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INDIAN INSTITUTE FOR  
HUMAN SETTLEMENTS

**UNITED NATIONS DEVELOPMENT PROGRAMME**

# **India Urban Poverty Strategy (2013-17)**

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## TABLE OF CONTENTS

<b>Glossary and Abbreviations .....</b>	<b>4</b>
<b>Executive Summary .....</b>	<b>5</b>
<b>Urban Poverty in India .....</b>	<b>7</b>
<b>India’s Urban Sector: Current Programmes and Expected Policy Directions .....</b>	<b>9</b>
National Policies.....	9
Key National Programmes, Schemes and Missions(On going and Proposed) .....	11
XII Five Year Plan.....	15
<b>Key Sector Challenges, Opportunities and Policy Drivers .....</b>	<b>17</b>
A. Livelihoods and Economic Mobility .....	17
B. Land, Housing, Mobility and Infrastructure .....	18
C. Natural Resources and Sustainability .....	20
D. Disaster Resilience and Climate Change .....	21
E. Settlement Structure and Migration.....	22
F. Institutional Capacities and Governance .....	23
G. Human Development: Health, Education and Social Protection .....	24
H. Research and Public Data Sources .....	25
<b>UNDP and the Urban Sector.....</b>	<b>27</b>
Poverty Reduction.....	28
Democratic Governance .....	29
Crisis Prevention and Recovery.....	30
Environment and Energy.....	31
HIV and Development.....	32
<b>Potential Geographical Locations.....</b>	<b>33</b>
<b>Potential Partners .....</b>	<b>42</b>
UN Entities .....	42
Multilateral Development Agencies .....	43
Bi-Lateral Development Agencies.....	44
Private Foundations .....	45
<b>Stakeholder’ perception of UNDP’s Comparative Advantage in Urban Poverty .....</b>	<b>48</b>

<b>Partnerships and Joint programming .....</b>	<b>48</b>
<b>Potential Directions for Action.....</b>	<b>50</b>
Strategy Matrix .....	50
Results Framework .....	51
Locations .....	55
Partnerships .....	55
<b>List of References .....</b>	<b>56</b>
<b>Appendices .....</b>	<b>57</b>
Appendix 1: Urban Vs. Rural Poverty Head Count.....	57
Appendix 2: Settlement structure In India (1951-2011).....	58
Appendix 3: Migration Trends .....	59
Appendix 4: Inequality trends and wealth distribution in Rural vs. Urban .....	60
Appendix 5: List of Cities for which City-Specific plans are being prepared for Sarva Shiksha Abhiyaan by the Department of Elementary Education and Literacy .....	61
Appendix 6: GDP: Organised and Unorganised Sector Comparison.....	62
Appendix 7: Strategy Matrix .....	63
Appendix 8: Indicative State Multi-dimensional Poverty Mapping.....	64
Sample Poverty Analysis for 9 Indian States .....	65
Appendix 9: List of Participants at the Urban Poverty Consultation .....	66

## Glossary and Abbreviations

BSUP	Basic Services for the Urban Poor
CDP	City Development Plan
DFID	UK Aid Department For International Development
DoPT	Department of Personnel and Training
DPC	District Planning Committee
DPR	Detailed Project Report
EWS/LIG	Economically Weaker Section / Low-Income Group
GDP	Gross Domestic Product
HPEC	High Power Expert Committee
ICT	Information and Communications Technology
IHSDP	Integrated Housing and Slum Development Programme
IIHS	Indian Institute for Human Settlements
IIT/IIM	Indian Institute of Technology / Indian Institute for Management
JNNURM	Jawaharlal Nehru Urban Renewal Mission
MoHUPA	Ministry of Housing and Urban Poverty Alleviation
MoUD	Ministry of Urban Development, India
MSME	Micro, Small and Medium Enterprises
NCEUS	National Commission for Enterprises in the Unorganized Sector
NHUHP	National Housing and Urban Habitat Policy
NMSH	National Mission for Sustainable Habitats
NPUSV	National Policy on Urban Street Vendors
NREGA	Mahatma Gandhi National Rural Employment Guarantee Act
NUHM	National Urban Health Mission
NULM	National Urban Livelihoods Mission
NUPAM	National Urban Poverty Alleviation Mission
NUSP	National Urban Sanitation Policy
NUTP	National Urban Transport Policy
PPP	Public Private Partnership
RAY	Rajiv Awaas Yojna
SC/ST/OBC	Scheduled Caste/ Scheduled Tribe / Other Backward Class
SHG	Self Help Group
SJSRY	Swaran Jayanti Shahri Rozgar Yojna
SSA	Sarva Shiksha Abhiyaan
UIDSSMT	Urban Infrastructure Development Scheme for Small and Medium Towns
UIG	Urban Infrastructure and Governance
ULB	Urban Local Body
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme

## Executive Summary

Urban India produces over 60 per cent of its GDP, with less than a third of its population. The urban informal sector at quarter of total employment produces a quarter of India's GDP making it as important in scale and contribution to the economy as the formal sector. Yet, the urban sector is deeply underinvested, has shallow human and institutional depth and urban poverty has historically had very limited political and policy attention.

Urban poverty is multi-dimensional in scope; widening in numbers and deepening faster than rural poverty in India. Traditional uni-dimensional poverty reduction approaches that have had some success in rural India have and will fail in urban India. The governance, resources management and risk mitigation frames have a strong rural emphasis – making change even more difficult.

UNDP can lead in the creation of a new multi-dimensional and human development-centred entitlement framework and discourse to address urban poverty in the XII Plan. This will enable: significant increases in urban employment; the urban informal sector to grow faster and at higher productivity than the national economy; filling of institutional and knowledge gaps so that available resources and innovation can be deployed efficiently and scaled effectively. This would meet the inclusion, sustainability and growth imperatives of the Plan and help close structural gaps: between large villages and small towns; manufacturing and services-led development; rapidly developing and deeply vulnerable economic and social groups and regions.

UNDP could potentially work within five programme areas:

- 1) assistance in re-imagining **policy and strategic analysis**,
- 2) support to effective **national and state implementation programmes**,
- 3) development of cross-sectoral **institutional capacities**,
- 4) building multi-level national and South-South **knowledge partnerships**, and
- 5) celebrating **urban innovation**.

### PROGRAMME COMPONENTS

- 1) *Policy and Strategic Analysis*: Policy support at national, state and city levels to create a new multi-dimensional and human development-centred entitlement and implementation framework to address urban poverty. A potential output could be a national **Sustainable Urban Human Development Report** as a compilation of state and city level analysis. UNDP could lead on the development of a **multi-dimensional urban poverty index (MDPI)** and entitlement framework and policy dialogues around this.
- 2) *National & State Implementation Programmes*: UNDP could support the **NULM Secretariat** in mission design, implementation, monitoring and learning. It could also provide support at the state and ULB level for the **implementation of RAY and NULM**. It could support home-

grown **State implementation programmes** and enable the transfer and of successful components. Implementation support may also be provided at the **city level**.

- 3) *Cross-sectoral Institutional Development*: UNDP could strategically support **institutional capacity development in lead national and State Ministries**, and **training and education institutions**, to help define, design, implement and review people-centric urban poverty strategies with a strong human development focus. It could also promote the development and training of **urban municipal cadres**; provide support to **build State and ULB Knowledge Centres** and linking them across different regions.
- 4) *Multi-level Knowledge Partnerships*: UNDP could support the MoHUPA in producing their next **Urban Poverty Report**, with a significant emphasis on MDPI and a human development-centred urban entitlement framework. Support to appropriate **urban poverty and development data systems** at the national, state and city levels could be integrated with MDPI using an **Urban Poverty Dashboard**.
- 5) *Urban Innovations*: UNDP could curate, help test and scale urban poverty reduction innovations across a range of chosen cities and states. This could be supported by a city and state **award for sustainable urban human development and poverty reduction**. UNDP could also promote national and international **Exchange Events and Festivals** to learn from greater inter-city, inter-regional and South-South engagement, as along with engaging with local communities, students, media and artists.

## LOCATIONS

UNDP's unique opportunity is building the missing links between ULBs, state and national government while spanning the gap between urban and rural areas, with an emphasis on small and medium towns where much of the urban poverty vulnerability is concentrated and the incremental development of human capacity is probably the highest. It would do this in the 9 current UNDAF focus states, but consider others whose MDPIs are worse and have demonstrated a political and institutional will to address urban development and poverty.

## PARTNERSHIPS

UNDP has the credibility and convening power to bring together national, state and city-level institutions for affecting the policy debate around urban poverty at a larger and deeper context. This is best done by building on the experience of its poverty, governance, resources, health and risk programmes. UNDP will need to focus its institutional capacities on a few states and cities and leverage partnerships with other UN agencies, multi and bilateral donors, foundations and corporates for programme and funding support. Strong innovation and knowledge partnerships with Universities, CSOs, think tanks, students, creative communities and civil societies would help deepen institutional capacity and accelerate more formal processes.

## URBAN POVERTY STRATEGY FOR UNDP (2013-17)

### Urban Poverty in India

Urban poverty in India is currently identified on the basis of levels of consumption, linked to a minimum calorific intake. It is, however, widely agreed that the nature of deprivation suffered by the urban poor in India is multi-dimensional. From a human development perspective, the urban poor not only suffer from systematic exclusion and insecurity of livelihoods and tenure; deprivation of basic needs such as food, safe water and sanitation and shelter; but are also often denied access to other entitlements including quality education and healthcare and financial services.

The proportion of India's poor in the total population has fallen both in urban and rural areas, especially during the 2000s. However, the absolute number of the urban poor is increasing<sup>1</sup>. In addition, inequality in urban areas is typically higher than in most rural areas (Appendix 1). Since the 1970s, inequality has been increasing in urban areas while it has remained relatively stable in rural areas<sup>2</sup>. Recent evidence indicates that inequality has begun to adversely affect urban poverty reduction<sup>3</sup>. The depth of poverty (as measured by the poverty gap) is higher in urban areas when compared to rural areas<sup>4</sup>. In Indian cities, the incidence and depth of poverty varies with city size, nature of employment, gender, migration status, caste, and levels of education (Thorat & Dubey, 2012; Kundu & Sarangi, 2007; Rustagi, Sarkar, & Joddar, 2009).

Concentrations of poverty are associated with informal settlements and 'slums' leading to the assumption that large million plus cities with visible slums have higher concentrations of poverty. Million plus cities are indeed home to 42% of the slum population. However, the majority of the poor are concentrated in medium and small towns, with 85% of the urban poor residing in cities with populations less than one million<sup>5</sup>. The mean poverty level in small towns (those with 50,000 or less people) was estimated to be 24% in 1999-2000, whereas for medium cities (those with population between 50,000 and 1 million) it was 20%, and for million plus cities it was 14%<sup>6</sup>.

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<sup>1</sup> Urban India 2011 : Evidence, IIHS Publication, based on Planning Commission (2008)

<sup>2</sup> Report of the Working Group on Urban Poverty, Slums and Service Delivery System in the context of formulation of the XII Five Year Plan, 2012-17 (September 2011)

<sup>3</sup> Thorat and Dubey, "Has Growth been Socially Inclusive during 1993-94 and 2009-10?", EPW March 2012

<sup>4</sup> O.P. Mathur, National Urban Poverty Reduction Strategy 2010 - 2021, NIPFP, July 2009

<sup>5</sup> Data on poverty from Lanjouw and Murgai (2011), based on NSS data and urban population as of 2001 Census. Data on slums from Mathur (2009) based on Census 2001 data.

<sup>6</sup> Kundu and Sarangi (2007). "Migration, Employment Status and Poverty : An analysis across Urban Centres"

In terms of employment, the extent of informality in urban employment is high at around 70%. It has remained largely unchanged over the course of the past decade. Almost 60% of total urban employed are wage workers, and 67% of this category are informal wage workers<sup>7</sup>. Casual workers report the highest levels of poverty, even when compared to those who are “enumerated as unemployed” in medium and small towns<sup>8</sup>. Within urban poor households, there was a shift away from regular salaried or wage earners towards self-employed and casual labour between 1993-94 and 2004-05<sup>9</sup>. The shift from regular employment to self-employment or casual labour was especially severe for urban female casual workers<sup>10</sup>. Contrary to common belief, rural-urban migrants have a lower probability of being poor than the non-migrant population, and the urban to urban migrants are least likely to be poor<sup>11</sup>.

Urban poverty rates vary significantly by social group: the SCs in urban areas have the highest poverty rate, followed by STs, then OBCs and finally the Forward Castes<sup>12</sup>. Urban SCs, STs and OBCs have higher poverty rates than the average for all groups in urban areas, and Forward Castes have lower poverty rates than average<sup>13</sup>. However, Mukim and Panagariya also find that during the period between 1983 and 2004-05, urban poverty has declined for SC and ST groups as much as it has for the forward castes, thereby refuting the claim that growth has bypassed socially disadvantaged groups (Appendix 4).

Wealth distribution in urban areas demonstrates greater inequality than wealth distribution in rural areas. Traditional caste hierarchies of rural India appear to be reproducing themselves in urban India, contrary to popular perception<sup>14</sup>. India has a weak and fragmented urban social safety net, in spite of changes in poverty, inequality and informality over the 2000s. The complexity of the roles and connections between the multiple institutions often involved obscures clear analysis on entitlements and delivery mechanisms. The urban poor are prone to greater impacts of natural and man-made disasters, primarily due to their ambiguous identities, socio-economic vulnerability, poor living and working conditions and deep asymmetries in access to information, public services, resources and institutional systems that are more readily available to other urban residents.

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<sup>7</sup> Urban India 2011: Evidence, IIHS Publication, based on Chen, Martha A., and G. Raveendran, 2011. "Urban Employment in India: Recent Trends and Patterns"

<sup>8</sup> Kundu and Sarangi (2007). *"Migration, Employment Status and Poverty : An analysis across Urban Centres"*

<sup>9</sup> India Urban Poverty Report (2009). "Gender Dimensions of Urban Poverty", Rustagi, Sarkar, and Joddar.

<sup>10</sup> Ibid.

<sup>11</sup> Kundu and Sarangi (2007). *"Migration, Employment Status and Poverty : An analysis across Urban Centres"*

<sup>12</sup> Mukim and Panagariya (2011). "Growth, Openness and the Socially Disadvantaged". Columbia Program on Indian Economic Policies, Working Paper No 2011-6.

<sup>13</sup> Ibid.

<sup>14</sup> Urban India 2011: Evidence, IIHS Publication, based on Zacharias and Vakulabharanam (2011) based on All-India Debt and Investment Survey, 2002-3.

## India's Urban Sector: Current Programmes and Expected Policy Directions

It is only recently that policy makers in India realised that urban centres were increasingly important for India's growth, as the urban share of economic output crossed the halfway mark. Thus, with inclusive growth becoming the mantra of Indian development policy, after focussing development and public investment predominantly on rural areas, the last decade has seen an expansion of policy interest in urban areas and as a corollary urban poverty.

Awatershed in this process, after a decade and a half of hiatus was the JNNURM (Jawaharlal Nehru Urban Renewal Mission), in a flagship programme primarily focussed on infrastructure with some attention to housing and services for the urban poor. It envisioned Indian cities to be the locus and engine of economic growth over the next two decades. Substantial funding was earmarked for the JNNURM in the XI Five Year Plan. Other parallel and supportive programmes of over ₹20,000 crore were launched by the Govt. of India. Some states also initiated policy and programmatic interventions to address urban development in general and urban poverty in particular.

This section briefly summarises the key national policies and programmes that have emerged in the urban sector in the decade of 2000's or so.

### National Policies

- A. **National Urban Transport Policy (NUTP), 2006:** The NUTP stressed the key role of effective transportation systems in enabling improved quality of life in Indian cities, and highlighted the importance of equity in transportation systems. It recommended promoting integrated land use and transport planning, cleaner technology and a priority to public transport. A concern for the urban poor appears via equitable road space distribution, priority to non-motorised vehicles and reduced fares for public transport. It places the needs of pedestrians and cyclists (a majority of whom are the urban poor) at the centre of urban transport planning.
- B. **National Urban Sanitation Policy (NUSP), 2007:** The NUSP promoted the twin goals of public health and environmental sustainability, through provisioning of adequate and appropriate sanitation to all. It stressed on universal coverage and treatment of waste, but did not stipulate a particular method. It also recommended looking beyond conventional sewerage systems, stressed process, and recommended constitution of a

City Sanitation Task Force and preparation of City Sanitation Plans for each city, and State Urban Sanitation Strategy. The policy addresses the needs of the urban poor by highlighting the disease burden caused by inadequate sanitation, and puts as its top priority universal coverage of all urban residents, including homeless.

- C. **National Housing and Urban Habitat Policy (NHUHP), 2007:** The goal of this policy is to provide affordable housing for all, given the background of unplanned urbanisation and growing urban poverty. It highlights the mismatch between demand and supply of housing, and points out that 99% of the housing shortage is in EWS and LIG categories. Linked aims of the policy are improving urban planning, increasing supply of land and housing, providing healthy environments and ensuring special provisions for variously disadvantaged groups. It lays out various reforms and action points for different set of state actors.
  
- D. **National Policy on Urban Street Vendors (NPUSV), 2009:** The policy seeks to provide and promote a supportive livelihood environment to the street vendors, and ensure absence of congestion and maintenance of hygiene in public spaces and streets. The policy is meant to 1) give vendors legal status by amending, enacting, repealing and implementing appropriate laws and providing legitimate hawking zones in urban development/ zoning plans, 2) provide facilities for appropriate use of identified space, 3) eschew imposing numerical limits on access to public spaces by discretionary licenses and instead moving to nominal fee-based regulation of access, 4) make Street vendors a special component of urban development/zoning plans, 5) promote self-compliance amongst Street vendors, 6) promote organizations of street vendors, 7) set up participatory mechanisms with representation by vendors' organizations, 8) take measures to promote a better future for child vendors by making appropriate interventions for their rehabilitation and schooling, and 9) facilitate/ promote social security and access to credit.

Urban concerns also appear as a sub-component of other sectoral policies like the National Water Policy.

