

**UNITED NATIONS DEVELOPMENT PROGRAM-INDIA  
MINISTRY OF HOUSING AND URBAN POVERTY ALLEVIATION,  
GOVERNMENT OF INDIA**

**FINAL REPORT**

**TERMINAL EVALUATION OF NATIONAL STRATEGY FOR URBAN  
POORPROJECT**

**RAMAN DEVELOPMENT CONSULTANTS PRIVATE LIMITED  
MARCH-2010**

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## LIST OF ACRONYMS AND ABBREVIATIONS

ADB	Asian Development Bank
AIILSG	All India Institute of Local Self Government
AMC	Ahmedabad Municipal Corporation
APUFIDC	Andhra Pradesh Urban Finance Infrastructure Development Corporation Limited
BSUP	Basic Services for Urban Poor
CBO	Community Based Organization
CEPT	Center for Environment Planning & Technology
CGG	Center for Good Governance
CII	Confederation of Indian Industries
CPAP	Country Programme Action Plan
CSF	Critical Success Factors
CSO	Civil Society Organization
DFID	Department For International Development
EDI	Entrepreneurship Development Institute of India
EIUS	Environmental Improvement of Urban Slums Scheme
GOI	Government Of India
GIS	Geographical Information System
GMHST	Gujarat Mahila Housing SEWA Trust
GTZ	Deutsche Gesellschaft fur Technische Zusammenarbeit
GUDM	Gujarat Urban Development Mission
HDR	Human Development Report
IEG	Institute of Economic Growth
IL & FS	Infrastructure Leasing and Finance Services
INR	Indian National Rupee
IPOMS	Integrated Poverty Monitoring System
IT /ICT	Information Technology / Information and Communication Technology
JNU	Jawaharlal Nehru University
JNNURM	Jawaharlal Nehru National Urban Renewal Mission
LCS	Low Cost Sanitation
M & E	Monitoring & Evaluation
MDG	Millennium Development Goals
MIS	Management Information System
MCGM	Municipal Corporation of Greater Mumbai
MoUD	Ministry of Urban Development
MUD & PA	Ministry of Urban Development & Poverty Alleviation
MUE & PA	Ministry of Urban Employment & Poverty Alleviation
MoHUPA	Ministry of Housing & Urban Poverty Alleviation
MTR	Monthly Technical Report
MYFF	Multi Year Funding Framework
NCR	National Capital Region

NCT	National Capital Territory
NCTD	National Capital Territory of Delhi
NGO	Non Government Organization
NIUA	National Institute of Urban Affairs
NRC	National Resource Center
NRCUP	National Resource Center for Urban Poverty
NRY	Nehru Rojgar Yojna
NSSO	National Sample Survey Organization
NSUP	National Strategy for Urban Poor
NUHM	National Urban Health Mission
NURM	National Urban Renewal Mission
PSC	Project Standing Committee
PMB	Project Management Board
PMU	Project Management Unit
RAY	Rajiv Awas Yojana
RCUES	Regional Centre for Urban Environmental Studies
RFP	Request For Proposal
RTI	Right To Information
SEWA	Self Employed Women Association
SJSRY	Swarna Jayanti Shahari Rojgar Yojana
SoW	Scope of Work
TCPO	Town & Country Planning Organization
TULCI	Transformation of Urban Living Conditions through Innovation
UBS	Urban Basic Services
UHRC	Urban Housing Resource Center
ULB	Urban Local Body
UNDAF	United Nations Development Agreement Framework
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UPA & L CELL	Urban Poverty Alleviation & Livelihood Cell
USD	United States Dollar
ToR	Terms of Reference
YASHADA	Yashwantrao Chavan Academy of Development Administration

## **ACKNOWLEDGEMENT**

NSUP was a project encompassing several project sites, comprising many stakeholders and created significant quantum and varieties of outputs and outcomes.

It would not have been possible for the Mission team to understand NSUP in all its significant aspects without proactive help and assistance of all the stakeholders.

The time, efforts and sharing of all the stakeholders have enriched evaluation of NSUP and rendered our task of evaluation more interesting and enjoyable. Mission team thanks all the stakeholders of NSUP for their kind support.

Mission team especially thanks the Policy Cell team for its efforts in collating and compiling all significant outputs of NSUP and making it available to the mission team. This provided a running start to the mission team.

All evaluations are learning to varied extent and NSUP has especially provided a rich learning opportunity to all the mission team members. Mission thanks MoHUPA and UNDP for this opportunity.

## 1. EXECUTIVE SUMMARY

### 1.1 TERMINAL EVALUATION EXERCISE

Terminal evaluation of National Strategy for Urban Poor (NSUP) project was carried out by Raman Development Consultants Private Limited (RDC) during September 2009 and December 2009. The evaluation team comprised of Rajendra Jani (Team Leader), Rajendra Joshi, Madhu Bharati Sharma and Dr. Ketan Gandhi.

### 1.2 THE PROJECT

NSUP project was signed in November 2003 between UNDP and Government of India (GOI) for a five year period with end date of December 31<sup>st</sup> 2007 with allocated budget of USD 6 Million including UNDP share of USD 5 Million. NSUP had two components i.e. a national component and a National Capital Region (NCR) component. The planned project result and intended outcomes are highlighted in the text box.

#### PROJECT FRAMEWORK

Project Result- Encouraging informed debate and formulate national and state level strategies on urban poverty reduction

Project Outcome 1 -Enhanced understanding on trends and directions of urban poverty in India

Project Outcome 2- An all India network on urban poor livelihood established to support wider stakeholders' dialogue and exchange of information within India and with other countries.

Project Outcome 3 Innovative and promising livelihood initiatives of urban poor communities broadened and deepened across the country

Project Outcome 4 - Capacity building for a national strategy on urban poverty reduction

Project Outcome-5 Comprehensive review and capacity analysis to formulate operational strategies for financing livelihood intensive social/physical infrastructure and improved regulatory environment in NCR

NSUP design was re-casted in 2006 to align with seven point charter of Jawaharlal Nehru National Urban Renewal Mission (JNNURM). NSUP was extended twice with final end date being December 31<sup>st</sup>, 2009. The project was examined in its various aspects through various evaluation exercises comprising Mid Term Evaluation (2007), Evaluation of NGOs/CBOs under NCR component (2008), Management Audit (2008), Outcome Evaluation of service line 2.6 and 3.1 of CPAP 2003-2007 (2006). Terminal Evaluation takes all above reports in cognizance.

### 1.3 THE CHANGING CONTEXT

Understanding of Urban Poverty has matured with passage of time from the belief that poverty exists only in villages and rich live in cities; to urban poverty is a transient phenomenon; to urban



poverty is a spill over of rural poverty; to now the holistic understanding of urban poverty as multidimensional and complex phenomenon including access poverty.

With growing understanding, responses to the Urban Poverty have also broadened in India, as evident from various programs and schemes of urban poverty alleviation (NRY, EIUS, LCS, SJSRY, etc.) from the Fifth National Plan onwards to agenda of “inclusive growth” in the Eleventh National Plan. The apex institutional structure at national level also has undergone several changes and since 2004, Ministry of Housing and Urban Poverty Alleviation (MoHUPA) is the apex national policy making and nodal body with responsibility for urban poverty alleviation.

While NSUP was taken up under “Decentralization” theme of UNDAF 2002-07, it was the first time UNDP –India office had a project on Urban Poverty.

The immediate policy and program environment has undergone sea changes during the tenure of NSUP including launching of one of the largest program of GOI on urban renewal in the name of JNNURM with sub mission on Basic Service for Urban Poor (BSUP), Re-casting of SJSRY and recently announced Rajiv Awas Yojna (RAY) etc.

Broader environment has also changed significantly with Right to Information (RTI) Act, growing emphasis on Bottom of Pyramid approach, holistic paradigm of urban planning, increasing use of Information and Communication Technology and E-Governance.

## **1.4 EVALUATION OBJECTIVE AND METHODOLOGY**

Terminal Evaluation had five objectives of -

1. To monitor and evaluate results and impacts, including an assessment of sustainability.
2. To provide a basis for decision making on actions to be taken post-project.
3. To assess the effectiveness and efficiency of resource use.
4. To document, provide feedback on, and disseminate lessons learned.
5. To assess the project’s response to, and the validity of, recommendations made by the mid-term review (MTR) undertaken in 2007.

Methodology of evaluation comprised designing and finalizing inquiry framework, deciding stakeholders for meetings in consultation with UNDP, evaluation inquiry based on check list, semi structured interviews and wherever possible small group meetings. Teleconferences were resorted to whenever physical meetings were a constraint.

## **1.5 LIMITATIONS OF EVALUATIONS**

The evaluation is limited by comparison of intended outcomes with re-casted implementation of NSUP.

## **1.6 FINDINGS AND CONCLUSIONS –OVERALL NSUP**

**Mission evaluates NSUP overall as “Satisfactory” based on evaluation with respect to its intended result.**

Relevance of NSUP is as per developmental priorities of GOI and priority areas of UNDP. Effectiveness of NSUP is rated as “satisfactory”; Efficiency as “satisfactory”; Results as “highly satisfactory”; Sustainability as “highly satisfactory”.

Mission identifies significant outcomes of NSUP including significant capacity built in terms of network structures and partner institutions at all levels; outputs at draft policy/strategy levels including draft National Strategy for Urban Poverty Reduction, India Poverty Report, Mumbai HDR and draft Model Acts on varied themes affecting urban poor; strengthening the agenda of urban poverty at national level; systems enhancing the program efficiencies like I-POMS, Poverty toolkits and planning manuals at city levels and the sustainability of significant outcomes of NSUP.

Critical Success Factors contributing to the performance of NSUP are identified as strong leadership, collegial environment and adaptive management practices by MoHUPA, selection of credible and interested partners in the project by MoHUPA and UNDP, high level of energy spends by policy cell, high motivation of partners and strong knowledge inputs and coordination by UNDP. Mission notes that JNNURM-BSUP and NSUP both drew from each other and created synergies for both the projects.

Mission critiques the design in terms of logic flow among output-outcome-results especially NCR components, limited involvement of urban poor in NSUP and project management systems.

## **1.7 FINDINGS AND CONCLUSIONS-OUTCOME LEVEL**

Findings of outcome level evaluation have a dissonance with overall evaluation of NSUP based on results, due to disconnect in the NSUP design and logic flow between result and intended outcomes.

Outcome -1 of “Enhanced understanding on trends and directions of urban poverty in India” is judged to be significantly achieved and “highly satisfactory”. Outcome-2 of “An all India network on urban poor livelihood established to support wider stakeholders’ dialogue and exchange of information within India and with other countries” is judged to be partly achieved and “moderately satisfactory”. Outcome-3 of “Innovative and promising livelihood initiatives of urban poor communities broadened and deepened across the country” is judged to be partly achieved and “moderately satisfactory”. Outcome-4 of “Capacity building for a national strategy on urban poverty reduction” is judged to be significantly achieved and “highly satisfactory”. Outcome-5 of “comprehensive review and capacity analysis to formulate operational strategies for financing livelihood intensive social/physical infrastructure and improved regulatory environment in NCR” is judged to be significantly not achieved and “moderately unsatisfactory”. Outcome-6 of “Targeted support to community associations and NGOs active in the NCR of Delhi to promote urban poor concerns and to address multiple vulnerabilities of urban poor” is judged to be partly achieved and “moderately satisfactory”.

## 1.8 RECOMMENDATIONS

Mission recommends that:

- i. MoHUPA should develop and implement comprehensive scale up and transit strategy and plan to sustain NSUP outcomes
- ii. UNDP should consider focusing on strategic niches created by NSUP through programs like capacity building of urban poor networks; program of model ULBs; capacity building of ULBs.
- iii. UNDP should consider strategic niches in other priorities areas based on strengths demonstrated by NSUP of facilitating policy enabling programs.
- iv. UNDP should focus on convergence and alignment of its geographical areas of focus, priority areas and ongoing projects.
- v. UNDP should develop and implement protocols and guide for tapping potential convergence and linkages between ongoing projects.
- vi. UNDP should develop design guides and protocols for policy enabling green field programs.

## 1.9 LEARNING

NSUP has generated significant learning comprising:

- i. Role of adaptive management practices in policy enabling projects with changing context
- ii. Capacity building as a central plank strategy for enhancing sustainability
- iii. Need for involving primary stakeholders in policy programs despite of difficulties associated
- iv. Need for sound logic flow among mix of outputs-outcome-project result
- v. Role of proper mix of outcomes to enhance sustainability
- vi. Catalytic use of developmental partner funded program and budget in tandem with government programs and budgets
- vii. Critical Success Factors for project success including magic of strong leadership, collegial environment, high energy spends by the Policy Cell, credible and interested partners and strong knowledge input and coordination by UNDP
- viii. Tapping synergies of ongoing projects within UNDP through strong linkages and convergence

## **2. INTRODUCTION: THE PROJECT**

### **2.1 THE PROJECT**

National Strategy for Urban Poor (NSUP) project was signed in November 2003 between UNDP and Government of India with Ministry of Urban Development and Poverty Alleviation (MUD & PA) as the key implementing agency. The indicative project budget was of USD 6 Million with share of USD 5 million from UNDP and USD 1million from third party to be procured at a later date. The estimated end date of the project was December 31<sup>st</sup>, 2007.

The project was in harmony with UNDAF 2003-07 and the priority of strengthening of decentralization assigned by GOI and forms part of strategic areas of support of “development and implementation of macro and poverty reduction policies and strategies”.

Three significant changes, which occurred during the life of the project, worth noting are:

- Bifurcation of the Ministry in to two separate Ministries viz. ‘Ministry of Urban Development (MoUD)’ and ‘Ministry of Urban Employment and Poverty Alleviation (MUE & PA)’ in May 2004. MUE&PA (which later came to be known as Ministry of Housing & Urban Poverty Alleviation-MoHUPA since year 2006) became the key implementing agency for the project since November 2004.
- The project was re-casted to align with the flagship and major program introduced by GOI namely Jawaharlal Nehru National Urban Renewal Mission (JNNURM) in December 2006. This was based on Project Management Board (PMB) decision<sup>1</sup> though no formal revision to the project Log frame was done.
- Project was extended twice with final end date being 31<sup>st</sup> December 2009.

The project was subjected to following evaluation exercises during its tenure -

- Mid Term Evaluation in April-2007
- Evaluation of NGOs/CBOs interventions in 2008 under the NCR component of NSUP
- Outcome evaluation of service line 3.1 and 2.6 of UNDP country program-2003-07 (December-2006)
- Management Audit (2008)

This terminal evaluation takes cognizance of all the above evaluations.

### **2.2 THE CONTEXT**

#### **2.2.1 INDIA URBAN POVERTY SCENARIO**

It is now well recognized that urban poverty is a complex phenomena and not simply a spillover of rural poverty. Urban poverty is not only income poverty and/or consumption deficit but also access

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<sup>1</sup> Second PMB meeting referred to in the seventh PSC minutes-28<sup>th</sup> December 2006

poverty. Urban poor lack the access to minimum basic services including water, sanitation, secure housing tenure, retraining and retooling opportunities for adequate income paying jobs, health services and education and adequate social safety nets.

India's urban population is increasing at a faster rate than its total population. With over 575 million people, India will have 41% percent of its population living in cities and towns by year 2030 AD from the present level of 286 million and 28%.

With India becoming increasingly globalized and urban, there is also an increase in the number of poor people living here. As per the latest National Sample Survey Organization (NSSO) survey reports there are over 80 million poor people living in the cities and towns of India. The Slum population is also increasing and as per Town and Country Planning Organization (TCPO) estimates 2001; over 61.80 million people were living in slums.

The increased learning and consequently broader response spectrum to urban poverty is reflected in India's Five year National Plan documents. While the Fifth National Plan mentioned urban poverty; integrated view of it started emerging from Seventh National plan (1985-90) and programs like Nehru Rojgar Yojana (NRY), Urban Basic Services (UBS), EIUS, Low Cost Sanitation (LCS) etc. were implemented by GOI. Seventh National Plan stated that need of urban poor should be taken into account in all physical planning exercises. Eighth National Plan (1992-97) recognized that urban policy can impact urban poverty and that urban poverty is not a spill over of rural poverty. The Eleventh National Plan (2007-12) focused for the first time on "inclusive growth" agenda and affordable services for the urban poor and initiated major programs like JNNURM (from 10<sup>th</sup> plan onwards) with separate sub mission on BSUP, recently announced Rajiv Awas Yojana and modified SJSRY.

The concerned Ministry was constituted in May 1952 and thereafter went through several structural changes of bifurcations & mergers. In year 2004, the then Ministry of Urban Development & Poverty Alleviation bifurcated into two ministries viz. (i) Ministry of Urban Development and (ii) Ministry of Urban Employment and Poverty Alleviation (MUE & PA). The Ministry of Urban Employment & Poverty Alleviation later was named as Ministry of Housing & Urban Poverty Alleviation (MoHUPA) in year 2006.

While policy development is recognized as one of the strengths of India, the program implementation of poverty alleviation schemes have fallen short of vision due to various reasons of lack of capacities at all levels, low progress on decentralization to ULBs and lack of synergies in functioning among central, state and ULBs and lack of data and information.

Urban poverty alleviation assumes major importance for India due to three reasons of – (i) need for achieving inclusive growth agenda; (ii) need for achieving high economic growth through vibrant, effective and efficient urbanization; and (iii) need to fulfill its commitment to achieve Millennium Development Goals (MDG).

NSUP against this backdrop was very relevant and timely program.

### 2.2.2 UNDP-2003

Urban poverty in India in 2003 was an emerging developmental priority. No data or adequate expertise existed in the country and even now the dearth exists. Even for UNDP with its core competence in Human Development Index, advocacy and knowledge dissemination, the project-design and implementation has been a learning experience.

### 2.2.3 THE POLICY CONTEXT-2003 TO 2009

The policy and program environment underwent significant changes during the life span of NSUP.

The significant policy and structural changes include:

- Birth of the new Ministry of Urban Employment & Poverty Alleviation in 2004
- Right To Information Act introduced in 2005 ushering in new era of entitlement holders' right to information.

Significant program changes in urban poverty scenario include:

- JNNURM, which is one of the largest programs of urban renewal, was flagged off in December 2005 with a sub mission on 'Basic Services For the Urban Poor (BSUP)' with planned tenure of seven years
- Recasting of Swarna Jayanti Shahari Rojgar Yojana (SJSRY), 2009
- Rajiv Awas Yojana – Announced in 2009

Other broader changes in the larger environment include:

- Increasing acceptance of Public–Private Partnership in removing urban poverty and improving basic services
- Piloting approaches of “Bottom of Pyramid” towards strengthening roles of poor as producers, consumers and citizens
- Increasing trend of deploying IT/ICT tools and E-Governance in urban governance and supply of basic services
- Growing realization and changes in the city planning paradigm from geographic to spatial to economic and holistic planning approach

NSUP project has been influenced by and also has influenced some of the changes to varied extents. This dynamicity of the changing context and duality of cause and effect relationship between NSUP and its environment made evaluation exercise more interesting and at the same time challenging.

### 3. DESCRIPTION OF THE PROGRAM – LOGICAL RESULTS FRAMEWORK

The project was designed as a policy enabling one and the design included two components comprising a National component and a NCR region specific component. The six outcomes envisaged in the project document are highlighted in the subsequent chart.

