

# URBAN PANORAMA

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## FROM THE DESK OF THE CHIEF EDITOR

India has the second largest urban population in the world, but level of urbanization is quite low. About 377 million population, constituting 31.6 percent population of India is living in about eight thousand towns and cities, however, two third of it lives in about 600 larger cities having population of one lakh and above. Despite low level of urbanization, the over-crowding in big cities is resulting into stress on civic services, mushrooming of slums, and housing shortage. Most of the housing shortage is related with economically weaker sections of the society. Urbanization is a major factor to development of a country, but Indian urbanization is getting unmanageable. Our urbanization lacks linkage with increase in economic activities and industrialization, though our GDP growth is quite high. The benefits of economic growth are not percolating to the bottom of the pyramid. Hence, gap between rich and poor is widening. More so, the structural reforms and the associated development strategies are expected to accelerate rural to urban migration and boost the pace of urbanization. The demographic and economic growth in India is likely to be concentrated in and around fifty to sixty large cities with population of about a million or more. There is growing migration from rural areas and also from smaller towns which results in growth of metropolitan cities since they provide multiple avenues, services and amenities viz. education, health care, employment, business and entertainment options etc. People also migrate for economic opportunities and urban life styles. There is also growing demand of creation of employment opportunities and livelihood development for urban poor.

The task of improving urban services is constantly more challenging due to the large increase in population, and weak institutional framework. After two decades of enactment of 74<sup>th</sup> Constitution Amendment Act, the majority of the states feel shy in strengthening the municipalities. This has strained the present management and delivery systems. In many cases delivery mechanisms would need to be redesigned to meet the large demand. There is strong demand for wider coverage of urban infrastructure services and improvement in the quality of urban infrastructure services especially in large cities. However, medium and small towns and cities also require huge investment in infrastructure and improving the delivery of services besides creating employment opportunities and livelihood development for the urban poor.

Urban good governance and effective management system for delivery of services is of paramount importance. It was expected that the centrally sponsored schemes such as JnNURM, UIDSSMT, IHSDP would benefit the select cities, but the achievement in many cases have been less than expectations. The urban reforms envisaged under JnNURM have not been implemented in spirit. The mega scheme to provide employment to urban poor, especially women, i.e. SJSRY in its revamped form has drawn a good response. The NIJNNURM and RAY coupled with National Urban Livelihood Mission would certainly improve the infrastructure and services, housing to urban poor to make the cities slum free and create economic opportunities for the poor.

The present issue of URBAN PANORAMA focuses on diversified critical issues of urban development and governance in the country. We do hope that the Issue will be useful in understanding these dimensions of urban affairs in the country.

Your valuable views/observations are always welcome.

Lucknow  
July, 2012

**Prof. Nishith Rai**  
Director



## FROM THE DESK OF EDITOR

Indian urbanization is unique. Growth recorded in urban population is more than that of the total population, but urban content is not found increased proportionately. So is the case with number of cities and towns. Our urbanization in real sense is concentration of population in larger urban centres. About two-thirds of urban population inhabit in less than one-tenth of cities and towns. Such characteristics have resulted into mushrooming of slums and shanties in urban areas. These localities are un-served or under-served, deprived of basic services necessary for dignified human living. Further, our urbanization without economic activities is adding to urban poverty—poverty of income, poverty of shelter, poverty of services, etc. This volume of Urban Panorama presents a garland of thoughts on various aspects of resultants of urbanization in the country.

Professor V. Gnaneshwar in his paper Housing the Poor-Emerging Scenario in India discusses the criticality involved in shortage of housing in general and especially for urban poor. He highlights the policy interventions over the passage of time. He mentions the problems of slums and their development. While elaborating initiative of Rajiv Awas Yojana for making the cities slum free, he raises certain issues related to urban land, land regulation and acquisition and the strategy of reservation of land for the poor. He presents initiatives taken in Andhra Pradesh.

Professor S.S.A. Jafri and Sri S.M.S. Jafri in their joint paper entitled Capitalistic form of Urbanisation in absence of 73<sup>rd</sup> & 74<sup>th</sup> Constitutional Amendment Spirit: A Persistent Threat of Social Exclusion and Poverty discuss that the 73<sup>rd</sup> & 74<sup>th</sup> Constitutional Amendment Acts, 1992 marked a new era in the democratic set up of the country. It is also a landmark in the decentralized development as it envisions people's participation in the process of planning, decision-making, implementation and delivery. Unfortunately, with a very few exceptions most of the states could not emphasize its importance, either it was not implemented or its spirit was ignored! As in the country, fast urbanization is taking place and the large cities are sprawling over rural areas a conflicting situation i.e. rural verses urban is created and farmers and their farm lands are suffering. For the greed of economic benefit both State Governments and capitalists together are undemocratically prevailing and exploiting rural areas without considering social and economic implications in coming future. Due to undemocratic functioning forced land acquisition is a burning issue in every state which is now taken up in assemblies and parliament after a lot of human misery and bloodshed. Farmers of urban fringe areas lost their livelihood, their homes and got excluded from their society; one can still observe their plight around the metropolitan cities and industrial hubs, even after two to three decades of land acquisition. In DPC and MPC where people's representatives could have taken farmers and environment friendly decisions for harmonious development, but in absence of it a large agricultural and forest land is lost and eco-friendly man is chased.

Uttar Pradesh, one of the largest populated state in India, accommodates 166.2 million population with a density of 690 persons per square kilometer. Out of 242 million hectares of reported area 68.6 per cent is cultivated land. About 31.4 per cent land is meant

for non-agricultural uses. Only less than 7.0 per cent is forest land and that too is not effectively covered by forests, when according to forest policy there should be one-third forest cover for healthy environment. Adverse environmental impact is now reflected in falling yield and increasing other fallow and current fallow lands as it is becoming uneconomical to cultivate.

Uneconomic agriculture, landlessness among rural masses and quest of modernization has created momentum to migrate from rural to urban areas that too towards metropolitan cities, where congestion and pollution is unimaginable. During last fifty years the land under non-farm use related to mainly urban has almost doubled, which would continue to grow. Around metropolitan cities even more than one-third agricultural land from rural blocks has disappeared.

Urbanization and industrialization are the dialectal phenomenon which cannot be stopped but we must have certain policy through democratic system to use uncultivable land i.e. waste land. China is the example before us where urbanization and industrialization are far ahead but they are progressing in controlled manner, most of the Chinese town and cities are growing vertically and not horizontally like India also unlike India the smaller towns are growing faster whereas the big metropolitan cities are stagnant in population and land expansion.

Professor S.C. Arora in his paper on Good Governance and Municipal Administration elaborates the genesis and concept of good governance. He traces the history of the instruments for good municipal administration in the country. He feels the need of implementing the provisions of 74<sup>th</sup> CAA in spirit for bringing transparency, inculcating accountability and responsiveness at the grassroots level urban governance.

Dr. Mushir Ali and Dr. Jabir Hasan Khan in their joint paper on Socio-economic Analysis of Beggar Population in Urban and its Peri-Areas: A Case Study of Uttar Pradesh present analysis of beggar population that is a visible phenomenon having historical poverty and poor socio-economic conditions characterized by low incomes, high unemployment rates, fast-rising cost of living, and high rate growth of population, inappropriate cooperation and continued rural-urban migration and displacement parallel to the growth in different spheres of the economy. So far as improving the condition of beggars' problem is concerned, various strategies have been formulated from time to time but, they have not been effective. The study is an effort to understand the socio-economic conditions of beggars with the objectives to identify causes at grass roots level with special references of demographic structure of the beggar population, the living arrangements and living conditions, the socio-economic situations which forces them for begging in the urban society.

Professor M.A. Hussain in his paper entitled Urban Governance in Tirupati, the Pilgrim City gives an account of the accomplishments, shortcomings and organizational problems faced by the urban government in Tirupati city, being managed jointly by Tirupati Municipality and Tirupati Development Authority.

Sri S.K. Sinha in his paper on Government Initiatives in Management of cities in Bihar highlights the demographic profile of the Bihar State and the institutional framework for managing the urban affairs therein.

Dr. Pawan Kumar Banta in his paper entitled Involvement of NGOs and Community in Development describes the importance, genesis and modes of people's participation in development administration. He highlights the emerging role of NGOs and voluntary organizations in bringing community nearer to administration.

Sri T.D. Daryana and Ms. Prakriti Sehgal in their joint paper on On-Site Sanitation Improved Sanitary Systems prescribe sizes of septic tanks for effective sanitation.

There are two documents annexed. The Summary and Recommendations of the High Powered Committee on India Urban Infrastructure and Services are presented in Document-I. The second Document shows the Guidelines for Community Participation in RAY, issued by MOHUPA.

We regret the delay in publication of this volume.

*Lucknow*

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I, Nishith Rai, declare that the particulars given above are true to the best of my knowledge and belief.

**Nishith Rai**

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## CONTRIBUTORS

1. Dr. V. Gnaneshwar, Professor of Urban Studies, Regional Centre for Urban & Environmental Studies, Osmania University, Hyderabad.
2. Dr. S.S.A. Jafri, former Professor and Acting Director, Giri Institute of Development Studies, Lucknow
3. Sri S.M.S. Jafri, Guest Faculty and Research Scholar, Department of Management, Integral University, Lucknow
4. Dr. S.C. Arora, former Professor of Public Administration, M.D. University, Rohtak
5. Dr. Mushir Ali, Assistant Professor, Department of Geography and Environmental Studies, Mekelle University, Mekelle , Ethiopia (Africa)
6. Dr. Jabir Hasan Khan, Associate Professor, Department of Geography, Aligarh Muslim University, Aligarh
7. Dr. M.A.Hussain, former Professor of Political Science, T.T.D. University, Tirupati
8. Sri S.K. Sinha, former Chief Town & Country Planner, Government of Bihar, Patna
9. Dr. Pawan Kumar Banta, Project Co-ordinator, Association for Social Health in India, Shimla
10. Er. T.D. Daryana, former Executive Engineer, U.P. Jal Nigam, Lucknow
11. Ms. Prakriti Sehgal, Biotechnologist, based at Lucknow

# Housing the Poor-Emerging Scenario in India

V. Gnaneshwar

## **Shelter-the critical problem in urban development**

Shelter related programmes received much attention in Indian urban sector after Independence. Various slum eradication/improvement and economically weaker section housing programmes are being implemented which aim to provide shelter and basic services. Yet, the situation appears to be dismal. The National Buildings Organization (NBO) estimated that about 2 lakh units were needed for the houseless and 31 lakh more units required to people who live in kutchha units in 1981 itself<sup>1</sup>. Further, the NBO commented that the even with best possible efforts, just 10 per cent of the backlog is being met. The inadequacy of resource augmentation for funding economically weaker sections housing was brought-out in the Report of National Commission on Urbanization (NCU-1988)<sup>2</sup>. The NCU recommended to step-up funding for the shelter for the poor by nearly three and half times and to build 50 lakh dwelling units over at least ten consecutive years. The NCU recommended easy loans for low income people for extension and repairs for appropriate shelter. The most significant aspect emphasized was tenurial security and recommended provision of homestead land to those families which do not have and living in the city for more than five years.

Further, it observed that the land should be developed, houses built and services provided or else, the precious land may pass on to better off people.

Lamenting on the utter mismanagement of the urban land, the NCU commented that there are no scientific land surveys and data on urban land. Coupled with restricted land use controls, urban land is neither effectively used as an economic resource nor as a planning instrument for orderly development. In respect of land for shelter, neither the demand nor the supply of land was effectively managed. It is necessary that land should be made accessible to all groups of people and the prices also should be under check to control unwarranted speculation. On the supply side, valuable land especially in the core city areas is either locked-up in litigations or inefficiently used both, making urban land underutilized. Urban land ceiling legislation unfortunately led to blocking of precious urban land due to litigations, lack of political will and unauthorized developments. In the peripheral areas, agricultural lands are being converted to urban uses unauthorized due to non-availability of land and government policies. However, in Gujarat and Maharashtra, the development of peripheral lands is encouraged through town planning schemes in the form of land consolidation and readjustment. Other



states are not trying such methods. As a result, development is neither planned properly by the public agency nor the private sector leading to unauthorized, haphazard and unplanned development.

In this respect the NCU comment is apt to mention. The NCU felt that the slums, squatter colonies and unauthorized colonies should be recognized as part of people's effort to provide shelter for themselves in the absence of the state being able to meet the demand. The approach recommended then is regularization rather than removal. Further, the NCU made a very pertinent recommendation that the new developments in the public or private lands should be permitted only if substantial percentage, at least 15 % of the total layout, is made available to the duly constituted authority<sup>3</sup>. These lands could be used for shelter projects of the governments.

### **Urban Housing Policies**

Economic reforms in the post 1990 years have shifted the attention of the policy makers. Urban land is now viewed as a basis for housing and urban development also apart from other developmental needs. Several reforms are underway in urban India on these lines. Shelter and housing policies are being pursued in urban India to meet the increasing demand for housing especially, the poor. The Government of India has been framing national housing policies to guide the governments to provide housing to all people. The focus of these policies however varied based on experience and emerging needs. The first was National Housing Policy, 1992 which focused on controlling land prices. The second one, Housing and

Habitat Policy, 1995 stressed the need for improving housing stock through housing revolution<sup>4</sup>. The third one, National Urban Housing and Habitat Policy, 2007 talks much about equitable supply of land, shelter and services at affordable prices. Equity and affordability are therefore, the prime policy drives of the recent Policy. The National Urban Housing and Habitat Policy, 2007 is an important initiative taken by the Government of India. The National Sample Survey Organization (NSSO) in its 61st Round reports that the number of urban poor has risen by 4.4 million persons, between 1993-94 to 2004-05. In this context, the National Urban Housing and Habitat Policy carefully analyses ways and means of providing the 'Affordable Housing to All' with special emphasis on the EWS and LIG sectors.

Affordable housing to all is the motto of the new Housing Policy. Apart from other objectives, the National Urban Housing Policy aims following which are related to urban land and space:

- Removing legal, financial and administrative barriers for facilitating access to tenure, land, finance and technology.
- Careful review of authorized Floor Area Ratio (FAR) in line with international practices for allowing more efficient use of scarce urban land by construction of high rise buildings.
- Facilitating accessibility to serviced land and housing with focus on economically weaker sections and low income group categories.

- Suitable restructuring for enabling both institutions at the Central and State levels, and the private sector for increasing supply of land.
- Special efforts for catering to the needs of Scheduled Castes, Scheduled Tribes, Other Backward Classes, Minorities, Disabled persons, slum dwellers, street vendors other informal sector workers and other vulnerable sections of the society in relation to housing and access to basic services.
- Forging strong partnerships between public, private and cooperative sectors for accelerated growth in the Housing Sector and sustainable development of habitat.

The state governments have greater role to implement this policy. In regard to optimization of land the Policy recommended that the state governments should:

- Promote optimal utilization of land by innovative special incentives like relaxation of FAR for ensuring that 20-25% of the FAR are reserved for EWS/LIG units or issuance of Transferable Development Rights for clearance of transport corridors and make available additional FAR in outer zones to meet housing shortage of EWS and LIG groups of people.
- Consider for upward review the presently authorized Floor Area Ratio (FAR) in line with international practice of making more efficient use of scarce urban land through construction of high rise buildings in consonance with densities specified in statutory Master Plans.

For para statals like the housing boards and the urban development authorities, the Policy envisaged the following roles:

- Revisit their strategy of operations and chart out a role relating to land assembly and development of fully serviced land with essential services.
- Design multiple products to suit client requirements.
- Forge partnerships with the private sector and cooperatives for housing and infrastructure development especially with reference to Below Poverty Line (BPL)/EWS and LIG segments of the market.
- Use land as a resource for housing with special focus on the urban poor.
- Reduce their dependence on budgetary support in a phased manner and access loans through better product development and implementation on the one hand, and better bankability in terms of escrow account and land mortgage on the other hand.

For the cooperative sector, the Policy envisaged following roles:

- Undertake land assembly and development with special focus on housing with complementary basic services.
- Design public-private partnerships for slum reconstruction on a cross subsidization basis.
- Augment housing stock at an accelerated rate both on ownership and rental basis with a view to

overcoming shortage of EWS/LIG housing units.

In respect of land following action measures are recommended:

- Land assembly, development and disposal will be encouraged both, in the public and private sectors.
- Assembly of land for specified use as per Master Plan will be done by observing the best norms of Regional Planning. District Plans and Metropolitan Plans will be prepared in compliance with the stipulations of the 74th Constitutional Amendment Act. District Plans and Metropolitan Plans will function as sub set of the Regional Plan.
- Private Sector will be allowed to assemble a reasonable size of land in consonance with the Master Plan / Development Plan of each city/town.
- 10 to 15 percent of land in every new public/private housing project or 20 to 25 percent of FAR / Floor Space Index (FSI) which is greater will be reserved for EWS/LIG housing through appropriate legal stipulations and spatial incentives.
- A Special Action Plan will be prepared for urban slum dwellers with special emphasis on persons belonging to SC/ST/OBCs/Minorities/Economically weaker Sections /physically handicapped and Minorities. Due consideration would be given so that Safai Karamcharies and Scavengers are not geographically and socially segregated.

- Beneficiary-led housing development will be encouraged. Suitable percentage of land developed by the Public Sector will be provided at institutional rates to organizations like Cooperative Group Housing Societies, which provide housing to their members on a no-profit no-loss basis. Employee Welfare Organizations will also be promoted since they operate on a no-profit no loss basis. A special package will also be worked out for Labour Housing.

The Housing Policy also laid considerable emphasis on the slum development while preferring development of the existing areas rather than relocating. The specific recommendations are as below:

- The Jawaharlal Nehru Urban Renewal Mission has started to play a vital role both in slum improvement as well as in-situ slum rehabilitation along with provision of security of tenure, affordable housing and basic services to the urban poor.
- Specially designed slum improvement programmes will also be encouraged which focus on upgrading of basic services and environment improvement of urban slums with a participative, in-situ slum rehabilitation approach.
- Inner-city slum redevelopment programmes for creating a better environment would be encouraged with cross subsidization and special incentives.

- Land pooling and sharing arrangements would be encouraged in order to facilitate land development and improvement of basic amenities in slums.
- Release of Transferable Development Rights and additional FAR would be carefully considered for accelerating private investment in provision of shelter to the poor. Community Based Organizations (CBOs), Non-Governmental Organizations (NGOs) and Self-Help Groups (SHGs) would be involved in partnership with the Private Sector.
- The Policy gives primacy to provision of shelter to the urban poor at their present location or near their work place and efforts will be made to ensure that rights provided are non-transferable for a period of 10-15 years.
- Only in cases, where relocation is necessary on account of severe water pollution, safety problems on account of proximity to rail track or other critical concerns relocation of slum dwellers will be undertaken. In such cases, special efforts will be made to ensure fast and reliable transportation to work sites.
- Income generating activities in slums, which are non-polluting, will be encouraged on a mixed land use basis. Efforts will be made to structure such activities as an integral part of housing and habitat projects. ix) The process for integrating the Valmiki Ambedkar Awas Yojana (VAMBAY) and the environment improvement scheme titled National

Slum Development Programme (NSDP) has been undertaken through the Basic Services to the Urban Poor (BSUP) in Mission Cities and Integrated Housing & Slum Development Programme (IHSDP) in Non-Mission cities. Efforts will be made to remove hurdles faced by the States/UTs in implementing these integrated schemes. Further, efforts will also be made to enhance funds under IHSDP as well as develop a new scheme for meeting water, drainage, sanitation and sewerage concerns in slums located in smaller towns with a population below 5 lakhs.

- Formation of Group Cooperative Housing Societies of urban poor and slum dwellers will be encouraged across the country for providing better housing serviced by basic amenities through thrift and credit based CBOs.

### **Slums Development-the Priority Sector**

In a fast urbanizing world, slums become the main issue for urban development sector. A recent Report of the United Nations on Millennium Development Goals<sup>5</sup> comments that over the past 10 years, the share of the urban population living in slums in the developing world has declined significantly from 39 per cent in 2000 to 33 per cent in 2010. On a global scale, this is cause for optimism. But, in absolute terms the number of slum dweller in the world increased to 828 million at present compared to 657 million in 1990 and 767 million in 2000. An important area of concern expressed was non-availability of exact figures on slums in different

countries. The Report further remarked that when the international community adopted the Millennium Declaration and endorsed the 'Cities without Slums' target in 2000, experts had underestimated the number of people living in substandard conditions. They had also determined that improving the lives of 100 million slum dwellers was a significant number and a realistic target to be achieved within the next 20 years. But, three years later, in 2003, new and improved data sources showed for the first time that 100 million was only a small fraction about 10 per cent of the global slum population. The Report concluded that the target will require redefinition based on correct data and baseline figure for getting serious commitment from national governments. Less than a third of the populations of developing regions are living in slums. In the south Asian countries, the average slum population is observed to be decreasing. According to the UN Report<sup>6</sup>, the share of urban population living in slums in south Asian countries decreased from 57% in 1990 to 35% by 2010.

Similar to the global trend, the information on slum population in India also suffer from accurate data. Several estimations are there which give partial or figures based on mathematical calculations. For instance, the Committee on Slum Statistics/Census (2010) chaired by Dr. Pranob Sen<sup>7</sup> has estimated the slum population in India at 7.07 crore forming 26.3% of the total urban population in 2001 and has projected an increase to 9.30 crore by 2011 and to 10.46 crore by the year 2017. These estimations are based on 2001 Census data which covered towns and cities

of above 50,000 population only, and by adopting some statistical methods. The estimations are, therefore, not accurate but stated to be more realistic compared to the present situation of inadequate data base. The Technical Group on the Estimation of Housing Shortage under the Chairpersonship of Prof. Amitabh Kundu<sup>8</sup> estimated the total shortage of dwelling units in urban areas in 2007 to be 2.47 crores growing currently at a rate of 36 lacs per annum. 2.46 crore or 99% of this pertains to the EWS & LIG segments of the urban population. The housing requirement for the 11th Plan period from 2007 to 2012 was estimated to be 2.65 crore.

It is clear that urban housing shortage mainly pertains to the poor people in the low income category. In the context of high land prices and growth of luxury housing in recent years, there is urgent need for focusing on shelter programmes of the poor people. The observations of the UN Report are worth noting here which explain the current problems in India too. The UN Report observed that the public authorities faced four critical problems in meeting the goal of Cities Without Slums by 2020 as targeted by UN in 2000. They are: lack of land titles and other forms of secure tenure; cutbacks in funds for subsidized housing for the poor; lack of land reserves earmarked for low-income housing; and an inability to intervene in the market to control land and property speculation. Low incomes in the face of rising land prices virtually rule out the possibility that the working poor can ever own land, contributing to the problem of

urban slums<sup>9</sup>. The critical element of land is very much appearing in the above observations. The governments have to focus on dealing with land problems. As the poor people can not afford high cost dwelling units, the concept of affordable housing is introduced into the housing projects in India. Interestingly, affordable housing concept is now popular not only in the public sector but also in the private sector as there has been drastic decline for luxury housing due to the global recession.

### **Rajiv Awas Yojana to achieve Slum Free India**

While recognizing the need for increased focus on shelter needs of slums, the Government of India devised a new scheme called Rajiv Awas Yojana as a follow-up to the JnNURM. The aim of the scheme is to achieve Slum Free India. In this respect, land becomes critical. In view of the past failures to provide required land for slum development, the RAY scheme focused more on land requirement. It has emphasized two aspects: one, providing tenural rights to the slum dwellers in the housing projects and taking appropriate measures to ensure that adequate lands are made available for slum shelter programmes. The land requirement estimations for meeting housing needs of the slum dwellers reveal an interesting fact. It is estimated that in the mega cities of India viz., Mumbai, Delhi, Kolkata, Chennai, Bangalore, Hyderabad and Ahmedabad, the land requirement to meet the housing need of slum dwellers is less than 5 per cent of the total land of the city. In smaller towns, this figure would be still lesser<sup>10</sup>. The need,

therefore, is not very difficult.

Cost of land is a very significant component of the cost of housing. Not only the master plans but also state, development authority and urban local body policies in the past have made no provision for ensuring adequate supply of serviced land towards housing the EWS and LIG segments. In fact, some states and urban development authorities have resorted to auction of the limited land available with them in cities, setting exorbitant benchmarks for the market price of land. In this context, there is need for a well-defined policy for allocation of land to EWS and LIG segments in the formal master plans. As the master plan preparation and implementation processes are time consuming, the reform of JNNURM for reservation of 20%-25% of developed land in all new housing colonies for EWS/LIG housing is recommended in the RAY scheme too. Further, it is stated, in line with the practice followed globally in upgrading slums, the occupied land or a part thereof should be allocated to the slum-dwellers to enable them to have access to housing and basic amenities. Both reforms need to be pursued<sup>11</sup>.

The concept of affordable housing is introduced with the RAY project. The purpose is to make housing affordable to all sections of the people including the poor, EWS, LIG and MIG categories. The government of India has issued guidelines to implement the project. The reforms envisaged are similar to the reforms under the JnNURM. The main reforms are as below:

- Security of tenure through entitlement



for promoting inclusive cities. Accordingly, Central Assistance under RAY will be predicated on the condition that States/UTs assign legal title to slum-dwellers over their dwelling space.

- Legislation for property rights to all slum dwellers.
- Reform to the rental and rent control laws regarding urban housing.
- Review and amendment to the legislations, rules and regulations governing urban planning and development structures and systems towards an adequate response to the demands, process and pace of urbanization.
- Internal earmarking within local body budgets for basic services to the urban poor;
- Provision of basic services to urban poor including security of tenure at affordable prices, improved housing, water supply, sanitation and ensuring delivery of other already existing universal services of the government for education, health and social security.
- Earmarking at least 20-25% of developed land in all housing projects (both public and private agencies) for EWS/LIG category with a system of cross-subsidization

### **Socialization of Urban Land**

Land is abundant but its utility and access are the main attributes which make urban lands much valuable and scarce. Land values reflect the capitalization of

future expected income stream in urban context as against the more static farming environment. The change of land uses from agriculture and allied to urban has propensity to increase land prices mostly on speculative factor. Unless the governments effectively take steps to control land speculation, the prices will spiral leading to land cost inflation. The high land prices make urban land inaccessible to poor and low income people. Some feel that the process of globalization has made urban land almost inaccessible to the urban poor and all national level policies are based on market solutions for the poor<sup>12</sup>.

Modern governments have multiple policy instruments available to deal with urban land development and related social issues. The options are: land acquisition; direct government investment in urban infrastructure, housing etc.; public-private-partnership; monetization; and fiscal measures like taxation and charges. Despite availability of these options, the governments have been largely biased towards acquisition and direct investment. Emphasis on powerful legislations like the Land Acquisition Act, 1894 and the Urban Land (Ceiling & Regulation) Act 1976 (ULCRA), and on resource mobilization for direct government investment amply demonstrate this trend.

### **ULCRA - a failed experiment.**

The objectives of the ULCRA<sup>13</sup> are to prevent the concentration of urban property in the hands of a few persons and speculation and profiteering therein; to bring about socialization of urban land in urban agglomerations to ensure equitable distribution; to discourage construction of

luxury housing leading to conspicuous consumption of scarce building material; and to secure orderly urbanization. The ULCRA provided for imposition of a ceiling on both, ownership and possession of vacant land in urban agglomerations and acquisition of the excess vacant lands. These objectives, though laudable could not be achieved for obvious reasons. The implementation of the ULCRA failed mainly due to:<sup>14</sup>

- Absence of clarity and too much discretionary powers given to the state governments for granting exemptions.
- Compensation provided for the acquired land was very little, which often led to lengthy litigation disputes. The maximum compensation was Rs.10 per sq. meter and the total compensation could not exceed Rs.2 lakhs per owner. This made landowners reluctant to declare their vacant land as surplus.
- Absence of a mechanism to encourage the entry of the vacant urban land into the land market through appropriate fiscal measures. Land prices in cities reached astronomical heights due to artificial scarcity of land created by ULCRA.

It is interesting that the ULCRA led to land blockage, increased prices due to speculation and created scarcity of urban lands denying access of urban land to the poor and low income people, the very objective of land socialization which it aimed to achieve. The performance of the ULCRA clearly indicates that the social purpose could not be realized. For instance, the state governments could physically acquire only

19,020 ha. of excess vacant land out of an area of 2,20,674 ha. estimated to be in excess of the ceiling limits. This works out to a mere 9 per cent of the total estimated excess vacant lands. Further, about 5327 ha. of the excess vacant lands were exempted under Section 21 of the Act for the purpose of construction of dwelling units for weaker sections of the society<sup>15</sup>. Again Andhra Pradesh data shows that lands allocated for weaker section housing purposes was also negligible. For instance, out of 1243 hectares of surplus land allocated for various public organizations, the Government allocated just 180 hectares for weaker sections housing purposes and 211 hectares for the State Housing Board for taking-up various housing projects<sup>16</sup>. It means about 30 % of the land were allocated for housing purposes. With the realization of the failure of the ULCRA, there has been increasing demand for repeal of the ULCRA and ultimately it was repealed by the Government of India in 1999 and later in all the states.

### **Land Acquisition-a cumbersome and socially problematic method.**

The process of land acquisition for public purposes is riddled with complex legal, social and economic issues. At the outset, people oppose the land acquisition proceedings as it disturbs their livelihood/assets. The compensation and rehabilitation procedures are also cumbersome and not attractive. Several housing and infrastructure projects in towns and cities are held-up and sometimes shelved due to prolonged procedures and court litigations. The sites and services projects taken-up under schemes like IDSMT in the small and medium towns were



found to be failures because of land acquisition problems. Success was seen only in respect of projects where government/municipal lands were readily available. Later, even the project sanction was linked to the availability of the lands with the ULBs. In cases where alternative sites are offered, the owners express their inability to accept either due to livelihood problems or due to inadequate compensation. In spite of the government intentions to increase the compensation and providing tax incentives, the response appears to be not encouraging. In the context of increased land prices, land acquisition method is clearly proved to be ineffective and costly proposition.

