

April 2015

South Asia Urban Knowledge Hub



I. INTRODUCTION

A. Context

1. In India, poverty has been a part of the policy debate right from the First Plan Period (1951-56). Urban development was tackled through a focus on industry, and not recognized as a concern in the initial plan periods. An urban focus is seen from the Seventh Plan Period onwards (1985-90) with attention to infrastructure, slum upgrading and livelihood promotion. According to the Planning Commission of India, poverty reflects the inability of an individual or a household to afford a socially perceived normative minimal basket of basic human needs.

2. A panel on estimating poverty¹ has estimated the number of poor in India at 29.5 percent of the population, which means that three out of 10 persons are poor. The percentage of people below the poverty line in 2011-12 was 30.95 in rural areas and 26.4 in urban areas. The poor are also exposed to different forms of vulnerabilities as revealed by the 2001 census which highlighted a 9% deficiency in drinking water, 26% in toilets and 23% in drainage, mainly found in slums.

3. Although efforts have been made to improve the conditions of the poor through various centrally sponsored schemes related to provision of housing, basic amenities and livelihood promotion, there are still gaps in efforts to make the planning process more inclusive. The Government of India's recent report on Inclusive Urban Planning: State of Urban Poverty (2013) has provided a detailed account of the barriers and opportunities related to bringing the urban poor into a pathway of sustainable and equitable development.

4. The National Institute of Urban Affairs (NIUA) is the premier institute of research and capacity building of the Government of India. As the India National Centre of the South Asia Urban Knowledge Hub, NIUA will use this opportunity to undertake research and outreach that fulfill the government agenda for sustainable development; focusing on planning and development that incorporates the needs of the urban poor.

Goal: The needs of the urban poor are integrated into policy-making processes.

Impact: By 2025 future planning policies and programmes are sensitive to the needs of the poor.

¹Headed by C Rangarajan

Objective 1. To engage with decision makers, in at least three cities, to adopt an inclusive prosperity framework. (November 2015)

Activities:

1. Preparation of a concept paper on inclusive prosperity for Indian cities. The tentative six cities are Chennai, Ahmedabad (JNNURM cities), Ajmer, Gaya (Heritage mission cities), Bhopal and Thrissur. Three cities will be chosen from these profiles for detailed case study. (31 December 2014)
2. Draft an influencing strategy to bring decision makers on board for using the frameworks. (31st March 2015)
3. Engage with the identified stakeholders through stakeholder groups or formalised networks. This will also help in collecting regular feedback for the research and policy discourses. Two stakeholder meetings per city are planned.
 - a. Constitute city level ‘Working Groups on inclusive prosperity’ (preferably) under the chairmanship of Mayor/Municipal Commissioner/Head of Urban Development Authority in all of the three cities. This will also include representatives of academia, research organisations, urban planners, Resident’s Associations, NGOs, Chambers of Commerce and media.
 - b. Establish a ‘City Level Research Hub/Consortium’ jointly with a local academic institution. Apart from strengthening a two-way information flow between the K-Hub and the research consortium, this will help in engaging with the researchers and students within the academic institutions and thereby can multiply the impacts.
4. Develop an inclusive prosperity framework. (November 2015) **(Knowledge Product 1)**
 - a. Finalise the engagement strategy (Review by KM specialist). (31 July 2015)
 - b. Include relevant elements of good practices from other South Asian K-hub partner countries and/or provide existing situation in each country. (31 May 2015)
5. Promote the framework to decision makers through policy brief, the media, one national workshop and other disseminating platforms (as per the engagement strategy). (January 2016). **(Policy Brief 1)**

Outputs:

- Concept Paper
- Framework for inclusive prosperity **(KP-1)**

- Engagement strategy
- Stakeholder meetings (2 per city)
- One Eminent Lecture programme
- 2-3 peer review group meetings throughout the research/promotion period.
- Framework dissemination via diverse communication platforms (**PB 1**, newsletter, events, 1 National Workshop)

Indicators for Success:

- The new framework is endorsed through a ‘Declaration on Inclusive Prosperity’ by Mayors/city authorities from at least three case study cities.
- Evidence of K-Hub leading the national discourses on inclusive prosperity through at least one research paper, two news paper articles and two student projects.