## Key National Programmes, Schemes and Missions(On going and Proposed)

- A. **Sarva Shiksha Abhiyaan (SSA), 2004:** Sarva Shiksha Abhiyan (SSA) is Government of India's flagship programme for achievement of Universalization of Elementary Education (UEE) in a time bound manner, as mandated by 86th Constitutional amendment making free and compulsory education to children in 6-14 year age group, a Fundamental Right. SSA is being implemented in partnership with State Governments to cover the entire country and address the needs of 192 million children in 1.1 million habitations.

The Department of Elementary Education and Literacy, MHRD has identified 35 million plus cities as priority for effective SSA planning. These cities spread in 15 states across the country (Annexure 5). Initiatives taken under this mission in urban areas:

- Formulation of urban resource groups and urban cells at state & district level.
- Additional deployment and rationalization of teachers
- Rationalization/relocation of schools, multi-storey construction
- Conducting survey for identification and enrollment of children in difficult circumstance
- Involving NGOs in survey, AIE, community mobilization etc.
- Developing child line and forming children's collectives and support groups
- Developing smaller unit for urban planning
- Enhancing coordination and convergence among different service providers.
- Capacity building of SSA functionaries
- Sharing of best practices among the districts & states
- Covering migrant children through various innovative strategies/interventions
- Developing individual child profile
- Coordinating between inter & intra states

- B. **Jawaharlal Nehru Urban Renewal Mission (JNNURM), 2005:** The Jawaharlal Nehru National Urban Renewal Mission (JNNURM) is an on going seven year flagship programme, launched by the Government of India in December 2005 with the objective of leading a reforms driven, accelerated development of Indian cities with a particular focus on urban infrastructure (MoUD, 2011).

JNNURM two sub-missions: Urban Infrastructure and Governance (UIG) and Basic Services for the Urban Poor (BSUP) that focus on 65 million plus cities and the cities of religious, historic, and tourist importance. Other medium and small towns in the

country are covered by the UIDSSMT (Urban Infrastructure Development Scheme for Small and Medium Towns) and the IHSDP (Integrated Housing and Slum Development Programme). These sub-missions and programs subsume the erstwhile AUWSP, IDSMT under UIG and UIDSSMT, and VAMBAY, NSDP under BSUP and IHSDP programme (MoHUPA, 2012).

The main thrust of the UIG and UIDSSMT is on financing major infrastructure projects relating to water supply, sewerage, drainage, solid waste management, road network, urban transport and redevelopment of inner (old) city areas. BSUP and IHSDP, on the other hand, focus on the development of slums through projects to provide shelter, basic services and other related civic amenities to providing utilities to the urban poor.

A substantial investment of about ₹ 50,000 crore was earmarked by the GoI which was expected to be matched by funding from States and cities<sup>15</sup>. About ₹ 60,000 crore from GoI was allocated till October 2011, of which ₹ 33,234 crore was released.

JNNURM was launched to respond to the investment requirements. In a departure from earlier schemes, the government linked central assistance to a set of reforms, in order to ensure implementation of the 74th Constitutional Amendment, increase efficiency in urban service delivery, and increase accountability of ULBs and Parastatal agencies. There were a set of mandatory reforms both for the state government and the ULB, and an additional set of optional reforms for the latter to implement.

Thus JNNURM was also focussed on improving urban governance. The 63 mission cities were required to prepare a comprehensive City Development Plan (CDP) and also Detailed Project Reports (DPR). The non-mission cities were not required to prepare a CDP, but had to submit a DPR to access funding.

The Govt. of India has announced the intention of launching a new phase of JNNURM in this XII Five Year Plan. Details are still in development. In all likelihood, this will draw heavily from the High Power Expert Committee (HPEC) report and the XII Plan Working Group and consultation process.

The HPEC reports commends the JNNURM for its emphasis on the urban sector, which has been long neglected. It also highlights that it was a new experience for ULB's to successfully implement large scale projects. It however, points out a number of shortcomings of JNNURM: lack of capacity of most ULBs, failure of the CDP process in

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<sup>15</sup>The commitment of Central Assistance was enhanced by Rs. 16,500 Crore in 2005-06 (MoUD, JNNURM Annual Update, 2008-2009).

many cities, lack of implementation of reforms, poor community participation and limited success with PPP.

The HPEC lays out a 20-year roadmap for a successor to the JNNURM that it would be accessible to all cities. It highlights the need for differential treatment of cities, depending on their financial health and stresses the need for capacity creation. It also lays out a detailed set of reforms for various tiers of government. The Committee has estimated the funding requirement of ₹39 lakh crore spread over 25 years; an increase of 65 % in scale over the current JNNURM.

- C. **Capacity Building Scheme for Urban Local Bodies (CBULB), 2009:** Strengthening of urban local governments through capacity building and better financial management was identified as a key strategy for the urban development in the XI Plan. The MoUD launched this scheme in view to support this objective. The scheme covers a wide range of activities with respect to Capacity Building like setting up of Centres of Excellence, addressing specific gaps in Urban Planning, Preparation of CDPs, DPRs, Implementation of Property Tax Reforms, e-Governance, Accounting Reforms, etc.

States that submitted their proposal to request for support in the 2009-10 cycle were : Kerala, Karnataka, Chhattisgarh, Orissa, Madhya Pradesh and Jharkhand for Capacity Building; Kerala, Karnataka, Chhattisgarh, Orissa, Maharashtra, Madhya Pradesh, Uttar Pradesh, Uttarakhand, and Andhra Pradesh for City Sanitation Plans; and Kerala, Karnataka, Chhattisgarh , Orissa, Maharashtra, Andhra Pradesh, Punjab and Delhi for Information System Improvement Plan (ISIP).

- D. **Rajiv Aavas Yojana (RAY), 2011:** The Ministry of Housing and Urban Poverty Alleviation (MoHUPA) launched RAY in 2009 with a vision of a “Slum free India”, with the aim of tackling the challenge of slums and accessible shelter in urban areas. An ongoing program, it hopes to bring slum redevelopment within the formal system, address current gap of the formal housing delivery, and tackle the challenge of shortage of land and housing.

RAY lays down conditionalities for the States to access funding through RAY; especially security of tenure and legal title to the poor. It also stresses the implementation of three pro-poor reforms under JNNURM: internal earmarking within local body budgets for basic services to the urban poor; provision of basic services to urban poor, and earmarking at least 20-25% of developed land in all housing projects (both public and

private agencies) for EWS and LIG housing. This also requires each State to prepare a Plan of Action for Slum Free Cities, and a specific plan for identified cities.

The Gol would provide financial and technical support under the RAY. The RAY lays out a process methodology, but it is agnostic about specific solutions, and encourages a range of models from in-situ slum up gradation to low cost housing.

- E. ***National Mission for Sustainable Habitat (NMSH), 2008***: Approved in 2010, NMSH is one of the missions under the Prime Minister's National Action Plan for Climate Change. It was launched by the Ministry of Urban Development in order to promote energy efficiency as an integral component of urban planning and urban renewal and aims to make each habitat sustainable. The Mission seeks to bring in habitat sustainability through improvements in the following broad areas:

- Energy efficiency in buildings
- Urban Planning
- Improved management of solid and liquid waste
- Public transport
- Climate change and disaster mitigation and adaptation.

The focus of the mission is on adaptation to future climate change by improving the resilience of infrastructure, community based disaster management, and measures for improving the warning system for extreme weather events. The mission is to be implemented via changes in the legal and regulatory framework, pilot and demonstration projects in these areas and capacity building. The funding envelope for this mission is unclear, but it is expected to be lower than those that will flow through the JNNURM successor programme.

- F. ***National Urban Livelihoods Mission (NULM), underdevelopment***: The Ministry of Housing and Urban Poverty Alleviation (MoHUPA) has proposed launching the National Urban Livelihoods Missions (NULM), which would replace the existing SJSRY from the beginning of the XII Plan. The Mission is a response to the focus accorded to "livelihoods and skill development of the occupationally vulnerable among the urban poor" in the XII Plan. The Mission would have four sub-components:

- Social Mobilization and Institution Development: Here, the focus is on building community institutions of the urban poor, assistance in setting up SHGs and their federations, and extending support for universal financial inclusion
- Capacity Building and Training: Providing support for capacity building through a network of Aadhar kendras or Service centres at city level
- Employment through Skill Training and Placement: Assisting in skill training for self-employment and for wage employment
- Self-Employment Programs: Technology, marketing and other support in setting up individual and group enterprises.

The target for the XII Plan period is to reach 5 million people with skills training and placement, 1 million for group and individual self-employment, and an additional 1 million for coverage under Self-Help Groups (SHGs).

G. **National Urban Health Mission (NUHM), under development:** The National Urban Health Mission, which has been launched by the Ministry of Health and Family Welfare, would aim to address the health concerns of the urban poor by facilitating equitable access to available health facilities by rationalising and strengthening the existing capacity of health delivery for improving health status of the urban poor. During the mission, 640 cities would be covered, in partnership with the NRHM's efforts to ensure that there is no duplication of services. NUHM intends to focus on:

- Urban poor living in listed and unlisted slums
- All other vulnerable population (homeless, street children, construction workers, sex workers, rickshaw pullers, rag-pickers and other temporary migrant workers).
- Sanitation, clean drinking water, vector control, etc.
- Strengthening Public health capacity of ULBs.

### **XII Five Year Plan**

The Approach Paper to the XII Five Year Plan (PC, 2011) recognises the potential of Indian urbanisation to enable growth and employment creation, along with the potential for synergistic rural-urban linkages. It also highlights the severity of urban India's challenges, and hence places a high priority on urban development, around the following themes:

- Stepping up investment in new urban infrastructure assets and maintenance of assets.
- Strengthening urban governance

- Strengthening 'soft' infrastructure along with building hard infrastructure
- Giving adequate emphasis to the long-term urban planning and not limiting interventions to urban renewal
- Addressing the basic needs of the urban poor
- Ensuring the environmental sustainability of urban development

Key intervention areas identified by the Planning Commission include long-term urban and regional planning, strengthening of urban infrastructure, health and housing, employment generation and skills development. It also stresses the needs of the poor to be given primacy. The expected outcomes are accommodation of migrants from rural India in urban areas, expansion of manufacturing and modern services sector and job creation, development of Science and Technology led sectors, enhancements of tourist potential and reduction in the geographical spread of slums and the number of slum dwellers. The policy instruments identified to deliver these outcomes are improved and enhanced planning, governance, capacity building, and financing.

The needs of the urban poor are also addressed in various XII Plan Working groups. The Working Group on Water and Sanitation lays down universal access to drinking water and sanitation as one of its top priorities. Initiatives proposed by the Working Group on Urban Poverty include the National Urban Poverty Alleviation Mission (NUPAM), Rajiv Awaas Yojana (RAY), and the National Urban Livelihood Programme. The Working Group on Urban Transport stresses favourable conditions for walking and cycling, which will reduce the vulnerability of the urban poor.

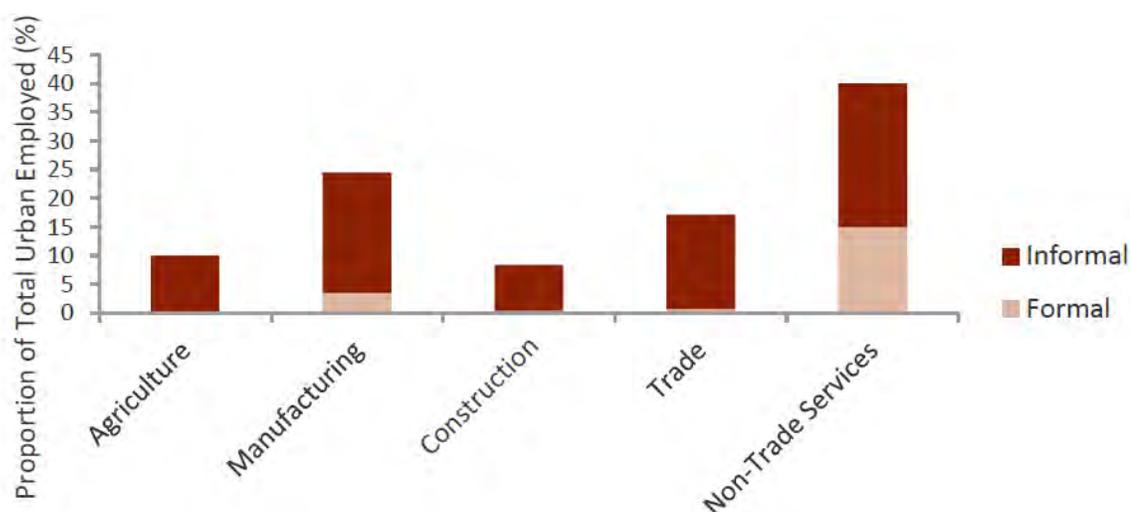
### **Key Policy Gaps**

The most serious urban policy challenges, given India's fiscal-federal frame lie at the boundaries of the Central and State governments and the State & Municipal government. The slow implementation of the 74<sup>th</sup> Constitutional Amendment in urban areas, compared to the development of PRIs in rural areas has not helped the process of devolution and capacity creation. In addition the multi-sectoral nature of most urban development interventions is a serious constraint to effective implementation because of the tightly defined sectoral jurisdictions at all three levels of governance. Hence, initiatives to address policy and regulatory gaps including regulation of land and housing markets; universal service provision; livelihood protection and creation of a comprehensive social safety net that spans the urban, peri-urban and rural are difficult to initiate without coordination between central and state governments, municipal and para-statal agencies and with an increasing emphasis on PPP on both the private and civil society agencies. UNDP could play an important role in facilitation such conversations.

## Key Sector Challenges, Opportunities and Policy Drivers

### A. Livelihoods and Economic Mobility

The estimated addition to the urban labour force between 2012 and 2017 is 16 million people. By 2017 a large proportion of this workforce illiterate and the incidence of the least educated will be considerably higher among women than among men.<sup>16</sup>It will be a huge challenge for policymakers to absorb these large numbers of employment seekers into the work force. In the absence of opportunities in the formal sector, employment and self-employment in the urban informal sector has been growing over the last few decades.



Graph 1: Urban Employment classified by industry: Informal sector share (1999-2009)

(Source :Urban India 2011 : Evidence, IIHS Publication, based on Chen, Martha A., and G. Raveendran, 2011)

Currently, the urban informal economy produces about the same proportion of India's GDP (about one fourth) as the urban formal economy (see appendix 6). However, it employs about 25% of its work force, whereas the formal sector employs only 5%.<sup>17</sup>The urban formal sector has not witnessed much employment growth, but most government policy and infrastructure investments tend to benefit this sector. On the other hand, the informal sector is poorly recognized in terms of policy, entitlements, public programmes and investment, making it harder for the poor and self-employed to work their way out of vulnerability and poverty.

<sup>16</sup> NCEUS report of 2009

<sup>17</sup> ibid

So far, the GoI policies on livelihoods have predominantly focused on rural areas through large entitlements-based programs like MGNREGA and the NRLM. Since the nature of employment, mobility and spatial concentration differs significantly in urban areas, a direct translation of these programs to the urban will be extremely challenging. Currently, the urban-focussed SJSRY has addressed urban poverty via a focus on employment for the urban poor, skills training and assistance in self-employment or obtaining wage-employment. The SJSRY is soon to be subsumed under the recently announced NULM, which will address the urban livelihoods question in mission mode. In addition to the traditional skills training offered by SJSRY, the NULM aims to form associations of the urban poor and provide assistance for the formation of Self-Help Groups in order to enable the poor to form enterprises and to break out of the poverty cycle.

The NCEUS report of 2009 provided policy-makers an opportunity to re-think conventional approaches to informality, employment, and poverty. While the report led to a number of sectoral investments and new legislation to protect informal workers, a coordinated and large-scale response to urban livelihoods has been weak and long delayed. Recognizing the gap between the market demand and supply for particular skills, private stakeholders, both large and small, have entered this space and are trying to tailor their skill training programs based on market demand. UNDP and the GoI would need to take cognisance of this new development.

## **B. Land, Housing, Mobility and Infrastructure**

At the end of the X Plan Period, there was an estimated housing shortage of 25 million housing units. Of this 99% of the shortage was estimated to be in the Economically Weaker Sections (EWS) and Low Income Groups (LIG) sectors. A large section of urban poor continue to live in sub-standard housing, with no or little access to services. There have been a range of initiatives from government and multilateral and bilateral donors to address the vexed issue of adequate housing: from slum up-gradation to low income housing, each with their own set of challenges (Hingorani, 2011). However, the core issues of tenure security and property rights remain central to an effective policy response.

Land remains one of the conflicted issues in urban India. If poor households do not have requisite property rights or tenure security, they are extremely vulnerable, and are prone to be evicted or resettled via planning and legal processes and infrastructure projects. On the other hand, huge chunks of government land are being sold and leased to the private companies, driven by a new focus on PPP in infrastructure. Once this land

is given to private or public-private entities, they are often excluded from the planning & regulatory mechanisms (e.g. byelaws and master plans).

The Rajiv Awas Yojana (RAY) Programme begins to address some of these challenges by endorsing a range of delivery and support models from in-situ up-gradation to low cost housing as a possible solution to housing the poor. It also recognizes the centrality of property rights by making it mandatory for each State to legislate a Property Rights Bill. The success of RAY will depend on how State governments take the initiative to enact legislation to ensure tenure security.

The other key issue is the proximity between the residential areas and the areas that offer employment opportunities. Much of the urban poor work in the informal sector, and their livelihood is often dependent on proximity to commercial and residential work spaces. There is often a trade-off involved in staying in overcrowded, unhealthy but centrally located places, or more secure dwellings in faraway places. Most of the working poor choose central locations because most Indian cities do not have an effective public transport system, or the poor cannot afford to spend on existing transportation, and prefer to walk or cycle (Tiwari, 2002).

This link between housing, livelihoods and mobility is often not appreciated at city and state levels. The urban poor have often been pushed to the urban periphery, either through forced displacements or through relocation. Housing schemes for the poor that have relocated them to the peripheries often have not worked, as they often move back to a location closer to sources of employment, thus choosing an adequate livelihood over better living conditions. The challenge of providing shelter to the poor is thus, not only a technological or financial matter of providing enough houses, but calls for a fundamental re-examination of Indian urban spatial planning.

