

**CHAPTER X**  
**POLICY MEASURES AND STRATEGIES FOR ADDRESSING**  
**PROBLEM OF SLUMS**

10.6 Even though slum problems in our cities are on the rise, considerable efforts made earlier, has addressed this problem to a varying degree of success. The scheme of environmental improvement of urban slums and urban basic services programme, both supported by Central and State Governments have been implemented in most of the towns and cities of the country. Besides, citywide programmes initiated with support from international agencies in the States of Andhra Pradesh, Tamil Nadu as well as city specific initiatives in Kolkata, Mumbai, Indore, Kanpur, Ahmedabad and others have provided very useful feedback and learning lessons. Slums and informal settlements are concomitant developments of urbanization, world over. The process of making our cities 'slum-free' is linked to overall economic development processes. Slum settlements should be improved and redeveloped to support this process.

The approach and emphasis of all the policy measures evolved so far in the country highlights the need for adopting an integrated participatory approach wherein slum dwellers stakes in the process of improvement is enhanced by various interventions. Even though, it is emphasized to levy user charges for the services delivered and also for upkeep and maintenance, the inherent need to subsidize keeping in view the affordability levels as well as operational considerations is recognized and incorporated in various programmes that are evolved from time to time. Further, the Ministry of Housing and Urban Poverty Alleviation earlier in 2001 has prepared a Draft Policy document outlining the important policy and strategic interventions to deal with the problem of slums in the country. Some of the measures that are required to be pursued and strengthened further for integrated slum development are outlined here.

## **10.1 Creating and Updating Database on Slums**

For undertaking sustained improvement and integration of slums systematically, creating database on slums and updating it at regular intervals is essential. Creating such a database at city level by linking with other city level information would be very useful. Use of Geographic Information Systems (GIS) would help in planning physical interventions and also prepare investment plans in a coordinated manner by taking into consideration overall development plan for the city as a whole. Technical support would be needed for creating such a database to start with. Deploying qualified staff in agencies dealing with this activity and training the existing manpower on the use of GIS based information systems should be taken up to initiate this activity. Often, it is observed that the database compiled in many cities as part of city development planning activity and also as part of project funding activities by International Donor agencies have become outdated. Creating a GIS based information system for the city as a whole and updating it regularly would be beneficial for overall development planning activity in cities including slums. It is therefore necessary to converge the resources and efforts to achieve desirable results in this direction.

## **10.7 Citywide perspective and integrated Slum Development Plans.**

The City Development agencies, in particular, the Urban Local Bodies (ULBs) should work towards formulation of an integrated Municipal Development Plan to ensure adequate and sustainable level of infrastructure and services for all the residents of the city/town concerned so that these are planned and delivered in an equitable manner. In order to achieve this objective, it will be necessary to identify the capital and recurrent requirements and costs for the city as a whole (eg bulk water supply) as well as at specific wards and neighbourhood level within the city. The plan should also prioritize ways and means of narrowing the gap between the better serviced and less or well serviced areas (slums) within the city. Such integrated plan incorporates the future perspectives and vision as well

as proposals made under statutory Master Plan/Development Plan, special plans/schemes by different departments of the State and Central Government. Integrated Slum Development Plans should be prepared by linking future development of cities with the existing slums and need/requirement of urban poor in future. Such an integrated City Development plan is envisaged in the JNNURM and this is to be pursued vigorously. The need for convergence of resources and institutional efforts while implementing such integrated Slum Development Plans is crucial in metro cities and this requires special attention.

### **10.8 Slum improvement in the context of 74<sup>h</sup> CAA. Participation process to include communities, civil society and elected representatives**

Urban Local Bodies should work in collaboration with all other stakeholders to enhance the impact of slum development and improvement activity by building the capacities of the poor and empowering them to improve their own living conditions. Besides, the local bodies should take a lead role to coordinate the activities of State Parastatals such as Slum Boards, Housing Boards, Water and Drainage Boards and also City Development Authorities working in cities.

