



Initial Poverty and Social Analysis

Project Number: 56286-001
March 2023

India: Swachh Bharat Mission 2.0 - Comprehensive Municipal Waste Management Program in Indian Cities

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Asian Development Bank

CURRENCY EQUIVALENTS

(as of 26 January 2023)

Currency unit	–	Indian Rupees (₹/Rs)
₹1.00	=	\$0.0122
\$1.00	=	₹81.4785

ABBREVIATIONS

ADB	–	Asian Development Bank
GESI	–	gender equality and social inclusion
IEC	–	information, education, and communication
MOHUA	–	Ministry of Housing and Urban Affairs
MSW	–	municipal solid waste
ODF	–	open defecation free
RBL	–	results-based lending
SBM	–	Swachh Bharat Mission
SBM-U	–	Swachh Bharat (Clean India) Mission – Urban
SWM	–	solid waste management
ULB	–	urban local body

NOTES

- (i) The fiscal year (FY) of the Government of India, and its agencies ends on 31 March. “FY” before a calendar year denotes the year in which the fiscal year ends, e.g., FY2023 ends on 31 March 2023.
- (ii) In this report, “\$” refers to United States dollars.

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INITIAL POVERTY AND SOCIAL ANALYSIS

Country:	India	Program Title:	Swachh Bharat Mission 2.0 - Comprehensive Municipal Waste Management Program in Indian Cities
Lending/Financing Modality:	Results-based lending	Department/ Division	South Asia Department / Urban Development and Water Division
I. POVERTY IMPACT AND SOCIAL DIMENSIONS			
A. Links to the National Poverty Reduction Strategy and Country Partnership Strategy			
<p>The proposed program, led by the Ministry of Housing and Urban Affairs (MOHUA) is in line with India’s socioeconomic development strategy, proposed by the National Institution for Transforming India (NITI) Aayog.^a The strategy includes three key milestones: (i) development has become a mass movement in which each citizen recognizes his/her role and experiences tangible benefits accruing in the form of better ease of living; (ii) broad-based economic growth to ensure balanced development across all regions and states and across sectors; and (iii) the gap between public and private sector performance bridged. The proposed program is part of India’s Swachh Bharat Mission (SBM) 2.0 which aims to achieve “Garbage Free” status for all cities. This will involve (i) all waste from households and premises segregated into wet and dry waste; (ii) 100% door to door collection of segregated waste from each household/ premise; (iii) 100% scientific management of all fractions of waste, including safe disposal in scientific landfills; (iv) all legacy dumpsites remediated and converted into green zones; (v) all used water including fecal sludge, especially in smaller cities being safely contained, transported, processed and disposed so that no untreated fecal sludge and used water pollutes the ground or water bodies. The proposed program is also aligned with the Atal Mission for Rejuvenation and Urban Transformation (AMRUT) 2.0 and Housing for All (PMAY)—for achieving dynamic economic growth and contributing to a livable environment. The program is also aligned with the Asian Development Bank (ADB) country partnership strategy for India, 2018–2022, specifically pillars 2 (inclusive access to infrastructure networks and social services) and 3 (addressing environmental degradation).</p>			
B. Poverty Targeting			
<input checked="" type="checkbox"/> General Intervention <input type="checkbox"/> Individual or Household (TI-H) <input type="checkbox"/> Geographic (TI-G) <input type="checkbox"/> Non-Income MDGs (TI-M1, M2, etc.)			
<p>The program will address key poverty dimensions. Interventions under SBM 2.0 will contribute to better public health environmental and living conditions of the cities, households, and beneficiaries in urban areas.</p>			
C. Poverty and Social Analysis			
<p>1. Key issues and potential beneficiaries. India is among the world’s fastest growing economies. As per the 2020 global Multidimensional Poverty Index (MPI), India halved its MPI value from fiscal year (FY) 2006 to FY 2016 and lifted the largest number of poor people (273 million) out of multidimensional poverty in the world – a record for this period.^b While India has achieved most of the millennium development goals, its Human Development Index score of 0.62 in 2015 was lower than the median (0.67) for developing countries. A growing gap between higher- and lower-income states remains a chronic and major concern.^c The maternal mortality ratio has declined from 130 in 2014–2016 to 113 per 100,000 live births in 2016–2018 which remains higher than the sustainable development goal (3.1) target of 70 per 100,000 live births.^d Infant mortality rate (IMR) decreased in the last decade from 50 (2009) to 32 (2018), and for urban areas IMR declined from 34 (2009) to 23 (2018).^e Life expectancy at birth has increased from 67 (2010) to 70 (2020).^f The mass exodus of migrant workers from cities during the coronavirus disease pandemic amplified housing needs. Despite significant qualitative and quantitative progress in reducing poverty and narrowing the gaps in basic facility access for citizens, several concerns remain. During the pandemic in 2020, estimates suggest 56 million people in India slipped into poverty.^h Potential beneficiaries include the urban poor communities, migrant workers, and other vulnerable groups.</p> <p>2. Impact channels and expected systemic changes. Equity and Inclusion are among the guiding principles for SBM-U 2.0, including (i) the inclusion in the center of the Mission of all categories of citizens (e.g. women and homemakers, students and youth, senior citizens and retired personnel, etc.); (ii) self-help groups (SHGs), especially women SHGs, to be used for ground level/community level facilitations and interpersonal communication initiatives under SBM-U 2.0; (iii) women leadership to be promoted in various phases of sanitation and waste management, from planning to operations and maintenance (O&M); (iv) a special focus of urban local bodies (ULB) on sanitation and waste management needs of the urban poor (especially slum dwellers) and other vulnerable groups (senior citizens, girls, pregnant and lactating mothers, third gender groups, migrants, homeless, construction workers, etc.); (v) all infrastructure created under the Mission to have gender friendly and disability-friendly features, for ease of access for all; (vi) all infrastructure/ assets created under the Mission to be disaster-resilient; (vii) recyclers and scrap dealers (both formal and informal sectors, and including ragpickers and wastepickers) to be integrated into the SWM recycling value chain; (viii) continued focus on behavior change, with</p>			

