding, sympathising with, and supporting the livelihood efforts of the inhabitants of the "JJ" ('Jhuggi – Jhompri') colonies the message of hope would spread very rapidly to the 200 million-odd urban poor throughout India.

22. As in any other major city, slum households and communities have scrounged for themselves every survival possibility, in a range of occupations ranging from rickshaw pedalling to rag-picking, hawking on the pavements, providing domestic services, labour for construction, and acting as the 'outsourced' contractors for every kind of tailoring, manufacturing or assembly operation. Scores of NGOs and community organisations have sprung up all over these slums and outer settlements, busy with the entire gamut of challenges faced by their inhabitants: working with street children, conducting literacy or tailoring classes, performing street theatre, or using recently-legislated Right to Information to demand and obtain for themselves a higher standard of services from the urban authorities.

## **B.II. Issues to be addressed**

23. The issues are many and the resources limited. Given the complex of Centre-State responsibilities, and the current focus of public resources and external finance on a combination of infrastructure improvements and general urban management and governance, a few issues stand out for urgent attention through this project:

### **National**

24. Policy responses to the issues of urban poverty must begin with a minimum understanding and consensus on the subject of urbanisation; as conflicting perspectives arise out of differences in the fundamental premises about the causes of urbanisation, the factors that sustain the growth of urban centres and the consequential evolution of social and economic structures. Also poverty line is used in India primarily as the basis for deciding who should benefit from government efforts to alleviate poverty. It is based on calorific in take, meaning that food consumption is the basis for determining poverty. Other non-income criteria are also used to determine eligibility under some schemes, but such parameters are physical. This ignores other facets of poverty like access to basic amenities and relevant social and cultural contexts.

25. Some studies indicate that the bigger cities are growing faster than small towns. India's mega cities have the highest percentage of slum-dweller in the Country, which continues to swell. Also as there are as many urban poor living outside of slums as there are living in slums, the focus of poverty alleviation should be much wider than merely upgrading slums and/or providing job training to slum dwellers. Also, the urban poor can not be treated as homogenous groups - classification borne out by deeper understanding of the context of urban poverty will indicate specific needs of such groups. Furthermore, owing to processes of globalisation and liberalisation changes are continually taking place in the sets of occupations and demand of services in urban locations. Identification of the poor and assessment of their needs, particularly

in the context of rapidly changing socio-economic scenario is therefore central and crucial to the programme design.

26. Much of the analysis of earlier sections has been concerned with a step-motherly attitude towards urban-poor livelihoods, stemming from an underlying unease that any programmes that are successful in increasing livelihoods would have the effect of enlarging the slum problem. What is needed, therefore, is an approach that will reverse this attitude of mistrust and fear towards the urban poor, seeing them instead as a major national resource that must enjoy the full rights, dignity and support that any Indian citizenry deserve. For this to happen, they must be stripped of their amorphous cloak of destitution and poverty and given names, faces and behavioural characteristics. Who exactly are they, when and where have they come from, what are their aspirations, what knowledge and skills do they possess, and how can these be put to creative use for themselves and society? Who are their leaders and catalysts, their role models and their sign-posts? For far too long, there has been a patronising view of doing things for the poor, which has diminished as far as the rhetoric of rural development programmes is concerned, but which is very much still present in the urban context.

27. At the same time, it is clear that cities cannot simply expand at their current rate for ever, and India's resources cannot match the huge requirements to cater for the needs of such burgeoning populations. Energy, communications, transport, water and sewage, leave alone housing and land – all these are being stretched to breaking point. Consequently, there is also need for a project that improves the understanding of the links between rural and urban livelihoods, and the sorts of balance between rural and urban investment that could help to achieve a better population balance in a market economy.

28. There is need for a project that seeks to bridge the perceptions of those who control urban space and those of the poor majorities who occupy its neglected corners. In particular, the project is founded on the belief that it is the survival strategies and solutions of the urban poor themselves that can provide the most valuable lessons and guides for the initial stages of policy and programme reform. As a minimum, public and official attitudes towards slum inhabitants, desperately eking out a precarious living, need to become sympathetic and inclusive. It still needs to be recognised that these livelihood efforts of the urban poor are deserving of resource transfers and a flexible regulatory framework. Their potential, representing more than half of the country's urban population, to make a major positive socio-economic contribution, is seriously underestimated and ignored. Part of the current difficulty is that the analysis of the urbanisation process in India – as a complex social dynamic – itself tends to be piecemeal, narrow and statistical, leading to misleading conclusions about its origins, driving forces, and socio-economic constraints. Much can be learned from urbanisation processes and slum responses in other parts of Asia, Latin America and Africa, and also from the industrialised countries whose worst urban problems are being replicated in India.

29. Studies of a few individual occupations have been made, from which it is not immediately obvious how the productivity in these ventures could be greatly improved, given the capital, savings and market constraints faced by each household. Yet an overall vision of how the rich range of available skills among the urban poor could be put to best use, under a more supportive and interventionist administration, would bring the whole issue under a creative light. It is thus necessary to have a two-pronged approach to these low-income livelihoods: one is to make improvements within the current constraints through small infusions of technical, credit and marketing support; the other is to adopt a more ambitious, planned approach to urban livelihoods as a whole, where manual and artisan skills would be given more pride of place, where there

would be room for a spectrum of labour-intensive services, and where a range of cooperative enterprises could take root. Women, in particular, would play a much larger role than they could have under stringent village cloistering. Much effort is needed in functional literacy and vocational training (as many as 85% of the women were marked in the 1991 Census as illiterate, but the men also had a very high 70% in that category), once it is decided to take the more adventurous, planned route. There are numerous examples from Africa and Latin America of the kinds of services and utilities that could be organised through neighbourhood collectives and micro enterprises. Again, a networking and ‘platform’ role for UNDP to perform has been discussed in stakeholder meetings, acting as a broker with the authorities and policy-makers.

### **NCR programme**

30. While many of these reasons constitute the rationale for the national element of the project, they hold equally true for the National Capital Region (NCR) part as well. In particular, the whole project stands to gain from the more detailed understanding possible of a single region which benefits from significant bureaucratic as well as academic resources, and which now has a vibrant NGO and CBO community that no longer waits for government to act in effective (but highly limited and localised) ways.

### **B.III Indicators of National Priority, Government Strategy and Programmes**

31. In the Tenth Plan document, attempts have been made to categorise the urban poor on a declining scale such as core poor, intermediate poor and transitional poor. Another study classifies them as declining poor, coping poor and improving poor with different degrees of priority for the three basic needs of survival, security and quality of life. The box below lists the various types of vulnerability of the poor:

<b>Box III Types of Vulnerability of the Poor</b>
<u>Housing Vulnerability</u> : Lack of tenure, poor quality shelter without ownership rights, no access to individual water connection/toilets, unhealthy and unsanitary living conditions.
<u>Economic Vulnerability</u> : Irregular/casual employment, low paid work, lack of access to credit on reasonable terms, lack of access to formal safety net programmes, low ownership of productive assets, poor net worth, legal constraints to self-employment.
<u>Social Vulnerability</u> : Low education, lack of skills, low social capital/caste status, inadequate access to food security programmes, lack of access to health services, exclusion from local institutions.

32. The key strategies outlined in the Tenth Plan (2003-2007) are as follows:

- ◆ A multi-dimensional strategy to focus on empowerment of the urban poor and the community structure under the Swarna Jayanti Shahri Rozgar Yojna (SJSRY or Golden Jubilee Urban Employment Plan) to be made the common pattern and the foundation of all programmes for the urban poor and slum dwellers.
- ◆ Convergence of services such as water supply, drainage, solid waste management as well as for health care, family welfare, education, anganwadis and creches to be the main plank of urban poverty alleviation.

- ◆ Setting up or urban poverty and slum improvement task forces at the State level to upscale the old standards of services under Environment Improvement in Urban Slums scheme, and to make them relevant to the average level of services available to the residents of the town/city
- ◆ Creation of Urban Poverty Alleviation Cells at the municipal level with representation of all the services required by slum-dwellers, as well as the Community Development Societies set up under SJSRY and NGOs active in the field, and to be in overall charge of urban poverty and slum related programmes;
- ◆ Urban Poverty Alleviation (UPA) Cells to draw up City Poverty Alleviation Plans with the involvement of the community organizations of the poor with clear definition of the tasks of the various agencies.
- ◆ City-wide master plans for slum improvement with the objective of removing the slum characteristics of the selected settlements, and finances to be released based on such master plans
- ◆ The Urban Poverty Alleviation programmes to deal with the policy-related causes of urban poverty such as inappropriate framework of urban services, inadequate coverage of education, health, infrastructure and transport, lack of labour rights and unemployment benefits, land and housing regulations, lack of safety nets and social support systems.
- ◆ UPA cell in the Urban Local Bodies to be sensitised to ensure that the needs of the poor are provided for in investment plans and maintenance provisions.
- ◆ UPA cells to be followed up by exposing personnel to techniques of convergence and team formation, communication and planning
- ◆ Restoration of banking sector's role in providing credit support to the urban informal sector, especially the self-employed urban poor and banks to meet the credit needs of the informal sector by financing self-help groups which provide micro-credit for informal sector activities.
- ◆ Equipping the candidates with sustainable level of skills or for self-employment on the lines of Kudumbasree programmes in Kerala in other States
- ◆ Quick decision making on the part of land owning agencies to retrieve the land under slums failing which to bring the slums under in situ development without further reference to the agency.
- ◆ Finalisation of National Slum Policy.
- ◆ To ensure proper utilisation of the National Slum Development Programme (NSDP) funds for specific projects
- ◆ Night Shelters for the Homeless especially shelterless women and children

33. There is increasing recognition that the urban development policy framework be inclusive of the people residing in slums and informal settlements. This has led to a more enabling approach to the delivery of basic services accessible to the poor, through a more effective mobilisation of community resources and skills to complement public resource allocations. The Tenth Plan recognises the need for adequate publicising and adoption of success stories on urban poverty and slum livelihoods related programmes on a wider scale. It advocates that the community structures created under various government sponsored programmes need to be strengthened and further diversified

34. The 74<sup>th</sup> Constitutional Amendment also refers to the need for slum improvement and upgradation through the provision of basic amenities and poverty alleviation interventions. Effective and urgent steps are therefore required to integrate slum settlements into urban areas and to guide the process of slum development and improvement through a much more broad-based and participatory framework involving State Governments, Urban Local Bodies, NGOs,

CBOs and the Private Sector. Economic empowerment of the resident in the such locations will go a long way in addressing issues of hunger, squalor, insecurity and violence.