Objective 2: To engage decision makers to plan for innovative onsite sanitation solutions as compared to conventional network using evidence from case studies of three urban areas. (May 2017)

A. Activities

- (i.) Concept paper on Innovative Sanitation Solutions submitted to the Asian Development Bank(ADB) for review. (31st December 2014)
- (ii.) Draft an engagement strategy and adapt and fill in on an ongoing basis, submit to KM specialist for review. **(30 May 2015).**
- (iii.) Identify implementation successes, challenges, and ways to overcome challenges in four cities that have City Sanitation Plans (CSP). **(30 March 2016).**
- (iv.) Identify approaches for innovative onsite sanitation solutions for urban areas.
 - a.** Include relevant elements of good practices from other South Asian K-hub partner countries and/or provide existing situation in each country. **(30th August 2016) (Knowledge Product 2)**
- (v.) Finalize the engagement strategy (submit for review).**(30 September 2016).**
- (vi.) Prepare a Policy Brief to communicate the approaches. **(30 October 2016) (Policy Brief 2)**
- (vii.) Share the approaches on innovative sanitation solutions among stakeholders(decision makers, States academia/NGOs, experts, and Ministry of Urban Development) at a national workshop and other avenues identified in the engagement strategy.**(February 2017)**

- (viii.) Implement a twinning partnership to showcase innovative onsite sanitation solutions as part of the influencing strategy. (30 May 2017).

Outputs:

- Concept paper
- Assessment report on implementation challenges and successes with case studies.
- Draft and Final Engagement Strategy
- Approaches for innovative sanitation solutions (**KP 2**)
- Twinning partnership completion report
- Policy Brief (**PB2**)
- National Workshop

Indicator for Success:

- Participation of Government officials and acceptance of the knowledge product for their consideration by February 2017.

Objective 3: To promote evidence based research in South Asia through standardisation and analysis of regional data on demographic, social and economic indicators in a consistent manner.(July 2016)

1. Draft concept paper for standardisation and analysis of regional data on demographic, social and economic indicators. (31st December, 2014)
2. Draft an engagement strategy and adapt and fill in on an ongoing basis (review by Michelle L). (30 April 2015)
3. Prepare a format for collection of data on demography, social and economic indicators at the national, regional/provincial levels. (30th June, 2015)
4. Share the format with the identified user groups like ADB, MoUD, Cleaner Asia, K-hub partner countries and others and incorporate feedbacks. (30th June, 2015)
5. Collate data from all the partner countries at least for two time periods . (30th September, 2015)
6. Standardise the data to bring about consistency . (31 December, 2015)
7. Analyse the data and prepare a report on the demographic and socio-economic condition of each country/ cross- country analysis taking inputs from partner countries. (30th June, 2016) . (**Knowledge Product 3**)
 - a. Finalize the engagement strategy. (Review by Michelle L) - (31st July 2016)
 - b. Include relevant elements of good practices from other South Asian K-hub partner countries and/or provide existing situation in each country. (31st July, 2016)

8. Share the policy brief on socio-economic profile of the region with decision makers (as per engagement strategy) (August 2016) (Policy Brief 3)

Outputs:

- Concept Paper
- Collation and standardisation of data
- Creation of a framework to study urbanisation similar to SAARC through the K-hub urban observatory
- Report on data analysis: temporal and cross sectional at individual country level and cross-country levels for all the K-hub partners (KP-3)
- Policy brief on the socio-economic profile of each country (PB 3)
- 2-3 peer review group meetings throughout the research/promotion period.
- Research dissemination via diverse communication platforms (policy brief, newsletter, events) - 1 national workshop.
- Direct to support at least two agencies that want to use the Observatory.

Indicator for Success:

- To have the K-hub urban observatory functional and used by at least two stakeholder groups by August 2016.

Objective 4: To promote recommendations for improved Masters in Urban Planning programme for inclusive urban planning and service delivery to the Board of Studies(BoS) and Academic Council (AC) in the 4 national planning schools (Delhi, Bhopal, Vijayawada, and Chennai). (May 2016)

Activities

- (i.) Review the existing curricula of leading government and some private planning schools to determine the mandatory components for a national template and areas to improve related to the dynamics of urban planning. (May 2015)
- (ii.) Develop a draft and final engagement strategy (submit to KM specialist). (August 2015)
- (iii.) Finalize and promote the recommendations to identified audiences in national roundtable. (November 2015)
- (iv.) Hold individual discussions through roundtables with decision making committees in the chosen schools to present the recommendations and answer queries. (February 2016)
- (v.) Submit the revised recommendations to ITPI and the respective BoS and AC of the chosen planning schools for consideration. (May 2016)

Outputs

- Assessment report of existing curricula in the selected schools
- Draft and final engagement strategy
- Peer review roundtable to highlight gap assessment and present draft recommendations (academics, representatives from urban institutes, educationists etc.)
- Report of recommendations for urban planning curricula for Masters in Urban Planning
- Meetings with decision-making body/committee of each planning school

Indicator of Success

Acceptance of the curricula recommendations by BoS and AC for consideration.