Land acquisitions are essential to implement the infrastructure development projects in spite of the problems being encountered. For instance, in respect of large road projects land acquisition is compulsory. Land acquisition need to be made attractive or at least less troublesome by certain incentives either in the form of kind or money or better rehabilitation. The new Land Acquisition Act being proposed is a hope in this direction.

### **The Strategy of Reservation of Land for the Poor**

The concept of reservation of land to the poor in urban areas was introduced as back as 1976 in Gujarat. The Gujarat Town Planning and Urban Development Act (GTPUD), 1976 has a provision of reserving land for the urban poor defined as socially and economically weaker section housing. The GTPUD Act<sup>17</sup> provides for “*reservation of land to the extent of ten per cent; or such percentage as near there to as possible of*

*the total area covered under the scheme, for the purpose of providing housing accommodation to the members of S.E.W.S.*” The idea of reserving land for the SEWS housing is to minimize the distance between residential location of the poor and the distance from the work area by providing land for the poor in all the TP Schemes in a city. The Ahmedabad Municipal Corporation in 2009 allocated 135 hectare out of 1692 hectare of land for SEWS housing. The allocation of the public lands for slum up gradation is considered to be small around 8 per cent compared to other public uses giving indication that slum housing is not a priority of the public authorities<sup>18</sup>. Some research studies bring-out that though planning schemes such as TP Scheme in Gujarat does provide lands for the poor, the local government does not take the advantage of this and do not build SEWS housing on it due to various administrative and legal reasons. The underutilization of SEWS housing land is considered to be a serious mismanagement of resources and inefficient land management problem. Further, it is brought-out that lands are available for poor people housing contrary to the claims of public authorities that there are no lands available for housing the poor in the city of Ahmedabad according to one study<sup>19</sup>.

### **Initiatives in Andhra Pradesh**

All the state governments are now in the process of implementing these reforms. The Government of Andhra Pradesh has also initiated steps in this direction. A State Level Committee was constituted under the chairmanship of the Commissioner and Director of Municipal Administration,

Government of Andhra Pradesh to suggest changes in the legal framework to implement the RAY scheme in the State. A Departmental Committee was also constituted under the chairmanship of Director of Town & Country Planning to suggest on required amendments to the Acts governing the town planning in the state to enable revision of population density norms, Floor Area Ratio (FAR), land use, etc. The Departmental Committee suggested to earmark 20% of developed land in all housing projects and also suggested necessary amendments to the Building Rules. Accordingly, the Government of Andhra Pradesh issued a G.O. for making necessary changes in the Building Rules governing various municipalities and corporations in the state. As per this order, in all group/cluster/row housing projects, the developer shall provide at least 20% of the developed land for Economically Weaker Sections (EWS) and Low Income Groups (LIG)<sup>20</sup>.

In Andhra Pradesh, the Government issued G.O.<sup>21</sup> to implement the affordable housing project. State specific guidelines are provided in this order. Apart from reiterating the main objectives and reforms, the state guidelines provided following incentives:

- Automatic exemption of Project from application of Land Ceiling laws for the whole Project.
- 100 % Stamp duty exemption for built up units (independent houses as well as flats) up to 80 sq m (860 sq. ft) built up area (inclusive of all common areas) provided that such exemption shall be

applicable to one time registration only. The registration would be done on Rs. 100 stamp paper.

- Automatic land use conversion from agriculture/conservation and other uses except industrial /water bodies/ recreation uses to residential use for the whole Project. No levy of conversion charges for land use modification to Statutory Master Plan/ZDP for the whole Project.
- No levy of Non-agriculture conversion charges.
- 50% waiver on levy of Development charges for the affordable housing component. No fees and charges shall be leviable for the affordable housing component.

In case of Group Housing Schemes, some reservations are also proposed. For instance, of the total number of dwelling units proposed, at least 25 % shall be EWS dwelling units and at least 15 % shall be LIG dwelling units of the total dwelling units constructed, and the number of EWS and LIG dwelling units shall be minimum 200 so to qualify for incentives and requirements under this Affordable Housing Scheme. And in case of layouts/plotted Schemes for housing, minimum 25 % of the total number of plots shall be EWS and 15 % shall be for LIG in such Affordable housing component, and such number of plots of EWS and LIG shall be minimum 200 so to qualify for incentives and requirements under this Affordable Housing Scheme. The minimum planning and building regulations were prescribed in these guidelines. It is specifically mentioned that if any

discrepancy occurs in these rules which contradict the earlier Building Rules issued for all housing programmes, the rules prescribed in this new guidelines prevails so far as the group housing or cluster housing under the affordable housing project is concerned.

In order to promote affordable housing for the low income groups, the Government of Andhra Pradesh provided a special rebate of 5% in the Stamp Duty for Registration of flats and apartments admeasuring 1200 sft which are used for residential purposes only<sup>22</sup>. The concession was applicable from 01.01.2009 to 31.12.2010. The concession is applicable only to Stamp Duty and the Transfer Duty and registration fees will continue to be levied at the existing rates. Further, it is stipulated that the concession is not applicable to independent houses and flats/apartments having less than 5 units and the concession is applicable to one time registration only and for the apartments which are approved by the competent authorities.

### **Perspectives**

Social housing is the most priority area enunciated in the successive housing policies in India after Independence. But, the efforts so far made appear to be very inadequate and feeble. In the initial period after Independence, it was the problem of adequate legal and administrative support. The Urban Land Ceiling and Regulation Act which was meant for socializing urban lands, could not realize the objective and instead, it led to unnecessary land blockage and increase of land prices. The land use conversion is riddled with legal and

administrative problems. In the post economic liberalization period in India, demand for urban land became much more competitive. The speculative feature dominated rather than housing and urban development. The major issue appears to be increasing competition for the scarce and costly urban lands. The commercial interests dominated in reality. Land mafias in metropolitan cities and industrialist lobbies outplay in this competition. Public authorities often succumb to private sector pressures.

Reservation of lands for the urban poor and other economically weaker sections is a welcome feature. But, the real problem is commitment of the public authorities to use such lands effectively to realize the objective of providing affordable housing. In respect of private lay-outs, it requires workable public-private strategies to construct affordable houses. Further, the lands reserved should be usable for housing. If reservation is done purely to satisfy the legal provisions, it may not serve the purpose.

Though governments have announced the policies and willingness to provide affordable housing, the subsequent implementation strategies are yet to be worked out and made operational. Land title registration is yet to take shape in urban sector in India. This is important for assuring security of tenure for the urban poor. It will also curb misuse of land/house allotments to the poor. Several cases of misuse by the administration and vested interests are surfacing in several parts of the country mostly reported in the media. For instance, in Hyderabad, allotment of houses constructed under the JNNURM were

reported<sup>23</sup> to be made overlooking the basic norms leading to allotment of double houses for the same beneficiaries in respect of about 100 beneficiaries and double registration of same house to two beneficiaries falling in two districts viz., Hyderabad and Ranga Reddy in case of at least 54 persons and allotment of houses to the persons not eligible as per the norms. This only indicates that the benefits under social housing are not going to the needy persons due to gross neglect of the rules/norms and defective property information and registration system. One basic issue here is streamlining the land record and information system in urban areas. Once such an exercise is done, reservation of lands to the poor become meaningful. The planners can identify viable lands for housing the poor and reserve such lands for housing. Until land records are in proper shape, public authorities cannot identify potential lands for social housing. This has to be followed by effective housing strategies through affordable financing and public-private partnership initiatives. Interactions with the developers reveal they are very skeptical about speedy administrative clearances. The administrative delays often increase the project costs leading to shelving of the projects. Several housing projects are pending due to legal, administrative and financial issues. This is where the role of public authorities becomes significant as catalysts between the people and the developers.

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# **Capitalistic form of Urbanization in absence of 73rd & 74th Constitutional Amendment Spirit: A Persistent Threat of Social Exclusion and Poverty**

**S.S.A.Jafri  
S. M. S. Jafri**

## **Introduction**

Uttar Pradesh is one of the largest populated state in India accommodates 166.2 million population with a density of 690 persons per square kilometer. Out of 242 million hectares of reported area 68.6 per cent is cultivated land. Now only 31.4 per cent land is left for non-agricultural uses. Only less than 7.0 per cent is forest land and that too is not effectively covered by forests, when according to forest policy there should be one-third forest cover for healthy environment. Adverse environmental impact is now reflected in falling yield and increasing other fallow and current fallow lands as it is becoming uneconomical to cultivate. For example in Sultanpur, Pratapgarh, Lucknow and Unnao districts other and current fallow lands have increased upto 15.0 per cent. In U.P. cereal production was 41.76 million metric tones in 2001-02 which has fallen to 37.57 million metric tones in 2004-05 due to land degradation. During last 50 years we have treated most of the wastelands and added mostly with agricultural land, but it is reported that after few years of cropping, land is again becoming infertile and uneconomical. Expert opinion is that after treatment of wasteland, it should be brought under plantation rather than bringing under cultivation. Industrialization, urbanization and globalization are the world

phenomenon. Uneconomic agriculture, landlessness among rural masses and quest of modernization has created momentum to migrate from rural to urban areas that too towards metropolitan cities, where congestion and pollution is unimaginable. During last fifty years the land under non-farm use related to mainly urban has almost doubled, which would continue to grow. More than 50.0 per cent districts are showing above the state average, i.e., 10.6 per cent land under non-farm use. In Ambedkar Nagar, Kushi Nagar, Sant Ravi Das Nagar and Ghaziabad districts, the land under non-farm use has crossed beyond 15.0 per cent and many other districts are on the same trend.

If we analyze the land utilization during 2002 and 2005 we find that during these five years the land put to non-agricultural uses has risen 5.3 per cent and the current fallow has risen to 18.6 per cent and as a result the land which is lifeline, i.e. forest land and net area sown has decreased to 0.1 per cent and 0.8 per cent respectively. The land put to non-agricultural uses is occupying about 10.9 per cent area and in most of the cases it is expanding on most of the fertile lands when this land is important for food grain production for feeding the teeming millions. We are in deficit of 23 per cent of forest cover which is necessary to meet the National Forest Policy and as well to provide the better environment

and retain the fertility of the soil. Urbanization and industrialisation are the dialectical phenomenon which cannot be stopped but we must have certain policy to control their haphazard growth. China is the example before us where urbanization and industrialization is far ahead but they are

progressing in controlled manner, most of the Chinese town and cities are growing vertically and not horizontally like India also unlike India the smaller towns are growing faster whereas the big metropolitan cities are stagnant in population and aerial expansion (see Table 1).

**Table : 1**  
**Land Utilisation in Uttar Pradesh: 2002 - 2005**

Land Use	Percentage Area		Percentage Growth 2002 & 2005
	2002	2005	
Total Area of U.P.	24202000 (100.00)	24201000 (100.00)	
Forest Land	6.98	6.97	-0.06
Land Put to Non-Agricultural Uses	10.38	10.94	5.33
Barren & Uncultivable Land	2.46	2.19	-10.92
Pasture and Grazing Land	0.29	0.26	-9.86
Miscellaneous Trees	1.47	1.42	-3.38
Cultivable Waste Land	2.14	1.88	-12.36
Fallow/Other than Current Fallow	2.58	2.37	-8.16
Current Fallow	4.24	5.03	18.62
Net Area Sown	69.47	68.94	-0.77

**Source:** (a) Based on Statistical Abstract of U.P., 2006, (b) Sankhyakiya Patrika of U.P.

Land put to non-agricultural uses in Uttar Pradesh is increasing every year, during 2001 and 2005 the growth rate was 11.41 per

cent, which is expected that during recent years the growth rate would be much faster (see Table 2).

**Table : 2**  
**Annual Growth Trend of Land Put to Non-Agricultural Uses  
in Uttar Pradesh, 2001-2005**

Year	Land Put to Non-Agricultural Uses Percentage from Geographical Area (2005)
<b>2001</b>	9.82
<b>2002</b>	10.39
<b>2003</b>	10.55
<b>2004</b>	10.72
<b>2005</b>	10.94

**Source:** Based upon Statistical Abstract of U.P., 2007.



Since Uttar Pradesh is one of the largest States the land put to non-agricultural uses has been worked out according to its four geographical regions [(i) Western region, (ii) Central region, (iii) Bundelkhand region and (iv) Eastern region] during 2001 and 2008. Comparatively Western region is highest urbanized in Uttar Pradesh but its growth rate during 2001 and 2008 is less than the State average in land put to non-agricultural uses. The Central region has recently (2008) surpassed the State average in its land put to non-agricultural uses. The growth of land put to non-agricultural uses has risen to 19.1 per cent during 2001 and 2008. Similarly in

Bundelkhand during last eight years the growth rate has gone up to 17.6 per cent. In case of Eastern region the growth rate of land put to non-agricultural uses was higher than the Western region but it was quite far behind than the Central region and Bundelkhand. Overall the growth rate of land put to non-agricultural uses was below the State average in only Western region but in Central region, Bundelkhand and Eastern regions it was quite high, i.e. 22.2, 18.5 and 10.7 per cent respectively. The growth of land put to non-agricultural uses is alarmingly high in Central region and Bundelkhand which needs an urgent policy and control (see Table 3).

**Table : 3**  
**Land Put to Non-Agricultural Uses in Regions of U.P, 2001 - 2008**

Region	Percentage from Geographical Area		
	% of Land Put to Non -Agricultural Uses		Percentage Growth
	2001	2008	2001-08
<b>Western Region</b>	11.69	11.96	6.34
<b>Central Region</b>	10.46	12.78	22.23
<b>Bundelkhand</b>	7.47	8.85	18.46
<b>Eastern Region</b>	11.65	12.90	10.70
<b>Total Uttar Pradesh</b>	<b>10.93</b>	<b>12.09</b>	<b>10.65</b>

**Source:** Based on Sankhyakiya Patrika of U.P. ([upgov.up.nic.in/engspatrika](http://upgov.up.nic.in/engspatrika))

During 2008 there are districts in Uttar Pradesh where rural land put to non-agricultural uses has gone up quite high than the State average 10.7 per cent. For example highest proportion of land put to non-agricultural uses are occupied in districts like Ghaziabad 18.4, Ambedkar Nagar 17.6, Kushi Nagar 17.4, Sant Kabir

Nagar 15.3, Ballia 14.8, Ghazipur 14.0 per cent. While calculating the growth rate during 2001 and 2008 we worked out the average annual growth rate of rural areas put to non-agricultural uses in the State average comes 1.5 per cent. There are districts where the annual growth rate is manifold than the State average, for



example, Chitrakoot 10.4, Faizabad 8.7, Mahoba 6.6, Kanpur Urban 6.5, Unnao 5.6 and Ambedkar Nagar 5.0 per cent. In most of the cases the land put to non-agricultural uses in rural areas is in fact influenced by neighbouring towns and cities which are in the process of transition to become urban

land. Also to save the valuable fertile agricultural land there is an urgent need of government policy which should be prepared by the Town and Country Planning Organization and it should be strictly implemented to adopt vertical growth of settlements, industries and towns/cities. (see Table 4).

**Table : 4**  
**Districts of Fast Growth (Above Average) Land Put to**  
**Non- Agricultural Uses in Rural Areas of Uttar Pradesh, 2001 & 2008**

Districts	Percentage of Rural Land Put to Non-Agricultural Uses (2008)	Percentage Growth of Land Put to Non-Agricultural Uses (2001 - 2008)	Percentage Average Yearly Growth (2001-08)
Saharanpur	13.30	14.38	1.80
Meerut	12.60	16.62	2.08
Ghaziabad	18.38	19.30	2.41
Bulandshahr	11.08	21.65	2.71
Aligarh	9.50	13.97	1.75
Ferozabad	9.93	31.20	3.90
Pilibhit	11.31	13.54	1.69
Etawah	10.02	22.01	2.75
Hardoi	8.61	13.09	1.64
Unnao	11.60	44.52	5.57
Lucknow	11.65	46.23	2.03
Rae Bareli	13.00	24.92	3.12
Kanpur Dehat	8.53	23.50	2.94
Kanpur Urban	11.12	51.70	6.46
Faizabad	11.15	69.71	8.71
Mahoba	12.36	52.57	6.57
Lalitpur	8.00	26.59	3.32
Chitrakoot	8.98	83.39	10.42
Bahraich	12.65	25.27	3.16
Gorakhpur	12.91	17.42	2.18
Deoria	12.22	19.51	2.44
Ballia	14.82	19.34	2.42
Ghazipur	14.04	23.17	2.90
Varanasi	13.67	25.39	3.17
Kushinagar	17.37	12.36	1.55
Ambedkar Nagar	17.55	39.84	4.98
Mahamaya Nagar	10.06	24.00	3.00
Sant Kabir Nagar	15.28	32.98	4.12
Barabanki	13.83	16.09	2.01
Total U.P. Rural	10.67	12.17	1.52

Source: Based on Sankhyakiya Patrika of U.P. ([upgov.up.nic.in/engspatrika](http://upgov.up.nic.in/engspatrika))

If we go to micro-block level to understand the fast growth of rural land put to non-agricultural uses, we find at least 29 blocks are showing very fast growth rate, there are blocks like Razapur block, Loni block in Ghaziabad, Morava block in Muzaffarnagar, Kashi Vidyapeeth block in Varanasi and Kaurihar block in Allahabad where land put

to non-agricultural uses is occupying more than one-fifth of the total area of the block. There are blocks where annual growth rate is more than 10 per cent which are Dabri block in Gautam Budh Nagar, Sarojininagar block in Lucknow, Rasulabagh block in Kanpur Dehat and Bhitargaon in Kanpur Nagar (see Table 5).

**Table : 5**  
**Block-wise Growth of Land Put to Non-Agricultural Uses, 1998-2008**  
**(Blocks with above 10 per cent Growth)**

District/Block	Percentage from Geographical Area of Respective Block (2008)	Percentage Growth (1998-2008)
<b>Gautam Budh Nagar</b>		
(a) Jewar Block	15.03	81.88
(b) Dadri Block	9.62	116.56
<b>Ghaziabad</b>		
(a) Bhojour Block	13.82	23.55
(b) Muradnagar Block	15.07	24.42
(c) Razapur Block	23.13	23.46
(d) Loni Block	36.80	23.46
(e) Dhaulana Block	16.31	23.48
(f) Hapur Block	14.53	23.52
(g) Simbhawali Block	13.45	23.77
(h) Garh Mukteshwar Block	13.46	23.53
<b>Baghpat</b>		
Binauli Block	11.31	17.44
<b>Muzaffarnagar</b>		
Morava Block	23.43	26.19
<b>Meerut</b>		
Hastinapur Block	18.93	18.56
<b>Bulandshahr</b>		
Sikandrabad Block	13.81	55.48
<b>Aligarh</b>		
Bijouli Block	16.27	42.96
<b>Mathura</b>		
Mathura Block	17.61	37.25

<b>Saharanpur</b>			
(a) Ballia Keri Block		18.21	33.03
(b) Sarsawan Block		14.93	14.89
<b>Bijnore</b>			
Nazibabad Block		8.73	44.00
<b>Varanasi</b>			
Kashi Vidyapeeth Block		24.82	90.72
<b>Lucknow</b>			
(a) Mal Block		10.01	30.00
(b) Bakshi-ka-Talab Block		12.92	21.54
(c) Chinhat Block		31.28	83.28
(d) Sarojininagar Block		18.83	109.82
(e) Gasaiganj Block		8.89	34.02
(f) Mohanlalganj Block		11.68	43.73
<b>Kanpur Dehat</b>			<b><u>2001-08</u></b>
Rasulabad Block		11.11	149.51
<b>Kanpur Nagar</b>			<b><u>1998-08</u></b>
Bhitargaon Block		18.28	150.82
<b>Allahabad</b>			<b><u>2001-08</u></b>
Kaurihar Block		22.56	40.92
<b>Total U.P. (Rural, 2001-2008)</b>		10.67	12.17

**Source:** Based on Sankhyakiya Patrika of U.P. ([upgov.up.nic.in/engspatrika](http://upgov.up.nic.in/engspatrika))

In whole Uttar Pradesh out of 70 districts (2001) in Lucknow district the occupation of land put to non-agricultural uses is among the highest both in rural and urban areas. In Lucknow rural average (2006-08) land put to non-agricultural uses is 10.3 per cent, but in Chinhat block it is 30.6 per cent followed by Sarojininagar block 14.8 per cent. In Lucknow district only 53.6 per cent area is reported as net area sown, which is lowest in the state. It means that lot of land is diverted to urban areas as 14 per cent of the Lucknow district is occupied by the urban. During 1995-97 and 2006-08 31.6 per cent net area sown in Chinhat block

was diverted for city expansion followed by Sarojininagar block from which 10.1 per cent net area sown was grabbed for the city and from Bakshi-Ka-Talab block about 5.6 per cent area was extracted from net area sown for city expansion. Overall in Lucknow district 1.4 per cent area was reduced and mostly diverted from net area sown to urban expansion during 1995-97 and 2006-08. This is the result of horizontal expansion of Lucknow Metropolitan City, which is expanding without any plan and control and without regional urban planning norms. We have to prepare a land use policy under modern regional urban planning in order to

have a sustainable development in all regions and all sectors. Otherwise such unplanned growths would add the poverty

and overall chaos especially among small and marginal farmers of rural-urban fringe(see Table 6).

**Table : 6**  
**Growth of Area Put to Non-Agricultural Uses in Fastest Growing District of Lucknow (Block-wise), 1995-97 and 2006-08**

Blocks	Percentage from Average Geographical Area (2006-08)		Percentage Growth of Average (1995-97 and 2006-08)	
	Average Land Put to Non-Agricultural Uses (2006-08)	Average Net Area Sown (2006-08)	Area Put to Non-Agricultural Uses	Net Area Sown
<b>Malihabad</b>	8.20	70.37	3.21	9.78
<b>Mal</b>	9.94	69.77	26.91	12.72
<b>Bakshi-ka-Talab</b>	10.98	63.90	1.99	<b>-5.55</b>
<b>Kakori</b>	11.95	66.90	11.04	0.72
<b>Chinhat</b>	30.58	43.17	93.36	<b>-31.55</b>
<b>Sarojininagar</b>	14.77	57.73	60.75	<b>-10.05</b>
<b>Gosaiganj</b>	8.44	64.41	10.00	0.67
<b>Mohanlalganj</b>	9.39	58.32	14.40	4.87
<b>Total of Rural Distt. Lucknow</b>	10.32	53.61	27.53	<b>-1.37</b>

**Source:** Based on Sankhyakiya Patrika of U.P. (upgov.up.nic.in/engspatrika)

### Impact of Lucknow Metropolis

Lucknow district occupies about 2519 sq. km. area in Central region of Uttar Pradesh and it is privileged with having the capital city of the most populated state of India. Lucknow district is having 8 blocks, namely, Malihabad, Mal, Bakshi-ka-Talab, Kakori, Chinhat, Sarojininagar, Gosaiganj and Mohanlalganj. Lucknow the capital city which is now a metropolis with 2.25 million population (2001) is spreading quite fast on its peripheral areas and encroaching on

adjoining fertile agricultural land of rural blocks mainly Sarojininagar, Chinhat, Mohanlalganj, Mal and Bakshi-ka-Talab.

Lucknow city along with Cantonment was occupying only 50 sq. km. in 1950, which spread on 110 sq.km. in 1971, 146 sq.km. in 1981, 338 sq.km. in 1991 and about 450 sq.km. in 2001. In 1981 its population was 1.08 million which doubled in 20 years to 2.25 million in 2001 and in next 20 years, i.e. 2021 it is expected to be 4.50 million. (See Table 7)

**Table : 7**  
**Population Growth in Lucknow, 1901-2001**

Decade	Lucknow Agglomeration			Lucknow Municipal Corporation			Lucknow Cantonment		
	Population	Decadal Growth	Percentage Growth	Population	Decadal Growth	Percentage Growth	Population	Decadal Growth	Percentage Growth
<b>1901</b>	256239	—	—	256239	—	—	—	—	—
<b>1911</b>	252114	-4125	-1.61	252114	-4125	-1.61	—	—	—
<b>1921</b>	240566	-11548	-4.58	240566	-11548	-4.58	—	—	—
<b>1931</b>	274659	34093	14.17	251057	10531	4.38	23562	—	—
<b>1941</b>	387177	112518	40.97	361294	110197	43.89	25883	2321	9.85
<b>1951</b>	496861	109684	28.33	459484	98190	27.18	37377	11494	44.41
<b>1961</b>	655673	158812	31.96	615523	156039	33.96	40150	2773	7.42
<b>1971</b>	813982	158309	24.14	774644	159121	25.85	39338	-812	-2.02
<b>1981</b>	1007604	193622	23.79	947990	173346	22.38	59614	20276	51.54
<b>1991</b>	1669204	661600	65.66	1619116	671125	70.79	50089	-9525	-15.98
<b>2001</b>	2245509	576305	34.53	2185927	566811	35.00	59582	9493	18.95
<b>2011 (Projected)</b>	3226000	900491	40.10	3166000	980073	44084	60000	418	0.70
<b>2021 (Projected)</b>	4500000	1274000	39.49	4440000	1274000	40.24	60000	000	0.00

**Source:** Based on Census of India and Lucknow Master Plan, 2021.

Lucknow has become one of the most polluted cities in India, where in 2001 census 22,45,509 population was recorded, which is expected to reach 45,00,000 population in 2021.

### **Acquisition of Land Around Lucknow Metropolis**

Lucknow being the capital city has a continuously fast process of occupying the neighboring fertile land of the villages. The result is during last 13 years, i.e. between

1994-95 and 2007-08, the growth rate of land put to non-agricultural uses in neighboring rural areas of Lucknow metropolis was recorded 45.1 per cent. For example, in Sarojininagar block the land put to non-agricultural uses grew to 109.8 per cent, Chinhat block 83.3 per cent, Mohanlalganj block 43.7 per cent, Gosaiganj block 34.0 per cent, Mal block 30.0 per cent and in Bakshi-ka-Talab block 21.5 per cent. If we see the proportion of geographical area of Chinhat block brought

under land put to non-agricultural uses was maximum in Lucknow district, i.e. 31.3 per cent in 2008.

One slow and another fast urbanizing villages i.e. Dhawan and Shivpuri respectively are located adjacent to eastern side of Lucknow metropolis in Chinhat Block were identified for sample survey. The geographical area of Dhawan Village was 200 hectare and Shivpuri 300 hectare. Among these villages Dhawan is left with only about 50 hectare of agricultural land when in Shivpuri most of the land is occupied in urban process. There are 250 households in Dhawan village when in Shivpuri 5000 households are there. Most of the houses in both the villages are pucca. Religion wise only less than 10 per cent population belongs to minority. Caste wise majority population belongs to OBC (Other Backward Caste). In records 84 households (64 Hindu, 20 Muslim) in Dhawan Village and 341 (326 Hindu and 15 Muslims) in Shivpuri village belongs to BPL (Below Poverty Level) category who are entitled for various benefits under government schemes.

In Dhawan village about 6 ponds were there which were perennial but today only 3 ponds are left perennial and 1 pond non perennial. In Shivpuri only 1 pond was perennial earlier, which is now non perennial. In both the villages the ground water is about 20 to 25 feet below the ground surface, but for perennial boring farmers go up to 120 feet deep. In remaining agricultural land mainly wheat and paddy is grown and the productivity is lowered to 5 to 10 quintal per bigha (20 biswa) and food grain is retained for only household

consumption, except vegetable is sold in the market. Most of the households have almost shifted their dependence on non farm activities, as the remaining agricultural land has become non productive and it is in the process of selling with the hope of better prices for urbanization which is imposed. Lands purchased by Government by force are paid only less than Rs.50,000/- per bigha when private parties are paying in millions of rupees (present rate is between Rs.3 lakh to 6 million). It is highly objectionable that farmers are deprived by government by force and their livelihood is snatched through spurious laws. It is high time that government must pay the promised compensation to the farmers through which farmers would slowly adopt to adjust with the non-farm livelihood, otherwise it is injustice to impose least value of land.

During rainy season both villages suffer from the effects of bad drainage system. Household of both the villages mostly depend upon private hand pumps, except few households depend on public hand pumps mark IV. Households suffer mainly by stomach diseases, fever, cough, blood pressure, small pox and sugar but none of these villages have proper health centre. About 15.0 per cent natives of these villages have their own toilets. When 60.0 per cent newly settled households have their own toilets. There is a lot to do to improve the hygienic condition in these villages. There is co-ed primary-middle school in Dhawan village when in Shivpuri 3 primary-middle schools are there, however children of affluent class go out for convent education i.e. English medium education.