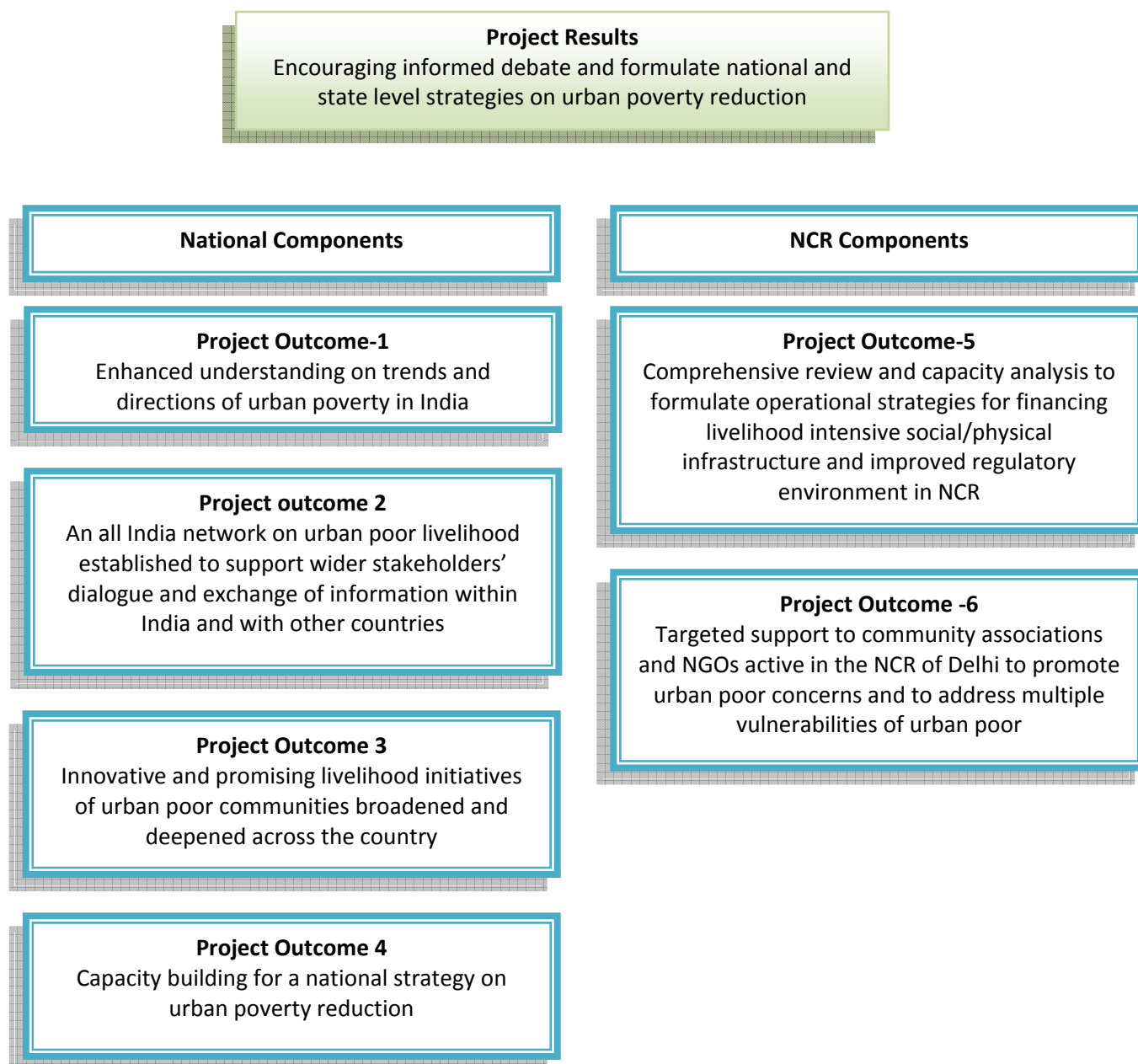


CHART 1: PROJECT RESULTS & OUTCOMES



The national components of NSUP project operated at central, state and ULB levels in selected cities and states and the NCR components operated in Delhi region.

The project design underwent a significant change in 2006 when it was aligned with JNNURM and its seven point charter through endorsement in seventh PSC of the PMB board decision. The salient features of the re-casted NSUP are highlighted in the following text box.

FEATURES OF RECASTED NSUP

- Integration of NSUP with JNNURM and its seven point charter and NSUP to strengthen implementation of JNNURM
- Strengthen policy cell funded by UNDP in MoHUPA with subject specialists in key areas
- Establishment of data center on urban poverty
- Establishment of MIS capacity for implementation of BSUP and IHSDP
- Support to ULBs and states to set up urban poverty alleviation and livelihood promotion cells
- Theme paper on 11<sup>th</sup> plan
- Strategy for convergence in service delivery
- Capacity building for pro-poor governance in states/ULBs
- Strengthening capacities of JNNURM-BSUP mission directorate
- Utilization of savings of NSUP funds for strengthening of policy cell, MIS cell/data center, etc.

No formal revision in the log frame/project design was carried out which raised a question for the evaluation mission regarding the appropriate reference frame for evaluation, which is addressed in limitations of the study subsequently.

The major stakeholders and partners in the project included:

- MoHUPA
- UNDP
- Policy Cell in MoHUPA supported by UNDP
- Yashwantrao Chavan Academy of Development Administration (YASHADA)
- Regional Centre for Urban and Environmental Studies (RCUES) of All India Institute of Local Self Government (AIILSG)
- National Institute of Public Finance & Policy
- Entrepreneurship Development Institute of India
- Jawaharlal Nehru University
- Centre for Good Governance
- National Institute of Urban Affairs (NIUA) along with 20 NGOs/CBOs who participated in specific interventions
- Department of Social Welfare, Government of NCTD
- SEWA
- Madras School of Economics

Additionally individuals comprising of eminent researchers and academicians were also stakeholders of the project including members of the National Core Group on Urban Poverty, Authors of India Poverty Report, Ministerial Advisory Group members and academicians.

The detailed log frame of the project is appended in Appendix-1.



## **4. PURPOSE OF THE EVALUATION, METHODOLOGY AND LIMITATIONS**

### **4.1 OBJECTIVES**

The five objectives of the evaluation as per Request For Proposal (RFP) comprise:

1. To monitor and evaluate results and impacts, including an assessment of sustainability.
2. To provide a basis for decision making on actions to be taken post-project.
3. To assess the effectiveness and efficiency of resource use.
4. To document, provide feedback on, and disseminate lessons learned.
5. To assess the project's response to, and the validity of, recommendations made by the mid-term review (MTR) undertaken in 2007.

The detailed Terms of Reference are appended in Appendix-2.

### **4.2 EVALUATION METHODOLOGY**

A detailed inquiry frame for carrying out the evaluation was developed and finalized based on discussions with Poverty Team of UNDP.

The inquiry frame is appended in Appendix-3.

The stakeholders were indentified in consultation with UNDP and meetings organized with prior circulation of the inquiry frame to the stakeholders. The data collection was mainly of qualitative nature with semi-structured interviews based on the key questions, referral of relevant documents and small group meetings whenever possible. Tele conferences were resorted to when the physical meetings were a constraint.

The documentation related to NSUP is varied and comprises:

- Outputs Documents- research papers, guidance notes, city and state poverty profiles, strategy papers including India Poverty Report, draft National Urban Poverty Reduction Strategy, Mumbai HDR, draft Model Acts, etc.
- Project Administration related- Minutes of Project Management Board and Project Standing Committee
- Project Monitoring related- monthly/ quarterly reports of primary recipients of NSUP, event/activity end notes, etc.
- UNDP hand books and protocols on evaluation
- Reports of earlier evaluations especially Mid Term Evaluation, Outcome Evaluation, Management Audit and Evaluation of NGOs/CBOs under NCR

The mission team has gone through the above documents as relevant to the evaluation task of the mission.

Appendix-4 lists out key documents referred. Appendix-5 lists out the stakeholders met.

### **4.3 LIMITATIONS**

The evaluation has a limitation of precise reference frame due to lack of proper documentation of design changes at the time of recasting of NSUP in 2006.

Evaluation thus is limited by comparison of the original intended outcomes with implementation of revised NSUP. One effect of the limitation is an apparent degree of disconnect between evaluation findings and conclusions at project result level and findings at project outcome level.

## 5. FINDINGS AND CONCLUSIONS– OVERALL NSUP

### 5.1 OVERALL RATING

This chapter details out the evaluation of NSUP as per its planned result. Next chapter details out outcome wise evaluation.

The overall aim of NSUP stated in the project documents is “The project aims at encouraging informed debate and formulate national and state level strategies on urban poverty reduction drawing on the wealth of local and international research findings on causes and potential responses to urban poverty keeping in mind that institutional reforms to improve efficiency and strategies to accelerate human development process are needed.” (Page 34 of the project document, point C.V.)

**Mission judges NSUP to be ‘Satisfactory’ in achieving the above stated result based on overall evaluation of NSUP and based on parameters of relevance, effectiveness, efficiency, results and sustainability.**

### 5.2 RELEVANCE OF THE PROJECT

Relevance of the project includes relevance of the project to developmental priorities of Government of India and relevance of NSUP in context of priorities of UNDP and overall country plans.

**Mission judges the relevance of the project to be ‘Highly Satisfactory’.**

Mission judges NSUP to be highly relevant to the continual developmental priorities of GOI and focus areas of UNDP as evidenced by UNDAF and CPAP of two plan periods of 2002-07 and 2007-12 and priorities allocated to UN institutions by GOI of decentralization and gender inclusive programming. This is demonstrated by -

- Alignment with developmental priority of Government of India- The increased priority of GOI towards urban poverty is indicated through various measures like formation of Ministry of Urban Employment & Poverty Alleviation (2004) and launch of one of the largest program of urban renewal under JNNURM (2005) in Tenth Plan period. The shift to “Inclusive Growth Agenda” in Eleventh National Five Year Plan marked launch of Modified SJSRY with inclusion of self –employment component, announcement of Rajiv Awas Yojana (RAY) and strengthened program implementation system in JNNURM with pro-poor programming.
- Alignment with UNDP area of focus- NSUP is in harmony with UNDAF 2003-07 and the priority of strengthening of decentralization assigned by GOI and forms part of strategic areas of support of “development and implementation of macro and poverty reduction policies and strategies” UNDAF 2003-07.

### 5.3 PROJECT EFFECTIVENESS

Project effectiveness comprises parameters of soundness of the project design/log frame; project approach in terms of primary stakeholders representation; project ownership by the stakeholders and processes and adequacy of resources.

**Mission judges the project effectiveness to be ‘Satisfactory’.**

#### 5.3.1 PROJECT LOGIC FRAME

While the mission judges stated project result to be sound, it offers critique on the logical links between outcomes to outputs to inputs. The project result and outcomes have been earlier shown in Chart 1.

While the outcomes 1,2, 3 and 4 dovetail with the project result. Outcome-6 is judged to be not feasible within the project time span of five years. (Design to outcome level cycle time span is judged to be longer than the project time span, especially looking at implementation down the line from prime recipient level in NSUP).

Outcome 5 seems to have logic of generating a state data and extrapolate the same to generalized strategic frameworks and distill critical success factors for other states for scaling up. However, the choice of location of NCR could have been improved upon. NCR region is well known for existence of multiple authorities and fragmented and overlapping roles coupled with no benefit of any additionality of learning due to choice of NCR as a location of intervention.

The output to outcome linkages also shows similar disconnect to some extent, some e.g. include-

OUTCOME	INTENDED OUTPUT	COMMENT
Outcome 1:Enhanced understanding on trends and directions of urban poverty in India	Output-3: Benchmarking of service standards and operational efficiencies	The Output-3 does not seem to be contributing to the Outcome-1
Outcome-2: An all India network on urban poor livelihoods established to support wider stakeholders dialogue and exchange information within India and other countries	Output-1: Key interventions and approaches in pilot cities to improve urban livelihoods and living conditions indentified, discussed among local politicians, NGOs and stakeholders  Output-2: Better understanding of weaknesses and opportunities and constraints and key roles to be played by the stakeholders	All the three Outputs collectively are not adequate and would not achieve the desired Outcome.

OUTCOME	INTENDED OUTPUT	COMMENT
	Output-3: Community websites/materials to be hosted	

Evaluation is limited in its comments on the re-casted design because though some features of the re-casted design are documented in PSC meetings in bits and pieces, the same has not been reflected in the project log frame.

### 5.3.2 PROJECT APPROACH

Mission judges that overall approach of the project in terms of selection of cities and states for poverty profiling, relevance of the research subjects and sites, identification and selection of partners and the interlinked project structure of PMB, PSC, policy cell, prime partners and secondary recipients as sound and 'Highly Satisfactory'.

Mission notes the absence of institutional fabric in the initial period of NSUP for its implementation and credits the role played by MoHUPA and UNDP and the process of enrolling interested and credible stakeholders in NSUP. Much credit of the visibility, credibility and possible scale up of NSUP outputs is attributable to sound selection of partners of stature and interest.

NSUP showed strong Result Based Management approach and Adaptive Management Practices in its implementation, which is evidenced by the recasting of NSUP in year 2006.

### 5.3.3 PRIMARY STAKEHOLDERS REPRESENTATION

Mission offers critique on the limited role and stake of urban poor in NSUP.

National Core Group on Urban Poverty Alleviation did have individual advisors from institutions like Janaagraha, SPARC, BASIX but direct representatives of urban poor were absent. All the research had interactions with urban poor but it was limited to data gathering and initial consultations. NCR component did work with NGOs/CBOS and to some extent provided opportunities of representation of urban poor at intervention implementation level. Various networks formed under NSUP including Mayors' Conclave, Researchers Colloquium, City Managers Forum, National Network of Urban Resource Centers, etc. also did not have representation of urban poor in their constitutions. SEWA was enrolled in NSUP but had limited role of documentation of best practices.

Mission appreciates the difficulties of selection of appropriate representatives of urban poor especially as there are very few organized networks/CBOs/associations/federation, etc.that can be considered as representatives of urban poor.

NSUP would have been enriched by strong role of direct representatives of urban poor and also could have built capacities of the urban poor.

#### 5.3.4 OWNERSHIP OF STAKEHOLDERS AND PROJECT PROCESSES

The mission evaluates ownership and project processes to be ‘Highly Satisfactory’.

Top Management of MoHUPA had strong ownership and demonstrated visible interest and presence throughout the project. Significant key meetings were attended by the Honorable Minister and the Secretary. EDI stated the presence of National Project Coordinator in five valedictory functions of EDI training workshops in the states. AILSG and YASHADA had almost daily interactions with MoHUPA. Policy Cell members traveled all over project sites and had high amount of informal communication with all the stakeholders.

All the stakeholders have praised the features of processes like ease of accessibility of top management of MoHUPA, priority accorded for NSUP tasks, real time feedback and cross learning and freedom available to express divergent views.

NSUP created a collegial environment and high energy inputs and the mission attributes the same to the openness and leadership of the top management of MoHUPA.

Significant stakeholders considered NSUP as an immense source of personal satisfaction and contribution, which the mission takes as an indicator of ownership by the stakeholders.

#### 5.3.5 RESOURCE ADEQUACY- PLANNED RESOURCES AND TIME SPAN

Mission evaluates NSUP time span as appropriate and total funds of USD 5 Million as adequate for the project result envisaged.

However, the mission judges the allocation of the 50% of the total funds to outcomes 5 and 6 (NCR components) as higher than warranted, looking at proportionality of funds for the outcomes (1,2, 3 and 4) directly contributing to the project result.

The total expenditure booked under the NSUP project till January 2009 disbursement reports, has been USD 4,960,370 indicating a satisfactory spend rate of 99.2%. The remaining USD 39,630 has been retained for Project closure activities to be spent in year 2010.

### 5.4 EFFICIENCY

**Mission judges the results of NSUP to be ‘Satisfactory’.**

Efficiency comprises parameters of project management system including project MIS, monitoring and evaluation, financial systems and cost effectiveness.

#### 5.4.1 PROJECT MANAGEMENT SYSTEMS

While the processes, stakeholders identification, ownership etc. have been judged to be sound, mission offers critique on project management and implementation system and judges that the same could have been stronger with proper project MIS and regular monitoring.

Mission was not able to find evidences of any significant activity levels or outputs in NSUP between year 2003 and year 2006. PSC meetings track record and minutes also suggests low volume of outputs. E.g.

- Though the project documents mention estimated project start date in July 2003 all signatures were put in October 2003.
- First PMB and PSC were held in November 2003 and second PSC was planned in December 2003 but held in June 2004, six months after the first PSC. Third PSC was also delayed and held in April 2005, 10 months after the third PSC meeting. Till sixth/seventh PSC (December 2006) this trend continued. Even second PMB seems to be held in November 2006.

Appointments to the policy cells were delayed and also allocation of the space for the cell by the Ministry was delayed for more than a year. The full time coordinator position was filled only in year 2006.

NSUP thus did not perform almost for half the planned project period (planned period was five years). The contributing factors to the delays are perceived to be that the MoHUPA (then MUE & PA) was formed only in 2004 and JNNURM also came in during 2005.

NSUP picked up rhythm and acceleration after December 2006 with re-casting of NSUP to dovetail it with seven point charter of JNNURM, appointment of full time National Project Coordinator and appointment of specialists in the policy cell.

There were delays in contract releases (Contracts of NIUA, JNU, IEG all were delayed after the decision to allot work), initial tranches of funds from NIUA to NGO/CBO partners in NCR were delayed significantly, significant funds from JNU had to be returned to NSUP after almost 1.5 years of “no start” of the allocated studies, all land mark outputs like India Poverty Report, Mumbai HDR, Draft National Urban Poverty Reduction strategy were delivered later than planned<sup>2</sup>. NSUP had to be extended twice and for two full years to bring it to closure.

Coupled with all above evidences, mission does not find adequate evidences of systematic and comprehensive MIS structure within NSUP or of formal monitoring system or regular monitoring. Regular reporting of physical progress and financial expenditure was a weak aspect of NSUP. Management Audit (2008) report bears this out.

The project MIS and reporting monitoring were weak aspects of NSUP. However, evaluations were carried out (Mid Term Evaluation of the Project, Evaluation of NGO/CBO work in NCR component and outcome evaluation of UNDP service line 2.6 and 3.1, Management Audit).

Mission attributes performance of NSUP despite of weak project management system to strong leadership of MoHUPA, high energy spends of policy cell members, high motivation of partners, and strong coordination and knowledge inputs by UNDP.

#### 5.4.2 FINANCIAL SYSTEMS

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<sup>2</sup> based on records of PSC minutes of planned and actual dates of deliveries of such outputs

Mission takes cognizance of Management Audit Report (2008, T. R Chadha and Co., Chartered Accountants) and judge financial management systems and prudence as satisfactory.

#### 5.4.3 COST EFFECTIVENESS

Mission judges NSUP overall to be a cost effective project and one which generated “Value for Money” for GOI and UNDP.

The human and institutional resources enrolled in NSUP were among the high quality comprising wide spectrum of support partners like from different fields including academic research institutions like IEG and JNU, National Institute of Public Finance & Policy, Madras School of Economics; urban poverty alleviation practitioners like SEWA, SPARC; educational and training institutions like CEPT, EDI; Governance specialists like Centre For Good Governance, etc.

Implementing partners included national resource centers like YASHADA, AILSG, State urban departments and ULBs and reputed NGOs/CBOs (under NCR component).

With its modest fund of USD 5 Millions, NSUP has generated a wide range of key outputs including

- Advisory Structures/Think tanks- National Core Group on Urban Poverty Alleviation, Ministerial Advisory Group
- Network Structures- National Network of Urban Resource Centers, Mayors Conclave, Researchers Colloquium, City Managers Forum
- Basis for Policy reports- India Poverty Report, Draft National Urban Poverty Reduction Strategy, Mumbai HDR, Draft Model Acts, etc.
- Basis for Operational Strategy formulation reports- City and State Urban Poverty Profiles and Urban Poverty Reduction Papers
- Capacity building and training tool kits and manuals –Several modules for senior and middle level functionaries of ULBs and other stakeholders were developed & training conducted.
- Systems Tools-I-POMS, MIS templates, Development of BSUP fund through internal earmarking, Tracking System for SJSRY, Municipal Action Plan for Poverty Reduction (MAPP), Online Grievance Redressal Tracking System (OGRTS), etc.
- Learning & Implementation Tools- Register of Innovations, GIS Manual, Gender Budgeting, Poor Budgeting, 29 audio visual documents, etc.
- Dissemination & Advocacy Initiatives-6 Special Issue Documents, Monthly Newsletters, NSUP Website, Stakeholder Workshops on issues like gender budgeting, poor budgeting, etc.



## 5.5 RESULTS

### **Mission judges the results of NSUP to be ‘Highly Satisfactory’.**

NSUP is one unique project demonstrating how a strong leadership and open climate by Government and coordination and facilitation by a developmental partner can achieve the project result.

Achievements of NSUP are across levels of ULBs, States, Central and comprises intangibles as well as tangibles. Major results of NSUP are judged to be -

- Bringing the issue of urban poor and urban poverty to the forefront of policy making and in limelight- Prior to NSUP debates and discussions about urban poverty were sporadic and limited to academic circles. Schemes were designed and programs launched without advantage of supporting detailed data or holistic analysis as no data existed on trends and directions of urban poverty in India. Wide canvass of research outputs of NSUP included land marks reports like India Poverty Report, Draft report on National Urban Poverty Reduction Strategy, Mumbai HDR, etc. India Poverty Report has been oft quoted by developmental partners, National Planning Commission and cited by national and international newspapers. State and City level urban poverty profiles were developed and are being referred by relevant authorities for implementation of JNNURM. Even legislative questions have been based on India Poverty Report. Research on urban poverty and livelihood has resulted in recasting schemes like SJSRY with incorporation of component of self employment and entrepreneurship development. Tools for pro-poor approaches have been incorporated in implementation of JNNURM. These include training, tool kits for measurement of urban poverty, I-POMS for online tracking of BSUP, etc. Policy and occasional papers, guidance notes on tenure rights, land block availability and Model Acts on varied subjects have been created paving ground for further debate and decision making.
- Participatory processes and creation of intellectual capital and knowledge products- Perhaps even more or equally important to the above achievement, has been the manner in which it has been brought about. Prior to NSUP most of the schemes on urban poverty alleviation have been formulated by the central Government in isolated manner with top down approach without much involvement of states/ULBs or other stakeholders. NSUP was able to enroll a wide spectrum of urban poverty actors including thinkers/researchers, elected representatives, State and City Managers and NGOs/CBOs in a climate of free and frank debates, dialogues and discussions including critique of existing policies. All stakeholders have stated that no editing was carried out by the GOI or UNDP except for the language and grammar part for all the outputs of NSUP. Mission evaluates this as a unique feature of NSUP and attributes it to MoHUPA in displaying such positive openness. Mission judges that NSUP was able to consolidate and strengthen the existing intellectual capital on urban poverty in India and create value additive knowledge products. This is evidenced by the range of outputs and stakeholders involved. (Refer Appendix-6 for NSUP Products)
- Weaving an institutional fabric for tackling urban poverty- Prior to NSUP there was disconnect among various implementing agencies (central, state and ULB), thinkers (researchers, thinkers) and Policy makers. Urban poverty alleviation was perceived to be

mainly a responsibility of the state through administration of centrally sponsored schemes. NSUP weaved a fabric of actors interlinked through networks structures like City Managers' Forum, Mayors Conclave, Researchers' Colloquium, National Network of Urban Resource Centers, National Core Group on Urban Poverty Alleviation, Ministerial Advisory Group etc. linking research and policy, stakeholders at various levels and from various sectors. NSUP also highlighted the nodal role of ULBs in urban poverty alleviation and could interlink Center, State, ULBs and support all program stakeholders.