Community structures established under SJSRY as also Community groups rganizat and effectively working with the help of NGOs and other community rganizations should be integrated and involved in the process of planning and service delivery in slums. The Community Development Cell/Wing working in each local body should establish liaison with such community groups and establish networking practices and procedures for undertaking different activities that helps in mobilizing the slum communities and also facilitate delivery of services with full cooperation and participation of slum communities. Good examples of such networking is seen in the cities of Pune and Ahmedabad. It is observed that sustained efforts in this direction helps to launch successful integrated housing and infrastructure projects with inbuilt mechanisms for recovery of costs and also for maintenance and management of infrastructure provided.

Elected representatives could play an important facilitative role in the process of slum development in cities by way of articulating the felt needs and priorities of the communities they represent and also by bringing about convergence of resources at their command. They can also articulate the concerns of the city as a whole and particular communities at higher decision-making levels to bring in additional resources for various activities.

### **10.9 Augmenting and facilitating access to serviced land for slum dwellers**

There is a need to reserve 10-15% of land in every urban development project to be set apart for undertaking EWS and LIG housing as also re-housing site for slum dwellers in the city. This would enable continuous supply of serviced land for slum dwellers housing. There is a need to ensure that registrants for such housing development should be from slums in the city, particularly those earmarked for re-housing. Development agencies could also consider allotting serviced land on preferential basis for societies formed by slum dwellers with suitable checks to facilitate slum dwellers to take their own initiatives for improved housing. Experiences from the Urban Community Development Office (UCDO) working as part of National Housing Authority, Bangkok that facilitates slum dwellers to gain access to serviced land for voluntary relocation by providing access to credit and institutional support can be usefully adopted in India also. Similar efforts in procuring access to serviced land by slum dwellers, made by Voluntary Agencies such as SPARC, Mumbai and National Slum Dwellers Federation through negotiated resettlement in Mumbai also needs replication in different cities.

As part of redevelopment process, the service levels and built spaces for informal settlements should be upgraded to be at par with other neighbourhoods in the city. This implies that standard for slum redevelopment varies with State and City in particular. It is desirable to evolve specific guidelines (State & City specific)

before undertaking a redevelopment programme for slums. Provisions for a range of plot/house options to accommodate varying needs would be desirable. Innovative designs and layout patterns such as cluster planning (see Indian Standards: Requirements of cluster planning for Housing – Guide; IS 13727 : 1993) which maximize the use of common open spaces are to be encouraged. There should be flexibility for dwelling units to expand incrementally in keeping with family's changing requirements and economic situation (IS-8888).

### **10.10 Granting Tenure Security for slum dwellers**

Formally recognizing the existence of slums by way of enlisting or notifying the slums enables the slum dwellers a great degree of security as recognized citizens of the city/town. Issue of Ration Cards or other forms of identity has hitherto enabled the slum dwellers to enjoy a certain degree of de-facto tenure security. Millennium Development Goals enlists tenure security as an important target. It is desirable to establish a system of annual or any other periodic enumeration and listing of slums by city authorities to continuously update the information required for planning the future requirements for environmental services and other interventions.

Granting formal tenure status by way of pattas or other legal or semi-legal documents requires detailed examination of land ownership, permissible land use and consent of the land owner. Besides, it is also desirable to prepare a functional layout plan with provisions for facilities and amenities as well as earmarking residential plots.

Taking into consideration the above observations on the desirability of granting security of tenure and at the same time, detailed deliberations required to take the process to its logical conclusion, it is felt that various steps and strategies outlined in the draft National Slum Policy document earlier prepared in 2001 by the then Ministry of Urban Development and Poverty Alleviation, Department of Urban

Employment and Poverty Alleviation may be discussed afresh to prepare a detailed policy initiative in this regard.