### Population Dynamics

Over all 120 households were surveyed for this study. Total 60 households from each Dhawan and Shivpuri villages were identified belonging to their dominant occupations. Cultivators, animal husbandry, business, agricultural labourers non agricultural labourer and services. Thus

information of 354 people of Dhawan and 365 of Shivpuri village were recorded. In Shivpuri sex ratio was recorded 1006 females per thousand males because here SC households are comparatively more in household sample and higher castes households are less in comparison to Dhawan village where sex ratio was found 989. (See Table 8)

**Table : 8**  
**Caste wise Households and Population in Chinhat Block**

Main Occupation/ Sample Villages	Surveyed H.H	Households			Population		
		Higher Caste	OBC	SC	Male	Female	Total
Cultivators							
Dhawan	21	4	12	5	78	80	158
Shivpuri	5	1	4	-	15	12	27
Animal Husbandry							
Dhawan	6	-	6	-	16	13	29
Shivpuri	3	-	3		9	8	17
Business							
Dhawan	6	2	3	1	12	12	24
Shivpuri	6	1	5	-	13	8	21
Agricultural Labour							
Dhawan	10	1	8	1	26	26	52
Shivpuri	2	-	-	2	4	7	11
Non Agri. Labour							
Dhawan	14	-	12	2	41	35	76
Shivpuri	34	-	16	18	117	122	239
Service							
Dhawan	3	1	1	1	5	10	15
Shivpuri	10	2	5	3	24	26	50
Total							
Dhawan	60	8 13.3%	42 70.0%	10 16.7%	178	176	354
Shivpuri	60	4 6.7%	33 55.0%	23 38.3%	182	183	365

**Source:** Based on survey conducted by the author and his team during December 17, 2009 to January 3, 2010 at Giri Institute of Development Studies, Lucknow

Out of total surveyed population in Dhawan village 9.0 per cent are in the age group of 0-5, 23.5 per cent in 6-14, 64.4 per cent in 15-60 and 3.1 per cent in 60 plus age group. When in Shivpuri village 0-5 age group children are 7.7 per cent, 6-14 children are 25.8 per cent, 15-60 working age group in 66.0 per cent and old age of 60 plus are only 0.6 per cent. Children and old age dependents are slightly more in Dhawan village i.e. 35.6 per cent than Shivpuri village with 34.0 per cent.

### **Economic Activity**

In both Dhawan and Shivpuri villages people engaged in different activities are accounted and found it differed due to more available cultivable land in Dhawan village than in Shivpuri village which is almost urbanized. In Dhawan village 12.0 per cent people are self employed, when in Shivpuri only 5.3 per cent are self employed. In Dhawan regular salaried employees are 2.0 per cent, when Shivpuri they are 3.0 per cent. In primary activities 6.0 per cent people are engaged in Dhawan village when in Shivpuri only 2.0 per cent people are engaged. In Dhawan non agricultural labourers are only 4.0 per cent when in Shivpuri they are 11.5 per cent. Just opposite in Dhawan 1.0 per cent are agricultural labourers when in Shivpuri it is less than 0.2 per cent. In Dhawan unemployment is only 5.0 per cent when in Shivpuri where almost all the agricultural land is urbanized, unemployment is 12.0 per cent. In household work, where mainly females are found in both the villages i.e. Dhawan and Shivpuri. It is 21.0 and 22.5 per cent respectively. In household and other

activity also mainly females are engaged the proportion is the same in both villages i.e. 2.0 per cent.

### **Land Acquisition and Compensation**

Till nineties agricultural land in Dhawan and Shivpuri villages was about 216 and 147 bigha which was owned by 35 and 27 households respectively. At the time of household survey it was reported that from both Dhawan and Shivpuri villages about 83.0 and 45.0 per cent households respectively sold their lands, partially or completely. Since agricultural land in both the villages was not sufficient for proper livelihood, therefore from very beginning majority of households were engaged in non-farm activities. Land sold to Government was only due to compulsion as land owners were forced by the Government orders to acquire the land. Since Government compensation was too low which ranged merely between Rs.16,000 to 36,000 per bigha, land owners try to evade it or sell their land to private parties from whom they get Rs.1,00,000 to Rs. 16,00,000 per bigha. Those land owners who were able to sell their land privately were lucky which is reflected from their life style but contrary to that land owners getting meager land compensation from Government remained poorer and poorer.

Land owners of Dhawan village were extremely unlucky where 32.0 per cent land was sold to private buyers and 63.0 per cent was sold to Government. When in Shivpuri village 66.0 per cent land was sold to private parties and rest 34.00 per cent land was bought by the Government. Land owners



who got hefty amounts from private buyers when those who got compensation from Government became hand to mouth. (See investing in income generating activities, Table 9)

**Table : 9**  
**Land Sold by Households in Chinhhat Block**

Main Occupation/ Sample Villages	Household owned/sold the land	Total Land initially owned in bigha	% of H.H sold land/ affected	% of land sold	% age land sold privately	% age land sold to Govt.
<b>Cultivator</b>						
Dhawan	14	62.00	67.00	75.00	21.00	<b>79.00</b>
Shivpuri	5	25.00	100.00	50.00	50.00	<b>50.00</b>
<b>Animal Husbandry</b>						
Dhawan	4	30.00	100.00	50.00	73.00	<b>27.00</b>
Shivpuri	2	24.00	67.00	50.00	50.00	<b>50.00</b>
<b>Business</b>						
Dhawan	2	17.00	100.00	66.67	34.00	<b>66.00</b>
Shivpuri	5	35.00	83.00	71.43	71.43	<b>28.57</b>
<b>Agricultural Labour</b>						
Dhawan	4	18.00	100.00	100.00	00.00	<b>100.00</b>
Shivpuri	1	3.00	100.00	66.67	67.00	<b>33.00</b>
<b>Non Agricultural Labour</b>						
Dhawan	8	49.00	100.00	81.33	30.00	<b>70.00</b>
Shivpuri	9	45.00	27.00	60.00	60.00	<b>40.00</b>
<b>Service</b>						
Dhawan	3	40.00	100.00	61.54	34.00	<b>66.00</b>
Shivpuri	4	12.00	100.00	50.00	50.00	<b>50.00</b>
<b>Total</b>						
Dhawan	35	<b>216.00</b>	<b>83.00</b>	<b>66.67</b>	<b>32.00</b>	<b>68.00</b>
Shivpuri	26	<b>147.00</b>	<b>45.00</b>	<b>58.18</b>	<b>66.00</b>	<b>34.00</b>

**Source:** Based on survey conducted by the author and his team, December 17, 2009 to January 3, 2010 at Giri Institute of Development Studies, Lucknow

**Note:** Private and government rates of land per bigha was

Before acquisition 35 surveyed households of farmers were having average 6.0 bigha of land in Dhawan village, when in Shivpuri village average per household agricultural land among 27.0 households of farmers was 5.5 bigha, which reduced to 2.0 and 2.3 bigha after acquisition respectively.

In most of the households main source of livelihood is no more agriculture, which has shifted to non-farm activities. Even those households which are identified as cultivators are for name sake, their economic condition is deplorable. In few cases where households have more than 5

bigha, but their agricultural production has gone down due to over whelming urban environment like pollution and congestion. During nights the street animals (mainly cows) from the city inter into the fields and

graze away the crops. Thus the remaining agricultural land is awaited to be sold preferably to private buyers if it is spared from government grabbing by throw away prices (See Table 10).

**Table : 10**  
**Average Land Owned by Households Before/After Acquisition in Chinhat Block**

Main Occupation	Sample Villages	H.H owned/ sold land	Per H.H. Avg. Agri. Land owned Before acquisition in bigha	Per H.H. Avg. Agri. Land owned After acquisition in bigha
Cultivators	Dhawan	14	4.00	1.00
	Shivpuri	5	5.00	2.50
Animal Husbandry	Dhawan	4	8.00	4.00
	Shivpuri	2	12.00	6.00
Business	Dhawan	2	9.00	3.00
	Shivpuri	5	7.00	2.00
Agri. Labour	Dhawan	4	4.50	-
	Shivpuri	2	3.00	1.00
Non Agri. Labour	Dhawan	8	6.00	1.12
	Shivpuri	9	5.00	2.00
Service	Dhawan	3	13.00	5.00
	Shivpuri	4	3.00	1.50
Total	Dhawan	35	6.00	2.00
	Shivpuri	27	5.50	2.30

**Source:** Based on survey conducted by the author and his team, December 17, 2009 to January 3, 2010 at Giri Institute of Development Studies, Lucknow

The compensation money which was received by the land owners after selling their agricultural land to either Government or private buyers was utilized in two major heads i.e. for personal use or construction of their house. After fulfilling their personal needs like construction, marriage ceremonies etc. very few households have also invested their money in livelihood enhancing activities. Since most of the

houses were of mud and thatched, they were built pucca. Thus in Dhawan village average 69.0 per cent land owners spent their compensation money in personal needs and 31.0 per cent land owners spent money in house constructions. In Shivpuri village also about 61.0 per cent land owners spent their land compensation money in personal needs whereas 39.90 per cent land owners spent their money in house

construction. It is worry some that most of the land owners spent their compensation money which was received by them after selling their valuable agricultural land which was the only base of their livelihood, was utilized in fundamental day to day needs.

Overall in 60 sample households each in Dhawan and Shivpuri villages, it reveals that only less than one-fifth households reported that they have some technical skill 18.0 per cent in Dhawan and 10.0 per cent in Shivpuri villages among their family members, which is quite negligible. Technical skill is most important in villages where agricultural land is no more available as it helps in earning livelihood from non farm activities. Technical skill may be of auto-mechanic, tailoring, handicraft skill chikan, zardozi, manufacturing of candle, agarbatti, handloom, iron work, welding carpentry etc. Therefore Jan Shiksha Sansthan have to work effectively among villagers to impart technical skill so that they may stand on themselves in earning their livelihood. It is irony that in Dhawan and Shivpuri villages majority of households have no technical skill except manual, they are 82.0 and 90.0 per cent respectively. Manual workers only can be engaged in agricultural land which is scarce or maximum in house/road construction where labourers are in surplus. It is unfortunate that household with their main occupation as cultivators and animal husbandry in both the villages Dhawan and Shivpuri do not possess any technical skill. Similarly among households of Shivpuri village with their main occupation as business and

agricultural labour do not possess any technical skill.

### **Health Condition**

Health of population is most important for overall development. Health starts from motherhood and child delivery. If child is not born under medical care in hospital then their persistent health complications exist for both mother and child. Unfortunately about half of child births are reported at home under the premature care of Dai who is generally illiterate and does not know even the importance of hygiene. In Dhawan village 48.0 per cent and in Shivpuri village 53.0 per cent recent births were taken place at home, which is not a good sign when these villages are almost the part of metropolitan city of Lucknow. In Dhawan village 35.0 per cent and 17.0 per cent and in Shivpuri village 10.0 and 37.0 per cent deliveries were performed at Government and private hospitals respectively. Since most of the households are poor, they go to charitable hospitals, which fall under private hospitals. Deliveries of Government hospitals are too low which are yet to be improved.

Similarly for general treatment households reported mostly going to quacks rather to Government or private hospitals, which is again a matter of worry, despite of huge investment is done in Government medical system. In Dhawan village 35.0 per cent reported visiting Government hospitals, 40.0 per cent to private hospitals and 42.0 per cent to quacks, when Shivpuri this proportion was 22.0, 17.0 and 61.0 per cent. (See Table 11)

**Table : 11**  
**Recent Child Birth and General Treatment of Household Population in Chinhat Block**

Main Occupation	Sample Villages	Surveyed H.H	Per cent of last delivery in Households			Per cent H.H visit for Treatment		
			At Home	Govt. Hospital	Pvt. Hospital	Govt. Hospital	Pvt. Hospital	Quack
<b>Cultivators</b>	Dhawan	21	67.00	33.00	-	33.00	33.00	34.00
	Shivpuri	5	20.00	20.00	60.00	20.00	40.00	40.00
<b>Animal Husbandry</b>	Dhawan	6	50.00	50.00	-	50.00	50.00	-
	Shivpuri	3	33.00	-	67.00	33.00	33.00	34.00
<b>Business</b>	Dhawan	6	33.00	67.00	-	50.00	50.00	-
	Shivpuri	6	67.00	-	50.00	17.00	17.00	66.00
<b>Agri. Labour</b>	Dhawan	10	50.00	33.00	-	20.00	70.00	20.00
	Shivpuri	2	100.00	-	-	-	-	100.00
<b>Non Agri. Labour</b>	Dhawan	14	47.00	34.00	19.00	14.00	13.00	73.00
	Shivpuri	34	62.00	3.00	35.00	15.00	15.00	70.00
<b>Service</b>	Dhawan	3	63.00	25.00	12.00	13.00	67.00	20.00
	Shivpuri	10	40.00	40.00	20.00	40.00	10.00	50.00
<b>Total</b>	<b>Dhawan</b>	<b>60</b>	<b>48.00</b>	<b>35.00</b>	<b>17.00</b>	<b>35.00</b>	<b>40.00</b>	<b>42.00</b>
	<b>Shivpuri</b>	<b>60</b>	<b>53.00</b>	<b>10.00</b>	<b>38.00</b>	<b>22.00</b>	<b>17.00</b>	<b>61.00</b>

**Source:** Based on survey conducted by the author and his team during December 17, 2009 to January 3, 2010 at Giri Institute of Development Studies, Lucknow

## Conclusion and Suggestions

Since there is no urban policy, wherever market economy is growing the land cost is increasing with the process of urbanization which is generally observed around metropolitan cities. Prime agricultural land is seriously threatened around large cities mainly around metropolitan cities and farmers are simply dislodged from their traditional occupation i.e. agriculture. The agricultural land which is most important to feed million of people is gradually reducing. The ideal situation could have been to spread urbanization in all regions to stop metropolitan expansion. Equal distribution of urbanization would have the advantage for utilizing the uncultivable land for urban expansion.

Prime agricultural land has to be protected and urban regional disparity has to be minimized by controlling the unnecessary metropolitan growth. If situation becomes so compelled to acquire the land by the Government then farmers have to be paid a suitable compensation for their valuable land as recently promised by the government, so that they may comfortably be settled down during at least four to five decades and gradually switch over to some other non farm livelihood. Farmers who had suffered during past decades should also be suitably compensated for dignified life. Working age population should be identified and they should be trained in non-farm activities so that they may change their source of

livelihood for which Jan Shikshan Sansthan (JSS) can serve the purpose. Shilpkar Credit Card (SCC) must be introduced so that crafts men may produce their own goods and earn better profit rather than remain bonded to mahajan/businessmen and middle men for least wages. School age children should be given scholarship up to High School to compulsorily go to school and desist of becoming the child labour due to poverty. The effective way to curb the loss of fertile land and worst resultant impact on farmers, it is whole heartedly implementation of 73rd and 74th Constitutional Amendment Act without any further delay.

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# Good Governance and Municipal Administration

S. C. Arora

## Introduction

Good governance means high level of organizational efficiency and effectiveness for responding in a responsive and responsible way in order to obtain pre-determined desirable goals for the society. To have a comprehensive understanding of the concept of good governance it would be desirable to take into account the parameters given by various scholars and institutions from time to time. Kautaliya, the great Indian philosopher, in his famous treatise 'Arthashastra' has dwelt upon several indicators of good governance such as king must merge his individuality with duties, properly guided administration disciplined life with a code of conduct for the king and ministers, fixed salaries and allowances to the king and public servants, law and order chief duty of the king, theft loses to be made good from king's salary, carrying out preventive and punitive measures against corrupt officials, replacement of ministers by good ones by the king and emulation of administrative qualities.<sup>1</sup> The gist of these indicators drives one to conclude that the main objective of good governance is to maximize the well-being of the people. As regards their relevance in the present day world, they still hold good.

## Good Governance

Presently the concept of 'good governance' is being used in modern-western sense which is broadly conceived by the World Bank and Organization for Economic Cooperation and Development (OECD). The essence of these includes, besides other things, political and bureaucratic accountability, an established legal framework based on the rule of law, independence of judiciary, freedom of expression and information, sound administrative system and cooperation between the government and the civil society organizations. Evidently, good governance implies utmost concern for people welfare wherein the government and its bureaucracy follow policies and discharge their duties with a deep sense of commitment; respecting the rule of law in a manner which is transparent, ensuring human rights and dignity, probity and public accountability.<sup>2</sup>

There is no denying the fact that the indicators of good governance mentioned above are more or less applicable at the municipal level also. Besides, certain other factors such as committed political will for decentralization, non-hegemonic bureaucracy, social accountability, committed and dedicated representatives, constructive role of mass-media and non-

governmental organizations, enlightened dutiful masses and their active participation and cooperation need special attention in this regard. All these together would determine the state of affairs of good governance at the grass-roots level of administration.

The need for good governance, in India, has always been indispensable for delivering goods and services to the masses. However, its indispensability has assumed utmost significance considering the present changed national and international scenario. From the point of view of levels of government its urgency and need is all the more important at the urban local level because of its proximity with the people. Further, it is this level which provides the foundation to a democratic super-structure. Keeping this in view, the Indian Government, since independence, has made numerous efforts in this direction.

### **Instruments for Good Municipal Governance**

In order to understand the efforts made by the Indian Government to ensure good governance at the municipal level one has to peep into the historical developments in this regard. Urban local self-governing institutions as an expression of democratic decentralization existed in one form or the other in ancient India. However, the credit of laying down the foundations of modern system of local self government in urban areas goes to British rulers particularly after the transfer of power from the East India Company to the Crown in 1858. Lord Mayo's Resolution of 1870, Lord Ripon's Resolution of 1882, Recommendations of

the Royal Commission on Decentralization 1909 and Government of India Acts 1919 and 1935 are the pointers in this direction.

Post-independence era has also witnessed numerous impressive attempts for reform at the level of local urban government. Some of the most important steps in this direction include the Local Finance Inquiry Committee (1949), The Taxation Inquiry Committee (1953) and the Rural-Urban Relationship Committee (1963). However, most of the thinking on municipal reforms remained confined to augmenting the financial resources only. As a consequence, they failed miserably to deal with the dynamic growth created by the process of steady urbanization and urban growth. Simultaneously, most of their functions, especially developmental were transferred to the specialized agencies created for the purpose.

Thus the need to revamp the local bodies in urban areas remained alive and became an issue of debates and discussions, both inside and outside the parliament, during the eighties and various steps have been taken in this direction. As a result, Working Group on District Planning was set up in 1983 under the chairmanship of C. H. Hannumanth Rao. The Committee emphasized the need of decentralization of planning process and recommended the district as a unit of decentralized planning. Likewise, the complexities arisen out of the increasing urban population and the growing demand of qualitative efficient civic services made it imperative to set up a National Commission on Urbanization in 1985. The Commission gave detailed



recommendations about the measures required for strengthening the management and administration of urban local government institutions in the country. Apart from these, Workshops of Collectors/District Magistrates on Responsive Administration (1987-88), Nagar Palika Sammelans (1989), the Chief Ministers and Chief Secretaries' Conferences (1989) and introduction of 65th Amendments Bill also dealt with urban local self-governing institutions. All these efforts culminated into the passage of the famous Constitutional 74th Amendment Act dealing with municipalities in early nineties.

This Amendment Act has provided a constitutional status to municipalities for the first time. Further, it has brought a sort of uniformity by introducing three-tier system of urban local bodies for the entire country. This has also injected a new life among such institutions by making them more representative ones by widening the scope of direct elections. Besides, their security of tenure for five years has been ensured by restricting the powers of the State Governments to suppress them as it was made mandatory on the part of the respective state governments to give a reasonable opportunity of being heard to a concerned body before its dissolution. Moreover, these have also facilitated people's participation in their local affairs by introducing the concept of Ward Committees. A provision has also been made for constituting a District Planning Committee to consolidate the plans prepared by the municipalities along with PRIs in the district and to prepare draft development plan for the district as a whole.

Further, the Amendment Act has reduced the domination of the socially privileged sections in the power structure at the grass-roots level by providing adequate representation to persons belonging to Scheduled Castes/Scheduled Tribes and Backward Classes in urban local bodies. Likewise, it has offered an opportunity to women folk which constitutes about half of the country's population to play a decisive role in their local affairs by making provision of reservation of not less than one-third of seats for them and that too without any time limit. It may be pointed out that now this reservation has been increased to fifty per cent. The same benefit has been extended to them along with persons belonging to S/C and S/T categories with regard to chairpersons of local self-governing bodies in urban areas. The Amendment Act has also provided for setting up of State Election Commission on the lines of Central Election Commission to conduct free and fair elections to municipal bodies. Last, but not the least, it has provided for the setting up of State Finance Commission after every five years to ensure that financial health of the urban local bodies is not left to be decided on ad-hoc, arbitrary and whimsical manner.<sup>4</sup>

Thus, the main objective of this Amendment Act was to take the government to the people, to make the administration accountable to the people and to ensure people's participation in the administration at the grass-roots level. Besides, it also aimed at enhancing the capabilities of the people to involve them in the planning process with regard to their priorities. Further, it envisaged decentralization of the execution of all types of developmental



activities with the active participation of the masses. In brief, the purpose of this Amendment was to bring good governance at the grass-roots level of administration by strengthening and streamlining the functioning of urban self-governing local bodies which may be regarded as a welcome step.

To give effect to this Amendment Act, the states began enthusiastically to incorporate the provisions contained in them, in their respective Municipal Acts and by now most of the states have held three rounds of elections with reservation of seats to women and other weaker sections of the society under the supervision of the State Election Commission. Consequently, local bodies in urban areas came into existence throughout the country in the true spirit of this Amendment. Further, several states have appointed Finance Commissions also for improving the financial position of these bodies. But so far as the actual devolution of powers both administrative and financial is concerned, no desirable change has been observed as they continue to be as poor as they were in these respects. It goes without saying that in the absence of these powers, envisaged under the Amendment Act, the cherished goal of making urban grass-roots level bodies truly self-governing units would remain a distant dream and good governance at this level a distant reality.

Again, to facilitate peoples' participation in civic affairs and to ensure transparency and social accountability, Ward Committees were provided under the 74th Amendment Act but so far these have remained only on papers in most of the states. The same is the case with regard to the setting up of

District Planning Committee. The purpose of this move was to replace the existing 'top down planning model' by 'bottom up planning model'. As regards the emerging leadership in urban local bodies, it does not seem to be a better lot qualitatively. It may mainly be attributed to the degenerating petty party-politics dominating the elections besides other factors such as the role of money and muscle power, and considerations of caste, class, clan, religion and region. No doubt, one-third reservation has been provided to women in local bodies but the experience so far shows that they have failed to play their expected role independently and still seem to be puppets in the hands of their men-folk. At the same time, the leadership in these bodies has yet to reach to the commoners as it is still in the hands of elite. Moreover, a close look at the functioning of the local bodies makes one to observe that it is marred by petty party politics and suffering from domination both political and bureaucratic, caste and religious considerations which is far from the ideal of good governance.

## Conclusion

On the basis of the preceding discussion, it may be observed that the implementation of the 74th Constitution Amendment Act during the last one and a half decade has yet to exhibit a qualitative improvement in the governance of urban local bodies in India. It is mainly because of the fact that certain essential pre-requisites, such as constitution of Ward Committees in municipal areas, financial viability, desirable levels of transparency and social accountability, political will for decentralization, attitudinal and behavioral

changes on the part of both politicians and bureaucrats, enlightened masses, committed and dedicated representatives and office-bearers etc. have not been given due attention. So what is required is that corrective measures must be taken immediately to facilitate the self governing units to function in such a way to send signals of good governance to the masses.

For this in the first place, a sound system of accountability, audit and accountability must be established, otherwise municipal bodies will look like miniature state governments with very little responsiveness and answerability. For this Ward Committees be constituted without any delay to enlist active participation of urban masses in their civic affairs. Further, Vigilance Committees and Citizen Active Groups at the ward and municipal levels be constituted to make full use of the RTI Act. Along with these the concept of Citizen Charter be introduced in municipal bodies to ensure transparency and social accountability which are the essential components of good governance.

Secondly, political masters ought to exhibit their will to transfer the powers and functions in the true spirit of the Amendment Act to achieve the desired objective of democratic decentralization ultimately contributing to good governance at the grass-roots level.

Thirdly, considering the fact that the financial viability of any administrative system is the sine-qua-non for its effective functioning, the financial health of urban local bodies needs to be improved and strengthened. Here too, the political

masters have to show the spirit of magnanimity in making them financially self-sufficient. At the same time, these institutions should come up with the strong will power to tap and augment their financial resources shedding their populist approach.

Fourthly, the office-bearers, who are the actual actors in the local administrative set up look to the new system as a good chance for exercise of power and patronage. Further, they must be men of vision and integrity, fairly educated, committed and dedicated to serve the masses. But this can hardly be expected in the given socio-economic and political set-up of the Indian society particularly. So, what is needed is the radical change in such a set-up in which electoral process encourages righteous and awakened people to come forward to serve the masses. It should be conducted in such a manner as leave little scope for party-politics and considerations of caste, class, religion, region etc. The best alternate could be the election of representatives through consensus who, in turn, would function in the spirit of accommodation.

Fifthly, keeping in mind the famous dictum that 'people get the type of governance they deserve,' masses must be an awakened lot, understanding their rights, duties and responsibilities under the newly evolved decentralized system. It is they who can ensure efficient and effective functioning of the system embedded with accountability, transparency and probity.

Sixthly, to provide good governance at the cutting edge level of administration, resistance from bureaucracy must be countered with suitable personnel policies at

the state and lower levels. As self governing units, municipalities should have their own cadres of employees whom they can recruit and have disciplinary control over them. At the same time, District Collector and higher bureaucracy is supposed to play the role of friend, philosopher and guide to local bodies as the general impression is that it continues to play a hegemonic role in its formal characteristic way. So, what required are the attitudinal and behavioral changes in its style of functioning, making it change-oriented, result-oriented and people-oriented to enable the urban local bodies to flourish as self-governing units. The same applies to political masters as they are expected to play the role of big brothers and faithful guides so as to allow these bodies to function as effective units of participatory democracy.

Seventhly, Municipal functionaries and civil servants must be trained or exposed to knowledge, skills and attitudes for making the system work. In particular, women and members of SC and ST must receive

attention by away of training.

Lastly, the impediments like postponement of timely elections of local bodies which are raising their ugly heads here and there need to be curbed immediately with an iron hand.

To sum up, if all the above mentioned remedial measures are properly taken care of, good governance at the grass-roots level which hitherto has been an elusive dream could become a hard reality.

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# Socio-economic Analysis of Beggar Population in Urban and its Peri-Areas: A Case Study of Uttar Pradesh, India

Mushir Ali  
Jabir Hasan Khan

Beggars' empire, a visible phenomenon conspicuously is noticed all over the nooks and corners of the world particularly developing countries, i.e., India, where beggars could be seen at the markets, shopping centres, restaurants, bakeries, filling stations, car parks, public, road, streets, traffic signal, junctions, and homes at religious places, near university, colleges, schools, tourist sites, and at small villages to large urban centres. They develop some kinds of relations to get sympathy, directly and indirectly to get money/alms. Beggar problem is considered a symptom of and unfair distribution of wealth and social disorganization which indicate the breakdown of the adjustments of individuals with their social-economic milieu (Srivastava, 1947; Chatterjee, 2011). This problem is closely associated the heterogeneous emergence of economies and changes in the social values. In Europe a beggar is mostly a product of industrial revolutions, where the spirit of individualism shattered the sentiment of community feeling and an individual became isolated and helpless when he fell into distress. At such situation beggary profession has been a very time-honoured practice to the homeless and the helpless people of social maladjustments (Alexandro, 1973; Piran, 1989; Edwards, 1994; Rashid, 2010)

In India though begging is an old profession, it has changed its form in the modern period and emerged as the problem that has become a gigantic one. The beggary is often traced to the ancient educational system of India which provided for training in the Ashram (institution) and where pupils used to support themselves and their Guru (teacher) by asking alms just enough for the day. But the spirit behind such type of begging for alms was not that of parasites but of seekers for truth and the householders thought it their duty to support them by giving charitable gifts, i.e., dana, datra, daksina (Mukerjee, 1945).

The beggar problem of today is somewhat of different nature than it was the past. According to a recent survey by Delhi School of Social Work there has been a phenomenal increase in the numbers of beggars in India. In a decade since 1991 their number has gone up by a lakh (100,000). There are some 60,000 beggars in Delhi, over 300,000 in Mumbai according to a 2004 Action Aid report; nearly 75000 in Kolkata is reported by the Beggar Research Institute; 56000 in Bangalore according to police records. In Hyderabad one in every 354 people is engaged in begging according to Council of Human Welfare in 2005. Over 71 per cent of Delhi's beggars are driven by poverty. More than 66 per cent beggars are able-bodied. (Azad India Foundation, 2011)

Some causes of beggar problem have been reviewed as the economic system and social changes are taking place, joint family system, communities are not able to support the disabled, the mentally ill and poor which through thousands into beggary. Besides, charity is considered a part of India social heritage often encourages to beggars. Sometimes unscrupulous persons adopt cruel practices to win sympathy of people. Some racketeers have also made it as business that combines to produce cripples, maim young children for throwing them at the streets to beg (Bahadur, 1965; Ahmadi, 2010). Beggars become a nuisance when they attract somebody and sympathy by constant pressure in an inhuman way, even to pull greater income able-bodied people join the company of baggers because it is an easy way to earn money. Beggars are having a road business in cities and majority of beggars found in main markets, railway stations, bus stands and on traffic signal. Some time there behavior is very irritating for that people really hate and avoided them (Sarkar, 2007; Academy for Educational Development, 2006).

Thus, beggary now has been one of the burning problems of urban society which leads to physical deterioration, mental incompetency, preventable disease and starvation, and wrecks lives by forcing them into crime and social irregularities. It is vitally interrelated with the problem like unemployment, intemperance and poverty, its right solution a well-scientific study is requires on the cause, nature, prevention to cure of serious social disease-beggary by analysis of their socio economic conditions

(Cama, 1945; Lewis, 1998; Chaterjee, 2011).

Keeping in the view the importance of various dimensions of the beggars and also implications for society with increasing beggar population in general and urban areas in particular, the study was undertaken with the following objectives-

### **Objectives:**

To identify demographic structure of the beggar population.