- Capacity building for tackling urban poverty at all levels

NSUP has built capacities for urban poverty reduction to significant extent among stakeholders at various levels. Many of the institutional partners met during the evaluation exercise reported significant capacity gains in the process of NSUP project implementation.

MoHUPA's capacity strengthening is evidenced by increased budgets; interest shown by various stakeholders in urban poverty; land mark outputs like draft strategy on National Urban Poverty Reduction, India Poverty Report, Mumbai HDR; increased support from other development partners like World Bank and DfID, etc.

RCUES of AILSG reported NSUP project implementation as immensely enriching experience. RCUES of AILSG reported that though RCUES already worked on Urban Development, Urban Poverty was a new area, which they learnt through NSUP implementation. RCUES of AILSG also reported initiating new projects for Urban Poverty Reduction like Adhar or supporting ULBs in areas like Gender Budgeting and Poor Budgeting as with Pimpri Chinchwad Municipal Corporation and contributed this to learning from NSUP project.

YASHADA reported that NSUP project implementation helped to bring Urban Poverty to institutional attention and also helped in institutional sensitization on issues related to Urban Poverty. The learning from NSUP acted as trigger point for many other activities by YASHADA including training of ULB functionaries. For YASHADA, it was also a learning experience in terms of working in partnership with other institutions and working as National Resource Center.

IEG, which has Policy Research as its core area, reported its increased capacities in area of Action Research.

- Support to program implementation- NSUP fed in to implementation of JNNURM since its recasting in 2006 and has facilitated its implementation through various outputs like I-POMS for online tracking of JNNURM-BSUP component, tool kit for Urban Poverty Reduction Plan<sup>3</sup>, Training tool kits on various themes for city managers, etc. In fact JNNURM and NSUP both achieved synergy from each other. E.g. National Resource Centers were funded out of JNNURM and also NSUP and tasks and budgets were allocated from either of the program taping the synergies. NSUP facilitation in implementation contributed to strengthen program efficiencies, pro-poor approaches through local data about poor and urban poverty reduction papers and strengthened networks through

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<sup>3</sup> draft form circulated to ULBs

knowledge products generation and cross learning and capacity building. Even when some of NSUP's initiatives like poverty cell were not so successful due to varieties of reasons of non clarity of functional roles, unclear linkages within ULBs and no clear reporting channels; their learning are likely to be applied in the planned scale up (E.g. Mission-Convergence of Delhi Government is applying learning of the Poverty and livelihood cell. Learning from TULCI is applied in BSUP design, etc.)

- Influencing policies and programs related to urban poor- Links between a research and government policies are at best indirect and difficult to perceive. In some instances these links between NSUP and emerging policies and programs for urban poor has been demonstrated clearly. These include
  - Recasting of SJSRY- NSUP supported EDI strategic paper on entrepreneurship for urban poor resulted in recasting of SJSRY with additional component of self employment and entrepreneurship component. YASHADA also contributed in this exercise.
  - Systems strengthening for higher program implementation efficiencies-MIS for JNNURM-BSUP- The piloting of I-POMS and the likely scale up to all cities drawing funds under JNNURM is one example of adoption of system tools from NSUP.
  - Recent draft National Urban Poverty Reduction Strategy as a landmark output is in a way culmination of NSUP. Though it remains to be seen as to what extent it gets adopted by MoHUPA/GOI and at what time.
- Developing better macro understanding of Urban Poverty-NSUP project contributed significantly to the way policy makers and Programme Planners looked at Urban Poverty. The various outputs under NSUP project like state & city poverty profiles, India Urban Poverty Report, Special Issues, Strategic Papers, etc. provided a much better understanding of Urban Poverty and its various dimensions. This improved understanding on Urban Poverty not only contributed to the draft National Urban Poverty Reduction Strategy but also is evident in recasting of SJSRY or in design of Rajiv Awas Yojna.

There have also been indirect linkages of NSUP with urban poor policies and programs. These comprise efforts and contribution of the policy cell in MoHUPA funded under NSUP in preparation of Rajiv Awas Yojna, discussions and some knowledge inputs of UNDP team during time of designing of JNNURM(though not directly part of NSUP, such contribution was possible only due to ongoing NSUP), design of BSUP fund, etc.

## 5.6 SUSTAINABILITY

Sustainability is defined as likelihood of continuation of benefits after the project closure. The operating definition of sustainability in NSUP project is taken as continuation of ideas and interventions of NSUP after the closure of NSUP.

**Mission evaluates sustainability of NSUP to be 'Highly Satisfactory'.**

There are evidences of exit strategy/transit strategy/scale up plans of NSUP outputs after the closure of NSUP in PSC minutes<sup>4</sup>.

The evidences of sustainability comprise:

- Scaling up plan of MoHUPA of incorporating urban poverty centers to all BSUP cities.
- Launching of re-casted SJSRY with component of self employment and entrepreneurship development strategy for urban poor based on outputs of EDI and YASHADA.
- MoHUPA plan of scaling up of I-POMS to JNNURM cities.
- Design of funds for urban poor (BSUP).
- Likelihood of continuation of “think tank” attached to MoHUPA in the form of National Core Group on Urban Poverty Alleviation and ensuring that proactive planning and informed policy making happens based on debates and discussions among policy makers, thinkers/researchers and Urban Poverty managers.
- Scaling up of NSUP ideas including policy cell and their incorporation in to another program funded by DfID and World Bank. NSUP provided vibrancy and visibility to efforts of MoHUPA, which indirectly facilitated to some extent such programs and funds.
- Draft National Urban Poverty Reduction Strategy, which has just come out and yet to be debated, discussed and then furthered. It is not yet known to what extent this policy will be adopted by GOI.
- Recently announced Rajiv Awas Yojana – Policy cell of NSUP contributed in design of the scheme.
- Many outputs/documents produced by NSUP have life after NSUP closure. These comprise poverty profiles of cities and states, Mumbai HDR, India Poverty Report, training tool kits, etc.
- Capacity built to a significant extent among major stakeholders of NSUP (Refer point on ‘Capacity building for tackling Urban Poverty at all levels’ on page26 for details).

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<sup>4</sup> 11<sup>th</sup> and 12<sup>th</sup> PSC minutes record potential contours of scaling up NSUP. 13<sup>th</sup>PSC mentions exit strategy plan,14<sup>th</sup> PSC plans for handing over NSUP components to relevant institutions for continuance after the closure of NSUP

## 6. FINDINGS AND CONCLUSIONS- OUTCOME LEVEL

### OUTCOME-1: ENHANCED UNDERSTANDING ON TRENDS AND DIRECTIONS OF URBAN POVERTY IN INDIA

**Mission evaluates this outcome to be significantly achieved and rates as ‘Highly Satisfactory’.**

A comparison of intended outputs against actual for the outcome has been summarized in the subsequent table. The evidences of output delivery cited here are taken from the Appendix-6 and intended outputs from the project document.

INTENDED OUTPUTS	EVIDENCES OF OUTPUT DELIVERY
1. Policy recommendations to provide more clarity and an enabling environment for urban poverty reduction and sustainable livelihood	1. Varied outputs comprising draft National Strategy for Urban Poverty Reduction, India Poverty Report, occasional papers on issues of security of tenure, water supply and sanitation policy for the urban poor, urban livelihood-role of ULBs, urban livelihood-employability and micro-finance, institution building for community empowerment, participatory governance, etc. Development of draft policy/act like Model Housing Act, Model Housing and Slum Redevelopment Act, Model Act on Regulation and Management of Real Estate, etc.
2. Suitable index on urban poverty	2. Poverty profiles for 11 cities and 5 states, Mumbai HDR, Tool Kit for Social Audit for JNNURM, Plan for Urban Poverty Alleviation (for cities), etc.
3. Benchmarking of service standards and operational efficiencies	3. This output was not delivered under NSUP.
4. Center of excellence on urban poverty and sustainable livelihood under MoHUPA	4. Policy Cell, Data Centre, Resource Library, Urban Poverty Research Cell, National Network of Urban Resource Centers all under MoHUPA are operationalized and likely to be sustainable beyond NSUP.
5. City specific livelihood reports	5. This output was not achieved directly, however City/State Poverty Profiles are done

Intended Output -3 of bench marking service standards and operational efficiencies and Intended Output -5 of city specific livelihood reports have not been achieved. Mission judges that the output-outcome link was nor logical nor directly relevant to the outcome planned and hence the outcome rating is not affected by non-achievement of these outputs.

**OUTCOME-2:AN ALL INDIA NETWORK ON URBAN POOR LIVELIHOOD ESTABLISHED TO SUPPORT WIDER STAKEHOLDERS' DIALOGUE AND EXCHANGE OF INFORMATION WITHIN INDIA AND WITH OTHER COUNTRIES.**

**Mission judges this outcome to be partly achieved and 'Moderately Satisfactory'.**

The comparison between intended outputs and actual is highlighted in the following table.

INTENDED OUTPUTS	EVIDENCES OF OUTPUT DELIVERY
<ol style="list-style-type: none"><li>1. Key interventions and approaches in pilot cities to improve urban livelihoods and living conditions identified, discussed among local politicians, NGOs and stakeholders</li><li>2. Better understanding of weaknesses and opportunities and constraints and key roles to be played by the stakeholders</li><li>3. Community websites/materials to be hosted</li></ol>	<p>Actual outputs delivered by NSUP comprises</p> <ul style="list-style-type: none"><li>• National Resource Center and its network</li><li>• Research and documentation of 11 City Urban Poverty Profiles, 5 State Urban Poverty Profiles, 40 innovative and best practices, web site on urban poverty, 18 films on urban poverty, etc.</li><li>• National Core Group on Urban Poverty</li><li>• Mayors Forum, Researchers Colloquium, City Managers Forum</li><li>• Training modules, tool kits and programs held for ULBs functionaries, etc.</li></ul>

Intended Output 1 of “key interventions and approaches in pilot cities to improve urban livelihood and living conditions identified and discussed among local politicians, NGOs and stakeholders” has been met significantly due to outputs and debates on urban poverty profiles of cities and states and other outputs of NSUP but the role of primary stakeholders seems limited except in data collection for basic research, initial discussions and the primary stakeholder consultations in some instances and the NGO/CBO involvement in NCR component under another outcome.

Intended Output -2 of “better understanding of weaknesses and opportunities and constraints and key roles to be played by the stakeholders” is judged to be partly achieved due to degree of interactions, training and capacity building due to networks meetings and cross learning, training modules for city managers, etc.

The various networks formed under NSUP were support networks to facilitate policy and programs related to urban poor. The networks of Mayors Forum, City Managers Forum and Researchers' Colloquium are very useful concepts but do not seem to have specific mandate, roles and



responsibilities, tasks or matching budget allocated for continuum of work. However, their few meetings did serve useful purpose of cross learning and advocacy.

Mission offers critique of not adequate participation of urban poor in such networks or utilizing/linking/strengthening existing networks of urban poor in NSUP.

Mission does not find any evidences of linkages of the networks established under NSUP with networks outside India.

National Core Group on Urban Poverty is a strong aspect of NSUP and a unique example of thinkers, urban poverty experts and implementers and policy makers and representatives of urban poor coming together as a platform for exchange of ideas, though its direct impact on policy is difficult to establish.

Intended Output-3 of “community websites/ material to be hosted” is also rated partly achieved as NSUP website did host varieties of material and innovative practices. However, there were no websites of communities supported/developed/strengthened under NSUP.

### **OUTCOME-3: INNOVATIVE AND PROMISING LIVELIHOOD INITIATIVES OF URBAN POOR COMMUNITIES BROADENED AND DEEPENED ACROSS THE COUNTRY**

**Mission judges this outcome to be partly achieved and ‘Moderately Satisfactory’.**

INTENDED OUTPUTS	EVIDENCES OF OUTPUT DELIVERY
<ol style="list-style-type: none"><li>1. Criteria for access to resources and innovative pilot initiatives identified and widely disseminated</li><li>2. Register of innovations</li><li>3. Data base of international experience</li><li>4. Networking within India to facilitate learning by doing</li><li>5. Lessons learnt on use of incentive funds to support innovation incorporated in government sponsored schemes</li></ol>	<ul style="list-style-type: none"><li>• Urban Poverty Alleviation and Livelihood Cell established in 13 cities</li><li>• Formulation of Urban Poverty Reduction Strategy through entrepreneurship development</li><li>• Poverty Reduction Strategy development for 11 cities</li></ul>

Intended Output -1 of “criteria for access to resources and innovative pilot initiatives identified and widely disseminated” has been partly achieved under NSUP. Urban Poverty Alleviation and Livelihood Cells were a good concept here but not designed in details and not implemented soundly. The cells did not have a well designed mandate and corresponding resources including supporting institutional structures and had weak reporting relationships and low ownership of parent bodies. Establishment of most of the cells was delayed. Between the confusion of straddling roles between nodal/research and implementation they did not deliver the adequate performance. However, these learning have been fed in to NSUP and Delhi now has Mission-Convergence and

the UPA & L Cells are being scaled up under JNNURM –BSUP sub mission. Another dimension of this output has been development and piloting of a model of entrepreneurship development for urban poor and five states participated in the full cycle of cascade training. EDI reports a success rate of 40-60%<sup>5</sup>, which is comparable with the success rate in other trainings of EDI. SJSRY program was re-casted based on this input and component of self employment was added in the scheme.

Intended Output-2 of “Register of Innovation” has been achieved. Register of Innovation documents 11 innovative practices of urban poverty reduction.

Intended Output-3 “Data base of best international practices” and Intended Output-4 of “networking within India to facilitate learning by doing” has not been achieved.

Intended Output-5 of “Lessons learnt on use of incentive funds to support innovation incorporated in government sponsored schemes” has been partly achieved with the ongoing work of design of BSUP by IL& FS, though it remains to be seen as to what extent it gets incorporated in MoHUPA policy and programs.

#### **OUTCOME-4: CAPACITY BUILDING FOR A NATIONAL STRATEGY ON URBAN POVERTY REDUCTION**

**Mission judges that this outcome has been significantly achieved and ‘Highly Satisfactory’.**

INTENDED OUTPUTS	EVIDENCES OF OUTPUT DELIVERY
<ol style="list-style-type: none"><li>1. Discussion papers on urban poverty reduction and sustainable livelihood that can serve as guide to future directions</li><li>2. Discussion papers on institutional arrangements and strategic long term vision for center and the states</li><li>3. Comprehensive review of urban poor</li><li>4. GIS supported data base and profiles</li><li>5. Interdepartmental mechanism for data collection, collation and updating</li><li>6. Benchmarking service standards and operational efficiencies</li><li>7. Tools for analysis of data in holistic manner</li><li>8. Core data generated and utility established in one Government sponsored program</li><li>9. Integration of data sets</li></ol>	<ul style="list-style-type: none"><li>• Strategy papers, occasional papers, guidance notes on various issues, concerns, opportunities in urban poverty written and disseminated.</li><li>• Draft National Strategy for Urban Poverty reduction developed.</li><li>• India Urban Poverty Report, States and Cities Urban Poverty Profiles, Mumbai HDR, etc.</li><li>• Pilot GIS applications and GIS Manual done</li><li>• I-POMS developed and implemented and being scaled up</li></ul>

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<sup>5</sup> success rate is defined as percentage of numbers of businesses started divided by numbers of potential entrepreneurs starting the training



INTENDED OUTPUTS	EVIDENCES OF OUTPUT DELIVERY
10. Adequate capacity for successful management and updating of data	

Intended Outputs-1, 2, 3,5, 7, 8,9 and 10 are judged to be significantly achieved under this NSUP Outcome, while Intended Output-6 of benchmarking services standards and operational efficiencies was not met and Intended Output-4 of GIS supported database and profile was partly met as it was piloted but wide scale application and scaling up was not done under NSUP.

Capacity for addressing urban poor has been strengthened at all levels of central, state and ULBs and across stakeholders and urban poverty actors from varied sectors including policy makers, research/academic institutions, urban poverty managers and urban poverty implementers. This is evidenced by -

- Strengthening of capacity of MoHUPA evidenced by modifications of schemes like SJSRY, Launching of schemes like Rajiv Awas Yojna, increase in funding of MoHUPA, new programs funded by DfID and World Bank to the tune of USD 100 Million, growing interest of other developmental partners like ADB, GTZ, UNICEF in Urban Poverty sector, etc. Though not all capacity building is due to NSUP, however NSUP did influence significantly capacities of MoHUPA.
- Strengthening of capacities of urban poverty support partners e.g
  - YASHADA- institutional sensitization, focus on Urban Poverty, being able to initiate new activities like training of ULBs based on learning from NSUP, experience of working as a National Resource Center, etc.
  - AILSG- institutional capacity building on Urban Poverty, being able to initiate programs on Urban Poverty like Adhaar, being able to support ULBs on issues like Gender Budgeting & Poor budgeting, etc.
- Research and academic institutions like
  - IEG- stated that their capacities to undertake action research have been strengthened.
  - EDI stated that potential of model of self employment (developed under NSUP) further applied for corporate sectors like Tata Telecom, CII, etc.
- Program implementation strengthening through
  - Planned scale up of modified design of Urban Poverty Cells
  - Planned scale up of I-POMS for online tracking of JNNURM
- Policy and strategy strengthening evidenced by
  - Recasting of SJSRY
  - Draft National Urban Poverty Reduction Strategy
  - Planned scaling up of initiatives/concepts developed under NSUP like Policy Cell, National Resource Centers, National Core Group on Urban Poverty Alleviation, etc.
  - Draft Model Acts on various issues related to urban poor

**OUTCOME-5:COMPREHENSIVE REVIEW AND CAPACITY ANALYSIS TO FORMULATE OPERATIONAL STRATEGIES FOR FINANCING LIVELIHOOD INTENSIVE SOCIAL/PHYSICAL INFRASTRUCTURE AND IMPROVED REGULATORY ENVIRONMENT IN NCR**

**Mission judged that this Outcome was not achieved to a significant extent and considers it ‘Moderately Unsatisfactory’.**

Mission is also critical of its incorporation in design as a not logical component feeding in to the project result directly and secondly the choice of NCR as a piloting place. NCR offers a unique intervention background due to plethora of authorities with overlapping and some times fragmented roles and its choice as piloting has limited use for rest of ULBs.

INTENDED OUTPUTS	EVIDENCES OF OUTPUT DELIVERY
<ol style="list-style-type: none"> <li>1. Forging systematic and continuous dialogue between professionals, administrators, town planners, NGOs, lawyers, journalists, environmentalists and representatives of the underprivileged on shaping future of NCR</li> <li>2. Discussion papers on financing instruments, micro credits, social security, regulatory environment and informal sector</li> </ol>	<ul style="list-style-type: none"> <li>• Urban Poverty Alleviation and Livelihood Cell establishment</li> <li>• Strategy and occasional papers and guidance notes, draft Model Acts prepared on various issues like (as evidenced in appendix 6) but not under NCR component</li> </ul>

While Intended Output-1 was attempted through establishment of Urban Poverty Cell and also through targeted support to NGOs, CBOs as output under outcome-6, however it failed to generate desired results due to varieties of reasons of lack of clarity of mandate of Urban Poverty Cell, delays in its implementation and start-off, no provision of full time coordinator/leader of the Cell, lack of ownership of the host department and involvement of multitude of authorities with fragmented roles. No comprehensive analysis of capacities was attempted.

Intended Output-2 of discussion papers on financing instruments, micro credit, social security happened under national component and not under NCR region. However, the applicability of these papers is also relevant to NCR with fine-tuning and to that extent this output has been partly achieved.

#### **OUTCOME-6: TARGETED SUPPORT TO COMMUNITY ASSOCIATIONS AND NGOS ACTIVE IN THE NCR OF DELHI TO PROMOTE URBAN POOR CONCERNS AND TO ADDRESS MULTIPLE VULNERABILITIES OF URBAN POOR**

**Mission judges that this Outcome to be partly achieved and ‘Moderately Satisfactory’.**

INTENDED OUTPUTS	EVIDENCES OF OUTPUT DELIVERY
<ol style="list-style-type: none"> <li>1. Commission pilot projects and analyze experiences to understand better the policies implications</li> <li>2. Targeted support to demonstrate pilot</li> </ol>	<p>20 Interventions started and completed (NCT)</p>

INTENDED OUTPUTS	EVIDENCES OF OUTPUT DELIVERY
<p>interventions under selected categories to address concerns of poor and demonstrate innovative approaches (access to land, security of tenure, informal sector occupations, basic services, access to health, micro credit, social safety net</p> <p>3. Collective efforts leading communities in a broader direction of policy influence and negotiations with authorities of Delhi Governance</p>	

Mission is critical of incorporating this outcome in the project design as it does not feed in to the project result directly and is not logical. The outcome is also judged to be at output level rather than outcome level.

