

# 4

## Basic Services for the Urban Poor

### 4.1 Introduction

Definitions of 'slums' and corresponding estimates of numbers and population vary greatly in Lucknow, which hampers planning and execution of investments. Regardless, it is commonly agreed that Lucknow's population includes large numbers of poor people, many of who live in slums.

### 4.2 Issues in the Technical Approach to Slums

All available estimates are united in their conclusion that the status of services and infrastructure in the slums is grave. Yet, the existing municipal and planning laws together with the status of land occupied by the poor do not allow integration of these areas in the city's planning process, and the critical challenges around tenure remain unresolved. The ability of the relevant institutions to respond to the challenges – independently and jointly – has so far been affected negatively by the questions around data and definition. This is an area where the CDP may as a coherent platform begin to help set a new framework to deal with a complex set of issues.

The complexity starts with the definition of slums. The UP Slum Areas (Improvement and Clearance) Act, 1962, considers an area a slum if the majority of buildings in the area are dilapidated, are over-crowded, have faulty arrangement of buildings or streets, narrow streets, lack ventilation, light or sanitation facilities, and are detrimental to safety, health or morals of the inhabitants in that area, or otherwise in any respect unfit for human habitation. It mentions factors such as repairs, stability, extent of dampness, availability of natural light and air, water supply; arrangement of drainage and sanitation facilities as considerations.

Based on the definition, estimates of slum population vary, so much so that the Census 2001 originally did not report any slums and then later revised its findings. DUDA follows the definition as stated in the UP Slum Areas (Improvement & Clearance) Act 1962, SUDA/UNCHS do not follow this definition but define poverty in terms of vulnerability as does Oxfam. Table 4.1 below shows the range of estimates of slum population on the basis of definition.

*Table 4.1: Slum population of Lucknow (1981-2001)*

<i>(Unit: Lakhs)</i>								
	1971		1981		1991		2001	
	Total Population	Slum Population						
Census		2.33	9.47	2.85	16.19	6.97	21.85	1.79
Master Plan 2021		2.33	9.47	2.85	16.19	6.97	21.85	1.79
DUDA (2005)							21.85	6.70
Oxfam (2005)							21.85	10.18
SUDA, UNCHS (2000)							21.85	11.00

*\* Source – Various as cited in table*

DUDA's estimation of slum population is a conservative increase over the Census estimation. However, a survey report released by Oxfam Trust (India) in 2005 indicates that there are 787 poor settlements in the city that can be categorized as slums - authorized and unauthorized (map overleaf). This classification is on the basis of tenure. An authorised slum is one where there is security of tenure with the cluster being either an outcome of a government resettlement programme or being located on private/own land. Unauthorised settlements are those that have emerged on available vacant plots, mainly railway land or on encroached areas. Slum clusters on the riverbanks or on drains are classified as unauthorised. Approximately 11 lakh people are living in slums with few basic civic amenities.

The most recent information on slums available in Lucknow is from the Oxfam survey of 2005 and the CDP has mainly used this information, partly on the advice of SUDA. Other sources of information have been cited mainly to point out the range in the available data that will impact the earmarking of resources for this group.

The UP Slum Act adopts a more physical definition based on various aspects of income poverty and therefore access to ability to afford infrastructure. In contrast, the Oxfam survey bases its definition on a Ford Foundation supported study done by UNCHS in Lucknow between 2002-2004. This study followed the international norm of defining poverty on the basis of vulnerability and stressed that poverty has multiple dimensions and people moved in and out of poverty. In many ways therefore, the Oxfam survey provides a more realistic assessment of numbers of slum dwellers.

*Table 4.2: Availability of services in slums*

Name of the facility	Nos
Hand Pump	1628
Mechanical Tube well	101
Pipe Line	92.60
Stand Post	593
Electric Poles	3404
Street Lights	2160
Kharanja	130.32
Road	150.80
KC/U drain	357.22
SW drain	50.85
Sewer line	142.28
Bio Digester	22
Community Toilet	106
Community Centres	112

Given that there is no agreement on the number of slums and therefore the total slum population, it is difficult to analyse the existing situation comprehensively. However an attempt has been made here to give some facts according to the data provided by Oxfam. The choice of the data source was partly prompted by SUDA who feel that the DUDA survey was conservative. Table 4.3 shows selected indicators of slum conditions in Lucknow as per the DUDA survey. These tables serve to highlight the varying conclusions arrived at through different data sources.

*Source: Oxfam Survey 2005*

Table 4.3 Selected indicators of slum conditions in Lucknow

Characteristic	Percentage of people/families
<b>Water Supply Facilities</b>	
Individual tap	48.68%
Community tap	38.84%
Others	6.06%
<b>Sanitation</b>	
Individual toilet facility	50.12%
Community toilet facility	20.98%
Others	28.30%
<b>Housing</b>	
Pucca houses	38.55%
Semi pucca	36.20
Kutchha	13.35%
Jhopadi	9.76%
Others	1.05%
<b>Monthly Household Income in Rupees</b>	
0-500	10.38%
501-1000	31.11%
1001-2000	36.63%
2001-4000	14.90%
Above 4000	5.79%
<b>Employment</b>	
Employed	9.78%
Unemployed	7.97%
Self employed	81.91%

Source: DUDA Survey 2005

- **Standard of living and household budgets**

- Average monthly household income is Rs. 518
- 30% of the household income is spent on health and most of the families require loans to meet these requirements.