Though issues of shelter and basic services are closely linked, access to basic services comes with its own set of challenges, which needs to be seen within a larger context of environmental justice, as discussed in the next section.

There has been a historical divide between programmes and interventions to provide city-wide infrastructure and those that enable universal coverage of services to the urban poor. This is reflected in the design of JNNURM, where the sub-schemes providing basic services, typically function independently of the schemes for city-wide infrastructure. This implies that even with the JNNURM frame the needs of the poor are not adequately taken into account while designing city wide infrastructure. Adequate attention is not given to how households will be connected to citywide infrastructure making some of these investments redundant. Examples include: laying

down trunk sewers, which do not operate due to inadequate volumes as households have not connected to them, or transport planning that gives attention to cars, but not to affordable public transportation systems. It is the lack of these - land, housing, and other infrastructure – that further lead to lack of productivity and tie up with the livelihood challenge.

### **C. Natural Resources and Sustainability**

Sustainability and human development converge their aim of redistributive justice (UNDP, 2011). Hence, it is imperative to examine urban poverty through a sustainability lens as it is being increasingly realised that human rights are tied to the environment, and any environmental intervention has an impact on human rights (OCHR and UNEP, 2012). The principle of intra-generational equity is as important as that of inter-generational equity. Hence, the goals of environment and human development do not always align, leading to complex policy trade-offs.

The urban poor often have a double cross to bear, as far as environmental risks and burdens are concerned. They often suffer from local environmental problems (e.g. indoor pollution), and do not have sufficient resources and capacities to reduce their exposure and vulnerability. The poor contribute minimally for city wide environmental change e.g. air and surface water pollution or global environmental risk (e.g. global warming). Yet they often, directly or indirectly bear the bulk of the differential burden for them. Emission of pollutants, solid waste, and treatment of sewage all affect health burden. It is important to understand these complex pathways through which the urban poor are affected. Some of the specific concerns related to access to natural resources and environment are described below.

There is often severe disparity in access to urban services. As an example, the urban poor often need to purchase water at a higher price than the better off. They often have little or limited access to clean water and adequate sanitation facilities, leading to huge health burdens and shocks pushing them into poverty. The urban poor in India are also exposed to increased health risks as slums and low income settlements are often located in vulnerable locations like flood banks of rivers, along drains and in marshy land.

Apart from limited access to environmental services (water, sanitation, solid waste disposal et al.), the urban poor are an increasing risk of malnutrition. There has been a global reduction in food output since the 1970's and food prices are further expected to rise in the coming decade due to adverse environmental factors (UNDP, 2011). While maintaining food sufficiency has been one of India's successes, there still remain a

considerable proportion of malnourished urban residents, especially children. A complex set of factors like rising urban inequality, significant underinvestment in urban health and nutrition services, an increasingly insecure workforce continue to contribute to food insecurity in urban India (Athreya, V.B et al.). Moreover, levels of food security are likely to go down due to lack of availability, soil fertility loss and possibly changes induced by climate change. (Revi et al., 2010)

Access to energy is another constraint faced by the urban poor. India is faced with the dual challenge of providing universal access to basic energy services along with an attempt to containing its carbon emissions over the next two decades. Most urban poor still have access only to a mix of scarce biofuels and poor quality power with faltering electricity supply. Moreover, the energy challenges of poor households are not restricted to electricity access, but also to appropriate cooking fuels as dependence on biomass or kerosene stoves in many households. There are therefore substantial health impacts of indoor air pollution on poor households and specifically women.

#### **D. Disaster Resilience and Climate Change**

The predominant approach to disaster management in India till the mid-1990s focused on post disaster response and relief, leading to the creation of a Calamity Relief Fund (CRF) at national level, relief commissioners at state level and the primary responsibility residing with the collectors at district level.

The prevailing sectoral and response-driven approach began to give way to a more holistic prevention-based approach during the International Decade for Natural Disaster Reduction (IDNDR) 1990-2000. Early initiatives included the preparation of Vulnerability Atlas of India, establishment of a National Centre for Disaster Management (NCDM) in New Delhi, and upgrading of India's early warning system.

The shifting paradigm has recently been institutionalized through a National Disaster Management Framework (NDMF) which highlights the 'interdependence of economy, environment, and development and links the issues of poverty alleviation, capacity building, and community empowerment as well as other structural and non-structural issues of prevention and preparedness, response and recovery for effective disaster risk mitigation and management (Chakrabarti 2006).

The National Disaster Management Act 2005 provided the legal and institutional framework for the effective management of disasters through development of an institutional structure at national, state and local levels. As a result, National Disaster

Management Authority (NDMA) and National Executive Committee (NEC) were set up and National Policy on Disaster Management was formulated.

In spite of these shifts in approach, current Indian disaster risk management systems have been largely reactive. Moreover, the focus has been predominantly rural. Disaster risk reduction of rapidly urbanizing settlements especially metropolitan regions and megacities is an increasing challenge that is bound to grow with increased economic development. The inter-linkages between urban, peri-urban and rural disaster management initiatives are seldom recognized and addressed in planning, techno-legal and institutional responses.

India's focus has largely been on natural hazards such as earthquakes, floods and cyclones. A lot more needs to be done in the area of technological disasters as well as terrorism and communal strife, which could pose high risks in the future with rapid economic growth, urbanization and resulting social change. Community-based security would be vital for reducing vulnerability especially for the underprivileged and minority communities.

Effective disaster risk reduction would necessitate actions that go beyond mere institutional and management systems. These would need addressing vulnerabilities that are distributed unevenly across geographical locations and strongly concentrated in urban areas – particularly informal settlements.

The need for climate change adaptation has created a new emphasis on long-term resilience and the challenges both at community and neighbourhood scale, as well as city-wide investment, infrastructure locational and technological choices. Urban India's tremendous opportunity is the joining-up of the development, disaster risk reduction and climate adaptation agendas (Revi, 2007).

## **E. Settlement Structure and Migration**

The evolution of India's entire settlement structure (across villages, small towns and cities) since Independence, has led to a population distribution has a high concentration in the "million-plus" cities and a very long decentralised tail. The 2011 Census estimated about 8,000 urban centres, situated in a sea of over 6,60,000 villages. Evidence<sup>18</sup> shows a decline in the number of people (and proportion) living in hamlets and small villages, partially because of population growth, but also because of the clustering and agglomeration of settlements as transport networks increased their coverage and

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<sup>18</sup>Urban India 2011 : Evidence, IIHS Publication, based on Census of India (2001)

settlement sizes grew. The analysis shows that the most significant change is in the proportion of the smallest and the largest cities.

Two striking questions emerge: the distribution of both India's urban and rural population across settlement size class over the next half century as we move from a rural-agrarian to an urban-industrial/services-led economy. The second is the impact of the 'greyzone' between Class IV to VI towns (with <5,000-20,000 population) and the large fraction of rural population who live in villages that have more than 5,000 people and have an increasing urban character. There are about 80-140 million people estimated to be living in this type of settlement. Shifting toward defining these areas as urban would mean a rise in India's level of urbanisation to 40% or above, but a loss of current rural entitlements and an increased burden of urban taxation. It is between the medium and small towns and this grey zone of large villages that the success of India's new manufacturing, livelihood and skill building policies will be sorely tested (IIHS, 2011).

A commonly held perception is that explosive rural to urban migration is the primary cause for the state of India's cities. However the evidence of the last 30 years shows that rural-urban migration has contributed about 20 per cent to the incremental urban population, while natural urban growth still contributes about 60 per cent. The rest is due to new town formation and reclassification, urban boundary expansion or more recently urban sprawl.<sup>19</sup> According to Kundu (2007), non-migrants in urban areas are more likely to be poorer than "rural-to-urban" migrants and the least likely are the "urban-to-urban" migrants. Moreover, the states that attract most number of inbound migrants (Delhi, Maharashtra, Uttar Pradesh, Haryana and Andhra Pradesh) into their urban areas are also the ones with higher GSDPs (gross state domestic products).

Kundu argues that migration could be directly correlated to development and should ideally be encouraged. But current policies and programmes implicitly deter migration from rural into urban. The rural-centric public policies and allocation of budgets create a huge imbalance between the rural and urban investments. This in turn provides a massive resistance to move from rural areas to more urbanised locations that have greater employment, education and sometimes social opportunities.

## **F. Institutional Capacities and Governance**

Governance of the urban sector is a vexed challenge from the neighbourhood to the scale of the metropolitan region. As the 20th anniversary of the passage of the 74th Constitutional Amendment approaches, the slow progress of urban decentralisation is a

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<sup>19</sup>Urban India 2011 : Evidence, IIHS Publication, based on Planning Commission (2008)

serious concern. The regulatory frame is underdeveloped both at state and city level and remains insufficient to regulate the functioning of land and labour markets, basic services and the delivery of public goods. The PPP frame that the XI and XII Plan financing of large scale infrastructure investment is hinged on, has only been weakly tested in the XI Plan period.

Institutional capacity is a binding constraint to implementation, delivery and reform that are expected to deliver better services and other services to the poor. A rapid expansion of educational and training capacity countrywide is imperative to close the deficit over the next 10-20 years. Some of the key challenges also identified in the consultation are:

- Lack of urban sector professionals, particularly at the State level (within Govt. and at interface levels) – Multi-disciplinary urban professionals are needed. A scarcity of educational / academic institutions to help fill this gap.
- States lack the capacity to spend the money received from JNNURM, RAY, and SJSRY. Need to build local capacities on:
  - Handling PPPs
  - Raising revenues through property tax, for instance
  - Accountability
  - Models of good governance and decentralization
  - Planning
  - Procurement
- Build capacity of (1) planners & researchers, (2) policy/decision makers. The first set suffers a shortage of data and flexibility in planning and implementation. The second needs information and capacity for mid-course correction within a programme/plan/scheme.
- Community engagement in policy, planning and programme development and understanding how community participation leads to empowerment.
- Capacity building exercises to be conducted in the language of local administrators (councillors, mayors, etc.) using simple vocabulary.
- Private partnerships – modalities (e.g. institutional frameworks and training) need to be explored.

#### **G. Human Development: Health, Education and Social Protection**

The Indian development discourses have expanded beyond the traditional focus on economic growth to include human development and people's basic needs, such as their standard of living, education, and health care. It is now universally accepted that these different dimensions of human development play an important role in shaping personal well being, which in turn affects development.

While amelioration of existing inequalities has been at the core of the national agenda in 20th century India, the success of these efforts has often been disappointing. Even well-meaning policies often fail due to poor implementation. For example, in spite of increasing efforts at reducing educational inequalities in school enrolments, substantial differences remain/persist in reading, writing, and arithmetic skills between children of various socio-religious groups. Moreover, these social inequalities and their importance get magnified because of state and regional differences.<sup>20</sup>

India has a weak and fragmented urban social safety net. Multiple actors and programmes are involved in creating and maintaining the various pieces of the urban social safety nets that exist in India. The complexity of the roles and connections between institutions obscures clear analysis on entitlements and delivery mechanisms. Publicly available reporting structures, particularly for programmes that are operational in both rural and urban areas, do not clearly convey the intended number of beneficiaries in urban areas and the allocation of resources intended for them.

The issues related to the informal sector, besides the lack of social security, include the lack of access to finance and financial inclusion, stalling their growth indefinitely. The question is to understand the definition of formal and the challenge is how to make the informal formal, if at all. The challenge is to understand 'who' the urban poor are, and whether best ways to address their issues are through these mechanisms or through a universal entitlement framework.

## H. Research and Public Data Sources

Given the relatively recent global and Indian "urbanization of poverty", there is a gap in research and quality data on urban poverty. The challenge is to determine the contributing factors to pathways out of poverty (income, assets, access to finance and financial inclusion, services by the state including physical security and corruption, economic, environmental, and social sustainability, etc.) and gathering relevant data.

Currently, the National Sample Survey Organization (NSSO) conducts periodic slum surveys, and surveys on consumption in cities that allow the computation of poverty head count ratios. The NSSO sample is typically biased towards larger cities, leading to less reliable results for smaller cities. This data is infrequently collected and does not

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<sup>20</sup>Sonalde B. Desai, Amaresh Dubey, Brij Lal Joshi, Mitali Sen, Abusaleh Shariff, and Reeve Vanneman, *Human Development in India: Challenges for a society in Transition*, Oxford, 2010

allow certain types of analysis required for policy and planning. Ground-level data generation and data management systems remain a big gap.

Partly due to the lack of adequate data, several critical themes related to urban poverty are under-researched. For one, there is not much research on the linkages between sustainability and poverty, specifically the differential environmental health burdens imposed on the poor. There is inadequate research on integrating the urban poor in spatial and city wide infrastructure planning. Most available data is not disaggregated by gender. There is also a gap in knowledge and information related to the urban informal sector, which is a sizeable proportion of India's economy. The seminal NCEUS report of 2009 was a step in the right direction. However, there needs to be an ongoing effort to estimate the contribution of the informal sector and the employment it generates the national, state and city economy.

There is an opportunity for UNDP to intervene by working closely with national and state level statistical organizations, as well as ground-level data collectors and management systems, in order to strengthen their focus on urban poverty. In addition, UNDP could facilitate partnerships between different organizations working on this issue to come together for joint research and knowledge sharing.

## UNDP and the Urban Sector

The United Nation's Development Action Framework (UNDAF) for India for 2013 to 2017 highlights the relevance of urbanisation in creating unique opportunities and challenges for the achievement of inclusive growth, adequate social protection, and improving access of persistently excluded groups to rights and entitlements.

In addressing the challenges of urbanisation, UNDP intends to focus on formulating and testing strategies that address the vulnerabilities of the urban poor; supporting multi-stakeholder dialogue that brings the voices and concerns of the urban poor into policy-making; and supporting organizations of the urban poor in accessing their rights and entitlements. UNDP hopes to devise strategies in partnership with the private sector, especially the MSMEs, for greater participation of the urban poor in its workforce. It will work with organizations of marginalized groups and equip them with capacities to claim their rights and entitlements and lobby effectively with state and local governments and other stakeholders. It will also support, as necessary, testing of social protection instruments to reduce vulnerabilities of the urban poor. Additionally, by collaborating with international partners on these issues, UNDP hopes to link international experience and best practices with programme implementation in India.<sup>21</sup>

Over the past few years, UNDP has laid a foundation for achieving these goals through projects on urban governance, poverty, transport and disaster risk reduction. The draft Country Programme Document (2013-2017) proposes to build on these experiences and to address urbanisation in a concerted manner. The draft CPD aims to enhance the implementation of government poverty reduction programmes, strengthen governance, reduce disaster risk, increase sustainability, and augment gender equity. Each of these issues has distinct overlaps with the concerns of urban poverty reduction. The expertise and credibility of UNDP's Governance, Disaster Risk Management, HIV, Energy and Poverty Units will be capitalized on to address a range of opportunities related to urbanisation during the XII Five Year Plan.

The next section provides an overview of UNDP projects with an urban emphasis or orientation pursued by each of these units and the potential synergies within UNDP for future work to address urban poverty.

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<sup>21</sup>United Nation's Development Action Framework (UNDAF) for India for 2013 to 2017

## Poverty Reduction

The MoHUPA-UNDP National Strategy for Urban Poor (NSUP) Project, active between 2003 and 2007, broadly aimed to encourage informed debate and formulate national and state level strategies on urban poverty reduction in partnership with the Ministry of Housing and Urban Poverty Alleviation (MoHUPA). Upon the launch of JNNURM, the NSUP was redesigned to align better with Government of India efforts in the field of urban poverty through the JNNURM. The six goals of the NSUP included:

- Enhanced understanding of trends and directions of urban poverty,
- Establishment of all India network on urban poor livelihoods to enhance dialogue and information exchange within India and with other countries,
- Broaden livelihood initiatives for urban poor across the country,
- Build a national strategy on urban poverty alleviation,
- Comprehensive review and capacity analysis to formulate operational strategies for financing livelihood intensive social/physical infrastructure and improved regulatory environment in the NCR,
- Support to community associations and NGOs active in the NCR of Delhi to promote urban poor concerns and to address multiple vulnerabilities of urban poor.

By the end of the project period, a number of these intended outputs had been achieved. Urban Policy Unit as a pool of resource persons has since been influential in designing of several national policies & programmes, including RAY, etc. Urban Poverty Report-I, published in 2009, is a seminal report for understanding trends and directions of urban poverty in India. Urban Poverty Report-II on Slums in India is under production. Some city HDRs (Mumbai) were prepared. A City Managers Forum was set up and research colloquium started. 27 National Network of Resource Centres were identified, of which about 8 are active. Poverty profiles were created for 11 cities and five states, information and research hubs were set up, and Urban Poverty Reduction Strategies were developed for 11 cities among other achievements.

The UNDP Poverty Unit has also completed a pilot project introducing conditional cash transfers in one district of Delhi with the Government of Delhi. The program, intended to address urban poverty, has also initiated a conversation with the Planning Commission on policy implications.

## **Democratic Governance**

From 2006 to 2008, the MoUD-UNDP Capacity Building for Decentralized Urban Governance (CBDUG) Project, was implemented by the Ministry of Urban Development (MoUD) to strengthen the capacity of 14 Urban Local Bodies (ULBs) in Uttar Pradesh, Rajasthan, Orissa, and Kerala through training and process support. The project supported city-level reforms and capacity development for municipal accounting, property tax systems, City Development planning and the establishment of Citizen Facilitation Centres. CBDUG also produced a publication on Gender Mainstreaming in JNNURM and proposed a Devolution Index which attempted measuring the effect of devolution on select basic services.

The Planning Commission has been implementing a Joint UN Convergence Programme, of which UNDP is funding a component that focuses on capacity development for Integrated District Planning. A training module has been developed for the Constitutionally mandated District Planning Committees (DPCs) in order to build capacity among officials involved in the rural, per-urban and urban planning. The project has also piloted Change Management initiatives at district level which foster integrated approaches and outcome orientation among planning stakeholders. Given that district plans are to cover both rural and urban areas, there is a need for collaboration and integrated planning that takes into account urban-rural linkages.