#### **B.IV. Assessment of previous programmes – Main lessons learned**

35. In response to an increasingly desperate situation over decades, the government response has been mostly of a band-aid type: to remove the worst possible slum eye-sores periodically through forced resettlement, sometimes by simply bulldozing them away. Other programmes have been tried in various states: low-income housing, sites-and-services programmes, slum-upgrading. The World Bank, DFID, USAID have long been associated with many of these programmes, as well as in attempts to improve urban governance and infrastructure. Geographers and town planners have taken a typically physical approach to zoning and regulation, trying to preserve or bring order through master-planning exercises translated into building codes. The fate of the new urban poor has never actually figured in these exercises, since the latter have remained in a shadowy world of illegality as squatters and unwanted occupiers of public and private property. They have also suffered from the publicly-shared fear that any investment in infrastructure, housing, or livelihoods for slum-dwellers would only prompt more rural hordes to enter the cities and make them totally ungovernable.

36. Nevertheless, there have been a few examples of relative success in some states and cities. The lessons learnt from these experiences have neither been systematically documented nor collated and analysed. Scattered micro-studies, sector-specific data, and piecemeal policy prescriptions regarding the urban poor and their habitats have not provided sustainable solutions which can adequately inform the policy and processes of urban development as a whole. There is an urgent need to identify and share these initiatives on the field which have set successful examples, to demonstrate how innovative mechanisms may be used for the provision of livelihoods and better living conditions to the urban poor. Many of them also show significant new ways of forging partnerships between government departments, local authorities, corporate bodies, and the communities of the urban poor themselves, to make possible physical and human infrastructure provision. Such demonstration exercises contain the seeds of a holistic and sustainable approach to urban livelihoods and living conditions.

#### **Box I V: Major urban poverty alleviation and employment generation programmes**

The Urban Self-Employment Programme and the Urban Wage Employment Programme are two special schemes of the SJSRY initiated in December 1997, which replaced various programmes operated earlier for urban poverty alleviation. This is funded on a 75:25 basis between the Centre and the States. During 2001-02 an allocation of Rs.168 crore was provided for various components of this programme, which was reduced to Rs.45.50 crore at RE stage. The expenditure was Rs.39.21 crore during 2001-02. For 2002-03 an allocation of Rs.105 crore has been provided for various components of this programme. This expenditure during the current financial year, upto January 31, 2003 is Rs.73.61 crore.

The scheme was formally launched by the Prime Minister on the 2<sup>nd</sup> December 2001. The scheme seeks to ameliorate the conditions of the urban slum dwellers living below the poverty line who do not possess adequate shelter. The scheme has the primary objective of facilitating the construction and upgradation of dwelling units for the slum dwellers and providing a healthy and enabling urban environment through community toilets under Nirmal Bharat Abhiyan, a component of the scheme. The Central Government provides a subsidy of 50 per cent, the balance 50 per cent being arranged by the State Government with ceiling costs prescribed both for dwelling units/ community toilets.

During the current financial year, Central subsidy to the extent of Rs.138.31 crore has already been released out of the budget provision of Rs.256.85 crore. Till January 2003, a total sum of Rs.211.87 crore has been

released as Government of India subsidy for the construction / upgradation of 1,06,038 dwelling units and 20,817 toilet seats under the scheme.

Source: Economic Survey, 2003

37. The implementation of various Central Government schemes - National Slum Development Programme (NSDP), Swarna Jayanti Shahri Rozgar Yojana (SJSRY), VAMBAY, Night Shelters, Two Million Housing Scheme, Accelerated Urban Water Support Programme (AUWSP), Low-Cost Sanitation - provide for a wide range of services to the urban poor including slum-dwellers. The implementation of these programmes to meet the societal ends especially for the urban slum dwellers and more distressed sections of the society has generally suffered from the following:

- The approach is narrowly sectoral and fragmented
- Short-term financial resource consideration have determined choices favouring poor or low quality of inputs with marginal impact
- Wider dispersal of limited resources over a large area, rather than focussing a concentration of integrated area intensive efforts
- Little or no participation of the community in the planning and designing of innovative solutions
- Multiplicity of agencies often working at cross purposes leading to a dissipation of efforts

38. The consultations with the stakeholders and the concerned Departments in the Government of India show the high priority attached to support the implementation of integrated sustainable livelihoods approach towards urban poverty alleviation. It was noted that the proposed direct technical assistance support by way of strengthening and showcasing sustainable livelihood approaches at national, state and city/town levels would be of significant value at this time.

**Box V:**

**Some of the best practices on Integration of the Urban Poor and the Marginalised include:  
Indian**

- Slum Sanitation in Pune – Construction of 400 toilets blocks with more than 10,000 seats in slums by giving contracts to NGOs. The empowerment of poor communities and building their capacities is central in this experiment.
- Municipal Action Plan for Poverty Reduction, Andhra Pradesh – Successful formulation and implementation of Municipal Action Plan (in nine stages) for Poverty Reduction with the participation of various stakeholders. It also provides a framework for implementing government policies with respect to decentralisation, improved governance and poverty alleviation.
- Ahmedabad Parivartan Programme – It is an excellent example of strong and sustainable partnership among various stakeholders of the civil society with many good elements like equity, transparency, accountability and sustainability. It has grown from one slum pilot project to 22 slums covering 5000 households and 30,000 people.
- Managing Slum Communities – Bangalore – Holistic approach followed by Association for Voluntary Action and Services (AVAS) for sustainable human settlement development in slums. A successful experiment on resource mobilisation and contracting out the execution of infrastructure works to

contractors from within the community, credit for economic activities of the slum dwellers etc.

- People's Participation and Gender Sensitivity – Working Women's Forum (India), Chennai – Enables poor women's participation at all levels and enables outreach to large numbers of poor women in a short time span.
- Slum Networking Project – Ahmedabad – A partnership between community, NGO, private sector and Ahmedabad Municipal Corporation – aims at improving the quality of life of slum residents by providing basic infrastructure services. Community development is an essential component of the project.

#### **International**

- The Experience of the Participatory Budget – Porto Alegre (Brazil) - Not only are the technicians and leaders responsible for making decisions about public revenues and expenditures, also the population decides on investment priorities, actions and public works that should be implemented by the government. This is done through process of debates, consultations and participatory decision making.
- Participative Urban Governance – Naga City (Philippines) – The Naga City Participatory Planning Initiative is judged one of the Top 40 Best Practices during the Istanbul Conference in 1996 and earning the Magsaysay Award in year 2000 for former Mayor Jesse Robredo. It shows how the local government can actively involve existing non-government organisations, people's organisations, individuals and the private sector, and make them real stakeholders in the city's long term development.
- Environmental Planning and Management, Dar-Es-Salam, Tanzania – Through Environmental Planning and Management (EPM) approach unlike traditional Master Plans, builds partnership with key stakeholders and provides a forum for setting common priorities. The concept is being replicated in all the municipalities in the country, benefiting about 50% of the present urban population.
- Integrated Programme for Social Inclusion – Santo Andre (Brazil) – It was implemented in selected slums and focussed on poor through a two pronged criterion, i.e. Economic Indicators and Non-economic Indicators. Specific support covers the basic municipal services, integration of housing and income generation, slum upgradation, basic education and other social facilities – extended to all the slums in the city.

#### **B.V. Reasons for UNDP technical assistance**

39. The Millennium Summit has established the goal of improving the lives of at least 100 million slum dwellers by 2015. UNDP supports policy interventions designed to tackle urban poverty through improved urban governance, while giving attention to urban environment improvements. These interventions relate to participatory planning processes to improve housing, water and sanitation, waste management, job generation and other aspects.

40. One of the central thematic areas of the UNDP Country Programme in India is the reduction of poverty and the creation of sustainable livelihoods. These objectives and concerns are equally reflected in the Tenth Five Year Plan document and are part of the UNDAF for India.

41. Nevertheless, in the recent past, UNDP in India has handled livelihoods largely as a technology issue: supporting government industrial departments concerned with the transformation and marketing of products and intermediates made from particular crops, minerals or raw materials (e.g. jute, coir, leather, textiles, etc.). Production, sales and exports have been more the project focus than the distribution of benefits or the participation of the poor. A radical departure from the past efforts is therefore necessary.

42. There are a number of tools that have been developed to facilitate the implementation of sustainable livelihoods programmes within UNDP. The sustainable livelihoods approach, by using both participatory and policy (cross-sectoral) tools, highlights the inter-linkages between livelihood systems at the micro level and the macro policies which affect these livelihoods. Understanding such processes allows UNDP to offer constructive advice to partner governments on how current policies and programmes can be re-oriented to better serve the interests, needs and capacities of vulnerable groups. This is done through meso-level linkages which operate through institutions such as local government, NGOs and CBOs.

#### **Box VI: Approach to Urban Poverty Alleviation**

In an environment where the poor are exploited and ignored, there is a major role for the State and its agencies, including the ULBs and the parastatals, in the field of urban development and provision of services such as water supply, health, education, sanitation, legal protection and employment generation. This is an immense challenge because of the known weaknesses of the system like the lack of accountability, corruption, and the dominant role of elite groups who wield substantial power in urban governance.

The first formal attempt to experiment with the community development approach in cities was the Urban Community Development project started in 1958. The Environmental Improvement of Urban Slums scheme was started in 1972 at the Central level to provide basic physical facilities like safe drinking water, sanitation, storm water drains, street-lighting and roads. This scheme was transferred to State Governments in 1974. Following experiments with a variety of combinations of schemes for employment generation, formation of beneficiary groups, training, community organizations and thrift / self-help groups, finally the integrated programme of Swarn Jayanti Shahri Rozgar Yojana (SJSRY) was launched in 1997.

