

PREVENTING URBAN VILLAGES FROM TRANSITIONING INTO SLUMS

Project Progress Report 3/3

Urban Village Development Plan Framework Report

December 2020



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1. Introduction

This document serves as the **Urban Village Development Plan Framework Report** of the project 'Preventing Urban Villages from Transitioning into Slums', which is led by WRI India with the support of the Ford Foundation. The project is contextualized against the current state of the discourse on urban villages in India in the face of rapid urban transformation and resultant pressures. The project maintains a focus on urban villages in the National Capital Territory that continue to undergo change as Delhi's metropolitan region continues to expand. Village settlements that were once vibrant and self-sustaining often face a bleak and uncertain future when they transition into urban peripheries, following the loss of traditional occupations and farmlands. For villages within inner city regions, rapid change often means further densification and unregulated development. WRI India's research seeks to better understand and thereby impact this transition in ways that ensure more equitable and sustainable outcomes.

2. Acknowledgments

WRI India is grateful to the Ford Foundation for its generous grant and continued support to make this project a reality. The project commenced on 1 December 2018 and will conclude by 31 December 2020.

3. Project Team

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4. Contextual Background

A. IDENTIFYING GAPS AND CHALLENGES FOR URBAN VILLAGES IN NCT DELHI

With successive waves of urban expansion and land use conversion in and around Delhi, many rural villages which had earlier been marked out as *lal dora* areas under the British revenue administration were engulfed and eventually transformed. Erstwhile rural settlements within NCT who lost their agricultural base and acquired an urban characteristic were consequently notified under Delhi Municipal Corporation Act 1957 as urban villages. While there were only 20 urban villages in 1961, by 2011 their number has risen to 135.

Dilemmas around the planning of urban villages continue to escalate as the national capital expands, increasing the urgency for better managed growth. The growing metropolitan agglomeration of Delhi is set to overtake Tokyo by 2030 as the largest city in the world by population (UN 2018). Decades of demographic and spatial transitions in and around the capital city of New Delhi have resulted in unchecked growth and densification within urban villages. Villages located in inner city region which were once agricultural continue to densify, while those on city peripheries are urbanizing rapidly as new peri urban areas emerge. These sites have seen a dramatic alteration across their built environment, livelihoods, socio-cultural composition, land use and related service infrastructure needs. Lack of clear land

titles and haphazard building activity, often in contravention to land use and zoning regulations, have added further complexity to this scenario.

Despite the scale and pace of change in these sites, planning responses have been unable to keep pace with them. Existing planning instruments and approaches emphasize regional and city level planning which often remains disjunct from the grounded realities and pace of urban transition within urban villages. Further, communities remain end-receivers of planning initiatives with little or no involvement across decision making processes often leading to poor outcomes and creating unintended consequences. Therefore, contextually relevant and participatory planning approaches to address existing challenges and building sustainable development trajectories for urban villages remain an urgent yet unfulfilled need.

Under the Ford Foundation grant, WRI India initiated a research study to capture on-going transformations for urban villages in NCT and analyzed ways of improving integrated planning for urban villages communities and settlements. As part of this project, WRI India undertook 'Existing Situation Analysis and Issue Identification' to capture key issues and challenges faced by urban villages in NCT. This was followed by documentation of international and national case studies for 'Benchmarking Best Practices.' Building on this analysis, WRI India worked in collaboration with the Government of National Capital Territory of Delhi to undertake an on-ground study comprising of needs assessment and prioritization in two urban villages in NCT- Rajokri (South West district) and Ghoga (North west district). The on-ground study included community needs assessment and prioritisation through Focus Group Discussions, field surveys and design charrette workshops involving multiple stakeholders including elected representatives (MLA, village panchayat members), local officials, *anganwadi* workers and resident communities. The on-ground study and community engagement provided a means to initiate a collaborative and participatory process with stakeholders that could build towards improving development planning interventions in the future.



Image. 1 WRI India's study on urban villages in NCT

Research learnings and field observations gathered over the course of this project have been used to develop an Urban Village Development Plan (UVDP) Framework to address the existing gaps in building localised planning interventions for urban village settlements and communities. The UVDP Framework provides a guidance outline that can be used as resource by government bodies, municipal authorities, research agencies or communities to develop and/or inform local planning instruments for urban villages in NCT. Additionally, an online panel discussion was convened to present and gather recommendations from domain experts for finetuning the UVDP framework and discuss a way forward for improving planning and provisioning for urban villages in NCT Delhi.

The next few sections provide a contextual background on the existing planning approaches to address urban villages and how these have diverged significantly in international and national contexts. They also highlight the limitations of current responses in adequately addressing challenges faced by urban villages in NCT and the relevance of building an Urban Village Development Plan Framework.

B. EXISTING PLANNING AND POLICY APPROACHES ADDRESSING URBAN VILLAGES IN NCT DELHI

Urban villages as a planning concept have been regarded as a self-contained, sustainable living model in developed contexts such as the United Kingdom and United States of America where such settlements were visualised as an ideal format to support compact, mixed use and walkable neighbourhoods. Contrary to this, in developing countries in Asia, urban villages have often emerged as a result of rapid socio-economic and spatial transformations within cities due to urban growth. The unique and site-specific development trajectories witnessed by urban villages have also given rise a diverse range of state responses.

In case of China, as metropolitan regions and Special Economic Zones (SEZs) densify, the state has looked towards urban villages as locked land parcels which can be redeveloped for effective land utilization in core areas of cities like Beijing and Tianjin (Bertaud 2012). In such cases, redevelopment of cleared land has meant demolishing and replacing existing village settlements with planned residential and commercial high rises. With a focus of optimising land value in both city centres and peri urban areas, instances of regeneration of existing urban villages in China have been relegated to provincial government schemes and standalone projects. Some of these such as 'Three Old Renewal' scheme in Guangdong and 2011 Beautiful China Policy in Jiangsu have shown promise in improving built environments in rural and urban villages due to their context-based implementation.

In contrast, the Vietnamese state has maintained a more tolerant approach towards urbanizing villages and self-built housing due to the crucial role they play as low-cost housing supply within cities like Hanoi and Ho Chi Minh City which are witnessing massive in-migration. As a result of this approach and continuous urban growth, most neighbourhoods in inner city area of Hanoi and HCMC have a mixed built form and high Floor Area Ratio (FAR). Old alleyway-based neighbourhoods continue to provide a rich historical legacy and built-up network upon whose blueprint upcoming urban centres are thriving and expanding (Bertaud 2012). For villages on the city peripheries whose farmlands have been acquired and livelihoods shifted, the state has tried to integrate erstwhile settlements into the service infrastructure network as new planned projects emerge within New Urban Areas (NUAs). Bringing in financial assistance through Public Private Partnership, employing Build-Transfer mechanisms to engage private investment towards development planning and incentivizing incremental upgradation

by residents through the promise of tenure security has enabled Vietnam to include rather than erase existing urban village settlements, while giving rise to heterogenous urban fabric in Vietnamese cities.

In India, urban villages have faced a mixed response across the policy and planning domain, which itself varies significantly based on location. Some master plans delineate village settlement areas as separate or special areas and prescribe specific Development Control Regulations for them such as recent master plans for Bangalore, Ahmedabad and Mumbai which recognised traditional settlements such as *Gaothans/Gamthals/Koliwad*s. Many others do not acknowledge the urban villages as an integral part of the settlement system and cordon them off from development initiatives. In some contexts, these settlements get categorised as slums and grow into dilapidated forms. At other instances, urban villages remain isolated and alienated entities in planning documents often purposively categorised in ways that can be exploited by property dealers, political power brokers and speculators (Agarwal 2015).

