

National Mission on Sustainable Habitat



Mission Brief prepared as part of the Study: Implementation of the National Action Plan on
Climate Change (NAPCC) - Progress & Evaluation

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About the Study

This Study has been undertaken to provide pointers to facilitate effective implementation of the National Missions under the NAPCC, as well as to highlight key policy aspects that augur well to further this national mandate. Specifically, the Study has sought to track the progress achieved by each of the National Missions since their launch up to March 2015 and also evaluate them through the lens of core policy implementation functions.

Using a combination of desk research and expert interviews, the Study has consolidated informed insights on strategies to accelerate and enhance the efficacy of the Missions' implementation, apart from documenting details of their progress. The Study team has interacted with key Government officials, domain experts in affiliated technical and academic institutions and independent research organizations to gain perspectives from all relevant stakeholders in this context. A distinct format has been followed for reviewing the Missions which have achieved quantifiable progress against their targets.

The findings of this Study were disseminated at a policy workshop, hosted by IFMR LEAD in June 2015 at New Delhi, bringing together policymakers from the concerned Union Ministries, bilateral agencies and other relevant stakeholders. The event marked a focused dialogue on the progress of the NAPCC thus far as well as the way forward for the Missions. Inputs from the workshop have been incorporated into the Study report. While the Study objectives, methodology adopted and findings across Missions have been summarised in this report, detailed findings on each Mission have been elaborated in individual Mission briefs.

Introduction

The National Mission on Sustainable Habitat (NMSH) envisages a framework to build urban resilience to climate change, by integrating adaptation and mitigation aspects into the urban planning process. The Mission document¹ (National Mission on Sustainable Habitat, 2010) prepared by the Ministry of Urban Development (MoUD) received Cabinet approval² in early 2010. It outlines the need for addressing system preparedness and building resilient urban infrastructure through appropriate capacity building and regulatory re-alignment. While the Mission does not contain specific targets, it mentions adaptation and mitigation strategies, with concomitant requirements for technical capacity building and institutional strengthening.

An important characteristic of urban development being a State subject³ in India, though not unique to the sector, is the prominent role of State governments in programme implementation. While the MoUD is the nodal agency for drafting the Mission, the NMSH objectives can be realised only with active cooperation of the States through suitable legislations. For instance, the Mission requires amendments to existing building bylaws to be made by the respective State governments to incentivise aspects of green buildings; modification of Town and Country Planning Acts for effective integration of urban sustainability concerns into the process of planning.

While the federal aspect of governance adds to one dimension of Mission implementation, the multi-sectoral linkages inherent in urban planning bring yet another layer of coordination and policy synchronisation to the fore. In design, the NMSH describes strategies to implement measures in the various sectors listed below:

- Energy Efficiency
- Urban Transport
- Water Supply and Sewerage
- Municipal Solid Waste Management
- Urban Storm Water Management
- Urban Planning

The NMSH is structured into the following key components, which span across the sectors listed above:

1. Development of Sustainable Habitat Standards – guidelines for each sector to enable mainstreaming of climate change concerns into urban planning
2. Incorporation of Sustainable Habitat Standards into City Development Plans (CDPs)
3. Complementary Actions – demonstration projects, outreach, dissemination and research & development (R&D) activities for facilitating the aforesaid mainstreaming
4. Capacity Building activities

¹The NMSH document published on the website of the Ministry of Urban Development, accessed at http://moud.gov.in/sites/upload_files/moud/files/NMSH_0.pdf

²Press release by the Ministry of Urban Development on the NMSH dated 6th August 2010 (PIB Release ID: 64287)

³With reference to List – II of the Seventh Schedule of the Constitution of India ([http://lawmin.nic.in/olwing/coi/coi-english/Const.Pock%20Pg.Rom8Fsss\(16\).pdf](http://lawmin.nic.in/olwing/coi/coi-english/Const.Pock%20Pg.Rom8Fsss(16).pdf)). Also refer <http://moud.gov.in/constiution>

