

INITIAL POVERTY AND SOCIAL ANALYSIS

Country:	India	Project Title:	Mumbai Metro Rail Investment Project
Lending/Financing Modality:	Multitranche Financing Facility	Department/ Division:	South Asia Department/ Transport & Communications Division

I. POVERTY IMPACT AND SOCIAL DIMENSIONS

A. Links to the National Poverty Reduction Strategy and Country Partnership Strategy

India's incidence of poverty has registered a decline from 37.2% in 2004-2005 to 29.5% in 2011-2012.¹ For the state of Maharashtra, the poverty level is at about 17% in the aggregate.² The government's continued commitment to poverty reduction is reflected in the goal of inclusive growth that has been a critical component of and continues to be a pivotal feature in the government's planning. The government's response to poverty focuses on (i) enhancing economic opportunities that the poor can access, and (ii) targeting the poor directly by specifically expanding their economic opportunities, developing their capabilities to access economic opportunities, and protecting them from various types of shocks. The plans and policies of the government of India also focus on improved mobility and accessibility.³ The National Urban Transport Policy (2006) of the government of India has an objective of safe, affordable, quick, comfortable, reliable, and sustainable access for city residents to jobs, education, recreation, and such other needs within cities.⁴

Asian Development Bank's (ADB) country partnership with India is anchored on the government of India's plans. The country partnership strategy (CPS) is designed to assist India achieve its goal of 'faster, more inclusive, and sustainable growth'. The inadequacy of India's infrastructure is constraining the country's growth. Strengthening of urban mass transit systems, and increasing environmental sustainability of cities through the development of metro railways, is also recognized in ADB's CPS for India.⁵ This project offers an excellent opportunity for ADB to participate in promoting rail-based urban transport in one of the world's largest metropolises, with a very high level of transport congestion and urban slum dwellers.

B. Poverty Targeting

☒ General Intervention ☐ Individual or Household (TI-H) ☐ Geographic (TI-G) ☐ Non-Income MDGs (TI-M1, M2, etc.)

Mumbai is one of India's largest metropolitan areas. The Mumbai Metropolitan Region (MMR) covers about 4,355 square km in area. As per the census of India for 2011, the total population of MMR is about 18 million. Of the constituent areas of MMR, the Municipal Corporation of Greater Mumbai (MCGM) is the largest, with a population of about 12 million and covering an area of about 440 square km, with a very high population density. The project will create an operational metro rail system of 58 km in Mumbai, on an elevated track, with 53 stations. The project will improve urban connectivity and mobility and provide safe, affordable, quick, comfortable, reliable, and sustainable access for city residents to jobs, education, recreation, and such other needs within cities in an affordable manner. Lower and middle income segments will be particularly benefitted.

C. Poverty and Social Analysis

1. Key issues and potential beneficiaries. As per the 2011 census, over 40% of MCGM's population resides in slums, which is a very high ratio. City-wise poverty levels are difficult to assess from official sources. However, assessments for Mumbai indicate that the urban poverty headcount is about 14%.⁶ The project will benefit all the residents of communities along the metro lines. Those who live further from the metro lines but who can connect to it by bus, motorbike, or bicycle can also benefit. By helping improve the modal connections on the public transport system to make access and transfers easier and more convenient, the project will benefit all people in the area, especially those

¹ Government of India, Planning Commission. 2012. *Poverty Estimates for 2009-2010*. New Delhi; and Government of India, Planning Commission. 2014. *Report of the Expert Group to Review the Methodology for Measurement of Poverty*. New Delhi.

² Government of Maharashtra, Planning Department. 2015. *Economic Survey of Maharashtra (2014-2015)*. Mumbai.

³ Government of India, Planning Commission. 2013. *Twelfth Five-Year Plan (2012-2017). Economic Sectors Volume II*. New Delhi.

⁴ Government of India, Ministry of Urban Development. 2006. *National Urban Transport Policy*. New Delhi.

⁵ ADB. Forthcoming. *Country Partnership Strategy: India, 2018-2022*. Manila.

⁶ L. Bhandari and M. Chakraborty. 2015. Spatial Poverty in Maharashtra. *Live Mint*. 5 January. <http://www.livemint.com/Opinion/tB0zd9TflxyPnwmKG65w0L/Spatial-poverty-in-Maharashtra.html>

whose mobility is restricted. The beneficial impact is expected to be felt most by workers commuting from suburban areas, women, elderly people, and students—all of which are likely to shift from their current transport mode.

2. Impact channels and expected systemic changes. Metro stations and trains will provide safe and accessible public transport to different groups of people, with easy access provided for women traveling with children, the elderly, and those with physical disabilities. Provisions to ensure passenger security and safety will be incorporated.

3. Focus of (and resources allocated in) the PPTA or due diligence. No separate PPTA is required. Adequate TA resources have been allocated to engage a social development specialist to undertake social safeguard planning, gender analysis, and poverty and social assessment.

II. GENDER AND DEVELOPMENT

1. What are the key gender issues in the sector/subsector that are likely to be relevant to this project or program?

At the project preparatory stage, sex-disaggregated data on the range of socioeconomic indicators relevant to the project are being collected, with focus on the needs, demands, and constraints faced by the poor, women and vulnerable groups, in terms of their equitable access to the benefits and opportunities associated with the metro. Potential practical and implementable gender-specific initiatives will be explored during due diligence. Line 1 of Metro is already operational and is women-friendly. New lines will incorporate lessons learned from the existing line and gender-specific designs will be refined and improved. Monitoring mechanisms will be developed.