Objective 5: (Operational) - To actively contribute to and facilitate ongoing communications, collaboration, and learning across national centres and donor(s)/stakeholders.

A. Activities

- (i.) Activating and maintaining a webpage for K-Hub.(December 2014)
 - a. Facilitating and participating in working group (once a month at least initially).
 - b. Updating content as and when generated (in the links which are maintained by NIUA).
 - c. Overall maintenance of webpage.
- (ii.) Newsletter - twice yearly (Q2 and Q4 every year; Q4 in 2014)
 - a. Facilitating and participating in working group(once in 2 months).
 - b. Providing content from India National Centre activities
 - c. Getting content from working group who will be collating from all national centres.
 - d. Generating final product(for bi-annual output)
- (iii.) Reporting and Learning
 - a. Bi-monthly telecons (to ADB rep)
 - b. Monthly Progress Reports (to Regional Coordinator and ADB)
 - c. Annual Reports of Working Groups (to ADB, Regional and National Centres)
 - d. Steering Committee Meetings -participant and Chair (at least once a year)
 - e. Prepare a five-year business and sustainability plan with the Steering Committee.
 - f. Twice yearly reflections on outcomes (telecons between teams and ADB)

- g. Midterm Capacity Building /Reflection Retreat for national teams - (Q1 2016).
 - Develop summary note on lessons learned to date
- h. Participation in two training webinars per year (six in all for national teams)
- i. Participation in a final Reflection Workshop on Lessons on Implementation of Regional K -Hub (Q1 2017 - K-Hub partners and implementing agencies).
 - Develop summary note on lessons learned
- (iv.) Knowledge Products
 - a. Contributing to Knowledge Products of other countries by submitting India country profile on the topic requested (nine in total - KPs, PBs, and concept papers).
 - b. Reviewing the concept paper of other countries and providing comments (to all centres by appropriate team members).
 - c. Facilitating the peer review process for the KPs and ensuring all countries provide regional perspectives to the KP process.
 - d. Contributing to the regional knowledge products (i.e. regional database facilitated by NIUA).
 - Develop a concept note on the KP
 - Participate in working group
 - Develop influencing strategy
 - Ensure regional elements in all KPs
 - Implement
- (v.) Tracking of Budget
 - a. National centre to annually monitor expenditure and adjust or re-allocate, if required.

B. Outputs

- Webpage / Website
- Newsletter
- Knowledge Products (with regional elements)
- Monthly Progress Reports
- Annual Reports
- Working Groups
- Steering Committee

C. Indicator of Success

- (i.) K-Hub Team Members are able to influence their research outcomes with policy makers in all future research work (outside the K-Hub), using skills learned through the K-Hub project.(2016 onwards)

WORKPLAN FRAMEWORK

Design Summary	Performance Targets (outputs / what will we measure for accountability indicators)	Risks (list at least 1 risk/output describing potential difficulties)
<p>Intended Impact By 2025 future planning policies and programmes are sensitive to the needs of the poor.</p>	<p>Provide credible research outputs, advocacy and facilitate implementation.</p>	<p>Change in approach towards inclusivity by National Government</p>
<p>Objective 1:To engage with decision makers in at least three cities to adopt an inclusive prosperity framework. (November 2015).</p>	<ul style="list-style-type: none"> • Concept Paper • Framework for inclusive prosperity (KP-1) • Engagement Strategy • Stakeholder meetings (two per city) • One Eminent Lecture programme • Two to three peer review group meetings throughout the research/promotion period. • Framework dissemination via diverse communication platforms (PB 1, newsletter, events, – one national workshop) 	<ul style="list-style-type: none"> • Getting endorsement from the political/executive leadership in the cities on a relatively new framework which does not promise a physically verifiable impact. • Governance dynamics within the selected cities.
<p>Objective 2:To engage with decision makers to plan for innovative onsite sanitation solutions as compared to conventional networks using evidence from case studies of four urban areas (May 2017).</p>	<ul style="list-style-type: none"> • Concept paper • Assessment report on implementation challenges and successes • Draft and Final Engagement Strategy • Approaches for innovative sanitation solutions (KP 2) • Twinning partnership completion report • Policy Brief (PB2) • National Workshop 	<p>Acceptance / Implementation by decision makers.</p>