The implementation of programmes for the urban poor is beset with enormous problems. The problem of inadequate funding has been compounded by under-utilisation of Central funds, diversion of funds released for specific programmes, and infructuous expenditure. Monitoring at the Central level has been weak and ineffective. Success stories have not been publicized or adopted on a wider scale. The understanding of the programmes, their objective

and modalities relating to implementation has been weak and superficial, leading to inaction in many areas that are of vital concern to the urban poor. There are few master plans and very little effort at monitoring the benefits that are expected to flow to the target communities. In addition, there has been too much emphasis on engineering or the 'works' aspects of programmes without adequate understanding of the social, psychological and other dynamics of poverty. The beneficiaries have not been consulted nor given a voice in the implementation of programmes. When there is a deceleration of economic growth, especially when governments experience fiscal constraints and need to reduce deficits, allocation of funds for the social sectors suffers.

Source: Tenth Plan

## **C. THE PROJECT**

### **C.I. Background**

43. Much of the background to the project has been covered above. Here it should suffice to provide the reasons for the approach being adopted, and why a single project, rather the original concept of two projects, is being pursued. One is a reason of bureaucratic and administrative convenience. The more important consideration is the desire to achieve greater conceptual integrity and a closer synergy between the national and NCR components, with a single guiding vision. It should also prove easier to feed the findings from both components into national policy discussions, while maintaining the kind of persuasive platform role that would encourage state-level administrators and NGOs to play a more active role in all elements.

44. There are a large number of initiatives concerning the urban poor which are being pursued all over India at this time, most of them only peripherally concerned with the employment aspects of livelihood. It is important for the project to take cognizance of as many of them as possible, and to draw up a comprehensive, country-wide picture which draws upon their findings. As mentioned before, the urban situation throughout the country is a highly-varied one, not just in terms of size classifications of the urban clusters, but due to the immense social, cultural and historical diversity of the country itself. Different ethnic and religious traditions, different growth rates (agricultural and industrial), paths and philosophies followed by each state, different levels of civic sense and responsibility as well differing strengths of civil society and the depth of their engagement - all these differences make for a cauldron of bubbling experience in which it is difficult to discern obvious patterns and trends. Nevertheless, the task must be undertaken, not least because there is already a wealth of valid experience and "best practices" which is ideal for cross-fertilisation. Apart from a data system which must aim to be comprehensive and sophisticated, much of the value of this "learning from each other" will come from on-the-spot visits and attachments as well as workshops and discussions. If the system sought to be established by the project is a self-sustaining one, with real "buy-in" by the spectrum of stakeholders, then this itself will constitute the base for future policy direction and programming.

45. One more point for the project is worth emphasizing about the livelihood impacts of the urbanisation process itself. The problem relates to the problems of even defining what is urbanisation, or what is "urban" in India, when the nature of many rural conglomerations has taken on strong urban characteristics of specialisation, size and density, non-agricultural occupations, etc. In parallel, many so-called urban clusters and suburbs remain predominantly rural in terms of social and financial links and support channels with their source villages. In fact, it may be an original contribution from India to the "international community" to demonstrate new paths of settlement that combine the best features of both rural and urban, and conserve natural

and fiscal resources most efficiently. To be able to capture these learning elements, there must be a sophisticated system in the project design (during the first phase of implementation) to sample all these types of urbanisation process from the mountains to the plains, from desert and quasi-nomadic settlements to ancient urban structures and kingdoms, to see what livelihood options they offer and how best to influence their future.

## **C.II. Project Strategy**

46. The Project, with two distinct but mutually reinforcing components, shall have the following major outcomes:

### **National Component**

- (i) An enhanced capacity at national level for the analysis of urban poor livelihood issues in an integrated manner, and for the planning, formulation and monitoring of sympathetic policies, strategies and programmes to deal with them. This would be situated in a knowledge-based National Resource Centre on Urban Poverty and Sustainable Livelihoods, established as a focal point of expertise in Government, and include a Register of Innovations.
- (ii) An all-India network on urban poor livelihoods, which will serve as a forum for dialogue and support between community and NGO activists, elected representatives and municipal and Ministry officials, as well as provide and exchange information experiences and practices with similar networks in other countries.
- (iii) Technical and financial support for innovative and promising livelihood initiatives already started by urban poor communities and their supporters, to be able to broaden and deepen them more systematically across the country.
- (iv) Action-based research that will inform and improve the policy framework, both at the Centre and State levels, especially as these have a direct bearing on urban-poor livelihoods and living conditions;.

### **NCR Component**

- (v) A comprehensive review and capacity (institutional and civil society) analysis of urban poor livelihoods in NCR; particularly relating to the living, working and social security concerns of the poor in the urban informal sector.
- (vi) Targeted support to 20 community associations and NGOs active in the NCR of Delhi in promoting urban poor concerns and grounding interventions to address multiple vulnerabilities of urban population.

47. *Inter alia*, the project strategy would thus seek:

- To strengthen capacity for monitoring and evaluation of various programmes, schemes and strategies of the government based on better understanding of all dimensions of urban livelihoods – access, entitlements and assets by which people make a living.

- To demonstrate viable models which focus on empowerment of the urban poor and slum dwellers and provide them with a forum to discuss their needs and the obstacles to meeting them
- To build the capacity for implementation of innovative Urban Poverty Alleviation Plans, with the thrust on basic services and socio-economic upliftment of the slum populations
- To build the capacity to formulate, on a continuing basis, and with contributions from the other relevant Ministries and Departments, multi-dimensional strategies for low-income urban livelihoods. This capacity would include the understanding and incorporation of the concerns which inhibit livelihood improvements, such as the inadequate coverage of education, health, infrastructure and transport, lack of labour rights and unemployment benefits, land and housing regulations which make it unaffordable for the poor to find housing and push them to disaster prone and unhygienic areas, lack of safety nets and social support systems, etc.
- To build capacity for analysis of the policies and institutional framework governing living, working and social security concerns of the poor in the urban informal sector, including the nexus of power which stands to gain from the continued exploitation of weak slum neighbourhoods and associations
- To demonstrate successful interventions related to urban poor livelihoods through strengthening and up-scaling of the community and NGO-led initiatives active in the NCR.
- To review and suggest improvements to the City Master and Zonal Plans, with a view to bringing fresh approaches that better integrate the living and working concerns of current slum, squatter and unauthorised settlement inhabitants

48. Working with the Ministry of Urban Development and Poverty Alleviation, the project will seek, under the 'National' component, to engage the support of major NGOs and international development agencies that have been active in working with slum inhabitants and their "informal" livelihoods in cities and towns across India. With the active participation of a number of project partners, the project will support a combination of action research, a platform for dialogue on policies and regulations, a facility to support and disseminate promising innovations on urban livelihoods, and an initiative to engage the media and civil society in a major way.

49. It is proposed that the 'National' component of the project would address three separate categories of cities namely; (a) Metropolitan and large cities (each with a population of more than 10 million), (b) Medium cities (one to two million population), and (c) Small and Medium towns (locations transiting from large rural centres to Urban towns – over two lakh population). Location-specific analysis of changing demands and patterns of livelihoods will feed into the larger 'Study – Research' effort by the proposed National Resource Centre at the national level. The project would thus establish a register of innovations, and a monitoring system based on networks to follow the evolution of urban poor livelihoods throughout the country. Partners in various locations would use the project as a resource pool to feed into, as well as draw information from; to obtain technical as well as financial resources for a planned series of experiments in promising lines of livelihood through cooperatives and micro-enterprises. The project framework would also serve as a forum for a continuing policy dialogue of the urban poor with the central and state ministries of urban development, Urban Local Bodies (ULBs), bilateral and multilateral agencies, and the municipalities/development authorities.

50. Rapid inventories will be made of the main categories of slum and squatter occupations and livelihoods in cities and towns across India. These will be correlated with GIS overlay mapping of the major population trends and rural-urban movements including refugees and migrants, natural resource availability and land ownership patterns, environmental stress trends,

industrial and service locations and expansion, and globalisation indicators such as the extent of trade and foreign investment. Ethnic, caste, income and gender analysis is needed which can draw from detailed sociological studies of specific urban and slum clusters. A bibliography and synthesis of the best available literature and reports on the urban poor will be compiled and made available electronically. A particular focus will be on occupational health and epidemic diseases in urban poor neighbourhoods, along with organisation awareness and training that will help cope with the onslaught of HIV/AIDS, TB and hepatitis. Most important will be a study of active community and NGO work in the slums on livelihood issues, which should shed the most light on policy and regulatory difficulties, municipal, bureaucratic and party behaviour, and working-living resource problems and social interactions. Without micro-level surveys of the workings, achievements and shortcomings of the existing public schemes for urban livelihoods and settlement improvements, assessments of what works or not, remain conjectural and fragmentary.

51. To, share in, and to carry out this type of analytic work to support ground-level action, an all-India network is needed on urban poor livelihoods, which can then interact with networks of related and similar efforts in other countries. It is also urgent to build up and maintain a computerised "Register of Innovations". A participatory committee structure could make decisions about strategic financial and technical support from the project for the most promising initiatives undertaken by slum communities, ULBs and municipalities. Close coordination with the UNDP-supported project on Urban Governance should help to build the capacities of ULBs and municipalities in the area of strengthening livelihoods. For the sake of improved Central Government capacity in tracking the formulation and implementation of policies affecting urban poor livelihoods, it would be important to establish a small Policy Unit in the Urban Development Ministry on urban poor livelihoods, which could in turn interact with the relevant units in the Planning Commission, Ministry of Labour, MOEF, and Social Welfare, and which would be able to draw on the work of other national and international networks as well as the registry of innovations. Finally, a sustained effort will be devoted to working with the media and with groups of volunteers, to try to influence the attitudes of the public into adopting a much more sympathetic and supportive posture towards the entitlements and working-living conditions of the urban poor.

52. As regards the 'NCR' component, Delhi has been blessed with a large number of historical studies and physical planning reports on urbanisation, as well as sociological studies of individual slums and squatter settlements and resettlement colonies. Some of these have been academic, others products of institutions such as the National Institute for Urban Affairs (NIUA), VHAI, TERI, or CSE. What is lacking is the drawing out of the lessons, the fitting together of the pieces of the puzzle, the commissioning and preparation of the missing analysis, *and an overview of the entire picture from a livelihoods perspective*. This is a set of activities that would be initiated immediately after project approval, in parallel with those of a more direct and technical support nature. Similarly, the many kinds of people who have been concerned most about Delhi's future - whether as part of the administration, international agencies that have provided financial support, or as knowledgeable professionals such as architects, town planners, lawyers, journalists, environmentalists, as supportive NGOs, or simply as residents who wish to participate in the shaping of the city - have not had an opportunity to carry out a systematic and continuing dialogue with each other and with the representatives of the underprivileged majority. The UNDP-supported project would help set up just such a network and forum for dialogue.

