

Slum Free Cities: Strategies and Solutions

Dr. Laxmi Narayan

Assistant Professor of Economics, Govt. College, Mahendergarh,

e-mail: laxmi_narayan70@yahoo.com

Abstract

Rapid urbanization has been a characteristic feature of the development process and has almost always been accompanied by the equally rapid growth of slums, squatter and other uncontrolled settlements. Slums had been integral part of cities since the process of urbanization and Indian cities are not an exception. Many social, economic and environmental problems are associated with formation of slums and governments worldwide have recognized this problem. Government of India has started many initiatives for solving slum problems. With passage of time government policies have undergone paradigm shifts from forceful eviction to provision of dwelling units to the urban poor. Present paper makes an attempt to analyse the performance of various initiatives undertaken by Govt. The paper traces historical changes in government of India policy towards slums. It also analyse physical and financial performance of various schemes and programmes started by government namely, NSDP, VAMBAY, BSUP, IHSDP, UIG, UIDSSMT and Rajiv Awas Yojna. Paper found that considerable changes have undergone in Government of India policy towards slums. The present Rajiv Awas Yojna envisages making Indian Cities Slum free by 2022.

Keywords: Slum upgradation, slum free cities,

1. INTRODUCTION

Rapid urbanization has been a characteristic feature of the development process since the Industrial Revolution. Among the contemporary developing countries of Latin America, Asia and Africa, however, it has almost always been accompanied by the equally rapid growth of slums, squatter and other uncontrolled settlements (UNCHS-Habitat. 2006: 16). Government policies with respect to slum and squatter settlements can be grouped under three broad headings:

- ☞ **Laissez-faire Policies** i.e. ignoring the existence of slum and squatter areas and allocating public resources to other development sectors.
- ☞ **Restrictive or Preventive Policies** seeks to eliminate, or reduce the size of low-income areas. It Uses exclusionary practices by excludes these areas from being provided with such urban services as public utilities, education facilities, and health and social services. Another widely-used approach is the removal of residents from their existing homes and their relocation either in rural areas or in the urban periphery.

☞ **End Supportive Policies** i.e seek the inclusion of slum and squatter areas in the national development process , provide urban land and housing for new low-income settlements, to build low-income public housing projects, provision of sites-and-services to low-income families.

2. STRATEGIC OPTIONS FOR TACKLING SLUM PROBLEMS

Ministry of Housing and Urban Poverty Alleviation (MHUPA, 2011) recognized that possible physical development options are: (i) Slum Improvement (ii) Slum Upgradation (iii) Slum Redevelopment (iv) Slum Resettlement and (v) Slum Clearance

2.1 Slum Improvement

Slum improvement aimed at extending infrastructure in the slums where residents have themselves constructed incremental housing. Kolkatta was first major city to improve existing squatter area. Since the most important characteristics of slums is the absence or inadequacy of basic amenities, the initial efforts at slum development were concerned with the provision of the basic amenities to slum dwellers. For providing roads, water supply, drainage, toilets and streetlights for the slum-dwellers, in 1971-72 Government of India launched Slum Improvement Program (SIP). This was in response to the recognition that the policy of clearance and rehabilitation of the slum dwellers has not been successful in the face of growing problems manifested by rapid

urbanization and industrialization. Risbund (2006, p.269) remarked: "*Widespread resentment from the people against large scale demolition, inability of the government to increase substantially its investment in the housing sector and fast deterioration of the environmental conditions in the squatter areas led to the change in policy from clearance to improvement.*" The following works may be included in the 'Works of Improvement:

- ☞ Works organizing women around various social and economic activities;
- ☞ Works relating to improvements in the physical environment of slums such as drains, latrines, footpaths, access roads, tube wells etc;
- ☞ Works resulting in increased family income;
- ☞ Works to increase awareness about health, sanitation, and community participation and thereby reducing incident of diseases.

Under Slum Improvement Program many important services and amenities such as community latrines, storm water drains, community taps, paving of lanes and streetlights were to be provided in the slums. Though the program could provide many facilities in slums but it has failed to provide effective solution to the slum problems as besides having limited scope the funds allotted were not sufficient.