The Mission document provides a sector-wise disaggregation of actions to be undertaken under each of these components, with budgetary requirements indicated for components 2 to 4, totalling up to a little over Rs. 54,200 Crores⁴. The financial requirement for the Twelfth Plan Period, estimated at Rs. 950 Crores, was to be met through the budget of the Jawaharlal Nehru National Urban Renewal Mission (JnNURM). However, it is evident that the JnNURM is to be succeeded by new flagship initiatives for urban development and renewal by the MoUD, along with the Smart Cities Initiative (SCI) and the Heritage City Development and Augmentation Yojana (HRIDAY). Hence NMSH activities are expected to be suitably absorbed into relevant schemes currently under formulation. The following section briefly describes the progress of the Mission thus far⁵. It highlights key aspects of the Mission across the four policy functions described in the study framework, namely *Finance, Policy Administration, Monitoring, Reporting, Evaluation & Revision* and *Compliance & Enforcement*.

Tracking the Mission's Progress

While examining the NMSH component-wise, it is evident that the Mission guidelines have been drafted and circulated among the States to be adopted in their respective urban local planning processes. Other components that pertain to the mainstreaming of these standards into CDPs, demonstration exercises, outreach and capacity building activities are yet to be undertaken on a full-fledged basis.

It has earlier been noted that legislative amendments from the States' end are required for a comprehensive absorption of these guidelines, which would then translate into Mission progress. This is a time bound process, and reveals that the MoUD's role is advisory in nature with regard to achieving progress at the ground level. In this context, the NMSH is yet to be implemented on a full scale; however it is observed that there are relevant activities that are ongoing, not necessarily on account of the Mission. Experts are also of the view that unlike the JnNURM, the NMSH is yet to gain adequate awareness at the Urban Local Body (ULB) level. While there are a few relevant ongoing initiatives at this level, especially towards improved public transport systems, other aspects of the Mission are yet to gain momentum. It is in this context that a snapshot of the Mission's key dimensions is provided in this section, across the policy functions mentioned earlier.

Finance

The NMSH was announced with a relatively modest budget (Rs. 950 Crores for the Twelfth Plan Period), in comparison to the total outlay proposed by the Mission (around Rs. 54,200 Crores). The Mission was initially planned to be funded through an exclusive allocation, as can be seen through the MoUD budgets in 2011-12 and 2012-13. However, budget estimates underwent substantial downward revisions for these years⁶ due to identification of JnNURM schemes that could subsume NMSH activities. Hence it was acknowledged by the MoUD that financial requirements for NMSH could be considerably reduced. Accordingly, the Expenditure Finance Committee (EFC) in early 2014 decided that no separate fund allocation would be made under the Mission. This strategy has been revisited in December 2014, wherein the MoUD has stated that a fresh scheme under the NMSH would be launched, observing the *'renewed interest & vision of (the) new government on Sanitation and Environment protection.'*⁷

⁴ Chapter 12, Economic Survey 2013-14 accessed at <http://indiabudget.nic.in/es2013-14/echap-12.pdf>

⁵ As of March 2015

⁶ Budget Estimates of Rs. 50 Crores (2011-12) and Rs. 5 Crores (2012-13) were downsized to the Revised Estimates of Rs. 5 Crores and Rs. 1 Crore, respectively (as given in Outcome Budgets of the MoUD for the relevant years).

⁷ First Report of the Standing Committee on Urban Development (2014-15) on Demands for Grants(2014-15) of the Ministry of Urban Development, (pg 30 of 87) accessed at http://164.100.47.134/lssccommittee/Urban%20Development/16_Urban_Development_1.pdf

Even during the initial years, there had not been any exclusive budget allocation through the JnNURM towards the Mission, despite its identification as a valid platform for routing finances and implementation. This is largely owing to the pre-determined mandate of the ongoing flagship schemes, which is accompanied by an established project approval process. With the JnNURM being phased out, it is expected that the roadmap for absorbing the NMSH mandate (and consequently, the programming of funds) will be clarified through the upcoming EFC and launch of fresh initiatives by the MoUD post-JnNURM.