A series of UNDP funded projects implemented by the Ministry of Panchayati Raj has been strengthening the rural institutions of Local Self Governance, with a focus on elected representatives and officials. Capacity development and training systems have been strengthened and a range of modules produced in close collaboration with State Institutes for Rural Development and NGOs.

UNDP has also provided technical support and policy advice to MoRD for the implementation of NREGA. The MoRD-UNDP Project has started an innovation fund in order to utilize the latest information and communications technology (ICT) for programme implementation. The project has also partnered with professional institutes like the IITs and IIMs for outcome monitoring. The Governance Unit's experience with the ICT framework and monitoring strategy could be capitalized upon for a project on enhancing urban entitlement programmes.

The Governance Unit has a long-standing partnership with the Department of Personnel and Training. A recent project supported capacity building for the implementation of the Right to Information (RTI) Act and currently DoPT is implementing a Public Administration Reform project which addresses core reform issues in view of improving performance and service delivery.

### **Crisis Prevention and Recovery**

The Disaster Management (DM) Unit has partnered with the Ministry of Home Affairs on an Urban Risk Reduction (URR) project aimed to strengthen capacities of institutions and other stakeholders such as municipal officers, planners, and NGOs to manage risks in 56 cities across the country. Rapid growth in urban populations, particularly in Class I cities, along with acute land shortages in these cities has forced development in more vulnerable areas. Moreover, new construction often overlooks safety standards and the capacity for enforcement remains limited. Such development over and above existing unsafe stock of buildings has increased the vulnerability of cities, which are already prone to multiple hazards such as earthquakes, fires, and floods.

The programme addresses these new challenges and has thus far provided technical inputs for development of 42 city disaster management plans in consultation with various line departments. Focusing simultaneously on strengthening regulations and enforcement, the project has also facilitated drafting of amendments in the regulations and submitted these to state governments in five states to ensure safer urban habitats. Additionally, hazard risk vulnerability assessments have been undertaken in 23 cities, Emergency Operation Centres in 36 cities have been strengthened with information technology systems to address coordination gaps in urban response management, inputs have been provided to the government on strengthening early warning systems, and guidelines and training manuals for hazard-resistant technologies have been made for administrators in 36 cities.

This program could be expanded to include multi-hazard risk assessments. Promising entry points for a program of this kind include a multi-hazard risk component of CDPs emerging from JNNURM, inclusion of risk and resilience measures in consultations with the MoUD and HUPA, and RAY.

## **Environment and Energy**

The unit is pursuing many projects that affect the urban poor. For instance, the MoUD-UNDP Urban Sustainable Transport project, with joint funding from the Global Environment Facility (GEF), is working towards strengthening capacities of national/state urban transport departments, municipal corporations, and transport experts engaged in urban transport planning to reduce urban transport emissions causing environmental damage.

The Energy and Environment Unit is working with the Ministry of Environment and Forests on a project aimed to reduce energy consumed by large commercial buildings by integrating appropriate design interventions such as lighting, heating, ventilation and air-conditioning systems. This project has been jointly funded by GEF, the Bureau of Energy Efficiency, the Swiss Agency for Development and Cooperation, and the DLF Foundation. The Unit is also pursuing various clean energy and low carbon emissions projects.

From the broader perspective, climate change is expected to intensify natural disasters and the degradation of eco-systems, both of which have a direct bearing on the livelihoods of the urban poor and their food and nutrition security. In this way, any programs that incorporate issues related to the energy and the environment directly affect the livelihoods of the urban poor.

## **HIV and Development**

HIV prevalence is concentrated in the most vulnerable populations such as women in sex work, men who have sex with men (MSM), transgender (TG) and persons who inject drugs. The HIV Unit has worked closely with the National AIDS Control Organization on projects aimed to expand coverage and impact of the national HIV response by mainstreaming HIV in selected ministries, strengthen community systems that reach MSM, hijra, and transgender communities, and develop strategies and approaches to reduce stigma in multiple settings.

Training of 35,000 government officials by NACO and the UNDP's HIV Unit has led to changes in 19 government social protection schemes and 41 directives by the State Council on AIDS enabling social protection of marginalized groups. The Unit has also focused specifically on prioritizing interventions for TGs, MSMs, and hijras resulting in the development of operational guidelines specifically for these populations. State Legal Aid Services Authorities are now mandated to provide free legal aid to TGs. Finally, the Unit has worked on enabling a better understanding of HIV-related stigma, conducting a national study in 80 urban centres and 18 states with over 11,000 people.

A recent study conducted by the Population Council, UNDP, and NACO has shown that male migrants play a large role in explaining the number of HIV cases. The data revealed that there were more migrant men among HIV-positive than among HIV-negative populations. Thus, in northern Bihar, migrants accounted for 89 percent of the HIV-positive group compared to 59 percent of the HIV-negative group. Migrants are particularly important as they affect the geographical spread of the infection. Urban labour centres are therefore key entry points for HIV-related interventions.

## Potential Geographical Locations

UNDP's current Country Programme Action Plan concentrates in seven focus states - Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan and Uttar Pradesh. In the upcoming Country Programme cycle, Assam and Maharashtra will be added to the list. UNDP may also need to consider additional locations in those States and urban areas where the challenges of meeting the MDGs are the greatest.

Suggested methodology for programme focus state selection:

1. Apart from the 9 focus states, UNDP could consider shortlisting states with lower MDPIs and those that have demonstrated political and institutional will<sup>22</sup> for urban development in the past.
2. Towns and urban agglomerations could be considered based on rank ordering those with the lowest MDPI, in consultation with the state governments and potential synergies with programmes and partners.
3. Apart from towns and cities, the project could select appropriate clusters, corridors and regions based on economic and spatial growth and deprivation indicators. This selection will depend on city and district level data being available.<sup>23</sup>

### ***State Selection***

India's southern and western States are typically increasingly prosperous. The 8 states that are home to 65% of India's poor - Bihar, Madhya Pradesh, Orissa, Uttar Pradesh, Rajasthan, Jharkhand, Chhattisgarh and West Bengal stretch across the northern part of the country. Poverty reduction in these states remains critical to global success in meeting MDGs as their population is massive at a national and international scale. These states face a shortage of infrastructure and their economies have yet to generate sufficient employment opportunities to lift millions out of poverty. They have received only a small portion of the inflow of private capital into India.

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<sup>22</sup>Example metrics to assess: 1. States having programmes of their own; 2. States that have delivered outcomes; 3. States that are using Central resources effectively; 4. States demonstrating Programmes that feed back into innovation at the Central level.

<sup>23</sup>Census of India is in the process of publishing the complete results of their 2011 survey. District, city and unit level data from the economic survey, household data, socio-cultural and migration data is anticipated to be published over the next two years. Moreover, the Slum Survey being conducted by MoHUPA is also anticipated to be out by the end of 2012.

Improved access to basic services is also vital – particularly for women and girls and is being increasingly demanded. The poorest are therefore often caught in a cycle of truncated education; early marriage (50% marry before 18); early and un-spaced pregnancy; poor nutrition and poor access to water and sanitation. Discrimination on the basis of gender, caste, ethnicity and religion remains a concern as it prevents upward social mobility and equal access to rights and entitlements.

The following analysis aims to suggest states which would be most strategic if UNDP chose to focus on states with the most vulnerable populations as defined by multi-dimensional poverty. Metrics considered for each state are:

- total number of urban poor;
- percentage of urban population that is below the poverty line (MPCE);
- urban population that lives in slums;
- net attendance ratio in class I to VIII in the urban;
- average calorie intake per urban person per day;
- urban infant mortality rate and urban employees not eligible for social security as proxy for informal sector employment.

All these are analysed with respect to the level of urbanization in the states.

States could be selected for vulnerability specific project activities based on this analysis, supported by more detailed analysis at state and ULB levels.

*Note: This is a challenge-based approach to the selection of potential focus states. Besides these criteria, UNDP would need to consider states that have demonstrated political and institutional will to deliver outcomes in the urban development sector, as discussed earlier in this section.*

## Urban Poverty

Figure 1 shows the level of urban poverty in various states of India, and the relationship between urban poverty and level of urbanization. Urban poverty data is from the Planning Commission (i.e. Tendulkar Report methodology)<sup>24</sup>, and is based on the 2009-10 NSSO consumption survey. There is a strong inverse relationship between the incidence of urban poverty and the level of urbanization in a state. The more highly urbanized states such as Maharashtra, Kerala, Tamil Nadu, and Gujarat display lower incidence of urban poverty, and more rural states like Bihar, Uttar Pradesh, and Jharkhand have a higher incidence of urban poverty. The size of the bubbles is proportional to the number of urban poor in the state, and it is evident that this is the highest in Uttar Pradesh and Maharashtra.

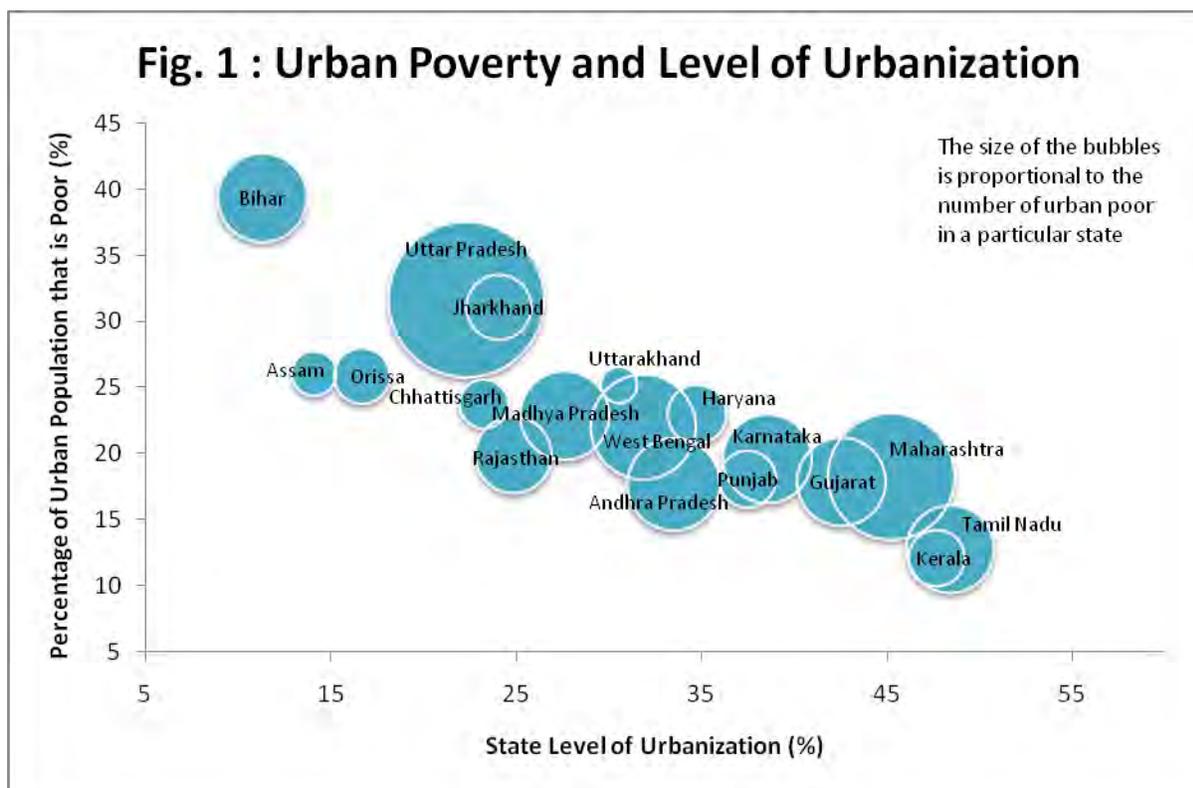


Figure 1 can provide guidance for focus states selection: If states with the highest number of the urban poor are to be selected, then UNDP could focus on Uttar Pradesh, Maharashtra, West Bengal, Andhra Pradesh, Madhya Pradesh, Karnataka and Bihar. If states with a high headcount ratio are to be selected, UNDP could focus on Bihar, Uttar Pradesh, Jharkhand, Assam, Orissa, and Chhattisgarh. If states with a medium count ratio but higher levels of urbanization are to be selected, UNDP could focus on Madhya Pradesh, West Bengal, Andhra Pradesh, Rajasthan, and Karnataka.

<sup>24</sup>A committee was formed by government of India in 2009, with Tendulkar as Chairman to 'report on methodology of estimation of poverty'. This committee came out with a new method to calculate poverty. In past, poverty was estimated by looking at a limited view of money required for stipulated minimum calorie intake by individuals, but the Tendulkar committee moved to a wider definition, including spending on food as well as education, health, light (electricity), clothing and footwear.

### Slum Population

Figure 2 below shows the concentration of slum population in different states of India, the relationship between slum population (as a percentage of total urban population) and the level of urbanization in a state. It is based on projections of slum populations from MoHUPA's report on Slum Population (2011). It is clear that the relationship between slum population and level of urbanization is quite different from the relationship between urban poverty and level of urbanization, suggesting that the indicator "slum population" provides additional information that is relevant for targeting which is uncorrelated to poverty, and thus gets missed out if targeting is based on poverty measures alone.

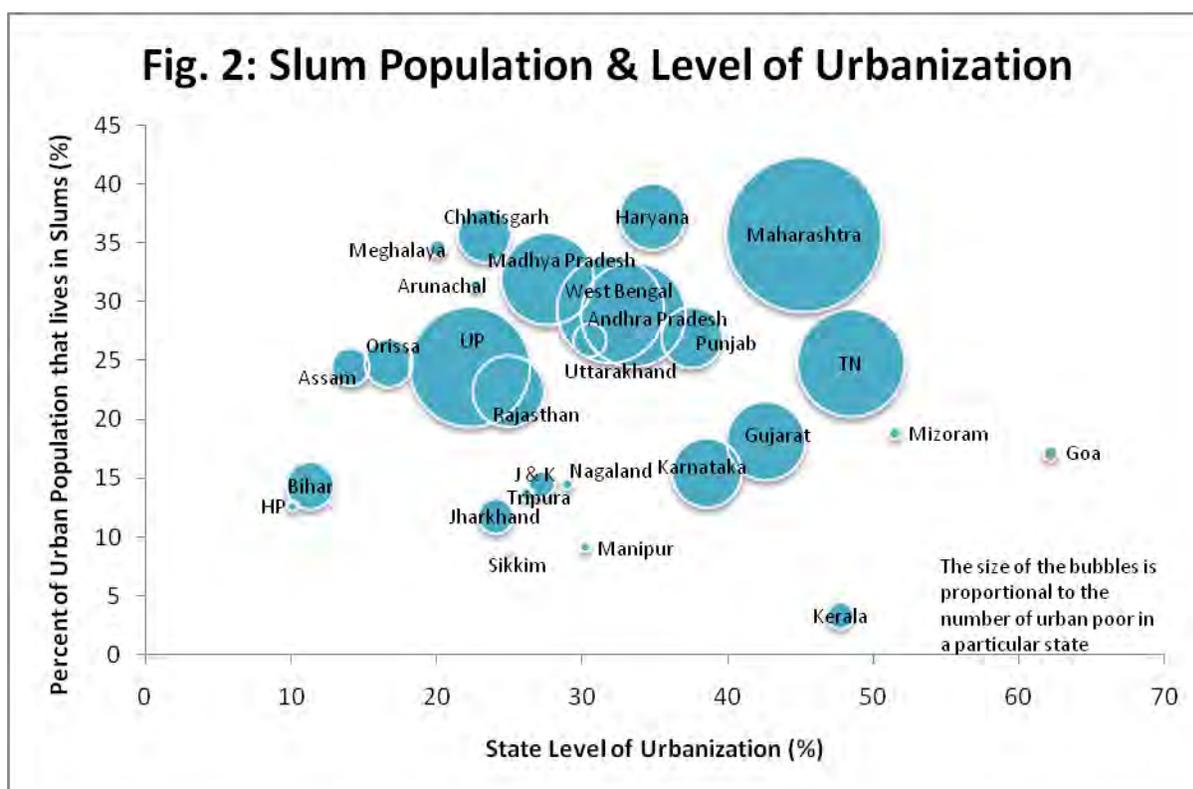


Figure 2 also presents an alternative way to shortlist potential focus states, if the proportion of slum population is considered as a dimension of deprivation. This chart would suggest focusing on states that have a high proportion of slum population, along with a medium level of urbanization, such as West Bengal, Andhra Pradesh, Haryana, and Madhya Pradesh. Alternatively, UNDP could choose to focus on Maharashtra as it has a high proportion as well as high numbers of people living in slums.

## Education

Figure 3 uses school attendance as a metric by which to understand poverty and shows the net attendance ratio (NAR) of children living in urban areas in Class I through Class VIII for each state by level of urbanization and projections of urban population between ages 0 and 14 in 2012. The data on school attendance is from the Planning Commission, based on the 2007-2008 NSSO education survey. Population projections are published by the National Commission for Enterprises in the Unorganized Sector, and are based on the NSSO survey data.<sup>25</sup> NAR is the ratio of the number of persons of age 5 to 13 attending school between Classes I and VIII to the total number persons of age 5 to 13. There is a positive relationship between the rate of school attendance and the level of urbanization in a state. That is, more highly urbanized states such as Maharashtra, Kerala, Tamil Nadu, and Gujarat display a higher incidence of school attendance, and more rural states like Bihar, Uttar Pradesh, and Orissa have a lower rate of school attendance for children. The size of the bubbles is proportional to the projected urban population of 0 to 14 year olds in 2012.