2.2 Slum Up-gradation

Problem of slums arises due to lack of infrastructural facilities in slums. Many governments tried to solve this by extending infrastructure along with facilitation of unit level upgradation. The strategy to improve infrastructure by giving adequate water supply and sewage is commonly referred to slum upgradation. Slum upgrading consists of economic, social, organizational, physical and environmental improvements undertaken cooperatively and locally by citizens, community groups, businesses and local authorities. Typical actions include (Field & Kremer, 2006: p.12):

- ☞ Mapping, titling and registration to ensure security of tenure.
- ☞ Installing or improving basic infrastructure
- ☞ Removal or mitigation of environmental hazards
- ☞ Providing incentives for community management and maintenance
- ☞ Constructing or rehabilitating community facilities such as nurseries, health posts, community centers
- ☞ Home improvement, including material upgrading, new construction and expansion of existing structures
- ☞ Improving access to health care and education as well as social support programs to address community issues of security, violence, substance, crime and substance abuse
- ☞ Training and credit for enhancement of income-earning opportunities

- ☞ Crime control
- ☞ Relocation/compensation for the small number of residents dislocated by the improvements
- ☞ Building social capital and the institutional framework to sustain improvements.

According to Cities Alliance-Cities without Slums, Slum upgrading benefits a city by:

- ☞ Slum upgrading addresses issues related to weaker sections within slums. Issues of illegality, exclusion and barriers to social protection make women and children vulnerable for exploitation. Slum upgrading specifically focus on these issues.
- ☞ Due to low and marginal status slum residents are unable to utilize their full potentials effectively and productively. Slum upgrading enhances the skills of slum dwellers and taps these vast resources.
- ☞ Slum upgrading helps in preventing environmental hazards and environmental degradation thereby improving sanitation conditions.
- ☞ Slum upgrading result in efficient slum management lowering violence and attracting investment.
- ☞ Slum upgrading improves quality of life of the slums and city dwellers. It provides appropriate residency status; organize them to improve their political standing, increases safety and security.
- ☞ Most importantly, slum upgrading ensures housing at large scale and at the low cost.

In addition slum upgrading at the same place is more effective than slum relocation. Slum upgrading is technically and financially possible as it can be done at a suitable pace. The poor can and are willing to pay for improved services and homes. According to Habitat for Humanity International (Shelter Report, 2008, p.9) some common barriers to security of tenure and slum upgradation are- lack of legal and regulatory environment, excessive land regulation and ineffective and corrupt land registration system, lack of political will and gender discrimination.

2.3 Slum Redevelopment/ renewal/ resettlement

Slum redevelopment and slum renewal relates to reconstruction of slums at the same place after demolishing the existing structures. Under this the slums are developed into the lively city centers. Redevelopment plans provide security of tenure, increase in public expenditure on health and education, promote self employment by micro-credit, improved skills and better urban and slum spatial planning. Sometimes the spaces where slums are located is so placed that it becomes imperative to clear the area for better city planning, then slums are to be rehabilitated on alternative sites. This approach is known as slum resettlement. The land is evacuated and area is cleared of slums. The slums are then resettled on alternate location by providing basic facilities such as water, safe and hygienic houses at resettlement sites.

A successful slum program has three conditions to be met (i) Location Compatibility (ii) Land Availability and (iii) affordability. It may be noted that these individual programs for slum dwellers have limited success due to complexity and severity of the problem. Either the dwellers are not ready to move out of the present slums due to various reasons or they cannot afford for the other schemes. Consequently a common approach and strategy cannot be successful for every slum and for every slum dweller. So a cafeteria approach is suggested for slum dwellers. Under cafeteria approach there is a range of schemes and the slum-dweller is given a choice to decide which scheme he wants rather than the authorities decide for him. This approach encompasses all three strategies of slum development - slum up-gradation, slum relocation and slum reconstruction.

3. GOVERNMENT OF INDIA INITIATIVE FOR SOLVING THE SLUM PROBLEM

Government of India policies on slums have witnessed significant changes over the period. Earlier government responses to solve slum problems were forceful eviction or in some cases volunteer resettlement but these measures failed to deliver desired results due to various social and economic factors. The problems with this approach were that slum dwellers were dislocated to the places far off from their place of work (usually slums are originally located near the place of work), increased transportation cost as dwellers have to travel for work and other purposes,

problem of water and hygiene at new location, sense of alienation at new place and in some cases political interference and threats at new location. So, government focus gradually shifted from forceful eviction to slum improvement then to slum upgradation or slum rehabilitation. Now government focus shifted on improving physical and social infrastructure in the cities. For this government launched various schemes such as National Slum Development Program(NSDP), Valmiki Ambedakar Awas Yojna(VAMBAY), Basic Services For Urban Poor(BSUP), Integrated Housing and Slum Development(IHSDP), Scheme For Urban Infrastructure and Governance(UIG), Urban Infrastructure Development Scheme for Small and Medium Towns(UIDSSMT) and Rajiv Awas Yojna(RAY). In subsequent paragraphs, we would discuss the progress made under these schemes.

