Msc. Environment and Sustainable Development
Msc. Urban Development Planning
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PARTNERSHIPS OF CO-OPERATIVE CONFLICT

The Case of Railway Slum Dwellers

Addressing the Costs & Opportunities
in the Transformation
of the Living Conditions of the Poor

dpu

London, June 2, 2006

dpu

SPARC

	MSc. Environment and Sustainable Development	**Field Trip**
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Addressing the Costs & Opportunities of Relocation in the Transformation of the Living Conditions of the Poor

The Case of Railway Slum Dwellers

5,930 words

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1   ACRONYMS AND GLOSSARY

ARC   Area Resource Centre

CBO   Community-based organisation

FSI   Floor Space Index, the quotient of the ratio of combined gross floor areas[1].

GOM   Government of Maharashtra, formed in 1960 to preside over the affairs of the Maharashtra State. It is located at the level of regional governance within India's federal system of 28 States and owns along with the MMC 50% of land in Mumbai

HH   Households

ICICI   ICICI Bank, India's largest bank in the private sector and the second largest Indian bank including all public and private enterprises.

IR   Indian Railways, a large central government agency and premier public transport organisation in India.

MM   Mahila Milan (Women Together), a CBO formed in 1986 made up of women's collectives from squatter settlements who use savings and credit activities as a principle organising tool.

MMC / MCGM   Mumbai Municipal Corporation / Municipal Corporation of Greater Mumbai established in 1873. It is India's richest municipal organisation responsible for the civic infrastructure of Mumbai and embodies the principle of democracy of 'governance of the people, by the people and for the people'.

MMR   Mumbai Metropolitan Region, also known as the Greater Mumbai urban agglomeration, consists of the metropolis of Mumbai and its

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[1] (www.goldenhomeland.com/FAQs/general.htm)

satellite towns. The area has an area of 4,355 sq. km and a population of 17,702,7612. It is linked to the city of Mumbai through the Mumbai suburban railway network.

MMRDA	Mumbai Metropolitan Regional Development Authority, established in 1975 as an apex body for planning and co-ordination of development in the MMR.
MUIP	Mumbai Urban Infrastructure Programme.
MUTP II	Mumbai Urban Transport Programme-II, a sequel to MUTP-I to bring about improvement in traffic and transportation situation in the MMR with the World Bank assistance.
NGO	Non-governmental organisation
NSDF	National Slum Dwellers Federation, established in 1974 to organise against squatter settlement demolitions
PAPs	Project-affected persons, principally members of squatter communities living alongside railway tracks.
PAHs	Project-affected households, principally members of squatter communities living alongside railway tracks.
R&R	'Resettlement and Rehabilitation' policies and processes, an essential component of MUTP-II made mandatory by the World Bank to mitigate any adverse social and environmental impacts of MUTP-II affecting PAPs. World Bank's R&R policy mandates each eligible project affected family to get a tenement of 225 ft² free of cost and transit accommodation of 120 ft² with all basic amenities when urgent shifting is required.
RSD	Railway Slum Dwellers: women, men, girls, boys, elderly and disabled persons living in settlements alongside Mumbai's suburban railway network

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[2] (www.mmrdamumbai.org/basic_information.htm).

RSDF   Railway Slum Dwellers Federation, established out of NSDF to represent the communities living alongside the railway tracks in Mumbai.

SPARC   Society for the Promotion of Area Resource Centres, an NGO founded in 1984 to work with women pavement dwellers of central Mumbai. Now playing a facilitating role within the Alliance for the resettlement and rehabilitation of slum dwellers in Mumbai.

SRA   Slum Rehabilitation Authority, established in 1996 by state government to be responsible to resettle squatter communities.

SRS   Slum rehabilitation scheme was initiated by SRA as a policy that can potentially be used for in-situ rehabilitation of slum dwellers and depends on TDRs thus creating a new market for social housing that involves both the private sector and the community and relieves some of the government's responsibility for providing infrastructure.

TDR   Transferable Development Right, a negotiable instrument and a moveable property used by government to finance building projects. TDRs are given by the government in exchange for private land to be developed for public purposes. The land owner is awarded a TDR in terms of floor space index (FSI) and in the form of a Development Rights Certificate (DRC) entitling the land owner to develop on the same/greater area of land elsewhere in the city (in Mumbai's case, any land north of the current site). The DRC may be used by the owner or sold to another. Incentives are given in the form of FSI equal to the area of the development if the land owner develops the surrendered land at his cost[3].

The Alliance   The Alliance is the collective term referring to NSDF, SPARC and MM. Together they are active in over 20 cities in India to promote

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[3] (www.goldenhomeland.com/FAQs/general.htm)

and facilitate resettlement and rehabilitation processes for squatter communities.

WB   World Bank, an international development lending agency that is providing funding for MUTP-II. It also funded MUTP-I between 1977 and 1984.

2   ACKNOWLEDGMENTS

This report has benefited from the generous contributions in time and effort from many individuals. We would like to thank Pascale Hofmann, our team leader, for her support, advice and the overall direction for our case study. We extend our appreciation to Caren Levy for facilitating all stages leading to the completion of this exercise. Special thanks are also extended to all the staff and administration of DPU who were involved with the planning and organisation of the field trip.

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3   EXECUTIVE SUMMARY

3.1   Background

In the 1970's the Mumbai Urban Transport Project (MUTP) project was established to improve Mumbai's rail system. The proximity of slum settlements along the railway tracks forced trains to reduce their speeds when passing through encroached areas, thus the system was operating inefficiently. The living conditions of RSDs were also a major cause for concern; they faced not only environmental health hazards due to a lack of access to basic services such as sanitation and water, but also due to the proximity of the settlements to the rail tracks, accidents frequently occurred: children were particularly vulnerable and RSDs were under constant anxiety and stress about the safety of their families.

MUTP involved the relocation of 20,000 PAHs and as a condition of providing funding for the project, the World Bank insisted on the implementation of a Resettlement & Rehabilitation policy. Key features of this policy were to ensure that displaced persons were compensated for their loss, and that communities have an active role in the resettlement process. The involvement of the Alliance (SPARC, NSDF/RSDF & MM) was crucial in organising and mobilising the community throughout the resettlement process.

3.2   Terms of Reference

The main objective of this study is to assess the costs and opportunities of relocation in the transformation of living conditions of the urban poor women and men. For this, the research team gathered secondary data, attended several related lectures, and conducted semi-structured interviews with the different actors in Mumbai, including communities, officials from various government agencies, and staff from SPARC.

3.3 Diagnosis and Findings

The diagnosis revealed that overall the R&R process was successful in terms of addressing the physical and environmental health impacts upon the RSDs. In general communities in permanent housing live under improved environmental conditions. In terms of the socio-economic impacts, as stipulated in the terms of the R&R policy, social networks were retained in the new settlements through the formation of housing cooperatives. The proximity of permanent housing to the railway settlements meant that employment conditions remained unchanged through the R&R process; however, it was perceived that the formation of cooperatives and saving schemes throughout the resettlement process contributed to the organisational skills and capabilities of the communities involved.

The formation of saving schemes which were established before relocation and maintained after resettlement not only provided an important safety net for families, but was an essential element of community mobilisation and its sustainability. The establishment of cooperatives and saving schemes were fundamental to the success of the R&R process. However, in some cases it was perceived that communities were mobilising solely under the threat of demolition and that once relocated, community mobilisation efforts decreased.

3.4 Strategies, Monitoring and Impact Assessment

Stemming from the detailed diagnosis, which identified the citizens' and delivery sphere as the strongest assets, two strategies were developed in order to improve future resettlement and rehabilitation processes. The first strategy is related to the enhancement of sustainable community mobilisation, with the aim of including all RSDs in the community driven activities that lead them to the improvement of their livelihoods. The second strategy proposes to widen the scope of existing policies, such as SRS, into a more comprehensive and flexible scheme covering railway slum dwellers that are not yet covered by any other scheme. Both strategies build on opportunities and propose actions to overcome the limitations as diagnosed. A monitoring and evaluation procedure is also

suggested to ensure that the process is sustainable and in line with the transformation principles underlying the diagnosis.

3.5   Conclusion

The participation of RSDs, with the support of the Alliance and GOM authorities, in the process of bringing about their own housing solutions, creates the essential small steps towards which bigger achievements for transformation can be realised in the near future.

4   BACKGROUND

4.1 Mumbai and the Housing Market

Mumbai is the capital of the western Indian State of Maharashtra with approximately seventeen million people in MMR (MMRDA, 2006). As the financial capital of India, Mumbai continues to attract migrants, which has made the land market highly skewed whilst the wages of the majority of the working population remain low. The poor, and even the lower middle and middle classes, cannot afford to buy housing on the open market. Over fifty per cent of the city's population has illegally occupied areas of publicly and privately owned land on which they have built their homes. Because of the scarce and expensive land, around fifty per cent of population live on eight per cent of the land (Appadurai, 2001). Another reason is the influence of the Rent Control Act on the rental market. Landowners do not have incentives to build rental housing because of the existence of a rent ceiling which led to a shortage in the rented housing stock.