focus on functional outcomes (e.g., source segregation of household waste); (ix) the safety and well-being of sanitation workers ensured, including training of waste workers and contractors in safe practices. A cleaner living environment will lead to healthier outcomes among citizens, which in turn leads to greater productivity. ADB will support MOHUA to integrate gender equality and social inclusion (GESI) elements in the program design.

3. **Focus of (and resources allocated in) the transaction TA or due diligence.** The project design requires a thorough assessment of poverty and social issues to strengthen project design. Due diligence will be carried out to understand the contextual complexities in multiple states and ULBs, and identify appropriate measures to address potential program constraints. Monitoring indicators will be put in place to track the use of the technical assistance (TA).

II. GENDER AND DEVELOPMENT

1. What are the key gender issues in the sector and/or subsector that are likely to be relevant to this program? Participation by women and children is high in the informal sector (in some Indian cities women account for approximately 73% of all waste pickers)^l and requires focused attention to address specific challenges. Women's participation in processing and in recycling factories is also often unregulated, posing health and safety issues.^l Greater involvement of women and other vulnerable groups in planning, design, operation and maintenance, training, and monitoring and evaluation is crucial to institutional strengthening as well as overall empowerment of such groups. SBM 2.0 will improve the living conditions for women and reduce women's drudgery and time poverty.

2. Does the proposed program have the potential to contribute to the promotion of gender equity and/or empowerment of women by providing women access to and use of opportunities, services, resources, assets, and participation in decision-making?

Yes No

The program will include gender equality and social inclusion (GESI) actions in the program design detailing its responses to identified gender-related issues.

3. Could the proposed program have an adverse impact on women and/or girls or widen gender inequality?

Yes No

4. Indicate the intended gender mainstreaming category: EGM (effective gender mainstreaming)

III. PARTICIPATION AND EMPOWERING THE POOR

1. Who are the main stakeholders of the program, including beneficiaries and affected people? Explain how they will each participate in the program's design. Apart from central, state and ULB government agencies, other project stakeholders are urban citizens women, the urban poor such as slum dwellers, migrant workers, people with disabilities and other vulnerable groups. All these stakeholders will be consulted on project design, monitoring and their contributions used.

2. Who are the key, active, and relevant CSOs in the program area? There are several CSOs with regional and/or pan-India presence in the urban sector.

3. Are there issues during the program design for which participation of the poor and vulnerable is important?

Yes No If yes, what are these issues? Waste collection in the informal economy, waste picking, and affordability of services. Participatory approaches will be employed, particularly in discussions on affordability and sustainability

4. How will the program ensure the participation of beneficiaries and affected people, particularly the poor and vulnerable and/or CSOs, during the program design to address these issues? Stakeholder analysis will be conducted, and targeted consultation and feedback mechanisms will be considered, including consultations with civil society, and these will be incorporated during program preparation.