3.1 National Slum Development Program (NSDP)

Launched in 1996, the main of the program was slum upgradation. The program has both loan and subsidy component which was 70 percent and 30 percent respectively for larger states and 10 percent and 90 percent respectively for smaller states. The funds to the states and UT were allocated based on their share in total slum population of the country. 10 percent of the funds were specifically reserved for housing construction and upgradation. A total of Rs. 38500 lakh were allocated till the programme was

merged into IHSDP in 2006. The main contribution of the programme was improvement in physical and social amenities in slums, health care and community infrastructure.

3.2 Valmiki Ambedkar Awas Yojna(VAMBAY)

This was first scheme exclusively for the slums and is designed to solve housing problems for urban poor. The schemes had equal contributions from centre and states. The focus of the scheme was on construction of dwelling units and community toilets. The scheme mandated to use 20 percent of total funds on National City Sanitation Project named '*Nirmal Bharat Abhiyan*'. The states could take loan from Housing and Urban Development Corporation (HUDCO) or form other agencies. Data presented in table-1 shows that during its period of operation from 2001-02 to 2005-05 a total of 440674 dwelling units were constructed or upgraded and 65331 community toilets were constructed. The centre provided a net subsidy of Rs. 93355 lakh for the purpose out of total Rs. 109393 lakh allocated for the purpose.

Table-1: Funds under VAMBAY

Year	Allocation (Rs. in Lakhs)	GOI subsidy released (Rs. Lakhs)	GOI Subsidy refunded (Rs.Lakhs)	Net Releases (3-4) (Rs. Lakhs)	No. of DUs targeted for construction/ upgradation	No. of TSs targeted for construction
2001-02	6900	7356	489	6867	25150	4342
2002-03	25685	21835	2506	19329	105449	21393
2003-04	23850	23855	39	23816	108160	3090
2004-05	28058	26941	0	26941	112143	35086
2005-06	24900	16713	312	16402	89772	1420
Total	109393	96700	3345	93355	440674	65331

Source: Ministry of Urban Housing and Poverty Alleviation <http://jnnurm.nic.in/wp-content/uploads/2011/01/UIGOverview.pdf>.

3.3 Jawaharlal Nehru National Urban Renewable Mission (JNNURM).

JNNURM was launched with the aim of improving urban infrastructure and for efficient and effective delivery of urban services. The programme comprises of four schemes two each for mission cities and on-mission cities. Two schemes (i) Basic Services For Urban Poor(BSUP) and (ii) Scheme For Urban Infrastructure and Governance(UIG) are for 65 identified million plus cities known as Mission Cities

In other non mission states other two schemes (i) Urban Infrastructure Development Scheme for Small and Medium Towns(UISSMT) and (ii) Integrated Housing and Slum Development Programme(IHSDP) are in operation. JNNURM was initially launched for the period 2006-07 to 2011-12 which was further extend upto 31 March 2014. Again the programme is extended upto March 2015 only for completion of already approved projects upto March 2012 under BSUP and IHSDP component of the programme and no

new projects are to be launched during this extended period. Now let us discuss physical and financial performance of the various components of the programme during the period. Details of the programs can be accessed at the website-

3.3.1 Basic Services For Urban Poor (BSUP)

The scheme is designed to fulfill deficiencies in the provision of basic urban services to the urban poor. The services under the scheme are improved housing and security of tenure, water supply, sanitation and hygiene and use of already existing government infrastructure

for education, health and social security. BSUP is operational in 62 cities of 32 states and a total of 479 projects were undertaken with total cost of Rs. 26503.4 crores (Rs. 17911.7 crores on housing and Rs. 8591.7 crores on infrastructure). Data presented in table-2 and 3 shows cumulative physical and financial performance of BSUP. Data shows that out of total 968486 houses sanctioned under BSUP, 54.6 percent are completed. A total of 519 projects for dwelling units were approved under the scheme upto March 31, 2014. Out of the total funds released for various projects, 47.2 percent is in the form of approved assistance, 34.4 percent by states and 18.5 percent by Urban Local Bodies.

Table-2: Cumulative Physical Progress BSUP & IHSDP (as on March 31, 2014)

	BSUP	IHSDP	Total
Number of Houses Sanctioned	968486	552288	1520774
Number of Houses Completed	529142 (54.6%)	259099 (46.9%)	788241 (51.8%)
Number of Houses Occupied	371223 (38.3%)	197611 (35.8%)	568834 (37.4%)
Number of Houses Under Construction	235746 (24.3%)	135790 (24.6%)	371536 (24.4%)

Source: Ministry of Housing and Urban Poverty Alleviation, Government of India available at http://mhupa.gov.in/W_new/DMU_REPORT_JNNURM.pdf

Note: Figure in bracket in third row is percentage of houses completed out of total sanctioned.