4.2 Railway Slum Dwellers

Around 60,000 households live in settlements along Mumbai's suburban railway tracks. There are three railway lines in Mumbai (see *Map1*). RSDs face inadequate access to sanitation, water and electricity services, increasing their vulnerability to health hazards. Due to the proximity of RSD settlements to the rail tracks, approximately ten accidents happen per day involving passing trains, which particularly affect young children, despite regulations stipulating that trains must not travel at more than fifteen km/hr when travelling through these densely inhabited sections of the tracks (Ghorpade, 2006). The constant anxiety of parents and partners for the safety of their families has a severe impact on the residents. Given that their daily lives are also made difficult in the absence of basic amenities like water, sanitation and electricity; most people wish to be resettled to more secure, less dangerous locations. Moreover, the presence of RSDs along the rail tracks directly affects the urban traffic system in central Mumbai. The suburban railway system is crucial to Mumbai's daily functioning and around eleven million people travel

daily by train into the city's centre. The inefficiency of trains has led to a surge of frustration from railway passengers towards the Indian Railways Authority.
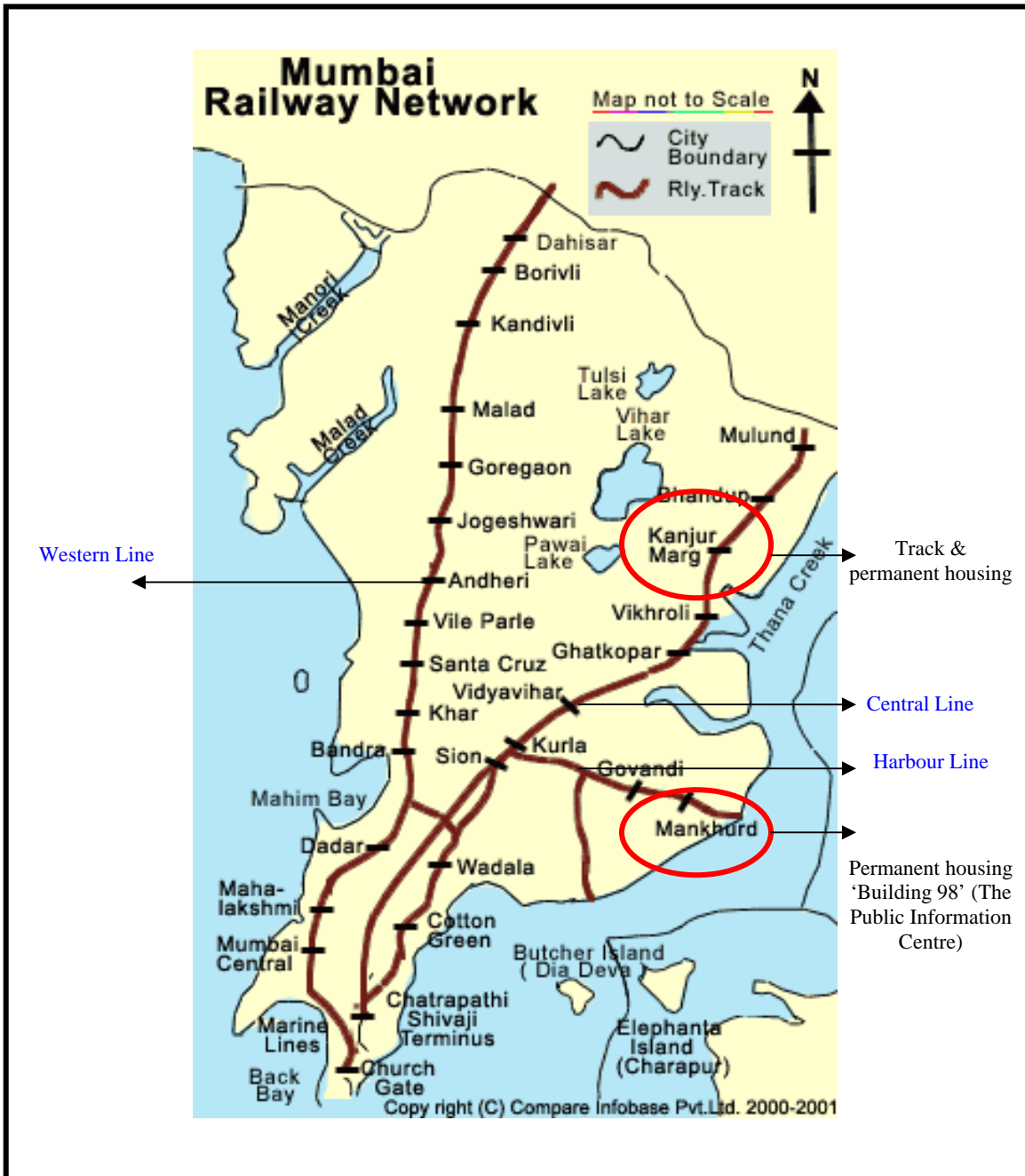
(Source: Compare Infobase Pvt.'Mumbai Rail Map')

4.3 Mumbai Urban Transport Programme

In order to improve the transport system in Mumbai, MUTP was started by the GOM in the 1970s. With the financial support of the World Bank (WB), the objective was to build two new lines and widen existing rail tracks (DPU, 2004, Patel & Sharma, 1998). Ghorpade (2006, p.3) explains the objectives of MUTP as follows:

"Improvement of:

- Suburban rail services by expansion and capacity augmentation;

- Public bus transport;

- Road network in suburbs;

- Vehicular and pedestrian movements; and

- Environment".

MUTP involved the displacement of 25,000 to 30,000 RSDs. An integral part of MUTP is an R&R policy developed by the WB[4]. It was devised for MUTP in the wake of the intense criticism of the WB's Narmada Dam project in rural India by national and international environmental and human rights groups. The policy objectives are summarised below:

- Minimise the resettlement

- Displaced persons should be compensated for their loss

- Active community participation

- Retain existing community networks in the resettlement area

(Burra, 1999).

The key actors involved in MUTP are: GOM, IR, MMRDA, SRA, WB, and the Alliance. The members of the Alliance include SPARC, NSDF, MM, and RSDF. They work

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[4] For more information see World Bank Operational Policy 4.12: Involuntary Resettlement.

together in over twenty cities in India to promote and facilitate R&R processes for slum dwellers. For more details, refer to the actors mapping in ***Annex 1*** that was part of the preliminary diagnosis.

MUTP is set to end by June 2008 and the current situation of the PAHs shows that 16,000 HH have moved to permanent housing, 400 HH remain in transit housing, and 4,000 HH still live along the tracks.

5   TERMS OF REFERENCE

The terms of reference set for the field trip (in March 2006) are:

- Define your interpretation of transformation and develop criteria and indicators upon which the transformation process of the physical, environmental and socio-economic conditions of urban poor women and men living along the railway tracks may be assessed.

- Develop a participatory diagnosis of the MUTP R&R process affecting urban poor women and men living along the railway tracks, including the perceptions of those involved and the strategies each set of actors has pursued.

- Explore the process and outcomes of R&R with different actors involved in MUTP (household members, community groups, NGOs, and relevant government and private sector organisations) in order to assess the success of MUTP to effectively address and tackle negative physical, environmental and socio-economic impacts upon urban poor women and men living along the railway tracks.

- Identify the strengths and weaknesses of the strategies pursued by the different actors involved in the R&R process of MUTP to achieve transformation of the physical, environmental and socio-economic conditions of urban poor women and men living along the railway tracks.

- Upon the basis of the diagnosis and identification of the constraints and opportunities of R&R, propose a range of strategic interventions, which may be implemented by the community organisations, the NGO, the local government and actors in the private sector, that contribute to the overall sustainability of the R&R process and the transformation of the physical, environmental and socio-economic conditions of urban poor women and men living along railway tracks.

- Illustrate how the set of strategic interventions may be monitored, how their impact should be measured, which indicators should be used, and who will collect, collate and disseminate the information.

6   METHODOLOGY

6.1 Process

The preliminary diagnosis was based on secondary data as well as on lectures pertaining to certain areas of relevance to the case study. This helped in the identification of information gaps that the team set to fill during the field trip. For this purpose, a set of questions was prepared for each actor, to be used in conducting semi-structured interviews[5]. During the field trip, further information became available through a series of lectures that were given by the different actors involved in the R&R process as well as through semi-structured interviews with several members of SPARC. This was then complemented by conducting HH and Saving Schemes semi-structured interviews. A focus group[6] was also conducted to incorporate the views of children with regards to the R&R process. A programme of the fieldtrip can be viewed in *Annex 2* and details of the interviews carried out are presented in *Annex 2.1*.

The set of questions defined by the team, that guided the interviews with the various actors are available in *Annex 3.*

6.2 Limitations

The limitations that characterised the simulated consultancy exercise are:

6.2.1 Timeframe

During the field trip to Mumbai, there were only 4 days during which to carry out research and conduct semi-structured interviews. The rest were dedicated to other activities. The long distances coupled with heavy traffic between MUTP affected settlement sites within the MMR increased the amount of travel time spent by the research team and shortened the amount of visiting time at sites.

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[5] Semi-structured interviews allow interviewers to set up a general structure by deciding in advance the ground to be covered and the main questions to be asked. The detailed structure is left to be worked out during the interview (Drever, 1995).

[6] A focus group discussion could be defined as a group of interacting individuals having some common interest or characteristics, brought together by a moderator, who uses the group and its interaction as a way to gain information about a specific or focused issue (Marczak and Sewell, 1998).

6.2.2 *Interviews*

Small number and short duration (approx. 1 hour) of interviews conducted in the short time frame gives a limited representation of reality. The research team is dependent on this selective information for their analysis, hence certain vital information may be missed.