53. Approximately 25 community associations and NGOs have been part of the preparatory process of defining just what priority needs could be met from this project: how not only their

own current efforts could be extended or deepened, but also how they could be part of a collective effort where their experiences would inform policy formulation, and where essential changes to the macro framework of urban development would be made so that urban poor livelihoods could see sustained improvement. Consequently, the project will devote a substantial part of its total resources to providing targeted support to some 20 out of these bodies in order to undertake activities that would not have been possible otherwise in the livelihoods area, and which are designed to test and stretch the policy envelope. In the domain of technology and organisation for livelihoods, there may be substantial opportunities in newer areas such as water harvesting, urban agriculture, biogas for energy and fertiliser, solar water heating, the creation of open spaces for education and entertainment, on-line libraries and information kiosks.

54. Self-help and self-reliance will characterise these efforts, supplemented by volunteer support from both inside and outside the communities. They will also be selected from the point of view of representing the widest possible set of occupations that make up Delhi's urban informal sector. The special problems of street children, of Dalits, of the estimated 70,000 pavement dwellers, and of those who have been 'relocated' to far-flung Resettlement Colonies, will receive particular attention. Women and working children traditionally play a very large role in segments of the informal sector such as hawking, food stalls and retailing, rag-picking, domestic services, and significant categories of manufacturing. If the project is to demonstrate more effective ways of dealing with the terrible living conditions in areas such as sanitation and health care, pollution control, nutrition and clean water as well as improved housing, it will have to support community associations where women exercise a leadership function. Detailed process monitoring, evaluation and communication of the results of these support activities will be an essential part of the work.

### **C.III. Specific Project Activities under the NCR component**

55. There are three million people living in slums, and they are mostly working as construction labourers, domestic occupations, street food vendors, technicians for repairing household equipment, rag-pickers and even in industrial estates, across the city. Many of them are involved in hawking various articles on the streets and colonies. Since there is no stability of their livelihood, they change their jobs frequently and by nature they are very keen on picking up new skills. There are many activities being carried out by NGOs/CBOs in the NCR of Delhi. It is proposed that support be provided to those activities that can demonstrate and address issues related to urban poverty, promotion of livelihoods, and solving city level problems related to access to land and security of tenure for housing and informal sector household activities, occupations falling under vulnerable groups, improvement in basic facilities such as mobilisation for pro-poor slums, new resettlement colonies, unauthorized colonies, improvement of education facilities/curricula/methodology for urban slum children, health and children with disabilities.

56. The successful outcomes of these initiatives will provide the basis for an improved policy and regulatory environment. They will also enhance the capacities of urban local authorities and community organisations to expand the access, entitlements and assets of the urban poor for decent and secure livelihoods. It is also expected that the NCR structures of governance would be better equipped to formulate future strategies for vulnerability reduction of all types in the NCR of Delhi. An illustrative sample of some of the activities which are proposed to be supported include solid waste recycling, vocational training and functional literacy skills, access to information and justice, improved hawking and street food preparation, local newspapers and community radio, etc, all of them with a strong emphasis on women's roles and contributions

**Box VII.**  
**Illustrative samples of proposed activities in Delhi (NCR)**

- Sanitation: Solid Waste Management is one of the most important activities of MCD and segregation of garbage is its important part. MCD can play an important role in capacity building and creating employment opportunities for people to enable them to collect the garbage from the house, segregate it, and even promote vermi-composting activity wherever possible. This would promote the environment, as well as give opportunity to people to participate in a sustainable activity. MCD is already tying up with 40 NGOs on promoting household segregation of garbage.
- Hawking: Hawking is an important activity. It takes products to the various colonies and enable people to buy these products at their doorsteps. Such products are fresh fruits and vegetables, utensils, clothes, books and other domestic equipments. Yet hawking can be a major traffic hazards if they travel on the roads and block the traffic. There is a need to provide suitable carts and training and regulatory mechanism to regulate the hawking business in the City. This can be a huge income earning activity, but needs constant regulation and more important self-regulation.
- Promoting Street Foods: Street foods are common everywhere, but can be a major source of diseases like – Gastro-enteritis, Cholera and others, due to the unhygienic conditions, in which they are prepared and sold. A major programme could be launched to promote hygienic preparation of street foods and creating awareness among such people to contribute to the health of the City by promoting healthy street foods. This can provide huge income earning opportunities as well as enabling the entire city to be protected from the possibility of epidemics on account of poor quality and unhygienic food. MCD has already been working with an organisation – Manushi on promoting street foods in Delhi.
- Vocational Training: Creating technical skills for the urban poor is a very important area. There are three technical institutes being run by the Slum & JJ Wing of MCD. These could become the focus of providing skills improvement training in various fields of construction activities and create a large number of job opportunities for the urban poor, apart from standardizing the construction technology. There is huge scope for computer education in the schools for the students belonging to the low income group to enable them to become computer literate. Certain other training skills like – Data Entry Operation, Stenography, Cooking Mid-day Meals for School Children, stitching uniforms for the school children, making chalks for the schools, are some productive income earning skills, which could be imparted to the urban poor.

**C.IV. Links and Complementarities with UNDP-supported project of Urban Governance and Other Initiatives.**

57. The two components of this project are together intended to ensure that there is a *dominant* livelihoods focus for the issues confronting NCR's management, as well as emerging from the overall urbanisation process that India is going through. The UNDP-supported project on urban governance should be informed and influenced by the processes and results of the two components, but it will mainly have complementary aspects concerned with capacity- building in all the aspects of governance, from planning and controlling urban space, to maintaining law and order, ensuring accountability and citizen participation, decentralisation and gender equality, financial management, and administrative and technical training.

58. Each of the two components and the Governance project will have a quite distinct and tailor-made composition in its execution and implementation arrangements:

- (i) The ‘National’ urban component will work on two planes: the Ministry of Urban Development and Poverty Alleviation and its State counterparts on the one hand, and national-level NGOs/Institutions/Associations..
- (ii) The ‘Delhi’ livelihoods component will combine the associated efforts of the 20 local groups, NGOs and community bodies with those of the Lieutenant Governor’s Office, the Delhi Chief Minister’s Office, the Urban Ministry, the DDA and Noida / Ghaziabad Development Authorities, NDMC & MCD.
- (iii) The Urban Governance project will have as its chief clients the ULBs (Urban Local Bodies, or panchayat-equivalents) along with the DOPT for civil service training at local city levels.

59. Every attempt would be made to try to carry out the two different projects (Livelihood and Governance) in the same, or at least overlapping, set of cities and towns, so that their synergies and mutually-relevant concerns may be best exploited and addressed.

60. The UNDP-GOI sub-programme being executed by the Department of Science & Technology and being implemented by the Technology Information Forecasting and Assessment Council (TIFAC) aims to evolve a process of urban renewal by the use of appropriate technologies and knowledge such as digitised information collation, storage and retrieval systems and study of urban hydrology and modeling for urban renewal for better environment and quality of life. The sub-programme focuses on the urban population not merely as beneficiaries but more as partners in urban renewal. It ? facilitates networks and partnerships with NGOs, civic bodies, government departments and private sector better convergence and long terms sustainability in selected urban settlements in Mumbai, Delhi, Bhopal, Udaipur and Thiruvananthapuram.

61. Efforts will be made to take into account the institutional framework set up under this sub-programme consisting of various NGOs and research institutions When reviewing the selection of locations for the current project<sup>58</sup>. The project, apart from building on lessons so far drawn from efforts at national and local levels discussed earlier, will also build on the best practices demonstrated under the “Mission for Application of Technology to Urban Renewal and Engineering” (MATURE) project, Sustainable Chennai, and the programmes under the Swarn Jayanti Swayam Rojgar Yojana (SJSRY),

### C.V. Project Results

62. The Project aims at encouraging informed debate and formulate a national and state level strategies on urban poverty reduction drawing on the wealth of local and international experience and research findings on the causes and potential responses to urban poverty keeping in mind that institutional reforms to improve efficiency and strategies to accelerate human development progress are needed. The matrix below outlines the six key Project outcomes, baseline, target and indicative activities.

<b>Project Outcome 1: <u>Enhanced understanding on trends and directions of urban poverty in India</u></b>				
<b>Baseline</b>	<b>Target</b>	<b>Intended Outputs</b>	<b>Some Indicative Activities</b>	<b>Resources (Tentative) for Outcome Area</b>

<ul style="list-style-type: none"> <li>Limited appreciation and understanding of trends and direction of urban poverty throughout India</li> </ul>	<ul style="list-style-type: none"> <li>Broader understanding of multiple dimensions of urban poverty as these affect the livelihoods and low-income urban populations</li> </ul>	<ul style="list-style-type: none"> <li>Policy recommendations to provide more clarity and an enabling environment for Urban Poverty Reduction and Sustainable Livelihoods</li> <li>Suitable Index on urban poverty</li> <li>Benchmarking of service standards and operational efficiencies</li> <li>Centre for Research on Urban Poverty and Sustainable Livelihoods under the aegis of Ministry of Urban Development and Poverty Alleviation</li> <li>City-specific "Livelihoods" Reports</li> </ul>	<ul style="list-style-type: none"> <li>Focussed studies, research, and concept papers on Urban Poverty issues</li> <li>Analysis of experience practices and experiences relating to Urban Poverty and Sustainable Livelihoods</li> <li>Consultations with stakeholders to brainstorm on the relevance of existing policies to arrive at a consensus on the policy changes required</li> <li>Review of the quality and standards and urban poverty index adopted in other countries and analyse its adaptability to India conditions</li> </ul>	<p>15% (US\$ 900,000)</p>
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**Project Outcome 2: An all-India Network on urban poor livelihoods established to support wider stakeholder dialogue and exchange of information within India and with other Countries**