### **10.11 `In-situ upgradation and resettlement options for slum improvement**

As a principle, redevelopment of slums 'in-situ' is desirable in comparison to relocation and rehabilitation, considering the disturbances to livelihood and dislocation of existing linkages. However, considering the dangerous locations involving health hazards and safety of the slum dwellers themselves, where the slums exist at present, such locations become unacceptable for in-situ redevelopment. Besides, certain other parameters of larger public interest may demand relocation and rehabilitation. The guiding principles for relocation and resettlement wherever resorted to should take into account the following:

- a. Alternatives to resettlement should be fully explored before any decision is taken to move people
- b. Relocation distances should be minimized to reduce the impact on livelihoods
- c. Resident dwellers must be provided with some choice of alternative sites and where feasible, an alternative rehabilitation package
- d. All resettlement sites should be adequately serviced and provision should be made for public transportation prior to settlement.
- e. The livelihoods of affected people must be sufficiently compensated within a fixed period.
- f. Participation of primary stakeholders, particularly women, in planning and decision making is a pre-requisite for any resettlement process.
- g. Women's particular needs and constraints must be specifically addressed
- h. Any urban development project that leads to the involuntary resettlement of communities must make provision to cover the costs of R&R.

All stages of resettlement process including the transition and follow-up periods should be closely monitored and supervised by the agency responsible together with community representatives.

## **10.12 Partnership Programme for Infrastructure and Social Development – Slum Networking Programme, Ahmedabad**

*(Source : Write-up submitted to HSMI in December, 2005 by Ahmedabad Municipal Corporation for the Dubai International Award for Best Practices)*

The objective of the ongoing Slum Networking Project in the city of Ahmedabad is transformation of the urban environment through a unique partnership between the Ahmedabad Municipal Corporation, (AMC), non-governmental organizations (NGOs) and communities. The approach for provision of a package of basic infrastructure services at the household and slum level in an affordable and sustainable way has evolved since it was first introduced in Ahmedabad as a partnership project with the Private Sector in 1995.

The services include household connections for water supply and drainage, individual toilets, and slum level storm water drainage, paving of internal roads and street lighting. Thus, the project aims at providing access to water and sanitation to the households living in slums and chawls of Ahmedabad. All partners contribute towards implementation of this partnership project, though AMC bears about eighty percent of the cost of the physical infrastructure. The remaining twenty percent is contributed by the households participating in the project. The NGOs, whose activities include motivating the residents to participate in the project, facilitate collection of savings for contributing towards the households' contribution to AMC and implement other community development activities and development interventions in the area, are paid a lump-sum of Rupees One Thousand per household for part of the costs the activities by AMC and mobilize other resources for the rest. As of December 2005, **28 projects** benefiting **24,340 people** have been completed and **13 projects** benefiting **19,175 people** is in advanced stage of completion. Additional **7 projects** benefiting **5,920 people** are proposed for infrastructure development in year 2005 – 2006. AMC plans to provide physical infrastructure in **120 slum communities** covering nearly **24,368 households** in next 5 years.

In Ahmedabad, SNP is undertaken only in those slums where all slum households arrive at a consensus for contributing a proportion of the implementation costs (Rs 2000) for getting household level water supply, sewerage and drainage connections. NGOs partner with AMC for generating awareness about the project and in motivating all slum residents to agree to participate in the project. This task is quite difficult because simultaneously, other government schemes enable slum residents to access community level services at no cost. The well-off households in the slums often have illegal connections and hence participation in the programme is not a priority for them. SNP in Ahmedabad has therefore been designed to provide a package of infrastructure services in consultation with communities/ CBOs, NGO and the private sector. From its inception, SNP was designed to ensure that NGO partners directly provided or enabled access of communities to health and education services. The partnerships with the private sector have not grown substantially while AMC's partnership with NGOs for implementation of SNP has evolved substantially since the implementation of a pilot project in Sanjay Nagar in 1996-97.