Having stated above comments on the design, adequate efforts were spent in the outcome in thorough selection of NGOs/CBOs, nominating NIUA as nodal agency for supporting interventions, allocating geographical and thematic areas, developing linkages with relevant authorities and forming project steering committee, periodic reporting, etc.

However above efforts did not lead to performance of the Outcome due to varieties of reasons including:

- Deciding NGOs/CBOs first and then designing projects and carving out thematic areas was sub optimal exercise and akin to putting cart before the horse and intervention design remained hazy.
- Start up delays and very less time for interventions on the ground to perform.
- Desired degree of coordination and cooperation among concerned authorities and NGOs/CBOs could not happen.

## 6. RECOMMENDATIONS

Recommendations are developed for MoHUPA and UNDP, based on the evaluation and attempt to answer - what next?

### 6.1 RECOMMENDATION FOR MoHUPA

#### 6.1.1 SCALING UP AND SUSTAINING OUTCOMES OF NSUP THROUGH DEVELOPMENT AND IMPLEMENTATION OF A SCALING UP STRATEGY AND PLAN

NSUP has generated significant capacities at various levels in terms of network structure, institutional capacities, draft Model Acts, Draft National Strategy for Urban Poverty Reduction, Mumbai HDR, Training Tool Kits for City Managers, new support institutional structures like Urban Poverty Alleviation and Livelihood Cells, etc. MoHUPA has plan of scaling up some of these initiatives like Policy Unit at MoHUPA, I-POMS, Poverty Unit, etc.

However ensuring sustaining and building on the capacities built up under NSUP and also ensuring adequate response to the tremendous capacity needs existing in India for urban poverty reduction, require a detailed and comprehensive scaling up strategy and plan based on all lessons learnt.

It is recommended that a comprehensive scaling up strategy and plan be developed and implemented based on all the lessons learnt and then scaling up done.

Such strategy and plan should include detailing clear mandate and TOR, resources and infrastructure needs (if any) and clear broad action plans for deliverables with strong monitoring system.

Interalia such a scaling up strategy and plan should include-

- Revising mandate, institutional structure, links with host structures for Urban Poverty Alleviation and Livelihood Cells based on lessons learnt.
- Training and capacity building strategy for capacity building of city managers, urban poor and other stakeholders with a platform of interlinked resource centers supported by national centers ensuring uniform delivery of high quality inputs at all levels with deployment of ICT systems and tools. The platform and capacity strategy should be tailored to meet the tremendous existing needs of capacity building at all levels especially at ULB and State levels.
- Clear mandate, increased memberships, specific work plan, matching budgets for network structures including Researchers Colloquium, Mayors Conclave, City Managers Forum, National Network of Urban Resource Centers.
- Linkages and convergence plans with MoUD efforts under JNNURM and ensuring tapping up synergies among agendas impinging on urban poverty.

- Community network structures strengthening strategy and plans with increased focus on role of communities in urban poverty.
- Plan for taking forward draft outputs of NSUP including draft strategy for Urban Poverty Reduction, draft Model Acts, etc after due deliberations, debates and finalization.
- IEC (Information, Education and Communication) Plan for 360 degree communication with all the stakeholders based on ICT systems and tools like Websites, E-Groups, Newsletters to ensure creation of information highway among all.

## **6.2 RECOMMENDATIONS FOR UNDP**

### **6.2.1 FOCUSING ON STRATEGIC NICHES IN CONTEXT OF NSUP**

NSUP has generated few strategic niches for UNDP, which are worth considering in view of priorities of UNDP of decentralization and strengthening program implementation. These opportunities include both within urban poverty areas and other areas.

- Community network strengthening program - One of the key capacity building needs in urban poverty alleviation is of strengthening community networks. Given UNDP strengths of working with Civil Society Organizations and work relationship with MoHUPA, UNDP is in unique position to focus on community network strengthening.
- Model ULB intervention- ULBs will be the nodal agency for any strategy and program implementation related to urban renewal, urban poverty alleviation, capacity building program of ULBs- urban governance, etc. UNDP with its geographical focus should consider focusing on piloting model ULB program with limited numbers of ULBs in the focused states as a joint program with MoHUPA. Such a program should be based on convergence of all components under JNNURM and developmental partners' initiatives.
- ULBs need significant capacity building, handholding and escort services to strengthen inclusive growth and vibrant urbanization. This requires long term sustained capacity building inputs to ULBs. UNDP with its networking strengths is in unique position to fill this niche.

UNDP should consider focusing on selected strategic niches created by NSUP.

### **6.2.2 FOCUSING STRATEGIC NICHE IN POLICY ENABLING PROGRAMS**

NSUP has demonstrated strengths of UNDP in policy enabling programs with multiplier impacts.

Critical Success Factors of Policy enabling programs crystallized from the evaluation comprise fuzzy design logic; adaptive management practices and flexibility in design and implementation; strong coordination and back office work as needed by the project and strong knowledge support provided by UNDP; strong ownership and open climate by the partner Ministry in the Government.

UNDP should consider supporting policy enabling programs in other priority areas of UNDP as decided jointly with GOI.

These may include environment and climate change, PRI and decentralization, etc.

### 6.2.3 OVERWHELMING FORCE DOCTRINE- ALIGNING PROJECT AND GEOGRAPHICAL PRIORITIES FOR MULTIPLIER RESULTS

Mega issues require strong programs, integrated approach and sustained efforts.

UNDP should consider concentrated delivery of its efforts through convergence and synergy of its geographical focus and priority areas.

### 6.2.4 PROTOCOLS FOR INTER PROJECT CONVERGENCE AND LINKAGES DESIGNING

Learning from NSUP and parallel urban governance program (both within UNDP) and the need for their linkages/convergence has demonstrated needs for a well defined protocol for convergence of ongoing programs within UNDP.

UNDP should develop and implement a convergence protocol to assist in systemic applications to all its projects with potential/ possibilities of linkages/convergence.

### 6.2.5 POLICY ENABLING/GREEN FIELD PROJECT DESIGN PROTOCOLS

Policy enabling programs by nature are broad based, hazy and not amenable to precise project structuring in terms of definition of inputs, outputs, outcomes, while the overall results can be very well defined. Several different mix/sets of outputs, outcomes are possible to lead to the same planned result.

Result Based Management practices in such cases will require high order of dynamicity similar to an exercise of rock climbing where in the second step will be known after the first step is taken.

All the existing protocols of UNDP address project design of deterministic projects, with high clarity of inputs-outputs-outcomes links, but not of policy enabling types of project.

It is recommended that UNDP should develop and implement protocols/guidance notes on design of policy enabling projects.

## **7. LEARNING AND GENERALIZATION**

NSUP has generated significant learning for broad based applications in similar projects/situations. Eight such learning are crystallized and detailed out subsequently.

### **7.1 LEARNING-1: ADAPTIVE MANAGEMENT PRACTICES**

NSUP's performance and success to a significant extent is due its adaptive management practices apart from strong leadership of MoHUPA, collegial environment and open climate in the project, high energy spends of the policy cell, strong knowledge input and coordination by UNDP and high motivation of its stakeholders.

Recasting of design of NSUP midstream totally (while keeping the project result intact), real time feeding of learning in to the project, scaling up plans based on learning are all aspects of adaptive management practices.

The NSUP demonstrates importance of adaptive management practices in policy enabling projects with characteristics of changing environment and context, lack of adequate resources and capacities in the project environs i.e. green field projects.

### **7.2 LEARNING -2: CAPACITY BUILDING AS A CENTRAL PLANK STRATEGY**

One of the major outcomes of NSUP has been capacity built at various levels within institutions, human resources and networks. Capacities built have increased likelihood of sustainability of NSUP outcomes.

NSUP highlights critical importance of capacity building strategy as a central plank of the project for increased sustainability.

### **7.3 LEARNING-3: INVOLVEMENT OF PRIMARY STAKEHOLDERS**

Mission has felt that involvement of the primary stakeholders was less than adequate in NSUP. Often in policy related programs there are difficulties of involving primary stakeholders due to various reasons of-

- Belief that policies are difficult subjects to grasp for primary stakeholders and their involvement may not yield any benefit to them or to the project
- Sensitivities of involving primary stakeholders at times in policy areas which are more often closely held till the time of finalization
- Difficulties of identifying appropriate representatives and representation of primary stakeholders
- Unavailability of networks/forums/associations and opinion leaders/ direct representatives of primary stakeholders

Rights based environment argues for involvement of primary stakeholders in all the projects and more so in projects which are grey like policy areas and lack of adequate representatives of primary



stakeholders actually strengthens the case for their involvement as a means of strengthening the primary stakeholders.

NSUP demonstrates the difficulties of engaging primary stakeholders in policy areas and consequently higher needs of involving them.

#### **7.4 LEARNING-4: PROJECT DESIGN-LOGICAL FLOW AMONG INPUT-OUTPUTS, OUTCOMES AND RESULTS**

NSUP demonstrates the need of strong logical flow among links of inputs-outputs-outcomes-results and application of principle of direct contribution to be followed in developing input-result matrix. Principle of direct contribution states that all previous stages of inputs should directly contribute to the subsequent stages of outputs.

NSUP also highlights that there can be several options of mix/sets of outputs-outcomes, which can deliver the same planned results. The selection of thus optimum/sound mix of output-outcomes has a prerequisite of thorough familiarity of the environment and the context of the project.

#### **7.5 LEARNING-5: SUSTAINABILITY- OPTIMUM MIX OF OUTCOMES**

NSUP is judged to be sustainable based on its mix of outcomes achieved including institutional structures, network structures, systems, draft strategies and policies and increased capacities of institutions and human resources. This is so as overall capacity comprise of capacities of policies, strategies, structures, systems, human resources, etc. Sustainability is enhanced if all the bottlenecks for results achievements are tackled simultaneously.

NSUP has demonstrated that appropriate mix of the outcome enhancing the sustainability of the project.

#### **7.6 LEARNING-6: CATALYTIC USE OF PROGRAM AND BUDGETS**

NSUP worked in tandem with JNNURM/BSUP and provided innovation, pilots, knowledge generation, etc. through its funds while scale up was achieved through JNNURM-BSUP funds. MoHUPA commented that NSUP project and funds provided vibrancy in the implementation of JNNURM-BSUP.

NSUP demonstrates catalytic use of development partners funded projects in synergy with very large Government funded projects.

#### **7.7 LEARNING-7: CRITICAL SUCCESS FACTORS**

Mission defines Critical Success Factors (CSF) as those which when replicated, can replicate the results. Mission attributes performance and success of NSUP to five such Critical Success Factors of strong leadership by MoHUPA, Collegial environment created by MoHUPA, High energy spends by the nodal agency/policy cell, range of partners who were credible and interested in results and strong knowledge input and coordination by UNDP.



These CSF are extendable to all other projects too.

## **7.8 LEARNING-8 TAPPING SYNERGIES OF PARALLEL PROJECTS THROUGH CONVERGENCE/LINKAGES**

Mission has commented on the missed opportunity of creating linkages between NSUP and another concurrent project of urban governance within UNDP.

NSUP demonstrates the importance of such linkages and convergences among similar/allied concurrent projects within UNDP.

## APPENDIX-1 PROJECT LOGFRAME

### PROJECT RESULT

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

### PROJECT LOGFRAME

Baseline	Target	Intended Outputs	Some Indicative Activities	Resources (Tentative) for Outcome Area
<b>Project Outcome 1:Enhanced understanding on trends and directions of urban poverty in India</b>				
<ul style="list-style-type: none"> <li>Limited appreciation and understanding of trends and direction of of urban poverty throughout India</li> </ul>	<ul style="list-style-type: none"> <li>Broader understanding of multiple dimensions of urban poverty as these affect the livelihoods and low-income urban population</li> </ul>	<ul style="list-style-type: none"> <li>Policy recommendations to provide more clarity and an enabling environment for urban poverty Reduction and Sustainable Livelihoods</li> <li>Suitable index on urban poverty</li> <li>Benchmarking of service standards and operational efficiencies</li> <li>Centre for Research on urban poverty and Sustainable Livelihoods under the aegis of Ministry of Urban Development and Poverty Alleviation</li> <li>City-specific 'Livelihoods' Reports</li> </ul>	<ul style="list-style-type: none"> <li>Focused Studies, research, and concept papers on Urban poverty issues</li> <li>Analysis of experience practices and experiences relating to Urban Poverty and Sustainable Livelihoods</li> <li>Consultations with stakeholders to brainstorm on the relevance of existing policies to arrive at a consensus on the policy changes required</li> <li>Review of the quality and standards and urban poverty index adopted</li> </ul>	15% (US\$ 900.000)

Baseline	Target	Intended Outputs	Some Indicative Activities	Resources (Tentative) for Outcome Area
			in other countries and analyses its adaptability to India conditions.	
<b>Project Outcome 2: An all-India Network on urban poor livelihoods established to support wider stakeholder dialogue and exchange of information within India and with other Countries</b>				
<ul style="list-style-type: none"> <li>Lack of awareness of urban poor specialty women, youth and street children to information, knowledge and skills.</li> </ul>	<ul style="list-style-type: none"> <li>Coalitions of Urban Poor to share problems and learn from each other</li> <li>National Networking and Convergence of Centre/State/City/Community organizations as forms for debates</li> <li>Community Structures to be made the common pattern and the foundation of all programmes for the urban poor and slum dwellers.</li> </ul>	<ul style="list-style-type: none"> <li>Key interventions and approaches in pilot cities to improve urban livelihoods and living conditions identification discussed amongst local politicians, NGOs and stakeholders</li> <li>Better understanding of weaknesses, opportunities and appreciation of constraints, opportunities and key roles to the played by stakeholders</li> <li>Community website/information material to be hosted.</li> </ul>	<ul style="list-style-type: none"> <li>Identification of Organization to host the Network</li> <li>Workshops in pilot cities in collaboration with National Network/City Alliances in rough support of resource persons/institutions</li> <li>Perspective Building workshop to discuss information and information needs of community networks</li> <li>Hosting of selected information/E-sharing of Issues/approaches based on research consultations</li> <li>Regional/National/International Workshops to discuss policy</li> </ul>	<ul style="list-style-type: none"> <li>10% (US\$ 600.000)</li> </ul>

Baseline	Target	Intended Outputs	Some Indicative Activities	Resources (Tentative) for Outcome Area
			Issues and share knowledge/experiences	
<b>Project Outcome 3: Innovative and promising livelihood initiatives of urban poor communities broadened and deepened across the country</b>				
<ul style="list-style-type: none"> <li>Limited access of Urban Poor to resources impediment to innovations in promising livelihood initiatives</li> </ul>	<ul style="list-style-type: none"> <li>Better access and incentive for innovations in Urban poverty and slum development initiatives</li> </ul>	<ul style="list-style-type: none"> <li>Key initiatives and success criteria for access and innovative pilot initiatives identified and widely disseminated</li> <li>Register of innovations</li> <li>Lesson learnt on use of incentive funds to support innovations incorporated in government sponsored schemes</li> <li>Database of international experience</li> <li>Networking within India to facilitate learn by doing</li> </ul>	<ul style="list-style-type: none"> <li>Orientation Workshop to orient NGOs and National Networks using work done in pilot slums</li> <li>Setting up of an advisory panel to select innovative pilot interventions</li> <li>Successful demonstration of mechanism providing support from Incentive Fund to innovative approaches</li> <li>Establish data systems for urbanization and livelihood trends throughout the country</li> <li>Establish a network of the research institutions to provide a platform for learning by doing</li> </ul>	(15% 900,000)
<b>Project Outcome 4: Capacity building for national strategy on urban poverty reduction</b>				
Inadequate capacity to respond to multifaceted	<ul style="list-style-type: none"> <li>Officers of the concerned Ministries</li> </ul>	Discussion papers in Urban Poverty Reduction and sustainable Livelihoods	<ul style="list-style-type: none"> <li>Settings up of Urban Poverty and slum improvement</li> </ul>	10% (US\$ 600,000)

Baseline	Target	Intended Outputs	Some Indicative Activities	Resources (Tentative) for Outcome Area
features of urban poverty	<p>exposed to best practices</p> <ul style="list-style-type: none"> <li>• Studies/action research to provide policy directions and innovative implementation arrangements</li> <li>• Reference to the policy analyses undertaken by the research centre and outcome of consultation in the new national policy / programme documents</li> </ul>	<p>that could serve as a guide to future directions</p> <p>Discussion paper on institutional arrangements and strategic long term vision for center and states</p>	<p>Task Force at the National Level</p> <ul style="list-style-type: none"> <li>• Consultation on Discussion Papers</li> <li>• Validation Seminars</li> <li>• Issue revised guidelines in the selected areas and monitoring and review mechanisms</li> </ul>	
<ul style="list-style-type: none"> <li>• Management Information System to Provide and use holistic data at macro level not fully operational</li> <li>• Conventional methods of data collation/Storage and slow</li> </ul>	<ul style="list-style-type: none"> <li>• Functional Management Information System with comprehensive data from a process of diagnosis at the municipal level</li> <li>• Use of city level data and city maps derived from</li> </ul>	<p>A comprehensive overview if urban poor livelihoods based on type of settlement, occupational sectors and skills, social categories, gender and age</p> <p>GIS Supported database and profiles</p> <p>Inter departmental mechanism for data collection, collation and updating</p> <p>Benchmarking on service standards and operational efficiencies</p>	<ul style="list-style-type: none"> <li>• Identification and Establishment of a policy Unit for setting up Monitoring Systems</li> <li>• Existing procedures and the scope for improvement understood through a detailed study</li> <li>• Data needs determined for national level</li> </ul>	

Baseline	Target	Intended Outputs	Some Indicative Activities	Resources (Tentative) for Outcome Area
<ul style="list-style-type: none"> <li>retrieval</li> <li>Weak inter-sector data flow</li> </ul>	<ul style="list-style-type: none"> <li>satellite imagery</li> <li>Use of GIS based tools and decision support module to administer and track progress on Urban Poverty and Livelihoods Programmes and Schemes</li> </ul>	<p>Tools for analysis of data in holistic manner</p> <p>Core data generated and utility demonstration in one of the government sponsored programme</p> <p>Integration of datasets</p> <p>Adequate capacity for successful management and updating of data</p>	<p>Urban Poverty Alleviator through study</p> <ul style="list-style-type: none"> <li>A design of the integrated database – core of the envisaged GIS developed and agreed</li> <li>A survey of available data sets useful in the construction of the database undertaken and captured along with their sub-datasets</li> <li>Systems and users interface Requirements identified</li> <li>Existing Decision Support Modules reviewed for their applicability at National Level</li> </ul>	
<b>Project Outcome 5: Comprehensive review and capacity analysis to formulate operational strategies for financing livelihoods intensive social / physical infrastructure and improved regulatory environment in NCR</b>				
<ul style="list-style-type: none"> <li>Policies, implementation frameworks, investments physical infrastructure and social infrastructure</li> </ul>	<ul style="list-style-type: none"> <li>Efforts to draw out lessons from existing practices and experiences to look at the investments</li> </ul>	<ul style="list-style-type: none"> <li>Forging systematic and continuing dialogue between professional, administrators, town planners, NGOs, environmentalists, lawyers, journalists and the representative of the under privileged</li> </ul>	<ul style="list-style-type: none"> <li>Undertake policy analysis of public investment in basic infrastructure, particularly, shelter to provide basis for public debate, policy/strategy</li> </ul>	

Baseline	Target	Intended Outputs	Some Indicative Activities	Resources (Tentative) for Outcome Area
ure do not compulsor y take into account the needs of the poor.	<p>in physical and social infrastructure through livelihoods perspective in the NCR</p> <ul style="list-style-type: none"> <li>Review of policies and regulatory frameworks to remove discrimination.</li> </ul>	<p>majority on shaping the future of NCR</p> <ul style="list-style-type: none"> <li>Discussion papers on financing instruments, micro-credit, social security, regulatory environment and informal sector.</li> </ul>	<p>review</p> <ul style="list-style-type: none"> <li>Undertake research studies on approaches/Issues related to informal sector, Low-income/household occupations, micro credit and social security instrument for public debate and evolving a national policy/strategy review</li> <li>Undertake review of regulatory environment governing urban slums, livelihoods and living conditions</li> <li>Interactive workshops and seminars to evolve comprehensive approach to use micro enterprises to</li> <li>Submission of policy recommendations to NCR authorities.</li> </ul>	
<b>Project Outcome 6: Targeted Support to community associations and NGOs active in the NCR of Delhi to promote urban poor concerns and to address multiple vulnerabilities of urban population.</b>				
<ul style="list-style-type: none"> <li>Ad-hoc implementa</li> </ul>	<ul style="list-style-type: none"> <li>Joints Community</li> </ul>	Commission pilot projects ad analysed	<ul style="list-style-type: none"> <li>Draft Policy Document on</li> </ul>	(30% US\$ 1,800,000)

Baseline	Target	Intended Outputs	Some Indicative Activities	Resources (Tentative) for Outcome Area
<p>tion approaches with absence of mechanism s to integrate local concerns with the broader macro policies</p> <ul style="list-style-type: none"> <li>• Lack of common understanding and community action plan on livelihoods and living conditions issues</li> </ul>	<p>based Action Plans prepared by Civil Society, News Media and local government on urgent livelihoods and living conditions problems</p> <ul style="list-style-type: none"> <li>• Increased understanding of multi stakeholder approaches to development issues, regulatory environment and capacities to cope up with multiple vulnerability</li> </ul>	<p>experiences to understand better the issues and policy implication</p> <p>Targeted support to demonstrated pilot interventions under selected categories with a view to address concerns of poor and demonstrate innovative approaches: (access to land, security of tenure, informal sectors activities/Occupations of vulnerable group, improvement in basic facilities such as mobilization for pro-poor slums, new/<b>Unauthorised</b> settlement colonies, improvement of education facilities for slum children, access to health, micro credit , social safety net and community support for children with disability). Collective effort leading communities in a braoder direction of policy influence and negotiations with the authorities dealing with Delhi's Governance</p>	<p>generating urban livelihoods and income earning opportunities based on demonstration project and innovative approaches</p> <ul style="list-style-type: none"> <li>• Organise workshops to share with stakeholders the finding of pilot projects and finalize issue based recommendations through a consultative process in the NCR</li> <li>• Incorporation of recommendations by the Urban Poverty Alleviation Cell of NCR and Policy Unit for Implementation of recommendations in selected states to validate recommendations and modifications, if required</li> </ul>	



## **APPENDIX-2 TERMS OF REFERENCE<sup>6</sup>**

### **3. Objectives of the Evaluation**

Consistent with UNDP's evaluation policies, the Terminal Evaluation has five main objectives:

1. To monitor and evaluate results and impacts, including an assessment of sustainability;
2. To provide a basis for decision making on actions to be taken post-project;
3. To assess the effectiveness and efficiency of resource use;
4. To document, provide feedback on, and disseminate lessons learned; and
5. To assess the project's response to, and the validity of, recommendations made by the mid-term review (MTR) undertaken in 2007.