Policy Administration

The MoUD, being the nodal Ministry responsible for the Mission, also heads the Inter-Ministerial Group (IMG) and the Mission Implementation and Monitoring Group, responsible for designing policies for implementation, monitoring and reviewing overall progress of the Mission. It houses the Mission Directorate, tasked with day-to-day monitoring and supporting the State and District level Apex Coordination Committees; apart from other technical divisions like the CPWD, CPHEEO, Town and Country Planning Organisation (TCPO) and the Institute of Urban Transport (IUT) that are key links to the Mission's sector-wise agenda. Currently, the Director, Public Health Engineering (PHE) Division (MoUD) is the *de facto* Mission Director, with technical assistance provided by the NMSH Cell, headed by the Deputy Advisor (CPHEEO)⁸.

The NMSH guidelines (spearheaded by the MoUD under the NAPCC agenda) that have been prepared thus far include the sector-wise *Sustainable Habitat Standards*⁹, incorporation of green building norms as part of the Central Public Works Department (CPWD) Works Manual 2012¹⁰ and the Advisory on Water Supply and Sanitation¹¹ published by the Central Public Health and Environmental Engineering Organisation (CPHEEO) in April 2014. In principle, these are to be incorporated into the urban local planning process through the preparation of CDPs compliant with the prescribed sectoral norms. This is also a prerequisite for obtaining project approval for funding. The Mission also discusses the adoption and enforcement of the guidelines developed for Urban and Regional Development Plans Formulation and Implementation (URDPFI) (Final URDPFI Guidelines-2014)¹² as part of its strategies for the Urban Planning sector. The same has been reiterated in the recent update provided by the MoUD to the Standing Committee on Urban Development in December 2014.

⁸ The CPHEEO is the technical adviser to MoUD for all the activities related to its core areas such as water supply, sewerage, solid waste and storm water drainage; thus far its efforts have been part of its routine support provided to the MoUD, rather than through an exclusive initiative for the NMSH.

⁹ Guidelines have been drafted and submitted to the MoUD by 6 sub-committees constituted for this purpose, pertaining to the Energy Efficiency, Municipal Solid Waste Management, Urban Planning, Urban Storm Water Management, Urban Transport and Urban Water Supply & Sewerage sectors.

¹⁰ Accessed at <http://cpwd.gov.in/publication/worksmanual2012.pdf>

¹¹ Accessed at http://moud.gov.in/sites/upload_files/moud/files/NMSH%20Advisory%20on%20Adaptation%20and%20Mitigation%20Measures.pdf

¹² These represent a revision of guidelines first designed in 1996 by the Institute of Town Planners, India (ITPI), providing a framework for preparation and implementation of urban and regional plans (<http://moud.gov.in/URDPFI>)

NMSH - JnNURM and beyond

It is important to note that the identification of JnNURM schemes as vehicles of implementation and routing of funds for NMSH activities has been key to the redesigning of financial arrangements for the Mission. New initiatives like the Swachh Bharat Mission, the Smart Cities Initiative (SCI) and HRIDAY, along with the Atal Mission for Rejuvenation and Urban Transformation (AMRUT) for 500 cities are major programmes being launched after the formal conclusion of the JnNURM (in March 2015). While the JnNURM has already utilised substantial capital expenditure for establishment of urban infrastructure, the attainment of NMSH objectives would now have to be planned in the wake of these new initiatives.

For instance, the SCI concept note states that an 'Environmental Sustainability Plan' is mandatory for the ULBs as per the Operation Procedures (prerequisites for financial sanction) – includes adoption of energy efficient, green technologies, rejuvenation of greenery, water bodies, etc. Although the SCI includes environmental sustainability as a key feature of institutional infrastructure, it is yet to be clear as to how existing policies and NMSH guidelines would feed into the design of smart cities through this proposed initiative.