Baseline	Target	Intended Outputs	Some Indicative Activities	Resources (Tentative) for Outcome Areas
<ul style="list-style-type: none"> <li>Lack of awareness of urban poor especially women, youth and street children to information, knowledge and skills</li> </ul>	<ul style="list-style-type: none"> <li>Coalitions of Urban Poor to share problems and learn from each other</li> <li>National Networking and Convergence of Centre/State/City/Community organisations as forum for debates</li> <li>Community Structures to be made the common pattern and the foundation of all programmes for the urban poor and slum dwellers.</li> </ul>	<ul style="list-style-type: none"> <li>Key interventions and approaches in pilot cities to improve urban livelihoods and living conditions identified, discussed amongst local politicians, NGOs and stakeholders</li> <li>Better understanding of weaknesses, opportunities and appreciation of constraints, opportunities and key roles to be played by stakeholders</li> <li>Community website/information material to be hosted</li> <li>Joint preparation of draft action plans and incorporation into Municipal/Zonal Plans</li> </ul>	<ul style="list-style-type: none"> <li>Identification of Organisation to host the Network</li> <li>Workshops in pilot cities in collaboration with National Networks/City Alliances through support of resource persons/institutions</li> <li>Perspective Building Workshops to discuss information and information needs of community networks</li> <li>Hosting of selected information/E-Sharing of issues/approaches based on research, consultations</li> <li>Regional/National/International Workshops to discuss policy issues and share knowledge/experiences</li> </ul>	<p>10% (US\$ 600,000)</p>

<b>Project Outcome 3: Innovative and promising livelihood initiatives of urban poor communities broadened and deepened across the country</b>				
<b>Baseline</b>	<b>Target</b>	<b>Intended Outputs</b>	<b>Some Indicative Activities</b>	<b>Resources</b>
<ul style="list-style-type: none"> <li>Limited access of Urban Poor to resources impediment to innovations in promising livelihood initiatives</li> </ul>	<ul style="list-style-type: none"> <li>Better access and incentive for innovations in urban poverty and slum development initiatives</li> </ul>	<p>Key Initiatives and success criteria for access to resources and innovative pilot initiatives identified and widely disseminated</p> <p>Register of Innovations</p> <p>Lessons learnt on use of Incentive Funds to support innovations incorporated in government sponsored schemes</p> <p>Database of international experience</p> <ul style="list-style-type: none"> <li>Networking within India to facilitate learn by doing</li> </ul>	<ul style="list-style-type: none"> <li>Orientation Workshop to orient NGOs and National Networks using work done in pilot slums</li> <li>Setting up of an Advisory Panel to select innovative pilot interventions</li> <li>Successful demonstration of mechanism providing support from Incentive Fund to innovative approaches</li> <li>Establish data systems for urbanisation and livelihood trends throughout the country</li> <li>Establish a network of the research institutions to provide a platform for learning by doing</li> </ul>	(15% 900,000)

<b>Project Outcome 4: Capacity building for a national strategy on urban poverty reduction</b>				
<b>Baseline</b>	<b>Target</b>	<b>Intended Outputs</b>	<b>Some Indicative Activities</b>	<b>Resources</b>
<ul style="list-style-type: none"> <li>Inadequate capacity to respond to multifaceted features of urban poverty</li> </ul>	<ul style="list-style-type: none"> <li>Officers of the concerned Ministries exposed to best practices</li> <li>Studies/action research to provide policy directions and innovative implementation arrangements</li> <li>References to the policy analyses undertaken by</li> </ul>	<ul style="list-style-type: none"> <li>Discussion papers on Urban Poverty Reduction and Sustainable Livelihoods that could serve as a guide to future directions</li> <li>Discussion paper on institutional arrangements and strategic long-term vision for Centre and States</li> </ul>	<ul style="list-style-type: none"> <li>Setting up of Urban Poverty and Slum Improvement Task Force at the National Level</li> <li>Consultations on Discussion Papers</li> <li>Validation Seminars</li> <li>Issue revised guidelines in the selected areas and monitoring and review mechanisms</li> </ul>	10% (US\$ 600,000)

	<p>the Research Centre and outcome of consultations in the new national policy/programme documents</p>			
<ul style="list-style-type: none"> <li>• Management Information System to provide and use holistic data at macro level not fully operational</li> <li>• Conventional methods of data collation/storage and slow retrieval</li> <li>• Weak Inter-sector data flow</li> </ul>	<ul style="list-style-type: none"> <li>• Functional Management Information System with comprehensive data from a process of diagnosis at the municipal level</li> <li>• Use of city-level data and city maps derived from satellite imagery</li> <li>• Use of GIS-based tools and decision support modules to administer and track progress on Urban Poverty and Livelihoods Programmes and Schemes</li> </ul>	<ul style="list-style-type: none"> <li>• A comprehensive overview of urban poor livelihoods based on type of settlement, occupational sectors and skills, social categories, gender and age</li> <li>• GIS-supported database and profiles</li> <li>• Inter-departmental mechanism for data collection, collation and updating</li> <li>• Benchmarking on service standards and operational efficiencies</li> <li>• Tools for analysis of data in holistic manner</li> <li>• Core data generated and utility demonstrated in one of the government-sponsored programme</li> <li>• Integration of datasets</li> <li>• Adequate capacity for successful management and updating of data</li> </ul>	<ul style="list-style-type: none"> <li>• Identification and Establishment of a Policy Unit for setting up Monitoring System</li> <li>• Existing procedures and the scope for improvement understood through a detailed study.</li> <li>• Data needs determined for national level Urban Poverty Alleviation through study.</li> <li>• A design of the integrated database – core of the envisaged GIS developed and agreed.</li> <li>• A survey of available data sets useful in the construction of the database undertaken and captured alongwith their sub-datasets.</li> <li>• System and User Interface Requirements identified.</li> <li>• Existing Decision Support Modules reviewed for their applicability at National Level</li> </ul>	

<b>Project Outcome 5: Comprehensive review and capacity analysis to formulate operational strategies for financing livelihoods-intensive social/physical infrastructure and improved regulatory environment in NCR</b>				
<b>Baseline</b>	<b>Target</b>	<b>Intended Outputs</b>	<b>Some Indicative Activities</b>	<b>Resources</b>
<ul style="list-style-type: none"> <li>• Policies, implementation frameworks, investments physical infrastructure and social infrastructure do not compulsorily take into account the needs of the poor</li> </ul>	<ul style="list-style-type: none"> <li>• Efforts to draw out lessons from existing practices and experiences to look at the investments in physical and social infrastructure through livelihoods perspective in the NCR</li> <li>• Review of policies and regulatory frameworks to remove discrimination</li> </ul>	<ul style="list-style-type: none"> <li>• Forging systematic and continuing dialogue between professionals, administrators, town planners, NGOs, environmentalists, lawyers, journalists and the representatives of the under privileged majority on shaping the future of NCR</li> <li>• Discussion papers on financing instruments, micro-credit, social security, regulatory environment and informal sector</li> </ul>	<ul style="list-style-type: none"> <li>• Undertake policy analysis of public investment in basic infrastructure, particularly, shelter to provide basis for public debate, policy/strategy review</li> <li>• Undertake research studies on approaches/issues related to informal sector, low-income/household occupations, micro credit and social security instruments for public debate and evolving a national policy/strategy review</li> <li>• Undertake review of regulatory environment governing urban slums, livelihoods and living conditions</li> <li>• Interactive workshops and seminars to evolve comprehensive approach to use micro enterprises to</li> <li>• Submission of policy recommendations to NCR authorities</li> </ul>	20% (US\$ 1,200,000)

**Project Outcome 6: Targeted support to community associations and NGOs active in the NCR of Delhi to promote urban poor concerns and to address multiple vulnerabilities of urban population.**

<b>Baseline</b>	<b>Target</b>	<b>Intended Outputs</b>	<b>Indicative Activities</b>	<b>Resources</b>
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<ul style="list-style-type: none"> <li>• Ad-hoc implementation approaches with absence of mechanisms to integrate local concerns with the broader macro policies</li> <li>• Lack of common understanding and community action plan on livelihoods and living conditions issues</li> </ul>	<ul style="list-style-type: none"> <li>• Joint Community-based Action Plans prepared by Civil Society, news media and local government on urgent livelihoods and living conditions problems</li> <li>• Increased understanding of multi-stakeholder approaches to development issues, regulatory environment and capacities to cope up with multiple vulnerabilities</li> </ul>	<ul style="list-style-type: none"> <li>• Commission pilot projects and analysed experiences to understand better the issues and policy implications</li> <li>• Targeted support to demonstrate pilot interventions under selected categories with a view to address concerns of poor and demonstrate innovative approaches: (access to land, security of tenure, informal sector activities/occupations of vulnerable groups, improvement in basic facilities such as mobilisation for pro-poor slums, new/unauthorised settlement colonies, improvement of education facilities for slum children, access to health, micro credit, social safety net and community support for children with disabilities).</li> <li>• Collective effort leading communities in a broader direction of policy influence and negotiations with the authorities dealing with Delhi's Governance</li> </ul>	<ul style="list-style-type: none"> <li>• Draft Policy Document on generating urban livelihoods and income earning opportunities based on demonstration project and innovative approaches</li> <li>• Organise workshops to share with stakeholders the findings of pilot projects and finalise issue-based recommendations through a consultative process in the NCR</li> <li>• Incorporation of recommendations by the Urban Poverty Alleviation Cell of NCR and Policy Unit for implementation of recommendations in selected States to validate recommendations and modifications, if required.</li> </ul>	<p>(30%; US\$ 1,800,000)</p>
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## **C.VI. Exit Strategy and Sustainability**

### **Project Exit Strategy**

63. The project design and implementation strategy takes into account the enabling approach attributed to the participation of grass root level organisations including the private sector. In forging solutions, they would play an active role in promoting dialogue, in formulating socially-oriented projects, in mobilising and leveraging public, private and community resources, and in implementation. As a result, they not only influence policy but also create sustainable and replicable processes. In most cases, however, major gaps still exists between the lessons learned on the ground and policy making at the national level. The project strategy takes this fact into account so as to enable incorporation and integration of successful experience into macro-level policy and state/city co-operation. The potential for such forms of capacity building remains a largely untapped resource which is being attempted through this project.

#### **Policy-level sustainability:**

64. The project strategy provides effective means of monitoring and evaluating performances in implementing activities by all partners through best practices. The activities provide involvement of national/city level task forces and Urban Poverty Cells and organisation of broad-based and participatory seminars, workshops, focussed training/modular programmes to help mainstream lessons learned from best practices. Additionally, efforts will be made to harmonise these initiatives and to make their differences and similarities more transparent to users and submitters alike so as to make the information and its interpretation more user-friendly, comparable and relevant to policy and decision making.