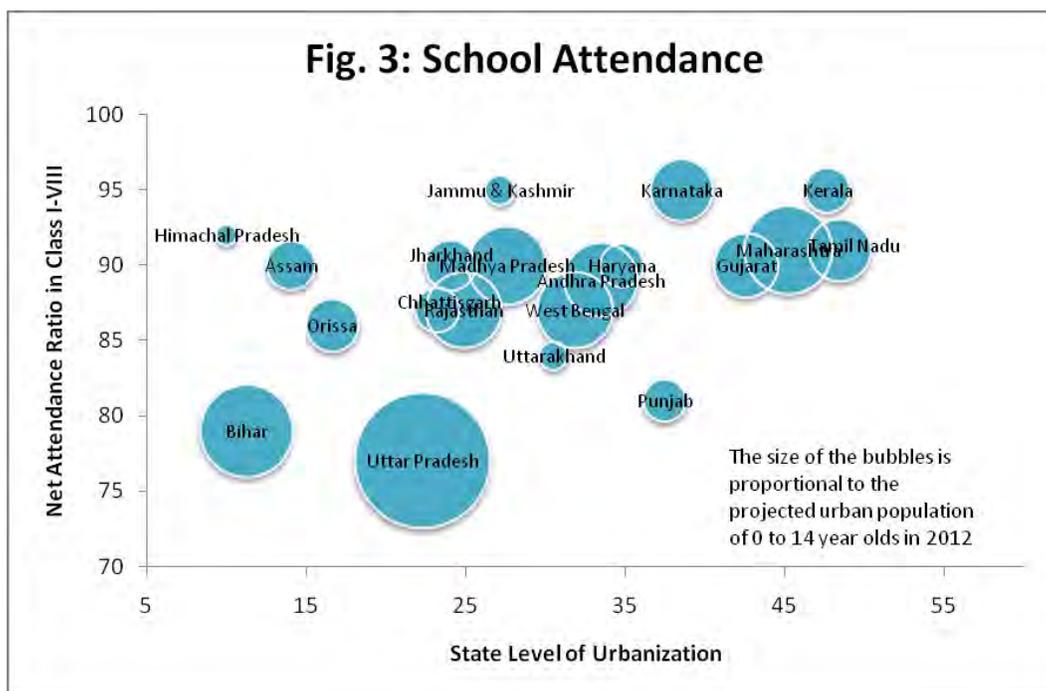


Figure 3 also offers another opportunity to select focus states. If states with the highest urban population of children are to be selected, then UNDP should focus on Uttar Pradesh, Bihar, Maharashtra, Madhya Pradesh, West Bengal, and Rajasthan. If states with a low ratio of school attendance are to be selected, UNDP should focus on Bihar, Orissa, Uttar Pradesh, Uttarakhand, and Punjab. If states with a low ratio of school attendance and higher levels of urbanization are to be selected, UNDP should focus on Uttar Pradesh, Punjab, Uttarakhand, Chhattisgarh, Rajasthan, and West Bengal.

<sup>25</sup>NCEUS. "The Challenge of Employment in India: An Informal Economy Perspective", April 2009

### Nutritional Intake

Figure 4 shows the average calorie intake per person per day in various states of India in relation with the level of urbanization. It also shows their relationship with the total number of urban poor (represented by the size of the bubbles). The nutritional intake data is from the 2009-10 NSSO survey (66<sup>th</sup> Round) while the urban poverty data is from the Planning Commission, based on the 2009-10 NSSO consumption survey.

While the national average calorie intake per person per day is 1940, there are several states that show a much lower average value. But these do not seem to have a direct correlation with the level of urbanization. That is, while some states like Delhi have high level of urbanization, but have very low average calorie intake, there are states such as Orissa, which are more rural but have much better calorie intake averages. The size of the bubbles is proportional to the number of urban poor in the state, and it is evident that this is the highest in Uttar Pradesh and Maharashtra.

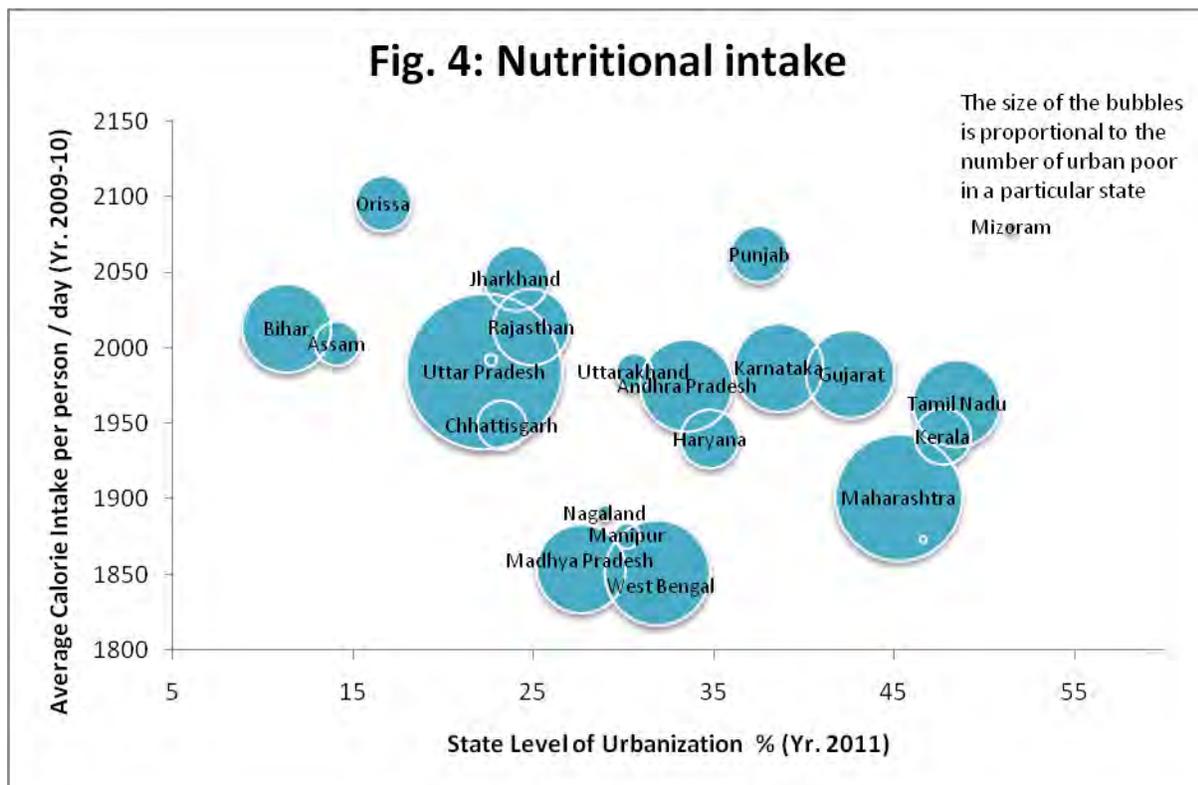


Figure 4 also offers an opportunity to select focus states: If states with the least calorie intake are to be targeted, UNDP could focus on Madhya Pradesh, West Bengal, and Maharashtra. While Manipur and Nagaland also show low intakes, this could be due to cultural orientation of consumption, i.e. traditionally low calorie food intake (low fat, high protein diet). If states with a high number of urban poor are to be targeted, then UNDP could focus on West Bengal and Madhya Pradesh.

### Infant Mortality Rate

Figure 5 shows the level of infant mortality in various states of India in relationship with the level of urbanization and the number of urban poor, where Sample Registration System (SRS) data has been used for the infant mortality rate.

There is a strong inverse relationship between the incidence of infant mortality and the level of urbanization in a state. More highly urbanized states such as Maharashtra, Kerala, Tamil Nadu, and Gujarat display lower incidence of infant mortality, and more rural states like Bihar, Uttar Pradesh, and Jharkhand have a higher incidence of urban poverty. The size of the bubbles is proportional to the number of urban poor in the state, and it is evident that this is the highest in Uttar Pradesh and Maharashtra.

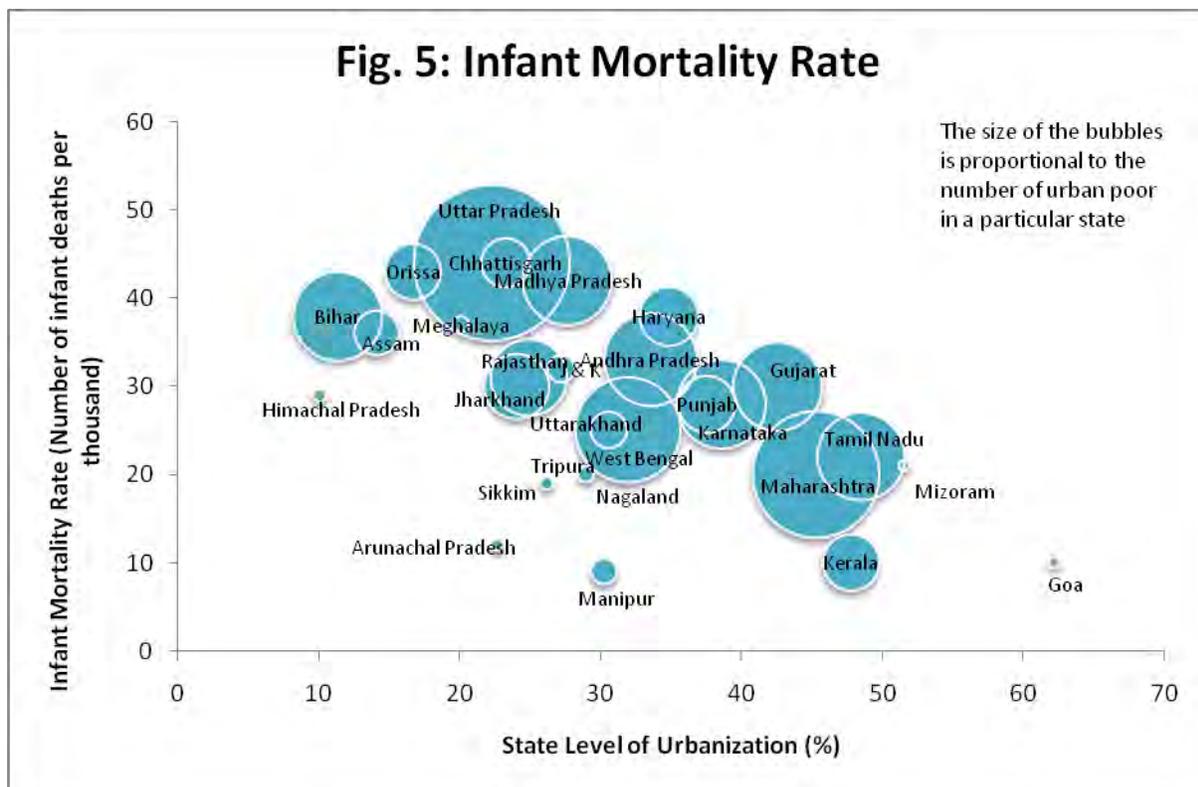


Figure 5 also offers an opportunity to select focus states: If states with the highest number of urban poor are to be selected, then UNDP could focus on Uttar Pradesh, Maharashtra, West Bengal, Andhra Pradesh, Madhya Pradesh, Karnataka and Bihar. If states with a high infant mortality ratio are to be selected, UNDP could focus on Uttar Pradesh, Madhya Pradesh, Haryana and Andhra Pradesh.

### Urban Informality

Figure 6 has considered the percentage of employees not eligible for social security as a proxy metric for assessing urban informality. The social security data is taken from the NSS 66<sup>th</sup> Round (2009-10). The chart maps the relationship of the level of this informality with the level of urbanization.

While the national average is about 60 per cent, the graph below shows that almost all states align to that average, irrespective of their level of urbanization. This shows that on an average, more than half of the employees all over the country are without any social security.

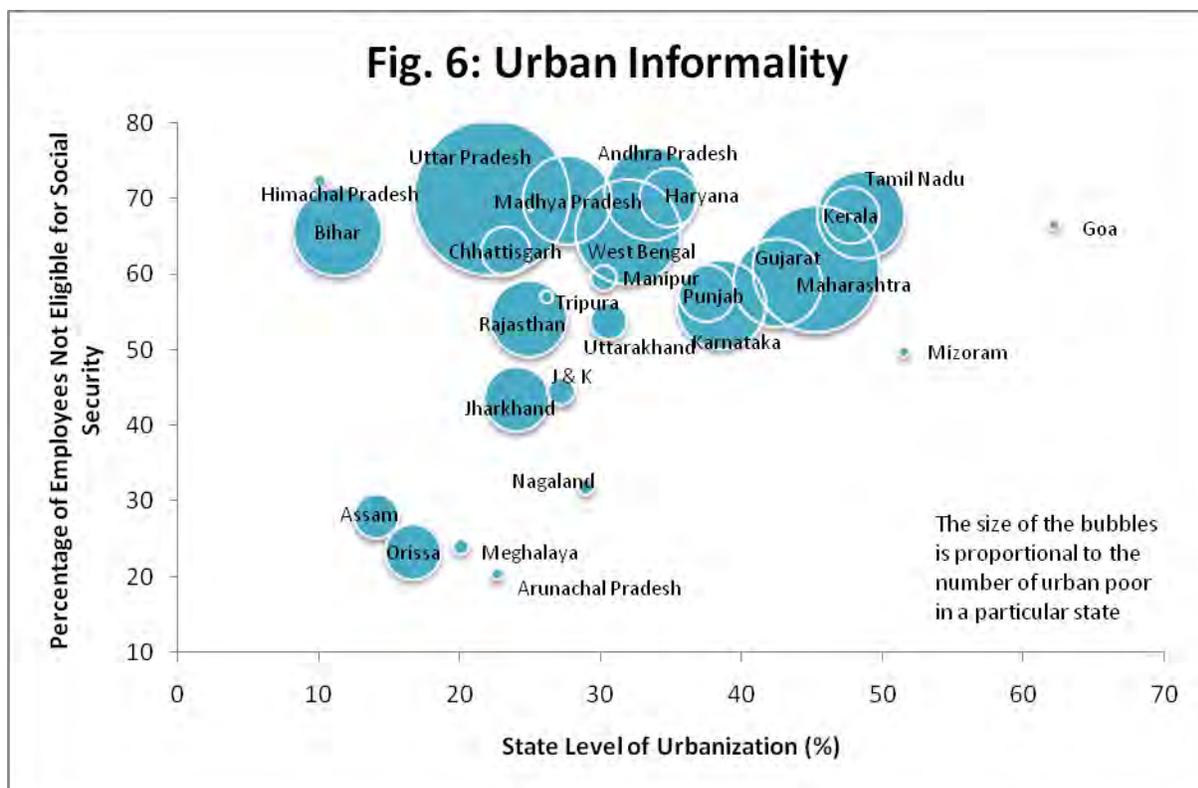


Figure 6 also offers an opportunity to select focus states: If states with the highest proportion of such employment are to be targeted, then UNDP should focus on Uttar Pradesh, Andhra Pradesh, Madhya Pradesh, Haryana and West Bengal.

### ***Note on City Selection***

It is felt that since most of the immediate action points (mentioned later) would require a deeper analysis at national or state level, the exact selection of the cities could take place once project activities have been identified. UNDP could – in consultation with state governments – identify cities and clusters of different sizes to work in.

It is also advisable to select cities on a pragmatic basis based on potential outcomes. It would be advantageous if the selected cities already have adequate information/data and some preliminary analysis available. Possible sources of data and analysis include: City Development Plans, City Sanitation Plans and data generated in the context of Service Level Benchmarking. It may be important to identify lead institutions and ‘change makers’ who could partner with UNDP at the state and local level. Hence, it is important to identify cities with public officials and elected representatives who are more aligned with the cause of urban development and poverty reduction.

## Potential Partners

The following section provides an overview of the current programmes and priorities of various development agencies and organizations active in the urban sector, and indicates the directions they intend to pursue over the next few years.<sup>26</sup>

### UN Entities

*United Nations Human Settlements Programme (UN-HABITAT):* UN-HABITAT has been working on the Water for Asian Cities Programme in India since 2003. Through this program, ADB has approved a loan of US\$200 million for investment in water and sanitation in six cities of Madhya Pradesh. Looking to the future, the United Nations Development Action Framework (UNDAF) for India for 2013 to 2017 suggests increased involvement by the agency in urban development beyond work on water and sanitation. Specifically, UN-HABITAT will get involved in promoting access to housing finance, strengthening urban poor community structures for planning, contributing to the creation of mechanisms ensuring orderly city extension, and supporting city climate change mitigation strategies.

*United Nations International Children's Emergency Fund (UNICEF):* UNICEF's programmes in India focus on health, nutrition, water environment and sanitation, HIV/AIDS, education, and child protection. UNICEF is collaborating with the Ministry of Women and Child Development, undertaking regional and national consultations on child rights. The UNDAF plans for greater involvement by UNICEF in India's urban sector in the next four years. UNICEF will contribute evidence, policy analysis and lessons from promising practices relating to the promotion of women and children's rights in urban contexts. Additionally, it will engage proactively in activities aimed at improving the resilience of both rural and urban communities to disaster and at building communities' capacity to meet the challenges of climate change to ensure the protection of fundamental rights for children.

*United Nations Educational, Scientific, and Cultural Organization (UNESCO):* UNESCO has provided research and policy recommendations for the education and inclusion of the urban poor, especially internal migrants, through a rights-based approach (right to the city). The UNDAF suggests that UNESCO will continue this work and will also develop projects and

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<sup>26</sup>The information is based on secondary literature reviews and interviews conducted with various stakeholders over the months of May-July, 2012.

activities promoting an integrated approach sensitive to the historical urban landscape of Indian cities.

*World Food Programme (WFP):* WFP's projects in India aim at enhancing the nutritional value of food through fortification, improving targeting of government-run food-based programmes, developing new food products to reach out to those with greater nutritional needs, and for people with special needs such as those living with HIV. The UNDAF proposes greater involvement specifically in the urban sector by addressing issues related to the problems of urban nutrition and food security.

*International Labour Organization (ILO):* The ILO's work broadly focuses on competitiveness, productivity and jobs; labour market governance; youth employment; managing labour migration; and local development for poverty reduction. Within these focus areas, the ILO has done extensive research on urban informality. The UNDAF plans for ILO involvement in demonstrating concrete cases of Green Jobs promotion, with a focus on creating sustainable livelihoods for a large number of the poor in the context of a rapidly changing labour market influenced by climate change policies and green investments. Although this initiative is not specific to the urban sector, there is surely a large role for Green Jobs in cities which are seen as the drivers of economic growth in India.