Monitoring, Reporting, Evaluation & Revision

Monitoring progress under the Mission is an embedded function of the Mission Directorate by design, and in the current state of progress, it is to be undertaken by the PHE Division (MoUD) and the CPHEEO. The Mission has also proposed that the Directorate establish an online monitoring system for tracking physical and financial progress through a web-enabled Programme Monitoring and Evaluating System (PMES); however, this is yet to be implemented. The institutional arrangements proposed by the Mission¹³ for the purposes of guiding, monitoring implementation and reviewing progress are yet to be formalised. The proposed monitoring mechanisms at the State and City levels are yet to be formed: it is expected that greater clarity on centrally sponsored funding arrangements would facilitate this once an exclusive NMSH scheme is designed.

A systematic reporting and consolidated tracking of NMSH progress also requires a clear mapping of overlaps and potential to mainstream activities with ongoing schemes (which is how the implementation is being envisioned). While select achievements relating to public transport, water supply, waste recycling and waste water management under the JnNURM are being highlighted as relevant progress under the NMSH, it has not been formally delineated for all sectors.

Compliance & Enforcement

While an exclusive compliance and enforcement mechanism is not described in the Mission, it is expected that the existing framework¹⁴ for relevant ongoing schemes would be suitably adopted in this context. In principle, adherence to the NMSH guidelines would be key to securing funding for projects under the Mission. However, this aspect can be better observed once the Mission implementation gains significant momentum.

¹³ These are the Inter-Ministerial Group, Mission Implementation and Monitoring Group, Mission Directorate and Coordination Committees at the State, District and City levels.

¹⁴ For example, (i) the Energy Conservation Building Code (ECBC), already made mandatory in the CPWD's general specifications for Electrical Works in 2013; (ii) through integration of the ECBC into the Building Bylaws of the States; and (iii) the ongoing scheme of the Ministry of New and Renewable Energy (MNRE) to promote solar water heating – address energy efficiency in commercial and residential sectors.

Key Observations

1. **Mainstreaming starts with mandate:** Ongoing schemes with a modified mandate to include climate change concerns are better placed to support and subsume Mission activities, such that the latter can be measured and evaluated. However the JnNURM was not envisaged to include this in the context of the NMSH. This was indicated as an important aspect of policy mainstreaming that could have been considered prior to implementation.
2. **Critical role of State governments:** The Mission is significantly reliant upon State legislative amendments that are key prerequisites for achieving substantial progress in its objectives. It is also within the purview of the States to address capacity building and to house a well-equipped Programme Management Unit (PMU). While the MoUD is the nodal agency for drafting the Mission and has an advisory role, as mentioned above, the NMSH objectives can be realised only with active cooperation of the States. However, the percolation of guidelines is expected to vary depending on the States' context in giving greater thrust to select aspects of urban planning and development.
3. **Coordination is key to address multi-sectoral linkages inherent in urban planning:** It is to be noted that there are guidelines that already govern sectors such as transport, land use, water supply & sanitation, waste treatment and management etc. The NMSH also has provided Sustainable Habitat Standards and additionally emphasized on the URDPFI Guidelines. This necessitates greater coordination and policy synchronisation between various government departments and agencies overseeing ongoing schemes and sector-specific policies, to adopt an integrated approach towards the implementation of the NMSH.
4. **Human resource capacity to absorb Mission mandate:** Being a critical function, planning roles also have to be endowed with sufficient human resources – States like Maharashtra, Gujarat, Tamil Nadu, Karnataka and Rajasthan have been relatively progressive on this front; hence they have exhibited the capacity to benefit from schemes under the JnNURM by being better placed to absorb the funding and implement projects. In the urban landscape, there are still a considerable number of non-statutory towns and cities that are yet to house governance structures (like ULBs, town planning authorities etc.). Hence the State governments would have to establish the required staff structure that can act as a fillip to the urban planning process.
5. **Capacity of ULBs:**
 - a. **Technical:** ULBs lack the capacity to handle the multi-dimensional integrated nature of the Mission – hence the requirement of a clearer roadmap to engage other government agencies with the ULBs to address this. They also need to be equipped with greater financial resources, expected to come through with their floating better designed plans: this however points back to the need for building technical capacity.
 - b. **Financial:** Historical fiscal performance of ULBs impacts their engagement; however, some ULBs are more active than others in determining the extent to which planned activities get implemented. Hence in matters of integrating financial resources with capacity building, the stance of the State government is significant. With greater State involvement, ULBs can play an instrumental role in an active dialogue on what is best suited to their requirements despite a moderate fiscal performance.