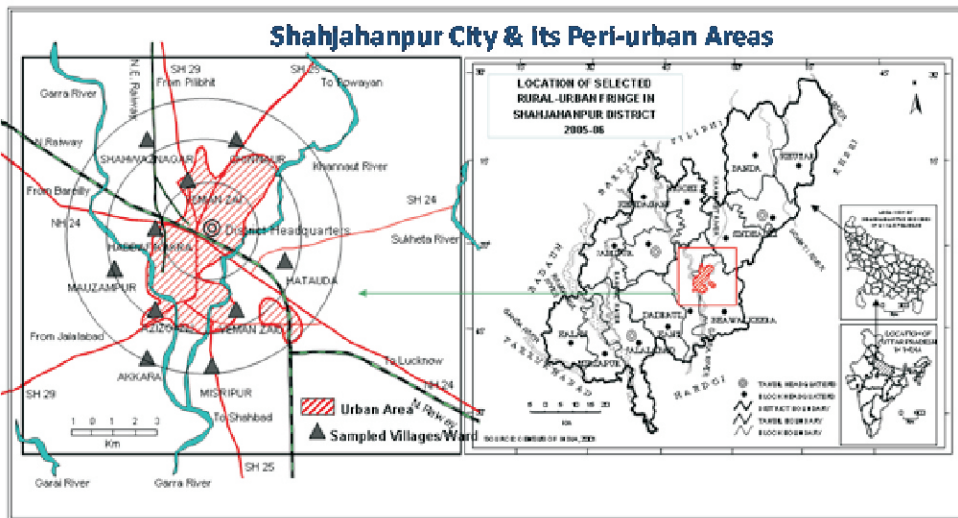
To analyse social, economic and living arrangements and conditions of the beggars

To examine responsible factors beggars for begging in shajahanpur city and its peri-areas.

### **Data and Methodology**

Present research paper is based on primary data that have been collected through field survey using schedule in 2005-06. On the basis of random sampling 100 households were sampled from four wards and six villages of peri-urban areas besides respondents were selected and interviewed from different places of the town, i.e., market, main roads, crossings, religious places, for detailed information regarding, age, sex, education, conditions regarding their socio-economic conditions in the study area. The collected data were processed in tabular form and to derive specific conclusion, simple mean and simple percentage method has been used. Map was prepared with help of GIS technique, and the data have analysed and represented through pie, bar and line diagrams.

## Study Area

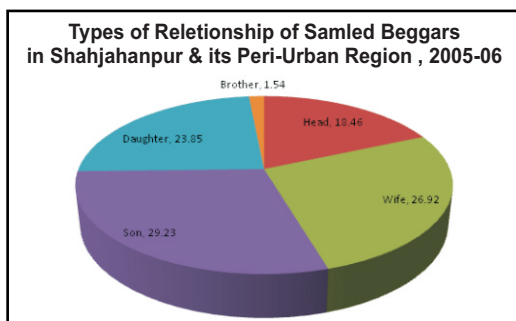


Shahjahanpur city with its urban fringe has been selected as a study area. It is situated (27°54' N latitude and 79°57' E longitude) in the tract between the Ganga and foothills of the Himalayas in Uttar Pradesh. The major section of population of peri-urban areas is engaged in agricultural activities. Population of Shahjahanpur urban centre and its peri-urban areas, railways settlements Rosa, Shahjahanpur municipal board, and contentment board is 3.33 lakh and covers an area of 21.6 sq km (Ali, 2009).

## Socio-Economic Profile of Beggar Population

During field survey it was registered that male child beggars were on the top (29.23 per cent) it is due to most of the male child belong to poor family background even they have not the basic necessities such as food, clothes, house, health and education. A child beggar told me “Bheekh magna hamara sadio se rojgar hai aur mai jab

doosre darje me padta tha to mere pita mar gaye. Meri do chhoti bahne hai aur ma ko kod ki Bimiri hai, esliai maine apni padai ko band kar aur parivar ko chalane ke lie, bhikh magne ka apna purana dhandha pakad lia” (that begging is our traditional profession from generations and I was student of the 2nd class but his father died he has two small sisters, and mother who is sick suffering from leprosy, so I left my education and adopt the our traditional profession, from morning to evening, for survival of my family).



Source: Field Survey, 2005-06



The second highest proportion of wives who are considered the additional hands for supplementary of income among the sampled households of beggars because they can easily generate sympathy by different means by lucrative voice, heart touching activities, for getting money from various places, socio-cultural occasions and festivals. However, the proportion of heads of households was recorded lower due to their engagement in labour and farming etc. while in relationship women; they are more in begging (Fig 2).

### Age and Sex wise composition of Beggar Population

**Table : 1**  
**Age and Sex wise Composition of**  
**Sampled Beggar Population in Shahjahanpur**  
**& its Peri-Urban Areas, 2005-06**

Age groups	Male	Female	Total
0 – 14	50.00	55.32	47.86
15 – 44	33.47	32.81	32.43
25 – 34	10.33	9.85	10.21
35 – 44	9.09	9.66	8.51
45 – 54	4.96	5.42	5.16
55 – 59	4.13	5.42	5.12
60+ over	7.44	11.33	9.53
<b>Total</b>	<b>100.00</b>	<b>100.00</b>	<b>100.00</b>

\*Figures in percentage, Population (N= 445)  
Source: Based on Field Survey, 2005-06

An analysis of table 1 shows that nearly half the population 47.86 per cent, juvenile dependents (0-14) age groups. It is due to children, particularly small girl make easily relation to get sympathy of people to money

and other articles. Moreover, high fertility rates among the beggars who consider more hands asset to earn more by begging. The most fertile and prominent working age (15-44) beggars have their proportion at least 32 per cent; they can do another work but due to easy earning and some of them traditional beggars prefer to beg. However, the among women it is little bit higher because they have more attraction in this age group that benefits to them in the kinds of beg. The proportion of senile population (9.53 per cent) is low among beggars due to high mortality rate caused by poor nutrition level and lack of medical facilities. However, the more proportion of female senile beggars (11.53 per cent) than that of male reflects that female are mostly widow and biologically female are more survival, they lost their husbands and due to lack of family/society support they adopt beggary profession (Ali, 2001).

### Education Status of Beggar Population

**Table 2**  
**Education Status of Sampled Beggar**  
**Population in in Shahjahanpur & its**  
**Peri-Urban Areas, 2005-06**

Educational level	Beggars		
	Male	Female	Total
Illiterate	89.23	95.27	91.19
Under primary	8.46	4.77	7.25
Primary	1.54	0.00	1.04
Under primary	0.00	0.00	0.00
Secondary & above	0.77	0.00	0.52
<b>Total</b>	<b>100.00</b>	<b>100.00</b>	<b>100.00</b>

\*Figures in percentage, Population (N=390)  
Source: Based on Field Survey, 2005-06

Education is one of the most important determinants of person's social status. It is a contributory factor for moving up the society (Haq, 1995). Table 2 explains that illiteracy is common the beggars' community (91.19 per cent) while the respective proportion among males is 89.23 per cent and female 95.27 per cent. It has been due to lower income, poverty and lack of accessibility of the educational institutions and prevailing thinking in the mind about education. A respondent Ram Sahay resident of Mausampur, said about the education "Hum pad Likh karke ka kare hai, koi naukari thodi mil jaiye, aur agar hum apne bachcho ko padie, to khaiye ka" (What we will do to get education, we will not get service, if I send children to school, who will earn and what we will eat).

### Marital Status of Beggar Population

Married life is an index to show acceptability of a person in society (Bandyopadhyay et al. 2007). Due to poverty, and instability of income, absence of socio-economic development, the proportion of unmarried persons in beggar population is the highest 52.35 per cent to

**Table : 3**  
**Marital Status of Sampled Beggar Population in in Shahjahanpur & its Peri-Urban Areas, 2005-06**

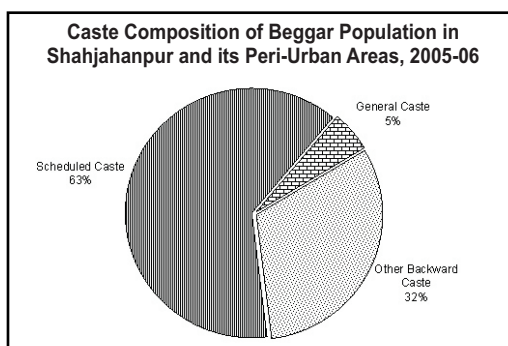
Marital status	Male	Female	Total
Unmarried	58.37	45.00	52.35
Married	34.69	43.00	38.43
Widow/Divorce/ Separate	06.94	12.00	9.22
<b>Total</b>	<b>100.00</b>	<b>100.00</b>	<b>100.00</b>

\*Figures in percentage, Population (N=318)  
Source: Based on Field Survey, 2005-06

The male are more vulnerable in this regard because the bringing of family is a responsibility of males but due to economic and social insecurity, people do not marry their girls to them. The proportion of widow/divorced/separate is 9.22 per cent. It is higher among the women (12 per cent) because fragmentation of joint families, more struggles for the survival of life and lacks of medical facilities, husbands are died earlier than wives. In such situation widows to sustain their life adopt beggary the same profession of husbands. Moreover, many females are also forced for begging to fulfill economic compulsion for their basic needs.

### Caste Composition Beggar Population

The caste system, with its societal stratification and social restrictions continues major impact on Indian social set. The system generally identified with the Hinduism, is also prevalent among Muslims, Christians and so on. It is caste that inextricably linked to a proxy for social-economic status (Kosambi, 1946; Jacob, 2009). Working castes now known as other backward classes (OBC) and scheduled castes (SC) were always poor and considered at bottom of the Verna system and were kept away from opportunities to require healthy social needs.



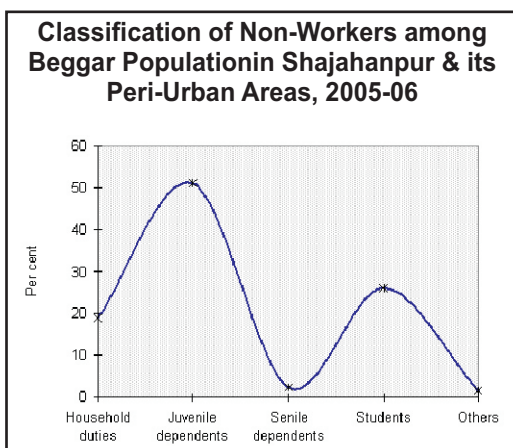
Source: Field Survey, 2005-06



That is why the households belonging to lower castes have higher proportion and higher castes lower proportion in begging. Fig.3 shows the facts that 63 per cent beggars belong to schedule castes and 37 per cent from back ward castes and 5.41 per cent are concerned to upper castes.

### Non-workers among Beggar Population

Proportion of non-workers has been given Fig.4. It was recorded during field survey that among non-workers, 18.06 per cent were performing household duties. They were mainly women but some cases, it was noted that women were begging and men engaged in household duties. The proportion of juvenile dependents was 51.18 per cent. However, the proportion senile dependents (2.37 per cent) and students were recorded 26.07 per cent respectively.



Source: Based on Field Survey, 2005-06

### Occupational Structure of Workers among Beggar Population

**Table : 4**  
**Occupational Structure of Working Population**  
**Sampled Beggars in Shahjahanpur & its**  
**Peri-Urban Areas, 2005-06**

Type of Occupations	Male	Female	Total
Primary	89.09	100.00	92.21
Secondary	1.82	0.00	1.30
Tertiary	9.09	0.00	6.49
Total	100.00	100.00	100.00

\*Figures in percentage, Population (N=345)  
Source: Based on Field Survey, 2005-06

Table 4 indicates that there is domination of primary workers, engaged in agriculture either as labourers or marginal farmers. The population of workers in secondary activities is tiny only 1.3 per cent, while 6.49 per cent of total working population of beggars is engaged in tertiary activities in the low paid services as household servants for outer works. However, there has not been even a single female worker recorded in secondary and tertiary economic activities.

### Housing Condition of Beggar Population

Table 5 reflects about percentage distribution of dwelling by type of construction that majority of beggars 58 per cent are slum dwellers. However, it means they are having means to fulfill their some basic needs, but it is not sufficient to afford construction of pucca house that is why a lion share of selected beggar population is either residing in slum, hut and katcha houses.

In Verna system was source of present caste hierarchy in India which divided population into four classes, Brahmins, Kshatriyas, Vaishyas, and, Shudras. It was based on the occupation of the people. In this hierarchical order Brahmins were on the top ranking followed by Kshatriyas, Vaishyas, and, Shudras. In due course of time, it become extremely rigid and high caste people exploit to low caste people.

**Table : 5**  
**Housing Condition of Sampled Beggar Population in Shahjahanpur & its Peri-Urban Areas, 2005-06**

Type of dwelling by construction	Percentage
Pucca	7.00
Semi-pucca	6.00
Kutchha	29.00
Hut/slum	58.00
<b>Total</b>	<b>100.0</b>

\*Figures in percentage, Households (N= 120)  
**Source:** Based on Field Survey, 2005-06

### **Distribution of Facilities in Dwellings of Beggar Population**

The data regarding civic facilities available in two households is given in Table 6. The majority of households (69 per cent) among beggar population take water from hand pumps for drinking water and 20 per cent get from private pumps; 28 per cent households have the drinking water facility within the premises of their houses. While 65 per cent fetch water up to 50 metres distance from their houses.

**Table : 6**  
**Distribution of Facilities Available in Dwellings of Sampled Beggar Population in Shahjahanpur & its Peri-Urban Areas, 2005-06**

Facilities	Percentage
1. Drinking water	
-Well	03
-Handpump	69
-Private pump	28
<b>Total</b>	<b>100</b>

2. Distance from the source of drinking water	28
-Within premises	65
-up to 50 metres	07
-51 to 100 metres	<b>100</b>
<b>Total</b>	
3. Type of Toilet (latrine)	
-Service	06
-None (night soil)	94
<b>Total</b>	<b>100</b>

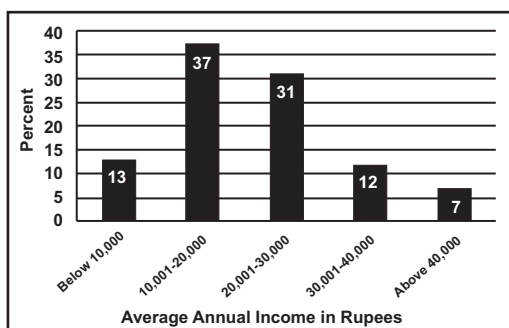
\*Figures in percentage, Households (N=120)  
**Source:** Based on Field Survey, 2005-06

Toilet facility in a house is important for the biological cycle that is considered a need for a civic society (Lewis, 1998; Vyas, 2000). But, toilet facilities generally are not satisfactory among households of beggars, 94 per cent of households do not have any toilet, as it has been revealed that 58 per cent beggars were living in slum/hut/houseless. Most of the professional beggars beg, for peculiar psychological perversities hardly ever, spend the currency to houses and sanitation facilities (Sharma, 2004). Through begging they accumulate every paisa (coin) until their death and finally die leaving behind themselves a handsome amount to become public property.

### **Income Profile of Beggar Population**

The income of beggars depends upon tradition or inheritance, and their large begging hinterland and their size of family, having more members earn more money that is why 50 per cent beggars among the sampled households belong to income group more 20,000 rupees per annum in the study area (Fig.5). It also highlights that 50 per cent beggar's households have income below Rs. 20,000 per annum; such house had average family size lower.

### Income of Beggar Population in Shahjahanpur & its Peri-Urban Areas, 2005-06



Source: Based on Field Survey, 2005-06

Rampal, a respondent of Matauda told that “hamare ghar me ek dargan log hai aur sbke-sb jadan me dhan katan ke bad, aur Ganga snan, har eak tauhar per bheek magat hai, hum durga puja ke samai Bangal aur garmin me Haridwar chale jat hai, vaha achchi income hui jat kahe ki log hu-an ghooman aut hai (I have one dozen family members, all of them involve in the beggary profession particularly after harvesting of paddy crops in winter season, and at every festivals of the region such Bathing in the Ganga every month mainly at Kartick Poornima and Magh Poornima, Holy, Eid, Diwali, Rachha Bandhan etc. I often visit West Bengal at time of Durga Pooja and in summer season migrate towards Hardwar where people provide me a good amount of alms).

### Causes of beggary Sampled Beggar Population

An examination of Table 7 reveals that majority of beggars beg for basic needs food, clothes, shelter and prevailing poverty and unemployment conditions. High growth

rate of population, uneconomic land holdings, lack of job opportunities are main causes of poverty in the study area. The poor people are not in position to support their families by economic activities and ultimately some of them involve themselves in begging to support their families.

**Table : 7**  
**Distribution of causes of beggary Sampled Beggar Population in Shahjahanpur & its Peri-Urban Areas, 2005-06**

Types of causes	Percentage
In heritage/tradition	30.77
Poverty and employment, Basic needs (food, clothes and house)	37.61
Migration caused by socio-religious and natural calamities (flood and drought)	18.68
Widow, divorce/separate	07.69
Biological	3.30
Bad habits	2.75
<b>Total</b>	<b>100.00</b>

\*Figures in percentage, Population (N=445)

Source: Based on Field Survey, 2005-06

Heritage and tradition account for 30.77 per cent of begging, in the study region Harvole, Mohot, Faqeer are the communities; they traditionally involved in the begging profession and the whole year different occasion, i.e., the Ganga Snan, (the Hindu Community people bath for sake of wash away previous sin and religious obligation to give more and more dan (alms) for the mokchha) provides good opportunities. Other causes of beggary have been investigated they were migrations caused by socio-religious and natural calamities-flood and drought (18.68

per cent). Shahjahanpur and its peri-region is drained by the Garra, the Khannaut and the Grai rivers which bring havoc of flood in the rainy season by inducting large agricultural areas under floods that also force to marginal farmers for supporting their families by begging. However, some beggars reported that due to exploitation of upper castes and powerful people, they sold their small piece land at least prices and left their interior native villages and migrated to city region. Due to lack of adjustments with new place and money to purchase new land or plat and high expenditure to survive of life forced them to adopt the profession of beggary (Du Toit and Brian 1990; Ali, 2010).

It was not noted during field survey that beggars face many problems when they go for begging either door to door or person to person at different locations on various occasions, i.e., refusing to give alms, scolding and abusing, beating by people.

### **Conclusion and Suggestions**

Beggar population that is a visible phenomenon having historical poverty and poor socio-economic conditions characterized by low incomes, high unemployment rates, fast-rising cost of living, high rates of population growth, inappropriate cooperation and continued rural-urban migration and displacement parallel to the growth in different spheres of the economy. The present study explains that among the beggars, child beggars are dominance as they are considered as earning hand for their family and able to get sympathy from people for getting alms. In the perspective of education, illiteracy is common the beggars' community, however

it is more among female beggars than their counter part. Due to poverty, and instability of income, absence of socio-economic development, the proportion of unmarried persons in total population is the highest 52.35 per cent to the total surveyed population of beggars. The male are more vulnerable in this regard because the bringing of family is a responsibility but due to economic and social insecurity, people do not marry their girls to them. The beggars belonging to lower castes have the higher proportion and higher castes, the lower proportion. Primary workers are dominance among beggar population; it was recorded during field survey that many agricultural labourers and marginal farmers due to insufficient works whole year in the production engaged in the begging occupation for supplementary income. The population of workers in secondary activities is tiny while 6.49 per cent of total workers are engaged in tertiary activities in the low paid services as household servants. In the case of non-workers, women were dominance but some cases it was noted that women were begging and men engaged in household duties. Majority of beggars are slum and katcha house dwellers due not having sufficient income to afford construction of pucca house. The safe drinking water and toilet facilities generally are not satisfactory among households of beggars due to poverty as well as most of beggars hardly ever spend a single currency to houses and sanitation facilities. The income of beggars depends upon tradition or in heritage, and their large begging hinterland and their size of family, having more members earn more money that is 50

per cent beggars among the sampled households belong to income group less 20,000 rupees per annum in the study area.

Majority of beggars beg for basic needs food, clothes, shelter and prevailing poverty and unemployment conditions. High growth rate of population, uneconomic land holdings, lack of job opportunities are main causes of poverty in urban society. The poor people are not in position to support their families by economic activities and ultimately some of them involve themselves in begging to support their families. However, some beggars reported that due to exploitation of upper castes and powerful people, they migrated to city region and due to lack of adjustments and high expenditure to survive of life forced them to adopt this profession. The beggars face a problems when they go for begging either door to door or person to person at different locations on various occasions as refusing to give alms, scolding and abusing, beating by people and so on.

The following specific measures may be taken in Shahjahanpur and its peri-urban areas to solve the socio-economic problems of beggar population.

1. To develop agro-based industries in peri-urban and rural areas based on sugarcane, wheat, paddy, sweet potatoes, groundnut etc and to develop the means of transportation and communication which are disconnected in all seasons.
2. To control over devastating floods in the rivers due to which thousands of people in rainy season are rendered homeless and some of them become landless due to change in river courses.
3. To improve the literacy level of poors with special emphasis on beggars and to provide accommodation to the beggars who are homeless or living in slums as well as medical facilities with special emphasis to the victims of leprosy and other chronic diseases.
4. To provide social security and financial assistance and agricultural land especially, beggars and to poors in urban, peri-urban and rural areas. Some social, psychological and administrative attempts should be made to change the negative attitudes of general population pertaining to beggars and lower castes people especially in interior rural areas.
5. However, all the above mentioned measures will remain ineffective until the high growth rate of population among the beggars and weaker sections of the society is controlled.

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# Urban Governance in Tirupati, the Pilgrim City

M.A.Hussain

## Introduction

This paper gives an account of the accomplishments, short comings, and organizational problems faced by the urban government of Tirupati in which the Municipality and the Tirupati Urban Development Authority (TUDA) are involved. It deals with the performance of urban institutions of Tirupati in terms of civic amenities and urban development programmes undertaken by them, public improvements, city planning, and above all urban finances. This paper examines the extent of the deficiencies of resources facing the municipal government of Tirupati and its relative commitment and capacity for development. The study is concerned with institutional performance regarding not only what it does but also how much it does. The scope of urban government authority and functions therefore form a measure of its performance. This is specially time of urban local government where virtually all its activities focus on the amenities and civic services it provides rather than coercion powers. To the extent it is also a self government, it militates against the totalitarian tendencies in the polity.

Tirupati Municipality and Tirupati Urban Development Authority (TUDA) separately and together have undertaken a number of urban development programmes and

projects initiated and sponsored by the Central and State Governments, which release funds for them from time to time. Some of the programmes and projects introduced by the Central and State Governments are: Swarna Jayanti Sahari Rozgar Yogana (SJSRY), Jawaharlal Nehru National Urban Removal Mission (JNNRM) and Andhra Pradesh Urban Services for the Poor (APUSP), etc. Both the Tirupati Municipality and the Tirupati Urban Development Authority have implemented with commendable success some of these programmes. In their endeavour such Non-Governmental Organizations (NGOs) as Sri Padmavathi Mahila Abhyudaya Sangham (SPMS) and Rayalaseema Seva Samiti Now Rashtriya Seva Samithi, (RASS) also rendered great help. Further the Department for International Development (DFID) of the United Kingdom and World Bank projects provide some financial help for the development of Tirupati pilgrim town.

There are many developmental activities proposed and planned by the TUDA, some of which are already in progress. Developing a temple township near Tirupati in 140 acres of land, with Rs.1200 crores, constructing a shopping mal and multiple theatres in an area of 3.75 acres with Rs. 44 crores at Annamayya Circle; construction of a convention centre and three star hotels in 12 acres of land in

Vedantapuram; and also taking up 741 house sites in 25 acres of land near Vedantapuram with Rs.1 crore, developing new roads in Jeeva Kona with Rs. 25 lakhs; constructing by pass road one and a half km long and 60 feet wide to link Tirupati Road with Renigunta road and planting trees in a big way on either side, the roads under the “Clean and Green Programme” to beautify Tirupati.

Constructing side canals in the SC/ST residential areas of Muthyala Reddy Palli Panchayat, at an estimated cost of Rs. 9 lakhs is almost complete. An evaluation of TUDA's performance since it was established reveals that due to paucity of funds the development of Tirupati and its surrounding areas has not been as substantial as it ought to have been. It has to generate much more income so that it can take up on its own many more developmental activities. Then only it would be, as a powerful body, able to meet the challenges of the future.

#### Water Supply

As against the requirement of 75 lakh gallons of water per day, Tirupati Municipality is able to supply 100% protected water supply to its citizens. Tirupati Municipality has been graded number one in supply of drinking water during 2000-2001 among all the municipalities in the Andhra Pradesh state. At present 26 lakh gallons of water are being supplied to Tirupati. 27 lakh gallons of water are being supplied to the Tirupati through the existing old water supply scheme located at Mangalapuram pumping well and five bore wells laid at that Kalyani filter bed

fitted with 10 H.P. motors and all other sources including 620 hard bores and 167 power bores cover 6312 H.S.C and 400 public fountains for the entire population of this pilgrim town. 75.00 lakh gallons of water are required for the town each day. Nearly 1/3 of the town is not covered by the Kalyani water supply distribution system. Water is supplied to such areas of the town from bore wells. At present, there are 787 bore wells in the town. Daily 15 lakh gallons of water are supplied through them. In total, 56 gallons of water are supplied to the town daily both from the Kalyani dam source and from bore wells as against 75 lakh gallons of water required. To meet the growing demand for water supply due to the influx of pilgrims to Tirupati town every day, the Tirupati municipality undertook a new water scheme in 1999 at a total estimated cost of Rs.65.66 crores. Through the Telugu Ganga canal 75 lakh gallons of water are pumped from Sri Kalahasti to Tirupati town everyday. Tirumala Tirupati Devasthanams (TTD), and Tirupati Municipality jointly financed this project. The TTD paid Rs.49.48 crores towards the cost of this project<sup>1</sup>.

#### Integrated Development

The Government of India launched in the 1970s the IDSMT programme with the objective to improve the infrastructural conditions and economic potential of small and medium towns and to achieve a more balanced growth of these towns throughout the country by directing some of the rural urban migration to these smaller towns. However, the difficulties faced by various State Governments in devising strategy plans of quality have shown that there is still



a long way for them to go in the evolution of planned urban development. However under the IDSMT scheme, Tirupati Municipality constructed four shopping complexes, meat and fish markets at a cost of Rs.414.17 lakhs.

### **Poverty Alleviation**

Swarna Jayanti Sahari Rozgar Yojana a major urban poverty alleviation scheme was launched in December 1997 to cover all urban areas in India by the Central Government. It marked a bold initiative towards democratic decentralization as it relies heavily on community based organizations of urban poor women, instead of the traditional top down system for extension of benefits envisaged. It subsumed three urban poverty alleviation programmes, viz. Nehru Rozgar Yojana, Urban Basic Services for the Poor and the Prime Minister's Integrated Urban Poverty Eradication Programme. The Yojana's primary thrust is on enabling the unemployed and under employed among the urban poor to secure gainful employment and increase their income levels. In addition, it aims to work towards improving the economic status of the urban poor through their empowerment.

To promote employment opportunities for the poor, the Yojana has adopted two basic strategies: Urban Self-employment Programme (USEP) and Urban Wage Employment Programme (UWEP).

As regards empowerment, the Yojana envisages the establishment of a hierarchy of community structures- associations of urban poor women and involve them in decision making processes pertaining to the

planning and execution of not only employment promotion schemes, but also other public services provided in their localities by various governmental agencies.

The Yojana is financed jointly by the Central and State Governments on the basis of sharing the expenditures in the ratio of 75:25. The designated agency for the implementation of the Yojana at the field level is the local Municipal body. In Andhra Pradesh a sum of Rs.1,496.14 lakh was released during 1997-1998 to 2000-2001 towards meeting the subsidy obligations under the micro-enterprises component of the USEP. But only Rs.976 lakhs out of it has been utilized by this scheme. In A.P. a total of 8890 urban poor benefited during the three years i.e.1997-98 to 1999-2000. This included 2668 women, 1039 SCs, 642 STs and 105 Disabled people. Tirupati Municipal Government has been implementing this scheme since 1997.

This scheme was implemented for providing self-employment and urban wages employment to the urban poor in Tirupati area. Under this programme imparting skills improvement and providing infrastructure to the training centre and encouraging self-employment to the youth was envisaged. Under self-employment schemes, subsidies were released up to a maximum of Rs.75,000/- per unit, and schemes upto Rs.50,000/- unit cost were sanctioned with the help of nationalized banks for schemes like auto Rickshaws, supply of centering materials, business ventures, centres of making readymade garments beauty parlours etc.

An amount of Rs.19.69 lakhs was spent towards subsidy of self-employment schemes. Rs.36.42 lakhs were spent on urban wages employment and Rs.5.21 lakhs for training and infrastructure.

An amount of Rs.3.01 lakhs was sanctioned to the DW CRA groups during 1999 and 2001 to organize small-scale manufacturing units to enable women's groups to earn their livelihood. An amount of Rs.53.38 lakhs was released to thrift societies as revolving fund for those which were satisfactorily functioning for a period of not less than one year. In total an amount of 1.20 crore was incurred by the Municipality for assistance to the families under the SJSRY scheme during 2001-2002.

### **Slum Development**

The National Slum Development Programme (NSDP) was implemented with the help of Community Development Society (CDS) and neighborhood groups for providing concrete roads, drains, street lighting and water supply lines in Tirupati area with funds released by the Central Government through the State Government. During 1999-2002 an amount of Rs.1.66 crore was spent on constructing 47 roads Rs.67.18 lakhs for 51 drains, Rs. 93.57 lakhs on street lighting in 12 localities, Rs.15.30 lakhs for water supply through pipelines and Rs.25.97 lakhs to the slum areas with the help of non governmental organizations. 1850 individual water supply connections were given at a cost of Rs.55.50 lakhs to slum dweller at 50% subsidized rate i.e. Rs.3000/- per water supply connection only for the households which were below the poverty line.