The National Capital Territory of Delhi (NCTD) was one of the first cities to include directives to develop dedicated village development plans within Master Plans. The first master plan for the capital in 1961 envisaged comprehensive planning for rural and urban areas and proposed decongestion of city by shifting of non-conforming industries to selected rural areas. The proposal to shift industries to the selected villages did not yield the desired results, but partly helped members from these rural settlements to move into non-farming occupations. Over the next few decades, largescale acquisition and conversion of agricultural lands and presence of municipal exemptions from seeking building sanctions in settlement areas led to emergence of urban villages as sites of rampant and unchecked building construction. Thus, urban villages grew as dense and underserved pockets within the city, often becoming a crucial resource for those looking for low-cost or seasonal rental housing.

Second Master Plan (MPD-2001) enforced in 1990 again laid emphasis on integrated development of rural areas. However zonal plans, area development plans and redevelopment plans prepared by development authorities did not indicate specialised regulations for *abadi* areas (Lal Dora and extended Lal Dora) and attempts to integrate urban village settlements with the surrounding areas remained piecemeal. A dedicated effort towards planning for villages was attempted in the form Mini Master Plan for the Planned and Integrated Development of Rural areas of Delhi in 1985. While it proposed construction of physical, social and ecological infrastructure to address their needs (DKVIB n.d.), the Mini Master Plan's implementation and resultant impact also remained patchy and inadequate at best.

Through MPD 2021 released in 2001, Delhi's master plan laid out differential norms for Special Areas, Regularized Unauthorized Colonies, Urban Villages and Resettlement Colonies. Recognising their mixed land use and dense built form, MPD-2021 called for a differentiated approach to tackle their unique built form while it mandated local development authorities to come up with comprehensive development schemes for urban villages. The Development Control Regulations (DCRs) within MPD 2021 have specified a reduced right of way (9meters) for the group residential housing and mixed-use streets in settlement areas for urban villages. However, existing guidelines have been unable to capture the grounded realities and pace of transition with urban villages in the capital which have an organic street network with little or no setbacks, small plot sizes due to sub-divisioning and poor structural stability. Within MPD 2021, development of local area plans has been left to the will and beneficence of local development authorities which themselves remain resource deficient.

On the policy front, Tejendra Khanna Committee was constituted in 2006 by the Ministry of Urban Development to look at unregulated construction in Delhi. It proposed drawing up Local Area Plans or

village specific plans that are drawn up in consultation with the communities. Due to lack of institutional accountability and absence of legal force behind the recommendations, most of them remained dormant. It subsequently led to the setting up of Expert Committee on Lal Dora and Extended Lal Dora in 2006 which also recommended introducing greater transparency in maintenance of village land records apart from insisting on seeking people's participation in setting development agendas for villages. Much like its predecessor, the recommendations of this expert committee have also remained on paper.

Dedicated financial schemes such as Saansad Adharsh Gram Yojana for parliamentarians to adopt villages for their planned development and channelized funds in the form of Member of Local Assembly/Member of Parliament Local Area Development schemes (MLALADs OR MPLADs) have produced ad-hoc improvements rather than comprehensive upgradation or redevelopment through decentralised development planning. Despite the slow uptake on these fronts, the national capital has made progress towards building an organizational machinery to respond to the needs of rural and urban villages.

Delhi Rural Development Board (DRDB) was formed in 2004 under Department of Rural Development for securing planned growth of rural areas of Delhi and formulation of unified and coordinate area plans; prioritizing projects and schemes of the Rural Area Plan and its implementation. DRDB was succeeded by the Delhi Village Development Board (DVDB) in 2017 under Integrated Development of Rural and Urban Villages (IDRUV) under GNCTD to perform civic maintenance and service common spaces in both urban and rural villages. Currently rural development projects approved by the DVDB are mandated to be carried out by the executive agencies such as Irrigation and Flood Control Department, Municipal Corporations, Delhi Jal Board, e.tc. The DVDB works upon sanctioned projects that include civic upkeep and address community needs which are articulated through a system of village development and coordination committees that table these demands to local representatives (MLAs) who present it to the DVDB board. However, DVDB maintains a restricted implementation focus for maintenance of common resources on state-owned land. Like DVDB, the District Urban Development Authority (DUDA) is also a state level body mandated to plan, execute and/or oversee implementation towards upgradation of public infrastructure in urban villages on a project basis under each revenue district through MLALAD scheme funds. While having overlapping mandates and focus, these institutions have been unable to build synergy within implementation and financial mechanisms.

Key gaps emerging on the planning and policy landscape with regards to urban villages have been the lack of contextually relevant planning and associated implementation mechanism that can be statutorily enforced in order to improve accountability. Additionally, fractured yet overlapping jurisdictions and lack of clarity and synergy in institutional mandates and focus areas have been unable to provide a roadmap for integrated development of urban villages.

C. RELEVANCE OF BUILDING AN URBAN VILLAGE DEVELOPMENT PLAN FRAMEWORK

While their chaotic urban form has been acknowledged, understanding how to provision for urban villages in NCT has remained limited in scope. Responses towards urban villages settlements and communities have proved insufficient in managing existing and mitigating against future challenges. While planning instruments such as Master Plans and Develop Control Regulations listed within them provide a broad guideline for regulating growth in urban villages, alone these remain both inadequate and ineffective. It is imperative to engage with urban villages as a category not just through top-down and singular planning instruments but consider contextually relevant and community driven approaches

that recognise and harness existing ecosystems within these areas. Contextually relevant planning for urban villages that is community led yet government backed can provide a way forward for integrated development.

Building Urban Village Development Plans (UVDPs) to guide the development planning process in urban villages can serve the existing gaps in addressing these settlements and communities whose needs and issues remain sensitive to their location, demographic and social composition, settlement form and aspirations. The Urban Village Development Plan (UVDP) Framework provides a guidance template for designing and structuring local planning interventions in a comprehensive manner.

The UVDP Framework outlined in the following sections has been designed keeping in mind the learnings gathered from WRI'S research study, feedback gathered through community engagement conducted in two urban villages in NCT as well as recommendations gathered through an experts panel discussion (see section 7). As a modular framework, it can be applied to a range of situations depending on the nature and extent of urbanisation in the site and can be customised according to the context and needs of the community.

5. Introducing the Urban Village Development Plan Framework (UVDP)

The following sections provide the “background” and detailed outline of the Urban Village Development Plan Framework which can guide the process of development planning for urban villages settlements and communities in NCT Delhi.

A. PURPOSE

Given the unique development trajectory and mixed urban form within urban villages, the Urban Village Development Plan (UVDP) framework will provide an outline to guide local development planning. The UVDP framework attempts to fill existing gaps within planning approaches and instruments towards micro- planning especially for areas such urban villages that continue to undergo rapid transformation in their physical and socio-economic composition as they face pressures due to densification and growing urban sprawl. It provides an iterative process for local area planning for urban villages in a phased manner for effective and timebound implementation.

B. PRINCIPLES

Principles guiding the development and implementation of Urban Village Development Plan take from the existing discourses on good governance that focus on strengthening processes and building benchmarks within development planning. These can also act as a foundation to build metrics for evaluating planning processes and outcomes (UNESCAP n.d.). Key principles for UVDP include:

• Participation

- Active participation by all stakeholders and community members across interest and identity groups needs to be ensured especially representation of vulnerable sections (e.g., women, migrants, aged etc)
- There must be clear communication, information sharing and devolvement of decision-making powers within all stakeholders involved.