The Final Evaluation is intended to be a systematic learning exercise for project partners. The exercise is therefore structured so as to generate and share experiences and practical knowledge. To achieve this, the evaluation will take place in a consultative rather than an advisory manner. It will also identify and document lessons learned and make recommendations that might improve design and implementation of similar projects, or maximize the impact of the NSUP Project going forward. It is important to emphasize that the process is not about finding fault or a proxy for measuring individual or institutional performance.

From the point of view of the design and implementation of the project, the key stakeholders are:

- The Ministry of Housing and Urban Poverty Alleviation, Government of India and its attached offices;
- National Resource Centers (YASHADA, Pune, All India Institute of Local Self Government, Mumbai, Centre for Good Governance, Hyderabad);
- Entrepreneurship Development Institute of India, Ahmedabad;
- National Institute of Urban Affairs, New Delhi and the 21 NGOs worked under NCR component and 11 Organization worked for the preparation of UPRS;
- Department of Social Welfare, Government of NCTD;
- National Institute of Public Finance and Policy New Delhi;
- Madras School of Economics, Chennai;
- Members of National Core Group on Urban Poverty;
- Jawaharlal Nehru University and the 16 authors involved in the preparation of India Urban Poverty Report;
- Urban Poverty Alleviation and Livelihoods Cells established in select Urban Local Bodies; and
- UNDP India

### **4. Scope of the Evaluation**

The scope of the evaluation is closely related to the following objectives:

#### **4.1. Appropriateness of the project's concept and design:**

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<sup>6</sup> Taken from Request for Proposal

Assess the appropriateness of the project's concept and design and the project's effectiveness in realizing its immediate objectives and the extent, to which they have contributed towards developing networks, enhance research and action research capacities, improving monitoring and evaluation system and the capacity of the Government in achieving its long-term development objectives.

In particular, the mission should assess whether:

- The problem was identified correctly;
- The project approach was sound, and the identification of stakeholders, nodal agencies, operational partners, beneficiaries and users of the project results was done appropriately;
- The underlying assumptions were accurate and the objectives were the correct ones for solving the perceived problem;
- The objectives and outputs were stated precisely and in verifiable terms; the objectives were achievable;
- The linkages between objectives, inputs, activities, outputs, expected outcomes and impact was logical;
- The relationship between different project elements (outputs, activities etc.) were logical and commensurate with the time and resources available;
- The adequacy of the quantity and quality of project inputs relative to the targeted outputs;
- The project was relevant to:
  - o The changing urban poverty scenario in India;
  - o The development priorities of the Government of India; and
  - o The UNDP areas of focus

#### 4.2. Review efficiency and adequacy in implementation and management of the project

In particular, the mission should review the following:

- The quality and timeliness of - inputs, activities, responsiveness of project management of changes in the project environment and of the monitoring/ backstopping of the project by all concerned parties;
- Evaluate whether project design allowed for flexibility in responding to changes in the project environment;
- How well the project used its resources (including human and financial) to produce outputs and carry out activities;
- Whether the project strategy was clearly articulated and followed; a work plan was prepared and followed and the timeliness of the project inputs deployed in relation to the annual work plans;
- The factors that impeded or facilitated the production of the outputs;
- The extent to which local expertise (by gender), indigenous technologies and resources have been used;
- The appropriateness of the Institutional arrangements for execution and implementation, in particular the following:
  - o How well the project was managed;
  - o The adequacy of the monitoring and reporting mechanisms;
  - o The adequacy of the government commitment to the project;

- o Whether stakeholders have a sense of ownership of the project;
- o The efforts made by the host institutions to ensure participation of different stakeholders in the implementation process and the extent of their participation; and
- o Whether there were any conflicts of interest among stakeholders, and if so, the steps taken to resolve these conflicts.

#### 4.3. To review the results of the project

In particular, the mission should:

- Review the achievements of the project and assess their effectiveness in solving the perceived problems;
- Assess whether the project has produced its outputs effectively and efficiently;
- Assess the quality of the outputs and how they are being utilized (i.e. assess project impact);
- Assess whether the project has achieved or impeded the progress of the project in achieving its desired results;
- Determine the effect of the project on target groups or institutions;
- Assess any unforeseen effects on non-target groups and any unintended effects caused by the project;
- Assess the adequacy of the project self-monitoring;
- Assess the significance of the results achieved for the country or region;
- Determine the degree of support given by the Government in integrating the project objectives and goals into the national development programme and other related projects, and vice versa how well the project fits into the national development policy.
- Whether mechanisms been put in place to ensure the sustainability of project results?
- How successful has the project been in maintaining interest of the NGOs, government sector, relevant research institutions and other financial institutions?

#### 4.4. Document Lessons Learnt

Identify and document lessons learned (including lessons that might improve design and implementation of other UNDP projects). In particular, the mission should describe the main lessons that have emerged in terms of:

1. Strengthening country ownership/drivenness;
2. Strengthening stakeholder participation;
3. Application of adaptive management strategies
4. Efforts to secure sustainability;
5. Knowledge transfer; and
6. Role of M&E in project implementation and its effectiveness.

In its reporting of the project's results, the evaluation mission should highlight the following aspects:

- o The extent to which national project personnel have been or are being trained, and whether there is enough capacity and human resource to fully take over all technical and professional responsibilities from expatriate project personnel.
- o The adequacy of institutional arrangements in attaining the long-term objective of the project.

Also the infrastructural, logistical, and financial implication of sustaining the project objectives beyond the project duration/after completion of UNDP funding.

- o Assess whether the RBM and performance indicators have been used as project management tools.
- o Impact of the project upon beneficiaries/users, particularly with respect to setting protected area management on a sound footing with the support of the local communities.
- o Effectiveness of the project's linkages, liaison, coordination and impact upon related activities in environment and nature conservation being undertaken in the country.
- o The project's assistance, relationship, relevance to and coordination with the pre-existing Project management system and staff.

#### 4.4.1. Project Specific Learning

- I. Determine the project's contribution to enhanced level of knowledge and trends and directions of urban poverty in India among the policy makers and practitioners created through the research and action research supported by the project.
- II. Assess the institutional capacity developed under the project at the Ministry and at the ULB to implement poverty reduction programmes.
- III. Assess the impact of national, regional, state and local level networking established under the project to support wider stakeholder dialogue and exchange of information within India.
- IV. Assess the impact of innovative livelihoods initiatives supported in the states.
- V. Assess the effectiveness of Integrated Urban Poverty Monitoring System (IPoMS) and JnNURM project tracking system established under the project.
- VI. Assess the capacities developed to formulate operational strategies for urban poverty reduction in NCR.

#### 4.4.2. Assess Project Progress on Cross Cutting issues

The evaluation will also examine the progress of the project in the cross cutting themes of decentralized governance and promoting gender equality as identified in the project document:

#### 4.4.3. Other Specific Project Issues to be addressed

- Has the project imbibed innovative approaches and made any policy level interventions to replicate such projects, in future?
- Sustainability of each activity, especially the M&E systems developed under project;
- Collaborative approach between the Central Government, State Governments, and ULBs for future design of such projects, if any.
- Involvement of local communities, NGOs, CBOs, disadvantaged groups and women groups;
- Fund flow arrangement in the project;
- Implementation strategy, networking for smooth functioning and difficulties faced, if any, in applying project's approach in new socio-ecological situations and their solutions; and
- Information exchange/sharing at the local, regional and national level, if any;

#### 4.4.4. Recommendations

The team should come up with recommendations regarding specific actions that might be taken to improve the efficiency, effectiveness and impact and management arrangements of similar future projects, if taken up.

## 5. Products expected from the Evaluation

### 5.1. Evaluation Report

The outline and main finding of the evaluation mission should be completed and handed to UNDP during the final de-briefing session. The final draft report should be produced according to the structure outlined in the UNDP Guidelines for Evaluation.

At the end of the evaluation, the team leader will submit the draft evaluation report to UNDP. Based on the comments of the stakeholders, the team will finalize and submit the final version of the report to UNDP, New Delhi within ten days of receipt of comments.

While the Consultants are free to use any detailed method of reporting, the Evaluation Report should contain at least the following:

- Title Page
- List of acronyms and abbreviations
- Table of contents, including list of annexes
- Executive Summary
- Introduction: background and context of the programme
- Description of the program – its logic theory, results framework and external factors likely to affect success
- Purpose of the evaluation
- Key questions and scope of the evaluation with information on limitations and de-limitations
- Approach and methodology
- Findings
- Summary and explanation of findings and interpretations
- Conclusions
- Recommendations
- Lessons, generalizations, alternatives

In addition, the final report should contain the following annexes:

- Terms of Reference for the evaluation
- Itinerary (actual)
- List of meetings attended
- List of persons interviewed
- List of documents reviewed
- Any other relevant material

### 5.2. Success Story

The team is also expected to write and include a Success Story (not more than two pages) after interacting with the community, beneficiaries/ beneficiary organizations that can be useful for the

advocacy purposes.

## 6. Methodology and evaluation approach

The evaluation will be conducted in a participatory manner working on the basis that the primary purpose of the evaluation is to assess the results (outcomes), impacts, performance (on the basis of the indicators identified in the Results matrix) and sustainability of the project. For this to happen, the mission will start with a review of the key project documents, notably Minutes of the Project Standing Committee, Quarterly and Annual Reports, Donor Reports and any other reports and correspondence that seems relevant.

The evaluation approach will combine methods such as documentation study (desk review); interviews and field visits. All relevant project documentation will be made available to the evaluation team by the project management team, facilitated by UNDP. After studying the documentation the Consultants will conduct interviews with all relevant partners including the beneficiaries. The consultants are expected to hold discussions with National Resource Centre (NRCs) at Yashada, Pune; The Centre for Good Governance, Hyderabad; the NRCUES, AIILSG, Mumbai and the Entrepreneurship Development Institute of India, Ahmedabad. Validation of findings with stakeholders should happen through circulation of initial reports for comments or other types of feedback mechanisms.

Throughout the period of the evaluation, the Consultants will liaise closely with the concerned UNDP officials, MoHUPA and concerned agencies of the Government, any members of the team of experts under the project and the counterpart staff assigned to the project. The consultants can raise or discuss any issue or topic they deem necessary to fulfill the tasks. The Consultants, however, are not authorized to make any commitments to any party on behalf of UNDP or the Government.

The Consultants should provide details in respect of:

- Documents reviewed;
- Interviews;
- Field visits;
- Questionnaires, if any;
- Participatory techniques and other approaches for gathering and analysis of data; and
- Participation of stakeholders and/or partners.

The project progress and achievements will be tested against following evaluation criteria:

- (i) Relevance – the extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time.
- (ii) Effectiveness – the extent to which an objective has been achieved or how likely it is to be achieved.
- (iii) Efficiency – the extent to which results have been delivered with the least costly resources possible.
- (iv) Results/impacts – the positive and negative, and foreseen and unforeseen, changes to and effects produced by a development intervention.

(v) Sustainability – the likely ability of an intervention to continue to deliver benefits for an extended period of time after completion.

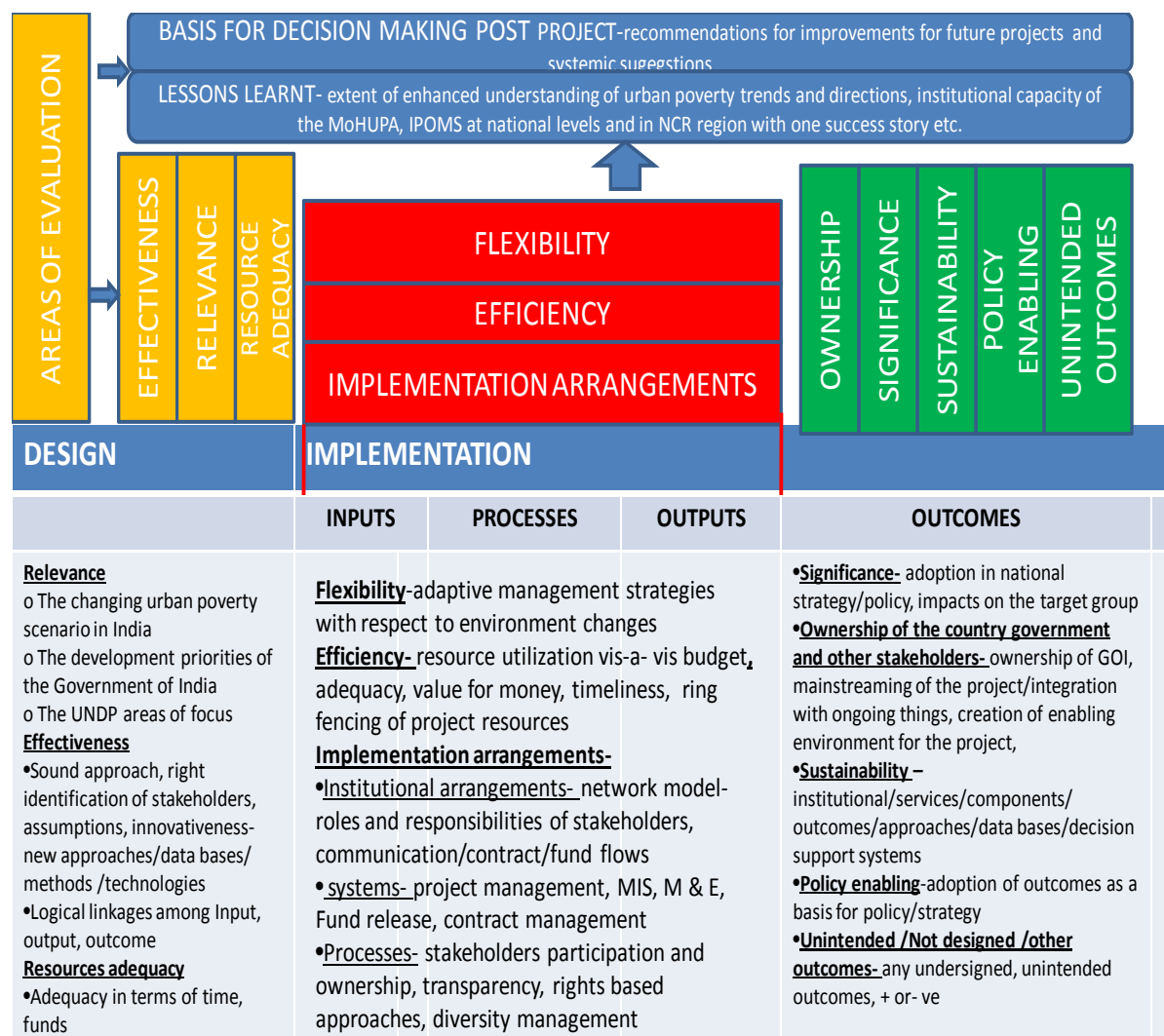
The Project will be rated against individual criterion of relevance, effectiveness, efficiency and impact/results based on the following scale:

- Highly Satisfactory (HS): The project has no shortcomings in the achievement of its objectives.
- Satisfactory (S): The project has minor shortcomings in the achievement of its objectives.
- Moderately Satisfactory (MS): The project has moderate shortcomings in the achievement of its objectives.
- Moderately Unsatisfactory (MU): The project has significant shortcomings in the achievement of its objectives.
- Unsatisfactory (U): The project has major shortcomings in the achievement of its objectives.
- Highly Unsatisfactory (HU): The project has severe shortcomings in the achievement of its objectives.

As for sustainability criteria the evaluator should at the minimum evaluate the “likelihood of sustainability of outcomes at project termination, and provide a rating for this.

## APPENDIX-3 PROJECT INQUIRY FRAMEWORK

### A CONCEPTUAL FRAMEWORK





## B PROJECT LEVEL QUESTIONS

### **PROJECT DESIGN LEVEL QUESTIONS**

#### **TARGET GROUP**

1. UNDP
2. UNDP policy cell in MoHUPA and all team members
3. National core group on urban poverty members and lead researchers ( Prof. Amitabh Kundu, Prof. O P Mathur, NIUA)
4. National resource centers- YASHADA-Pune, AILSHG-Mumbai, previous members of Policy cell

#### **QUESTIONS**

##### **Project context, environment and relevance**

1. What has been the changes in the urban policy environment during NSUP? What was the environment at the inception and now? What changes occurred during the life of NSUP? What changed significantly with advent of JNNURM?
2. When was the urban poverty debate/discussion initiated in India? What did NSUP contributed to the subject of urban poverty?
3. How relevant was NSUP to India's developmental priorities? How it could have been made more relevant?

##### **Significance**

1. What has been the unique contribution of NUSP? How this has been utilized and what has been the usefulness? E.g.
  - new ideas/concepts- India Poverty Report, HDR of Mumbai (first city level HDR in India?)
  - Data bases and knowledge dissemination practices- best practices on urban poverty (SEWA), State profiles (five states by NRCUP), City poverty profiles- 11 cities, documentation of 40 innovative projects in six different themes , stakeholders workshops etc.
  - New systems-I-POMS, JNNURM tracking system (online reporting by 11 cities)
  - New networks- Researchers' conclaves, Mayors forum, City managers Forum
  - Capacity building platforms- National Resource Centers- YASHADA,AIILSG later on converted in to 22 member National network on urban poverty, policy cell in MoHUPA

##### **Ownership of the project?**

1. What has been the ownership of Government/ MoHUPA of NSUP? How it was demonstrated?
2. What has been the interest/ownership of various stakeholders ? National resource centers, researchers conclave, mayors forum, City Managers forum, NIUA, NGOs/CBOs of NCR of NSUP?

##### **Resources adequacy and flexibility**

1. Has NSUP resources been commensurate with its outputs? Budget allocations? How was the flexibility within NSUP to dovetail to changes in the environment? How did it help/did not help overall?

##### **Sustainability**

What has been/likely to be absorbed/mainstreamed/scaled up/ continued of NSUP after NSUP from above significant outcomes of NSUP?

##### **Design Effectiveness and lessons**

1. Do you think that NSUP input-processes-outputs-outcome well designed? What could have been the improvements possible? What else you would have liked to see in NSUP ? What has been the learning lessons out of NSUP?