<p>Objective 3: To promote evidence-based research in South Asia through standardisation and analysis of regional data on demographic, social, and economic indicators.(July 2016).</p>	<ul style="list-style-type: none"> • Concept paper • Collation and standardisation of data • Creation of a framework to study urbanisation through the K-hub urban observatory • Report on data analysis: temporal and cross sectional at individual country level and cross-country levels for all the K-hub partners (KP-3) • Policy brief (PB 3) • Two to three peer review group meetings. • Research dissemination via diverse communication platforms –one national workshop • Direct to support at least two agencies that want to use the observatory. 	<ul style="list-style-type: none"> • Availability of consistent data at least for two common points of time in a standardised format across all K-hub partners. • Cooperation from all centres regarding sharing of data.
<p>Objective 4:To develop recommendations for improved Masters in Urban Planning (MUP) programme for inclusive urban planning and service delivery, submitted to their Board of Studies(BoS) and Academic Council (AC) in the 4 national planning schools -SPA(Delhi, Bhopal, Vijayawada and IIT, KGP). (May 2016).</p>	<ul style="list-style-type: none"> • Assessment report of existing curricula in the selected schools • Draft and final engaging strategy • Peer review roundtable to highlight gap assessment and present draft recommendations(academics, representatives from urban institutes, educationists, etc.). • Report of recommendations for urban planning curricula for Masters in Urban Planning. • Meetings with decision-making body/committee of each planning school. 	<ul style="list-style-type: none"> • Acceptance of the curricula recommendations by ITPI, BoS, AC of chosen Planning schools for consideration.
<p>Objective. 5: (Operational) - To ensure ongoing communications, collaboration and learning across national centres and donor(s)/stakeholders.(Ongoing)</p>	<ul style="list-style-type: none"> • Webpage / Website • Newsletter (twice yearly) • Knowledge Products • Monthly Progress Reports • Annual Reports • Working Groups • Steering Committee 	<ul style="list-style-type: none"> • Adherence to timelines

ADB = Asian Development Bank, KP = knowledge product, PB= Policy Brief, NIUA = National Institute of Urban Affairs, K-Hub = knowledge hub, MOUD = Ministry of Urban Development, NGO = non-governmental organization, BoS= Board of Studies, AC= Academic Council, ITPI= Institute of Town Planners India, SPA= School of Planning & Architecture, MUP= Masters in Urban Planning, MCCI=, BRTS= Bus Rapid Transport System; GoI= Government of India, MCCI= Madras Chamber of Commerce and Industry.

TEAM INPUTS

Objective No. 1: To engage with decision makers in at least three cities to adopt an inclusive prosperity framework	
Position	Person-month inputs
Team Leader	2
Urban Expert	3
Infrastructure Expert	2
GIS Expert	
Environment Expert	15
Research assistants	TBD*
Total	22

Objective No. 2: To engage with decision makers to plan for innovative onsite sanitation solutions as compared to conventional networks using evidence from case studies of 3 urban areas.	
Position	Person-month inputs
Team Leader	2
Urban Expert	3
Infrastructure Expert	11
Environment Expert	3
GIS Expert	
Research assistants	TBD*
Total	19

Objective No. 3: To promote evidence based urban research in South Asia for better policy making, project planning and implementation, monitoring and evaluation through standardisation and analysis of regional data on demographic, social and economic indicators.	
Position	Person-month inputs
Team Leader	2
Urban Specialist	11
Infrastructure Expert	2
Environment Expert	6
GIS Expert	
Research assistants	TBD*
Total	21

Objective No. 4: To promote recommendations for improved Masters in Urban Planning programme for inclusive urban planning and service delivery, to the Board of Studies(BoS) and Academic Council (AC) in the 4 national planning schools (Delhi, Bhopal, Vijayawada and IIT-KGP).	
Position	Person-month inputs
Team Leader	12
Infrastructure Expert	3
GIS Expert	
Urban Expert	2
Environment Expert	3
Research assistants	TBD*
Total	20

Objective No. 5: (Operational) - To actively contribute to and facilitate ongoing communications, collaboration and learning across national centres and donor(s)/stakeholders.	
Position	Person-month inputs
Infrastructure Expert	3
Environment Expert	3
GIS Expert	
Urban Expert	2
Team Leader	12
Research assistants	TBD*
Total	20

All Objectives	
	Person-month inputs
Team Leader	30
Urban Expert	21
Infrastructure Expert	21
GIS Expert	
Environment Expert	30
Research assistants	TBD*
Total	102

* The additional help will be taken as and when required across activities.