- Stakeholders must be involved across each stage of the planning and implementation process to ensure real participation. Process of preparing, implementing and revising the development plan must remain community-led and government-backed.
 - Freedom of expression must be ensured and active communication amongst all stakeholders involved in the process must be encouraged.
 - Institutions or representatives moderating/mediating the participatory processes must represent all sections of the population.
- **Consensus oriented**
 - Interests of all groups and stakeholders should be mediated to achieve consensus on short-term and long-term vision for sustainable and equitable development.
- **Accountability and Transparency**
 - Transparency should be maintained in decision making and implementation by means of clear and continuous communication and information sharing with all stakeholders.
 - Checks and balances must be built in the planning and implementation processes to ensure existing rules and regulations are abided within localised planning.
 - Members of the planning process including relevant government authorities, private sector agencies or experts as well as civil society organisations should remain accountable to all those who are affected by their decisions and respective institutions must strive for transparency within their operations.
- **Responsiveness, Effectiveness and Efficiency**
 - Involved stakeholders and institutions need to set reasonable and achievable timeframes for processes and interventions.
 - Channels for feedback and course corrections need to be built in for keeping the development planning process responsive and flexible.
 - Devised UVDPs and implementation agencies/representatives need to ensure responsiveness to current and future needs, diligent use of local resources and strategies that optimise benefits to urban village communities and settlements while committing to sustainable and locally relevant development pathways.
- **Equity and inclusiveness**
 - Building mediums and formats that incorporate diversity, bridge the gaps in communication and provide support in facilitating civic engagement remain vital.
 - Development of strategies that retain and enhance affordability of existing village settlements must be ensured.
- **Follows the rule of law**
 - Contextually relevant planning must also safeguard and protect vulnerable sections of the population and ensure fair and impartial dispensation of justice.
 - Enforcement of existing legal frameworks and prevailing guidelines must be ensured for protection of human rights, natural ecosystems and archaeologically significant features located within or close to urban village settlements.

- **Retain essence of place**

- Planning process and outlay should be based on understanding of local context(s) that suit and accommodate historical and socio-cultural practices of urban village communities.
- Development plans for urban villages must retain unique characteristics from the site which are significant for the community including the urban fabric, physical features such as vernacular building techniques or livelihoods-based set-ups.
- Development plans and strategies must incorporate indigenous knowledge and local resources.

- **Continuous and iterative process**

- Local level planning must follow an iterative process, such that it upholds continuity and flexibility to change through learnings from previous planning cycles and reflections to streamline future interventions.
- Local level plan must be in sync with the macro plans and permissible guidelines at city and regional level and if required, provide inputs to improve existing guidelines and regulations.

C. APPLICATION

Despite being subsumed into a uniform planning category, urban villages remain diverse in nature depending on where they are located, their local ecosystems, how they are placed within and connected to their neighbouring areas, socio-cultural history and development trajectory of the settlement and community aspirations. The Urban Village Development Plan framework provides a guidance outline to improve planning for urban village settlements which may be located at different stages across the spectrum of urban transition. While some urban villages located in inner city region may be highly urbanised and densifying rapidly, others might still be in early stages of transition and still be organised around agricultural based livelihoods.

The UVDP recognises three broad typologies to categorise and structure planning for urban village settlements- more rural, in transition, more urban. These typologies are based on a mix of spatial and physical factors (including land use pattern, nature and extent of development, presence of ecological resources, existing road network and transport infrastructure, level of physical and service infrastructure); demographic factors (including population composition and density, livelihood patterns, literacy and income levels); and socio-economic factors (including housing conditions, social networks and group dynamics, access to civic amenities, presence of social infrastructure, socio-cultural practices, access to grievance redressal and modes of civic participation). While these remain ideal types and may not have exact replications on ground, these categories can help in identifying the nature of settlement, inform planning formats and priorities and aid in designing interventions that remain contextually driven and community centric. UVDP framework can be applied to each of these categories or their hybrid forms and be customised as per needs and objectives of the development planning process.

Table 1: Major typologies for categorising and structuring development planning for urban village settlements

	More Rural	→ In Transition	→ More Urban
Livelihood Pattern and Nature of Socio-Economic Activity	Agricultural farming, animal husbandry and related sectors form predominant livelihood occupation for the working population	High incidence of transition from agriculture and related livelihood to secondary and tertiary sectors	Secondary and tertiary sectors form predominant employment sectors.
Settlement Built-up	Households and neighbourhood level built up form supports rural livelihoods such as presence or prevalence of homestead, animal sheds, home based cottage industries etc. Low to moderate settlement density.	Change in built up form towards mixed use in built up especially for residential and commercial purposes. Continued increase in settlement density.	High incidence of mixed use-built form for commercial and residential purposes especially for low cost housing. Continued densification and related building construction leading to absence of setbacks and open spaces.
Infrastructure levels and Connectivity to city centres	Low level of service and social infrastructure. Site may have low levels of transit access and poor connectivity to core city.	Low level of service and social infrastructure. Increased public investment to improve infrastructure and access in/around site may be ongoing to improve its connectivity to city centre and local commercial / industrial hubs	Poor levels of service infrastructure wrt population density. Site may be near economic, educational and commercial centres within core city. May have low/ moderate levels of transit access esp. around settlement peripheries.
Community Dynamics	Strong influence of local panchayat and/or dominant social/caste groups and community gatekeepers	Strong/moderate influence of local panchayat, dominant social/caste groups and community gatekeepers	Strong influence of local representatives, land brokers and real estate agents, dominant caste groups.

D. STAKEHOLDERS

Key stakeholders for co-creating and implementing urban village development plans for urban villages in NCT Delhi could include some/all of the following:

- Officers and members from relevant local authorities such as municipal authorities, Delhi Jal Board, Irrigation and Flood Control.
- Members of the Delhi Village Development Board (DVDB) including relevant zonal and local level public officers as per location and jurisdiction of site
- Members of District Urban Development Authority Members including relevant zonal and local level public officers from revenue district as per location and jurisdiction of site
- Local representatives including Members of Legislative Assembly and/or municipal councillor as per location and jurisdiction of site
- Members and planning experts from Delhi Development Authority
- Members from Village Development Committee (VDC) & Local Coordination Committee that support DVDB as per location and jurisdiction of site
- Civil society organisations and NGOs
- Community organisations and/ or *anganwadi* workers
- Village panchayat members, community gatekeepers and residents
- Field experts, planners and volunteers

6. Key steps and Components of Urban Village Development Plan (UVDP) Framework

This section details out the key steps and related components entailed in the Urban Village Development Plan Framework that can aid in designing structured planning interventions for urban villages in NCT Delhi. The framework devised the planning process into seven key steps, each building the foundation for the subsequent step. While one step follows the next, this process remains iterative and inductive in order to incorporate revisions and course corrections as required. The UVDP framework is structured to guide the planning process to achieve objectives starting from assessing the current situation and needs; collating qualitative and quantitative data assessments to identify key domains of action attuned the future and collectively envisioned by the stakeholders; achieving targeted action through developing and streamlining the UVDP and eventually tracking progress and impacts through a robust monitoring and evaluation plan that is induced with flexible revisioning to keep the planning cycle going.