### C OUTCOME LEVEL QUESTIONS

1. **Achievement-** To what extent this outcome has been achieved in NSUP? What are the evidences/demonstration of the outcomes? (use matrix of project activities as a support )  
E.g.
  - OP-1 Enhanced understanding on trends and directions of urban poverty in India- What has been understood more/new? By whom-decision makers, policy makers, city managers, academicians etc. ? How much of this is owned by MoHUPA and utilized further?
  - OP-2 All India network on poor established- Who is the coordinator of this forum? When it was established? What are its TOR? What are the communication linkages? What has been the contribution after the formation of the network?
  - OP-3 Innovative and promising livelihood initiatives of urban poor deepened and broadened across India- what new initiatives of the communities have been scaled up/replicated/transplanted/ disseminated/ documented as best practices? Where? How many? To what results?
  - Op-4- capacity building for national strategy on urban poverty reduction- To what extent this has been built of which stakeholder?-MoHUPA, National network, city managers, elected representatives ,NGOs/CBOs, communities etc. To what extent this has been institutionalized at various levels?
  - OP-5 comprehensive review and capacity analysis to form operational strategies for financing livelihood intensive physical/social infrastructure and improved regulatory environment in NCR - Formation of urban poverty alleviation and livelihood cell in department of social welfare-Delhi- what was the contribution from NSUP? What was the TOR of the cell? How it was staffed/managed? What were the outcomes? How it led to convergence cell in mission mode? What the TOR is now? Who is funding it now?
  - OP-6 Targeted support to 20 NGOs/CBOs in NCR to promote concerns of urban poor and address multiple vulnerabilities of urban populations - - What were the projects and outcomes? Processes and systems of project management and funding, reporting and MIS? What improvements could have been made to the project design and implementation arrangements?
2. **Significance-** How each of these outcomes have been used further? What have they contributed to urban poverty policy/strategy in India? (use project matrix as a basis)
3. **Sustainability-** To what extent this outcome will be (probably/likely to be) absorbed/mainstreamed/scaled up/utilized after the NSUP closure? Give examples of structures, networks, data bases, new knowledge dissemination practices etc.
4. **Learning lessons-** What have been the learning of this outcome? How could it been achieved in a better manner? (also refer to NCR component of projects)

### D IMPLEMENTATION ARRANGEMENTS QUESTIONS

1. What was the project start date? How does UNDP differentiate as a system between contract signing date, fund release date and project operational start date? What are the standards of elapsed time allowed among these dates?
2. Can we have a copy of the first two year plans? To what extent these were achieved? How things changed with JNNURM? What outputs were achieved (as specified in the project

document /activity matrix ) in the first two years? To what do you allocate the late/delayed/slow start of the project? When and why and how did the project pick up momentum? To what significant factor do you attribute this change of speed and to what extent ownership of MoHUPA assisted? How this ownership has been demonstrated?

3. What were the TORs of the policy cell of MoHUPA? Or were they TOR of individual members ?
4. How was communication flow/reporting/MIS flow among UNDP/Policy cell and MoHUPA and other stakeholders?
5. What are the systems of institutionalizing memories of processes/learning/happening/ significant changes within UNDP? Is there a process of exit documentation/project milestone charting/process documentation apart from usual MIS reporting?
6. Can we draw out a network institutional structure of NSUP all stakeholders specifying reporting, communication, contracting and funding links?
7. What has been the evaluation system of policy cell? To what extent project resources were ring fenced?
8. What is the extent of budget wirements allowed by UNDP? What has been done?
9. Any new budget lines added/modified?
10. Significant over/ under spending across any outcome/budget line?
11. Is this a large/medium/small project compared to other typical projects of UNDP?
12. Are there different guidelines for enabling types of project for designing? Does UN design under designed/fuzzy projects?
13. How many tranches the funds was given to the Ministry by UNDP?
14. Why log frame was not changed in mid when JNNUMR came in and how much flexibility is normally allowed by UN systems in project outcome/output /budget line changes?
15. How was the NCR component managed? What caused the delays of funding /contract releases from NIUA to NGOS/CBOs?
16. How was diversity managed? What flexibility existed in the project?
17. How NCR component could have been better designed? managed? Implemented? Learning lessons

#### E-IMPLEMENTATION QUESTIONS TO POLICY CELL

1. What is the current structure of PMU?
2. When was PMU established? What was its title then and now?
3. What was its TOR then and now, if any or individual TORs exist?
4. How the strength has varied and skill mix? What has been average tenure of people?
5. Yearly plan/five year plan of PMU? When prepared for every year? Who sanctioned it? How much time it took on average to approve? To what extent yearly plan change in mid stream?
6. What has been the extent of ring-fencing of PMU resources?
7. What is the communication system between UNDP and the policy cell and ministry and external world/resources/principal recipients of the funds?
8. What are the systems for contract management, project management, quality assurance, fund release approval? Who drafts the contracts? What are standard terms and conditions if any? Are these GOI standard or UN standards?
9. What MIS is exist?

10. Demonstration of I-POM? Why JNNURM needed UNDP funds for I-POM?
11. What is different in this PMU as compared to other PMUs?
12. Can we map out/structure stakeholders relationship in this project? Ministry. PMU, UNDP, principal recipients, sub recipients, researchers conclave, national networks, national center of excellence, NIUA, mayors conclave, city managers forum? Who have been members? Who is the secretariat? How many times these have met? Agendas/minutes/decisions/debated generated?
13. What significant outcomes/outputs/activities have been there due to such forums?
14. When is the national strategy for urban poor to come out? Who is drafting it?
15. What are the interfaces between the ministry and UNDP? Reporting/meetings/decisions/consultations/ monitoring/fund release?
16. What else could have been done to make PMU better performing? what has been constraints if any in functioning? What has been the individual professional gains/areas of satisfactions for each of the members?
17. How were Centers of excellence selected? Researchers selected?
18. How was concept of India poverty report born? As against plan what were actual? Time/methodology/ expectations
19. Who is preparing Mumbai HDR ? When it is likely to come out?
20. What has been taken from NSUP to JNURRM and vice versa?
21. What kind of changes do you experience? What would have happened if PMU would not have been there? If NSUP not there?
22. How would you design PMU/NSUP differently with hindsight?

#### QUESTIONS FOR NIUA

1. How NCR component was envisaged? Can we have a copy of TOR of NIUA? And budget break up?
2. Can we put milestones on time cycle, based on available documents? E.g. TOR and contract received from Ministry to NIUA, NIUA contract to NGOs, factual project start on ground by NGOS after release of contracts, final completion of projects? What were the reasons for delays in contract and fund release by NIUA if any?
3. How were the projects designed? What themes/components? Log frame of projects ? Can we have deliverable of the projects ?
4. Does NIUA have standard contract management system? Was that applied to these projects or different system?
5. Can we define role of NIUA vis-a vis NGOs? E..g contracting agency, funds release agency, monitoring, supportive supervision, capacity building, report and MIS etc.
6. What were systems of project management, funds release, monitoring, reporting and MIS, capacity building?
7. Can we look at typical TOR for NGOs? ( at least three different contracts)
8. Typical monthly report of NGOs, field visit reports of NIUA team if any, meetings mechanisms with NGOs
9. What improvements can be had with hindsight in design? Management? implementation arrangements? project management and M & E?

10. How do you rate outcomes / outputs/activities of NCR components? Why everything happened in Delhi only and not in NCR
11. What have been the learning lessons of NCR component of NSUP? What could have been improved? What are u happy about in NCR component ?
12. Was Delhi/NCR a right choice for such interventions?
13. Adequacy /timeliness of funds?
14. What flexibilities existed? How was diversity managed?
15. Summary Expenditure statement quarterly for all NGOs and total of NCR component s?
16. What were the TOR of poverty cell in Delhi? How it was staffed? managed? What were the outcomes? What was funding from NSUP? How it was converted in to convergence mission cell? What is the TOR now? Who is funding the cell now? What outcomes have been achieved? What have been the learning lessons? What were systems of for oversight management/governance?

#### G QUESTIONS FOR NATIONAL RESOURCE CENTERS

1. Brief about both the organizations especially fit to the role of national resource centers
2. How has the environment context changed in NSUP with JNNRUM?
3. With what TOR-overall and specific to your institution and when this was established? Can we get a copy of the TOR? What was the coordination mechanism f any among the two institution, the Ministry and UNDP if any?
4. What is the staffing and structure of the resource center at each place? Are resources dedicated and full time and for how long?
5. What were infrastructure provisions and significant gaps if any?
6. Yearly plan if any with copies of last two years plans and annual reports of the centers
7. Was any review done of functioning of the resource centers? Copy of the same
8. What were implementation mechanisms- reporting and MIS, reviews, indicators and their achievements (copies of sample MIS reports)
9. Any sub recipients/partners of the centers from NSUP funds? Individuals as well as institutional?
10. To what extent the objectives of National resource centers have been achieved? What evidences for each of the objective?
11. How this will be sustainable? How was diversity managed? What flexibilities existed in NSUP?
12. What has been learning out of the experiences? What needs to be changed/modified/improved?
13. What has been new things/additionality/unique contribution of NSUP to resource centers functioning? Specific knowledge products out of NSUP? Usage and decisions on them? To what extent this has been internalized by various fraternities-Ministry, professionals, others ?
14. How do you view functioning/processes/outputs/activities of various forums created under NSUP- Mayors conclave, City managers forum, researchers conclave, national network on urban poverty? Who is coordinating the network now?
15. How useful products like city poverty reports, India poverty report etc .have been? To what extent they have been/will be used in decision making//informing policy, tools like I-POMS?

16. Adequacy and timeliness of resources?

H QUESTIONS FOR POVERTY CELL, CGG, SEWA

- Poverty cells- Mandate of poverty cells, adequacy of staffing, and infrastructure, NSUP contribution, degree of ring-fencing of NSUP resources, work done, degree of autonomy, constraints if any, improvements suggested, governance, management and operational structure of the cells, linkages with external world and primary stakeholders, outcomes/outputs generated, degree of autonomy/flexibility, learning lessons
- EDI-SEWA- how their out puts have been/will be utilized? What were new learning? How they were shared? Thoughts on NSUP if any? Learning lessons
- CGG- all questions to YASHADA/AIILSG to be asked + on their actual contribution and role in NSUP apart from outcome and learning lessons

## APPENDIX-4 KEY DOCUMENTS REFERRED

NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
1	Urban Poverty Alleviation Strategy A Study of Six Cities	Study Report	Madras School of Economics	<ul style="list-style-type: none"> <li>• D K Srivastava</li> <li>• C. Bhujanga Rao</li> <li>• Swarna S. Vepa</li> <li>• Brinda Viswanathan</li> </ul>	July 2009
2	Management Audit Report Year 2008 National Strategy for Urban Poor	Audit Report	T.R.Chadha & Company	-	2008
3	Outcome Evaluation Report for UNDP's decentralized Governance and Livelihood Programme	Outcome Evaluation Report	-	-	October 2007
4	Indian UNDAF 2008-2012	-	UNDP- India	-	-
5	Country Programme Action Plan between the Government of India and United Nations Development Programme 2008-2012	Plan	GoI UNDP	-	2008
6	Minutes of the Project Management Board and Project Sanctioning Committee Meetings (1-14)	Minutes of Meeting	GoI	-	-
7	Evaluation of	Evaluation	NIUA	Dr. B.R. Patil	March

NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
	Civil Society Organizations Addressing concerns of urban poor In the National Capital Region of Delhi	Report	MoHUPA		2008
8	Mid Term Evaluation Report of Gulf of Mannar Biosphere Reserve Project	Evaluation Report	GOI Government of Tamil Nadu UNDP Global Environment Facility	Peter Hunnam and Ravi Sankaran	April 2008
9	Matrix of Project Activities	-	-	-	-
10	Mid Term Evaluation Report – GOI-UNDP National Strategy for Urban Poor	Evaluation Report	GOI UNDP	N.C. Saxena	April-2007
11	Handbook on Planning, Monitoring and Evaluating for Development Result	Handbook	UNDP		
12	UNDP Project Document of the Government of India	Project Document			
13	Project Achievement Report	Report	UNDP		March 2009
14	Factsheet for National Strategy for Urban Poor	Factsheet	UNDP	-	
15	Gujarat state poverty profile	Profile	NRCUP, AILSG	Mr.Ranjit Chavan-AILSG,Dr.Dinesh Mehta & Anjana	2007



NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
				Vyas-CEPT,Dr.Sneha Palnikar & Sonal Shivgunde-NRCUP	
16	Gujarat State Poverty Profile	Poverty Profile	NRCUP, AILSG	Mr.Ranjit Chavan-AILSG,Dr.Dinesh Mehta & Anjana Vyas-CEPT,Dr.Sneha Palnikar & Sonal Shivgunde-NRCUP	2007
17	Strategy for Community(Urban) Action plans on Livelihood in Delhi	Plan	NIUA UNDP	Sajha Manch-Sanchal Foundation	2007
18	Well-being of the Urban Poor:Assessment and Policy Issues	Study Report	Institute of Economic Growth,University of Delhi	Bishwanath Goldar,Arup Mitra,Indrani Gupta,Rajnish Kumar,Pradeep Guin	2007
19	Karnataka State Poverty Profile	Poverty Profile	NRCUP, AILSG	Mr.Ranjit Chavan-AILSG,Mr.M.P.Mehta,Dr.Sneha Palnikar & Sonal Shivgunde, NRCUP, AILSG	2007
20	Andhra Pradesh State Poverty Profile	Poverty Profile	NRCUP, AILSG	Mr.Ranjit Chavan-AILSG,Mr.Rajiv Sharma & Ms.P.Anuradha-CGG,Dr.Sneha Palnikar & Sonal Shivgunde-NRCUP, AILSG	2007
21	National Strategy for Urban Poor	Strategy Document	NIUA UNDP	Prayas Juvenile Aid centre-Delhi	2007
22	Rajasthan State Poverty Profile	Poverty Profile	NRCUP, AILSG	YASHADA,UNDP	2007

NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
23	National Strategy for Urban Poor(NCR Component)	Study Report	NIUA UNDP	MAMTA Health Institute for Mother & Child	2005 to 2007
24	Integrated Plan for The Upliftment of Marginalized Urban groups in NCR of Delhi	Study Report	UNDP GOI	AUM Bal Suraksha Andolan-NOIDA	2005/06
25	Integrated Plan for The Upliftment of Marginalized Urban groups in NCR of Delhi	Study Report	UNDP GOI	AUM Bal Suraksha Andolan-NOIDA	2005/06
26	Urban Poverty Profile of Maharashtra	Poverty Profile	UNDP GOI	YASHADA,UNDP	2005/06
27	Register of Innovations on Urban Poverty Alleviation	Best practice Document	UNDP GOI	YASHADA,UNDP	2006
28	Bangalore City Poverty Profile	Poverty Profile	NRCUP, AILSG	Mr.Ranjit Chavan-AILSG,Mrs. Vijaya Srinivasan,Mr.Satyajit Shinde & Ms.P.Anuradha-CGG,Dr.Sneha Palnikar & Sonal Shivgunde-NRCUP, AILSG	2007
29	Jaipur City Poverty Profile	Poverty Profile	NRCUP, AILSG	Mr.Ranjit Chavan-AILSG & Amit Sharma, Jaipur,Renu Bhagwat,Ms.Anuradha Raman & Dr.Sneha Palnikar & Sonal Shivgunde – NRCUP, AILSG	2007

NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
30	Ahmedabad City Poverty Profile	Poverty Profile	NRCUP, AILSG	Mr.Ranjit Chavan-AILSG,Dr.Dinesh Mehta & Anjana Vyas-CEPT,Dr.Sneha Palnikar & Sonal Shivgunde – NRCUP, AILSG	2007
31	Register of Innovations A Component of National Strategy for the Urban Poor	Best Practice Document	UNDP GOI	YASHADA,RCUES of AILSG	2008
32	NSUP,Training Module for Middle Management:ICT(Computer)	Best Practice Document	YASHADA UNDP	YASHADA	2007
33	NSUP,Training Module on Urban Poverty Alleviation in the Context of JNNURM	Best Practice Document	YASHADA UNDP	YASHADA	2007
34	NSUP,Training Module for Middle Management: Tax Administration	Best Practice Document	YASHADA UNDP	YASHADA	2007
35	NSUP,City Poverty Profile Manual on Livelihood Implementation Plan	Manual	YASHADA UNDP	YASHADA	2007
36	NSUP,Maharashtra: Summary of State Urban Poverty Profile	Poverty Profile	YASHADA UNDP	YASHADA	2007

NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
37	Chandigarh City Poverty Profile	Poverty Profile	CRRID NRCUP	Mr.Ranjit Chavan-AIILSG,Mr.Manoj kumar Teotia-CRRID,Ms.Anuradha Raman & Dr.Sneha Palnikar – NRCUP, AIILSG	2007
38	Lucknow City Poverty Profile	Poverty Profile	NRCUP, AIILSG UNDP	Mr.Ranjit Chavan-AIILSG & Mr.Sudhir Singh,Ms.Anuradha Raman & Dr.Sneha Palnikar – NRCUP, AIILSG	2007
39	Ludhiana City Poverty Profile	Poverty Profile	CRRID NRCUP	Mr.Ranjit Chavan-AIILSG,Mr.Manoj kumar Teotia-CRRID,Ms.Anuradha Raman & Dr.Sneha Palnikar – NRCUP, AIILSG	2007
40	Hyderabad City Poverty Profile	Profile	CGG NRCUP, AIILSG	Mr.Ranjit Chavan-AIILSG,Mr.Rajiv Sharma & Ms.P.Anuradha-CGG,Dr.Sneha Palnikar & Mr.Satyajit Shinde – NRCUP, AIILSG	2007
41	Kolkata City Poverty Profile	Poverty Profile	NRCUP, AIILSG	Mr.Ranjit Chavan-AIILSG & Mr.Sudhir Golambde,Mr.Shail esh Chalke,Mr.Anjan Ghosh,Ms.Anuradha Raman & Dr.Sneha Palnikar – NRCUP, AIILSG	2007

NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
42	Chennai City Poverty Profile	Poverty Profile	RCUES, AIILSG	Mr.Ranjit Chavan – AIILSG, Mr.Sudha Bhave,Mrs.Vijaya Srinivasan,Mrs.Tej asvini Varadachari,Dr.(Mrs.R.Buvana,Ms.Anuradha Raman & Dr.Sneha Palnikar – NRCUP, AIILSG	2007
43	Chennai City Poverty Profile	Poverty Profile	RCUES, AIILSG	Mr.Ranjit Chavan-AIILSG, Mrs.Vijaya Srinivasan,Mrs.Tej asvini Varadachari,Dr.(Mrs.)R.Buvan, Dr.Sneha Palnikar – NRCUP, AIILSG	2007
44	Partnering To Change Slum Networking project Ahmedabad	Learning Manual	GMHST GOI	Gujarat Mahila Housing SEWA Trust	2006/07
45	National strategy for Urban Poor, National Resource Centre for Urban Poverty:YASHADA and AIILSG	Best Practice Document	YASHADA AIILSG	YASHADA,AIILSG	
46	Annexures, Fact Sheets and Maps	Best Practice Document	GMHST GOI	Gujarat Mahila Housing SEWA Trust	2007
47	Integrated The Urban Poor in City Development, Promoting Best Practices in Slum development and Housing	Best Practice Document	GMHST GOI UNDP	Gujarat Mahila Housing SEWA Trust	2006

NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
48	Human Development Report	Report	AIILSG	-	2009
49	Quarterly Publication the Urban World	News letter	<ul style="list-style-type: none"> <li>RCUES, AIILSG</li> </ul>	-	July-September 2009
50	Assessment Report of Resettlement and Rehabilitation	Assessment Report	<ul style="list-style-type: none"> <li>RCUES, AIILSG</li> </ul>	Dr. (Prof.) Sneha Palnitkar, Mrs. Neeta Chalke, Mrs. Archana Patankar	March 2009
51	Mapping report on Basic Services in Urban Slums	Mapping Report	<ul style="list-style-type: none"> <li>Regional Center for Urban and Environmental Studies</li> <li>AIILSG</li> </ul>	UHRC Team Ms. Ayushi Agnihotri Ms. Karishma Srivastava Dr. Siddharth Agarwal, Dr. Sanjeev Kumar, Mr. Govindkuty, Dr. Utpal Das and Mr. Partha Roy	March 2008
52	Selected Resource Material on Urban Poverty Alleviation Part-II	-	<ul style="list-style-type: none"> <li>RCUES</li> <li>AIILSG</li> </ul>	-	2009
53	Special Issue on Gender Budgeting	-	<ul style="list-style-type: none"> <li>NRCUP</li> <li>RCUES</li> <li>AIILSG</li> <li>YASHADA</li> </ul>	Edition Coordinator Dr. (Prof.) Sneha Palnitkar	2007
54	Special Issue on Health	-	<ul style="list-style-type: none"> <li>NRCUP</li> <li>RCUES, AIILSG</li> <li>YASHADA</li> </ul>	Edition Coordinator Dr. (Prof.) Sneha Palnitkar	2007

NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
55	Proceedings Launching Ceremony on 10 <sup>th</sup> February 2006 at Mayors Hall AILSG, Mumbai	Proceedings	<ul style="list-style-type: none"> <li>• NRCUP</li> <li>• RCUES, AILSG</li> <li>• YASHADA</li> </ul>	-	2006
56	Selective Readings in Urban Poverty Alleviation Volume-I	-	<ul style="list-style-type: none"> <li>• NRCUP</li> <li>• RCUES, AILSG</li> </ul>	-	-
57	Selective Readings in Urban Poverty Alleviation Volume-II	-	<ul style="list-style-type: none"> <li>• NRCUP</li> <li>• RCUES, AILSG</li> </ul>	-	-
58	Development of Basic Services for Urban Poor Fund	Inception Report	<ul style="list-style-type: none"> <li>• CGG</li> </ul>	-	November 2008
59	Mumbai Human Development Report	Report	<ul style="list-style-type: none"> <li>• Municipal Corporation of Greater Mumbai</li> </ul>	<ul style="list-style-type: none"> <li>• NRCUP, AILSG</li> </ul>	2009
60	Urban Livelihoods in India – Employability and Microfinance	Paper	BASIX	Vijay Mahajan, Preeti Sahai, Satyanarayana	October 2007
61	City Profile on Urban Poverty: Hyderabad	Report	<ul style="list-style-type: none"> <li>• UMRG</li> <li>• CGG</li> </ul>	-	October 2007
62	Register of Innovation	Document	<ul style="list-style-type: none"> <li>• NRCUP</li> <li>• RCUES, AILSG</li> <li>• YASHADA</li> </ul>	-	2008

NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
63	Urban Poverty Linked Solid Waste Management	Document	<ul style="list-style-type: none"> <li>• NRCUP</li> <li>• RCUES, AILSG</li> </ul>	-	2008
64	Urban Poverty (English)	Newsletter	<ul style="list-style-type: none"> <li>• NRCUP</li> <li>• RCUE, AILSG</li> <li>• YASHADA</li> </ul>	-	April 2006 August 2006 October 2006 December 2006 June 2007 August-September 2007 October 2007 November December 2007
65	Urban Poverty (Hindi)	Newsletter	<ul style="list-style-type: none"> <li>• NRCUP</li> <li>• RCUES, AILSG</li> <li>• YASHADA</li> </ul>	-	March 2006 May 2007 July 2006 September 2006 November 2006
66	Adhar – An innovative poverty reduction strategy in Mumbai	-	<ul style="list-style-type: none"> <li>• RCUES, AILSG</li> </ul>	-	-
67	Design of BSUP fund short listing of Consultants for the concept paper	-	<ul style="list-style-type: none"> <li>• -</li> </ul>	-	-



NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
68	Urban Livelihood In India – The role of Urban Local Bodies	-	<ul style="list-style-type: none"> <li>Basix</li> </ul>	Vijay Mahajan, Prasanth V. Regy, Satyanarayana Guda	July 2008
69	Mayors' forum for fight against Urban Poverty	Brochure	<ul style="list-style-type: none"> <li>NRCUP</li> </ul>	-	-
70	Memorandum of Agreement between Ministry of Urban Employment and Poverty Alleviation and YASHDA and RSUES	MoU	<ul style="list-style-type: none"> <li>GoI</li> <li>YASHDA</li> <li>RCUES</li> </ul>	-	November 2005
71	Design of Basic Services for Urban Poor Fund for the MoHUPA and	Request for Proposal	<ul style="list-style-type: none"> <li>CGG</li> </ul>	-	February 2009
72	Contract National Resource Center for Urban Poverty Developing City Profile of Urban Poverty for Hyderabad	Contract	<ul style="list-style-type: none"> <li>AIILSG</li> <li>CGG</li> </ul>	-	February 2007
73	Mein Hero Banna Chahta Hun – Capacity Building for Police Constable	Film	YASHADA	-	-
74	Empowering Change - Innovation in Urban Poverty Reduction	Film	YASHADA AIILSG	-	-

NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
	Municipal Action Plan				
75	File Yatra	Film	YASHADA	-	-
76	Ramsingh	Film	YASHADA	-	-
77	Urban Poverty Alleviation in the Context of JnNURM	Document	YASHADA	-	-
78	Manual on Livelihood Improvement Plan for Urban Local Bodies	Manual	YASHADA	-	
79	Nagpur City Poverty Profile	Report	YASHADA	Dr. Y.L.P.Rao	October 2008
80	Training Module for Anganwadi Workers	Module	YASHADA	-	-
81	Training Module for Clerk	Module	YASHADA	-	-
82	Training Module for Conservancy Workers	Module	YASHADA	-	-
83	Training Module for Drivers	Module	YASHADA	-	-
84	Training Module for Peons	Module	YASHADA	-	-

<b>NO</b>	<b>NAME OF DOCUMENT</b>	<b>TYPE OF DOCUMENT</b>	<b>AGENCY</b>	<b>AUTHOR</b>	<b>YEAR OF PUBLISHING</b>
85	Training Module for Police Constable	Module	YASHADA	-	-
86	Poverty Workbook	Module	YASHADA	-	-
87	Teacher Module	Module	YASHADA	-	-
88	Manual on Geographic Information Systems for Urban Areas	Manual	YASHADA	-	August 2008
89	Maharashtra: Summary of State Urban Poverty Profile	Profile	YASHADA	-	-
90	Fire fighting module	Module	YASHADA	-	-
91	Smile – A shop with Purpose	Film	YASHADA	-	-
92	Town Planning Module	Module	YASHADA	-	
100	Fire Module	Module	YASHADA	-	-
101	Municipal Revenue and Civic Property Tax	Module	YASHADA	-	

NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
102	Information and Communication Technology Module	Module	YASHADA	-	2007
103	Audit of Municipal Council	Module	YASHADA	Vilas Sopanrao Jadhav Assistant Director (TR.) , Accountant and Treasuries, Aurangabad	-
104	Civil Engineering Module	Module	YASHADA	-	-
105	Empowering Change - Innovation in Urban Poverty Reduction – Mid Day Meal	Film	YASHADA CGG	-	-
106	Empowering Change - Innovation in Urban Poverty Eradication – Student Health Plan	Film	YASHADA CGG	-	-
107	Capacity Building of Anganwadi Workers	Film	YASHADA CGG	-	-
108	Das Bata Das	Film	YASHADA CGG	-	-
109	Stree Shakti	Film	YASHADA CGG	-	-

NO	NAME OF DOCUMENT	TYPE OF DOCUMENT	AGENCY	AUTHOR	YEAR OF PUBLISHING
110	Empowering Change - Innovation in Urban Poverty Eradication – Upadhi – Urban Programme for Advancement of Household Income	Film	YASHADA CGG	-	-
111	ADHAR	Film	YASHADA	-	-
112	Empowering Change - Innovation in Urban Poverty Eradication – Food Security	Film	YASHADA CGG	-	-
113	Empowering Change - Innovation in Urban Poverty Eradication – Online Grievance Redressal Tracking System	Film	YASHADA CGG	-	-
114	Sarathi	Film	YASHADA	-	-
115	Pandhrichi Vat	Film	YASHADA	-	-
116	Urban Sanitation – An NGO's Experiences in Pune and Sangli	Film	YASHADA	-	-

<b>NO</b>	<b>NAME OF DOCUMENT</b>	<b>TYPE OF DOCUMENT</b>	<b>AGENCY</b>	<b>AUTHOR</b>	<b>YEAR OF PUBLISHING</b>
117	Kamgar Putala Resettlement Experiment	Film	YASHADA	-	-
118	Ethical Code of Conduct for UNDP Evaluations				
119	Guidelines for Outcome Evaluators	UNDP Guideline	UNDP	-	2002
120	Handbook on Monitoring and Evaluating Results	UNDP Guideline	UNDP Evaluation Office	-	2002
121	Norms for evaluation in the UN System	UNDP Guideline	United Nations Evaluation Group	-	April 2005
122	Evaluation of Results Based Management at UNDP	UNDP Guideline	UNDP Evaluation Office	-	2007
123	Standards for Evaluation in the UN Systems	UNDP Guideline	United Nations Evaluation Group	-	April 2005
124	The Evaluation Policy of UNDP	UNDP Guideline	Executive Board of the UNDP and the United Nations Population Fund	-	2006
125	Ethical Guideline for Evaluation	UNDP Guideline	UNDP Evaluation Office	-	2007
126	Terminal Evaluation Report	Evaluation Report	Urban Poverty Alleviation and Livelihood Cell, Ahmedabad	-	November 2009

<b>NO</b>	<b>NAME OF DOCUMENT</b>	<b>TYPE OF DOCUMENT</b>	<b>AGENCY</b>	<b>AUTHOR</b>	<b>YEAR OF PUBLISHING</b>
127	Annual Report – Urban Poverty Alleviation and Livelihood Cell	Annual Report	Urban Poverty Alleviation and Livelihood Cell, Ahmedabad	-	May 2009
128	Swarnim Siddhi Committee on Livelihood and Skill Development	Socio-Economic Survey Form	Gujarat Urban Development Mission	-	2008
129	Format for Codification	List	Gujarat Urban Development Mission	-	-
130	Request for Extension of Urban Poverty Alleviation and Livelihood Cell	Letter	GUDM	-	May 2009
131	Extension to the staff of the Urban Poverty Alleviations and Livelihood cell of Ahmedabad	Letter	MoHUPA	-	May 2009

## APPENDIX-5 LIST OF STAKEHOLDERS MET

SR. NO	NAME	DESIGNATION	ORGANIZATION	DATE & TIME OF MEETING
1.	Dr. P. K. Mohanty, IAS	Mission Director, JNNURM and Joint Secretary, MoHUPA	Ministry of Housing and Urban Poverty Alleviation	10 <sup>th</sup> September 2009 2.30 PM – 3.00 PM
2.	NSUP TEAM	<ul style="list-style-type: none"> <li>• Kimberly Noronha (Project Associate)</li> <li>• Surbhi Dhingra (Research Associate)</li> <li>• Ravi Sannabhadti (Research Associate)</li> <li>• Nagendra Goel (Research Associate)</li> </ul>	Policy cell, MoHUPA	10 <sup>th</sup> September 2009 3:00PM -4:00 PM 27 <sup>th</sup> November 2009 11:00 AM -1:00 PM
3.	Dr. Chetan Vaidhya	Director	NIUA	10 <sup>TH</sup> September 2009 4:30 PM – 7:00 PM
4.	Prof. Usha Raghupati	-	NIUA	10 <sup>TH</sup> September 2009 4:30 PM – 7:00 PM
5.	Prof. Goldhar	-	IEG	11 <sup>th</sup> October 2009 11:00AM- 12:00 AM
6.	Prof. Arun Mitra	-	IEG	11 <sup>th</sup> October 2009 11:00AM- 12:00 AM
7.	Prof. O. P. Mathur	Principal Consultant & Professor, Urban Economics & Finance	National Institute of Public Finance & Policy	28 <sup>TH</sup> October 2009 4:00 PM -5:00 PM
8.	Mr. Bipin Shah	Senior Professor	Entrepreneurship Development Institute of India	26 <sup>TH</sup> October 2009 3:00PM-4:30 PM
9.	Mr. Harimohan Meeting	Team Member	Policy Unit, UNDP	11 <sup>th</sup> October 2009 2:30 PM



<b>SR. NO</b>	<b>NAME</b>	<b>DESIGNATION</b>	<b>ORGANIZATION</b>	<b>DATE &amp; TIME OF MEETING</b>
	Telephonic discussion			24 <sup>th</sup> November 2009 1:30 PM – 3:00 PM
10.	Ms. Prema Gera Meeting	Head	Poverty Unit, UNDP	11 <sup>th</sup> October 2009
	Telephonic discussion			24 <sup>th</sup> November 2009 1:30 PM – 3:00 PM
11.	Mr. Ashok Malhotra (Telephonic discussion)	Project Officer	Poverty Unit, UNDP	24 <sup>th</sup> November 2009 1:30 PM – 3:00 PM
12.	Mr. Suraj Kumar (Telephonic discussion)	Team Member	Poverty Unit, UNDP	24 <sup>th</sup> November 2009 1:30 PM – 3:00 PM
13.	Smt. Rashmi Singh (Telephonic discussion)	Mission Director	Samajik Suvidha Sangam	20 <sup>TH</sup> November 2009 9:30AM-10:30 AM
14.	Alkesh Sharma (Telephonic Discussion)	Secretary, Industry,	Government of Kerala	18 <sup>th</sup> November 2009 9:15 AM – 10:00 AM
15.	Prof. Dhar (Telephonic discussion)	Professor	National Institute of Urban Affairs (NIUA)	31 <sup>st</sup> November 2009 10:30 to 11 AM
16.	Dr. S. P. Shorey,	Director	Urban Management Resource Group	4 <sup>TH</sup> November 2009 3:30 PM-5:30 PM
17.	Mr. K. Sonamani Singh	Programme Coordinator	NSUP Centre for Good Governance	4 <sup>TH</sup> November 2009 3:30 PM-5:30 PM
18.	Mr. N. Ramakrishna	Knowledge Manager	Centre for Good Governance	4 <sup>TH</sup> November 2009 3:30 PM-5:30 PM
19.	Ms. Madhvi	MIS Officer	Centre for Good Governance	4 <sup>TH</sup> November 2009 3:30 PM-5:30 PM
20.	Mr. Subhendu Pratihari	Social Development Expert	APUFIDC, Govt. of AP	4 <sup>TH</sup> November 2009 3:30 PM-5:30 PM
21.	Mr. Naveen	-	Centre for Good Governance	4 <sup>TH</sup> November 2009 3:30 PM-5:30 PM
22.	Prof. Amitabh Kundu (Telephonic discussion)	Professor, Centre for the Study of Regional Development, School	Jawaharlal Nehru University	13 <sup>th</sup> November 2009 10:00 AM-11:00 AM

<b>SR. NO</b>	<b>NAME</b>	<b>DESIGNATION</b>	<b>ORGANIZATION</b>	<b>DATE &amp; TIME OF MEETING</b>
		of Social Sciences		
23.	Dr. Sneha Palnitkar	Director	Regional Centre for Urban & Environmental Studies (RCUES), AILSG	3 <sup>rd</sup> November 2009 11:45 AM – 3:45 PM
24.	Shri V. Ramani	Director General	Yashwantrao Chavan Academy of Development Administration (YASHADA)	5 <sup>th</sup> November 2009 1:45 PM – 4:30 PM
25.	Ms. Poonam Mehta	Project Coordinator	GoI-UNDP Project, National Strategy for Urban Poor, Yashwantrao Chavan Academy of Development Administration (YASHADA)	5 <sup>th</sup> November 2009 1:45 PM – 4:30 PM
26.	Sumedh Gujar	Director-Research & Documentation	Yashwantrao Chavan Academy of Development Administration (YASHADA)	5 <sup>th</sup> November 2009 1:45 PM – 4:30 PM
27.	Ms. Arati	-	Yashwantrao Chavan Academy of Development Administration (YASHADA)	5 <sup>th</sup> November 2009 1:45 PM – 4:30 PM
28.	Mr. C. M. Gohil	Deputy CEO	Gujarat Urban Development Mission (GUDM)	27 <sup>th</sup> November 2009 12:45PM - 4:00 PM
29.	Mr. Hetal Patel	Director	Urban Poverty Alleviation and Livelihood Cell, Ahmedabad	27 <sup>th</sup> November 2009 12:45PM - 4:00 PM
30.	Mr. Vikrambhai Gadhavi	Community Catalyst	Urban Poverty Alleviation and Livelihood Cell, Ahmedabad	27 <sup>th</sup> November 2009 12:45PM - 4:00 PM
31.	Mr. Pranaybhai	Community Catalyst	Urban Poverty Alleviation and Livelihood Cell, Ahmedabad	27 <sup>th</sup> November 2009 12:45PM - 4:00 PM
32.	Mr. Dhrumil Patel	Information	Urban Poverty	27 <sup>th</sup> November 2009

<b>SR. NO</b>	<b>NAME</b>	<b>DESIGNATION</b>	<b>ORGANIZATION</b>	<b>DATE &amp; TIME OF MEETING</b>
		Technology and Monitoring & Evaluation officer	Alleviation and Livelihood Cell, Ahmedabad	12:45PM - 4:00 PM

## APPENDIX-6NSUP PRODUCTS (Provided by UNDP)

S.No.	Outcome	Output	Details on Deliverables	Status	Implementing Partner (Contact Person)	Use of the document/platform where the document has been used/discussed
<b>Outcome: 1. Enhanced understanding on trends and directions of urban poverty in India</b>						
1	1.1 Research papers on poverty related issues	"India: Urban Poverty Report 2009"	The report contains information on various aspects of urban poverty written by 16 eminent persons from India. It is the first national level attempt to conceptualize poverty in urban areas focusing on extra-income issues such as health, education, livelihood, migration etc. This report has been published via Oxford University Press in February 2009	Hard copy available	JNU/Amitabh Kundu	This report has been sent to various Ministries for information. Parliament questions have been raised based on the information given in the report. The M/o HUPA has used this report for revision of its policies notably the newly launched Rajiv Awas Yojana and the Revised SJSRY guidelines

2		Four research papers submitted by IEG, New Delhi (refer annual report)	Institute of Economic Growth, New Delhi was assigned the task of writing four policy papers on: (i) Urbanization; (ii) Labour market outcomes and urban poverty; (iii) provision of water supply and sanitation to the urban poor, safe water, safe waste disposal and health outcomes including financing and institutional arrangements; (iv) improving the access of the urban poor; and (v) IEG has submitted the final papers which will help in preparing the National Urban Poverty Reduction Strategy.	Hard copy	Institute of economic growth. Prof . Goldar	The report fed into National Urban Poverty Reduction Strategy (NUPRS), which is the chief outcome of the NSUP project.
3		Mumbai HDR	Mumbai HDR will be the first ever city Human Development Report prepared under the NSUP project taking into account the present scenario of infrastructure, basic services, health, education and living standards and it will suggest a way forward. It has developed a customised Human Development Measure and Human Development Radars for each ward in Mumbai City. It is scheduled for launch in November 2009 after publication by Oxford University Press, New Delhi	draft available (soft copy)	to be launched in November 2009	This report is yet not published.

4		8 Research papers prepared by Core Group	The members have prepared and submitted 8 policy papers on: (1) security of tenure for the urban poor, (2) urban water & sanitation policy for the poor, (3) urban livelihoods-the role of ULBs, (4) urban livelihoods-employability and micro-finance, (5) institution building for community empowerment, (6) housing micro-finance, (7) participatory governance, and (8) poverty alleviation through micro-enterprise development strategy; converting urban poor into owners of sustainable micro-enterprises	Soft copies available of 8 papers	Mr. Nagendra (MoHUPA)	Core group members have presented the papers before the Minister, HUPA. The papers will be published in the handbook on 'Strategies for Slum Free Cities'. A workshop on 'Water and Sanitation' was organised based on the Water & Sanitation paper towards an analysis of the Water & Sanitation Policy and its subsequent revision
5		Documentation of best practice on Urban Poverty	SEWA has documented four slum improvement projects, have prepared training manuals and a short documentary film. The report has been submitted to the Ministry.	hard copy available	SEWA (Ms. Beejal Bhatt)	The report fed into National Urban Poverty Reduction Strategy (NUPRS), which is the chief outcome of the NSUP project.
6	<b>Outcome2: An all-India Network on urban poor livelihoods established to support wider stakeholder dialogue and exchange of information within India and with other Countries</b>					
		Establishment of national resource centre	The National Resource centre on Urban Poverty (NRCUP) has been established in Yashwantrao Chavan Academy of Development Administration (YASHADA), Pune, along with the All India Institute of Local Self-Government (AIILSG), Mumbai.	completed	Kimberly	These NRCs have, over the three years of the project, supplied intellectual input and fora for discussions on various issues on urban poverty by government officials, practitioners and academicians. The concept has been carried forward by M/o HUPA which has empanelled these two organizations and 19 others

						in a "Network of National Resource Centres" (NNRCs) to advise the ministry
7		11 city profiles, 5 state profiles, website on urban poverty, documentation of best practices (40 innovations), dedicated portal on urban poverty, GIS manual, 18 audio-visual documentation & training modules on capacity development	NRCUP has delivered State profiles for Maharashtra, Andhra Pradesh, Karnataka, Gujarat and Rajasthan; City poverty profiles of 11 cities namely Ludhiana, Chandigarh, Jaipur, Lucknow, Kolkata, Indore, Bangalore, Ahmadabad, Hyderabad, Chennai and Nagpur; Documented 40 innovations of projects and best practices on six thematic areas on Urban poverty including housing; launched a web site on urban poverty; developed GIS manual; 18 audio-visual films on urban poverty and capacity building initiatives; developed capacity building modules for State/ULB level officials and cutting edge functionaries in the city governments; conducted stakeholders' workshop on selected themes; and launched a National Network of Resource Centres. The inputs from all the activities are being incorporated in the work of	Hard copy available	Kimberly	YASHADA is using all the documents for various training programmes.

			JnNURM, and SJSRY programmes of the Ministry			
8		Establishment of a National Core Group on Urban Poverty	The core group consists of the following eminent people working on the issues of urban poverty alleviation: (1) Professor Amitabh Kundu, (2) Professor O.P. Mathur, (3) Ms. Renana Jhabwala, (4) Dr. Dinesh Awasthi, (5) Shri M.P. Vaasimalai, (6) Shri Ramesh Ramanathan, (7) Dr. S. Sridhar, (8) Ms. Rohini Nilekani, (9) Ms. Sheele Patel, and (10) Shri Vijay Mahajan	Activity completed	Nagendra Goel	The papers of the NCGUP are being published in the "Strategies for Slum Free Cities: A Handbook" by OUP, New Delhi due for release in December 2009
9		Mayors forums - advocacy activitiy	This forum acts as a conclave of Mayors, Municipal Chairpersons and other elected representatives of Municipal Governments to discuss poverty alleviation issues and serves as a voice and accountability platform for the urban poor. The forum is administered by All India Institute of Local Self Government, Mumbai.	On-going	Dr. Sneha Palnitkar, All Inst of Local Self Govt, Mumbai, have reports from Mayors' forums	The Fora is meeting regularly to discuss the issues pertaining to urban poverty alleviation.
10		City Managers forums	This forum is a knowledge network of Municipal Commissioners, civic administrators, city managers and other administrative/technical personnel in ULBs. The forum shares experiences, and contributes towards the overall knowledge pool for urban poverty alleviation.	on-going	Ms. Poonam Mehta, Yashada, Pune	



11		Researchers colloquium	The objective of the forum is to gather knowledge on the dimensions of urban poverty related issues and provide professional inputs for planning, policy-makers, monitoring and evaluating and undertaking reforms for effectively implementing the urban poverty alleviation and livelihood development programmes. This forum has been merged with NNRC.	completed		merged with National Network of resource centres established by Ministry
12	<b>Outcome3: Innovative and promising livelihood initiatives of urban poor communities broadened and deepened across the country</b>					
		Formulation of Entrepreneurship Development strategy for urban poor	The Institute has submitted the final report based on the pilots experimented in five states for the promotion of SMEs. The institute is now developing a training manual for the trainees and the trainers based on the report.	hard copy available. Training manual is under-development	EDI	Based on the report, training manuals are being developed on self-employment.
13		11 Urban Poverty Reduction Strategies	The draft UPRS prepared for eleven JnNURM cities provides a framework for the reducing urban poverty at city level with special emphasis on seven point charter and livelihoods development.	soft copy available	NIUA	Based on the report, a toolkit on 'Plan for Urban Poverty Alleviation' has been prepared, and sent for comments/suggestions to various state governments.