#### **Institutional sustainability:**

65. The metropolitan development planning and management process worked out during the project activities will have become procedurally and politically well-established and will continue to develop, steadily improving effectiveness in the functions and activities noted below:

- Inter-sectoral and inter-agency cooperation at strategic planning and at operational management levels will be established practice, with routinely functioning mechanisms and procedures for cross-programme coordination and collaboration.
- Private sector, NGOs and community organisations will be experienced in and capable of sustained active participation in the planning and management process, with routinely operating cumulative mechanisms and procedures backed up by regular information flows and technical resource support.
- Political and technical capacities will be able to support effective and timely identification of development policy issues, and the necessary structural base will be further strengthened to support the formulation and implementation of inter-sectoral urban poverty reduction and sustainable livelihood policies, programmes and projects.

## **Financial sustainability**

66 By the end of the project, existing investment plans for city governments and agencies, and for private and non-government actors, will have been analysed in relation to the strategies and sub-strategies agreed through the stated outputs.

67 Overall capital investment “packages”, emphasising new investment projects and requirements to supplement and consolidate existing programmes, will have been identified and formulated in relation to the Action Plans stated under the outputs, subjected to internationally acceptable standards of rigorous initial assessment and justification (financial, technical, organizational) and then documented in format suitable for detailed discussions with funding sources by the city governments.

68 A report on further action required for implementation, documenting the follow up required by involved actors/agencies to secure funding for all capital investment and technical cooperation projects will be agreed by the end of the project.

## **C.VII. Equity Considerations (Social, Gender, Environmental, HIV/AIDS)**

69. The project will pay special consideration to ensure that local communities are involved in all activities. Care will be taken to ensure participation of disadvantaged groups as also women’s groups. All interventions under this project will include local communities and the gender dimension. Special emphasis will be laid on environmental issues to address the problems of environmental degradation and maintaining the ecological balance of the rural areas being covered.

70. The Government of India has identified promotion of gender equality and strengthening decentralization as the two themes for focused and coordinated action by the UN System in India under the UN Development Assistance Framework (UNDAF). Every UNDP-supported project is expected to contribute to furthering the above goals. Gender mainstreaming is therefore a mandatory requirement for all projects under CP 2003-07.

71. This has two implications.

- All UNDP-supported projects should contribute to the goal of promoting gender equality, either directly through actions to transform unequal gender relations, or indirectly through actions to empower women and/or creating an enabling environment for the transformation of unequal gender relations.
- Women should be equal participants, and should be able to claim an equal share of benefits and outcomes in all aspects of UNDP-supported projects.

72. Gender mainstreaming is a mandatory criterion for monitoring and evaluation of UNDP projects. Gender performance audits will be undertaken as part of all financial audits and impact evaluations.

**73. The following criteria will be used in assessing the actions undertaken to ensure gender mainstreaming in project activities.**

- A **Gendered baseline survey** should be carried out before initiating project activities. Information on basic indicators of women's development, including population, education, health status, work participation and issues/problems specific to the area should be collected. Data from secondary sources such as the Census 2001, National Sample Surveys and previous research studies, should be supplemented with data from informant interviews, focus group discussions and household sample surveys. Data on women's situation should also be collected from local women's groups/NGOs working in the area.
- **Women stakeholders** and **gender resource persons** with sector-specific competence should be involved in the process of project planning and in developing the workplan and monitoring framework for the project.
- All **community organisations** and local-level **management/implementing committees** should have at least 30% women members. Minutes of community meetings should separately record attendance of women members. At least 30% of all committees set up under the project should be chaired by women.
- **Project Advisory Committees** at local level should include at least one woman member (a representative of a local women's group, a woman academic or civil servant, or a woman community leader).
- At least 50% of participants in **training/learning opportunities** created under the project (for instance, skill training at grassroot level, study tours, exposure visits, issue-based workshops and specialized professional courses) should be women. All training reports should include an annexure with details of attendance and participation of women trainees, which should incorporate feedback from a sample of women trainees (not less than 10% of total women trainees).
- Women participants should not be excluded from training programmes on the grounds of having children. **Creche/childcare and health facilities** should be provided as appropriate. Training programmes for community representatives should be organized at local level in order to make it easier for women to attend.
- At least 50% of beneficiaries under **employment opportunities** created through the project should be women. The principle of "**equal wages for equal work**" should be strictly applied. Separate muster rolls and payment records should be maintained for women beneficiaries.
- At least 30% of **staff** under the project should be women. Recruitment procedures including advertisements and criteria for screening should not discriminate against women in any way.
- Project offices should be equipped with **physical facilities for women** as appropriate. Statutory provisions for maternity leave should be strictly followed. A mechanism should be put in place for dealing with complaints of sexual harassment or gender-based discrimination in the workplace, with at least one member of the grievance committee being a person with sensitivity to gender issues and experience in dealing with such complaints.
- All project staff should undergo a half-day orientation to gender equality issues.

74. A **mid-term review** will be undertaken to track progress on gender mainstreaming and suggest mid-course corrections.

75. A **Gender Impact Assessment** will be carried out on completion of the project. The following broad parameters will be reviewed.

- Women’s participation in planning and implementing project activities.
- Direct benefits accruing to women from the project, and resulting changes in women’s material condition.
- Impact of the project on women’s access to resources, access to information, autonomy within the family, ability to access public services, ability to participate in social/economic/political decision-making and vulnerability to violence.

76. Appropriate project-specific indicators will be evolved for measuring changes in women’s situations along the above parameters.

**Box VIII.**

**Proposed Approach to address HIV/AIDS related issues**

Given the HIV epidemic estimates at 3.97 million in India and the high rates of incidence, HIV has been recognized a major public health challenge in the country. HIV epidemic has the potential to undermine the gains in Human Development and impact on the viability of key and critical sectors such as urban development.

Vulnerability to HIV/AIDS extends across all social groups in all geographical locations. However there is ample documented evidence, which places mobile populations at heightened vulnerability. Migration to cities in most instances is under exploitative conditions. The need for controlling the spread of HIV through targeted interventions for sex workers, comprehensive multi-sectoral programmes or legal rights awareness programmes etc. can not be emphasized more in the current urban development context.

Combating HIV/AIDS, Corporate Practice area for UNDP, therefore needs to be mainstreamed into the project activities. This will be undertaken through involvement of NGOs working in the field, public health experts, people infected and affected by the HIV virus as well through strengthening linkages with State AIDS Control Societies and networks of positive people as also organizations of women collectives including those of commercial sex workers. Efforts will be made to address HIV/AIDS consensus in select urban locations as a part of project activities.

**Box IX.**

**Mainstreaming UNDAF Focus Areas**

The Government of India has identified *promotion of gender equality and strengthening decentralization* as the two priority goals for coordinated action by the UN System in India under the UN Development Assistance Framework (UNDAF). As the UNDAF is a central pillar of the GOI/UNDP Country Programme (2003-2007), all UNDP-supported projects are required to mainstream strategies towards achieving these goals. The table below presents an overview of the underlying principles, policy framework and project cycle management strategies that must guide all stakeholders:

Project Cycle Management Strategies	UNDAF Goal: Promoting Gender Equality	UNDAF Goal: Strengthening Decentralization
Principles	<ul style="list-style-type: none"> <li>• Equal gender relations</li> <li>• Equity in participation and benefit sharing</li> </ul>	<ul style="list-style-type: none"> <li>• People's participation, their influence and control on matters important to their lives; equal access for all social groups and fair representation within it.</li> <li>• Responsive, open, transparent and accountable public mechanisms</li> </ul>
Policy Framework	<ul style="list-style-type: none"> <li>• National goal of promoting gender equality and women's empowerment, and improvement in conditions of women through removal of barriers to their development.</li> </ul>	<ul style="list-style-type: none"> <li>• The 73<sup>rd</sup> and 74<sup>th</sup> Constitutional Amendments on democratic decentralization.</li> <li>• Panchayats (Extension to Scheduled Areas) Act for self-governance by the tribal community.</li> </ul>
Results Framework	<ul style="list-style-type: none"> <li>• Transform unequal gender relations.</li> <li>• Strengthen equity in participation and benefit sharing (at least 50% share to women under employment opportunities created through the project).</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthen decentralization as an essential pre-requisite to people's-centered development.</li> <li>• Support <i>panchayati raj</i> institutions – both rural and urban – directly (building their capacity or working with them on specific issues such as natural resource management, sustainable livelihoods or disaster management) or indirectly strengthen the decentralization process by supporting social mobilization and preparing communities or other civil society actors to actively participate in <i>panchayati raj</i> institutions.</li> </ul>
Project Management	<ul style="list-style-type: none"> <li>• Involve Women stakeholders and gender resource persons with sector-specific competence in project development, workplanning and monitoring.</li> <li>• Provide at least 30% membership of women in all community organisations and local-level management/implementing committees, and a similar ratio in chairing of such</li> </ul>	<ul style="list-style-type: none"> <li>• Create multi-stakeholder groups at appropriate levels to promote community management of services and resources.</li> <li>• Support effective social mobilisation, improved access to information and greater sensitivity among development administrators. <ul style="list-style-type: none"> <li>• Support flexible and locally appropriate institutions and systems to address development concerns at</li> </ul> </li> </ul>