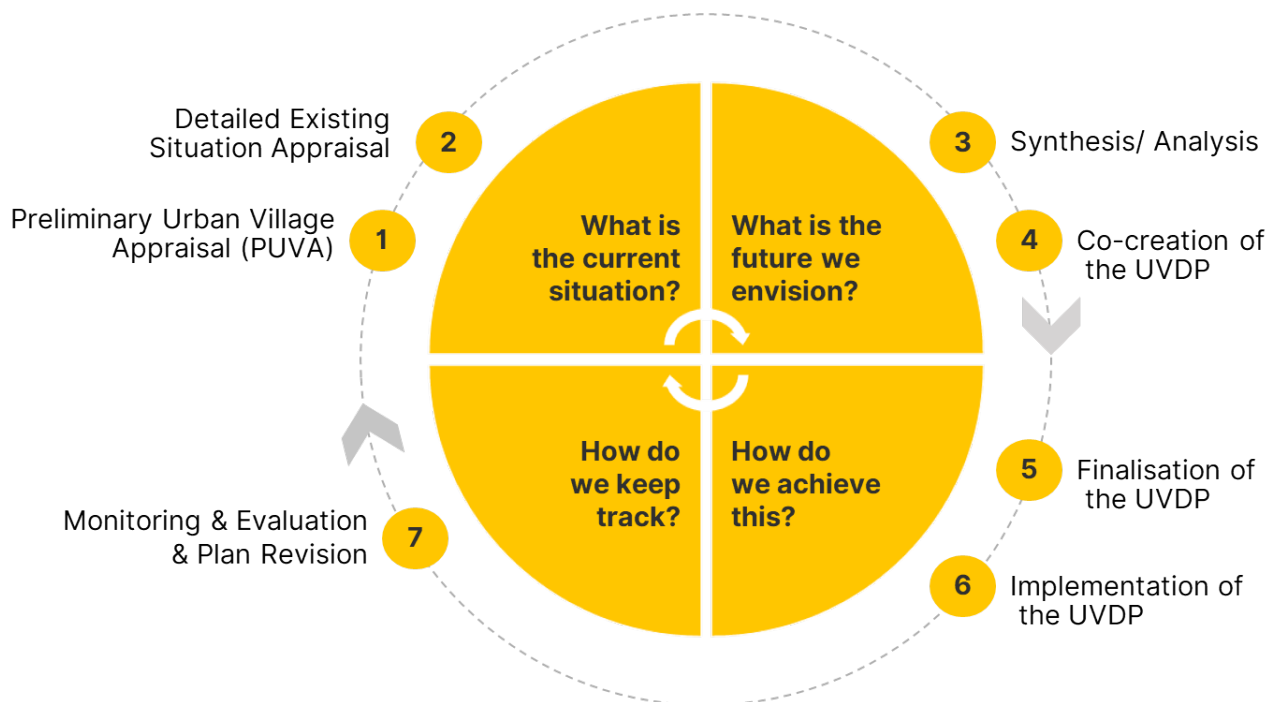


Image. 2 Objectives and related steps of building an Urban Village Development Plan Framework

The next few sections detail out each of these seven steps and their sub-components. Each step has been organised to present –(a) sub-steps in terms of activities to be carried out, related methods and expected outcomes; and (b) deliverables for each step which indicates the nature of data collated, documented and presented to be acted upon in the next stage of planning.

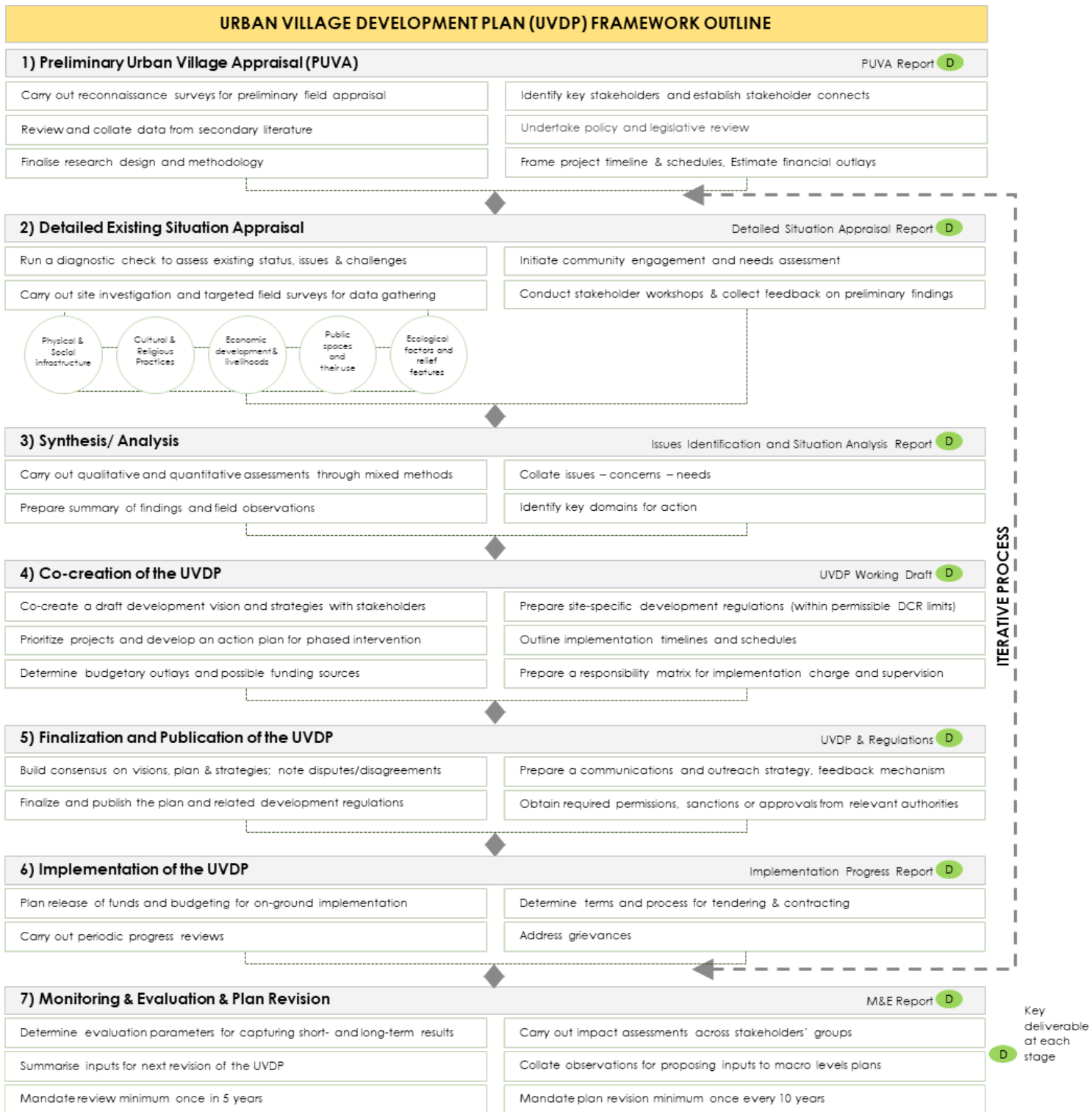


Image. 3 Key steps and components of Urban Village Development Plan Framework

STEP 1 – PRELIMINARY URBAN VILLAGE APPRAISAL (PUVA)

a) Sub steps:

1.1 Carry out reconnaissance surveys for field appraisal

To gain familiarity and understanding of the field situation, data will be gathered regarding general conditions of the urban village settlement. Use transect walks, reconnaissance surveys, paper-based maps, GIS maps, photographic documentation, satellite imagery to collect data. Additionally, document physical condition of the urban village, through reconnaissance surveys to understand the topography and natural relief features to be able to factor these in while any interventions are proposed.

Based on the typology of urban village under consideration, existing development must be recorded to understand development patterns, morphology, land use, built form as well as the regional context. This will help establish potentials, challenges and interdependencies regarding natural and human resources within the local and regional context. Further, existing physical infrastructure, social infrastructure and civic amenities must be studied via infrastructure mapping to understand availability and in the next steps, status, issues and challenges about access, level of service etc. will be documented and analysed. Review the socio-economic condition through study of demographic data which includes population profile, age, gender, literacy, dependency, employment, income etc. using census and other survey data. Map jurisdictions and institutional structure to understand all the public actors involved and spatial delineation of authorities.