5. What level of CSO participation is planned during the program design?

Information generation and sharing (M) Consultation (M) Collaboration (L) Partnership (N/A)

IV. SOCIAL SAFEGUARDS

A. Involuntary Resettlement Category: A B C FI

1. Does the program have the potential to involve involuntary land acquisition resulting in physical and economic displacement? Yes No

The results-based lending (RBL) will exclude activities anticipated to involve significant involuntary resettlement impacts (category A). Assessed impacts are likely to be limited. Land acquisition will be unlikely as components under Output 1 will be mostly upgrading of sanitation and solid waste management infrastructure within the government lands; however, temporary livelihood impacts on ragpickers and wasteworkers are expected during the implementation of civil works. This will further be verified during due diligence. The program will apply mitigation measures for any negative impact and promote measures for positive impacts and benefits to such workers.

2. What actions are required to address involuntary resettlement as part of the transaction TA or assessment process?

<input checked="" type="checkbox"/> Program safeguard system assessment and actions
<p>B. Indigenous Peoples Category: <input type="checkbox"/> A <input checked="" type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> FI</p> <p>1. Does the proposed program have the potential to directly or indirectly affect the dignity, human rights, livelihood systems, or culture of indigenous peoples? Yes No The RBL will exclude any activities that are likely to have negative impacts to indigenous people (IP) groups. IP groups will benefit from improved infrastructure services. Due diligence will provide detailed assessment for indigenous peoples.</p> <p>2. Does it affect the territories or natural and cultural resources indigenous peoples own, use, occupy, or claim, as their ancestral domain? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>3. Will the program require broad community support of affected indigenous communities? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>4. What actions are required to address risks to indigenous peoples as part of the transaction TA or the program assessment process? <input checked="" type="checkbox"/> Program safeguard system assessment and actions</p>
V. OTHER SOCIAL ISSUES AND RISKS
<p>1. What other social issues and risks should be considered in the program design? Creating decent jobs and employment (L) Adhering to core labor standards (L) Labor retrenchment Spread of communicable diseases, including HIV/AIDS Increase in human trafficking Affordability (L) Increase in unplanned migration Increase in vulnerability to natural disasters Creating political instability Creating internal social conflicts Others, please specify _____</p> <p>2. How are these additional social issues and risks going to be addressed in the program design? Contracts and safeguards documents will specify the requirements related to core labor standards. Contractors and construction workers will be made aware of communicable diseases, including HIV/AIDS and COVID-19 risks.</p>
VI. TRANSACTION TA OR ASSESSMENT RESOURCE REQUIREMENT
<p>1. Do the terms of reference for the transaction TA (or program assessments) contain key information needed to be gathered during the transaction TA or the program assessment process to better analyze (i) poverty and social impact, (ii) gender impact, (iii) participation dimensions, (iv) social safeguards, and (v) other social risks? Are the relevant specialists identified? Yes No ADB will engage a GESI expert for supporting due diligence. Disaggregated data (sex, and relevant social dimensions on disadvantage) will be collected.</p> <p>2. What resources (e.g., consultants, survey budget, and budget for workshop(s)) are allocated for conducting poverty, social, and/or gender analyses; and the participation plan during the transaction TA or the program assessments? For the due diligence phase, resources for GESI will be sufficiently allocated under TA-9849 IND.</p>

ADB = Asian Development Bank, CSO = civil society organization, DLI = disbursement-linked indicator, RBL = results-based lending, TA = technical assistance.

Source: Asian Development Bank.

^a Government of India, NITI Aayog. 2018. *Strategy for New India@75*. New Delhi: NITI Aayog. New Delhi.

^b Oxford Poverty and Human Development Initiative and UNDP. 2020. *Global Multidimensional Poverty Index 2020*.

^c The per capita income in five higher-income states (Gujarat, Haryana, Karnataka, Maharashtra, and Tamil Nadu) grew by 6.0% during fiscal years 2012–2016. In five large low-income states where 54% of the country's poor are concentrated (Bihar, Jharkhand, Madhya Pradesh, Odisha, and Uttar Pradesh), it grew by 5.0% during the same period. Source: ADB. 2017. *Country Partnership Strategy: India, 2018–2022—Accelerating Inclusive Economic Transformation*. Manila.

^d Government of India, Office of the Registrar General. 2020. *Special Bulletin on Maternal Mortality in India 2016-18*. Delhi.

^e Government of India, Office of the Registrar General. 2020. *SRS Bulletin Volume 53 No. 1*. New Delhi.

^f World Bank. [Life Expectancy at Birth, Total \(Years\) – India](#). (Accessed 10 May 2021).

^g Government of India, Office of the Registrar General. 2013. *Primary Census Abstract for Slum* (Accessed 10 May 2021).

^h World Bank. 2022. [Progress on Poverty and Shared Prosperity](#).

ⁱ Wastepickers Organization. [A Program of the Unforgotten: Personal Stories](#).

^j World Bank. 2022. [Transitioning to a Circular Economy - An Evaluation of the World Bank Group's Support for Municipal Solid Waste Management \(2010–20\)](#).