### **10.8 Involving private sector and using land as a resource for housing and shelter development for slum dwellers**

The Slum Re-development scheme initiated in Mumbai, Pune and other major cities of Maharashtra State capitalizes on market value for land occupied in prime locations of the city by the slum dwellers. By enhancing the Floor Space Index (FSI), the land is put to more intensive high-density use whereby apart from accommodating all the slum dwellers in multi-storied tenements, additional floor space is created for allotting the same to middle and high income groups. The slum dwellers dwellings are subsidized through cross subsidies generated by marketing the flats for middle and higher income groups at ongoing market rates. This model has worked fairly successfully in many locations in Mumbai city and there is potential to replicate this concept in other metro cities of the country where land values are high and there is demand for middle and high income groups.

The private developers have succeeded in implementing such projects by bringing in initial investments required and also by deploying aggressive marketing skills. However, with fluctuations in the real estate market, private developers have been seeking additional institutional finances for undertaking this kind of development. It is also felt that, for replication in other cities, it may not be necessary to subsidise the slum dwellers dwellings fully as has been practiced in the case of Maharashtra. In fact, taking reasonable contribution from slum dwellers in keeping with their affordability levels may obviate the need for additional support through institutional finance for successful implementing such schemes.

**a) Integrated Planning Development to avoid Future slums:**

Efforts should be made to undertake integrated physical development by earmarking the land and built spaces for service personnel who provide valuable services. They contribute substantially to sustain productive life styles in an ever increasing scenario of nuclear families in urban areas. Families of service personnel require adequate health care, training and educational support as also protection through safety nets to take care of contingent situations. Community as a whole can support such a system, which would otherwise become unviable at individual family level. Senior citizens at community level could be actively associated to operate such a system. Undertaking such integrated development and loading its costs to overall development obviate demand for establishment of slums in the vicinity of new residential neighborhoods.

**b) Granting Tenurial Rights**

Granting tenurial rights to slum dwellers motivates them to improve and consolidate the housing investment potentials latent in them. However, granting tenure without an approved layout plan, regularization and equalization of plots and a well established procedure will be counter productive. It is also desirable to charge a predetermined fee or charges for such transfer of rights in order to build

in their stakes. Group tenure, collective tenure and cooperative tenure possibilities may also be explored to evolve proper development and resolve the conflicts that may arise in the process.

## **10.9 Affordable and sustainable services delivery for slum dwellers**

The Provision of physical infrastructure, components such as water supply, drainage, sanitation, improved access, electricity, etc. should support the ultimate objective of improved quality of life. The evidence from existing slum improvement projects clearly shows that an improved physical environment greatly facilitates the integration of the settlement in the wider urban area and at the same time, contributes to improved livelihoods and health and well being of the community.

The guiding principles should include community-based approach with active involvement of slum dwellers at every stage of design, implementation and maintenance of assets created. Communities should be encouraged to contribute land and resources to help establish community centres and to promote the collection of user charges. There is a need to target women and children directly in the design and implementation and also social and economic services. It is to be recognized that involving the women in the community helps to sustain investment decisions relating to infrastructure. Where possible the delivery of basic services such as water, sanitation and electricity should be provided on an individual household basis which will help in better maintenance as also facilitate recovery of user charges. Experiences of contracting out some of the civil works such as paving, construction of community centres and public utilities to community organisations has shown positive results in terms of strengthening community involvement and building up the stakes in the process of improvement and consolidation of the settlement.

Improved access to social services such as health, education and credit facilities helps to build up capacities of the poor and empowering them to improve their own living conditions and quality of life. The community should be mobilised to create demand for preventing health services such as immunization and continuing health care for infants, women and disabled. Establishing a network of community health workers/volunteers at city level could facilitate the process of health promotion activity. NGOs who are already working in these functional areas should be involved and their support enlisted to enlarge the coverage and avoid duplication. Establishing formal partnership with Private Medical practitioners and Philanthropic organisations would provide greater outreach of services at low cost. Introducing health insurance scheme in conjunction with the saving and credit components/efforts of ongoing schemes would facilitate access to curative health care for low-income families especially those living in slums.