1.2 Identify key stakeholders and establish stakeholder connects

To ensure the entire process adheres to principles of diversity, equity and inclusiveness, identify community dynamics and local institutions that the preparation and implementation of the UVDP will involve and affect. Ensure equal and inclusive representation. It is crucial to build trust with each of the stakeholders to enable the development of an effective, contextual and consensus based UVDP. Understand the interest and stakes of all stakeholders involved and mitigate against excesses by any dominant groups. Ensure representation of vulnerable and marginalised groups and migrants. Identify community representatives, social workers and gatekeepers of community, initiate conversation with them and share the idea of the UVDP, its purpose, process, intended outcomes and their roles along the process.

1.3 Undertake policy and legislative review

Review existing plans, policies, schemes, legislations to understand the provisions for urban villages and their development. This may include financial support in the form of grants, subsidies etc. or technical assistance. Analyse each of the policy documents and identify the salient features of the policies, definition of an urban village used, scale of applicability, approach to integrated sustainable development, responsible authorities, protocol and regulations with regard to land ownership and transaction (both public and private), suggested dispute settlement and grievance redressal mechanisms, infrastructure provisioning standards and approaches, participation mandates, etc. Tabulate the information across the various documents studied. Use this knowledge to inform the design of the development plan and regulations, acknowledging potential links, overlaps and conflicts.

1.4 Review and collate data from secondary literature

Collate data from academic research on urban villages, on the specific urban village under consideration, census survey reports, village reports and studies. Access archival records including village

records, maps, reports etc. Review these insights to strengthen the understanding of the field across qualitative and quantitative factors and build up on the existing knowledge.

1.5 Finalise research design and methodology

Based on the preliminary evaluation and learnings from secondary sources, develop a framework of methods and techniques for data collection, data analysis and a process plan to develop the UVDP. This should include methods for determining sample size for data collection, primary data collection techniques, methods to determine validity and reliability of data collected, qualitative and quantitative data analysis techniques, data management and dissemination approaches. Select approaches that adhere to the principles described in the introductory section of this document.

1.6 Frame project timeline & schedules, Estimate financial outlays

Prepare a draft outlining all the proposed tasks, stages of plan development, including team meetings, stakeholder consultation, public consultations and factor in sanctioning/approval processes in sufficient detail and chronological order. Identify project milestones and important time deadlines. In consultation with all stakeholders, make estimates for the delineated tasks and estimate financial outlays, determine initial investments and financial and non-financial resources required. Document assumptions, exclusions and factor in for unforeseen events/conditions along the process.

b) Deliverable – Preliminary Urban Village Appraisal Report (PUVA)

This report provides the UVDP team with a broad overview of the current status of the urban village under consideration in order to streamline the approach and process of planning and implementation. This report must include primary data as well as insights from secondary sources regarding physical development, geographic conditions, environmental factors, socio-economic factors and governance. Details on suitable research techniques, data collection methods, stakeholders identified across planning stages and implementation, estimated project timelines as well as budgetary outlays along the process must be included.

STEP 2 - DETAILED EXISTING SITUATION APPRAISAL

a) Sub steps:

2.1 Carry out site investigation and targeted field surveys for data gathering (Physical & Social infrastructure, Cultural & Religious Practices, Economic development& livelihoods, Public spaces and their use, Ecological factors and relief features)

Building on the insights from Step 1, carry out detailed sectoral investigation and data collection, to gather detailed information as well as the community's perspective, to inform the UVDP. Carry out site surveys to collect field data and use satellite imagery to conduct temporal analysis and document details of status, change and spatiality of physical, social and commercial infrastructure. Collect data regarding history, housing condition (availability, affordability, physical condition, servicing etc.), religious and cultural institutions and practices through primary surveys, to understand socio-cultural condition of the urban village.

Study natural features, topography and climate and understand temporal changes, in correlation with the built environment to account for the environmental conditions through topographic surveys. Assess the natural resources within the larger ecosystem and network as well as the extent of degradation.

Study the institutional arrangement regarding access to relevant officials, jurisdictions, local governance and administrations, finance planning, and grievance redressal. This will provide understanding regarding the governance mechanism. Identify nearby activity generators and employment hubs, existing livelihood patterns, local economy, regional connectivity and industrial development for a detailed understanding of the economic condition of the urban village settlement.

2.2 Run a diagnostic check to assess existing status, issues & challenges

Based on the data gathered, assess the status, issues and challenges across different parameters through primary surveys and community interaction. Evaluate gaps in infrastructure, deficiencies in health and education facilities in correlation with demography and poverty, to assess status of human development. Study general issues and group-specific issues to evaluate needs of the marginalised groups and migrants as well as the general population, to assess social development. To retain essence of place and ensure an inclusive development, understand cultural and religious practices and ways in which they impact how people associate themselves with the urban village, leverage community networks, use public space as well as its built-form implications.

Evaluate current governance approach including accountability, participation, responsiveness, transparency and grievance redressal and identify and understand factors causing gaps and inefficiencies. Identify industrial sectors and services and employment opportunities to evaluate economic development status and potential within the local and regional setting. Evaluate factors affecting sustainable development and ecology including condition of natural features, natural resources and biodiversity. Assess utilisation of resources and extent of degradation. Determine level of service, gaps in service provision and delivery across housing, water, sanitation, solid waste management, public transport, parks and open spaces, banking and postal services, street lighting and public spaces, etc to supplement existing data on infrastructure conditions.

2.3 Initiate community engagement and needs assessment

Carry out community workshops and charettes, focus group discussions (groupings based on gender, caste, economic group, age, migrants etc.), community transect walks, structured and semi-structured discussions, key informant interviews, participatory mapping, and participant observation etc. to assess the needs of the community. Ensure the process is participatory and upholds diversity, equity and inclusiveness in its engagement. Discuss and collate issues, needs and concerns of the communities and other stakeholders as well as their aspirations for the future of the urban village.

Identify the local potential in terms of the skill pool, local resources, indigenous practices etc. Based on the identified issues, prioritise the needs of the community through voting and ranking methods which will further serve as a key input while co-creating the plan as well as developing the implementation strategy. After having determined the gaps and issues, this step helps establish what community needs and priorities.

2.4 Conduct stakeholder workshops & collect feedback on preliminary findings

Collate the findings from conversations with the community, needs assessment, preliminary evaluation, diagnostic check, learnings from secondary literature and the policy review to develop a detailed report. Share these insights with all the stakeholders through workshops and collect their feedback and inputs. Document and incorporate relevant inputs and deliberate on the observations during the synthesis phase, to determine the key domains of action and way forward.

b) Deliverable – Detailed Situation Appraisal Report

Through Detailed Situation Appraisal Report, the preliminary data collected in Step 1 is reviewed and further verified through community interaction using participatory methods. Contents must include documentation of stakeholders, workshops conducted, tabulation of status and challenges across various development factors, list of prioritised community needs and interventions desired by the community.

STEP 3 – SYNTHESIS/ANALYSIS

a) Sub-steps

3.1 Carry out qualitative and quantitative assessments through mixed methods

Based on the data collected, using a mixed methods approach to carry out qualitative and quantitative assessments. While the quantitative assessments will provide a broad overview, statistical insights and spatio-temporal trends, qualitative assessments will offer a detailed insight on situations and experiences, specific to the case. The combination will provide a holistic and complete picture of the urban village under consideration and assist in developing an inclusive and context sensitive UVDP.