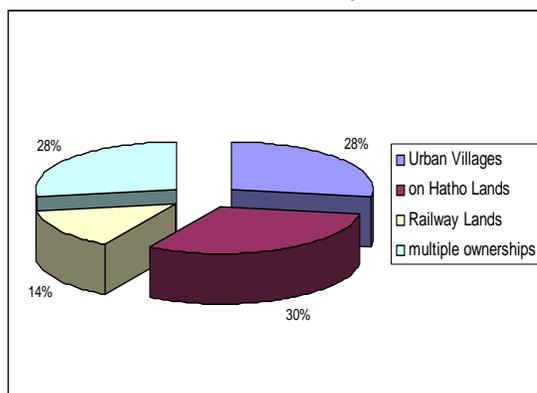
- **Amenities & Housing**

- 85% of the houses are pucca in authorised slums whereas only 40% are pucca in unauthorised slums.
- The real significance of the numbers of infrastructure lies in what they indicate in terms of access as is shown in Tables 4.2 and 4.3 above.
- Only 37% of the people in unauthorised slums have access to toilet facilities and only 35% of the people in unauthorised slums have access to piped water supply.
- 50% of households in authorised slums have water connections whereas this is only 35% in unauthorised slums.

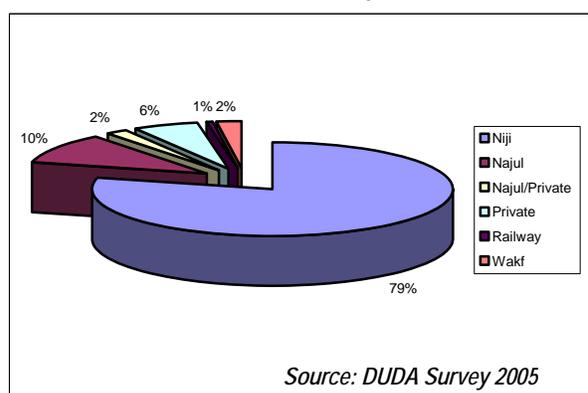
- **Land Tenure Status:** There are two versions of this data available at the City level
  - As per the Oxfam survey there are 4 categories in which the land tenure status of slums can be categorised. Of the 787 slum clusters identified in the survey, the sub categorisation on the basis of land tenure is as follows:
    - 225 clusters are urban villages where there is security of tenure
    - 250 clusters are on hatho lands (lands which were given to the dwellers by the erstwhile nawabs against nominal rents). These are mostly seen in the Old City and Hazratganj areas
    - About 115 clusters are on railway land
    - About 195 clusters are on lands with multiple ownerships where residents are paying 'someone' a monthly rent to be allowed to stay
  - DUDA identifies 5 categories of land tenure status for slums. Of the total 530 slums, 79% are located on Niji Lands or 'own land'. These are lands that had originally been handed out by the Nawabs and are today part of the Trust of the royal families.

The difficulty of determining the target population for slum improvement programmes is highlighted in the pie charts below. According to the Oxfam survey a total of 58% of slums were located on land with secure tenure – urban villages and hatho lands – while according to the DUDA survey, 79% of slums were located on 'niji' or owned land. Since tenure is critical in determining the nature of slum improvement interventions, the concurrence on data source will be critical in calculating corresponding financial allocations.

Tenure status of Slums: Oxfam Survey



Tenure status of Slums: DUDA Survey



### 4.3 Reflections on Consultations with slum Dwellers

As part of the CDP process, a series of consultations were held with the slum population in Lucknow. A total of 320 people were met from a random sample of slums although care was taken to ensure that all categories of slums according to tenure were covered in the exercise. While the process of selection of people for the consultations was not fully scientific, it provides a fair cross sectional perspective. Any actions to address services in slum areas would need to involve further consultations as part of the planning and implementation of interventions.

### 4.3.1 Key Issues

The key issues that were identified through these consultations have been discussed below under specific sub heads as identified by the stakeholders.

#### a) Water Supply

- Water supply in the majority of slums is unreliable, unsafe and very limited. It was estimated that as many as 500 people are dependent on one water point. Even where Jal Nigam hand-pumps exist, more than 50 - 60 % of them have either dried up or are in a state of disuse due to lack of maintenance.
- In places, the community has contributed to install shallow hand pumps to overcome the water shortages but the quality of water from these pumps is very poor and largely untested.
- People said that they often walked 200m - 1 Km to reach the drinking water source. This is a severe contravention of the GoI norm that states that water should be available at a 50 m distance. People therefore spent as much as 30 minutes - 4 hours to collect water and the scarcity of supply resulted in frequent water fights.
- Slum dwellers also said that in many cases, private individuals were exploiting them by selling water at high rates from private tube-wells.
- There is very high wastage of water due to the state of disrepair of taps. Additionally, many of the hand-pumps do not have concrete platforms around them so dirty water seeps downward, creating unsafe conditions.
- Grievance redress mechanisms for complaints are there but they are rarely exercised and whenever they are, the response of local staff is very poor.
- Most of the slums are dependent on their own resources for maintenance and repairs using private 'mistris' on a 'call-down' basis.
- The people said that they would be willing to contribute up to 10% of the capital costs for new facilities and free labour.
- People with private water sources do not allow the community to access them and indiscriminate unauthorized and illegal tapping of the existing water supply network is rampant. In some of the better-off slums (authorized ones and urban villages) where residents have their own house connection, each household is paying Rs. 600 a year as 'water tax'. They find it affordable and are satisfied with the service.