### **Infrastructure Development**

In December 2005, Jawaharlal Nehru National Urban Renewal Mission (JNNURM) was introduced. It aims to put in place planned urban perspective frameworks for a period of 20-25 years with five yearly updates indicating policies, programmes and strategies of meeting fund requirements to be prepared by every identified city. This scheme was also extended to Tirupati pilgrim city.

The salient objectives of the mission are: (a) focused attention to integrated development of basic services to the urban poor in the selected cities; (b) provision of basic services to the urban poor like improved housing, water supply, sanitation and ensuring delivery through convergence; (c) ensuring adequate investment of funds to fulfill deficiencies in the basic services to the urban poor; (d) scale of delivery of civic amenities and (e) provision of utilities with emphasis on universal access to the urban poor.

Various cities including Tirupati Municipal Corporation submitted project reports. Out of the 403 project reports 171 were appraised. An amount of Rs.10,290 crores were earmarked for cities and towns. Rs. 900 crores were being provided to small and medium towns. Andhra Pradesh is doing very well in implementing the urban development projects especially in Hyderabad, Visakhapatnam, Vijayawada and in Tirupati cities<sup>2</sup>.

Jawaharlal Nehru National Urban Renewal Mission was launched in Tirupati by the former Chief Minister Dr. Y.S. Rajasekhara Reddy on 16th February 2009.

Cities under the JNNURM scheme would have to utilise Rs.1,389 crore in five years for infrastructure development implementation. The Central Government has sanctioned Rs.104 crores for constructing 4000 houses for the poor in Tirupati based on the city plan Development submitted by the Municipal Corporation<sup>3</sup>. Recently Andhra Pradesh State Road Transport Corporation, Tirupati Depot got 15 buses under the JNNURM Scheme to meet the growing needs of the local people of Tirupati, Tirumala, Renigunta, Pakala, Sri Kalahasti and Chandragiri mandals and also to meet the needs of visiting pilgrims to Tirupati and Tirumala.

### **Public Health**

For economy, efficiency and accountability, privatization of garbage collection and disposal was undertaken by Tirupati Municipality with effect from 7th February, 1997, onwards. The contractor had to undertake collection of garbage from all the garbage points in the six zones of the Tirupati town everyday and obtain signatures from the notified houses in token of the clearance of garbage. This contract system to dispose of garbage proved efficient to clear off the 55 metric tonnes of garbage. There is now visible improvement in the streets, lanes and bylanes of the Tirupati town. An amount of Rs.1.30 lakhs per month was allotted for disposal of urban waste. A total cost of Rs.15.62 lakhs per annum earmarked for this purpose by Tirupati Municipal Corporation.

Accumulation of huge and almost unmanageable quantities of solid waste in urban areas and the difficulty to disposing it

off has been a great health hazard in all growing towns and cities. There is no proper solid waste collection system in the Tirupati town. The Tirupati town has been divided into 11 sanitary divisions. The Municipality has provided many dustbins which are placed at road ends, settlements and housing colonies each at a distance of 100 metres from the other. It is estimated that everyday about 140 metric tonnes of garbage is accumulated in the town, and the Municipality has to own vehicles and hired tractors which have been collecting it. An NGO from Kerala also has been doing its bit in collecting garbage. It has engaged 17 tri-cycle rikshas to collect garbage from households, shops, establishments, hospitals, hotels etc. The collected garbage is dumped in the Tirupati compost Yard situated about 7 km from the town. Soon integrated world-class solid waste processing facilities are to be introduced there. The compost yard covers an area about 30 acres of Government land. An organization called the SCHWEP is supervising the compost of solid wastes. Recently the Government of India released a sum of Rs.1.8 crores to Tirupati Municipal Corporation under its 12th Finance Commission grant to dispose of solid waste.

### **Road Development**

The Tirumala Tirupati Devasthanams (TTD) selected 13 roads in Tirupati city for development, such as widening the roads duly by providing WBH & BT surface. Phase-I of the programme was taken up in April 1996 and completed. A Sum of Rs. 5 crores was earmarked for this purpose. The total cost for the road works was estimated at

Rs.10 crores which excluded the cost of land and acquisition. The TTD completed three road projects of the Road and Buildings Department as they are mainly meant for the pilgrims visiting Govindaraja Swamy temple in Tirupati and Padmavathi temple at Tiruchanur.

Tirupati Urban Development Authority and Tirupati Municipality took up jointly the laying and widening of the roads in and around Tirupati. With regard to the development of road from Tiruchanur to Pudi, work was already undertaken by the Roads and Buildings Department. Necessary funds were provided by the TTD. A number of urban development programmes like Valmiki Basic Services for the Poor (VBSP), Comprehensive Municipal Action Plan for Poverty Reduction and the chief Minister's Empowerment of Youth (CMEY) programme are being implemented by the Tirupati Municipality.

The various Five Year Plans have continuously expressed concern over various urban development problems and urged the need to deal with the rising urban issues. But, in the absence of a comprehensive perspective and policy which would consider economic development along with urban development and strengthening urban governance, many of the initiatives undertaken during the several successive Plan periods in Tirupati would appear like incoherent fragments of urban policy initiatives.

### **A.P. Urban Services in Tirupati**

The implication of urban governance reforms particularly urban poverty eradication programmes undertaken by the

Tirupati Municipality is discussed. Poverty in India is rapidly acquiring an urban face and has become a huge issue of India's urbanization. While this is partly due to population growth that has suffered deprivation, it is primarily a sequel of a very large number of rural migrants who have opted out of the rural areas in search of employment and better livelihood in urban areas<sup>4</sup>. The urbanisation has altered India's urban face by imposing two distinct dimensions upon cities: deprived of a proper urban habitat, the poor have had to find residential foothold in urban slums. And in their search for employment and enterprise they have been forced to find means of survival in the informal sector. Success in tackling the problem of urban poverty in India has been grossly limited. This problem itself is of staggering magnitude in urban areas. However, efforts are on to resolve this crisis.

The "A.P. Urban Services for the Poor Project" (APUSP) was commenced in Tirupati area in 2001 and was financed by the Department for International Development (DFID) of U.K. Government as a part of the development of 42 municipalities with above one lakh population in Andhra Pradesh. This project envisages eradication of all slums in Tirupati in a phased manner. In the first phase, some steps were undertaken by the Tirupati Municipality for the reduction of slums during 2001-20025.

The three major components of the APUSP project are (1) Municipal reforms to strengthen the Municipal finances and to improve the efficiency of the organization; (2) Providing infrastructure facilities and

improvement of the lives of the slum dwellers of Tirupati; and (3) Provision of certain city linked infrastructure facilities like improvement of slum drainage system and supply of water in slums areas etc. During the first year i.e. (2002-03) the DFID cleared the project proposals to the tune of Rs. 5.00 crores for implementation<sup>6</sup> of the scheme in Tirupati town.

### **Role of Ngos in Development**

The credit needs of poor women are multiple range from loans for small consumption purposes, social needs of health and income generation and redeeming of old debts to shelter related loans. Tirupati Municipality has utilized the services of some Self Help Groups to implement programmes for urban poor women. Sri Padmavathi Mahila Abhyudaya Sangham (SPMS) is a recognized Women's Self-Help Group which was registered in 1992 in Tirupati. The programmes of this group organized the women, who were in desperate need of credit in the self-managed women Self-Help Groups. Sri Padmavathi Mahila Abhyudaya Sangham has 5700 women members organized into 450 Self Help Groups. The average loan payment rate of the self help groups to the SPMS and to the members in the self help groups is hundred per cent.

The Rayalaseema Seva Samithi (RASS) experience with its financial services is intensive. The experiments of Self Help Groups launched by the Rayalaseema Seva Samithi proved to be a success in generating savings among the

poor women and in meeting their credit needs effectively.

The smaller towns, where economic growth is happening fast, do not have the capacity to keep pace with the demand for shelter, basic infrastructure such as water, electricity and other essential services that the migrants require. The figures of those living below the poverty line in Tirupati when compared to the figures of Andhra Pradesh appears to be low. The urban poor living below the poverty line in Andhra Pradesh were 26.6 per cent in 1999-2000. According to population projections of Tirupati region, its population would increase to 10 lakhs by the year 2021. The number of people below the poverty line is likely to increase further in the coming years if adequate steps are not taken to tackle the problem of the urban poor. Owing to rapid urban growth, the frequency of urban slums settlements is high and in Tirupati this would increase the percentage of the urban poor.

The Urban Development Authorities in Andhra Pradesh do not have slum wings to tackle the problems of slum-dwellers. There is urgent need to create a slum wing in the Tirupati Urban Development Authority (TUDA) to deal with the problems faced by the urban poor living in slums. Urban poverty reduction strategies have to be worked out for improving the livelihoods of urban poor in the Municipal Corporation area as well as Tirupati Urban Development Authority (TUDA) region. Trained Community Development Staff and Non-governmental organizations have to be incorporated into the system to co-ordinate with the urban development activities of slum dwellers in Tirupati<sup>7</sup>.

The Government of Andhra Pradesh has been distributing house sites to the weaker sections as a welfare measure both in rural and urban areas by assigning vacant Government lands to them. Further, unauthorized occupations of slum-dwellers are also being regularized by allotting possession certificates to them. In all such cases the layout must be so prepared that it consists totally of the urban poor, and not others. There is an urgent need to accelerate the efforts to alleviate urban poverty through effective strategies to address the root causes for it. Perhaps Providing Urban infrastructure in Rural Areas (PURA) as suggested by Abdul Kalam, former President of India, would be of great help in controlling the migration of rural people to urban areas.

The proper performance of the many and ever increasing functions entrusted to the civic body and meeting the increasing demands on its funds on account of abnormal rise in prices, increased salaries and wages of the staff, and growing public needs and demands for more and better services depend very much upon the finances of the civic body. But owing to the doleful condition of the financial resources of the civic body, vested interests of the political actors and paucity of competent, responsible and honest municipal personnel, the Municipality could hardly be expected to tackle with any degree of efficiency and success the perplexing problems of urban housing, slum clearance, water supply, drainage, education and street lighting etc.

The day-by-day widening in congruity between the municipal resources and responsibilities has made the gross roots democracy a victim of the stricter state control. With the ever-growing population and extension of municipal limits and the compelling demand for civic amenities, whatever amenities there are have been stretched to the breaking point. How far the Tirupati Urban Government and Tirupati Urban Development Authority have succeeded to cope with the situation in Tirupati is to be considered.

### **Municipal Finance**

Every Administrative Act has its financial implications. The importance of finance is so great in administration. Government is finance. In fact, finances constitute the backbone of Government. Sound fiscal policy is therefore crucial, to government, whether Central, State or Local.

### **Resource Mobilization**

The performance of municipal activities and the provision of civic amenities by the Municipal body require adequate financial support. The effectiveness of a Urban Local Government is reflected in the degree of its solvency. Tirupati Municipality like other Municipalities in Andhra Pradesh gets its revenue through the following: (1) Tax resources; (2) Non-Tax Resources; (3) Grants-in-Aid; (4) Loans and (5) Donations. The difference in Resource mobilization and expenditure of Tirupati Municipality is evident from the following table 5.1.



**Table -1**  
**Financial Status of Tirupati Municipality**

Year	Income (Total Tax receipts) (in Rupees)	Expenditure (in Rupees)
1985-86	97,85,075	1,64,69,413
1986-87	1,03,50,800	1,91,71,215
1987-88	1,19,60,200	1,87,72,615
1988-89	1,18,27,905	2,11,00,805
1989-90	1,16,48,298	2,66,98,960
1990-91	1,21,37,643	2,83,43,600
1991-92	1,66,40,200	2,30,20,000
1992-93	1,80,80,208	2,20,19,850
1993-94	2,60,62,000	5,58,21,000
1994-95	3,27,57,000	7,09,54,000
1995-96	3,46,41,000	7,41,29,000
1998-99	13,97,57,000	11,66,99,000
1999-2000	14,69,50,000	12,95,23,000
2000-01	17,15,38,000	13,46,62,000
2001-02	21,06,10,000	16,36,00,000
2002-03	29,14,34,000	27,77,61,000
2003-04	29,32,28,000	28,74,61,000
2004-05	28,44,52,000	28,29,15,000
2005-06	24,88,28,000	24,27,27,000
2006-07	48,51,09,000	48,09,74,000
2007-08	69,34,40,000	68,38,35,000

**Source:** Financial Abstracts of Tirupati Municipality 1985-2008

As the above table shows, between 1985 and 1996 the municipal expenditure of Tirupati was much than the total municipal

income. And from 1996-1997 to 2007-2008 the municipal expenditure was less than the total municipal income.

The municipal revenue increased steadily from Rs.97,85,075 during the year 1985-86 to Rs.3,46,41,000 in 1995-96 and from Rs.3,46,41,000 in 1995-96 to Rs.69,34,40,000 in 2007-08. The increase was steady during each decade. It much also be noted that municipal expenditure too increased from Rs.1,64,69,413 in 1985-86 to Rs.68,38,35,000 in 2007-08, registering a sixty seven times rise.

### Conclusion

The sharp rise in the municipal revenue of the Tirupati Municipality is due to efficient and honest financial administration, correct assessment of house-tax, and collection of taxes by the officials of the Municipality. Knowledgeable persons of the town are of the opinion that 10 per cent of property tax amount may have been pocketed due to the corrupt practices of some of the house tax officials. The rise in income of the Municipality is also due to the increase in urban development activities undertaken by it. Simultaneously the municipal expenditure too has risen due to providing more civic amenities to the citizens of Tirupati. As the Tirupati town has become a city now and is set on the road of urban expansion and urban development at an unprecedented pace, the Municipal Corporation's needs and demands for greater finances and generous funding from all possible sources are inevitable. Therefore it cannot afford to feel satisfied or become complacent. Without adequate municipal finances it is highly impossible for Tirupati Municipal

Corporation and the Tirupati Urban Development Authority to perform well, and assure stable and good urban governance. Further Tirupati, unlike many other expanding and developing centres, has the responsibility and the attendant problems of providing civic amenities to the phenomenal floating pilgrim population of several thousands everyday. In fact many of the basic civic amenities meant for the citizens of the town are consumed by them. This fact underlines further the imperative need for steady flow of finances to the Tirupati Municipality and the Tirupati Urban Development Authority (TUDA).

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# Government Initiatives in Management of cities in Bihar

S.K. Sinha

## I. Bihar State: Brief Profile

### 1.1 Area and Population

Bihar is a land-locked state in eastern India bounded on the north by Nepal, on the east by West Bengal, on the south by Chhattisgarh State and on the west by State of Uttar Pradesh.

According to the 2011 Census, Bihar State has an area of 94,163 sq.kms and a total population of 103,804,637 as compared to 2001 population of 82,998,509 persons. The state has recorded a 25.77 per cent increase during 2001-2011.

The distribution pattern of the total population is as below:

Category of Population	2001 Census	2011 Census
1. Total population	82,998,509 (100%)	103,804,637 (100%)
2. Rural population	74,316,709 (89.53%)	Data being collected
3. Urban population	8,681,500 (10.47%)	- Do -

Source: Census of Bihar: 2011

### 1.2 Institutional Arrangements for ULB

The Urban Development and Housing Department of Government of Bihar is the apex Department headed by the Principal Secretary, a senior level IAS officer. The details of ULBs in the state are as under:

Data Component	2001 Census	2011 Census
1. Total numbers of census towns	130	Information being collected
2. Total number of ULBs	124	DO
3. Number of Municipal Corporation	7	DO
4. Number of Nagar Parishads	30	DO
5. Number of Nagar Panchayats	87	DO

Source: Data collected from Urban Development, Deptt. of Bihar

At the state level following three wings within the Department assist the Principal Secretary in the discharge of various functions and responsibilities of the Department:

- (1) The Directorate of Local Bodies headed by a Director (generally of the rank of Deputy Secretary of Bihar Government) is responsible for ensuring effective administration of the legislative provisions for ULBs, management of budgetary funds earmarked for ULB, under the State Plan (Excluding centrally assisted schemes) and approval of their Annual Budget. The Directorate is also responsible for administrative control over the officers and other functionaries of the ULBs.
- (2) The Directorate of Urban Poverty Alleviation Programme (UPAP) headed by a Director (generally senior level IAS

officer) and is responsible for administrative and budgetary control of funds received under the various Centrally Assisted Schemes and the Urban Poverty Alleviation Programmes.

### **The Director is also responsible for**

- Guiding the ULBs in respect of preparation of City Development Plan (CDP) and Detailed Project Reports (DPR) for seeking financial assistance under the Centrally Assisted Schemes.
- Administration of its Scrutiny and Sanctioning Committee for the UPAP schemes.
- Capacity Building of ULBs functionaries through Policy Training Programmes for effective discharge and monitoring of the various UPAP schemes.

### **(3) Two Registered Societies BUDA and DUDA**

The above functions are discharged through two Registered Societies BUDA and DUDA under the administrative control of the Urban Development Department:

- The Bihar Urban Development Agency (BUDA) is the Apex Body for the entire State. The Development Commissioner, Bihar is the Chairman of BUDA, the Principal Secretary, Urban Development Department is the Vice-Chairman and Director, UPAP is the Member Secretary cum Chief Executive Officer of BUDA.
- The District Urban Development Agency (DUDA) for each of the 38 districts of the State, under the

Chairmanship of the District Magistrate and the Deputy Development Commissioner (DDC) of the district as the Vice-Chairman and Chief Executive Officer of DUDA.

### **Main functions of BUDA**

- The BUDA has been notified as the State Nodal Agency for effective management and control of UPAP schemes, including organizing regular training and capacity building programmes for ULB Functionaries, Banks and NGOs.
- BUDA assists the State Government in :
  - ◆ Formulation of policies for Urban Poverty Alleviation (UPAP).
  - ◆ Preparation of guidelines for assisting the State Government for identification of urban poor, non-agriculture labour, migrant labour, educated un-employed and artisans etc. in the urban areas of Bihar.
  - ◆ Formulation of Up-gradation programmes for the above components of population.
  - ◆ Guiding and assisting the various DUDAs, ULBs and other agencies associated with UPAP activities and planning and implementation of the various UPAP schemes.
  - ◆ Assisting the DUDAs, ULBs and other agencies associated with UPAP activities in respect of seeking financial support

from Central and State Government, Bank and other Financing Institutions.

### **Main functions of DUDA**

DUDA assists the District Magistrate / Deputy Commissioner of the District in:

- Identification of urban poor, non-agriculture labour, educated unemployed, migrant labour and artisans.
- Planning and implementation of schemes for socio-economic up-gradation of above identified component of the urban population.
- Planning and implementation of schemes for increase income of families identified as population below poverty level (BPL) as per definition of Central and State Governments.
- Planning and implementation of schemes of socio-economic, cultural and environmental up-gradation of the slum areas and urban poor families living on public land.
- Implementation of schemes for provision of urban basic services like water supply, sanitation, drainage, street lighting and health facilities etc. in the above habitation.
- Monitoring of all the above categories of schemes for the urban poor.
- Adopting the concept of Public-Private Partnership (PPP) in all the above activities.

### **Capacity Building of DUDAs**

For successful and effective achievement of the above functions of the DUDA, the State Government has made following institutional arrangements for each DUDA:

- An officer of the rank of Additional Collector/ Deputy Collector will be nominated as Secretary-cum-Project Officer for each district. He will look after the Secretarial functioning of DUDA in addition to his normal functions in the districts.
- The District Magistrate will nominate an Assistant Project Officer at least four officers from amongst the District Industries Development Officer, Welfare Inspector, Kanungo and Junior Engineer from the Engineering Department of the district.
- The District Magistrate will notify one of the District level Accountant-cum-Cashier, a Steno-typist, four Typist-cum-Clerks and one Peon-cum-Chowkidar, to serve in the DUDA in addition to their original duties.
- Above functionaries will be paid honorarium as per Government Rules.

## **II. Government Initiatives in Management of Cities in Bihar**

### **2.1 Enactment of the Bihar Municipal Act, 2007**

This Act was promulgated on 5th April 2007 to “consolidate and amend laws relating to the municipal governments in the State of Bihar in conformity with the provisions of the Constitution of India as amended by the Constitution (Seventy-fourth Amendment) Act, 1992, based on the principles of participation in, and decentralization, autonomy and accountability of urban self-government at various levels, to introduce reforms in financial management and accounting

systems, internal resource generation capacity and organizational design of Municipalities, to ensure professionalization of the municipal personnel, and to provide for matters connected therewith or incidental thereto.”

One immediate impact of this Act, has been taking initiatives aiming to take care of the following FIVE BASIC CONSTRAINTS being faced by most of the urban areas of Bihar State.

- The existing municipal legislations were weak in respect of their functioning which have been emerging mainly due to population growth, industrialization, socio-economic developments and migration from rural areas as well as from smaller to bigger towns and cities.
- Majority of the municipal bodies are starved of resources, mainly because of their weak institutional arrangements and structure, resulting into their inability to effectively use their revenue raising powers.
- The existing municipal accounting system does not permit accurate assessment of their financial position, as also it is not possible for them to accretion the levels of expenditure on different services and recoveries there from.
- Most of the municipal bodies are faced with a weak technical and urban planning structures due to which, in majority of cases the pace of utilization of funds available under the Centrally Assisted Schemes and the State Plan Budgets, is slow.

- In Bihar State, there does not exist a Cadre for municipal functionaries comprising of administrative functionaries, accounts managers and technical and urban planners, as a result of which urban planning, development and management of municipal functions and services have been slow.
- The Bihar Municipal Act, 2007 has now been revised and enacted as the Bihar Municipal Act, 2011 in incorporating provisions to take care of some difficulties being faced by ULBs in discharge of some of their functions and responsibilities.

## 2.2 Preparation of City Development Plan -2030 for Patna U.A.

During 2011 a City Development Plan (CDP) was prepared for Patna Urban Area to take care of the basic services for the 2030 urban population of the city. Some of the significant components of the CDP are:

- Modernization of the existing/old Sewerage Treatment Plant and development of two additional Sewerage Treatment Plans to take care of the extended city limits, population.
- Development of new Sewerage System for the whole City and Development of Drainage Systems based on population criteria.
- Implementation of a four lane highway along the River Ganga from Patna Medical College Hospital in Central Patna to neighbouring town of Danapur and planning and implement action of a Metro-Rail System.

- Up gradation and improvement of existing road net-work, preferably with underground street-lighting wiring.
- Planning and implementation of Vending Zones, Vegetable Markets, and Weekly Markets/Hats.

The total cost of development under the following major programmes has been estimated as Rs. 5510 Crores.

Item of development	Cost (Rs. Crores)
1. Sewerage.....	788.61 Crore
2. Drainage.....	461.76 Crore
3. Traffic and Transportation ....	3218.50 Crore
4. Environment.....	288.22 Crore
5. Social infrastructure ....	460.24 Crore
6. Tourism ....	240.26 Crore
7. Institutional Set-up	42.47 Crore
8. Economic Upgradation	16.60 Crore

**Source:** Information collected from UDD, Govt. of Bihar.

### 2.3 In addition to Patna Urban Area, CDPs have also been prepared for 28 other Urban Areas of the State to develop and up-grade the socio-economic, urban and social infrastructure, traffic and transportation, drainage, sewerage and water-supply etc.

These CDPs have been approved by the Government in 2011 for implementation.

### 2.4: Preparation and approval of CDPS for three developing towns within Patna Agglomeration

The Government has prepared and approved during December 2011, City Development Plans-2030 for the three developing towns within Patna Urban Agglomeration, where Nagar Parishads are functioning, namely Phulwarisharif, Danapur and Khagaul.

Significant details are given below:

**(1) Phulwarisharif:** At present water-supply facilities are available in only 45% of the households @ at the rate of 6.15 MLD for a period of 8 hours only. It is proposed to enhance this capacity to 28.8 MLD by 2030.

The estimated costs of development for

Item of development	Cost (Rs. Crores)
1. Social infrastructure ....	141.25 Crore
2. Infrastructure set-up ....	11.12 Crore
3. Housing for Urban Poor ....	9.81 Crore
4. Street Lighting ....	2.08 Crore
5. Drainage System Development ....	8.59 Crore
6. Development of Sewerage System and Cleansing of existing system .....	40.81 Crore
7. Traffic and Transportation ....	45.05 Crore
<b>Total</b>	<b>258.69 Crore</b>

**(2) Danapur:** At present water-supply is available at the rate of 10 MLD only. It is proposed to enhance this capacity to 54 MLD by 2030.

The estimated costs of development for Danapur is as below at a total cost of Rs. 626.24 Crores:

Item of development	Cost (Rs. Crores)
1. Social infrastructure ....	174.57 Crore
2. Traffic and Transportation ....	158.40 Crore
3. Environmental Up-gradation .....	131.08 Crore
4. Housing for Urban Poor ....	75.78 Crore
5. Development of Sewerage System and Cleansing of existing system .....	63.72 Crore
6. Institutional Set-up .....	11.30 Crore
7. Drainage System Development ....	8.86 Crores
8. Street Lighting ....	1.56 Crore
<b>Total</b>	<b>626.24 Crores</b>

**(3) Khagaul:** At present water-supply is for eight hours only available at the rate of 1.50 MLD only. It is proposed to enhance this capacity to 14.2 MLD daily by 2030.

Item of development	Cost (Rs. Crores)
1. Development of Sewerage System and Cleansing of existing system .....	21.12 Crore
2. Traffic and Transportation ....	16.35 Crore
3. Environmental Up-gradation .....	10.25 Crore
4. Social infrastructure ....	6.90 Crore
5. Development of Drainage System ....	4.52 Crore
6. Institutional Set-up .....	4.25 Crore
7. Street Lighting ....	2.65 Crore
8. Other Development Schemes	0.45 Crore
<b>Total</b>	<b>69.69 Crores</b>

## 2.5 Preparation and approval of Action Plans for Prevention of Pollution of River Ganga

The State Government has initiated action during January 2012 for Preparation and approval of Action Plans for Prevention of Pollution of River Ganga. These Action Plans are being prepared under the following concept:

- The Central Government has notified the Ganga River Basin Authority to ensure Prevention of Pollution with scientific technologies.
- The basic concept in adopting these scientific technologies will be to ensure a well designed Drainage and Sewerage System for Patna and another seventeen (17) towns situated on the bank of Ganga within Bihar State.
- In the first phase a sum of Rs.441 crores has been approved for implementation of the Action Plans for four towns namely Hajipur, Begusarai, Munger and Buxar.
- Action Plans are being prepared for the 17 (seventeen) towns located along River Ganga in Bihar namely Buxar, Fatua, Bakhtiarpur, Mokama, Barahia, Barh, Munger, Sultanganj, Bhagalpur

and Kahalgaon located south of River Ganga and Begusarai, Hajipur, Chapra, Sonepur, Revelgunj, Dighwara located north of River Ganga.

- Action Plans for Patna (State Capital) and Arrah have already been prepared.

## 2.6 Other Initiatives of State Government

Following are some of the other initiatives that have been implemented by the Government of Bihar for achievement of Ethics and Social Accountability in Urban Governance:

- (1) **Organizing regular Training and Orientation Programmes for Capacity Building** of UBS functionaries and representatives of Banks, NGOs and other Agencies associated with urban management.
- (2) **Formulation of Building Regulations** incorporating provisions for safety Measures in respect of Natural and Technological Disasters.
- (3) **Setting up of the Support Programme for Urban Reforms (SPUR)** within the Urban Development Department. The Principal Secretary of the Department heads this Unit (SPUR) which initiates action for inviting Expression of Interest for various components of Urban Reforms.
- (4) **Formulation and approval of the State Slum Policy 2011** Formulation and Enactment of the Right to Service Act, 2011

This Act has been enacted by Government of Bihar to be enforced since 15th August, 2011.

It is “an Act to provide for the delivery of notified public services to the people of the state within the stipulated time limit and for matters connected therewith and incidental thereto.”

A few of the provisions in this Act are as below:

- Notification of Services, Designated Public Servant, Appellate Authority and Reviewing Authority and Stipulated Time Limits.
- Providing services in stipulated time limit.
- Right to obtain service within stipulated time limit.
- Realization of Penalty from Designated Public Servant for failure to provide service within stipulated time.
- Notification of an Appellate and Reviewing Authority for consideration of cases of applicants whose application is rejected.

III. Why Municipal E-Governance Programme is essential for achieving ethics and social accountability in urban governance in Bihar

### **3.1 An Overview**

The term 'Governance' in simple words means the process of decision making and the process by which these decisions are implemented or not implemented. In any frame work of governance, it is the citizen who comes first and the end product of all development activities is the human development.

The term 'Good Governance' has recently replaced the traditional term

'Governance'. The important parameters of Good Governance include public participation in decision making, transparency, responsiveness, efficiency, effectiveness, accountability, equitability and inclusiveness.

### **E-Governance**

E-Governance in simple words means governance using electronic tools. In this system the government offers services and informations to the public by effectively making use of electronic tools.

But E-Governance is much more than just having Computers/Laptops in offices or creating websites. It is about redefining the vision and scope of the entire gamut of relationships between citizens and government. It involves the creation of systems, integrating technology with administrative processes, human resources and technology and dispensing information and faster services to the citizens.

### **The Bihar Municipal Act, 2007**

With the enactment of the Bihar Municipal Act, 2007 on 5th April 2007, many new responsibilities have been added to the Urban Local Bodies (ULBs) of Bihar State, namely:

- (i) Regulation of land and building development plans in accordance with the Building Bye-Laws, to be framed by the State Government.
- (ii) To plan, implement and regulate schemes related to:
  - (a) Solid Waste Management including Bio-Medical Wastes, and Hazardous Wastes.