3.2 Collate issues – concerns – needs

Streamline and collate the issues, needs and concerns, assess the resources and constraints associated and the resource requirements to address these challenges. Group relevant issues and identify targets of change. This is a tool to assess and analyse community needs and concerns, their perception of priority and viewing this within the development context. Categorising and clubbing issues and finding common solutions will also enhance chances of consensus at later stages.

3.3 Prepare summary of findings and field observations

Prepare summary findings with insights from all the qualitative and quantitative assessment of the data collected during preliminary study, gap analysis devised through detailed situation appraisal, community needs assessment and prioritizations apart from identifying prevailing constraints and emergent challenges based on local context. Include an overview of the issues-concerns-needs mapped across stakeholders, a composite of community priorities and expert opinion, existing institutional capacities and responsibilities and convergences which can be sought from on-going public schemes or projects. This summary will provide the rational and justification for the next step of identifying the key domains for action and further developing strategies and interventions.

3.4 Identify key domains for action

Based on summary findings and analysis, identify key domains for action and determine a direction for strategy development and action planning. Tabulate the identified domains for interventions, determine corresponding authorities and stakeholders and the rank/priority attributed to each. Build consensus through public consultations and community reviews to ensure inclusivity and participation. Include course corrections and finetuning of target plans as required.

b) Deliverable - Issues Identification and Situation Analysis Report

Compile all the data collected along with the analysis carried out and the key domains of action identified through the Issue Identification and Situation Analysis Report. This report will present the challenges at hand, perception of the stakeholders and their needs as well as the potentials, capabilities and resources available locally and regionally.

STEP 4 – CO-CREATION OF UVDP

a) Sub-steps

4.1 Co-create a draft development vision and strategies with stakeholders

In spirit of participatory, inclusive, consensus-based approach, co-create a collective vision for the development of the urban village with stakeholders. Based on community needs, understanding of the local and regional context, inputs from the UVDP team, current needs and trajectory of growth based on the typology of the urban village, develop strategies to integrate the urban village into the urban context and guide its future development in an inclusive and sustainable manner. Attempt to build a broad consensus on the short- and long-term vision for the urban village settlement.

Consider different aspects of development including physical, social, economic, infrastructure, amenities and environmental factors and accordingly plan interventions. Plan for interventions that can enhance experience in the public realm ensuring inclusive and sustainable development. Plan to accommodate potential future growth considering buffers for expansion, infrastructure extensions and/or upgrades, densification, revenue generation potential etc. Action plans must be based on determined priorities, mutually agreed-upon, achievable and measurable targets/outcomes and designed to be participatory and inclusive, sensitive to local needs and resources.

4.2 Prepare site-specific development regulations (within permissible DCR limits)

Draft regulations that consider the specificities of an urban village as well as guide the general development, keeping in mind quality of life, safety and appropriate use of resources. Determine use of land, allot land for public purpose, earmark open spaces, guidelines for building construction as well as infrastructure and amenities. Given the transient nature of urban villages, design adaptive regulations to accommodate the changes and account for animal-human interactions as well farming practices including arable and pastoral farming wherever required. Additionally, establish guidelines for extension and modification to existing buildings and infrastructure, keeping in mind adjacency of uses, carrying capacity of infrastructure and liveability factors especially in dense urban village settlements. Design the regulations keeping in mind opportunity for future growth and development. Determine norms for plot sizes, FSI, building structure, services, parking, fire safety, light and ventilation which can improve structural stability and service provisioning with existing urban village settlements.

4.3 Prioritize projects and develop an action plan for phased intervention

Prioritise interventions based on community needs, insights from situation analysis, typology of urban village, expert opinion, resource and fund availability and links to on-going schemes that may be applicable for urban villages for development planning implementation. Establish goals to be achieved through this plan and the strategic priorities and phase them over short-term, medium-term and long-term goals and action plans. Determine implementable strategies for each of the interventions including – objective, expected outcomes/impact on different sectors and groups of people, specific timelines, roles and responsibilities of different actors, funding and financing, evaluation parameters and scale of action.

4.4 Outline implementation timelines and schedules

Harmonise planning strategies and objectives to work in sync with the UVDP as well as the larger development plan for the city. Evaluate sectoral plans and identify overlaps, contradictions and resource

requirements to ensure integrated development and efficient utilisation of resources. Based on the mutually agreed upon outcomes and phasing strategy, establish timelines, methods and protocols for implementation and monitoring

4.5 Determine budgetary outlays and possible funding sources

Strategies and action plans must be supplemented with budget outlays and asset requirements. Based on the identified requirements the UVDP team must develop a financial framework, assess source of funds and finance (this can include central and state funds, grants for urban villages, municipal revenues from taxes and other levies, private sector investments, financing through banks and other financial institutions etc.), fund allocation, capital and maintenance costs as well as fund release based on progress criteria. To support the planning of financial resources, identify potential links, overlaps or convergence with existing plans and schemes at city, state and central level for development in urban villages. Conduct public consultations for inputs and feedback.

4.6 Prepare a responsibility matrix for implementation charge and supervision

Since the action plans and implementable strategies are designed as outcome-oriented plans, it is critical to map out tasks, key decisions and milestones for effective and efficient implementation. This must be carried out by developing a responsibility matrix prepared through discussions with all stakeholders, that identifies key roles and mandates responsibilities. The matrix identifies and defines project roles, tasks, deliverables and key decision-makers. In addition to the institutional framework, determine mechanisms to involve private developers through different Public Private Partnership (PPP) arrangements such as Build-Operate-Transfer (BOT), Design-Build-Finance-Operate (DBFO), Operation & Maintenance (O&M) etc.

b) Deliverable – Urban Village Development Plan Working Draft

Prepare a working draft of the UVDP along with actionable strategies and draft regulations. This document must include the draft development plan with interventions and strategized priorities which will act as a guidance document providing spatial as well as policy direction for future development. This will also include context dependent Development Control Regulations for plot level development as well as the entire urban village.

STEP 5 – FINALISATION AND PUBLICATION OF UVDP

a) Sub-steps

5.1 Build consensus on visions, plan & strategies; note disputes/disagreements

Attempt to build a broad consensus regarding the visions and strategies planned through the UVDP. It is critical to ensure the process is participatory at all stages. Hence, public consultations must be held not only while understanding their needs but while finalising the plan too, to build consensus on the final framing of the vision, its translation in terms of a plan and the implementation strategies. Disputes, disagreements and concerns must be duly addressed. Develop a feedback mechanism and a grievance redressal mechanism for all stakeholders to raise their concerns at any stage of the planning and implementation. Identify the protocol for raising concerns, channels of communication, responsible authority to respond and address the concerns raised and the timeframe for this process from raising issues to providing a response.

5.2 Prepare a communications and outreach strategy, feedback mechanism

Prepare a communications and outreach strategy to ensure wide dissemination of the plan as well as implementation process to the public, relevant institutions, public and private organisations, covering all stakeholders in the UVDP. It is critical to keep all the residents of the urban village informed and involved regarding the decisions, planning process and implementation, at all stages, through clear and regular communication.

To keep in line with the principles of inclusiveness and transparency, information regarding the plan must be circulated in local languages, without jargon and across different media, to ensure maximum coverage. Various channels of communication can be adopted including organisation of public reviews with a platform and time-frame to submit their concerns and inputs, distribution of information brochures, information boards at public places, newspapers and public notices, leveraging existing networks including community representatives and social workers to conduct workshops and focus group discussions. Feedback must be duly documented, considered and response must be provided within the agreed timeframe.

5.3 Obtain required permissions, sanctions or approvals from relevant authorities

Identify the authorities from whom permission must be sought for the plan to be formalised and implemented. In cases as applicable, this may also include the Archaeological Survey of India (ASI) if there are any heritage structures or elements of historical and cultural value and/or environmental regulatory authorities when planning in ecologically sensitive zones and/or zonal authorities in case of areas such as Special Economic Zones (SEZs) or industrial townships. Submit the UVDP and seek approvals on the plan relevant sections of the development regulations.