14		Establishment of urban poverty alleviation and livelihood cells in 13 cities	The UPA & L Cell is meant to be an operations unit supplementing and enhancing the existing skill mix of the ULB and to work in tandem with the existing staff with focus on BSUP, IHSDP, SJSRY and other poverty alleviation initiatives relating to employment generation, skill development, education, health etc.	Cells are functional in Ahmedabad, Chandigarh, Hyderabad, Jaipur, Coimbatore, Siliguri, and Bhopal.		Cells are working as an integral part of the ULBs and focusing on schemes like, SJSRY and JNNURM. Based on these pilots M/o HUPA under JNNURM is in the process of establishing Project Management Units (PMUs) at the State level and Project Implementation Units (PIUs) at the ULB level to manage urban poverty alleviation under BSUP (JNNURM)
15	<b>Outcome 4: Capacity building for a national strategy on urban poverty reduction</b>					
		Integrated urban poverty monitoring system (IPOMS)	The IPoMS, which has four sub components i.e. progress tracking, poverty monitoring, reforms monitoring and capacity. The system has been finalised and deployed in the mission cities of Andhra Pradesh, Gujarat, Haryana, Maharashtra, West Bengal, Madhya Pradesh and Tamil Nadu. building will increase the efficiency of the implementation of JnNURM activities	the system is being used by 7 states to monitor both JNNURM and BSUP component	Centre for Good Governance (Madhavi), MoHUPA (Mr. Arvind Kumar)	the system is being used by 7 states to monitor both JNNURM and BSUP component. This activity has been successfully been handed over to the M/o HUPA and is being carried forward by them as an ongoing activity
16		Establishment of data centre /resource centre/socio economic unit at the Ministry	NRC is to be a hub for the compilation of knowledge, data and research information for better planning, policy making, project design, implementation and monitoring of housing for the urban poor and urban poverty alleviation programmes. This NRC will be a professional repository library for	data centre and socio economic unit is functional. Resource centre yet to be launched in October 2009	on-going	data centre and socio economic unit is functional. Resource centre yet to be launched in October 09

			government and non-government publications on urban poverty in India.			
17		<b>Strategy paper/theme paper/research paper on the following core areas:</b>			<b>on-going</b>	These are to be published in the "Strategies for Slum-Free Cities: A Handbook" which will be used for wider dissemination and generating necessary debate
18		1. Land tenure and affordable housing for urban poor	The strategy papers on land tenure and affordable housing for the urban poor has been prepared. A guidance note on the same was circulated in the State Housing Ministers Conference for developing appropriate policies and plans at the state level.	Soft copy of draft available	on-going	under-review
19		2. Base paper on access to health and urban poor	The base paper for access to health and urban poor has been prepared, and a strategy paper is being prepared. This paper attempts to highlight the areas of convergence between the Ministries of H&FW and HUPA such that viable programmes can be jointly developed and executed to improve public health conditions and service delivery to the urban poor. In particular this paper focuses on: I. The link between health and urban poverty, II. The state of health of the urban poor in India, III. Health service delivery for the urban poor via the Govt. of India.	Soft copy of draft available	on-going	The paper has been sent to MoH&FW for comments/suggestions.

20		3. Paper on "Comparison of wage employment models in India"	The paper proposes to analyse the different wage employment models being implemented by various governmental agencies and partnerships therein. The paper brings forth the pros and cons of these different models being employed for enhancement of livelihoods of poor in India.	on-going		on-going
21		4. Slum Free cities in India: Synopsis of Issues and an agenda for action	The paper is based on learning generated during the process of preparation of Urban Poverty reduction strategies for 11 cities in India. The paper brings forth and discusses strategies that would be useful to make cities slum free across the different classes of Indian cities. The paper discusses the challenges and opportunities that would need to be addressed in order to improve the condition of the poor living in these cities.	Soft copy of draft available		on-going
22		5. Social Security System for the Urban Poor in India	The paper analyses the existing government schemes and suggests a framework for improving the mechanism for addressing the needs of urban poor in India.	Soft copy of draft available		on-going
23		6. Housing Rights: An Urban Poor Perspective	The paper incorporates the progressive interpretation of various judgments of the Supreme Court of India, and a few international courts; legislations in India; housing laws in South Africa; Latin America and Asia; guidelines by UN-Habitat; and other multilateral organizations.	Soft copy of draft available	on-going	under-review

24		7. Land Tenure Laws: The current state of debate	The paper analyses various legislations on land tenure as are prevalent abroad, international agreements and conventions on the subject, India's policy on land tenure, various state legislations, and suggested course of action.	Soft copy of draft available	on-going	under-review
25		<b>Guidance Note on the following areas:</b>				
26		1. Housing & Land tenure law	The guidance note suggests a way out of the current situation, by substantiating Article 253 of the Constitution, which empowers <i>'Parliament to make any law for the whole or any part of the territory of India for implementing any treaty, agreement or convention with any other country or countries or any decision made at any international conference, association or other body'</i> .	Soft copy of draft available	on-going	under-review

27		2. Guidance note on Water & Sanitation(Public Service Delivery to Poor)	Guidance note on Water & Sanitation has been prepared in consultation with SEWA and WB-WSP, which was sent for comments from the states. The comments have been received and ASCI have been requested for conducting a workshop to finalise the guidance notes in April/May, 2009.	Soft copy of draft available		This was circulated to select states for information. It was also internally discussed within the Ministry. A workshop was conducted on 'Water and Sanitation' and this drfat guidance note was discussed there.
28		3. Guidance Note on Preparation of 'City Poverty Profile'	The guidance note gives the guidelines for the collection and compilation of all relevant data in order to capture the poverty related issues in a city. The data which needs to be captured at different levels in the city is mentioned in detail so as to help city managers to prepare “city poverty profile”.	Soft copy of draft available		The guidance note has been circulated internally within the Ministry, and helped in discussions for preparing the formats on: 'urban poverty', 'livelihoods profile' and 'slum profile'. It also fed into the toolkit on 'PUPA'.
29		<b>Development of policy/Act on the following areas:</b>				

30		1. Model Housing Act	The Act will help the housing division in preparing real estate regulation bill. The Act inter-alia provides for the (1) Eligibility Criteria for Social Housing Program Beneficiaries, Registration of Social Housing Beneficiaries, (2) Community/ group ownership program, and (3) Responsibility of the Local Self Government which shall be charged with the implementation of this Act, etc	Soft copy of draft available	on-going	under-review
31		2. 'Model Housing and Slum Redevelopment Act'	The Act incorporates a broad base legal framework to provide for housing to the urban poor; based on current situation prevalent in the country; Housing and Habitat Policy; and the best practices adopted by countries which have a history of successful legislations on housing and land tenure. It also incorporates the provisions under the various Master Planning and Town Planning Acts for housing for slum dwellers.	Soft copy of draft available	on-going	under-review
32		3. 'Model Regulation of Real Estate Development & Management Act 200...'	The Model Act aims to regulate construction of colonies (apartments) in pockets of size 1000 sqm and above. The Model law after extensive review and discussion has been sent to the Law Ministry, Government of India for comments.	Soft copy of draft available	on-going	under-review
33		<b>Development of toolkit on the following subjects</b>				

34		1. Plan for Urban Poverty Alleviation	PUPA is designed to assist city governments and other stake holders like development authorities & civil society groups in formulating a Plan for 'Urban Poverty Alleviation' (PUPA) by addressing the concerns of the urban poor and slum dwellers. It indicates the steps to be taken in order to assess the problems and issues related to poverty reduction in a city.	Soft copy of draft available	on-going	Toolkit has been sent to select states/ULBs for comments/suggestions.
35		2. Skills & livelihoods development plan	The toolkit will help the city administrators and managers in chalking out livelihood initiatives for addressing the concerns of the urban poor. The toolkit will sensitize and build the capacities of the users to undertake their own analysis while developing sustainable livelihood options. The toolkit, incorporating the revised SJSRY guidelines will be ready by Mid-May, 2009.	Soft copy of draft available	on-going	Toolkit has been sent to select states/ULBs for comments/suggestions.
36	<b>Outcome 5: Comprehensive review and capacity analysis to formulate operational strategies for financing livelihoods-intensive social/physical infrastructure and improved regulatory environment in NCR of Delhi</b>					



		Establishment of UPA cell at Deptt of Social Welfare, NCT Delhi	Urban Poverty Alleviation and Livelihoods Cell in Department of Social Welfare, GoNCTD of Delhi was established to enhance the capacity building programmes for the urban poor being implemented by them. The cell has led to the establishment of mission convergence for total urban poverty alleviation in GoNCTD.	Completed. This led to mission mode programme "Mission Convergence"	Deptt of Social Welfare (Ms. Rashmi Singh, Director, Mission Convergence) -	This led to mission mode programme "Mission Convergence"
37	<b>Outcome 6: Targeted support to community associations and NGOs active in the NCR of Delhi to promote urban poor concerns and to address multiple vulnerabilities of urban population</b>					
		Targetted support to 21 NGOs in Delhi	This activity was implemented and coordinated through the National Institute of Urban Affairs (NIUA), New Delhi and the Department of Social Welfare, Government of NCT, Delhi under which targeted support was given to 21 NGOs and Community Based Organizations (CBOs) in Delhi to take up pilot initiatives in five thematic areas including livelihoods, women and children, health, education and slum up-gradation.	completed. Report available	NIUA: Prof. V.K. Dhar	The report fed into National Urban Poverty Reduction Strategy (NUPRS), which is the chief outcome of the NSUP project.

38		Concept note on BSUP Fund	CGG is facilitating this activity. The main objective of the FUND is to finance slum redevelopment, slum up-gradation, provision of basic services and affordable housing to urban poor, including slum dwellers. The fund would include assistance from multi/bilateral agencies, government resources and would include seed money to leverage resources for slum development/redevelopment and urban poverty alleviation on a sustainable manner.	on-going	Mr. Ramakrishnan, Centre for Good Governance	on-going
39		Concept note on UNDAF study	The aim of the study is to develop a framework for extending basic services and livelihood options to the urban poor and also to enhance the capacities of the State and city government to target more effectively on the issues of urban poverty.	on-going	YASHADA (Ms. Poonam)	on-going

40		National Urban Poverty Reduction Strategy	Primarily covering two broad aspects National level and city level urban poverty reduction strategies. The report focuses on addressing questions that are directly relevant to formulating a strategy e.g., is poverty urbanizing itself in India. The report also examines past five year plans and poverty reduction programmes in order to identify the policy gaps and problems associated with the design of such programmes. The main theme of the strategy is to move towards a “slum free India” to target urban poverty, as slum settlements are spatial entities that are possible to be identified, targeted and reached for poverty reduction.	on-going	NIPFP (Prof. O.P. Mathur) and Madras School of Economics (Prof. Swarna Vepa)	on-going
41		Social Audit Toolkit for JNNURM	This toolkit is designed to assist city governments and other stakeholders like development authorities groups in taking up a social audit of the IHSDP and BSUP components of JNNURM. The social audit process is essentially participatory and the toolkit would help urban functionaries to undertake this process. <b>Though, this is not a project activity, however, the activity is being facilitated by the project. CGG is preparing the toolkit &amp; inception report has been received by MoHUPA.</b>	on-going	CGG Dr. Rajiv Sharma, DG, CGG & Mr.Satyajeet	on-going

## **APPENDIX 7 CASE STUDY: THE REGIONAL CENTRE FOR URBAN AND ENVIRONMENTAL STUDIES (RCUES) OF THE ALL INDIA INSTITUTE OF LOCAL SELF GOVERNMENT (AIILSG)**

As a part of NSUP, Ministry of Housing and Urban Poverty Alleviation (MoHUPA), the then Ministry of Urban Employment and Poverty Alleviation (MOUE & PA), established 'National Resource Centre on Urban Poverty (NRCUP)'. NRCUP was set up with the objective of enhancing the understanding on the multiple dimensions of urban poverty and the various types of vulnerabilities that the urban poor face and to provide inputs to MoHUPA (then MOUE & PA), GOI to prepare a National Strategy and an Action Plan for poverty reduction in the country as envisaged in the NSUP. The major activities defined for the NRCUP were:

- Preparation of state and city profiles on urban poverty for finer comprehension of urban poverty issues and their appreciation.
- Study of status reports on the convergence of Urban Poverty schemes in selected states and cities
- Creation of audio video to capture and reflect the views of various stakeholders, document innovations and make training films. These audio-visual aids can further be used for awareness creation and sensitization of project functionaries, elected members, NGOs, CBOs and stakeholders
- Preparation of Register of Innovations – which will encompass replicable and sustainable innovations from across India
- Publishing of a monthly Urban Poverty newsletter in order to disseminate information, news, views, ideas and innovations from across India related to Urban Poverty Alleviation
- Set up an website on Urban Poverty / Livelihoods which will act as a platform for putting together information and ideas on Urban Poverty and Poverty Alleviation
- Prepare a detailed Capacity Building strategy wherein tailor-made training modules for each stakeholder will be prepared after a detailed training needs assessment
- Set up an 'Management Information System' (MIS) at MoHUPA (then MOUE & PA), GOI, New Delhi
- Propose an Urban Poverty Alleviation Strategy and Action Plan based on consensus building (through multi-stakeholder consultations) at National and Regional levels
- Use Geographic Information System (GIS) as a tool for Decision Support System

The Regional Centre for Urban and Environmental Studies (RCUES) of the All India Institute of Local Self Government (AIILSG), one of the oldest urban institution of the country, and Government of Maharashtra's apex capacity building institution Yashwantrao Chavan Academy of Development Administration (YASHADA), Pune were invited to partner in this initiative and as the key anchors for the NRCUP.

NSUP team had a number of brain storming meetings held between UNDP, Ministry (GOI), RCUES of AIILSG and YASHADA for establishment of NRCUP during 2005-06. Once the major activities of NRCUP were charted out, a detailed proposal was requested from RCUES of AIILSG and YASHADA.

A Memorandum of Agreement for establishment & management of NRCUP was signed between the Ministry of Urban Employment and Poverty Alleviation and YASHADA and RCUES of AILSG on 28<sup>th</sup> November 2005. The NRCUP was formally launched on 10<sup>th</sup> February, 2006 at Mumbai.

While RCUES of AILSG and YASHADA worked jointly for managing the activities of NRCUP, RCUES of AILSG specifically focused on activities like preparation of Poverty Profiles of selected cities and states across India; development and publication of the newsletter on Urban Poverty; development and publication of Special Issue documents and supported Mayor's Forum.

RCUES of AILSG along with the implementing partner YASHADA worked in a very close coordination with NSUP team and MoHUPA. Every activity was carefully planned through number of joint consultations and deliberations. The joint consultations were always attended by the Policy Cell, UNDP and MoHUPA. The interest and efforts by all stakeholders including the highest level functionaries like Secreary, MoHUPA is a significant contributory aspect running across the entire project duration.

During the duration of the project, RCUES of AILSG achieved significant outputs within time span of four years, the major outputs of which are listed herewith:

1. Poverty Profiles for 4 states (Gujarat, Andhra Pradesh, Karnataka and Rajasthan) & 11 cities (Ahmedabad, Hyderabad, Chandigarh, Ludhiana, Kolkata, Bangalore, Chennai, Mumbai, Jaipur, Lucknow and Indore).
2. Mumbai Human Development Report (HDR) is another significant output, which was first of its kind initiative in world for a Mega City. Since adequate funds for this were not there, additional funds were provided by UNDP and partly from Mumbai Metropolitan Corporation.
3. Register of Innovations (ROI). This was jointly developed by YASHADA & RCUES of AILSG wherein RCUES of AILSG did the printing & dissemination.
4. 'Special issue' documents (6) on different issues related to urban poverty as suggested by MoHUPA
5. Developed and published monthly newsletter in dual language (English & Hindi) regularly since April 2006 for NSUP
6. Facilitated Mayors' Forum programs conducted by MoHUPA
7. Developed reference material for Municipal Councilors in English & Hindi
8. Organized Stakeholder Workshops on 5 different subjects selected in consultation with MoHUPA like Gender Budgeting, Poor Budgeting, etc.
9. Core groups were formed for various issues like Basic Services to Urban Poor, Microfinance & Governance. RCUES of AILSG facilitated these core groups.
10. Setting up of the website by MoHUPA with an external partner ILFS

Newsletter on Urban Poverty was one of the first activities carried out by RCUES of AILSG. The first issue of the bilingual (English & Hindi) newsletter was published in April 2006 and it has been publishing without break since then and disseminated among various agencies working on Urban Poverty and related issues. Preparation of city and state Urban Poverty Profiles also started in 2006-07. The templates for the city & state

Urban Poverty Profiles were developed by YASHADA. YASHADA also prepared Urban Poverty Profile for Nagpur city and Maharashtra State, while rest of the profiles were prepared by RCUES of AILSG. RCUES of AILSG took help from partner agencies for preparation of Urban Poverty Profiles in some places like Centre for Good Governance (CGG) did Andhra Pradesh & Hyderabad; Centre for Environment Planning and Technology (CEPT) did Gujarat & Ahmedabad; Centre for Research in Rural and Industrial Development (CRRID) did Chandigarh & Ludhiana. Though RCUES of AILSG felt that the budget for Urban Poverty Profile was less than adequate (Rs. 5 lakhs per city), they managed to complete all the profiles within the stipulated budget. Register of Innovations was published in 2008. More than one hundred innovations were short listed out of which 40 were documented. 11 innovations were selected for Register of Innovations and rest were documented in form of audio-visual CDs. RCUES of AILSG carried out the printing and dissemination of the Register of Innovations while YASHADA carried out the preparatory part.

One of the very significant output and a challenging work was development of Human Development Report for city of Mumbai. This was first of its kind exercise wherein Human Development Report of a Mega City was being developed. Numerous consultations including six stakeholder workshops were organized. Rigorous ward level primary data collection as well as secondary data collection, analysis, validation, etc were carried out. Municipal Corporation of Greater Mumbai also supported this initiative financially.

Some of the highlights of RCUES of AILSG work were pro active involvement of key stakeholders at all levels, dedicated and committed effort, extensive consultative approach and vibrant communication.

NSUP implementation was also a rich learning exercise for RCUES of AILSG as reported by the Director, RCUES. NSUP implementation led to lot of institutional capacity building for RCUES of AILSG in terms of knowledge base creation, technical expertise, trained human resources, capacity & strategic directions for addressing urban poverty through other innovative programs and increased capacities to work at national level and in other states. RCUES of AILSG attributes initiation of innovative program like Adhaar<sup>7</sup> for Urban Poverty Reduction in partnership with MCGM to NSUP learning.

RCUES of AILSG also mentioned proactive involvement, rapid responsiveness and flexibility of MoHUPA as major contribution to the success of the NSUP project. RCUES of AILSG mentioned readiness of MoHUPA officials including Secretary, MoHUPA to attend consultations from time to time. The fund release was timely, without delays and MoHUPA even provided additional budgets whenever a justified need arose. One such e.g. is receipt of additional funds by RCUES of AILSG for facilitating Core Group meetings.

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<sup>7</sup> Adhar is an initiative targeted at Urban Poverty Reduction in Mumbai city through bridging gaps between demand for skilled human resources and availability of large unemployed youth.

RCUES of AILSG also leveraged the learning from NSUP to support other related activities. One of the activities under NSUP supported by RCUES of AILSG was advocacy role for Gender budgeting (G budgeting) and Poor Budgeting (P budgeting) for the cities through the capacity building and stake holders workshop so that the cities can prepare their own P-budget and G-budget. Taking this initiative forward, RCUES of AILSG supported Pimpri Chinchwad Municipal Corporation to prepare P-budget and G-budget. RCUES of AILSG is helping Aurangabad Municipal Corporation for this activity also.

With NSUP project period completed, NRCUP (National Resource Center for Urban Poverty) is now being converted into Nodal Resource Center for SJSRY. Similarly the Mayors' Forum is now supported by a separate budget from MoHUPA. These are some of the e.g. of how initiatives started under NSUP are being taken forward.

Dr. (Prof.) Sneha Palnitkar, Director, RCUES of AILSG mentions - "During 25 years of work, NSUP is one project which is close to my heart and which has led to immense personal gain and capacity building of AILSG".