Recommendations

1. **Programming NMSH activities on a 'Mission Mode':** This should be done with a mandate to plan exclusive NMSH funding only for those aspects/activities not otherwise catered to by existing schemes. Moreover, a dedicated team, focusing on futuristic issues, is required and an active engagement with technical institutions is desirable.
2. **NMSH as a platform of policy convergence:** The Mission should be viewed as an opportunity to converge the multiple policy interfaces and overlapping guidelines; rather than adding a fresh layer of norms. Follow-up exercises to integrate guidelines from all six sectors and discuss linkages are also strongly desirable to address the need for greater inter-sectoral cohesion and integrated approach to planning.
3. **Mapping of overlaps/scope for mainstreaming with ongoing schemes:** It would be desirable to design a more explicit and robust method of mapping ongoing initiatives that are NMSH-relevant and thereby increase visibility to Mission progress and facilitate effective monitoring. This has to be undertaken on a priority basis as it would also facilitate the financing of relevant activities. While it has been partially done in the case of the JnNURM which is being phased out, it would be useful to identify overlapping goals/attainments going forward for new schemes being announced, like the AMRUT, SCI and HRIDAY.
4. **Need for greater policy support from the State Government:** States need to revisit urban planning legislations in order to incorporate relevant norms on sustainable habitat in CDPs – these actions need to be updated and fed back to the nodal Ministry level. On the other hand, by providing an enabling administrative environment to absorb NMSH objectives, States could address critical technical, financial and human resource capacity of ULBs.
5. **Need to inventorise decentralised efforts:** Several city-level initiatives towards building urban resilience to climate change are being undertaken (though not initiated through the Mission), and are quite dispersed and small in scale to gain national visibility. These could be inventorised and their progress collated in order to examine their scope of being integrated with the NMSH and to provide future points of reference to enhance the Mission.

Conclusion

The NMSH is highly advisory in nature, by providing guidelines to key actors in the urban planning space for mainstreaming ongoing activities. Specifically, the Centre plays an indirect role in enforcement by making adherence to NMSH guidelines mandatory for Detailed Project Reports (DPRs). These guidelines, though, are still in the form of technical documents – they need to percolate to the decentralised level to address the modalities of implementation and funding. This has to be accompanied by suitable modification of activities already being overseen as part of routine departmental responsibilities for integrating climate change considerations.

A key aspect of the NMSH is the need to shift from sector-level policies (transport, water supply, solid waste, etc.), towards city-level and local area planning – wherein the scale moves from city, zone, to the ward level. This calls for greater involvement of technical institutions towards building local capacity and awareness through training modules and in sensitising urban planners within the ULBs and State governments. The Mission itself acknowledges instances of city-level initiatives in building urban resilience to climate change that are assisted by various independent, non-government technical partners. It would be valuable to undertake a systematic documentation of such efforts, which are currently dispersed and, in most cases, undertaken independent of the Mission.

It has been observed by key stakeholders that placing the NMSH on a 'Mission Mode' would be highly desirable to achieve greater progress by providing additional thrust to its implementation and clarify financing aspects. This would encourage greater synchronisation of policy, planning and implementation at all levels of governance as well as across key sectors. This would also facilitate ease in tracking project status and overall Mission progress, not to mention the much needed impetus for initiating pilots and demonstration projects.

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