5.4 Finalize and publish the plan and related development regulations

Once the plan is approved by all the relevant authorities, it must be published following the norms of the respective State Development Act along with a public notice that the plan has been approved, how one can access a copy of it to review, mechanism to raise concerns and the date on which the plan will come into operation.

b) Deliverable – Urban Village Development Plan & Relevant Development Control Regulations

This should be a statutory planning document which includes a local level plan to guide the development, use of land and resources as well as guide decision making. Development Regulations will ensure effective and inclusive development, guide construction of new buildings and changes to existing ones as per liveability standards, ensure structural safety and improve overall quality of built environments.

STEP 6 – IMPLEMENTATION OF UVDP

a) Sub-steps

6.1 Plan release of funds and budgeting for on-ground implementation

Develop strategies for efficient and transparent allocation and release of funds and monitoring of expenditure with consensus of all stakeholders. Identify the authorities responsible for various components of the UVDP in terms of financial reporting. Determine a protocol to make modifications to the

budget along the process and for debt management. In case of state provided fiscal incentives, identify specific documentation and reporting required and co-ordinate and integrate it within the UVDP implementation strategy.

6.2 Determine terms and process for tendering & contracting

Based on the plan, identify potential arrangements to involve the private sector and contract specifications. This can include management contracts, service contracts, Build-Own-Operate-Transfer contracts and joint ownership, among others. Define legal and regulatory frameworks within which the contracts can be operationalised. This must include conditions regarding contract duration, provision of services, rights and obligations, incentives and penalties, performance monitoring, dispute settlement and conditions of sharing of authority, responsibility and liability. Based on the intervention and sector, the contract and terms will vary, but each of them will include a contract framework, adhere to a predesigned selection process and management and reporting protocol, to be coordinated with the responsible agencies. Tendering can be carried out through an open bidding process or through direct negotiations based on the purpose of the contract and the required capacity and resources.

6.3 Carry out periodic progress reviews

Based on agreed upon goals and pre-determined criteria, the UVDP team should periodically monitor the plan implementation and progress. Evaluate status of implementation as well as efficiency and effectiveness in achieving the outcomes. Develop protocols and reporting schedules for project status, fund utilisation, outcomes achieved and challenges/issues on ground. Address delays, issues raised and tweak the approach, schedule and/or budget as required. Carry out budget audits to ensure effective and dynamic budgeting and smooth implementation.

6.4 Address grievances

The respective authority must address grievances raised by any of the stakeholders at any stage during public consultations, based on the redressal mechanism elaborated under Step 5.

b) Deliverable – Implementation Progress Report

The Implementation Progress report will collate ongoing progress/ actions as per the UVDP implementation plan, timelines for each, responsible agency and periodic status report. Focus on the results achieved at each stage and use charts, graphs, tables for effective communication and highlight pending decisions or approvals or changes to be discussed in plan, budget or schedule. This report should be prepared and submitted at regular intervals to ensure all stakeholders and the public are informed of the status of implementation and can raise concerns if any. These reports will also serve as project documentation, basis for performance analysis and help in tracking implementation.

STEP 7 – MONITORING & EVALUATION AND PLAN REVISION

a) Sub-steps

7.1 Determine evaluation parameters for capturing short- and long-term results

Take an outcome-oriented approach with a focus on integrating the urban village into the surrounding urban fabric while retaining the essence of the urban village and not compromising on the needs of

its residents. Develop evaluation parameters/ criterion to assess the results of the plan implemented across stakeholder groups and across the short-term and long-term goals. Adhering to the principles of a continuous and iterative process and retaining the essence of the place, it is critical to assess and document the impacts and results periodically.

7.2 Carry out impact assessments across stakeholders' groups

Based on the evaluation parameters, carry out periodic evaluations of the impact of the interventions and assess their results/outcomes– impacts on different segments of the population, based on age, gender, economic category, caste and migrant population. This is to ensure that the UVDP adheres to the principle of diversity, equity and inclusiveness. Also, assess impact on quality of life, livelihoods, economic condition and environmental condition.

7.3 Summarise inputs for next revision of the UVDP

Monitoring the impacts serves as an opportunity to learn from previous experiences and to provide feedback on plan, performance and progress. This will also help improve efficiency of allocation and use of resources, service delivery, achieving outcomes and to enhance accountability to all stakeholders. Based on the insights from Sub-steps 7.1 and 7.2, identify the approaches that helped to achieve the outcomes as well as the prevailing challenges. Summarise inputs for the next revision of the UVDP and to strategize future projects such that the long-term goals are not compromised, and current needs and challenges can be factored in.

7.4 Collate observations for proposing inputs to macro levels plans

To facilitate integrated development, insights from planning and implementing at the local level through the UVDP must be documented to serve as inputs to macro level planning instruments such as development area plans or city and sub-regional plans. This will inform larger development decisions in macro level plan to be cognizant of the needs at the local level.

7.5 Mandate review minimum once in 5 years

To ensure the desired outcomes are achieved, the implemented plan is adhering to the principles and changing needs as well as new developments are accounted for, a minimum of one plan review must be mandated every five years. Not altering the long-term goals, short- and medium-term priorities may be modified based on progress of implementation and impact achieved.

7.6 Mandate plan revision minimum once every 10 years

To ensure the UVDP is aligned to the changes in context, people's needs and aspirations as well as the regional dynamics, a minimum of one plan revision must be mandated every ten years.

b) Deliverable – Monitoring and Evaluation (M&E) Report

The M& E Report should include implementation status of different projects and interventions, impact evaluation based on parameters across population segments and other factors mentioned above as well as inputs for future projects and next revision of the UVDP.

7. Experts Panel Convening on Integrated Planning of Urban Villages in NCT Delhi

An online panel discussion was convened on 18th December 2020 with the intent to gather feedback on the Urban Village Development Plan Framework and discuss a way forward for integrated planning for urban villages in NCT Delhi. During the discussion, findings from WRI India's on-ground study were shared and recommendations to finetune the UVDP framework were sought from invited speakers and domain experts. It also provided a platform for the panel members to deliberate on current challenges and suggestions for improving planning and provisioning for urban villages in NCT Delhi.

Panel members included the following experts:

Mr. Paresh Sharma, ex- Chief Town Planner, Gujarat and Senior Fellow, WRI India

Dr. Sushmita Pati, Associate Professor, National Law School of India University (NLSIU)

Mr. Roshan Shankar, Advisor, Department of Urban Development, GNCTD

Ms. Mukta Naik, Fellow, Centre for Policy Research (CPR)

Ms. Kathyayani Chamaraj, Executive Trustee, Citizens' Voluntary Initiative for City of Bangalore (CIVIC)

Ms. Sarika Chakravarty, Sector Coordinator- Housing and Transport MPD 2041, National Institute of Urban Affairs (NIUA)

Key themes of the discussion included decentralizing development planning, modes of ensuring liveable densification in urban villages, potential and challenges with redevelopment, improving implementation and M&E, finding convergences for better outcomes and support for urban village communities, and provisions within upcoming master plan (MPD 2041) which target planning at settlement level and build flexibility within planning provisions to suit such dense settlements. Based on the learnings of WRI India's study and the panel discussion, a set of final recommendations has been collated in the following section to streamline and strengthen development planning for urban villages in NCT Delhi.