### **Multilateral Development Agencies**

*World Bank:* The Water and Sanitation Programme (WSP) intends to undertake analytical studies to inform choices of PPP options and strengthen stakeholder decisions in urban and rural water supply initiatives. It will continue to work closely with the Government of Karnataka in scaling up their water supply pilots. The International Bank for Reconstruction and Development (IBRD)'s mission in India has expanded to fight poverty by means of financing states. The International Development Association (IDA) provides untied support for health and education, infrastructure and agriculture, and economic and institutional development to the world's poorest countries, which will decrease as India moves up the middle income ladder. The World Bank's Country Strategy (CAS) for India for 2009-2012 proposes a lending program of \$14 billion and focuses on helping the country to fast-track the development of much-needed infrastructure and to support the seven poorest states achieve higher standards of living for their people. The World Bank is currently in the process of designing its new Country programme, and intends to give a priority to the urban sector in a big way.

*Asian Development Bank:* The pillars of the current ADB Country Partnership Strategy for India include support for inclusive and environmentally sustainable growth, catalyzing investment

through the use of innovative business and financing solutions, strengthening results orientation, emphasizing knowledge solutions, and supporting regional cooperation. In the past, the ADB has focused mainly on water and sanitation infrastructure within the urban sector. However, they are in the process of redesigning their urban strategy and they intend to shift their urban practice more towards skill development. The proposed 3-year lending program averages around \$2.2 billion annually across 2012–2014, with funds allocated to transport, energy, urban development, agriculture and natural resources management, finance, and education.

*Cities Alliance:* The Cities Alliance is a global partnership for urban poverty reduction and the promotion of the role of cities in sustainable development. Under the grant facility, the Alliance has extended grants in excess of \$65 million to 220 projects in all developing regions. In India, the Alliance is working with the central government on operationalizing the National Urban Sanitation Policy in 50 cities (via National Institute of Urban Affairs) and supporting Peer Experience and Reflective Learning (PEARL) programme under JNNURM. The Alliance is also providing slum-upgradation support in Agra and urban planning support in Ahmedabad.

### **Bi-Lateral Development Agencies**

*Department For International Development (DFID), UKAID:* DFID's focus states in India overlap with UNDP's focus states - Bihar, Madhya Pradesh and Orissa. They focus on various human development areas including general health, with an emphasis on reproductive health, basic education, and government and civil society development. Within the urban sector, they have not only worked on providing basic services to the poor, but have also funded support to strengthen the capacities of central, state, and local governments in implementing the JNNURM. This resonates with UNDP's expertise area. In recent years, DFID has begun to focus more on engaging the private sector in providing services to the urban poor. The DFID Operational Plan for India budgets £280 million per year on all programs in the country.

*United States Agency for International Aid (USAID):* USAID is partnering with India to develop, test, and deploy innovative technologies to address global challenges of health, clean energy, forestry and water, food security and agriculture, and reducing disaster risk. One of the agency's new initiatives, the Water Analysis, Innovations and Systems Program, is building upon the successes of other water supply and sanitation investments to address the role that water plays in poverty reduction and sustainable development. Under one of its city demonstration projects, USAID has helped more than 258,000 people get access to improved drinking water and 24,000 get access to improved sanitation services. USAID is exploring a \$1.2 million Disaster Management partnership with UNDP.

*Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ):* The GIZ has been active in India for last 60 years with a current focus on sustainable infrastructure, social development, environment, and economy. More specifically within the urban sector, GIZ is working with individual cities, federal states and the central government on implementing ambitious programmes to remedy the disastrous environmental conditions in settlements and industrial zones by commercializing solar energy. So far, five industrial sectors have been identified as showing the most promise for solar energy application. GIZ spends close to €25 million per year on sustainable development initiatives in India.

*Japanese International Cooperation Agency (JICA):* JICA's vision of inclusive and dynamic development in India focuses on addressing the effects of globalization, reducing poverty through equitable growth, improving governance, and achieving human security. Delhi Metro rail Corporation has received a loan (amounting 150 billion INR) from JICA for building and operating the phase 2 of the mass transit system. It has also approved a loan for approx. 67 billion INR for a Dedicated Freight Corridor [Haryana, Rajasthan and Gujarat (Phase 1) / Uttar Pradesh, Haryana, Gujarat and Maharashtra (Phase 2)].

### **Private Foundations**

*IKEA Foundation:* UNDP has an ongoing engagement with IKEA Foundation, where an integrated women's empowerment approach covering social, economic, legal and political dimensions is being scaled up across 11 districts in 4 states to demonstrate improved livelihood and enterprise development models as well as to enable women to participate in local political processes. All of the foundation's programmes are based on the Convention on the Rights of the Child and focus largely on health and education of children.

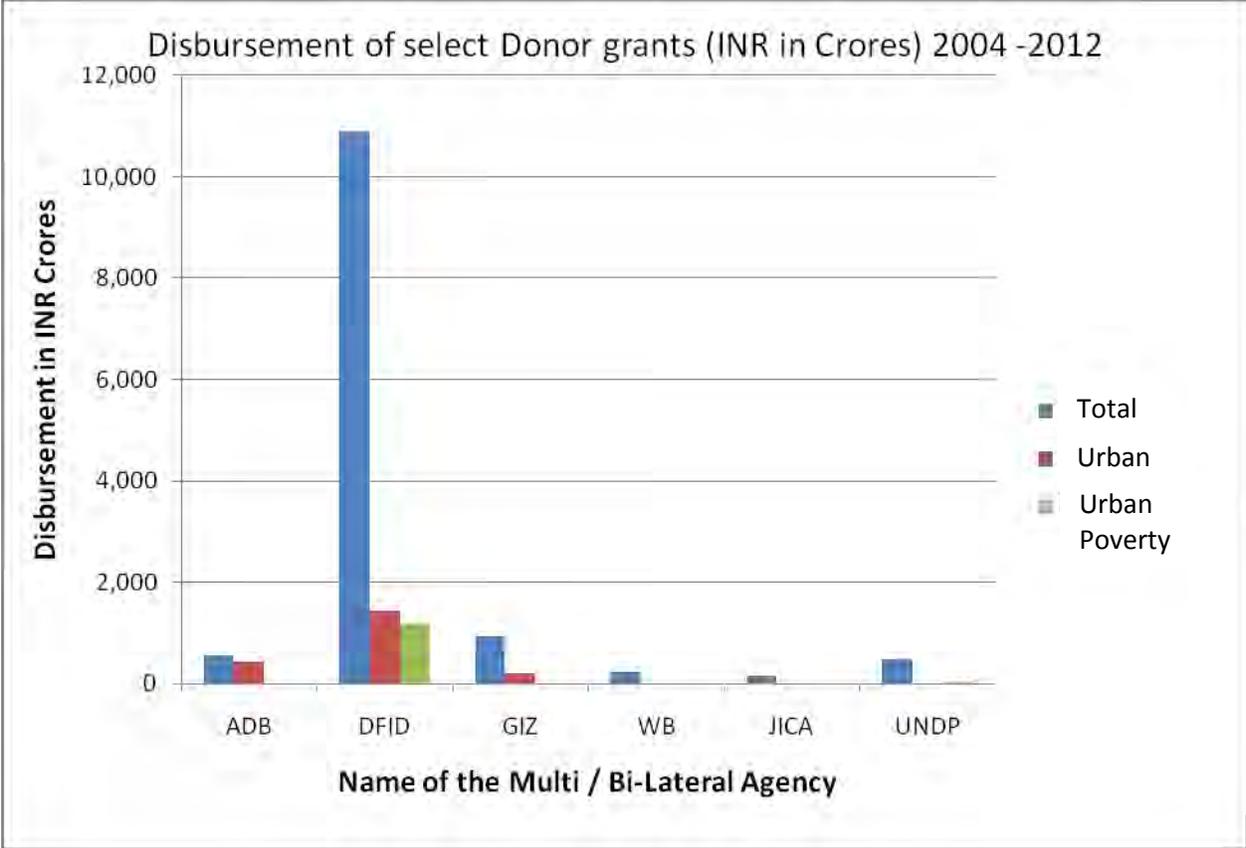
*Michael and Susan Dell Foundation:* The Michael & Susan Dell Foundation's primary goal is to support and initiate programs that directly serve the needs of children living in urban poverty. In India, priority is given to initiatives addressing children's health, education, vocational training, microfinance, housing, and water and sanitation. Two-thirds of the foundation's grants are within the urban education sector and focus on improving student performance, ensuring consistent quality of education, and increasing access to schools.

*McArthur Foundation:* The foundation's grant-making in India focuses on population and reproductive health work at the national level, but there is also a special focus on efforts in Rajasthan, Maharashtra, and Gujarat, states that have a significant unmet need for reproductive health information and services.

*The Bill & Melinda Gates Foundation:* While the Foundation has recently decided to retract from the urban sector, but the issues of sanitation, child mortality and tuberculosis are still very central to their cause. The Foundation works with public and private partners to expand the availability of safe places to save and other financial services for poor people in the developing world. They support the following strategies: seek ways to lower transaction costs for people and providers, support innovations in the design and delivery of financial services, help effective approaches reach many more poor people, strengthen underlying systems needed to provide financial services, and support the development of policies that provide safety and convenience for savers and banks. The foundation's work in the urban sector in India primarily focuses on issues of health and sanitation.

*Ford Foundation:* In India, the Ford Foundation supports organizations that: promote livelihood opportunities among the poorest populations; advocate for economic and social rights; make the government's development efforts transparent and accountable; work to create more sustainable agricultural policies; enable women and girls to address their sexual and reproductive health and rights; broaden the participation of marginalized groups through public service media.

*Rockefeller Foundation:* The Foundation is focusing its support on five main initiatives in Asia: helping urban communities cope with imminent consequences of climate change, establishing transnational detection, monitoring, and communication systems to strengthen disease prevention, widening access to affordable, high-quality health services by leveraging and coordinating resources, and building models to expand the use of cutting-edge innovation methods to achieve social impact. The Foundation has a growing urban portfolio in India. Many of the projects focus on city disaster preparedness and climate change resilience.



## Stakeholder' perception of UNDP's Comparative Advantage in Urban Poverty

While a number of multilateral, bilateral and donor agencies are engaging with urban India, UNDP is perceived to have a number of comparative advantages in supporting the Govt, States and cities to develop responses to India's urbanisation, poverty and inclusion challenges. These include:

- human development expertise developed over several decades and previous engagements with urban governance, poverty and vulnerability reduction;
- Strong understanding of rural poverty and vulnerability;
- Strong partnerships with line ministries of the Govt. of India (both HUPA and MoUD);
- International knowledge network and research base;
- Credibility and presence in multiple states, with the ability to engage at city level through partner organisations;
- Convening power and the ability to bring a large variety of government and non-government actors to the table;
- Ability to execute small scale innovative demand-driven projects that can be used to help test and define forward-looking policies.

## Partnerships and Joint programming

UNDP's urban poverty interests match with the mandates of the Ministries of Urban Development, Housing & Urban Poverty Alleviation, Environment & Forests, Home and Finance as well as the Planning Commission. A joint UNDP engagement with these Government partners will be necessary to impact policy, leverage the resources of large number of Centrally-sponsored Schemes (such as JNURM, RAY and the proposed NULM), develop and scale-up pilot projects and to test new governance arrangements.

UNDP has access to a large pool of experts to work in this field. However it has limited funds from its own resources to support a long-term urban intervention independently. Therefore, partnerships and resource mobilisation with donors and funding agencies will need to be explored in a strategic and systematic manner. Synergies to consider: focus sectors (UNICEF, WFP, ILO, etc.), focus geographical regions (DFID, etc.), complementary strengths (WB, ADB, Ford Foundation, etc.), past relationships with UNDP (IKEA, etc.).

The UNDAF highlights opportunities for collaboration with other UN agencies. UNDP India and UN-HABITAT could jointly work on improving urban governance, strengthening community structures for inclusion of the poor in the planning process, and reducing climate risk particularly for the urban poor. By coordinating with UNICEF, such projects could be targeted specifically to address the rights of children. Similarly, UNDP could capitalize on UNESCO's research on education and the "Right to the City" in consultation with Government Ministries. Additionally, any research or programming related to urban food security could complement and build on the work that WFP intends to do. ILO has done significant work on urban informality, which would be very useful for laying the groundwork for projects and interventions on urban livelihoods.

UNDP has had long and rich expertise in rural development, partnerships with select cities and clusters (via State Governments), regional and local NGOs and CBOs in the urban sector. These would need to be revived and strengthened.

## Potential Directions for Action

Urban poverty is multi-dimensional in scope, growing and deepening faster than rural poverty in India. Traditional uni-dimensional poverty reduction approaches that have had some success in rural India have failed and will continue to fail in urban India. The governance, resources management and risk mitigation frames have a strong rural emphasis – making change even more difficult.

Based on a preliminary scan of UNDP's expertise, resources and joint programming potential, the possibility of a large-scale impact on urban poverty in India is limited. There are, however, major strategic opportunities for UNDP that will require limited financial resources, enable high-level leverage and provide a set of new institutional and programmatic innovations that the Government of India and some State governments may wish to build on and scale up. This comes from the gaps, overlaps and silo-structure of existing programmes that the XII Five Year Plan may seek to change.

UNDP can take a lead in the creation of a new multi-dimensional and human development-centred entitlement framework and discourse to address urban poverty in the XII Plan. This would enable:

- significant increases in urban employment,
- urban informal sector to grow faster at higher productivity than the national economy
- filling of institutional and knowledge gaps so that available resources and innovation can be deployed efficiently and scaled effectively.
- meeting the inclusion, sustainability and growth imperatives of the XII Plan, and
- closing structural gaps (between large villages and small towns; manufacturing and services-led development; rapidly developing and deeply vulnerable economic and social groups and between regions).

## Strategy Matrix

Five possible programme areas that have emerged after the background analysis and Urban Poverty Consultation are (also see Appendix 7 and 9):

1. assistance in re-imagining **policy and strategic analysis**;
2. support to effective **national and state implementation programmes**;
3. development of cross-sectoral **institutional capacities**;
4. building multi-level national and South-South **knowledge partnerships**; and
5. celebrating urban innovation.

## Results Framework

### Intended Outcome as stated in the Country Programme Results and Resource Framework:

**UNDP Country Programme Outcome:** *Inclusive and equitable growth policies and poverty reduction strategies of the government strengthened to ensure that most vulnerable and marginalized people in rural and urban areas have greater access to productive assets, decent employment, skills development, social protection and sustainable livelihoods.*

### Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets.

- National programmes and policies impacting rural livelihoods, urban poverty, women’s empowerment, skill development and financial inclusion of the poor that incorporate new provisions for inclusion of persistently excluded groups.

**Baseline:** TBE in 2012 based on review of the XII Five Year Plan document  
**Target:** 25% (2017).
- Budgetary utilization in centrally sponsored schemes related to employment, skills development and social protection in selected UNDAF priority states for persistently excluded groups (women and men) in both rural and urban areas.

**Baseline:** TBE through a study of budget provision and gender-disaggregated data on utilisation in selected UNDAF states for the year 2010-11 (XI Five Year Plan) - To be commissioned in 2012  
**Target:** 20% increase by 2017
- Persistently excluded groups in the UNDAF states have increased access to productive assets, skill development, and sustainable livelihoods

**Baseline:** TBE based on NSSO/NSDC/Socio-economic Caste Census  
**Target:** 20% in district with significant UNDP project outlay

Proposed Project Output Areas	Indicative Activities ( <i>deliverables</i> )	Responsible parties	Inputs
<b>Project Output Area 1</b> <i>Policy and Strategic Analysis</i>  Policy support at national,	Key focus areas for research could be as follows, accompanied by policy dialogues: <ul style="list-style-type: none"> <li>Technical support to the MoHUPA in producing their</li> </ul>	Think tanks / urban knowledge platform:	Human, technological and

<p>state and city levels to create a new multi-dimensional and human development-centred entitlement and implementation framework to address urban poverty.</p> <p>Following Rio +20, it is clear that goals of human development and sustainable development are closely aligned. Thus, one of the key contributions of UNDP could be to understand the multiple pathways in which concerns of natural resources interact with poverty in urban areas, and develop a framework for sustainable urban human development, that is cognizant of issues of urban poverty. UNDP could then identify different windows through which this could be mainstreamed in Indian policy.</p>	<p>next <b>Urban Poverty Report</b>, with a significant emphasis on multi-dimensional poverty and a human development-centred urban entitlement framework.</p> <ul style="list-style-type: none"> <li>▪ Development and publication of a national <b>Sustainable Urban Human Development Report</b> as a compilation of state and city level analysis that examines a range of sustainable development concerns that include skill development, financial inclusion and entrepreneurship;</li> <li>▪ Identification of <b>regions, corridors and clusters of urban poverty</b> and development which offer scope for project activities with specific geographic focus</li> <li>▪ Development of a <b>multi-dimensional poverty index (MDPI)</b> for the urban space and pilot in select states at state- and ULB-levels</li> <li>▪ <b>Assessment of essential factors impacting urban livelihoods and well-being</b> (e.g. security of tenure, access to credit, personal assets, etc.) and its linkage with existing urban poverty measures</li> <li>▪ Development of a comprehensive <b>entitlement framework for sustainable urban human development</b> based on the above assessment</li> </ul> <p><b>Studies on decentralisation</b> and the trajectories/ strategies that benefit the urban poor. As mentioned in earlier sections of this paper, it is not clear whether decentralisation works in</p>	<p>corporators, parliamentarians, MLAs. MoHUPA, MoUD, and other ministries at the national level.</p>	<p>information resources (Refer to the Outputs under the Project Output Area 3)</p>
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	the favour of the urban poor.		
<p><b>Project Output Area 2</b> <i>National &amp; State Implementation Programmes</i></p> <p>UNDP could build upon on-going NULM projects in the city, and make them more responsive to needs of urban poor. Thus, UNDP would build upon existing schemes, instead of launching independent pilots.</p>	<ul style="list-style-type: none"> <li>▪ Technical and advisory Support to the <b>NULM Secretariat</b> in mission design, implementation, monitoring and learning.</li> <li>▪ Technical and advisory support to the state and ULB level for the <b>implementation of RAY and NULM.</b></li> <li>▪ Technical and advisory support to “home-grown” <b>state-level implementation programmes</b> and enable knowledge transfer and adaptation of successful components at different scales.</li> <li>▪ Implementation support at the <b>city level.</b></li> <li>▪ Technical and advisory support to State Governments to formulate a <b>Property Rights Bill for the Poor.</b></li> </ul>	Central and state ministries, Local communities and Civil Societies.	Human, technological and information resources
<p><b>Project Output Area 3</b> <i>Cross-sectoral Institutional Development</i></p> <p>UNDP has a great expertise and a long history of successful capacity building. They should build upon this track record in rural areas, and extend these to urban areas.</p>	<ul style="list-style-type: none"> <li>▪ <b>Capacity development for lead national and State Ministries, and training and education institutions,</b> to help define, design, implement and review people-centric urban poverty strategies with a strong human development focus.</li> <li>▪ Development and training of <b>urban municipal cadres.</b></li> <li>▪ Provide advisory and handholding support to ULBs to <b>modify existing plans</b> (e.g. CDPs, DDPs, Master Plans), in view of addressing the needs of the urban poor.</li> </ul>	Central and state ministries, training institutions, academic institutions, Local communities and Civil Societies.	Financial, human, technological and information resources