In addition, the semi-structured interviews were facilitated through interpreters which leads to potential loss or miscommunication of data with the risk of interpreters own opinions being included in interviewees answers.

6.2.3 *Spatial Scope*

Only a limited number of railway slums, temporary and permanent housing were visited during the field visits. The research team is thus dependent on this selective information for their analysis, hence certain vital information may be missed.

6.2.4 *Actors*

Select project actors were invited by SPARC to present and respond to questions posed by the research team regarding MUTP. However, the research team did not meet some project actors.

In addition, invited project actors portrayed a personal commitment to R&R processes for railway slum dwellers, yet there still appears to be institutional constraints.

6.2.5 *Research Team*

The research team tried to minimise the influence of their assumptions, but these still are prevalent in their interpretation of the success of R&R processes. Furthermore, the research team has restricted knowledge and understanding of India's social, cultural and political systems. Most of the diagnosis conducted was dependent upon written material, verbal communication and limited personal experience of MUTP R&R processes.

7   TRANSFORMATION: DEFINITION AND CRITERIA

7.1   Transformation- A Cumulative and Collective Process of Self-determined Change by Women and Men

The definition of transformation that underpins this project is based on five dimensions surrounding a cumulative, collective and self-determined change. *Figure 1* illustrates such dimensions.

It is on the basis of this definition that the diagnosis was done and the strategies proposed.
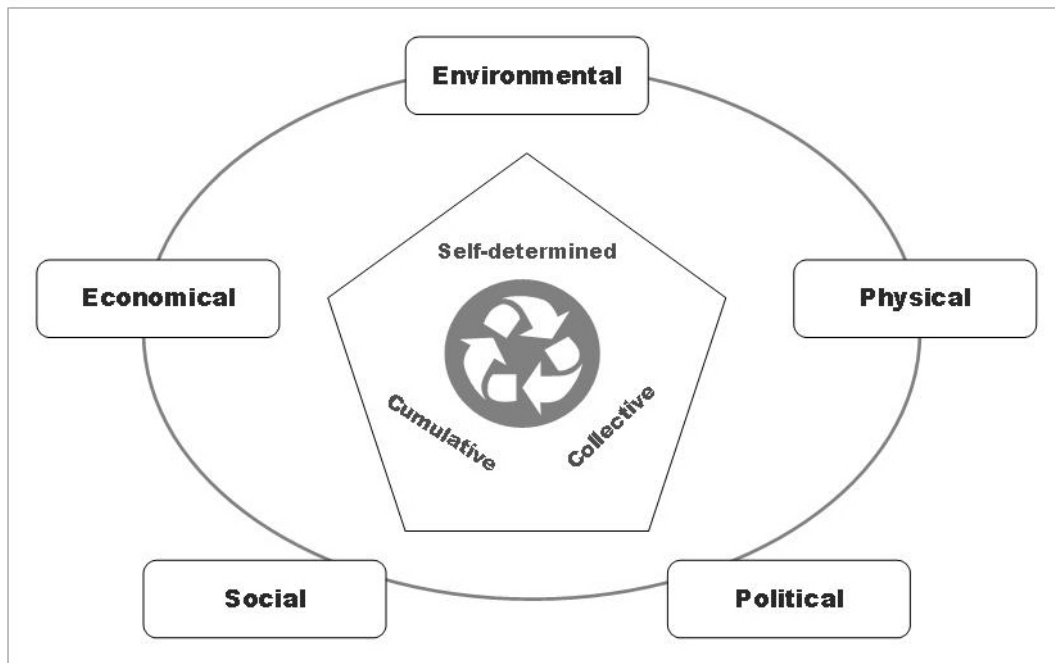
Figure 1: Dimensions considered in the transformation concept.

7.2 Transformation Criteria

The criteria used in the diagnosis were developed based on the abovementioned understanding of transformation, and were divided in to two blocks: one for the outcomes of the processes and one for the processes themselves.

7.2.1 Outcome-oriented Criteria

- Improved environmental and health conditions

- Improved livelihoods

7.2.2 Process-oriented Criteria

- Improved government commitment to implement resettlement and rehabilitation policies (not specifically World Bank policies)

- Improved conditions for cumulative and collective mobilisation

- Sustained cumulative transformation processes (This criteria is oriented to both outcomes and processes)

The indicators used to assess each criterion are shown in *Annex 4*.

8 DIAGNOSIS AND FINDINGS

The following findings are a synthesis of the diagnosis that was conducted using the analytical framework of the "Web of Institutionalisation" (Levy, 1998) which helped in identifying our potentials and constraints based on the abovementioned criteria. *Annex 5* presents the below diagnosis as it was identified on the Web of Institutionalisation.

8.1 Improved Environmental and Health Conditions

Environmental conditions were assessed across three different stages of the relocation and resettlement process: stage one refers to the period that the RSDs lived by the railway tracks; stage two refers to the period in transit housing; and stage three refers to permanent housing (see *Annex 6* for a detailed diagnosis against indicators).

8.1.1 Railway Slums

Environmental and health conditions in the settlements along the tracks are inadequate and negatively affect the quality of life of the RSDs both in terms of their health and safety. This reality has led RSDs to form political constituencies to reinforce strong political identities for both women and men RSDs. Through collective action the NSDF/ RSDF and MM developed strategies and created opportunities for the improvement of their environmental and health conditions.

8.1.2 Transit Housing

The period in transit housing was in many cases unavoidable as the construction of the permanent houses was delayed. The conditions in transit housing (in terms of space and access to basic services) suggest that there is room for improvement, or even that this stage should be avoided in future R&R processes (given an adequate and timely warning of eviction or demolition).

8.1.3 Permanent Housing

In general, people living in permanent housing have improved environmental conditions (regular access to potable water, sanitation, etc.) and are now able to prioritize their social

and political needs differently. The success of the MUTP project created confidence and developed skills among all actors, setting the precedent for future projects and strategies that could resettle more RSDs. At the same time existing environmental conditions in permanent housing creates opportunities for the Alliance to negotiate for further improvements in the future (design, size, regularity of water provision).

8.2   Improved Livelihoods

This criterion was also assessed across the same three stages of the resettlement process (see *Annex 7* for a detailed diagnosis against indicators)**.**

8.2.1   Employment

Employment conditions of RSDs remained unchanged after R&R due to the proximity of new housing to the railway settlements. This was further supported with the fact that many people were already commuting daily to work for over 30 minutes. This highlights that women and men can be relocated without significantly disrupting their economic activities.

Although employment conditions remained unchanged throughout the R&R process, it was perceived that the formation of cooperative societies and saving schemes positively affected the confidence, skills, and organisational capabilities of the people involved**.**

8.2.2   Financial Services

The formation of cooperative societies and ARCs that usually operate under the responsibility of women improved the access to formal and informal financial services. RSDs being recognised as legitimate members of NSDF/ RSDF and MM negotiate both cooperative and individual loans that can be used for further improvement of their livelihood conditions. Informal financial services are provided through MM in the form of loans which, for example, often extend to health expenses thus improving the quality and availability of health services in the community.

8.2.3   *Tenure*

Both adult women and men in the families were given an entitlement to their house through cooperative housing schemes offering both women and men a sense of stability and security towards ownership.

8.3   Improved Government Commitment to Implement Resettlement and Rehabilitation Policies (*not specifically World Bank policies*)

The resettlement and rehabilitation policies that are in place in Mumbai and are implemented by different actors create both opportunities and constraints for the transformation process initiated by RSDs

8.3.1   *Constraints and Opportunities of R&R (WB)*

Some of the MMRDA enthusiasm and interest in R&R processes is perceived as a personal commitment of government officers who are often faced by institutional constraints. Even when state agencies try to implement a policy for R&R processes (i.e. SRS), the institutional setup of central government which means decision-making remains centralised and land resources limited does not give the regional administration enough room for manoeuvre.

R&R policies were only implemented as part of MUTP as it was a conditionality of funding by the WB. However, IR remains focused on evictions instead of R&R when in need of land for new developments. The only RSDs who benefited from the WB R&R policy were PAPs.

On the other hand, the success of the MUTP process would not have been possible without the involvement of government agencies. MMRDA recognises R&R as a separate stage from project implementation and has developed a handbook for R&R which is now in place. MMRDA is going through a learning process that builds on the MUTP experience and is creating new relationships with central government agencies, the community and SPARC.   At the same time**,** it counts on SPARC's position in the Alliance to ensure the participation of the community.

8.3.2   Constraints and Opportunities of SRS and other Schemes

SRS provides free housing thus creating opportunities for the urban poor; however the current policy only covers in-situ upgrading which is not possible in the case of RSDs. Also the dependence of the policy on TDRs makes it unstable as they are vulnerable to market fluctuations. Additionally, although the current design of houses under the SRS is standardized, the involvement of various stakeholders in the scheme and the constant participation of the Alliance in negotiations and decision making processes may potentially challenge these conditions.

Finally, it should be recognised that the Alliance's flexibility to get involved in various R&R processes (such as SRS) and its ability to use different financial mechanisms to collect resources (e.g. CLIFF), creates opportunities for the resettlement of RSDs that were not included in MUTP and who do not have the required financial assets.