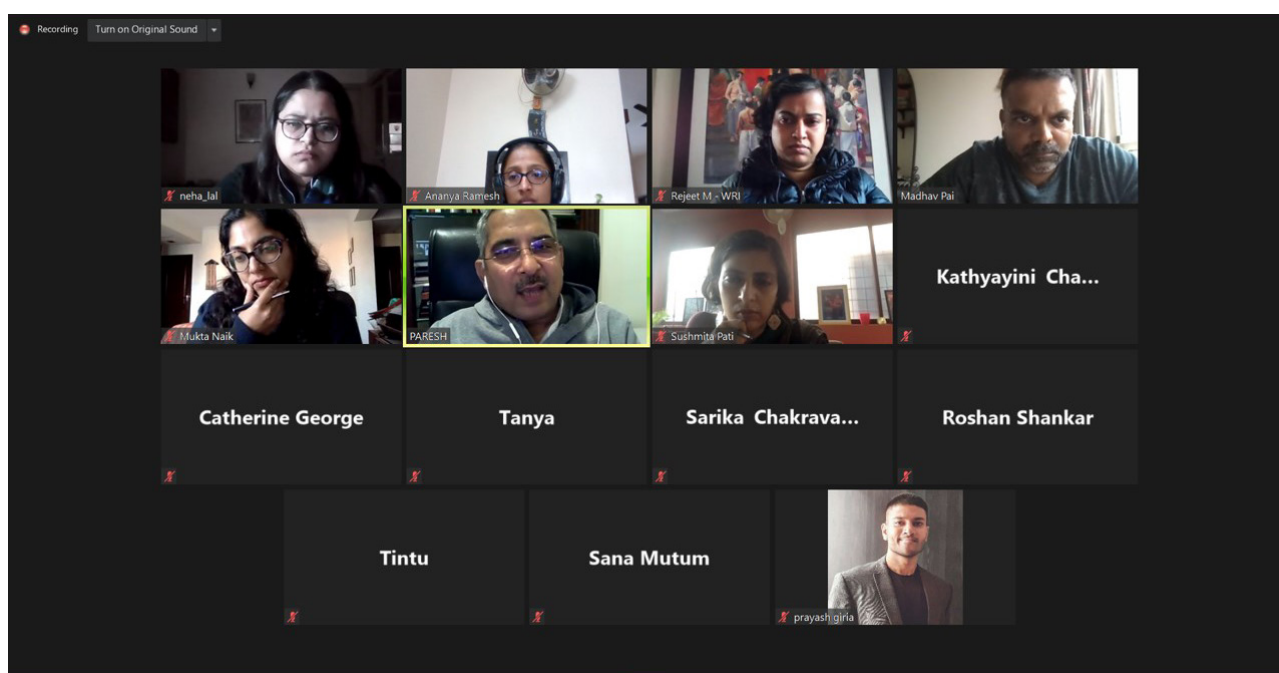


Image. 4 Experts panel convened virtually to gather feedback on UVDP framework and discuss integrated development for urban villages in NCT Delhi

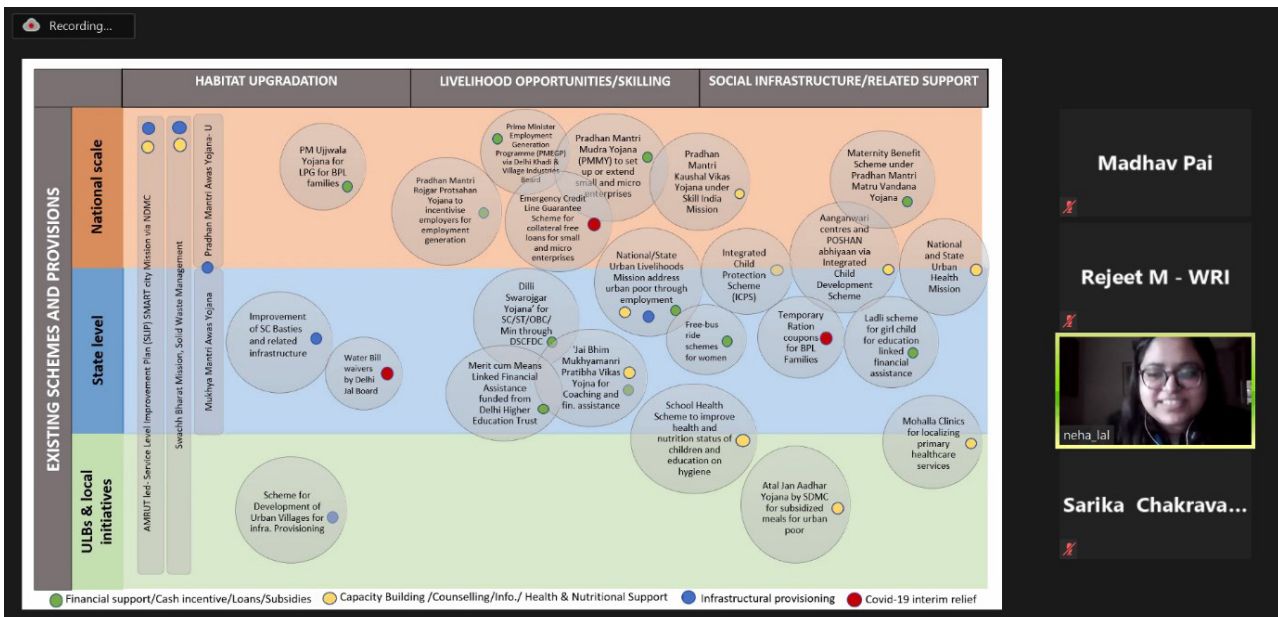


Image. 5 Ways of seeking policy convergence and streamlining planning interventions for NCT Delhi’s urban villages were highlighted in the panel discussion along with gathering feedback on the UVDP framework

8. Recommendations for improving planning and provisioning for urban villages in NCT Delhi

- Making development planning for urban villages statutorily enforceable and in-sync with existing planning instruments:** Development, execution and revision of the localised planning instruments such Urban Village Development Plans (UVDPs) need to be statutorily mandated and jointly enforced by local development authorities and/or dedicated authority for urban villages in order to improve accountability and timely implementation. Inputs from local development plans such as UVDPs can be used to streamline city and sub-regional plans for enhancing responsiveness and efficacy of planned interventions.
- Ensuring decentralised and participatory planning mechanisms for urban villages:** Development plans for urban village need to be co-created with the stakeholders to ensure a community-led and government-backed process by synergizing formal and informal channels of civic participation. local needs, resources and tacit knowledge and need to be incorporated within such initiatives.
- Improving land records management for urban villages to ease challenges in planning and implementation:** Given the multiplicity of scales and jurisdictions within NCT Delhi, land records management needs to be improved and digitised especially for abadi areas to avoid delays in implementation.
- Streamlining mechanisms and empowering institutions for implementation, monitoring and evaluation within urban village:** Avoiding overlaps within and restrictions posed by existing institutional mandates for local area planning in urban villages require streamlining mechanisms for implementation and M&E. Seeking convergence in ongoing initiatives and empowering dedicated organizations to take up more holistic range of functions including local area planning for urban villages can prove helpful.
- Building incentives within local development plans and redevelopment schemes for urban villages:** Redevelopment initiatives and local development plans within urban village needs to be dovetailed with incentives to improve buy-in from community members and other stakeholders.

- **Developing adequately serviced, structurally stable & livable densification in urban villages:** Urban village development plans need to plan to keep in mind the existing built fabric and mixed-use growth within urban village settlements. Ensuring liveable densification requires finding innovative mechanism for service provisioning, improving structural stability and building flexibility within existing development control regulations to ease densification pressures in urban villages. Building customisable solutions and products in the form of technical assistance and credit can support self-upgradation in such contexts.

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