	<ul style="list-style-type: none"> <li>▪ Institutional development support to <b>State and ULB Knowledge Centres</b> and linking them across different regions.</li> </ul>		
<p><b>Project Output Area 4</b> <i>Multi-level Knowledge Partnerships</i></p> <p>This output strengthens Outputs 1 and 2 further by interconnecting the knowledge</p>	<ul style="list-style-type: none"> <li>▪ Establish appropriate <b>urban poverty and development data systems</b> at the national, state and city levels with involvement of multiple stakeholders</li> <li>▪ Development of an <b>Urban Poverty Dashboard</b> tool based on the abovementioned data systems which can inform decision makers at the local, state and national level.</li> <li>▪ Convene stakeholders for <b>policy dialogues</b> at state and national level, cross-linking the policy discourse.</li> </ul>	MoHUPA, Educational & Research Institutions, South-South Collaborations.	Financial, human, technological and information resources
<p><b>Project Output Area 5</b> <i>Urban Innovations</i></p> <p>UNDP could curate, help test and scale urban poverty reduction innovations across a range of chosen cities and states.</p>	<ul style="list-style-type: none"> <li>▪ Establish a city and state <b>award for sustainable urban human development and poverty reduction.</b></li> <li>▪ Promoting national and international <b>Knowledge Exchange Events and Festivals</b> to learn from greater inter-city, inter-regional and South-South engagement, along with engaging with local communities, students, media and artists.</li> </ul>	Students, artists and other cultural media.	

## **Locations**

UNDP's unique opportunity is closing the missing links between ULBs, state and national government, while spanning the gap between urban and rural areas, with an emphasis on small and medium towns. These are the urban areas where much of urban poverty and vulnerability is concentrated and the incremental development of human capacity is probably the highest. It would do this in the nine current UNDAF focus states, but consider others whose MDPIs are worse and those who have demonstrated a political and institutional will to address urban development and poverty.

## **Indicative Resources**

The broad scale of funding to support the range of initiatives outlined in this document range from \$ 7-10 million depending on the ability of UNDP to allocate and mobilise resources, potential partnerships both within the UN system and with other Foundations, donors agencies and Indian and international corporate partners. With the total planned allocation from UNDP core funds being 5.5 million, this implies a shortfall or a partnership building potential of \$1.5 to \$4.5 million. UNDP would need to invest in building the internal capacity to develop and manage these partnerships and a programme of this scale in the urban space. A number of institutional innovations may need to be explored to make this possible.

## **Partnerships**

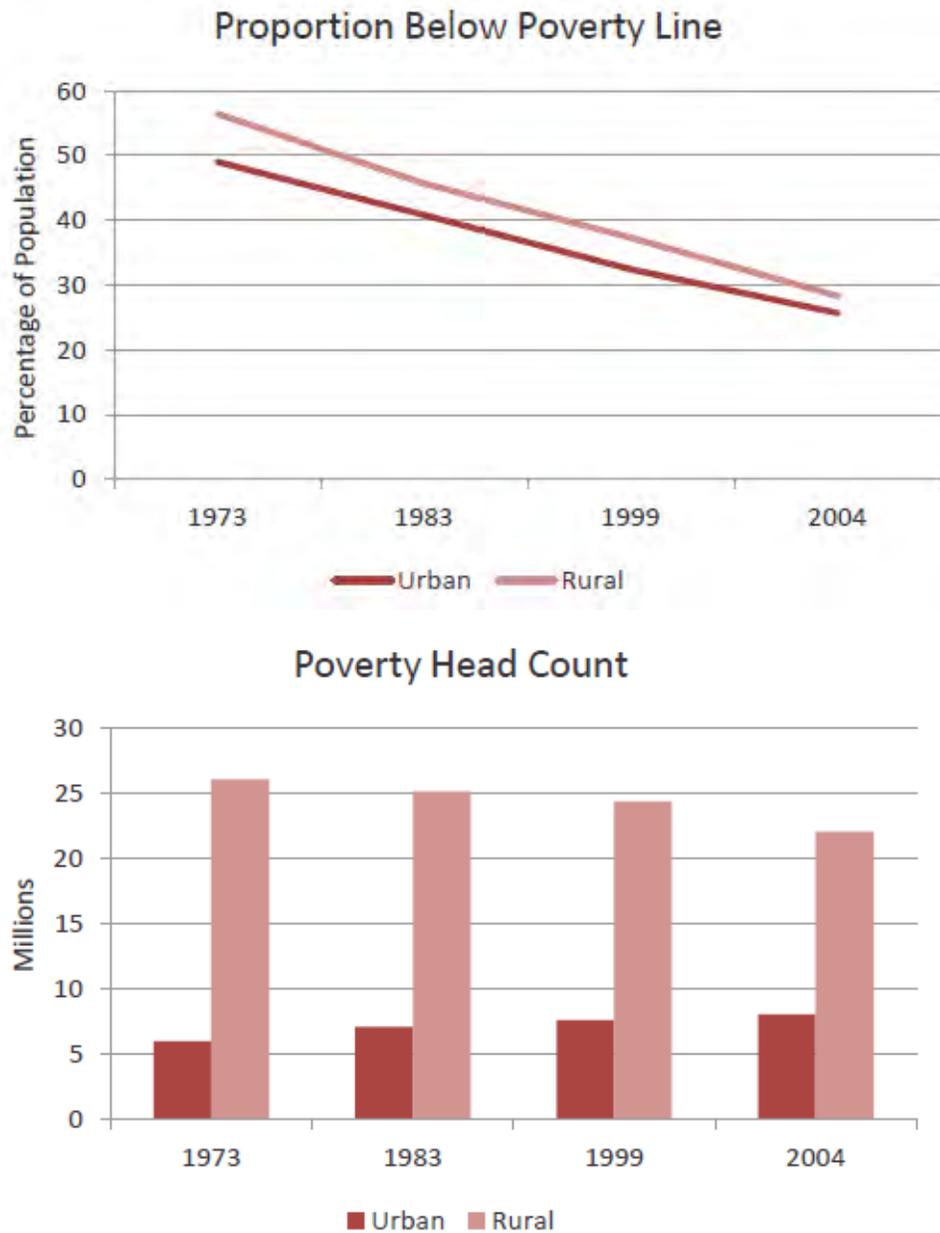
UNDP has the credibility and convening power to bring together national, state and city-level institutions. This is best done by building on the experience of its poverty, governance, resources, health and risk programmes. It will need to focus its limited institutional capacities on a few states and cities and leverage partnerships with other UN agencies, multi and bilateral donors, foundations and corporates for programme and funding support. Strong innovation and knowledge partnerships with Universities, CSOs, think tanks, students, artists and residents communities would help deepen urban institutional capacity and accelerate national implementation programme processes.

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## Appendices

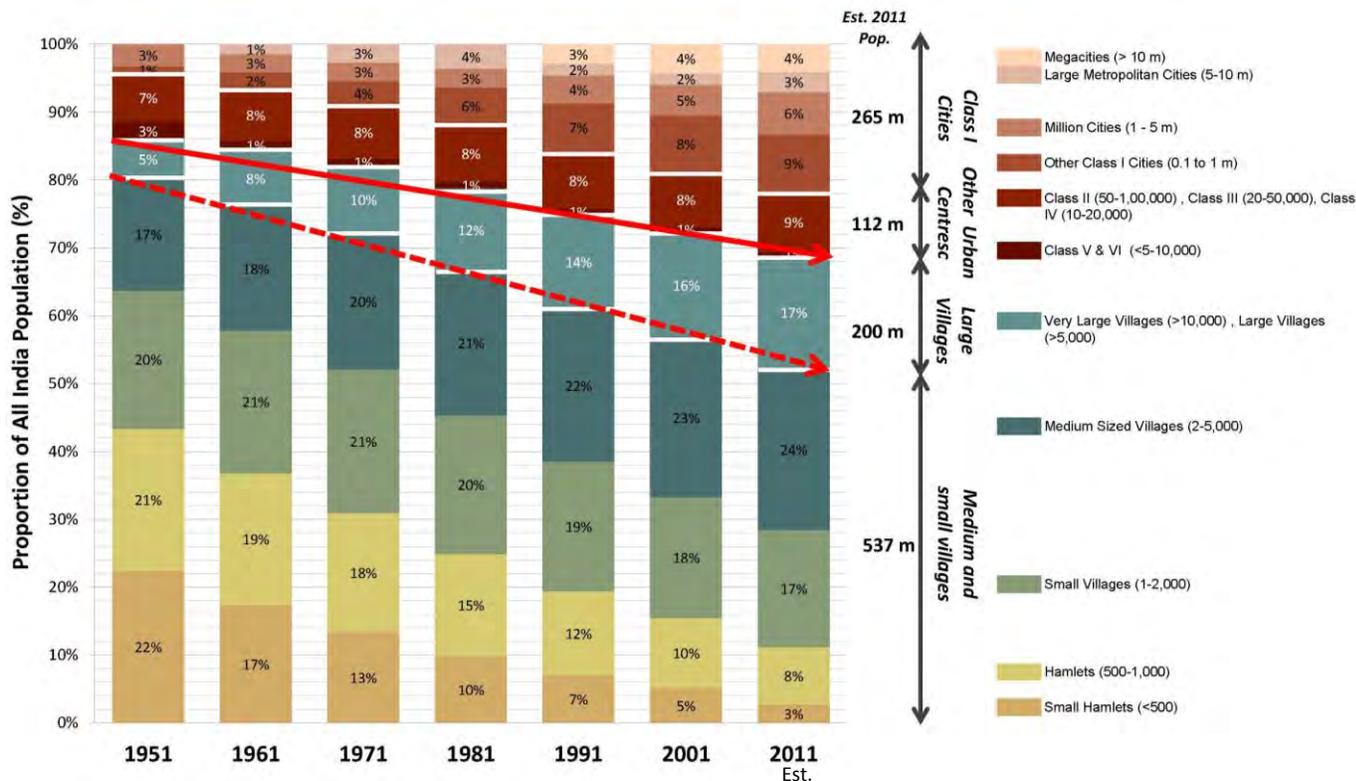
### Appendix 1: Urban Vs. Rural Poverty Head Count



The proportion of India's poor in the total population has fallen both in urban and rural areas, especially during the 2000s. However, the absolute number of the urban poor is increasing

Source: Urban India 2011: Evidence, IHS Publication, based on Planning Commission (2008)

## Appendix 2: Settlement structure In India (1951-2011)



**Definition of Urban:** All statutory places with a municipality, corporation, cantonment board or notified town area committee. A place satisfying the following three criteria simultaneously: a minimum population of 5,000; at least 75 per cent of male working population engaged in non-agricultural pursuits; and a density of population of at least 400 per sq. km. Source: Census, 2011

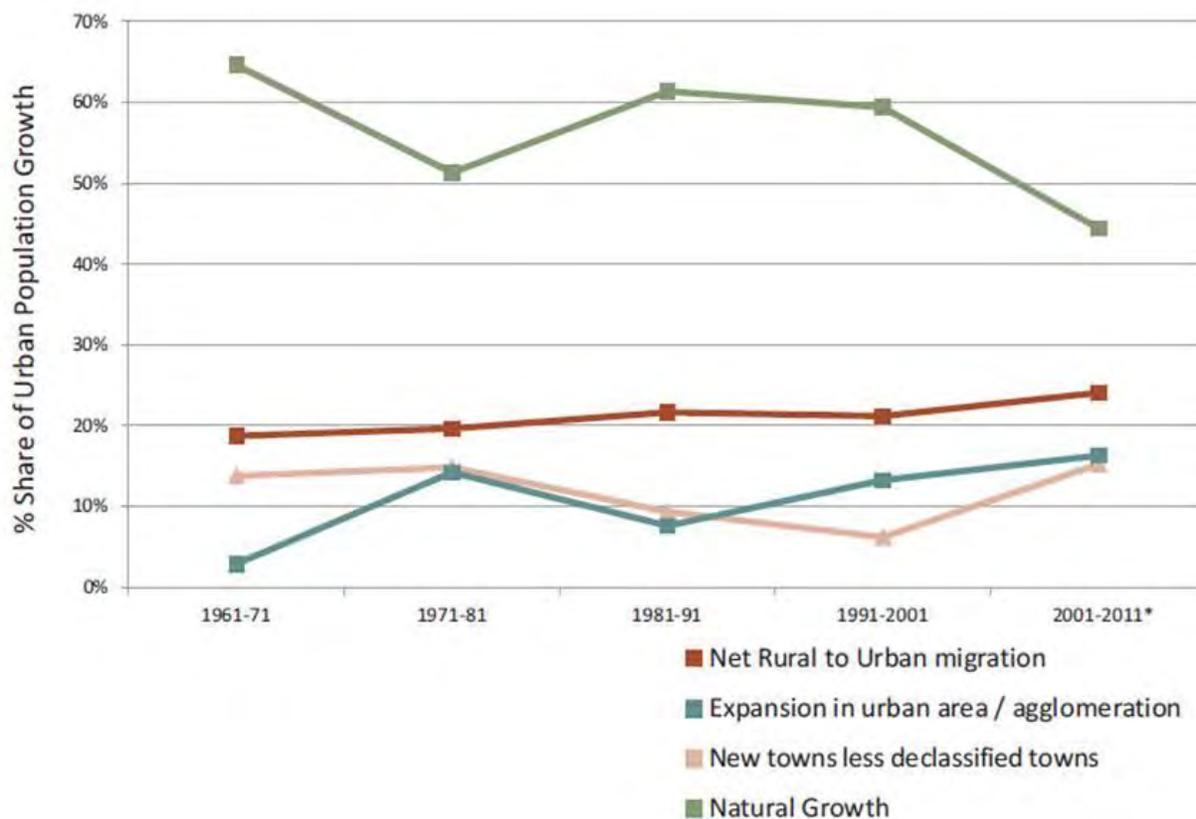
Depending on the definition of urban, more settlements need to be shifted from the rural into the urban category.

### All India: Number of Settlements (1971-2011)

	1991	2001	2011
Urban	3,351	5,161	7,935
Rural	634,321	6,38,588	640,867

Source: Urban India 2011: Evidence, IHS Publication

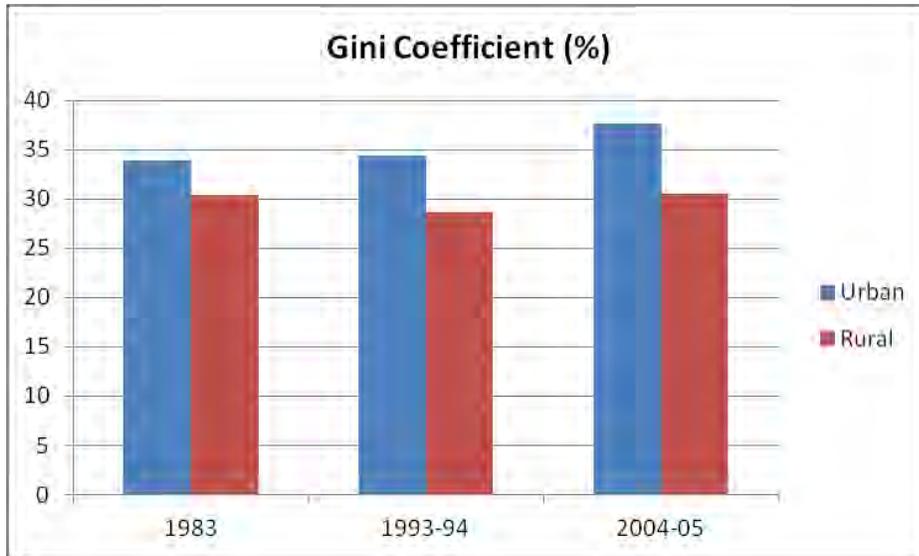
### Appendix 3: Migration Trends



The share of natural growth has declined from 59% in 1991-01 to approximately 44% in 2001-11, whereas the estimated rate of net rural to urban migration has marginally increased from 21% in 1991-01 to about 24% in 2001-11.