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

☒ Yes ☐ No Gender Action Plan will be prepared during project preparation.

The social and gender analysis will look at women's transport needs, women's employment possibilities in construction, safety concerns, and capacity of the executing agency in integrating gender-friendly features in metro infrastructure and services to see the feasibility in integrating gender-friendly features in the project design. The project will include women, elderly, disabled and child-friendly design features, making it a transportation means of choice for women and in the process enabling their economic empowerment.

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

☒ Yes ☐ No The project may increase potential for the sexual harassment of women on the metro line. Measures to mitigate these impacts will be integrated into the project design based on the findings of the social and gender analysis.

4. Indicate the intended gender mainstreaming category:

☐ GEN (gender equity) ☒ EGM (effective gender mainstreaming)
☐ SGE (some gender elements) ☐ NGE (no gender elements)

III. PARTICIPATION AND EMPOWERMENT

1. Who are the main stakeholders of the project, including beneficiaries and negatively affected people? Identify how they will participate in the project design.

The key stakeholders of the project are urban commuters, the various government agencies involved, and affected persons.

2. How can the project contribute (in a systemic way) to engaging and empowering stakeholders and beneficiaries, particularly, the poor, vulnerable and excluded groups? What issues in the project design require participation of the poor and excluded?

During project preparation and more specifically the preparation of the poverty and social analysis, key stakeholders will be consulted to ensure their concerns are considered in the design. In-depth discussions with particular groups, such as women, the poor and affected persons will be an integral part of the consultation process. Issues such as metro station design features, transport services and safety perception (including harassment) will be discussed during this process.

3. What are the key, active, and relevant civil society organizations in the project area? What is the level of civil society organization participation in the project design?

H Information generation and sharing **H** Consultation **M** Collaboration **L** Partnership

4. Are there issues during project design for which participation of the poor and excluded is important? What are they and how shall they be addressed? ☒ Yes ☐ No

Poor and excluded affected persons impacted will be consulted to ensure that they can benefit from the project.

IV. SOCIAL SAFEGUARDS
A. Involuntary Resettlement Category <input type="checkbox"/> A <input checked="" type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> FI
<p>1. Does the project have the potential to involve involuntary land acquisition resulting in physical and economic displacement? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>ADB's financing will only be for track, signaling, systems, and rolling stock. The civil works financed by the government prior to the commencement of this project will involve land acquisition. During project preparation, due diligence will be undertaken to ensure land acquisition done in anticipation of ADB financing complies with ADB's Safeguards Policy Statement (2009).</p> <p>2. What action plan is required to address involuntary resettlement as part of the PPTA or due diligence process?</p> <p><input checked="" type="checkbox"/> Resettlement plan <input checked="" type="checkbox"/> Resettlement framework <input type="checkbox"/> Social impact matrix</p> <p><input type="checkbox"/> Environmental and social management system arrangement <input type="checkbox"/> None</p> <p><input checked="" type="checkbox"/> Other – Social safeguard due diligence report.</p>
B. Indigenous Peoples Category <input type="checkbox"/> A <input type="checkbox"/> B <input checked="" type="checkbox"/> C <input type="checkbox"/> FI
<p>1. Does the proposed project have the potential to directly or indirectly affect the dignity, human rights, livelihood systems, or culture of indigenous peoples? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</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>The project area of influence is a highly urbanized environment with no natural or cultural resources for indigenous peoples.</p> <p>3. Will the project require broad community support of affected indigenous communities? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>4. What action plan is required to address risks to indigenous peoples as part of the PPTA or due diligence process?</p> <p><input type="checkbox"/> Indigenous peoples plan <input checked="" type="checkbox"/> Indigenous peoples planning framework <input type="checkbox"/> Social Impact matrix</p> <p><input type="checkbox"/> Environmental and social management system arrangement <input type="checkbox"/> None</p>
V. OTHER SOCIAL ISSUES AND RISKS
<p>1. What other social issues and risks should be considered in the project design?</p> <p><input type="checkbox"/> Creating decent jobs and employment <input type="checkbox"/> Adhering to core labor standards <input type="checkbox"/> Labor retrenchment</p> <p><input type="checkbox"/> Spread of communicable diseases, including HIV/AIDS <input type="checkbox"/> Increase in human trafficking <input type="checkbox"/> Affordability</p> <p><input type="checkbox"/> Increase in unplanned migration <input type="checkbox"/> Increase in vulnerability to natural disasters <input type="checkbox"/> Creating political instability</p> <p><input type="checkbox"/> Creating internal social conflicts <input type="checkbox"/> Others, please specify _____</p> <p>2. How are these additional social issues and risks going to be addressed in the project design?</p> <p>The poverty and social analysis will assess the project risks associated with the spread of HIV/AIDS and STI, human trafficking and personal safety, identify local programs focused on these sectors and propose mitigation measures. During implementation, the project will adhere to core labor standards through provisions in the construction contracts.</p>
VI. PPTA OR DUE DILIGENCE RESOURCE REQUIREMENT
<p>1. Do the terms of reference for the PPTA (or other due diligence) contain key information needed to be gathered during PPTA or due diligence 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?</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>2. What resources (e.g., consultants, survey budget, and workshop) are allocated for conducting poverty, social and/or gender analysis and participation plan during the PPTA or due diligence?</p> <p>Adequate TA resources have been allocated to engage a social development specialist to undertake social safeguard planning, gender analysis, and poverty and social assessment.</p>