	<p>committees. Minutes of community meetings to separately record attendance of women members.</p> <ul style="list-style-type: none"> <li>• Include at least one woman member (a representative of a local women's group, a woman academic or civil servant, or a woman community leader) in Project Advisory Committees at local level.</li> <li>• Ensure strict application of the principle of 'equal wages for equal work'.</li> <li>• Maintain separate muster rolls and payment records for women beneficiaries.</li> <li>• Ensure at least 50% participation of women in training/learning opportunities (skill training at grassroot level, study tours, exposure visits, issue-based workshops and specialized professional courses). Provide appropriate support towards this (training programmes for community representatives organized at local level, Crèche/childcare and health).</li> <li>• Ensure that at least 30% of project staff are women by instituting non-discriminatory recruitment procedures.</li> </ul>	<p>different levels – within the community, at the district level and at the State level.</p> <ul style="list-style-type: none"> <li>• Evolve a structured mechanism that will allow community groups, Gram Sabha and the Panchayati Raj Institutions to complement the work of Government Departments at suitable levels.</li> <li>• Give representation to PRIs and NGOs in Project Management Committees at various levels.</li> <li>• Ensure incorporation of decentralized assessment indicators in workplanning processes.</li> <li>• Ensure that capacity building activities (structured training, exposure visits, etc.) include representatives of PRIs/CBOs/ NGOs to strengthen their decision-making skills.</li> <li>• Implement measures for perspective building of Implementing Agencies and other project stakeholders in the philosophy of decentralization and implications of various decentralization amendments.</li> <li>• Ensure a democratic and decentralized decision-making process within the implementing organizations.</li> </ul>
Project Monitoring and Evaluation	<ul style="list-style-type: none"> <li>• Carry out a gendered baseline survey to benchmark basic indicators of women's development, including population, education, health status, work participation and issues/problems specific to the area. Use data from secondary sources such as the Census 2001, National Sample Surveys and previous research studies.</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure benchmarking of the identified districts/specific regions with regard to the status of PRIs/CBOs/NGOs as a part of the baseline survey.</li> <li>• Mid-term/final evaluation/any other final assessment should also assess the contribution of the project to the decentralization</li> </ul>

	<ul style="list-style-type: none"> <li>Collect data on women's situation through informant interviews, focus group discussions, and household sample surveys, and from local women's groups/NGOs working in the area.</li> </ul>	objective.
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### C.VIII. Risk Analysis:

Risk	Risk Rating (high/medium/low)	Risk Minimisation Measures
<b>Risk of outputs failing to translate into outcomes ( e.g. complex policy environment , local ownership etc)</b>		
Lack of effective cooperation and coordination of implementation and follow up	Low to Medium	The consultative and participatory process of strategy formation and, especially, action planning and implementation is relatively untried in India. Within public agencies, procedural rigidities, compartmentalization of responsibilities and powers, and relative lack of effective collaborative work in the past, constitute real risks. However, similar cross-sectoral approaches have been successfully undertaken in other countries and also in India. It is expected that the commitment to the Sustainable Cities Programme process as shown by most organizations during the formulation of the project, will enable this process to be successfully carried through into implementation and follow-up.
Lack of sufficient political and/or popular support to achieve the policy consistency necessary for sustainable livelihood development.	Low to Medium	It is intended that politicians and senior decision makers at state and city levels would be involved in the process from the beginning, in order to extend understanding of the concepts and to mobilize their support for the policy requirements for sustainable and environmentally sound development. Similarly, the participatory process of Sustainable Cities Programme through consultations and workshops will help ensure that understanding of and support for the project is stimulated across a wide range of actors and stake-holders.

<b>Risk of outputs not being produced (e.g. constraints in partnership strategy, counterpart support, complex management arrangement etc.)</b>		
Key inputs not delivered on time (such as inputs from participants in the Task Forces, inputs from consultants, inputs from studies relevant to the project).	Low	The risk of late delivery or non-delivery is generally small, because most of the key inputs are under the control or immediate influence of the National Project Director, the Project team and the city level administration.
Lack of effective and sustained coordination of other agencies involved in the project, especially in the Task Forces and the preparation of Action Plans and draft State Slum Policy	Low	The National Project Director and Project Coordinators will be senior officers responsible for coordination of support for the project. The Programme Management Board, Standing Committee and Steering Committee, comprising senior policy-makers and representing the highest levels of Central and State will provide a mechanism for policy coordination and resolution of conflicts. The Task Forces, comprising senior officers as well as people from private sector and community groups, will allow issues to be worked out, at an operational level, in a multi-interest forum.

## **D. IMPLEMENTATION ARRANGEMENTS AND ROLES & RESPONSIBILITIES OF PROJECT PARTIES**

### **D.I. Prior Obligations and Pre-requisites:**

- The project has two components – National and NCR of Delhi. The Ministry of Urban Development and Poverty Alleviation, Government of India, will be responsible for overall monitoring of the implementation of the project, and assist in linking this project with other externally and centrally sponsored Livelihoods and Poverty Alleviation projects and programmes.
- The respective State Governments will ensure the effective implementation of the National component of the project and provide necessary staff support, if required, at their own cost.
- The respective State Governments will also ensure convergence with schemes being implemented by them, particularly in terms of support setting up slum upgrading and livelihoods.
- Wherever required, the State Level Advisory Committee for policy guidance will be set up to be chaired by the Principal Secretary, Department of Urban Development and Poverty Alleviation with members drawn from all the relevant line departments, UNDP and eminent subject matter experts.

UNDP assistance will be provided subject to the satisfactory fulfilment of the above pre-requisites. If anticipated fulfilment of one or more pre-requisites fails to materialise, UNDP may, at its discretion, either suspend or terminate its assistance.

## **D.II. Implementation Arrangements – Institutional Mechanisms & Monitoring**

77. **Government Coordinating Agency:** The Department of Economic Affairs (DEA) in the Ministry of Finance, the Government aid coordinating agency, will be responsible for the overall coordination of the Country Programme activities. In order to guide and support the Executing Agency towards meeting the Country Programme goals, DEA will participate in the Project Management Board (PMB). As a part of its overall mandate of resource mobilisation, DEA in collaboration with the concerned government departments and UNDP will also assist in raising additional resources to support Project objectives.

78. **National Executing Agency:** In line with the National Execution Guidelines (July 1998) issued by the Department of Economic Affairs, Ministry of Finance and the UNDP corporate procedures as outlined in its Programming Manual (May 2000), the project will be executed nationally. The Ministry of Urban Development and Poverty Alleviation will be the Executing Agency for the project, and will be responsible for its overall management including achievement of planned results and for the use of UNDP funds. The Department will designate a senior level official of the rank of Joint Secretary as the National Project Director (NPD) to coordinate project execution. Considering the size, wide range of Government/Non-Government Implementing partners and stakeholders and spread of the project over a large geographical area, special management and coordination arrangements to assist and advise the NPD, and to provide support to the proposed Policy Cell within the Ministry will be put in place. A Project Coordinator and limited administrative support staff will be provided to assist the NPD and UNDP in project implementation and supervision.

79. **Implementing Agency(ies):** The Government of the NCR of Delhi will be designated as implementing agency for the NCR component. Autonomous institution such as (HUDCO) could be designated as an/or one of the implementing agencies for the national component of the project.

80. The Executing Agency/Implementing may contract other entities (called Implementing Agencies to undertake specific tasks preferably through a process of competitive bidding. If the entity short-listed is another Government institution or a UN Agency, competitive bidding will generally not be necessary. The process of selection of the Implementing Agency and waiver of competitive bidding, where applicable, should be clearly documented.

81. UN Agencies may be contracted (Standard Letter of Agreement) as Implementing Agencies where unique technical sector expertise or specific management capacity and access to international networks is required.

82. **Programme Management Board (PMB):** The PMB will be chaired by the Secretary of the MUD&PA and with representation from stakeholders will be constituted to provide oversight and cross-sectoral linkages at the senior policy-making level for both the national and the NCR components of the project. The functions of the PMB will be in line with NEX Guidelines.

83. The NCR component under the project will combine the associated efforts of the 20 local groups, NGOs and community bodies with those of the Lieutenant Governor's Office, the Delhi Chief Minister's Office, MUD&PA, the DDA and Noida / Ghaziabad Development Authorities, NDMC, MCD and Delhi Cantonment Board. It will also ensure linkages with the National-level NGO such as SEWA and SPARC, possibly to be guided from Mumbai under the overall direction of a Steering Committee under the chairmanship of Lt. Governor of Delhi.

84. Similarly, the national component will combine the associated efforts of the State counterpart Ministries, national level NGOs such as SEWA and SPARC.

85. **Project Standing Committee (PSC):** The PSC will be headed by the NPD and will have as members Project Coordinators and representatives from DEA and UNDP. The functions of the PSC will be in accordance with NEX Guidelines.

#### **State-level Implementation Arrangements:**

86. For the national component, wherever required, the State Department of Urban Development and Poverty Alleviation will appoint a Project Coordinator, a Deputy Director, who will facilitate the implementation from the government side. He will work very closely with the NPD and the Centre to be set up for coordinating the research activities under the project.

87. The State-level Steering Committee will be chaired by the Principal Secretary and convened by the Director of the Research Centre. The members of the Committee will include officers (at least of the rank of Joint Secretary) from the relevant departments. The State Level Slum Development Departments, Planning Departments, Metropolitan authorities and the SFC will also be members, as well as Government of India representative and a UNDP representative. This Committee will oversee coordination of the Project, and will facilitate the formation of partnerships for convergence of support to the project.

#### **Special co-ordination arrangements:**

88. Wherever required, a State Coordination Committee (SCC) headed by the Chief Secretary of the State will be set up to review progress of all Livelihoods projects in the State and facilitating capturing of lessons as well as their feedback into state-level policy discussions. The members would include: Team Leader/Project Director of all projects in the States, UNDP, State Revenue Commissioner/Development Commissioner, State Secretaries of Departments dealing with livelihoods issues, UNDP NPDs of the projects in the State, Commissioners of the Cities covered, the participating NGOs and representatives of some of the selected project beneficiaries. The main functions of the SCC are described below:

- Facilitating coordination with other UNDP and non-UNDP assisted projects in the state, with the relevant government-funded initiatives and programmes supported by other development agencies including the UN System.
- Facilitating capturing of lessons and feeding them into state-level policy discussions/advocacy particularly in the context of State HDR findings and recommendations.
- Mapping human development concerns in the project context and guiding the implementation of the project research agenda relating to human development.
- Facilitating monitoring of progress in outcomes and impact.

89. Wherever National UN Volunteer (NUNV) have been appointed to look after any of the UNDP projects, such NUNVs will be tasked to backstop the SCC. Also the expert from UNDP Human Development Resource Centre (HDRC), wherever positioned, will bring about synergy between the project activities and broader human development initiatives at the state level.

90. UNDP Collaboration: UNDP will support management of the project and towards this participate in various project committees. UNDP will support drawing and upscaling of development lessons. At the request of the Executing/Implementing Agency(ies), UNDP will also provide support (termed as UNDP Country Office support services) for sub-contracting the user groups and for monitoring and evaluation. Country Office support may be provided in other areas also as agreed between UNDP and the Executing Agency/Implementing Agency(ies). Such support activities will be carried out in accordance with UNDP rules and regulations.