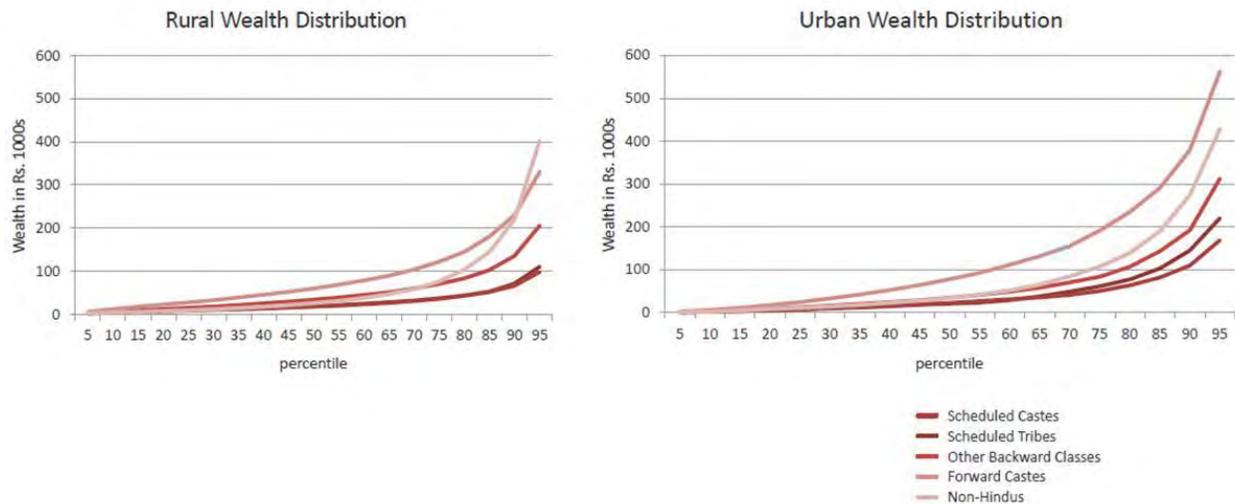
Source: Urban India 2011: Evidence, IHS Publication

## Appendix 4: Inequality trends and wealth distribution in Rural vs. Urban



Inequality in urban areas is typically higher than in most rural areas. Since the 1980s, inequality has been increasing in urban areas while it has remained relatively stable in rural areas

Source: O.P. Mathur, National Urban Poverty Reduction Strategy 2010 - 2021, NIPFP, July 2009



While there are differing scales of wealth by caste in the urban and the rural, but orderings of caste groups are similar.

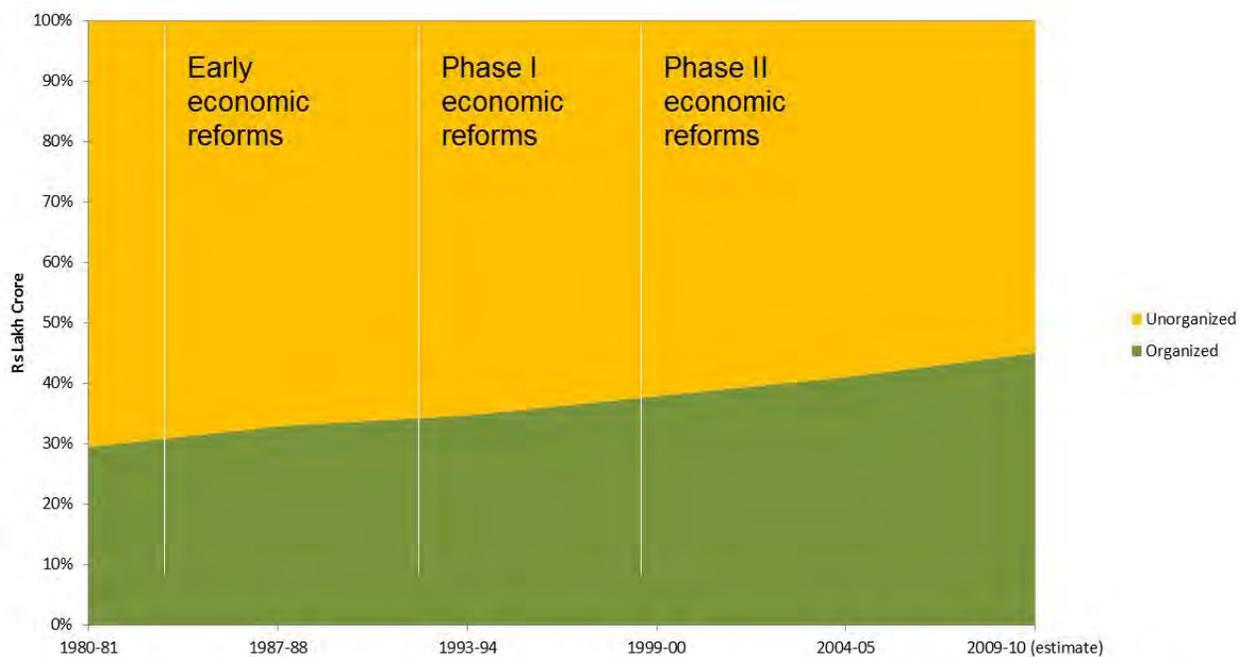
Source: Urban India 2011: Evidence, IIHS Publication, based on Zacharias and Vakulabharanam (2011)

**Appendix 5:List of Cities for which City-Specific plans are being prepared for Sarva Shiksha Abhiyaan by the Department of Elementary Education and Literacy**

Sr. No.	STATE	Sr. No.	District/CITY
1	MAHARASHTRA	1	Mumbai
		2	Pune
		3	Nagpur
		4	Nasik
2	WEST BENGAL	5	Kolkata
		6	Asansol (Bardhman)
3	DELHI	7	Delhi
4	TAMILNADU	8	Chennai
		9	Coimbatore
		10	Madurai
5	KARNATAKA	11	Bangalore Urban
6	ANDHRAPRADESH	12	Hyderabad
		13	Visakhapatnam
		14	Vijaywada (Krishna)
7	GUJARAT	15	Ahmedabad
		16	Surat
		17	Vadodara
		18	Rajkot
8	UTTAR PRADESH	19	Kanpur Nagar
		20	Lucknow
		21	Agra
		22	Varanasi
		23	Meerut
		24	Allahabad
9	RAJASTHAN	25	Jaipur city
10	BIHAR	26	Patna Urban
11	MADHYA PRADESH	27	Indore
		28	Bhopal
		29	Jabalpur
12	PUNJAB	30	Ludhiana
		31	Amritsar
13	KERALA	32	Kochi (Ernakulam)
14	JHARKHAND	33	Jamshedpur (E. Singhbhum)
		34	Dhanbad
15	HARYANA	35	Faridabad

## Appendix 6: GDP: Organised and Unorganised Sector Comparison

Unorganized Sector fraction of GDP (1980-2009)

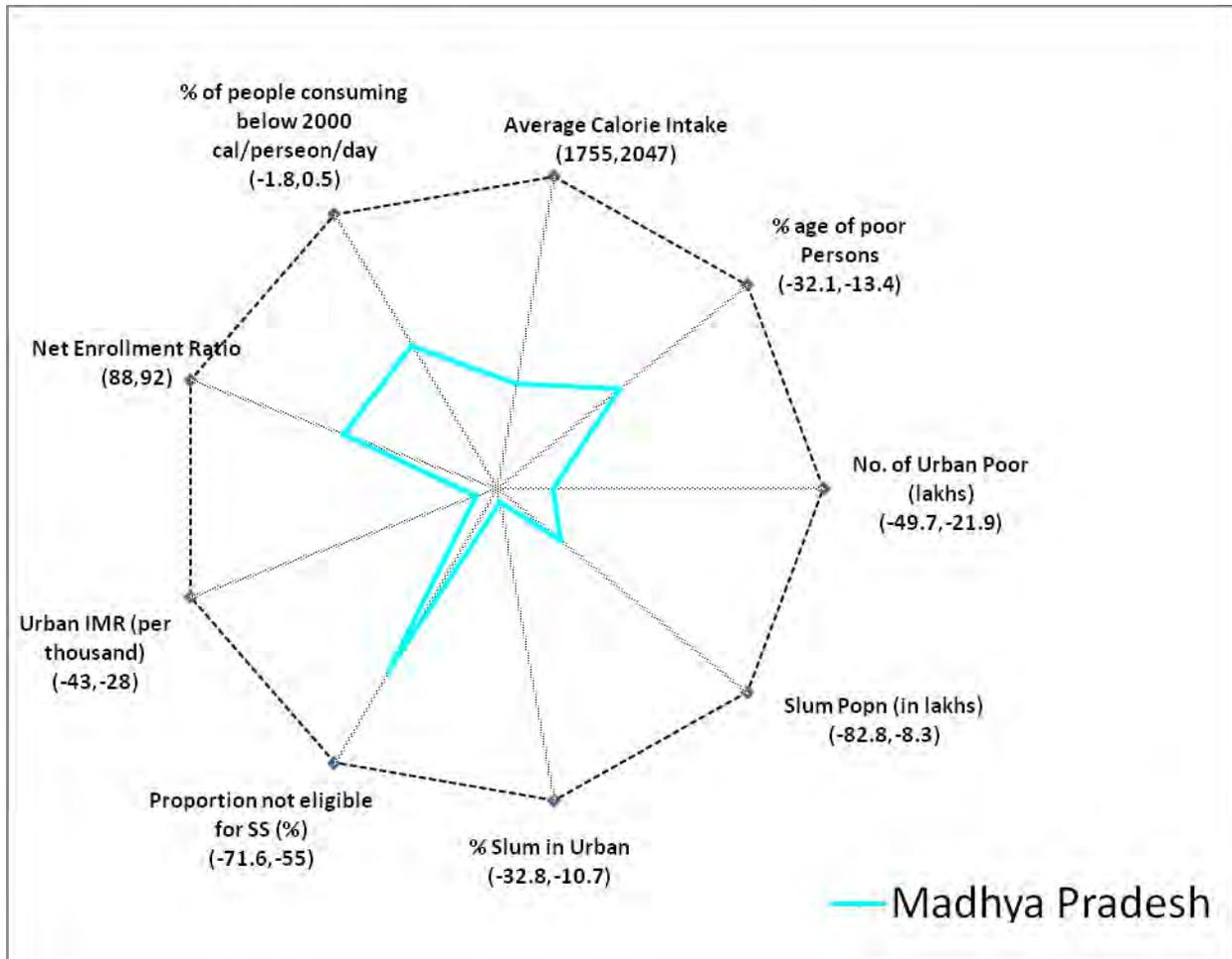


All amounts in constant 2009-10 prices.  
Source: National Accounts Statistics

## Appendix 7: Strategy Matrix

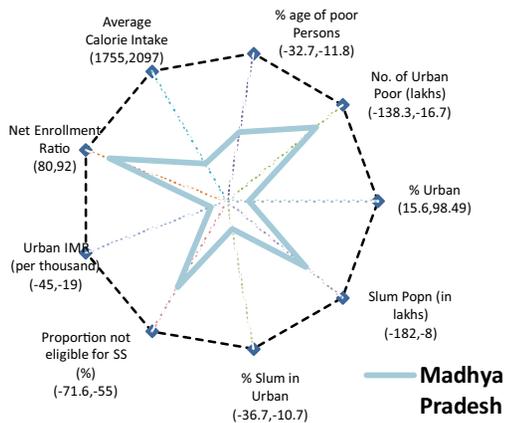
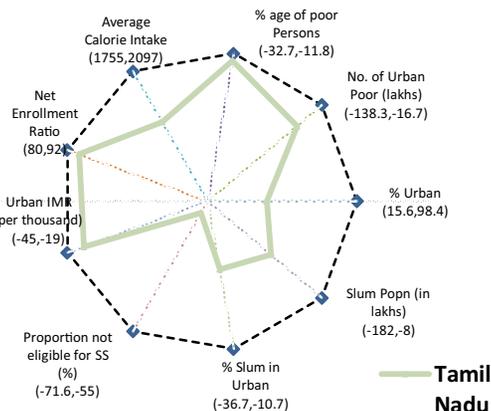
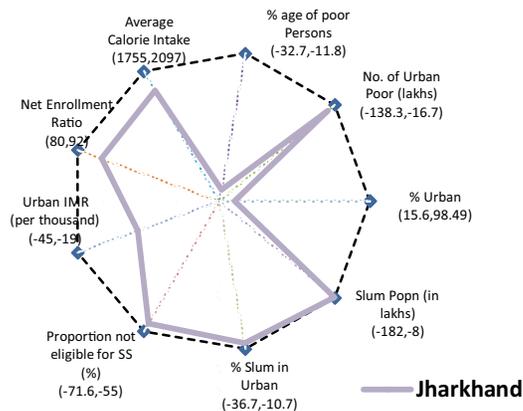
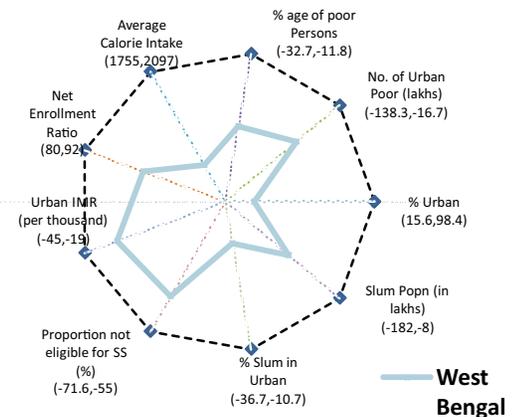
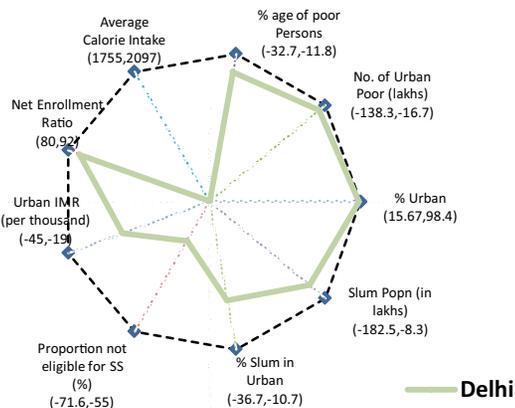
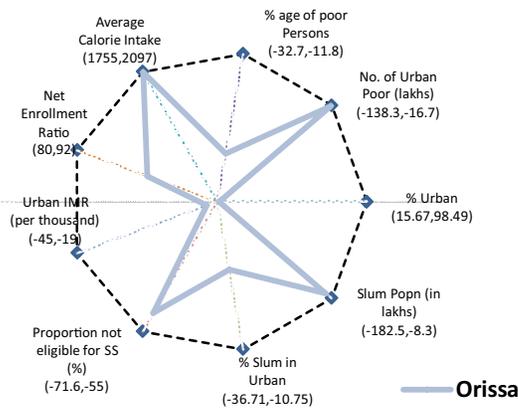
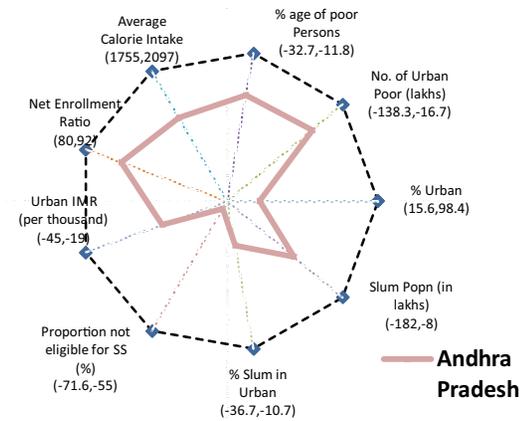
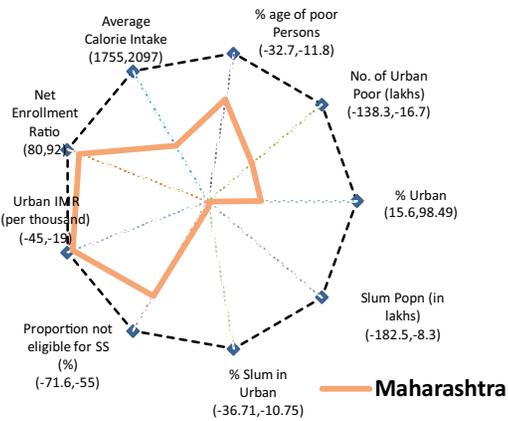
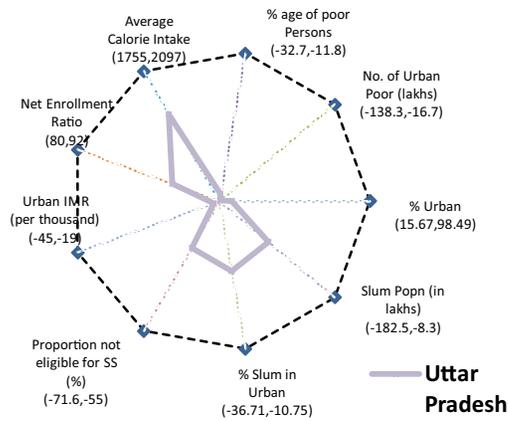
Programmatic Areas   Levels of Engagement	National	State	ULBs	Other Institutions
A. Policy and Analysis	Sustainable Urban Human Development Report	(state level U-HDR)	(city level e.g. Mumbai)	Think tanks / urban knowledge platform: corporators, parliamentarians, MLAs
	Multi dimensional Poverty Index			
B. National Programmes	Strategic Policy Dialogues			
	NULM design - Support Mission secretariat - Monitoring and Learning Framework	RAY and NULM design and implementation support at State level	Implementation Support	Community empowerment
C. State Programmes		Engagement with state home grown programmes (e.g. MP Watsan, Municipal Cadre)		
D. Institutional Development	Support Mission secretariat	Implementation Support	Implementation Support	Educational & Research Instn.
	Financial support for building Knowledge Centers	Financial support for building Knowledge Centers		Educational & Research Instn. Integrating pro-poor planning (ppp) (JNNURM & NIMSH)
E. Knowledge Partnership	Best practices & innovation	IUDRR+Climate Report Support		
	Urban Poverty Report II			
F. Celebrating Urban Innovations	Data systems integrated with multi-dimensional poverty index	"Urban Poverty Dashboard"		Think tanks / urban knowledge platform
	National Skill Development Mission			Learning from South-South Exchange Financial Inclusion Support NGOs
		Diamond' : Award for sustainable urban human development and poverty reduction		
		International Exchange Events and Festivals (South - South)		Students, Artists and other cultural media
<b>Urban Clusters and Rural-Urban Continuum</b>				

## Appendix 8: Indicative State Multi-dimensional Poverty Mapping



*Note: The matrices used here are indicative. Data used is from various NSS rounds and Census data. It has been normalised across dimensions such that smaller the coordinate, worse off the state is.*

# Sample Poverty Analysis for 9 Indian States



## Appendix 9: List of Participants at the Urban Poverty Consultation

Held on 19th July, 2012 in New Delhi

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