- (b) Services of Infrastructure (water-supply, drainage, sewerage, sanitation etc. as also management of environment.
- (c) Environmental sanitation, Public Conveniences, Prohibition of nuisance, Control of pollution, Restraint of Community Health and Public Safety.
- (iii) Management of natural and technological disasters in collaboration with the concerned authority of Central and State Governments.
- (iv) The ULBs have been assigned the responsibilities of Urban Planning covering Preparation and Enforcement of Development Plans/Master Plans to regulate planned growth of the areas within the ULBs.
- (v) The ULBs have been given Powers for Removal of congested buildings, Demolition of buildings unfit for human habitation, as well as issue orders to owners of such buildings unfit for human habitation to make such improvements as will render the building fit for human habitation.
- (vi) Maintenance of accounts (Receipts and Expenditure) and Preparation of Budget etc. by qualified Accountants and assist the Comptroller and Accountant General in preparation of Audit Report of the ULB.
- (vii) Initiate action for augmentation of the revenue of the ULBs through levying some new taxes and ensuring effective realization of Taxes.
- (viii) To organize regular Training Programmes for the ULB functionaries for their Capacity Building.
- (ix) To plan, implement and monitor the following schemes for urban development and providing services to URBAN POOR.
  - (a) Schemes approved under the State Plan and in particular Mukhya Mantri Sahri Vikas Yojana.
  - (b) Centrally sponsored Schemes and the Urban Poverty Alleviation Programmes.
  - (c) Schemes related to Urban Forestry, Gardens, Tree Plantation and Development of Parks/Playgrounds.
  - (d) Schemes related to Urban Environment Management.
- (x) Assisting the State Government in preparation of Municipal Building Code, and setting up of a Municipal Building Tribunal with statutory powers “to hear and decide appeals arising out of matters relating to land and building development plan, in particular and other statutory provisions in the Act, and to realize such fees in connection with such appeals, as may be prescribed.

### **Why Municipal E-Governance Programme is Essential?**

- (1) Challenges and constraints of the existing Manual System of ULB functionaries:
  - Difficulty in maintenance and retrieval of information

presently by prepared and maintained through Manual System.

- Delay in making available the Approval and issuing the various statutory Certificates (Birth and Death Certificate, Approval of Building Plans etc.) to the citizens.
- Cumbersome process involved in Tax calculation and reconciliations after giving rise to illegitimate activities which go unnoticed.
- Tedious Manual file movement processes which delay speedy decisions, which often result into cost escalation of costs of schemes and programmes.
- Lack of interaction mechanism in respect of projects and their objectives between ULBs and the citizens have been resulting into non-assessment of expectations of the citizens and the employees.

This has often resulted into conflicts, strikes, non-cooperation of citizens, and defeating the success objectives of ULBs.

- Linked with the above constraints, the ULBs have often not been able to ensure effective public participation in planning, implementation and monitoring of the various schemes.

- At present the ULBs are unable to exchange Global Methodologies, Technologies and Best Practices, particularly in respect of energy- conservation, water supply and solid waste management system, as well as an efficient system of basic services for the urban areas.
- Delays and difficulties in developing effective relationships between the citizens and government, integrating technology with administrative processes, and human resources and technology and speedy services to the citizens.

### **Objectives of the Municipal E-Governance Programme**

The citizens and the ULBs have been encountering hardships and almost unable to track and get their grievances redressed while dealing with the various functional departments of the ULBs.

Time has now come to address the existing challenges and hardships and achieve effective participation of citizens in planning, implementation and monitoring of schemes of urban development, through development of the Municipal E-Governance Programme.

Adequate financial resources are available for development of the Programme, which will enable the ULBs to achieve the following objectives:

**One: Making available a system which will facilitate to the citizens the following:**

- Easy and quick access to the department, information and services from anywhere in the State.
- To make citizen tax and other critical records tamperproof.
- Speedy and accurate processing of the citizen service requests and redressal of grievances etc.
- Infuse transparency in providing services and information to the citizens.

**Two: Making available a System of E-Governance which will facilitate the following:**

- Ensure Public Participation in Preparation, Implementation and Monitoring of the various schemes, thereby ensuring fulfillment of their expectations.
- Making available an Interaction Mechanism in respect of the various Schemes and their benefits to all the citizens, beneficiaries, stakeholders, politicians and the Municipal Administration.
- Easy and safe maintenance of citizens 'records (Birth and Death Certificates, Property Tax information etc.), Service Records of ULB functionaries and making these and other confidential records tamperproof.
- Exchange Global Methodologies and Technologies and Best Practices, particularly in respect of Energy Conservation, Solid Waste

Management, Municipal Services etc.

- Enabling the ULBs to effectively discharge the responsibilities spelled out in the Bihar Municipal Act, 2007. (now revised as the Bihar Municipal Act, 2011).

**Three: The adoption of the E-Governance System by ULBs**

will have the following application functionality:

- Birth and Death Certificates and Records of Property Tax, Water Tax, Vacant Land Tax and other Taxes levied by the ULBs.
- Building Permission and Urban Planning.
- Financial Accounting and File Management relating to creation of a Municipal Fund, Preparation of Budget Estimates, Management of Records relating to Accounts and Audit, Municipal Property Inventory, details of Borrowings etc.
- Planning, implementation and monitoring of the various State Plans/Schemes, Centrally sponsored Schemes for Urban Development and Schemes relating to Providing Basic Services to the Urban Poor.
- Development of Administration Module including knowledge sharing among ULBs and Ensuring Mature Grievance Handling System.
- Development of Policies and Programmes relating to Future Plans and Innovations based on Best Practices.



# Involvement of NGOs and Community in Development

Pawan Kumar Banta

## Community or People's Participation

Community participation is an integral part of area development planning. The involvement of the people in the planning process becomes necessary so that the plan is more responsive to the local needs, reflects more accurately the local perceptions and produces a sense of ownership and responsibility. Such community participation is of particular relevance for mobilizing community resources in which participation is viewed as a facilitator or a desired plan output, to sort out any differences in the planning and implementation stages, to speed up the process of implementation, and to complement and supplement the efforts of the government in the development process.

Achieving successful public participation in local level development is no easy task. The greater the distance from where a plan is formulated to where it is implemented, the greater the gap between the objectives and actual achievement. It is being realized now that unless people are involved in the process of development, no real improvement will take place. Therefore there is a need for an effective local level institution to energize and involve the public in managing and controlling their resources. The local leaders of the community,

teachers, students, people's representatives, beneficiaries' groups, non-governmental organizations, farmers' groups, self help groups, users groups, research institutions etc., need to be actively involved in the various stages of the planning. People's participation in the developmental schemes can be assured if the programmes are based on the felt needs of the people.

## Voluntary Organisations (VOs)

Voluntarism is a phenomenon of long cherished tradition established in ancient India and proclaimed by people to share skills, ideas, philosophy, expertise, services, resources, assets and knowledge among the members of different communities living together across the country. Voluntarism is the central core of social action in a democratic society. Voluntarism manifests through organizations, associations, individuals and organized civil structures such as Voluntary Organisations (VOs), Non-Governmental Organisations (NGOs), cooperatives of different types and micro-credit organisations outside the governmental bureaucratic machinery. Development for an ordinary Indian implies increasing freedom of choice, availability of opportunities and increasing capacity to fulfill these choices. A viable development strategy aims to stimulate people's initiative,

not substitute for it. Development with dignity connotes "Participation of people in the developmental process so as to bring desired change in quality of individual's life and also social cohesion in the society where they live. It should be sustainable development not a one time change enforced by external agencies".

However, such initiative from an individual or a community cannot be expected to come as most of the target groups are illiterate, poor, socially deprived, unorganized, extremely weak to organize themselves and do not have the skills and expertise to articulate their needs into demands. It is necessary to organize them through a process of awareness creation, about their needs, goals and rights. This could be accomplished through information sharing and dissemination of knowledge. VOs are in an ideal position to undertake these tasks. The term 'voluntary' was used mainly to denote the work done by those volunteers who were not paid for. In the context of welfare activities, voluntary means "without the spur or compulsion of economic motives". In other words it is a "self-propelled action", self without a claim for compensation.

Voluntary action may include a wide range of activities:

- Charity,
- Relief,
- Services,
- Welfare,
- Rehabilitation,
- Development of socio-economic environment around human beings,
- Development of human beings.

The father of community development movement in the country Thiru S.K. Dey made the following observation about voluntary action: "There are four estates today as guardians of whatever democracy we still claim in India - the executives, legislatures, judiciary and the press. A fifth estate is an imperative. It is "people". People are amorphous in character and, therefore, they cannot be mobilized except through voluntary organs and of their own. The fifth estate, therefore, can be rightfully called "voluntary organs of the people". It was said in the First Plan document of the Union Planning Commission, "Public cooperation and public opinion constitute the principal force and sanction behind planning. A democracy working for social ends has to base itself on the willing assent of the people and not the coercive power of the State." In the Second Plan, it was reiterated that public cooperation and public opinion constitute the principal force and sanction behind India's approach to planning. It was observed that wherever the people, especially in rural areas, have been approached, they have responded with eagerness. In national extension and community project areas, in local development works, in shramdam, in social welfare extension projects and in the work of voluntary organisations, there has always been willingness and enthusiasm on the part of the people to contribute in labour and local resources have been made freely available.

The Third Five Year Plan emphasized: "The concept of public cooperation is related to the much larger sphere of voluntary action in which the initiative and organizational

responsibility rest completely with the people and their leaders, and does not rely on legal sanctions or the power of the State for achieving its aims. It was realized that so vast are the unsatisfied needs of The world famous economist Gunnar Myrdal while stressing the importance of inducing people's initiative in planning, put it this way : "It is clear that high degree of voluntary participation and initiative is essential to the success of planning. Fundamentally the problem of planning is how to induce people to participate and co-operate in remedying all the less satisfactory conditions that make a country under-developed." the people that all the investments in the public and private sectors together can only make a limited provision for them. Properly organized voluntary effort may go for towards augmenting the facilities available to the community for helping the weakest to a somewhat better life. The wherewithal for this has to come from time, energy and other resources of millions of people for whom VOs can find constructive channels suited to the varying conditions in the country.

In the Sixth Five Year Plan, the idea of participation of people's organizations was again recognized. The role of VOs in development got a further fillip in the Seventh Five Year Plan where it was declared that serious efforts would be made to involve VOs in various development programmes to supplement the government efforts to offer the rural poor choices and alternatives. The emphasis continued till the Ninth Plan, wherein efforts were made to promote peoples' participatory bodies like Panchayati Raj Institutions (PRIs), Self-help Groups and NGOs for development.

In the Eighth Plan Document, due emphasis was given on building up people's institutions. It was admitted that developmental activities undertaken with people's active participation have a greater chance of success and can also be more cost-effective as compared to the development activities undertaken by the Government where people become passive observers. It was admitted that a lot in the area of education (especially literacy), health, family planning, land improvement, efficient land use, minor irrigation, watershed management, recovery of wastelands, afforestation, animal husbandry, dairy, fisheries and sericulture etc., could be achieved by creating people's institutions accountable to the community. Therefore the focus of attention will be on developing multiple institutional options for improving the delivery systems by using the vast potential of the voluntary sector.

It has been observed in the Approach Paper to the Tenth Plan that in many States, there are hospitals / dispensaries but absence of personnel and there are school buildings but teachers remain absent. To rectify these anomalies and to achieve the targets set for the Tenth Plan, the need to promote voluntary sector has been recognized. VOs are considered to have certain advantages over government agencies. They have greater freedom to adapt themselves to changing needs and ideas, and accordingly can modify their methods and areas of work. They have better rapport with people and get better response from them for their programmes. As VOs are characterized by greater human touch and with closer personal contact, they

are in a better position to mobilize community resources for the welfare programmes.

In the Compendium of Partnerships between Government and Voluntary sector brought out by the Union Planning Commission, it is indicated that the nation is facing the following problems:

- Experience of implementation of several schemes shows that reach of services is poor.
- Benefits of development have not percolated to the poorest of the poor.
- Administrative overheads consume most of the allocations leaving very little for services.
- Health service and primary education continue to be disturbing.
- Empowerment of women, children, SCs, STs, Backward Classes and
- Minorities is much less than targeted.
- Soil and water conservation, watershed development, greening of India, cleaning of rivers, rural and slum development schemes are not having desired impacts on the ground.
- Inefficient functioning of all-important infrastructures.

It has therefore, been emphasized that the Government has to promote voluntary action in programme identification, planning and implementation. The Council for Advancement of People's Action & Rural Technology (CAPART) was set up by Government of India in 1986 as a separate funding agency for VOs for rural development and poverty alleviation. The schemes assisted by CAPART are listed below:

- Development and dissemination of rural technology
- Integrated Rural Development Projects which are innovative and replicable
- Watershed Development
- Organisation of beneficiaries
- Disability Rehabilitation Programme
- Disaster Mitigation Programme
- Marketing Development and Rural Industrialisation.

The Compendium gives details of various schemes which will be assisted by different Ministries / Departments of Government of India if implemented by VOs during the Tenth Plan.

**Programmes / Schemes financed by the Government of India implemented by Voluntary Organisation**

- (i) Development of Infrastructural Facilities
  - a) Establishment of Post-Harvest Infrastructure and Cold-Chain facilities for food processing and integrated projects of Mushrooms, Hops, Gherkins and Baby Corn.
  - b) Establishment of Food Processing Industrial Estates / Food Parks
  - c) Infrastructural facilities for preservation and processing of fish
- (ii) Setting up / expansion/ modernization of food processing industries
  - (a) Setting up / Modernization of Food Processing Units
  - (b) Modernisation of Pulse Milling Units



- (iii) Development / Modernization of Meat Processing
- (iv) Development of Poultry & Egg Processing
- (v) Research & Development in Food Processing Industries
- (vi) Person Power Development in Food Processing Industries
  - (a) Person Power Development in Rural Areas [Food Processing and Training Centres (FPTCs)]
  - (b) Person Power Development in Meat Processing
- (vii) Strengthening of Traditional Fish Processing Technologies and Marketing
- (vii) Utilization of Low Value Fish to make Value Added Products
- (viii) Development / Improvement of Marketing, Quality Control, Storage and
- (ix) Transport of Meat & Meat Products
- (x) Generic Advertisement on Processed Foods and Marketing Assistance
- (xi) Strengthening of Backward Linkages of Food Processing Industries (Ministry of Food Processing Industries)
- (xii) Setting up of Demonstration Units / Pilot Projects
  - (a) Provision of Ambulance Service to Animals In Distress
  - (b) Provision of Shelter Houses for Looking after the Animals
  - (c) Birth Control and Immunization of Stray Dogs
  - (d) Relief to animals during natural calamities and unforeseen circumstances
- (xiii) National Leprosy Eradication Programme
- (xiv) National Tuberculosis Control Programme
  - (a) Health Education and Community Outreach
  - (b) Provision of Directly Observed Therapy
- (xv) National Aids Control Organization
  - (a) Targeted Interventions
  - (b) School AIDS Education
  - (c) Community Care & Support
  - (d) National AIDS Help Line and Telecounselling
  - (e) Community Care Centre
- (xv) Environmental Research Promotion
  - (a) Environmental Research Programme (ERP)
  - (b) Man and Biosphere (MAB) Programme
  - (c) Eastern and Western Ghats
  - (d) Biosphere Reserves
  - (e) Mangroves and Coral Reefs
  - (f) Wetlands
  - (g) National Natural Resources Management System (NNRMS)
- (xv) Grant-in-aid for voluntary agencies under National Afforestation and Eco-Development Board
- (xvi) Assistance to Botanical Gardens
- (xvii) Environment Education
- (xviii) Environmental Information System (ENVIS)
- (xix) Capacity Building
- (xx) Financial Assistance for Publications
- (xxi) Biotechnology based programmes for Society

- (a) National Project on Biogas Development (NPBD)
- (b) Community, Institutional and Night-Soil based Biogas Plants (CBP/IBP/NBP) Programme
- (c) National Programme on improved Chulhas
- (d) Solar Photovoltaic Programme
- (e) Science and Technology application for Rural Development
- (f) Science and Technology for Women
- (g) Science and Technology Interventions under Special Component Plan
- (h) Science and Technology Initiatives under Tribal Sub Plan
- (i) Popularisation of Science and Technology

Apart from tapping the assistance which may be provided by Government of India / CAPART for schemes implemented by NGOs, the locally available voluntary organizations should be involved to the maximum possible extent in all Governmental programmes.

#### Self-Help Groups

Self Help Groups (SGHs) are fast emerging as powerful tool of socio-economic empowerment of the poor in the rural areas. The Self Help Group is a small body formed by the people for meeting their

specific objectives, particularly pooling of savings and credit. It is managed by the rules and regulations formed by them and functions on democratic principles. In Self Help Groups, the fact that all poor households have the inherent capacity to save small amounts regularly is used to pool local resources that would otherwise not be productively utilized; easy access to credit is more important than cheap subsidized credit which involves intricate bureaucratic procedures; the poor are the best judge of their credit needs and are good users and re-payers of credit when formed in groups.

A notable feature of SHG is that before its linkage with any financial institution, credit discipline is imbibed among the members by loaning own savings within the group. Studies have revealed that the linkage of SHG with banks has improved the socioeconomic conditions of its members by way of positive impact on income, savings, and self-confidence. The impact is more pronounced in the case of SHGs linked through NGOs. SHGs have proved to be successful in addressing the interests of women in a sustained manner. They are extremely useful in generating savings, ensuring successful delivery of credit to groups and individual women and effecting repayments (recovery is a coercive process; repayment voluntary).

In addition, they serve as an ideal mechanism for bringing women out of their

homes making them more articulate and honing their leadership qualities and their skills as motivators. SHGs go well beyond savings and credit. They have proved to be useful & credible community based organizations to help articulate and priorities local needs, bring in women's perspectives in the allocation of local body resources, support social and community work like maintenance of village schools, painting anganwadi centers, running ration shops, acting as 'friends of police', providing mutual help in times of stress like fire accidents,

deaths, etc., and providing a foundation for communal harmony. SHGs have another very important role to play particularly in the transfer of technology to user group population. It has been found by the members of SHGs that they offer them organisational base, large resources, and access to modern technology leading to employment and income generation. Thus, Self Help Movement among the rural poor is emerging as a very reliable and efficient mode for technology transfer.



# **On-Site Sanitation : Improved Sanitary Systems**

**T.D. Daryana  
Prakriti Sehgal**

## **Background**

Urban and rural sanitation has taken new dimensions during the last five to six decades, with all out efforts to provide Sanitary Latrines, even in the places where there is no sewerage system and on-site sanitation systems are required. But, it is seen that, often, the specifications given under various standards are not being followed properly for different reasons at different places. In most places where septic tanks are being used, the septic tank effluent is passed into the open drains without any treatment or disinfection. Any and all standards would generally prescribe disposal of septic tank effluent into soak-pits for safe dispersal, and away from any water body, ground water or water course etc. It was earlier believed that the septic tanks were being given as a temporary measure, while the regular sewerage would be seen on the way and, in turn, these so called temporary measures of septic tanks would be abandoned naturally. Similarly for the other structures like the Aqua Privy type latrines, Leach Pit type latrines it was believed that these were just only the temporary measures which would naturally go out of use on arrival of the regular sewerage.

But now, when we can see that the arrival of regular sewerage is still distant enough and it would, meanwhile, be necessary to see that the on-site sanitation methods do not spread bacterial infections and also do not pollute the water sources around. In other words it may be said that the on-site sanitation, which appeared to be a temporary measure, is likely to continue so much so that every care needs to be taken to make it really safe for the surrounding environment and the water sources. An effort has been made here to devise ways and means to meet this end.

## **Septic tanks**

Septic tanks have been in use since long. A number of different type designs are available for use and it is generally believed that a large underground tank is required to be constructed to function as a good septic tank which is not really true. The IS Code No. 2470 (Part I) and Part-II, as well as the chapter on “On-site Sanitation” given under the manual on Sewerage and Sewage Treatment published by the Government of India, Central Public Health and Environmental Engineering Organization (CPHEEO) (December 1993) gives the dimensions of septic tanks as reproduced here under.

**TABLE 21.1**  
**Recommended sizes of Septic tank upto 20 users**

No. of Users	Length (m)	Breadth (m)	Liquid depth (cleaning interval of)	
			2 years	3 years
5	1.5	0.75	1.0	1.05
10	2.0	0.90	1.0	1.40
15	2.0	0.90	1.3	2.00
20	2.3	1.10	1.3	1.80

**Note 1:** The capacities are recommended on the assumption that discharge from only WC will be treated in the septic tank.

**Note 2:** A provision of 300 mm should be made for free board.

**Note 3:** The sizes of septic tank are based on certain assumption on peak discharges, as estimated in IS:2470 (part 1) 1985 and while choosing the size of septic tank exact calculations shall be made.

### **Soak Pits**

It is generally seen that the construction of soak-pits with septic tanks is not being done in most cases due to the unavailability of space and often it is convenient to drop the overflowing effluent into the open drains or the storm water drains serving the area. It is obvious that discharging the septic tank effluent in open drains is not in accordance with any standards set out so far and it may be injurious to the surrounding environment as well.

### **Disinfection of the septic tank effluent by UV and Ozonation methods**

It has been observed that even where it is not convenient to construct the prescribed type of filters, and soil absorption systems, as given in detail under the relevant Indian Standard Codes namely the Code of

Practice for Installation of Septic Tank Effluent (Second Revision), IS:2470(Part-II)-1985, it may be quite practicable to install UV and ozonation systems for effective disinfection of the effluent. This will allow the effluent to be discharged into drains, where it is already going in a large number of cases. In other words, this device is not being suggested in place of any other earlier treatment methods given under various manuals and standards. It has been suggested for situations where the raw, untreated effluent is being discharged into the open drains for one reason or the other.

### **Availability of the Commercial versions of UV and Ozone generators i.e. Advanced Oxidation Process**

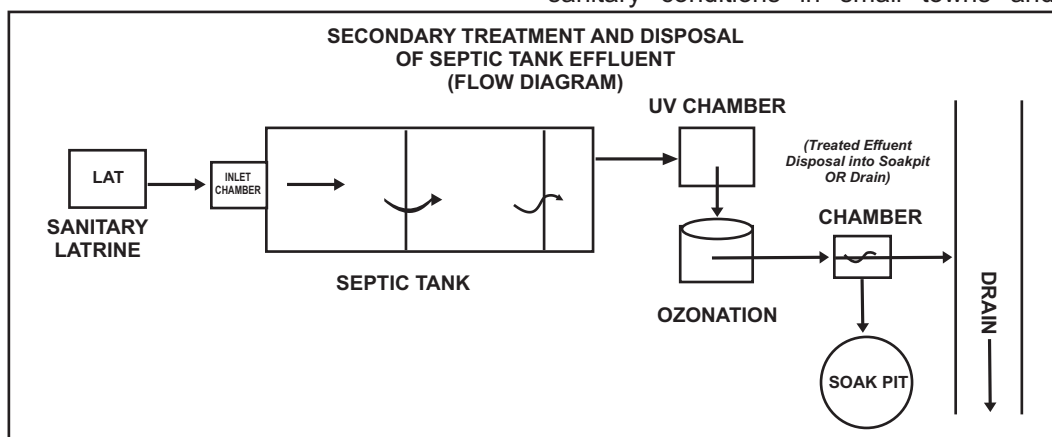
A wide variety of UV and Ozone generator systems are available in the market at affordable prices. These Ozone generators are based on the principle of Corona Discharge for the production of ozone by putting to use the environmental oxygen. It is also clear that as more systems come in use the costs may further come down with the increasing number of usages. The usage of UV plus ozone treatment has already been started in industries, laboratories, and even water treatment plants at some places. Therefore, installation of this system for household

sewage disinfection could help in bringing down the increasing water pollution rates and thereby controlling pollution to a great extent.

### Operational Experience

Experience shows that the septic tank depths given for 2 years “cleaning interval” would generally be adequate as the septic

undue problems as often seen in practice where deeper tanks are constructed. Secondly, a concise and compact disinfection system may be introduced in place of the elaborate soil absorption systems, i.e. soak pit construction for the safe disposal of effluent from septic tanks. This will certainly improve the general sanitary conditions in small towns and



tanks constructed with these specifications would generally require cleaning at intervals much beyond 2 years. The water depths given for these specifications are rational enough and would not cause the type of problems often met with during the maintenance and cleaning operations of deeper tanks.

### Conclusion

It may be seen from the above that the water depths suggested for the construction of septic tanks as per standards are moderate enough and would not cause

colonies where sewerage system is not available and the on-site-sanitation methods consisting of the construction of septic tanks or Aqua Privy systems are being used.

### References:

IS: 2470 (Part 2)-1985, Code of practice for Installation of Septic Tanks, Part-2 Secondary treatment and Disposal of septic tank effluent, Second Revision.

Manual on Sewerage and Sewage Treatment, Govt. of India, Central Public Health and Environmental Engineering Organization, Ministry of Urban Development, New Delhi, Second Edition, December 1993.



## Report on Indian Urban Infrastructure and Services( Ahluwalia Committee report,2011)

### Summary and Recommendations

1. India is urbanising. This transition, which will see India's urban population reach a figure close to 600 million by 2031, is not simply a shift of demographics. It places cities and towns at the centre of India's development trajectory. In the coming decades, the urban sector will play a critical role in the structural transformation of the Indian economy and in sustaining the high rates of economic growth. Ensuring high quality public services for all in the cities and towns of India is an end in itself, but it will also facilitate the full realisation of India's economic potential.
2. This Report comes to the conclusion that India's economic growth momentum cannot be sustained if urbanisation is not actively facilitated. Nor can poverty be addressed if the needs of the urban poor are isolated from the broader challenges of managing urbanisation. Cities will have to become the engines of national development. India cannot afford to get its urban strategy wrong, but it cannot get it right without bringing about a fundamental shift in the mindset which separates rural from the urban.
3. The Report argues that the challenge of managing urbanisation will have to be addressed through a combination of increased investment, strengthening the framework for governance and financing, and a comprehensive capacity building programme at all levels of government.
4. At the centre of this approach is the role of cities and towns in an interdependent federal system. The Committee is of the view that India's municipal corporations, municipalities and nagar panchayats, commonly known as urban local bodies (ULBs) need to be strengthened as local self-government with clear functions, independent financial resources, and autonomy to take decisions on investment and service delivery. They must also be made accountable to citizens. Elements of this shift are already present in the local government framework as reflected in the 74th Constitutional Amendment, the Jawaharlal Nehru National Urban Renewal Mission (JNNURM), and the emphasis placed on the urban sector by the Thirteenth Central Finance Commission.
5. This Report makes a case for a comprehensive framework of urban policy and planning. The key elements of this framework are:



- Increasing investment in urban infrastructure from 0.7 per cent of GDP in 2011-12 to 1.1 per cent by 2031-32
- In association, increasing spending on maintaining assets - old and new
- Engaging in renewal and redevelopment of urban areas including slums
- Improving regional and metropolitan planning with integration of land use and transportationXII
- Ensuring access to services for all including the poor to meet the recommended norms
- Reforming systems of service delivery
- Improving governance of cities and towns by a unified command under a Mayor
- Strengthening and securing the financial base of ULBs
- State governments providing an enabling environment for ULBs to discharge their enhanced responsibilities
- Government of India launching a New Improved JNNURM (NIJNNURM) that focuses on capacity building and supports urban reforms within a programme approach

## A. Summary

The major conclusions emerging from the documentation and analysis in the Report are presented below.

### A.1 Urbanisation and Economic Growth

6. Only 30 per cent of India's population lives in urban areas. This is much lower than in China, Indonesia, South Korea,

Mexico, and Brazil. Some of this may be due to much lower per capita incomes in India. The Committee's projections suggest that India's urban population as presently defined will be close to 600 million by 2031, more than double that in 2001. Already the number of metropolitan cities with population of 1 million and above has increased from 35 in 2001 to 50 in 2011 and is expected to increase further to 87 by 2031. The expanding size of Indian cities will happen in many cases through a process of peripheral expansion, with smaller municipalities and large villages surrounding the core city becoming part of the large metropolitan area.

7. Three decades of rapid economic growth would normally have propelled migration from rural areas but growth in India has not had this effect thus far. This is because industrialisation has been capital intensive and the services boom fuelled by the knowledge economy has also been skill intensive. A few cities of India have acted as centres of knowledge and innovation. As more cities provide economies of agglomeration and scale for clusters of industries and other non-agricultural economic activity, the urban sector will become the principal engine for stimulating national economic growth. Industrialisation will absorb more people as India advances further in its integration with the world economy. At the present juncture, India faces the challenge of continuing on its high growth trajectory while making growth

more broad-based and labour-intensive.

### XXIII

8. The fortunes of the agricultural sector are crucially linked to the manner in which growth in the industry and services sectors unfolds. People living in rural areas typically tap the opportunities that cities provide for employment, entrepreneurial avenues, learning, and monetary repatriation. As urbanisation grows, demand for food items other than foodgrains, i.e. vegetables, lentils, milk, eggs, etc., also grows. This leads to investments in infrastructure, logistics, processing, packaging, and organised retailing. These investments and other economic inter-linkages connect and build synergy between rural and urban centres. Of course, government policy should also focus on enhancing the productive potential of the rural economy. This Report maintains that India's urban future promises to be an inclusive one, with the benefits extending to rural areas as well. Already, there is evidence to suggest that rising standards of living in India's urban areas in the post-reform period have had significant distributional effects favouring the country's rural poor.

#### **A.2 The State of Service Delivery**

9. Cities and towns of India are visibly deficient in the quality of services they provide, even to the existing population. Considering that the Indian economy is now one of the fastest growing

economies in the world, and standards are rising, current service levels are too low relative to the needs of urban households. They are also low relative to what will be required to sustain the economic productivity of cities and towns.