### **D.III. Funds flow arrangements and financial management**

91. The funds flow arrangements under the project will be guided by the GOI NEX Guidelines and UNDP procedures for national execution. Funds shall be advanced to projects on a quarterly basis. A Financial Report in the prescribed format reflecting the expenditure in the previous quarter, the balances at hand and estimated funds requirement for the next quarter will be submitted by the Implementing Agency to the Executing Agency for their verification and counter signature and onward transmission to UNDP. The quarterly Financial Reports should be submitted to UNDP within 15 days of the close of the quarter.

92. The Implementing Agency(s) shall maintain separate bank account in order to receive and disburse UNDP funds. Separate books of accounts on cash basis of accounting shall also be maintained in order to ensure accurate reporting of expenditures and providing a clear audit trail. Suitable guidelines on financial management will be issued by UNDP separately.

### **D.IV. Audit**

93. As per the GOI NEX Guidelines, the project shall be subject to audit in accordance with UNDP procedures. In order to meet the UNDP requirement of covering 90% of the annual NEX expenditure under audit, an annual audit plan will be drawn up in consultation with DEA. The project shall be informed of the audit requirements by January of the following year. The audit covering annual calendar-year expenditure will focus on the following parameters: (a) financial accounting, documenting and reporting; (b) monitoring, evaluation and reporting; (c) use and control of non-expendable reporting; and (d) UNDP Country Office support.

94. The auditor shall be appointed in consultation with DEA. In line with the UN Audit Board requirements for submitting the final audit reports by 30<sup>th</sup> April, the field visits will be carried out by the auditors in February/March. Detailed instructions on audit will be circulated by UNDP separately.

## **E. MONITORING, EVALUATION & RESEARCH AND COMMUNICATIONS & ADVOCACY**

### **E.I. Monitoring and Evaluation**

95. A multi-pronged monitoring, evaluation and action-research(MER) strategy will be implemented in order to ensure effective and results-oriented project implementation and for

drawing out relevant lessons for various stakeholders including development workers and policy makers at the Central and State levels.

96. The matrix below defines the contours of the ME strategy:

I. Stake-holders	Expectations and information needs	M & E tools	Periodicity	Institutional Arrangement for ME
<b>1. Policy makers/ Planners/ Development Institutions (DEA, Planning Commission, PMB/State Coordination Committee/ UNDP)</b>	<ul style="list-style-type: none"> <li>• Policy lessons based on organic links between human development strategy/ achievements and development programming at the grassroots</li> <li>• Innovative approaches in multi-sectoral development programming</li> </ul>	<ul style="list-style-type: none"> <li>■ Action research under different programmes and linked to National and State Human Development Reports; Policy research based on suitable indicators;</li> <li>■ Development evaluation approaches, multi-site evaluation, cluster evaluation</li> </ul>	<ul style="list-style-type: none"> <li>• Periodic based on policy research agenda</li> </ul>	<ul style="list-style-type: none"> <li>• UNDP State level teams coordinated by HDRC (collaboration with Planning Commission and Research Institutions)</li> </ul>
<b>2. Executing Agency</b>	<ul style="list-style-type: none"> <li>• Adequacy of programme results in the context of the Country Programme Results Resources Framework (RRF) and the project document</li> <li>• Smooth programme execution arrangements and continuous follow-up and corrective actions</li> </ul>	<ul style="list-style-type: none"> <li>• Concurrent Evaluation</li> <li>• Rapid Assessments</li> <li>• Review meetings based on results oriented annual reports from projects</li> <li>• Social assessments</li> <li>• Field visits</li> <li>• Financial Reports showing utilisation of funds</li> <li>• NEX Audit</li> </ul>	<ul style="list-style-type: none"> <li>• Biennial</li> <li>• Periodic</li> <li>• Six monthly/Annually</li> <li>• As required</li> <li>• Periodic</li> <li>• Quarterly</li> </ul>	<ul style="list-style-type: none"> <li>• Programme Management Board (PMB), State Coordination Committees (SCC)</li> <li>• Project Standing Committee (PSC), SCC</li> </ul>

I. Stake-holders	Expectations and information needs	M & E tools	Periodicity	Institutional Arrangement for ME
			<ul style="list-style-type: none"> <li>• Annual</li> </ul>	
<b>3. Implementing Agencies</b>	<ul style="list-style-type: none"> <li>• Continuous follow-up on project activities and outputs and remedial action.</li> <li>• Measures for success/ challenges (failures), interrelationship between performance and inputs/ activities, cause –effect analysis. Intended and unintended outcomes /impacts.</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly meetings to review progress in workplan</li> <li>• Field visits</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly</li> <li>• As required</li> </ul>	<ul style="list-style-type: none"> <li>• Project level advisory/ technical committees</li> </ul>
<b>4. Beneficiaries</b>	<p>Relevance of results, equity, empowerment, ownership, participation, access to information</p> <p>Quantitative and qualitative measure of developmental changes in terms of the well being of target groups/areas and the society as a whole. UNDP 's contribution.</p>	<ul style="list-style-type: none"> <li>• Participatory Monitoring and Evaluation</li> <li>• Beneficiary survey</li> <li>• Focus group</li> </ul>		<ul style="list-style-type: none"> <li>• Networks of beneficiaries and focus groups</li> <li>• Community animators</li> </ul>

## E.II. Research agenda

97. Given the development context, the Project has the potential to contribute significantly to the national and state level debate and action on urban livelihoods, apart from the institutional monitoring mechanism, networking and support for innovations. A number of studies have been commissioned, books and articles published, and seminars and workshops conducted focussing both on theoretical as well as operational aspects of urban livelihoods. There has,

however, been a hiatus between conceptualization of the urban informal sector in theory and its practical application in empirical research.

98. The project is a serious attempt towards activities focussing on theoretical and empirical research on the one hand and making comparability of the results of different micro-level investigations on the other so that the scepticism regarding the theoretical validity of the urban poverty, usability of micro level studies in policy formulation and approaches could all be addressed by the project. Not only that the work to be undertaken under the project would rest in the institutional memory through setting up of a Centre so that quality inputs for all future livelihoods related projects and interventions could drawn from the Centre.

### **E.III. Communication and advocacy, lessons learned, and upscaling.**

99. The key objectives of Communication and Advocacy are to promote awareness about UNDP Programmes which would lead to debates and discussions on human development , impact on policy and feed into the national/international pool of knowledge and networking.

100. The C&A Core Strategy for 2003-2007 aims at generating information and formulating advocacy documents , based on creation of comprehensive databases and project / programme documentation at each level of project implementation and impact , which would be targetted at the media and government and administrative authorities with the ultimate objective of facilitating policy formulation.

101. In keeping with the C&A Strategy, this project attempts to record project activities for replicability as also for feeding into the larger issue of impacting on policy through the mapping of a) popular local level communication and information resources, modern as well as folk and traditional, b) local-level information focal points representing a choice of the above-stated communication resources, for creation and dissemination of project 'impact stories' at key milestones of the project based on participatory monitoring and evaluation (PME) and other tools and resources.

102. For information sharing workshops, project-level communities (available self-help groups/women's groups/youth clubs and others), project partners such as Government line ministry(ies)/PRIs/NGOs/local enterprises and others) and other multi-bi development partners present at local/State level will be the key audiences.

103. Another important component would be to build communications capacity of partners to generate written and video documentation and to use websites/other information and communications technologies for information sharing and policy advocacy. Other components of C&A Strategy would be to:

- Produce quarterly thematic project backgrounders, updates, flyers and news-sheets and share with media and stakeholders at all levels. Build demand for project information by customising content in local language for key project-level target audience(s).
- Organise project field visits and policy fora for key Government focal points/legislators/parliamentarians as well as govt. information focal points of line ministries for sustained sensitisation to the project mandate and impact/outcomes at regular intervals.
- Target interactive TV and radio programmes as well as key mass and niche media for building awareness about the project and its proposed policy impact.

- Promote intra-site (within and between states) regular information and experience sharing for continuous course correction and learning.
- Facilitate sharing of project information with the CO website and newsletter/other relevant UN agencies' outreach tools and resources.
- Commission action research on key project objectives.

104. Documentation will be done at each stage of the project - with every activity being recorded - this has been visualised to be part of the project activity, to be followed through the entire course of its implementation and execution, at the local level, to emerge as Advocacy material for the project's replicability as a model for dissemination, in the widest context possible

## **F. PROJECT BUDGET**

### **F.I. UNDP Contributions**

105. UNDP will contribute a total of US\$ 5 million towards this project. This reflects the committed level of UNDP Core Resources for the project during the project period in regard to the specific outcomes/activities outlined in this document. However, efforts will be made to seek additional resources, at least around US\$ 1m, from the Government and/or other multi-bi donors and public and private sector institutions / organisations. Additional resources would be used for further upscaling, deepening and widening of the project activities – including additional activities within the overall framework of the design and objective of the project. Such an expansion in the project activities will be subject to the agreement of the Executive Agency through the National Project Director (NPD).

106. In the event that additional funds cannot be mobilised from other agencies, the scope of the project will be restricted in terms of geographical coverage as also range/number of activities to the extent of UNDP core resources.

### **F.II. Government contributions**

107. The Government of India's contribution will be in the form of time given by the NPD and other officers of Ministry of Urban Development & Poverty Alleviation and the Government of National Capital Region of Delhi.

108. The Government of National Capital Region of Delhi and the proposed Implementing Agencies for the project will contribute in the form of all necessary human and other resources to ensure successful implementation of the project

## **G. LEGAL CONTEXT**

109. This project shall be the instrument envisaged in the supplemental provisions. The following types of revisions may be made to this document with the signature of the UNDP Resident Representative only, provided he or she is assured that the other signatories of the Project document have no objection to the proposed changes.

- Revisions in, or addition of, any of the Annexes of the project document (with the exception of a Standard Legal Text for non-SBAA countries which may not be altered and agreement to which is a pre-condition for UNDP assistance).

- Revisions which do not involve significant changes in the immediate objectives, outputs of activities of the Project but are caused by the re-arrangements of inputs already agreed to or by cost increases due to inflation; and
- Mandatory annual revisions, which rephase the delivery of, agreed project inputs or increased experts or other costs due to inflation.