3.3.2. Integrated Housing and Slum Development Programme(IHSDP)

For addressing the problems urban especially slum dwellers, an integrated scheme combining existing VAMBAY and NSDP a new scheme IHSDP was launched under

JNNURM. Under the scheme slum/improvement/up-gradation/relocation projects including slum up-gradation and new construction of houses and infrastructure facilities like water supply and sewerages were planned to be undertaken. Land for the purpose was to be provided by the states. The scheme is applicable to all cities and towns as per 2001 census except cities / towns covered under Jawaharlal Nehru National Urban Renewal Mission (JNNURM). The financing pattern is in the ratio of 80:20 by Central and State Governments. Beneficiary share (12%

for General and 10% for SC/ST) is stipulated for beneficiaries of housing projects. Out of 20% State share the balance fund after deducting beneficiary share will be borne equally by the ULB and State (Maximum state share is 10% of the total Project Cost). [<http://municipality.tn.gov.in/Sirkazhi/abt-ihsdp%5Beng%5D.pdf>]. IHSDP is operational in 886 towns of 33 cities and a total of 1036 projects are being undertaken costing a total of Rs. 10976.5 crores consisting Rs. 6195.9 crores on housing and Rs. 4780.7 crores on infrastructural projects.

Table-3: Cumulative Financial Progress BSUP & IHSDP (as on March 31, 2014)

		BSUP	IHSDP	Total
Budget Provision (Rs. Crore)		16356.4	6828.3	23184.7
Number of Projects Approved		519	1070	1589
Approved costs of Projects		28569.9	11681.5	40251
Total Funds Released		22938.1	9601.5	32539.6
Out of which	Additional Central Assistance(ACA)	10891.3 (47.2)	6298.7 (65.6)	17118 (52.6)
	States	7882.6 (34.4)	2293.1 (23.9)	10175.7 (31.3)
	ULB	4236.2 (18.5)	1009.7 (10.5)	5245.9 (16.1)

Source: Ministry of Housing and Urban Poverty Alleviation, Government of India available at http://mhupa.gov.in/W_new/DMU_REPORT_JNNURM.pdf

Note: Figure in bracket are percentage contribution in the total assistance released

Data presented in table-2 and 3 shows cumulative physical and financial performance of IHSDP. Data shows that out of total 552288 dwelling units sanctioned under BSUP, 46.9 percent are completed and

35.8 percent are occupied. A total of 1079 projects for dwelling units were approved under the scheme upto March 31, 2014. Out of the total funds released for various projects, 52.6 percent is in the form of

approved assistance, 31.3 percent by states and 16.1 percent by Urban Local Bodies.

3.3.3 Urban Infrastructure Development Scheme for Small and Medium Towns (UIDSSMT)

In small and medium cities for improving urban infrastructure, development projects for water supply, roads, drainage, sewerage, solid waste management, roads, parking etc are to be undertaken under the scheme. The main objective of the scheme is to create durable public assets promote planned development of towns and cities. Urban Infrastructure Development Scheme for Small & Medium Towns subsumed the existing schemes of Integrated Development of Small and Medium Towns (IDSMT) and

Accelerated Urban Water Supply Programme (AUWSP).

[\[http://urbanindia.nic.in/programme/ud/uidssmt_pdf/overview.pdf\]](http://urbanindia.nic.in/programme/ud/uidssmt_pdf/overview.pdf). Data presented in table-4 and 5 shows that a total of 1148 projects covering 31 states and 643 cities/towns were undertaken under the programme out of which 453 projects are completed constituting 39.5 percent of approved projects. With regard to sectoral distribution of approved projects, maximum 52.0 percent are for water projects, 19.3 percent are for road projects, 13.6 percent for sewage projects followed by storm water drainage and solid waste management. Total approved cost of the projects is Rs. 26816.7 crores, additional central assistance of Rs. 21616 crores was committed out of which Rs. 12729.6 crores is already released (58.9 percent).