8.4   Improved Conditions for Cumulative and Collective Mobilisation

Initially, Byculla MM and SPARC played a fundamental role in organising RSDs. RSDs then formed RSDF as a separate body within NSDF to specifically defend the rights of RSDs aiming to develop strategies that can improve their lives. The legitimacy of RSDF and MM, their experience with the Alliance procedures (e.g. enumeration, and negotiating land), and their political commitment creates opportunities for the cumulative mobilisation of RSDs for future R&R initiatives.

MM and ARCs provided a public forum for women to be politically and socially active. Saving schemes, apart from being an effective procedure for collecting money, have proved to be an efficient tool to mobilise RSDs. However, in some cases they were only initiated when the community was under threat of demolition. Therefore, it is important to ensure that saving groups are started prior to the threat of demolition in order to mobilise communities to propel future R&R processes.

As a way of maintaining and building relationships, the Alliance organises community events that seek to build relationships with government officials and amongst the members of the community (e.g. Raksha Bhandhan and Haldi Kunko events).

8.5   Sustained Cumulative Transformation Processes

8.5.1   Railway Slums

Solutions driving the R&R process were inherently demand-driven as the need to clear railway land and demolish railway settlements arose. However, to sustain cumulative transformation processes for RSD, these solutions, e.g. community mobilisation, need to be initiated well in advance and even in the absence of demolition threats, and to be continually practiced and shared by/between RSD communities and those who have been resettled.

8.5.2   Transit Housing

In terms of constraints, the conditions in transit housing were generally inadequate to an extent that some HH chose to move back to the tracks, other slums, or to stay with relatives in rural villages until the permanent housing was ready for habitation.   The role of transit housing therefore needs reassessment.

8.5.3   Permanent Housing

8.5.3.1   Maintenance

It was found that rehabilitated communities are given basic training in maintenance, and saving groups are encouraged to continue with the support of the Alliance. The fact that the majority of HH can afford to pay the amenity and monthly maintenance bills indicates that the transformation process may be sustained in the future. Even in the case of poorer HH who are unable to pay monthly fees and additional bills, they receive financial assistance from the Alliance through their cooperative society.

8.5.3.2   Monitoring and sustaining participatory processes

Resettled families participate in the R&R process, which is sustained by the collective ownership and management of the permanent housing through their cooperative societies, saving schemes and relations with the Alliance.   However, the Alliance does not currently have any specific monitoring or evaluation plans in place to measure and support the transformation process of the communities living in the permanent housing.

9 STRATEGIES, MONITORING AND IMPACT ASSESSMENT

The below strategies that are proposed by the research team build on the opportunities and constraints as identified through the Web of Institutionalisation. Both intend to enhance the R&R process even without a direct and imminent threat of eviction. Refer back to *Annex 5* to see the rationale behind choosing the objective and entry points for each strategy.

9.1 Strategy A: To Enhance Sustainable Community Mobilisation amongst Railway Slum Dwellers

The first strategy relates to what the Alliance as a whole needs to operationalise internally in order to remain a vehicle for social transformation.

9.1.1 Rationale

- For some slum dwellers, the motivation for mobilising was primarily the threat of eviction.[7]

- After relocation, there are instances of decreased community mobilisation due to both the sense of achievement garnered by such an important victory as well as the increased financial burden of permanent housing. In such cases the sustainability of such mobilisation is called into question once the threat of eviction (perceived or real) has passed, and/or a resettlement has been successfully accomplished.

- After resettlement, some interviewees expressed a perceived sense of abandonment by SPARC, which they felt was primarily interested just with resettlement. This was later analysed as a lack of distinction in roles between SPARC and other members of the Alliance, especially given that SPARC's main focus is not on the daily maintenance of social mobilisation.

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[7] It must be acknowledged that not all RSD will have similar levels of motivation, or similar reasons for being motivated. This strategy is meant to enable a critical mass of RSD to coalesce in order to achieve the goal of transformation.

- Community mobilisation was integral to the success of the MUTP R&R process. The lessons learned and experience gained will prove invaluable in orchestrating more and larger projects of this nature in the future, as well as proving the potential of community mobilization to other, previously uninterested, slum dwellers.

9.1.2   Actors and Motivation to Participate

The Alliance is the main actor empowered to achieve such a task due to its close involvement with the community through NSDF, RSDF, and MM. Moreover, it is in the Alliance's interest and benefit to achieve their objectives to sustain a high level of community mobilisation.

9.1.3   Assets and Constraints

The Alliance has built up assets which it can leverage to achieve this strategy. These include: the organizational capacity earned through enumeration surveys and instituting the WB's R&R policies, as well as the set-up and maintenance of savings schemes; cooperative ownership of land and infrastructure; and a strong presence by the various Alliance organizations (NSDF, RSDF, MM) among the railway slum dwellers. Similarly, the cumulative experience of previous successes with savings groups and resettlement schemes, such as those resulting from Byculla, proved how effective such an experience can be in transforming the lives of slum dwellers. These assets have led to permanent, secure housing with qualitatively and quantitatively better environmental and health conditions for resettled slum dwellers.

On the other hand there are potential constraints that need to be taken into consideration or to be tackled. These include: different levels of motivations and different priorities amongst RSDs, and a perceived lack of capacity by some RSDs in their ability to start collective action (e.g. saving schemes and cooperative societies).

9.1.4 Time frame and Key Steps

In order to operationalise this strategy, a timeline of approximately five years, divided into three steps, has been established to set specific goals which the Alliance can work towards:

- **Step one** is to define specific roles for each member of the Alliance, and to disseminate these roles to community members. This will aid in problem identification and resolution because individual slum dwellers will know to whom to address any concerns they might have. It also serves to increase the efficiency of each organization because redundant activities will be reduced and/or eliminated. This must be done immediately.

- **Step two** is to increase the scope of the transfer of knowledge within the organizations and community leaders; included in this would be to increase the public exposure of previous experiences. For both of these, Byculla is a case in point as a source of experience and an advertisement of successful practice. Specific organizations to be involved are MM and RSDF. MM was primarily involved in the successes of Byculla, making their experience invaluable. Also, the RSDF has close connections to those still living on the tracks, which gives MM a direct link to the RSD still *in situ*.

- **Step three** involves capacity building amongst community leaders. This would include training and workshops in areas such as the set-up and maintenance of a savings scheme, given by experienced leaders from MM to other community leaders. The enumeration survey during the MUTP is another example of capacity building, and stands out as a way of increasing community involvement due to the numbers of the community involved. This step encourages a general inter-community exchange of knowledge, skills, and experience. By disseminating the knowledge and tools of mobilization, the organization decentralizes itself and enhances the capabilities of community mobilization.

9.1.5   *Monitoring and Impact Assessment*

In order to sustain the above strategy, a regular monitoring process using strategy specific monitoring indicators (see list in ***Annex 8***) must take place. Additionally some of the earlier introduced transformation indicators can be used to monitor actions. Below are the proposed strategy specific indicators:

9.1.5.1   Inter-community Knowledge Transfer

The number of visitors to successful permanent housing projects indicates the level of knowledge transfer through public exposure of previous learning experiences. Also the number of participants in inter-community workshops and training sessions allows us to assess the success of organised events aimed at knowledge and skills transfer. The identification of potential deficits for non-PAPs should be kept separate from PAPs.

9.1.5.2   Capacity Building amongst Community Leaders

Workshops and training sessions for community leaders, who pass their knowledge to their communities, support capacity building and a deeper understanding of the different responsibilities of the three Alliance members. Therefore monitoring the number of participants is very important and should also make a distinction between PAPs and non-PAPs. The training of people for the enumeration process should be recorded separately to allow the monitoring of these events independently; this ensures a reliable citywide enumeration process.

9.1.5.3   Use of Gained Skills and Awareness Building

In order to assess the effect of workshops and training sessions it should constantly be measured how many co-operative societies exist and how many are newly developed. Furthermore it is essential to monitor the number of households participating in saving schemes before and after relocation and how many do not participate at all. This reflects the level of awareness in terms of community and saving scheme benefits but also the ability of RSD's to make use of their gained skills and knowledge.

9.1.6 *Actors Involved in the Monitoring and Impact Assessment*

The monitoring and impact assessment, as well as the feedback of collected information into the ongoing process, takes place at different layers.

- MM women who have regular contact with all families who participate in saving schemes monitor different processes and developments within the community. On the basis of their daily experience they have the ability to assess certain situations and react through actions like the distribution of emergency loans.

- MM, as well as community leaders, should also be part of the formal monitoring process based on the above described indicators. Their role covers mainly the collection of data like the number of households not participating in saving schemes.

- SPARC should primarily act as a facilitator who keeps the overview of the monitoring process and analyses the collected data.

- Under the condition that effective monitoring and impact assessments must always be assured, as many responsibilities as possible should be given to MM and the community leaders.

- SPARC is also in charge of feeding back the gained information from the process in order to ensure effectiveness and constant improvements of the strategy.

9.2 Strategy B: Widen the Scope of SRS into a More Comprehensive and Flexible Scheme Covering Railway Slum Dwellers Who Can Not Be Upgraded In-Situ or Who Are Not PAPs

The second strategy relates to what the Alliance needs to operationalise externally in order to facilitate a policy change. However, the realisation of this strategy relies on the successful implementation of the previous strategy as an actively mobilised community is imperative to negotiate a policy change.

9.2.1 Rationale

- There are already policies in place for the resettlement and/or rehabilitation of SD in Mumbai (i.e. SRS and project specific R&R); however RSD are not covered under such policies.