10. The Committee believes that public services such as drinking water, sewerage, solid waste management, roads, and street lights must be accessible to one and all to achieve the goals of inclusion. At the same time, they must meet the service norms as set out by the Ministry of Urban Development in 2008 to ensure the contribution of cities to economic growth. To achieve both inclusion and economic growth will, however, require shifting the focus of policy from creating physical infrastructure to delivering services. The challenge is to focus on reforming governance for service delivery. Without this, additional capital investments in urban infrastructure will not result in improvements in service delivery.
11. The Committee has taken note of the situation with respect to low income housing and public transportation. The scarcity of affordable housing drives the poor and some non-poor to slums and most of these settlements lack even basic water and sanitation facilities. On average, 25 per cent of the population in many Indian cities lives in slums; in Greater Mumbai, slum dwellers account for 54 per cent of the total

population. Not all slum dwellers are poor, and the complexity of these challenges is reviewed in the context of urban planning, infrastructure development and public service delivery for all.

12. The challenge of urbanisation in India is to ensure service delivery at the enhanced minimum standards that are necessary when planning ahead. This is particularly so in a situation when even the current urban population is inadequately served and total urban population is likely to increase by at least 250 million.

### **A.3 Estimates of Investment for Urban Infrastructure**

13. This Committee's terms of reference specified that it should estimate investment requirements for eight major sectors of urban infrastructure over the period 2008-20, and suggest ways of financing the massive infrastructure deficit in the urban sector along with ensuring improved service delivery that meets the new specified norms.
14. The Committee has interpreted its mandate in a broad manner by covering all areas of urban infrastructure and extending the period to 2031. It has prepared detailed estimates of investment for eight sectors, i.e. water supply, sewerage, solid waste management, storm water drains, urban roads, urban transport, traffic support infrastructure, and street lighting, and these are presented in Chapter III. The Committee has also

prepared an estimate of investment in urban infrastructure as a whole by suitably scaling up the estimates for these sectors. However, these would not cover the requirements of primary health, primary education, and electricity distribution, which are outside the terms of reference of the Committee.

15. The Committee has made projections for the period from the Twelfth Five Year Plan to the Fifteenth Five Year Plan, i.e. 2012-31. Given the volatility of land prices, the estimates do not include the cost of land acquisition.
16. The investment for urban infrastructure over the 20-year period is estimated at Rs 39.2 lakh crore at 2009-10 prices. Of this, Rs 17.3 lakh crore (or 44 per cent) is accounted for by urban roads. The backlog for this sector is very large, ranging from 50 per cent to 80 per cent across the cities of India. Sectors delivering urban services such as water supply, sewerage, solid waste management, and storm water drains will need Rs 8 lakh crore (or 20 per cent). The Committee has made explicit provision of Rs 4 lakh crore towards investment in renewal and redevelopment including slums.
17. Recognising that the focus of policy should be on provision of public services which flow from infrastructure assets and not merely on creating the assets, the Committee has highlighted the importance of operations and maintenance (O&M) for the upkeep of the assets. The O&M requirements for

new and old assets are projected at Rs 19.9 lakh crore over the 20-year period.

#### **A.4 Governance**

18. The Committee believes that governance is the weakest and most crucial link which needs to be repaired to bring about the urban transformation so urgently needed in India. Financing the large sums required to meet the investment needs of urban infrastructure is crucially dependent on the reform of institutions and the capacity of those who run the institutions for service delivery and revenue generation. The Committee is of the view that large expenditures on Indian cities and towns have to be combined with better governance structures, strong political and administrative will to collect taxes and user charges, and improved capacity to deliver. Cities must be empowered, financially strengthened, and efficiently governed to respond to the needs of their citizens and to contribute to the growth momentum.
19. The municipal entities need to be strengthened as local governments with 'own' sources of revenue, predictable formula-based transfers from state governments, and other transfers from the Government of India and state governments to help them discharge the larger responsibilities assigned to them by the 74th Constitutional Amendment. Improved tax revenuesX combined with rational user charges will enable cities to leverage their own resources to incur debt and also access new forms of financing through public private

partnership (PPP). Only then can they augment the urban infrastructure base, provide improved quality of services on a sustainable basis to their residents, and contribute to the growth momentum of the Indian economy.

#### **A.5 Financing**

20. Urban local governments in India are among the weakest in the world both in terms of capacity to raise resources and financial autonomy. While transfers from state governments and the Government of India have increased in recent years, the tax bases of ULBs are narrow and inflexible and lack buoyancy, and they have also not been able to levy rational user charges for the services they deliver.
21. ULBs can borrow from the market only within limits and with explicit approval of the state government. However, this has mostly not been a binding constraint since the real challenge in accessing external finance has been the precarious state of their own finances and poor governance.
22. The Committee believes that in view of the importance of urban infrastructure for economic growth and inclusion, the Government of India and state governments will have to step in, both by providing substantial funds and by facilitating the use of additional mechanisms for funding, which will require the strengthening of own finances of ULBs. The latter, in turn, requires reforms in governance at all levels.
23. The Government of India will have to

take a leadership role in financing a major part of the programme and, at the same time, facilitate and encourage the involvement of state governments and ULBs. State governments will have to contribute by way of a constitutionally mandated revenue sharing arrangement with the ULBs. On their part, the ULBs will carry out reforms in governance and financing to deliver public services of specified norms to all including the poor. This should be done within a framework of accountability. Rising aspirations of the increasing numbers of people in urban India will make further demands on ULBs, and community participation will be an important factor in ensuring accountability.

## B. Recommendations

The major recommendations of the Committee are summarised below.

### B.1 New Improved JNNURM (NIJNNURM)

24. The launch of the JNNURM in December 2005 by the Government of India signalled the importance of the urban sector for the Indian economy. The Mission has certainly helped focus attention of policy makers in all three tiers of the government on the challenges facing the cities and towns of India and created dynamism in a sector which has long suffered neglect.
25. Progress in implementing reforms under the JNNURM has been slow, and it has been difficult to enforce conditionality of overall reforms in a project-based financing approach for a variety of reasons. The Mission has

more generally exposed the lack of capacity at local government level to prepare and implement projects in urban infrastructure.

26. The main features of the NIJNNURM are spelt out below:

**Coverage** Accessible to all cities/towns big and small

**Scale** 0.25 per cent of GDP annually

**Duration** 20 years

**Capacity Building** A strong programme of capacity creation

**Programme Approach** ULBs should be required to lay out a framework detailing action items, financial and operating plans, monitoring programme, and capacity building initiatives leading to reforms and achievement of service level standards

**City Differentials** Smaller cities and towns should be treated differently from larger cities and metros for funding, capacity building and reform content and timelines

- Funds for smaller ULBs should be channeled through intermediary institutions, and they should be encouraged to go in for pooled financing
- For Municipal Corporations and Municipalities, in addition to a regular window, a special window should be created specifically for projects that could be financed and executed via PPP route, or by leveraging private sources of funding.

**Funding** Should be linked to a ULB-specific programme of development and reform

- Funding requirements to be routed through the state governments
- State governments not required to make any financial contribution towards the NIJNNURM because of the

Committee's recommendation for devolution

- Contribution of the smaller ULBs to be lower than that of the larger cities and metros. Governance Monitoring of reforms at the state level
  - Focus on improvement in procurement systems by having standardised tender documents for key categories of urban infrastructure based on international best practices.
27. The detailed guidelines for the NIJNNURM and its differentiation across city sizes will have to be put together by the Ministries of Urban Development, and Housing and Urban Poverty Alleviation, and other relevant government agencies.
  28. A precondition for the success of the proposed programme-based approach in the NIJNNURM is to strengthen capacity at all tiers of government beginning with the two apex ministries at national level or the proposed single Ministry. Of the total NIJNNURM funds, 5 per cent will be spent on building capacity. This would still meet only half the total funding requirements for capacity building over the entire 20-year programme: state governments, ULBs, and the private sector will have to partner in building capacity.

## **B.2 Governance**

### **Administrative Reforms**

- i. One Ministry of Urban Affairs and Housing, Government of India and a unified Mission (NIJNNURM)
- ii. One Department of Urban Affairs and Housing at state government level and a unified Mission (NIJNNURM)
- iii. Unified command under an empowered and accountable Mayor

### **Planning of Cities/Towns**

- i. City level planning by ULBs through state legislative reform
- ii. High Powered Expert Committee to be set up to study urban land use and land market issues
- iii. Housing for the poor to be planned within an integrated land use/transport plan with focus on public transportation
- iv. Densification of existing cities linked to development of infrastructure facilities, especially public transport
- v. Funding of renewal and redevelopment including slums to be looked into by the proposed Committee on land reforms
- vi. Innovative use of floor space index (FSI) charges to plan for compact and efficient cities

### **Metropolitan and Regional planning**

- i. District and Metropolitan plans to form part of state plans
- ii. Integrating transport and land use planning at regional level
- iii. Strengthening Metropolitan Planning Committees (MPC) and District Planning Committees (DPC) with Urban Development Authorities and Unified Metropolitan Transport Authorities as technical arms

### **Regulatory Framework**

#### **To set up:**

- i. Urban Utility Regulator, beginning with water and sewerage
- ii. Local Body Ombudsman for dispute resolution
- iii. Local Fund Audit Commission for independent and professional audit

### **Reforms for Service Delivery**

- i. Corporatisation of service delivery institutions
- ii. Smaller ULBs to come together for scale economies through inter-municipal cooperation



- iii. State governments to amend their Municipal Acts or enact overarching Acts to facilitate PPPs
- iv. Use of e-governance and e-enabled smart technologies

### **Community Participation and Transparency**

- i. Implementing Community Participation and Public Disclosure Law
- ii. Setting up and empowering Area Sabhas and Wards Committees
- iii. Preparing Citizen Report Cards and Social Audits
- iv. Preparing Market Worthiness Disclosure Statements by ULBs

### **B.3 Capacity Building**

#### **Institutional Capacity Building**

- i. Set up five Indian Institutes of Urban Management through partnership between the Government of India, state governments and the private sector, either anchored in existing IIMs or as stand alone institutions of excellence
- ii. Infuse funds and new talent into existing Schools of Urban Planning
- iii. Promote think tank initiatives in urban policy through Centres of Excellence/ Innovation in existing institutions
- iv. Create a Reform and Performance Management Cell (RPMC) in the Government of India (and at state level and in large cities) with a multidisciplinary team undertaking activities such as:
  - Providing technical assistance to state governments, regulators, and ULBs in planning, finance, operations, and monitoring of urban programmes
  - Encouraging projects under PPPs through model concession agreements,

database, knowledge sharing, etc.

- Creating a dedicated Municipal Information Unit to collect, collate, and analyse comparable data on municipal services and finances on an annual basis
- Providing assistance to State Finance Commissions
- Developing a Performance Management System for evaluating cities and towns

### **Human Resource Capacity Building**

- i. Train 300 officers from the Indian Administrative Services (IAS) and other central services annually as urban specialists and place them systematically through deputation in cities and towns
- ii. Build/Reform Municipal cadres in all states with recruitment into the cadre at entry level through a competitive examination
- iii. Provide flexibility in lateral hiring of professionals with special skills into the cadre
- iv. Put in place a transparent search-cum-selection process in the appointment of the Municipal Commissioner
- v. Tenure of the management team to be a minimum of three years
- vi. Develop dedicated IT cadre with a Chief Information Officer for the larger cities

### **B.4 Financing**

#### **Tax Reforms**

- i. Introduce a 'Local Bodies Finance List' in the Constitution
- ii. Empower ULBs with 'exclusive' taxes
- iii. Constitutionally ensure sharing by the state governments of a pre-specified



percentage of their revenues from all taxes on goods and services with ULBs

- iv. Provide for formula-based transfers and grants-in-aid to ULBs from the divisible pool
- v. Abolish octroi and entry taxes in all states
- vi. Undertake reforms in property tax so as to levy tax on constructed building under an Area Based System and levy of vacant land tax on the basis of ready-reckoner capital value

### **Unlocking Land Value**

- i. Tapping land-based financing sources including conversion charges, betterment charges, impact fees, and development charges
- ii. Pricing of Floor Space Index (FSI) above a certain limit, within overall planning guidelines
- iii. Preparing city-wide inventory of land assets
- iv. Putting in place a transparent and accountable mechanism for monetisation of public land with due attention to the needs of the poor and the marginalised

### **Reforms to Strengthen Non-tax Revenues**

- i. Municipal Service Regulator should be assigned the responsibility of revising user charges regularly. Even when different segments of the population are charged differently, the cross-subsidisation should be such that the overall O&M cost is recovered and a minimal surplus generated. Automatic indexation will ensure smooth increase

over time without the challenge of having to defend cumulative adjustment every few years.

- ii. User charges to be so structured as to meet O&M cost, debt servicing, and depreciation towards the cost of the project. In addition, they must also generate some surplus to enable building the equity base of ULBs, supported, where appropriate, with viability gap funding (VGF)
- iii. Levy water and sewerage charges separately rather than built into the property tax
- iv. Introduce parking fee to enhance revenue streams and promote the use of public transport
- v. Collect trade licensing fee on the basis of a self assessment return

### **Other Reforms**

- i. State governments to set up state financial intermediaries to work with small ULBs
- ii. Government of India to create a 'Regulatory Guidelines Handbook for Municipal Borrowings'
- iii. ULBs to prepare 'Intended Use Plans', requiring them to prepare a borrowing programme based on their investment needs and repayment capacity
- iv. Remove fixed cap of 8 per cent on annual interest on municipal bonds to make the bonds attractive
- v. HUDCO to have a professional Board; to receive benefits available to infrastructure financing companies; and be regulated by the Reserve Bank of India

(Full Report on [www.urbanindia.nic.in](http://www.urbanindia.nic.in))



## **Guidelines on Community Participation in Rajiv Awas Yojana (RAY)**

### **1. Introduction**

1.1. Rajiv Awas Yojana (RAY) announced by the Hon<sup>ble</sup> President of India on 4th June, 2009, for the slum dwellers and the urban poor envisages a Slum-free India "through encouraging States/Union Territories to tackle the problem of slums in a definitive manner. As per the Pronab Sen Committee Report, a slum is defined, "as a compact settlement of at least 20 households with a collection of poorly built tenements, mostly of temporary nature, crowded together usually with inadequate sanitary and drinking water facilities in unhygienic conditions."

1.2. The Mid Term Appraisal of 11th Five Year Plan of the Ministry of Housing and Urban Poverty Alleviation has pointed out, and the experience of JNNURM has demonstrated, the need for adopting a process of change management that will ensure the sustainability of urban transformation. It highlights the need for an inclusionary approach to prevent delays in implementation, a finding which has also been reiterated by the expert committee under the chairpersonship of Deepak Parekh.

1.3. The Guidelines on "Community Participation in Rajiv Awas Yojana" therefore lay emphasis on community participation in the process of preparing and implementing

the State and City Slum Free Plans and require that the designing of slum redevelopment for the people is done with the people, which will lead to community ownership and sustainability of the programme. These guidelines focus on community participation in all the phases of Slum Free city Plans (SFCP), including pre-survey, survey, preparation of slum re-development plan, microplanning and implementation of slum re-development plans, and operation and maintenance plan of the created assets.

### **2. Community Participation in Survey and Data-base creation**

2.1. As per the Guidelines circulated by NBO, M/o HUPA, data with respect to slum profile, Urban poverty profile, Livelihood including socio-economic profile, is to be gathered for all slums-notified and non-notified, including unauthorized colonies and regularized unauthorized colonies unserved by municipal services, and pavement dwellers.

2.2. During the survey, the following schedules of enquiry are to be canvassed:

- Part A: General Information of Slum area
- Part B: Slum Profile of Urban Local Body
- Part C: Particulars of Survey Operations

- Annexure-I: Detailed Slum Survey
- Annexure-II: Detailed Household Survey
- Annexure-III: Detailed Livelihoods Survey

2.2.1. Part A and Part B deals with the General Information of the city/town and slums covered under the survey. The information in Part A and B is required to be filled by doing desk research based on secondary sources of information, which is already existing with the ULBs with the concerned municipal officials. However, it may be noted that the latest data would be generated when the Annexure 1 is administered in slums and this would need to be appropriately reflected in Part A and B also. Part C deals with capturing information on mapping slum profiles and includes Annexure I, II and III. and has to be administered at the community level involving community structures like Neighbourhood Groups (NHGs), Neighbourhood Committees (NHCs), Community Development Societies (CDS) etc. and local/slum based Community Based Organisations (CBOs) such as Resident Welfare Associations (RWAs), Self Help Groups (SHGs) and Co-operative organizations of the slum dwellers working in the area along with ward level ULB officials.

2.3. While it is important to gather information during surveys, innumerable experiences in the field have shown that the whole exercise can prove infructuous if communities are not included from the beginning. Since ULBs are already in the process of undertaking or initiating slum surveys, the following broad principles of

engagement of communities in the process of survey and data base creation, is suggested, which can be divided into the following categories:

### **2.3.1. General Administrative Arrangements**

### **2.3.2. Mapping and Survey Operations**

#### **2.3.1 General Administrative Arrangements**

a. At the State level, the State level Nodal Agency supported by the State level RAY cell (comprising of the experts, as recommended in the Slum Free City Planning (SFCP) guidelines) shall be responsible for guiding and monitoring the exercise of survey including data base creation and its validation while ensuring the involvement of the community in the above process.

b. To support the survey and to build stakes and ownership of people contributing to their empowerment, it is imperative to initiate a process, which is inclusive and participatory right from the beginning. To facilitate this process, the role of NGOs and CBOs becomes very vital. In this process, city level NGOs (referred as Lead NGOs) may be engaged, and assigned the role of managing the survey and ensuring community participation, whereas, the slum based CBOs through their community facilitators and volunteers may undertake and lead the community self surveys at the slum level. The NGO is envisaged to act as a bridge between the municipality and the people. It is expected to play the role of a mediator and a facilitator. The role of lead NGOs and slum based CBOs in the process of survey and subsequent design of

redevelopment models as well as their implementation, and the general guidelines for their selection are given at Annexure 1. The ULBs can choose to facilitate community engagement in the process of mapping and conducting the survey by choosing any of the following options as per their existing structures and requirements:

**Option 1: ULBs have a strong Urban Poverty Alleviation (UPA) Cell and a well organized community mobilization and development structure with dedicated officers and community mobilizers at the field level.**

a. In the above situation, the ULBs may choose to conduct the survey through their existing community volunteers or select community volunteers as per the existing rules of the ULB for this programme. In this regard, the UPA cells with day to day guidance and supervisory role of the RAY city technical cell, would be expected to undertake the responsibility of day to day monitoring of the data collection, compilation, ratification and analysis.

b. The lead NGO and/or the slum based CBOs would assist the UPA cell in conducting and managing the community self survey, including the task of capacity building, trainings of the municipal staff and of the community volunteers.

**Option 2: ULBs lack a strong UPA cell and dedicated community structure at the field level and choose to get the survey conducted through a professional agency supported by the Lead NGO**

a. In the above situation, the ULBs may get the survey conducted through a

professional agency with the requisite expertise in conducting socio-economic surveys, hired through an open transparent procedure keeping a stipulation that this agency shall pick as many canvassers as possible from the sourced slum or the nearby slum pockets.

b. The responsibility of collecting and feeding the data into the slum MIS tool, data validation and cleaning, compilation and collation will remain the responsibility of the professional agency under the day to day guidance and control or with supervisory help of the RAY City Technical Cell. The collation would be able to generate web enabled city level data

Professional agencies would not have capacities to involve the community. It would be necessary for the ULB to engage a lead NGO and slum level CBOs to ensure that the community is meaningfully involved in the entire process of mapping and slum surveys.

**Option 3: ULBs lack a strong UPA cell and dedicated community structure at the field level and choose to get the survey conducted through the Lead NGO**

In the above situation, ULBs may choose to get the survey conducted through Lead NGO(s) having expertise in conducting socio-economic surveys and selected through an open transparent procedure, thus combining in the Lead NGO the role of the professional agency and the lead NGO in one organisation. The lead NGO(s) can undertake the survey directly through their own community facilitators/ staff or they may get the survey conducted through slum based CBOs (Self Help

Groups, Neighbourhood Committees, Neighbourhood groups and community development society etc.). These slums based CBOs may be identified by ULBs themselves with the assistance of Lead NGOs or they may be identified by the lead NGO with approval of the ULBs.

The responsibility of feeding the data into the slum MIS tool, data validation and cleaning, compilation and collation will also be the responsibility of the lead NGO in this case, under the guidance & control or with the supervisory help of the RAY Cell.

Since in this option, responsibility of undertaking survey as well as facilitating community participation is with one agency, i.e. Lead NGO, hence there is a need for supervision and oversight functions to be performed by the Municipality for transparency, to ensure that community demands are truthfully represented, and to provide necessary check and balance.

2.3.1.1 The criterion and process of selection of lead NGOs and CBOs and their payment mechanisms has been outlined in Annexure 1 and Annexure 1.A respectively.

2.3.1.2 Whichever option is identified, ULBs have an important role to ensure that community engagement takes place through an 'inclusionary' process, and the important aspects of this process are mentioned in point 2.3.2 below.

2.3.2 Mapping and Survey Operations: Community engagement in mapping & survey will comprise of the following steps involving the community.

a) Environment building before undertaking slum mapping and slum survey;

- b) Identification, demarcation of slum areas, vacant lands & its ownership on the geo-referenced City Base Map;
- c) Delineation of slum areas and mapping of slum infrastructure by total station survey;
- d) Data base creation at household level on poverty and livelihood parameters.

Point a is the pre socio economic phase which will set the ground for community engagement in the entire exercise of slum free city planning.

The role of CBOs and NGOs in the processes to involve the community in each of these steps are envisaged as follows:

a) Environment building before undertaking slum mapping and slum survey:

i. At the city level: The environment for the survey should be created by organizing an introductory workshop with all concerned stakeholders like council members, municipal officials, community organizers, representatives of existing community/ neighbourhood level structures etc to explain the objective of the slum survey.

After the introductory workshop or concurrently the existing City level information shall be compiled in part A and part B of the slum formats.

ii. At the slum level: Part C of the format has to be administered at the community level involving community structures like NHGs, NHCs, CDS etc. and local/slum based CBOs working in the area and with ward level ULB officials. This section deals with capturing information on mapping slum profiles and includes Annexure I, II and III.

The following key steps should be taken by the ULBs to build a conducive environment suggested in the SFCP guidelines in page no. 16 under para no. 1.5.2, before initiating the canvassing by ensuring:

- Identification of marginalized groups (such as SCs/STs, physically challenged, women headed households, minorities, etc) by the concerned cells/resource agencies for ensuring their active participation in the slum free city planning.
- A sabha of the community to explain to the slum dwellers the objective of slum survey to reduce any insecurity among the community members through the city level cells and identified lead NGOs, slum based CBOs.
- Meeting with elected representatives to explain the objective of the survey and to get their support in the entire process.
- Identification of volunteers/community leaders/facilitators for the surveys. Normally 200- 300 households constitute an ideal unit for community representation and experiences have suggested that ideally one community investigator/volunteer should cover 30-40 households. Care should be taken to ensure that the volunteers/facilitators/community leaders are from the community, are acceptable to the community and that there are adequate representatives from marginalized groups.
- Training and adequate guidance to the slum based NGOs/community volunteers by the concerned cells/

agencies/Lead NGOs, as the case may, so that they understand the objectives of the exercise, the reasons for community involvement, their own roles, as also the purposes for collecting data through questionnaires, interviews, observations, Focused Groups Discussions (FGDs) and Participatory Learning Action tools (drawing rough maps, household counting, numbering etc) including explanation on the formats and guidelines to be used for the survey. The capacity building activities can also be undertaken by the National Network of Resource Centres (NNRCs), empanelled by the Mo/HUPA.

Pre-survey process would enable to build a process of ownership of the community, allaying fears of the slum dwellers and to set a firm ground to undertake a detailed survey based on NBO guidelines.

b) Slum mapping leading to creation of a geo-referenced GIS City Base map with identification, demarcation of all slum areas and vacant lands and its ownership on the City Base Map (aligned with Step 1 of SFCP guidelines contributing to Part B and Annexure I of Part C of survey format):

**i. Preparing list of slums:** The first step in the process of SFCP is the preparation of the geo-referenced city base map and identification, demarcation of slum areas and vacant land on this city base map. The first part i.e. preparation of city base maps will be done by technical experts and for the latter part (i.e. identification, demarcation of slum areas), the ULB need to create an



updated list of slums (based on an existing list) through a consultative process involving elected representatives, NGOs/CSOs /Academic and Research Institutes working on urban issues.

**ii. Identify slum boundaries:** Slum boundaries of each slum will need to be demarcated on the portions of the city base map showing the area occupied by the slum pocket. During the creation of updated list, the ULBs should ensure that slum pockets identified on the satellite image are included in the list after verifying (ground truthing) the existence of slums with the help of elected representatives, NGOs, Social experts and elected representatives (pl. refer page no. 15, para no. 1.4 of the Slum Free City Planning Guidelines). At this stage it is also important to map land ownership details, as the land ownership/legal title may not belong to a single entity or the title(s) of identified land may be disputed. In this exercise, ULBs should involve elected representatives, NGOs, CSOs, and CVTC/Coordinating group of CVTCs.

**iii. Identification of vacant land:** Vacant land area that could be used for resettlement purposes (only in the case where in-situ development is not possible) will also need to be identified. Special attention needs to be paid to the land-use proposed in the records and master-plans. A strategy for redevelopment of these lands should also be proposed. In identification of vacant land sites, ULBs therefore need to involve elected representatives, NGOs and/or eminent social and urban experts, CVTC/Coordinating group of CVTCs.

**iv. Slum Level Rough Mapping:** Rough mapping will include cross checking the

demarcation of the slum boundary done (as mentioned in the para 2.2 above). It will demarcate the number and locations of tenements and households and other community facilities like balwadis, primary schools, primary health care centers (PHC), community work spaces/ non household based commercial activities, social development infrastructure like community halls, night shelter etc, toilets, water supply, road connectivity, sewerage, provision of waste disposal, topography and catchment areas etc. The data generated would contribute to Annexure I of the Part C of the formats circulated by NBO. In undertaking rough mapping of the settlement at the neighborhood level, ULBs should ensure that the community is engaged as this process will help the community understand better what surveys represent, familiarizing them with survey completion and developing slum profiles. This first rough survey will need to be validated through the community.

**v. Household counting and numbering at the neighborhood level:** The ULB should ensure that the selected agency/ or lead NGO or the CBO representatives assisted by the identified community leaders and/or community volunteers mark the doors of the existing houses with unique house numbers. If the community volunteer is used for actual canvassing, then he/she should be paid for this as per the rates fixed by the ULB. Once rough mapping is done, numbers are matched with maps, and final house numbers are painted on the doors, it would confirm that every family living in the slum is included in the survey. This further ensures accuracy and establishes good



faith and credibility among the community. Both, household counting and numbering would contribute to Annexure I of the Part C of the formats circulated by NBO.

Annexure I of the format, which contributes to creating the slum profile, also have other fields apart from the above like the demographic profile, economic and occupational status of households, coverage of social development/welfare schemes etc, which shall also be canvassed through participatory approach/tools like Focus Group Discussions etc. The identified NGO/CBOs will help in design of these tools and also impart training for their use. It is also to be noted that some of the fields of Annexure I are aggregations of information collected through the detailed household survey as part of the Annexure II and III of Part C, such as demographic profile (population & health & literacy), economic status of households, and access to physical infrastructure (sources of drinking water and sanitation), etc. Slum MIS e-tool prepared by CGG on behalf of the M/o HUPA has the facility of picking up the data straight from the concerned fields of Annexure II, III. However, the data collected through the above participatory approach will serve to cross check and validate the information collected through the detailed household survey subsequently, and should not be considered redundant.

**c) Delineation of Slum Areas and Mapping of Slum Infrastructure by Total Station Survey:**

i. After slum pockets are identified, detailed footprint of each listed slum settlement and parcel of vacant land

available in the city will need to be mapped using total station survey, if required, which will be undertaken by a technical agency. NGOs/CBOs should undertake community mobilization in each slum pocket simultaneously with or prior to the total station/socio-economic survey in order to avoid conflicts arising from miscommunication with the slum communities during the survey process, as mentioned in para 1.5.2 of annexure IV of SFCP guidelines. It should however be noted that total station survey should be undertaken of those slums which have been prioritised for redevelopment, and for whom the task of DPR preparation is imminent. . The prioritized slums would be identified after the survey is completed.

ii. Total station survey and other surveys should be a joint effort of the survey team of the ULB, GIS technicians of the Technical Agency/bidder/vendor and the Slum-free City Cell/Town Planning Wing of the Urban Local Body (ULB). The ULB personnel and representatives from NGOs/CBOs should accompany the survey team to guide them in identifying various infrastructure networks and render help in the collection of required data, as mentioned in para 1.5.4 of annexure IV of SFCP guidelines.

**d) Data base creation at household level on poverty and livelihood parameters (aligned with Step 2 of SFCP guidelines contributing to Annexure II & III of Part C of the Survey Format):**

i. The objective of SFCP is not only to estimate the requirement of housing and infrastructure in the existing slums, but also to formulate /re-orient poverty reduction

strategies. The survey formats have two distinct components. Annexure II collects information on the profile of the slums of the city which is useful for estimating the requirements of housing and infrastructure in existing slums. Annexure III collects Household, Livelihood and Socio-economic data of each household living in the slums, for the purpose of poverty diagnostics. These surveys are an important input for developing or reformulating urban poverty alleviation strategies and schemes targeting the needy and poor in urban areas.

ii. The Annexure II captures general information and detailed information comprising of land tenure status, types and structure of houses, sources of drinking water, existence of basic toilet facilities, schools, health facility, access to welfare benefits, ownership of consumer durables and livestock, migration details, income and expenditure details of households. The Annexure II would be administered after the Annexure I with a gap of not more than 2-3 weeks. However, depending upon the State's abilities and competence, the Annexure I and Annexure II can be administered simultaneously as well.