Table- 4: Cumulative Physical Progress UIG and UIDSSMT(as on March 31, 2014)

Description	UIG	UIDSSMT	Total
No. of Projects Approved	619	1148	1767
No. of states/union territories covered	34	33	35
No. of projects completed	227	453	680

Source: Ministry of Housing and Poverty Alleviation, Annual Report

3.3.4. Scheme for Urban Infrastructure and Governance (UIG).

Urban Infrastructure and Governance Programme was launched to ensure that fund

requirements for urban infrastructural services in the cities covered under mission are adequately fulfilled. The main thrust of UIG was on infrastructural projects relating to water supply, sewerage, road network, urban transportation, solid waste

management, urban renewal, development of heritage areas and preservation of water bodies. Under the programme a total of 619 projects were approved till March 2014 out of which 227 projects are already completed. Out of total approved projects, maximum are for water supply (193), followed by sewage (126), roads/flyovers (106), drainage and storm water (77) and solid waste management (49). The total cost of approved projects is Rs.66699.7 crores with Rs.31090 crores additional central assistance committed out of which Rs. 21741.5 crores is already released.

amenities in the selected slums. Under affordable housing component of scheme, funds would also be provided for public private partnership (PPP) projects. Both notified and non-notified slums within the cities would be eligible for assistance. Under the schemes, financial assistance would also be provided for the projects relating to unurbanised villages, urban homeless and pavement dwellers (http://mhupa.gov.in/ray/Ray_index.htm). The programme envisages tackling the problem of slums holistically, by:

☞ Bringing existing slums within the

Table- 5: Cumulative Financial Progress UIG & UIDSSMT(as on March 31, 2014)

(Rs. Crores)

Description	UIG	UIDSSMT	Total
Mission(2005-12) Allocation	31500	11400	42900
Total Project Cost Approved	60529	12933	73462
Addl. Central Assistance(ACA) Committed	27960	10366	38326
Total ACA Released	14263	7343	21606

Source: Ministry of Housing and Poverty Alleviation, Annual Report

4. RAJIV AWAS YOJNA

With the aim of realising dream of 'slum free India' and encouraged by the popularity of JNNURM a new scheme Rajiv Awas Yojna (RAY) launched on 04th June 2009. The scheme would run from 2013 to 2022 and it aims to make India slum free by 2022. The programme is implemented in mission mode after initial period of pilot phase and provides financial assistance to implementing agencies for executing projects relating to housing, basic social infrastructures and social

formal system and enabling them to avail of the same level of basic amenities as the rest of the town;

- ☞ Redressing the failures of the formal system that lie behind the creation of slums;
- ☞ Tackling the shortages of urban land and housing that keep shelter out of reach of the urban poor and force them to resort to extra-legal solutions in a bid to retain their sources of livelihood and employment.

The programme adopts two step procedures for implementing the projects. First, on whole city basis a slum free city

plans of action to be prepared and then detailed project reports on whole slum basis for the selected slums are to be prepared. These plans would project investment requirements for improvement and development of existing slums and housing and social amenities for next 10-15 years. As on 18th July 2014, the scheme is operational in 22 states of the country covering 116 cities under 166 approved projects. Projected cost of these projects is Rs. 6472 crores consisting of Rs. 4450.5 crores on housing projects and Rs. 1372.3 crores on infrastructure projects. Central share in the project cost is Rs. 3531.2 crores contributing 54.5 percent of total cost. With regards to physical performance of the scheme, a total of 121152 dwelling units are sanctioned under these projects, 79.1 percent(95812) are at new dwelling units at the same site, 11.7 percent (14151) are new at relocated sites, 2.3 percent (2777) for upgradation, 5.7 percent (6871) are rental DUs and remaining 1.1 percent(1301) are for transit DUs.

slum clearance and improvement laws and authorities for ensuring slum free cities. The initial solution to these problems consists of forceful evictions of such colonies but soon it was realized that this is not a viable option due to political and economical grounds. Government changed its strategy and launched Slum Improvement Program (SIP), Slum Upgrading Programs (SUP) for improving the conditions and environment of slums. Government of India launched National Slum Development Program (NSDP) and Valmiki Ambedkar Awas Yojna (VAMBAY) for providing dwelling units and efforts have been made to make the city slum free. The recent government initiative under Jawaharlal Nehru Urban Renewal Mission (JNURM) and Rajiv Awas Yojna(RAY) focuses on the affordable housing, security of tenure, skill development, infrastructure and provision of basic urban services to urban poor for making the dream of slum free cities a reality. The performance of these schemes lay a solid foundation for making India a 'slum free' country.

5. SUMMARY AND CONCLUSIONS

The United Nations have taken the lead and the slum problems are in the policy horizon of every government and city planners are paying considerable attention to these problems of slums. But the situation is very complex and it requires multi-pronged strategy alongwith huge investment. The Indian government has also tried to solve the problem of slums and almost every state has

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