- Still there are over 60,000 HH along the rail tracks in Mumbai; their living conditions are inadequate [as highlighted in the previous diagnosis] and yet they are not PAPs, nor are they covered by SRS, hence there are no policies and/or programmes for their resettlement and rehabilitation.

9.2.2 Actors and Motivation to Participate

The main actor for this strategy should be the Alliance, as they have previous experiences with MUTP R&R and they have strong relationships with some official actors (i.e. MMRDA). However, the participation of actors like MMRDA, MMC, Banks, Developers and IR is imperative.

The motivation for Banks and Developers should be similar to the one already encouraging them to work within SRS: profit from the housing and land markets. As for the official actors, the policies and programmes towards "Mumbai as a global city" should be an incentive to expand their scope. As for IR, the clearance of its land in an orderly and just fashion should encourage them to participate to some extent; nevertheless the process is intended to continue even without their active participation.

9.2.3 Assets and Potential Constraints

The strategy relies on building on existing procedures and mechanisms to relocate and rehabilitate SD in Mumbai. For instance, there is already an R&R handbook within the MMRDA, and the experience (from the Alliance, the community and the government) of MUTP R&R set precedent for such tasks. Moreover, the Alliance has already procedures in place that can be taken as a starting point to show the feasibility of the proposed strategy (i.e. enumeration of slums, savings groups, etc). Nevertheless it is essential that all the railway dweller communities are actively mobilised as so far this is a constraint found in the previous diagnosis. Additionally, the strategy should not rely on resources

from the central government as the constitutional setup of India hinders the possibility of such collaboration.

To tackle the issues that might hold back the development of the policy it is suggested that the financial underpinning of the process is diversified. The TDRs form an important basis for such purpose; however Banks, mechanisms like CLIFF and even the savings schemes play an important role in this regard.

9.2.4   Timeframe and Key Steps

In order to operationalise the second strategy, a timeline of approximately five to ten years, divided into five steps, has been established to set specific goals which the Alliance can work towards:

- **Step one** is to increase the scope of existing enumerations and economic surveys, covering all RSDs in Mumbai; so that every actor is familiar with the range of the proposed policy.

- **Step two** is to update the available land survey; not only to identify potential development (relocation) areas, but as a tool to contribute to community mobilization.

- **Step three** is to have an updated survey of the already resettled communities, in order to achieve a flexible policy in terms of design and location of the permanent housing units.

All previous steps could take place in a timeframe of 1 to 3 years.

- **Step four** is to further develop existing relationships with financial institutions to secure further sources of funding.

- **Step five** is, once the Alliance has reliable and accurate information about the number of RSD's and the funding parties have agreed to participate, to sit at the negotiation table with the actors that can actually put into place such a policy (i.e. SRA/ MMRDA). It is by showing the size of the problem, but more importantly,

the solution to it that the government could be prompted to establish the policy towards the improvement of the living conditions of the RSD.

9.2.5 Monitoring and Impact Assessment

In order to sustain the above strategy, a regular monitoring process using strategy specific monitoring indicators (see list in ***Annex 9***) must take place. Additionally some of the earlier introduced transformation indicators can be used to monitor actions. Below are the proposed strategy specific indicators:

9.2.5.1   Legitimacy of the Economic Survey

The overall acceptance of the results of the economic survey depends on the involvement of all affected stakeholders. Therefore the level of involvement of these actors must be measured throughout the whole process.

9.2.5.2   Housing Design and Location of Future Projects

Since the relocated communities already surveyed have an important input for future improvements, their number and location should be monitored in order to generate a broad picture. Concerning the available land survey, the main indicator should be proximity to economic opportunities like employment possibilities.

9.2.5.3   Negotiations with Financial Institutes and SRA/ MMRDA

In order to evaluate the progress of negotiations with financial institutes, the number of meetings can be an indicator in the first stage, which should later be supplemented through the number and financial volume of new financing schemes. Also the progress of negotiations with SRA/ MMRDA can first be measured in number of meetings, and later supplemented through the number of RSD relocated due to reformed SRS policies and the number of communities relocated without the threat of eviction.

9.2.6 Actors Involved in the Monitoring and Impact Assessment

As with the first strategy, the monitoring and impact assessment, as well as the feedback of collected information into the ongoing process, takes place at different layers:

- The main function of SPARC in the monitoring process of this strategy is the provision of information and data.

- An independent body/consultancy should participate in the monitoring process in order to ensure unbiased results. This body should evaluate the progress of the different steps on a regular basis and develop recommendations for SPARC. The costs for this consultant must be considered in the calculation of the budget allocated to this strategy.

- These recommendations must be fed back in the ongoing process and therefore used to adjust the strategy as far as necessary.

- Furthermore SPARC should liaise between official bodies and other important stakeholders such as the community and independent bodies/consultants.

10   CONCLUSIONS

The definition of transformation has been the underpinning of our research project concerning the R&R of RSDs affected by MUTP. The objective of the simulated consultancy with SPARC in Mumbai has thus been to diagnose the success of cumulative and collective processes of self-determined change by RSDs. Using our criteria and the "Web of Institutionalisation", it has been identified that the strongest assets for sustaining and scaling-up transformative R&R processes are found in the citizen and delivery spheres (see Annex 5). The organisational capacity of the Alliance and individual RSD communities, the cumulative experience with implementing R&R policies, and the openness of MMRDA to implement R&R policies are considerable assets.

The weakest sphere identified through the diagnosis was the policy sphere (see Annex 5), especially regarding aspects of political commitment and resources. Interviews with MMRDA and the IR identified that Central Government, rather than the GOM, is restraining the institutionalisation of R&R policies in Mumbai. Similarly, although the provision of financial resources for MUTP R&R processes by the WB is a strong asset, the fact that these will need to be replaced by alternative funding for future R&R programmes emphasises the importance of diversifying sources of financing and building upon assets such as the CLIFF mechanism and financial loans with financial institutions, such as ICICI Bank.

Overall, the research shows that the R&R processes set out by WB and MMRDA and implemented by the Alliance have been successful in achieving the transformation of RSDs' living experiences. Therefore, the two strategies have been developed as interventions which may strengthen and build upon the work already achieved by the Alliance and other actors in the MUTP R&R process.

Strategy A proposes that by defining the role of the Alliance, increasing the scope of transfer of knowledge to other RSD communities not under MUTP, and building the

capacity of community leaders in order to decentralise R&R processes, that sustainable community mobilisation amongst RSDs may be enhanced over a five year period. Additionally, strategy B proposes to widen the scope of SRS into a more comprehensive and flexible scheme covering RSDs who are not PAPs. This can be achieved by raising the awareness of other RSDs to R&R processes, organising communities using previous strategies, surveying resettled communities, developing relationships with financial institutions for loans, and negotiating with crucial actors in order to bring about future R&R processes.

From the research it is noted that the creation and maintenance of transparent accountable relationships and communication between actors in the R&R process – specifically within the Alliance - significantly contribute to the sustainability of R&R transformation processes. A self-monitoring and evaluation processes should also contribute to this. It is recognised that political and institutional constraints such as the Rent Act and SRS need to be amended fundamentally in order to improve the housing situation for the low- and middle-income groups in Mumbai.

In this context, as RSDs participate to bring about their own housing solutions, with the support of the Alliance and GOM authorities, they are making small steps towards realising bigger achievements of transformation in the near future.

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12 ANNEXES LIST

Annex 1	Actors Mapping
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12.1 Actors Mapping (*as identified in the preliminary diagnosis*)
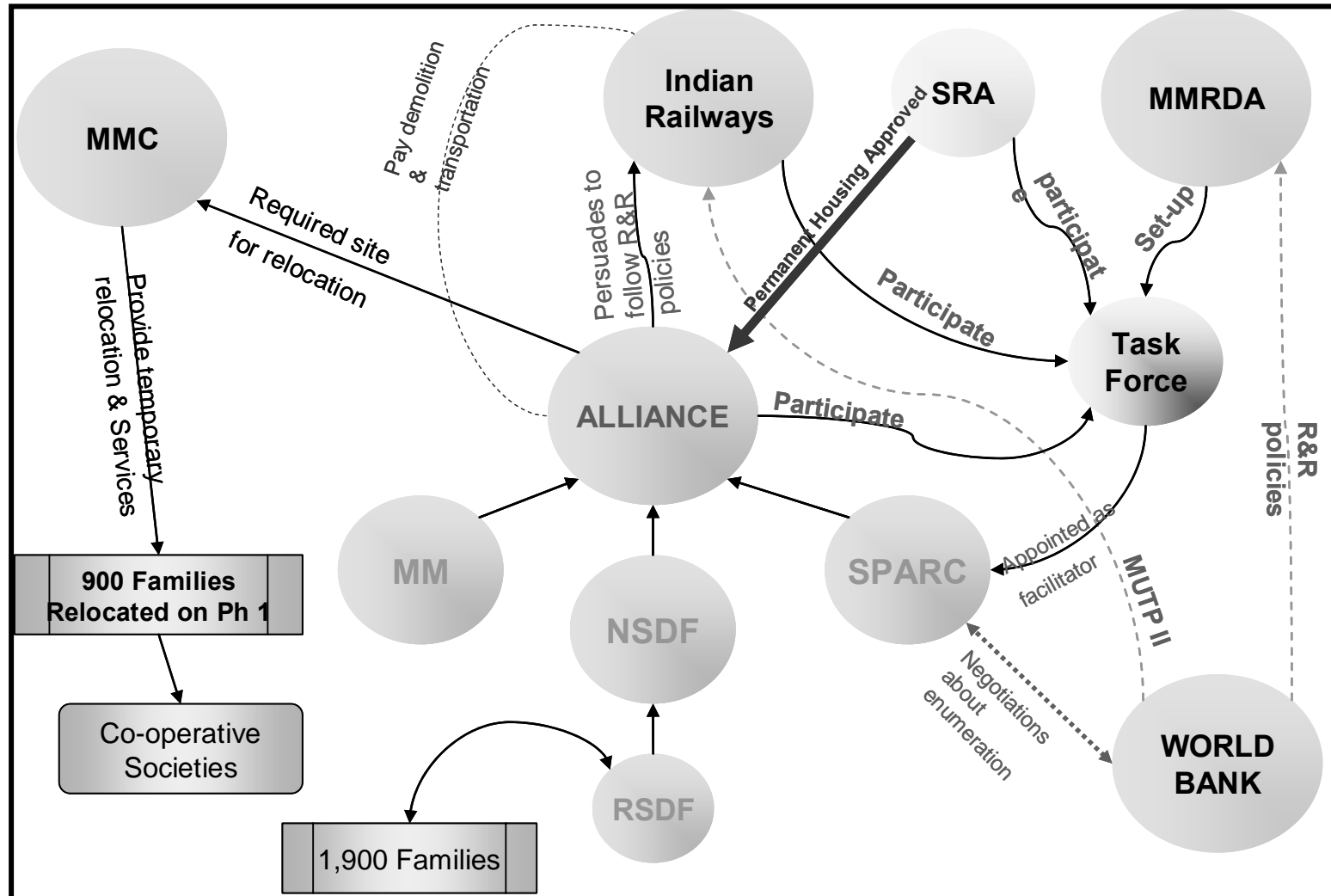
12.2 Field Trip Programme