The Annexure III collects information on livelihood survey/profile with details of earning members, employment and earnings, sources of earning and livelihood, reasons for unemployment, preferred areas of training/skill enhancement and suggestions regarding imparting of training skills enhancement programmes, etc.

ULBs should ensure that the identified agencies, accompanied by community volunteers, wherever necessary, complete the process of survey by administering the Annexure II and III of Part C, at the

household level. Community volunteers should also be utilized to facilitate biometric surveys as specified in the guidelines issued by Unique Identity Authority of India (UIDAI), subsequently, using the unique household numbers generated during the survey to merge the two sets of data.

iii. After data entry of the survey and compilation of the information it should be presented before the communities for ratification to ensure that no households are left out in the survey process and the data collected is accurate. As an approval, the members would put the signature at the back of the data sheet. The data collected through participatory approach for all these aspects will serve as a reference point for community checking and validating. An unbiased dispute resolution mechanism should be put in place to deal with conflicts and disputes.

iv. After the survey, the community should be involved in triangulating the information on land ownership and tenure status, collected during the household/socio-economic survey, which will lead to mapping land ownership and tenure status (as mentioned in para 2.2 of annexure IV of SFCP). Once the survey is over and the data is collected and compiled, slums will be categorized as non-tenable, semi-tenable, and tenable on the basis of infrastructure deficiency and poverty indicators.

### **3. Community Participation in Microplanning during preparation of DPR**

After prioritization, the total station survey if required in the prioritized slums would be initiated by the technical experts, while the

communities need to be engaged in conducting micro planning. Micro planning is a necessary part of the process of preparing the Detailed Project Report (DPR) as it reflects the needs and priorities of the people.

Micro planning, as the name suggests, is the plan for the smallest unit, which in the context of RAY is a slum. It is done by the community with facilitation from the government agencies, NGOs/ CBOs and professional and technical agencies entrusted with the task of preparing the DPRs. In this process, capacities of community are strengthened to analyze their existing situation and to suggest some solutions, which are discussed with the officials and engineers. The best possible solution is agreed upon in consultation with the community from the technical point of view including viability and feasibility.

Micro planning is based on principles of inclusion and participation, which means that most marginalized sections in a slum, especially women, physically challenged, SC/STs are involved at each step. They should be included in groups and committees, which steer the process at the slum level. During the Survey phase of RAY, the groups such as Neighbourhood Groups (NHGs), Neighbourhood Committees (NHCs), Community Development Societies (CDS) etc. and local/slum based Community Based Organisations (CBOs) such as Resident Welfare Associations (RWAs), Self Help Groups (SHGs) and Co-operative organizations of the slum dwellers, would have already been identified, and mobilized and these would be engaged; in micro-planning as well..

Micro planning can be undertaken in all the three models of slum redevelopment, i.e in-situ, re-development and re-settlement.

### 3.1. Micro-planning in in-situ slum redevelopment

3.1.1. Preplanning and Environment building stage: In this stage, the community groups should be trained to undertake the process of micro planning. In the process of conducting socio economic survey, there is a provision of data validation which is the last step of survey phase and should be treated as the first step of micro-planning. It is important to fix responsibilities of all the stakeholders at this stage. Capacity building of the team comprising officials from ULBs, NGOs, CBOs should begin with detailed understanding of each step of micro planning , participatory methods, including Participatory Learning Action tools which would be employed in micro planning and formats that would be required for compiling the information. A nodal person/Chief facilitator from ULB should be identified to coordinate the process in slums.

3.1.2. Preparing neighborhood groups/lane level maps of infrastructure: The Community volunteers identified for a lane consisting of 30-40 households (as mentioned in point ii (a) under para 2.3.2) would prepare maps (Social and Resource) of the lanes showing houses with the numbers. In the survey phase, through rough mapping each HH would have been listed and given a number already. In this phase of micro-planning, social and resource mapping is undertaken on the same rough map (if available) to depict the existing infrastructure services with their condition. They would also identify

infrastructure needs and priorities. This pictorial depiction will enable the community understand and assess their condition better and this process would serve as a second round of data validation.

**3.1.3. Preparing slum level consolidated map of infrastructure:** Community volunteers shall give their lane maps to the nodal person/Chief facilitator identified, who would then consolidate maps of all lanes and make the slum level map of infrastructure, showing total no. of HHs, infrastructure existing in the settlements, infrastructure to be repaired or rehabilitated, proposal for new infrastructure with priorities, etc. The information provided in the maps would be entered in the format enclosed at Annexure 3. The survey would have already taken place as per the NBO formats before the micro-planning, and so the findings of existing infrastructure can go directly under the column titled 'existing situation' in Annexure 3. The slum level information would be validated by the community to ensure that it captures the details of infrastructure deficiency and the needs of infrastructure of the lanes. As an approval, the members would put the signature at the back of the maps or consolidated formats. To reduce chances of a huge wish list to be drawn, the facilitators should be made aware of the standardized norms under various urban poverty alleviation schemes which can be discussed in the community while suggesting the priorities.

**3.1.4. Technical Assessment:** The slum level maps/compiled information would be handed over to the ULB who would get the plans assessed technically by the technical

experts and concerned line departments. A visit to slums for physical verification and measurement should be undertaken. At this time, community should be engaged in transects with the technical team to give clarifications, if needed and get the opinions and advice of the experts. The technical team should give their views against the proposal received from the community and the team would go to the community for consultation. This consultation process would entail discussions on the proposals vis-à-vis the technical feasibility. The team from ULB should inform people about the proposals that were accepted or not accepted with appropriate reasons. A process of negotiation would be initiated. A majority (70%) of the community should put their signature on the accepted proposals, which would be finalized by the ULB. The majority should include all the castes and social groups in slums. It is suggested that a disaggregated data representing poor and weaker sections should be taken into account. In this meeting, provision of services should be discussed with detailed O & M plan (Annexure 4), so that services remain in good conditions and people willingly pay for the maintenance of services and infrastructure created.

All the steps mentioned above are applicable for plans related to in-situ up-gradation model. Community Participation in re-development and re-settlement models is more challenging than for in-situ up-gradation as mentioned below:.

**3.2. Micro-planning in slum re-development**

**3.2.1.** In this model, community should be engaged in developing blue-prints of

infrastructure including dwelling units. The allotment of dwelling units, entitlement of plots should be discussed with the community. The methods of financial contribution should be decided at the time of preparing the blue print to build ownership amongst the community.

### 3.3. Micro-planning in re-settlement/re-location model

3.3.1. In this model, the facilitating agencies should develop a plan with people keeping in mind the following aspects:

3.3.1.1. Their present and proposed livelihood option in the new settlement areas;

3.3.1.2. The housing options (types);

3.3.1.3. The facilities provided to them Water, Sewerage, toilets, latrines, street lights;

3.3.1.4. The facilities related to education, health, recreation, etc;

3.3.1.5. Beneficiary contribution for the same and

3.3.1.6. Plans for weaker and disadvantaged groups (old, infirm and physically challenged), etc.

It should be kept in mind that social and kinship ties, as far as possible, are retained

unbroken in the re-development and resettlement models. The identified NGOs would be expected to explain the nature of legal rights being assigned to the slum dwellers. and also explain to them their legal obligations. 4. Community Participation in the Operation and Maintenance of the created assets

This phase will entail the formation and Registration of Housing Society in the community, which will be facilitated by the Community Based Organisations (CBOs). Formation of group housing societies is essential as it is an effective mechanism to ensure that the assets remain with the intended beneficiaries. In addition these associations in collaboration with ULBs will be able to ensure proper upkeep and maintenance of the created assets. The housing society should implement the O&M plan, which community had agreed upon, by collecting the contributions from amongst themselves. The ULBs would provide support to the housing society in maintaining the services and infrastructures created and encourage the community by making contribution, beyond a certain necessary minimum, in a ratio to what the community provides for itself.

( Report on [www.mhupa.gov.in](http://www.mhupa.gov.in))



## **Annexure 1**

### **Roles of SLNA, ULBs, Cells, NGOs and CBOs in facilitating community participation in community self survey in RAY**

#### **1. Role of state level nodal agency**

1.1. To support the establishment of the RAY technical cell at city to coordinate the entire process of community self survey ;

1.2. To identify state level agency, which may be a parastatal or a Non Governmental Institution to be the incubators of capacity building of state level personnel, ULB officials, UPA cells of the city level and lead NGOs;

1.3. To define modalities to converge parallel schemes of the state Government on aspects of urban poverty alleviation, slum up-gradation/re-development and community participation;

1.4. To work out modalities for easy and timely release of funds to the selected NGOs and other CBOs, for their work.

#### **2. Role of ULBs**

2.1. To help in formation as well as in strengthening of UPA Cells at the city level

2.2. To identify and short list NGOs/CBOs (city and slum level);

2.3. To adopt the community self survey model with the UPA cells or hire professional agencies assisted by Lead NGOs or select Lead NGOs for undertaking the survey assisted by the RAY city technical cell

2.4. To organize workshops at the city level for all stakeholders, City level NGOs and CBOs

2.5. To create a complete and updated list of slums (based on an existing list) through a

consultative process involving elected representatives, NGOs/CBOs , Academic and Research Institutes working on urban issues etc

2.6. To ensure that all slum pockets identified on the satellite image are included in the list after verifying.

2.7. To involve NGOs and/or eminent social and urban experts, City Volunteer Technical Corps (CVTC)/Coordinating group of CVTCs in identification of Vacant land areas that could be used for resettlement purposes.

2.8. To ensure interface between consultants (if hired under RAY cell) and NGOs and CBOs at the city and slum level respectively;

2.9. To set up a grievance redressal mechanism at the city level to address grievances of the beneficiaries in the process of planning and implementation of the scheme;

2.10. To evolve mechanisms for joint review and plan meetings of Cells, Agencies, NGOs (city level, slum based CBOs) on a regular basis to facilitate implementation of the scheme with community cooperation;

2.11. To constitute an advisory group on community participation;

2.12. To fix the criterion for the categorization and classification of slums through a consultative process involving elected representatives, NGOs, Academic Institutions, and other experts for slum redevelopment/ slum up-gradation options; and

2.13. To ensure developing a framework for slum redevelopment, including phasing of slums through consultative process involving elected representatives, NGOs,



Academic institutes, experts.

### **3. Role of Lead NGOs**

3.1. To act as a bridge between the ULBs and slum based CBOs and the community; and for this purpose to assist the UPA cell or the professional agency (as the case may be) in conducting and managing the community self survey, including the task of capacity building, trainings of the municipal staff and the community volunteer; or to Conduct the survey, if so assigned by the ULB, through involvement of the community by engaging slum level CBOs.

3.2. To support ULBs in identifying slums and slum pockets and in identification of probable vacant land sites;

3.3. To assist in undertaking ground truthing of slum pockets identified on the satellite image with the help of CBOs;

3.4. To advise ULBs on various methods of community participation with regard to preparation of slum specific plans.

3.5. To support ULBs to identify and engage active CBOs, working in the identified slum areas; or to do the identification and engagement of the CBOs, if assigned to do so by the ULB;

3.6. To disseminate information on RAY through pamphlets and posters highlighting the provisions of RAY;

3.7. To ensure that for every 30-40 households, one community mobiliser/volunteer is selected /deputed for undertaking slum free city planning survey in each slum;

3.8. To create or strengthen community structures like 'Neighborhood Groups (NHG), Neighborhood Committees (NHC) and Community Development Societies (CDS)

3.9. To build capacities of ULB functionaries, and other stakeholders for supporting and facilitating the conduct of slum surveys, slum specific plans, etc;

3.10. To provide inputs for identification of the methodologies for community participation like- questionnaires, interviews, observations, Focused Groups Discussions (FDGs) and Participatory Learning Action tools;

3.11. To build a wider network with Civil Society Organizations (CSOs) to effectively engage in the process of planning and implementation of 'Slum Free City Plans';

3.12. To suggest mechanisms of promoting transparency and accountability to various stakeholders, like ULBs, slum based CBOs, urban poor/slum dwellers, and other marginalized community groups, in programme implementation of RAY;

3.13. To promote convergence with other city wide processes supported by other development schemes, programmes and mission, e.g. CVTC and CTAGs, which have been formed under JNNURM;

3.14. To promote involvement of citizen's forums, area sabhas, ward committees and institutionalization of process for community engagement;

3.15. To collate and ensure that the data collected at the slum level is ratified by the CBOs/ community structures before finalization of data at the ULB level for further analysis;

3.16. To provide inputs and support in categorizing and classification of slums based on the socioeconomic data, spatial data as per the GIS manual/guidelines and the planning guidelines.

3.17. To facilitate the process of



microplanning in the selected slums with the objective of preparing the DPR. This would involve the participation of the community in the following activities:

- Participation in total station survey
- Facilitating development of community proposals and their technical feasibility including negotiating for change in existing layouts to create more road and open spaces.
- Verification of proposal and final ratification
- Finalization of models (in situ, resettlement and relocation)

3.18. To provide support in prioritizing and developing the framework for slum redevelopment, including phasing of slums.

3.19. To assist ULBs and community structures in implementation of slum redevelopment/up-gradation/ re-location projects including infrastructure and housing development;

3.20. To assist the households in accessing institutional credit by supporting them in doing the necessary documentation and meeting other requirements of the lending institutions

3.21. To assist the ULBs in establishing suitable mechanism for engaging civil society and community in the process of slum free city planning.

3.22. To create sustainable community structures for maintenance of created assets example setting up of group housing associations etc.

3.23. To ensure rigorous Monitoring & Evaluation at each stage of the Survey on Slum Free City Planning by doing periodic reviews through social audits, concurrent evaluations and public hearings etc.

#### **4. Role of Slum Based CBOs**

4.1. Identification and listing of beneficiaries through participatory tools, such as FDGs, group meetings, etc.;

4.2. To create and/or strengthen the community based structures such as NHG, NHC and CDS, etc.;

4.3. To identify community volunteers to facilitate the accurate data gathering and community involvement in the slum-surveys;

4.4. To encourage and enable community groups including marginalized sections (such as SCs/STs, physically challenged, women headed households, minorities, etc) to participate in SFCP activities at various stages, including planning, implementation, monitoring, evaluation and social audit;

4.5. To verify that all slum households of the identified pockets are included in the list;

4.6. To create an enabling environment by information dissemination and facilitate a pre-survey process by engaging communities to undertake the following points:

4.6.1. Rough mapping of slum settlement;

4.6.2. Household counting and numbering;

4.6.3. Mapping the occupation or existing footprints of tenements, etc.

4.7. To undertake/assist household, livelihoods and socio-economic surveys in the slums to (as identified by the ULBs) after the capacity building inputs have been received, at each stage, i.e. rough mapping, total station survey, livelihood & detailed socio-economic survey.

4.8. To undertake the process of ratification of the data (after the preliminary compilation at the ULB level) with the slum dwellers to

ensure that data is correct and that no households have been left out in the survey process;

4.9. To support the city level NGOs or Cells to verify the probable vacant land sites.

4.10. To involve the community in triangulating the information on land ownership and tenure status, collected during the household/socio-economic survey, which will lead to mapping land ownership and tenure status;

4.11. To undertake microplanning and assist in DPR preparation;

4.12. To engage the community in developing the appropriate model for slum redevelopment/up-gradation and relocation;

4.13. To assist the agency in implementing slum redevelopment/up-gradation/relocation plans by working closely with the community so that the community takes the ownership of the assets created

4.14. To help the households to access institutional credit by supporting them in doing the necessary documentation and meeting other requirements of the lending institutions

4.15. To facilitate in creating a residents association of the slum dwellers in the upgraded /redeveloped/relocated sites a devise appropriate structures to ensure proper maintenance and upkeep of assets created.

4.16. To facilitate periodic reviews through social audits by community representatives.

\*Note: The community volunteers will be for assistance and not replace the canvassers of the survey agency. If the CBO is

responsible for the survey, and they do not engage canvassers, and community volunteers are used to canvas, they will be paid for their canvassing role per format.

## **5. Criterion of selection for the lead NGOs**

5.1. The NGO should be registered under the Indian Societies Registration Act/ Indian Trust Act/ Indian Religious and Charitable Act/ or as a non-profit company under the Companies Act or the relevant state Acts for more than five years;

5.2. An NGO blacklisted or placed under funding restriction by any Ministry or Department of the Government of India (GoI) or CAPART or by the State Government or its agency will not be eligible;

5.3. Trustees/Board members should have wide and cross sectoral experience;

5.4. NGOs should not have any politically affiliation which means that:

- The head of the NGO and its employees should not have a direct relationship with elected representatives such as MPs, MLAs, and councilors of ULBs/ elected representatives of PRIs;
- The head of the NGO and its employees should not themselves be elected representatives.

5.5. NGOs should have the following capacities:

- Engaging CBOs
- Experience of working on social sector on the issues like poverty, water and sanitation, housing and livelihood and education especially in urban areas. Preference should be given to those NGOs with expertise in housing and

slum development.

- Experience of trainings and capacity building in community mobilization
- Skills related to community mobilization through the use of participatory approaches
- Experience on social accountability tools and methodologies
- Experience to work with a variety of stakeholders including the Government and Media
- Suitable human resources in the field of social development, livelihoods, and urban planning.

#### **6. Criterion of selection for Slum based CBOs**

6.1. The CBO should be registered under the Indian Societies Registration Act/ Indian Trust Act/ Indian Religious and Charitable Act/ Co-operative Act/ Bombay Non-Trading Corporation Act, 1959 or the relevant State Act. However, if any CBO(s) are not yet registered but are active as CBOs in a slum/location, lead NGO shall take the necessary steps to get them registered. CBOs include Resident Welfare Associations (RWAs), Self Help Groups (SHGs) and Co-operative organizations of the slum dwellers. A CBO blacklisted or placed under funding restriction by any Ministry or Department of the Government of India (GoI) or CAPART or by the State Government or its agency shall not be eligible for applying under the scheme;

6.2. CBOs should have been in existence preferably for a period of 3 years;

6.3. CBOs should not have any political affiliations which means that-

- The head of the CBOs and its employees should not have a direct relationship with the political representatives such as MLAs, MPs, and councillors of ULB/elected representatives of PRIs.
- The head of the CBO and its employees should not themselves be elected representatives

6.4. CBOs should have :

- Familiarity with the proposed/identified slums in which the survey would be carried out
- Acceptance by a variety of stakeholders in the community.
- Experience of working on social sector issues like poverty, water and sanitation, housing, livelihood, education, health etc.
- Skills related to community mobilization through the use of participatory approaches

\*\* Payment to the lead NGOs may be made on the basis of input and output, for example in the monthly payment/quality payment, 50% on activity and 50% on deliverable, which are part of the approved activity plan.



## OUR IMPORTANT PUBLICATIONS

Books	Year
1. Formulation & Execution of Block Plans -Das, R.B. & Singh, D.P.	1968
2. Deliberative & Executive Wings in Local Government -Das, R.B. & Singh, D.P.	1968
3. Training in Municipal Administration-RCUES	
4. Towns of U.P., M.P. Bihar- Singh, D.P.	1968
5. Urban Planning & Local Authorities-Das, R.B.	1970
6. Coalition Government -Verma, M.S.	1971
7. Urban Water Supply in U.P., M.P. and Bihar -Das, R.B.	1971
8. Utility Services in a Metropolis -Das R.B. & Singh, D.P.	1974
9. Property Taxes in Lucknow-RCUES	1975
10. Municipal Taxation -RCUES	1976
11. Ghaziabad-RCUES	1978
12. Committee System in English Local Government -Sreeram.K.	1979
13. Urban Conservation & Environment -Seth, J.L.	1988
14. Situation Analysis of Urban Child in Uttar Pradesh -Seth, J.L. & Varmani, Richa	1988
15. Urban Land Ceiling Act, U.P. -Bagga, Urmila	1989
16. Rural House-Sites-cum-Construction Assistance in Bihar, Rajasthan and West Bengal --RCUES	1990
17. Development of Urban Slums in Lucknow (A case study of Bastauli Slum - Narayan, Rajeev	1991
18. Privatization of Municipal Services -Singh, U.B. (ed)	2001
19. Assessing Training Needs in Urban Administration -Singh, U.B. (ed.)	2003
20. Urban Administration in India (Experiences of Fifty Years) -Singh, U.B. (ed)	2004
21. Capacity Development for Urban Governance - Dwivedi, S.K. & Narayan , Rajeev	2004
22. Empowerment of Women in Urban Administration -Singh, U.B. (ed)	2006
23. Comparison of Nagar Nigam and Contonment Board : A Case Study of Lucknow- Varmani, Richa & Mishra, Anjali	2006

24. Urban Management -Rai, Nishith & Bagga, Urmila 2006
25. Urban Governance in India : Challenges & Prospects-Rai, Nishith & Varmani, Richa 2007
26. Sustainable Urban Management -Rai, Nishith & Mishra, Anjali
27. Disaster Management in India - Rai, Nishith & Singh, A.K. 2007
28. Handbook on Public Private Partnership - Rai, Nishith & Narayan, Rajeev (ed.) 2007
28. Rain Water Harvesting : A Case Study of Lucknow 2007
29. E-Governance in Urban Local Bodies - Rai, Nishith & Bagga, Urmila 2009
30. Draft White Paper on Guidelines for the Proposed Urban Sanitation Policy  
of U.P. - Rai, Nishith & Varmani, Richa 2009
31. Assessment Study of Level of Awareness & Acceptability of the Provisions of  
MSW Rules, 2000 by the Stakeholders in Select Towns of U.P., M.P. & Bihar  
- Rai, Nishith & Narayan, Rajeev 2010
32. Urban Reforms in India - Rai, Nishith and Bagga, Urmila 2010

#### **DataBank**

1. Compendium of Urban Data: U.P. - Narayan, Rajeev & Singh, K. K. 2008
2. Compendium of Urban Data: Uttarakhand - Narayan, Rajeev & Singh, K. K. 2008
3. Compendium of Urban Data: Bihar - Narayan, Rajeev & Singh, K. K. 2008
4. Compendium of Urban Data: Chhatisgarh - Narayan, Rajeev & Singh, K. K. 2010
5. Compendium of Urban Data: Orissa - Narayan, Rajeev & Singh, K. K. 2010
6. Compendium of Urban Data: M.P. - Narayan, Rajeev & Singh, K. K. 2010
7. Compendium of Urban Data: Jharkhand - Narayan, Rajeev & Singh, K. K. 2010

#### **Training Modules**

1. Financing of Urban Infrastructure & Services for the Urban Poor - Singh, A.K. 2008
2. Effective Implementation of SJSRY - Mishra, Anjali 2008
3. Planning & Management of Cost Effective Housing for Urban Poor-Varmani, Richa 2008
4. Community Participation in Urban Poverty Alleviation Programmes-Bagga, Urmila 2008
5. Good Practices in SJSRY - Singh, A. K. & Singh, K.K. 2008
6. Basic Services to Urban Poor in JNNURM cities in U.P. : Situational Analysis  
& Proposed Strategies - Bagga, Urmila 2008
7. Resource Mobilization in Urban Local Bodies - Varmani, Richa 2008
8. Cluster Approach in SJSRY : Experiences of NGOs - Mishra, Anjali 2008

9. Organisation & Management of Select NGOs - Singh, A.K.	2008
10. Project Management - Narayan, Rajeev	2008
11. Public Private Partnership for Provision of Services for Urban Poor - Narayan, Rajeev	2008
12. Master Plan & Zoning Regulation (Practices, Approach & Issues) - Singh, U.B.	2008
13. Solid Waste Management - Rai, Nishith & Narayan, Rajeev (ed.)	2008
14. Double Entry Accounting System - Rai, Nishith & Narayan, Rajeev (ed.)	2008
15. Developing Smart Cities - Narayan, Rajeev	2009
16. Slum Free Cities (Approaches and Interventions) - Singh, U.B.	2009
17. Urban Poverty Eradication Strategy in India - Singh, A.K.	2009
18. Social Accountability and Social Audit - Mishra, Anjali	2009
19. Manual for Survey and Preparation of Slum, Household and Livelihood Profiles under USHA - Roy, Sujata & Singh, Ajay	2009
20. Instruction Manual for Preparing Slum Profile	2009
21. Instruction Manual for Conducting Household Survey Under USHA	2009
22. Instruction Manual for Preparing Livelihood Profile under USHA	2009
23. Urban Poverty Alleviation Initiatives in India : Experiences from States - Singh, A. K. & Singh, K.K.	2009
24. Urban Poverty Alleviation : Approaches & Strategies - Singh, A.K.	2009
25. Informal Sector and Urban Street Vendors - Bagga, Urmila	2009
26. Urban Reforms and Sustainable Development - Bagga, Urmila	2009
27. Resource Mobilisation & Sustainability in Urban Poverty Alleviation - Varmani, Richa	2010
28. Climate Change and Environmental Sustainability - Bagga, Urmila	2010
29. Urban street Vendors & Their Rehabilitation - Bagga, Urmila	2010
30. Social Accountability for Urban Development Projects - Mishra, Anjali	2010
31. Skill Development for Urban Poor - Mishra, Anjali	2010
31. Managing Urban Services - Mishra, Anjali	2010
32. Role of PPP and Corporate Sector in Eradicating Urban Poverty - Singh, A.K.	2010
33. Gender Mainstreaming and G-Budgets in Urban Administration - Singh, A.K.	2010
34. Handbook on Disaster Management - Singh, A.K.	2010

#### OUR IMPORTANT PUBLICATIONS

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| 35. Community Development and Empowerment - Dr. K.K. Singh               | 2010 |
| 36. Microfinance for Alleviating Urban Poverty - Varmani, Richa          | 2010 |
| 37. Management of Urban Services - Mishra, Anjuli                        | 2010 |
| 38. Convergence of Schemes in Urban Poverty Alleviation -Narayan, Rajeev | 2010 |

#### **Mimeograph**

- |                                                                                      |      |
|--------------------------------------------------------------------------------------|------|
| 1. Implementation of Swarna Jayanti Shahri Rojgar Yojana (Hindi)                     | 2008 |
| 2. Community Organizations under SJSRY (Hindi)                                       | 2008 |
| 3. Urban Development and Urban Poverty Alleviation Practices in Chhattisgarh (Hindi) | 2008 |
| 4. Effective Implementation of SJSRY Guidelines                                      | 2009 |
| 5. Functioning of Community Organizations under SJSRY                                | 2009 |





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## **REGIONAL CENTRE FOR URBAN AND ENVIRONMENTAL STUDIES, LUCKNOW**

The Regional Centre for Urban & Environmental Studies (RCUES), Lucknow University was established by the Ministry of Urban Development, Government of India at the University of Lucknow in the year 1968. It is one of the premier Research & Training Centres of Ministry of Urban Development, Government of India mandated to provide 'knowledge-based' services in the field of urban sector through training, capacity building, research, teaching, consultancy services and dissemination of information in the states of Uttar Pradesh, Madhya Pradesh, Bihar, Orissa, Uttarakhand, Jharkhand, Chattisgarh, Sikkim, Manipur.

The vision of the Centre is 'Building Capacities of City Managers for Achieving Good Urban Governance'.

The objectives of the Centre are : to undertake training of personnel and elected representatives of State Government / Urban Local Bodies, to undertake orientation courses for directly recruited municipal officers, to organize seminars, workshops, symposia, conference, study tours etc. on various facets of urban government and administration , to undertake problem oriented research relating to various facets of municipal administration and related matters, to act as a clearing house of ideas and information on research, environment and urban ecology, to provide advisory and consultancy services on various issues relating to urban administration, urban planning and development and management of environmental and ecological aspects, to implement government, to collaborate with other agencies, institutions and organizations.

The RCUES is managed by two high level committees. The Governing Council under the chairmanship of Vice-Chancellor, Lucknow University is responsible for the overall control and administration of all matters concerning the RCUES. The Advisory Committee is responsible for deciding on the short and long term training, research and other academic activities.

As a part of its activities, the centre has undertaken various responsibilities including drafting of Unified Municipal Acts of U.P. Uttarakhand, Chhattisgarh and Orissa, Public Disclosure Law and Community Participation Law for Chhattisgarh, Restructuring of Urban Management in Jharkhand, Report Card in Class I cities in U.P., DEAS Manual for U.P. and Uttarakhand, RTP under JNNURM for 36 mission cities in 17 states.

### **Recent Assignments**

- Regional Centre has been designated as one of the Nodal Resource Centres on SJSRY and USHA (NRCS) by the Ministry of Housing & Urban Poverty Alleviation, Government of India under its National Programme on Capacity Building for Urban Poverty Alleviation. As NRC, the Centre has been entrusted with the capacity building and IEC activities including development of training modules, undertakings research & trainings, holding national / state / regional workshops , etc. in the sixteen states of country including N.E. states, Sikkim, West Bengal & the seven states that are originally under its jurisdiction.
- The state governments of Bihar, Jharkhand, Madhya Pradesh and Chhattisgarh have designated Regional Centre as their State Training Institute for building the capacity of their officials & non-officials.
- The centre is also providing its services as State Implementation Consultant under NeGP for M.P. State.



*For further details contact :*

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## **REGIONAL CENTRE FOR URBAN & ENVIRONMENTAL STUDIES**

(Established by Ministry of Urban Development, Govt. of India)

Lucknow University, Lucknow

Ph. 0522-2740165, 2740382 Fax : 0522-2740165

e-mail : [directorrcueslko@gmail.com](mailto:directorrcueslko@gmail.com)

Website : [www.rcueslko.org](http://www.rcueslko.org)