Day		Activities
Friday, May 5th	Morning	- Arrival at Mumbai
	Afternoon	- Welcome session at Byculla ARC (Celine D'Cruz & MM leaders)
Saturday, May 6th	Morning	- Introductory session at SPARC Khetwadi Office - Presentation on MMRDA (Shri K.R. Ghorpade)
	Afternoon	- Quick field visit to Mankurd (Building 98), Lallobhai transit and permanent housing, & railway tracks
Sunday, May 7th		City Tour
Monday, May 8th	Morning	- Q&A session (Celine D'Cruz) - Presentation on Mumbai (Shri N. Ramarao) - Q&A session (Sheela Patel) - Discussion with facilitators on field visits
	Afternoon	- Field visit to permanent housing in Mankurd (Building 98): Group conducted semi-structured interviews with Chairman of RSDF, HH (5), saving schemes, and a focus group with children
Tuesday, May 9th	Morning	- Presentation on Mumbai (Shri Shirish Patel) - Presentation on ICICI Bank (Shri A. Khanna)
	Afternoon	- Field visit to railway slums close to tracks in Kanjur Marg, & permanent housing in Kanjur Marg: Group conducted semi-structured interviews with HH (6) and saving schemes
Wednesday, May 10th	Morning	- Field visits to other Alliance projects (slum upgrading in Dharavi, toilet blocks in Dharavi, Oshiwara permanent housing) - Q&A session with Joaquin- Chairman of NSDF in Rajeev Indira - Semi-structured interview with Sharmeela (SPARC)
	Afternoon	- Q&A session with Sundar Burra - Q&A with Shri S.K. Joshi on SRS
Thursday, May 11th	Morning	- Presentation on Transforming Mumbai (Shri A.K.

	Jain)	
	- Presentation on the Neighbourhood Project (Shri Rahul Srivastava)	
Afternoon	- Semi-structured interview with Shehnaz Dammad - Q&A session with Aseena Vicajee on CLIFF - Semi-structured interview with Indian Railways Authority (Shri Vishnu Kumar) - Field visit to transit and permanent housing in Lallobhai: Group conducted semi-structured interviews with HH (3) and saving schemes	
Friday, May 12th	Presentation of findings and preliminary strategies to SPARC	

12.2.1   Interviews Details

Interviewee		Location		No. of interviews	
				Men/ boys	**Women /girls**
Households		Permanent housing	Mankurd	5 mixed (5M &5W)	
			Kanjur Marg	3 mixed (3M&3W)	
		Transit housing	Lallobhai	0	3
		Railway tracks	Kanjur Marg	1(M)	3(3W)
				2 mixed (2M&W)	
Saving groups		Permanent housing	Mankurd	0	1
			Kanjur Marg	1 mixed (around 10 W, 1 M)	
			Lallobhai	0	1
Children		Permanent housing	Mankurd	1 mixed (around 10 boys, 6 girls)	
Shop owner		Permanent housing	Lallobhai	2	0
Organisations	Chairman of RSDF	Permanent housing	Mankurd	1	0
	Chairman of NSDF	Rajeev Indira		1	0
	Mahila Milan leaders	Area resource centre	Byculla	1 mixed (around 6 W, 1 M)	
	SPARC representatives	SPARC office	Khetwadi	1	4
	CLIFF representative	SPARC office	Khetwadi	0	**1**
Gover	MMRDA	SPARC office	Khetwadi	1	0
	Housing	SPARC office	Khetwadi	1	0

	Department (GOM) representative				
	Indian Railway representative	Indian Railway regional office		1	0
Institutions	ICICI-Bank representative	SPARC office	Khetwadi	1	0
	Project Manager of All India Institute of Local Self Government	SPARC office	Khetwadi	1	0
Individuals	Anthropologist	SPARC office	Khetwadi	1	0
	SRA adviser	SPARC office	Khetwadi	1	0
	Structural Engineer and Planner	SPARC office	Khetwadi	1	0

12.3 Interviews Questions[8]

12.3.1 Households' Questions

General situation

1. How long were you living beside the railway track?

2. How long were you living in transition housing?

3. How long have you been living in permanent housing?

Housing and environmental conditions

1. Do you feel the housing in transition and now is adequate in terms of space and quality?

2. Are services like water, sanitation, electricity and solid waste collection adequate while transition and now?

3. Is there a provision of community centers, recreation grounds and green space? Is it satisfactory?

4. Who (men or women) owns the apartment/building you are living in?

5. Is it important for you to have individual property rights?

6. Are you satisfied with community owned property?

7. Do you feel secure with the current ownership situation?

Legal status/rights

1. Do you have a ration card, ID (because of permanent address) or any other official identification documents?

2. Was it difficult to get ration cards and how long did it take?

3. Do you feel as a recognized part of Mumbai's population having the same status as other citizens?

4. Was there political interest and activities when you lived at the railways and did this change after relocation?

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[8] Interview questions were later modified during the field visit as appropriate and as more information was made available to the research team through lectures and interviews with SPARC

Access to social services

1. Since relocation, do you have easy nearby access to transportation, education and health services?

2. Do you think these issues should have been given greater consideration/emphasis in the whole relocation process?

3. Did the ID (if received) improve your possibilities to access jobs, school, health services, police, voting etc.?

Finances & income

1. Did you participate in the saving scheme program?

2. Did you find the program helpful for meeting regular payments like water or electricity bills after relocation?

3. Are there other strategies to deal with regular payments?

4. How did you deal with the new expenses? In general, is it difficult for you to meet your monthly payments?

5. Have you had to change your job after moving to transition/ permanent housing?

6. Was it difficult to find new employment?

7. Did your possibility to find work change?

8. Did your employment condition change?

9. Do you have to travel further to work than before relocation?

Community networks/participation

1. Did your community stay together in transit housing and also in permanent housing?

2. Have your social relationships changed because of your new housing situation?

3. Do you actively participate in the community or an organization?

4. How many hours (weekly) do you put in and does this affect your role in your family?

5. Do you volunteer (unpaid) or are you reimbursed for your time?

12.3.2 Government Agencies' Questions

POLICY

Status quo and development of theory building at government level (MMC, SRA, and IR):

(1)To assess the role of the different agencies-if they consider that their role is permanent or temporal, (2) the relationships they built (3) theory building-if they think that it is their responsibility (4) ways of doing-staff development

1. What was the role of the Municipality (IR, SRA) during MUTP? Have you seen any changes since Kanjur Marg during the process of MUTP in relation to that role?
-   (How do you see your relationship with RSD during this process?)
2. What would it be the relationship with the RSD after the end of the MUTP?
3. What do you consider as the biggest constrain for your involvement in the process of RSD resettlement and rehabilitation (MMC, SRA, and IR)
4. To what extend MMC, IR has to comply with SRA policies (SRA, MMC)
5. What would be the consequences if MMC does not comply with them? (SRA, MMC, IR)
6. Are there agencies within the MMC dealing with the slum situation in Mumbai? Which are they? What are their responsibilities and constrains? (MMC)
7. Are there any staff in MMC that has an academic and professional background related to slum upgrading? (MMC)
-   (Do you think there was a need for special staff training after the experience of Kanjur Marg?)
8. Is there any special training (dealing with slum upgrading) for the Staff in MMC, IR, SRA?
9. Who participates? Who organises? How often?
10. What is the budget spent for staff training in MMC/SRA/IR?

FUNDING

Funding (MMC, IR, SRA) (now and then...)

1. What will happen when the MUTP is finished?

2. Do you have any financial strategies to address the problem of funding for slum upgrading?

Relationship with SPARC (MMC, IR, SRA)

(If they consider it as an equal/accountable/relevant partner, then maybe check on their relationship, criteria)

1. Do you have partners for the implementation of MUTP?

2. Who are your partners during this process?

3. Do you meet with the rest of the stakeholders? How often and where?

4. Who is the project Manager/organiser?

5. Based on what criteria do you assess the success of the project?

GENERAL

Increased political interest (MMC)

(How do we measure it? Quantitatively (money spent, visits?)Quality-open questions to assess if there is any difference in their behaviour)

1. How many times have you been in the slums?

2. What is the budget spent on Slum upgrading? (Before and after Kanjur Marg)? Through which networks?

3. How do you think that the legitimacy of the slum dwellers will affect potentially the political situation and dynamics in MMC?

4. Are there any differences between the slum dwellers and the rest of Mumbai citizens?

5. If yes, what do you consider as their biggest difference?

R&R and Policies

Links with Education- Employment-Transport

First check if they think is a relevant question-and ask for the situation

1. Based on which principles were the SRA designed and by whom? (SRA)

2. Do you think that R&R policies are linked to other policies such as education, transportation, employment?

3. Do you think that R&R policies should be mainstreamed to Education-employment-Transport?

4. Whose responsibility is to do that?

GENERAL

Social Prejudice (MMC, SRA)

Examine if they think it exists,(is it relevant)-how they define it- who?- and how to tackle it

1. Do you think there is social prejudice against slum dwellers and how would you describe it?

2. Do you consider that the social prejudice for Slum Dwellers is a problem that you should tackle?

3. Is there any official strategy to tackle with this phenomenon?

4. What is your opinion for the negative advertisement against slum dwellers, occasionally initiated by the private sector?

5. Do you plan to implement the R&R policies in the rest of India?

12.3.3 Indian Railway Questions

1. How is the Indian Railway Authority planning to deal with the railway slum dwellers who still live by the tracks?

2. Can you tell us about the relationship between IR, SPARC and MMRDA?

3. How is the relationship between IR office in Mumbai and in Delhi?

4. What are your strategies for preventing future encroachments?

5. Has there been any improvement to the train service after the relocation of the slum dwellers?

6. Do you foresee the possibility for the Maharastra regional office to play a role in R&R policies?

7. Is it possible to replicate MUTP policy in other parts?

8. Do you have staff especially for R&R? Staff development?

9. Is it possible to use a policy like the one from the WB for projects of IR?

12.3.4 Alliance's Questions

General:

1. Are member of the Alliance volunteers or employees?

- if volunteers: how does it affect their jobs/livelihoods/household roles (for example, in terms of time and/or money)

2. Has the role of the savings groups continued with the relocation (specifically with reference to MM)?

3. What is the gender make-up of the RSDF?

4. How many people live by the railways?

- How many have been relocated to date?

- How many more are to be relocated in the short-to-medium term?

5. Are members of the RSDF politically active (in their individual capacity, apart from being affiliated to the RSDF)?

6. What is the percentage of slum dwellers who have received formal education?

- Is the trend increasing or decreasing?

- What is the quality of the education they receive?

7. What is the percentage of female-headed households among railway slum dwellers?

8. What is the perception of the railway slum dwellers in Mumbai? How has it changed (if it has at all)?

Policy:

1. What is the relationship of the Alliance with local/regional/national politicians?

- Do the politicians follow through with their promises?

- Do any politicians visit the slums?

- Are there any political movements that have pro-poor/slum dweller interests as part of their agenda?

2. How did the strategies of the Alliance change over time?

- From organization, to negotiation, to affecting policy, now?

3. How does the Alliance deal with the SRA?

- Has this relationship changed over time (positively or negatively)?

4. How are the railway slum dwellers recognized by the government?

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- How many had ration cards before the relocation?

- How many after?

Funding:

1. What does the Alliance expect the situation will be like after the World Bank funding ends?

- Does the Alliance see funding coming from other sources, such as government agencies or donors?

2. After the funding from the World Bank commenced, did they reimburse the different actors (Indian Railways, MMRDA, slum dwellers) for the expenses they incurred during the relocation?

R&R:

1. Who owns the land legally?

- What form of ownership is it?

- How secure to the people feel with it?

- How important are land rights perceived by railways slum dwellers?

2. How long did the slum dwellers day in the temporary housing?

3. What is the process for relocating the rest of the railway dwellers?

- On what basis are the people to be relocated selected?

- What are the details of the process?

4. After relocation, did social integration (around religion, caste, etc.) start to disintegrate or weaken?

5. Prior to resettlement, were/are all aspects considered?

- For example, in Kanjur Marg, when people moved, what facilities were already present, and how were the facilities introduced (time-wise)?

6. How did plans to acclimate people to their new surroundings work with reference to bills and financial commitments?

- Percentage of non-payments resulting in eviction?

- Did the payment groups continue?

- Were there any emergency/contingency schemes to prevent that?

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7. How many people were able to keep the same job before and after relocation?

- How many lost their jobs?

- What is the rate of unemployment?

- Are there prospects of business from the new settlement area?

- Have any been lost from the resettlement?

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12.3.5 *Saving Schemes' Questions*

1. How do you choose the leaders? Why is selection done in this way?

2. How often do you meet? During what time of the day?

3. What issues do you discuss?

4. What happens if a member of a saving scheme is not saving regularly?

5. Do children attend meetings with their mothers?

6. Do you see any change in your life after your involvement in the saving scheme?

7. Do your husbands participate in any capacity in the saving schemes? How has it impacted their lives?

12.4 Criteria and Indicators for Transformation

	CRITERIA	INDICATORS
OUTCOME-ORIENTED		
A	Improved environmental and health conditions	▪ Access to safe water (regularity, quality, proximity, cost) ▪ Perceptions of noise ▪ Solid waste management: regularity, quality, available infrastructure ▪ Sanitation: access, cost, type, quality ▪ Access to health care services: proximity, cost, availability ▪ Safety: distance from tracks/roads, police presence
B	Improved livelihood	▪ Access to formal education ▪ Security / perception of security of tenure ▪ Access to employment sources ▪ Time and distance to and from work / home ▪ Rate of unemployment (before and after) intervention ▪ Quality of employment (qualitative data) ▪ Access to financial resources (credit and loans) ▪ Access to information (training programmes, international networks) ▪ Sustained social networks ▪ Access to public services (cultural and community centres, religious institutions, and open recreational spaces)

	CRITERIA	INDICATORS
PROCESS-ORIENTED		
C	Improved government commitment to implement resettlement and rehabilitation policies (not specifically World Bank policies)	▪ Development of a context specific R&R policy ▪ Commitment of needed resources (land, financial resources, human resources) ▪ Collaboration with the community and different in the design and implementation of R&R policies ▪ Co-ordination between government agencies to implement R&R policies
D	Improved conditions for cumulative and collective mobilisation	▪ Recognition of CBO's, for example the Federation, by formal institutions i.e. banks, donors, government ▪ Ability and possibility of women to be actively involved in decision-making processes ▪ Federation (men and women) organised in participatory manner ▪ Inter/intra-generational transfer of knowledge and skills (e.g. saving schemes) ▪ Intercommunity exchange of R&R processes
E	Sustained cumulative transformation processes	▪ Level of participation of the poor in R&R processes (ownership and management) ▪ Households returning to tracks/recidivism ▪ Households not residing in allocated housing ▪ Households capability to cover living costs ▪ Monitoring and evaluation of policies, programmers and projects (the Alliance)

		▪ Maintenance of permanent housing ▪ Level of decentralisation within the Federation

12.5 Diagnosis and Strategy Formulation using the Web of Institutionalisation

12.5.1 The Web
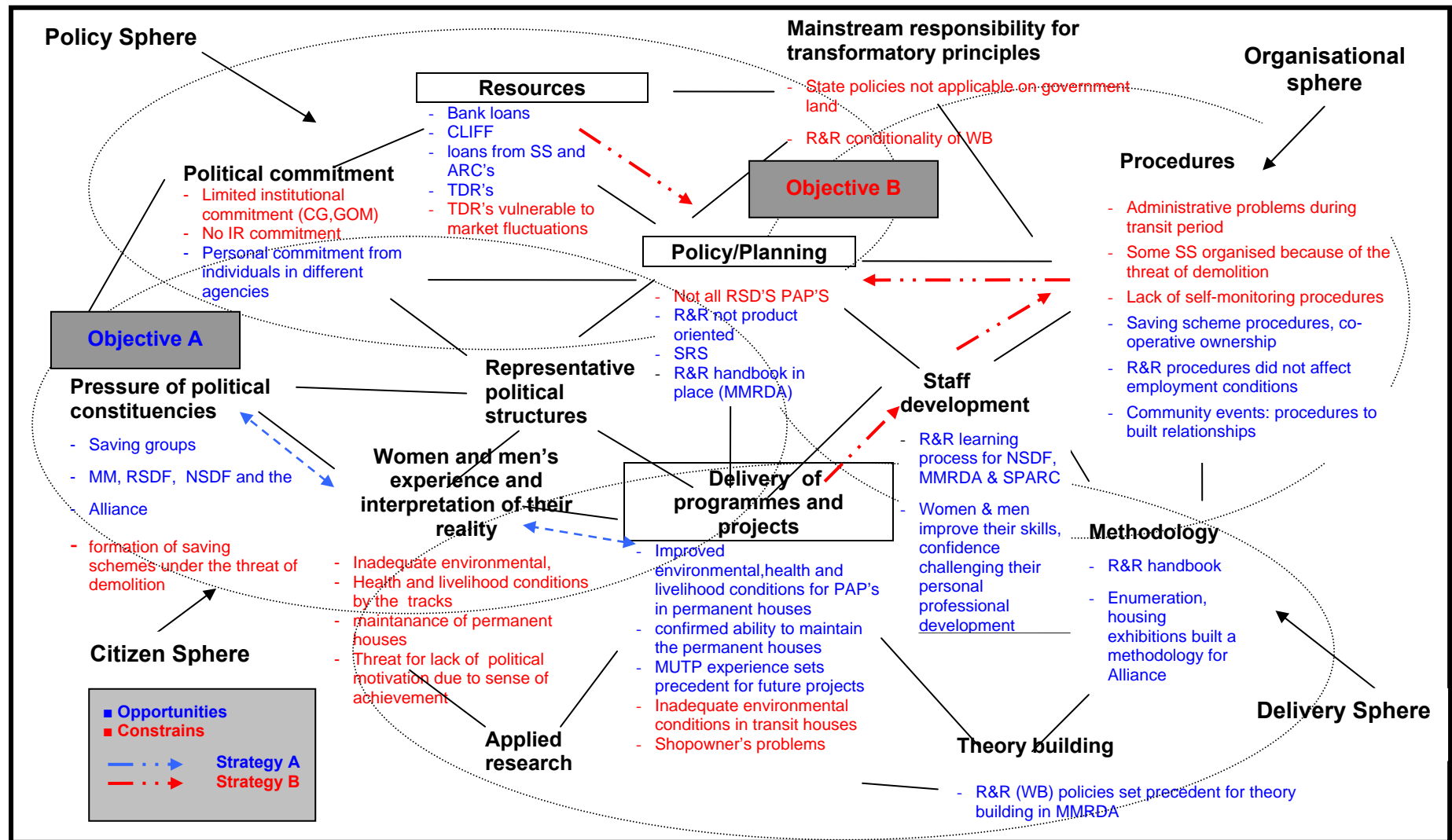
12.5.2 Diagnosis

CRITERIA A &B

The opportunities and the constrains that were identified based on the criteria for Environmental, Health and Livelihood conditions can be included both in **Delivery** and **Citizen's Sphere** depending on the stage of the transformation process in which they are referred. For example the opportunities that arose because of the improved environmental conditions for the RSD's that live currently in permanent houses lie in the **Delivery Sphere**. At the same time the realization of the deteriorated conditions along the tracks affected the lives of the RSD's and drived them to form political constituencies, such as NSDF, RSDF and MM (Citizens sphere)

Some of the finding for the livelihood conditions (employment situation, professional development) influence also "Staff development" and "Procedures" in the **Organizational Sphere**.

CRITERIA C&D

The majority of the findings of the diagnosis assessing criterion C can be included in the **Policy Sphere**. The flexibility and the ability of the Alliance to negotiate resources using different financial mechanisms creates opportunities for "Resources" and can potentially affect "Policy/Planning" (Check Strategies).

However the weak political commitment of the government agencies influence negative both the **Policy Sphere** and the **Organizational Sphere** jeopardizing the accountability of the procedures that are in place (e.g administrative problems)

Opportunities and constrains identified based on the criterion D built up on the political role of the Alliance in the transformation process and are included both in the **Citizens Sphere** and the **Organizational Sphere** as the political power of the alliance lies on their collective action and their ability to create strategies and sustain procedures (SS, enumeration, housing exhibitions).

CRITERION E

Finally the findings for criterion E are included in the **Delivery Sphere** as they are referring to the possibilities that can be arise if the opportunities of the "Delivery" can be sustained.

12.5.3 Strategy Formulation

STRATEGY A

The objective of strategy A is to *enhance sustainable community mobilization amongst RSDs.* Therefore the end of the route of Strategy A through the Web of Institutionalization lies under the element of **Pressure of political constituencies.** As the outcomes that came out under the element of **Delivery of programmes** were considered as key opportunities for further mobilisation, the entry point for Strategy A is the element of **Delivery of programmes.** Continuously the potentials of this element can be used to strengthen the weaknesses (mainly in permanent housing) of element: **Women and men's experience and interpretation of their reality** and finally lead to sustainable community mobilisation under the **Pressure of political constituencies.**

At the same time the route of action of Strategy A is bidirectional to show that transformation is an ongoing struggle to link opportunities and constrains in order to sustain the ability for cumulative change.

STRATEGY B

The objective of strategy B is to *widen the scope of SRS into a more comprehensive and flexible scheme covering RSDs who can not be upgraded in-situ or who are not PAPs.* The end of the route of strategy B is under the element of **Policy/Planning**. Both **Resources** and **Delivery** were considered as areas of influence for the Alliance therefore they are used as entry points for Strategy B. **Delivery** is linked with **Staff Development** (where many opportunities are evident) building up on **Procedures** in order to tackle constrains in **Policy/Planning. Resources** are directly linked with **Policy/Planning.**

12.6 Diagnosis against indicators: Improved Environmental and Health Conditions

Criteria: Improved Environmental and Health Conditions					
		Slums by the railway tracks 20-30ft distance	Slums by the railway tracks 10-20ft distance	Transit housing	Permanent housing
Water	**Access**	community taps	often no water provision	community taps not working/illegal use of private taps	individual taps
	proximity	located in the community	1 hour walking distance	45m cycling	taps/per house
	Quality	Potable		potable	potable
	regularity	5-6 hours per day	It was women's and children's responsibility to bring water every day in the morning	1-2 hours very early in the morning	1-2 hours/use of water tanks
Perception of noise		Loud	loud	N/A	N/A

SWM	**Regularity**	N/A	N/A	N/A	Once per day
	Available infrastructure	N/A	N/A	N/A	Garbage bins, garbage collectors
Access to health care services	**Proximity**	walking distance	Not assessed	walking distance	services located in the community
	Cost	Not assessed	Not assessed	Not assessed	Not assessed
Safety	**Availability**	private doctors	private doctors	private doctors	private doctors
	Distance from tracks	>30ft	>>30ft	<< 30ft	<<30ft
	Police presence	Private security by constructors	Municipality police	community police	community police
Electricity	**Regularity**	24/hours (people interviewed)	Quite often not available	Electricity shutdowns twice per day	24hour supply
	Cost	Not enough information	Not enough information	Not enough information	Not enough information

12.7 Diagnosis against Indicators: Improved Livelihoods

Criteria: Improved Livelihoods Conditions				
		Slums by the railway tracks	**Transit houses**	**Permanent houses**
Formal Education	**Boys**	all interviewed	all interviewed	all interviewed
	Girls	all interviewed	all interviewed	all interviewed
	Proximity	10-20min walking distance	30m accompanied by mothers	10min
	Location in relation to the tracks	they had to pass the tracks	they had to pass the tracks	away from the tracks
Security/perception of tenure	**Men**	no legal rights(houses bought in the informal market)	N/A	members of cooperative housing
	Women	no legal rights	N/A	members of cooperative housing
Access to Employment	**Men**	construction/ civil	construction/ civil	construction/ civil

Resources		servants/ technicians/ informal market	servants/ technicians/ informal market	servants/ technicians/ informal market
	Women	majority housewives/ some informal market	majority housewives/ some informal market	majority housewives/ some informal market
Proximity of Employment	**Men**	30-40min	30-40min	30-40min
	Women	N/A	N/A	N/A
Rate of Unemployment	**Men**	Not enough information	Not enough information	Not enough information
	Women	Not enough information	Not enough information	Not enough information
Quality of Employment	**men**	Not assessed	Not assessed	Not assessed
	women	Not assessed	Not assessed	Not assessed
Access to Financial Resources	**men**	Usually no access	Often no access	cooperative and individual loans
	women	access to loans through saving schemes(not all)	loans through saving/ schemes(not those living there currently)	loans through saving schemes and cooperative loans

Access to Information	**men**	trained by MM, NSDF and SPARC (e.g enumeration)		
	women	trained by MM (SS, enumeration)	SS, The two programmes	SS, The two programmes
Sustained Social Networks	**men**	N/A	Not sustained	Not sustained
	women	N/A	Not sustained	Not sustained
Access to Public Services			MM leaders community centre	ARCs
	cultural and community centres	not available	not assessed	not assessed
	religious institutions	not assessed	not available	available
	open recreational space	not available		

12.8 Indicators for Monitoring Strategy A

1	No. of visitors of successful permanent housing projects
2	No. of participants in inter-community workshops and training sessions
3	No. of participants of workshops and training sessions for community leaders
4	No. of co-operative societies in place
5	No. of newly developed co-operative societies
6	No. of households participating in saving schemes before relocation
7	No. of households participating in saving schemes after relocation
8	No. of households not participating in saving schemes

12.9 Indicators for Monitoring Strategy B

1	Level of involvement of affected stakeholders in economic survey
2	No. of interviewed resettled households
3	Location of interviewed resettled households
4	Proximity to economic opportunities
5	No. of meetings with financial institutes
6	No. of new financing schemes
7	Financial volume of new financing schemes
8	No. of meetings with SRA/ MMRDA
9	No. of RSD relocated due to reformed SRS
10	No. of communities relocated without threat of eviction