#### b) Sanitation and Sewerage

- Over 90% of the slum inhabitants' practises open defecation. The lack of space and resources like water and finances, and sometimes unwillingness to change habits, have resulted in poor demand for individual toilets. However, in the better-off and 'pucca' slums, the women especially, expressed a need for toilets as the space available for open defecation is shrinking and the practice was also very inconvenient.
- Community toilets have generally proved a failure, due to preference of community members for open defecation and unwillingness to pay user charges.

- Many slum residents use the riverfront for defecation thus contributing to the pollution of the water source.
- People realise the hidden costs of health due to poor hygiene and sanitation habits, but feel helpless because of lack of resources and/or space to build either proper living spaces or sanitation facilities. Slum residents felt that there is need to provide sanitary facilities as part of in-situ and ex-situ development as is there need for promotion of hygiene and sanitation through advocacy and IEC activities.
- The majority of slum localities lack sewerage lines and those that exist are not adequate to cater to these localities. There was a demand to either charge a flat rate for sewerage connections or a maximum of Rs. 200 as a one-time charge. The other option that could be exercised was to charge according to the property size and if the housing development is new (in- or ex-situ) these water and sewerage charges should be included in the instalments. Where sewerage is not possible, slum dwellers were willing to go in for latrines with pits/septic tanks depending on the in-situ development plan formulated in collaboration with the community.

**c) Drainage (Waste and Storm Water)**

- The drainage network in unauthorised slums is poor and those that exist are kutcha.
- The drainage network in the authorized slums is relatively better developed but suffered from poor maintenance leading to drains being blocked by solid waste and plastic packets etc. The LNN sweepers who come to clean the drains leave the cleared sullage piled on the side of the drain. The piles of sullage further reduce the limited space for movement in the slum.
- The slums are characterised by open drains that are used by children for open defecation, adding to the pollution.
- Significant sections of drains in the Old City area have been encroached upon. This does not allow cleaning thus contributing to and aggravating the problem of blockages.
- Some slums are located near the outlet of storm water drains flowing into the River Gomti. When the river is in spate, these settlements get flooded.
- Slum-dwellers are willing to contribute in the form of labour for laying a covered drainage system. However, the narrow lanes of the slums will prove to be a challenge for laying of pipes for drainage.

**d) Solid Waste Management:**

- At present none of the slums have an organised solid waste management system with the garbage being dumped either in the drains or on available open space.
- In cases where there are municipal bins located near slums, people try and dump their garbage in them. These bins are then cleared by the LNN.
- The prolonged dumping of garbage in some areas like along the Haider Canal has resulted in these areas becoming elevated. This causes flooding in the surrounding areas – typically in slum locations.

- The slum dwellers are willing to pay at least Rs. 20-30 per month for door-to-door collection of garbage. This was the case across all categories of slums. People in the authorised slums are willing to pay slightly more.
- Discussions with rag pickers highlighted their willingness to enter into public-private partnership arrangements with NGOs for solid waste management. Rag pickers say that they would be willing to collect garbage from households, undertake segregation and dump the garbage into the nearest municipal bin. Collection from these bins and transfer to the disposal site should be the responsibility of larger contractors.

**e) Land and Tenure Rights/ Housing**

- Slum dwellers are reluctant to invest in improving their general living conditions because of uncertainty of tenure.
- Local 'goondas' (goons) are controlling many of the slums and demanding that residents either pay them directly or pay their touts a regular sum for the right to reside in the area. Slum dwellers feel that since they are already paying some form of 'rent' or 'house-tax', their tenure should be legalised and government should charge the rent. This is a problem in slums that are located on land that is classified as being under 'multiple ownership'.
- Slum dwellers in authorised and unauthorised settlements cited their needs in the following priority:
  - Right to land being either made 'free hold' or being transferred on a 99-year lease. In case the latter was not possible, lease rights should be granted at least for 15 years
  - There was willingness to accept redistribution of land according to the size of family (if possible) or else, all should be allotted plots of equal size;
  - In-situ development of slums with EWS housing, preferably planned according to occupation of inhabitants i.e. kabari wallahs or rag pickers needing a place to store the kabari and the thelas used for transportation; rickshaw pullers/street vendors need a place to park their vehicles near their dwellings; dhobis need washing platforms etc.
- In the case of relocation with EWS housing preferably planned according to occupation of inhabitants should be based on the following criteria suggested by the slum dwellers: new housing should not be more than 5 kms from their workplace without access to a highly subsidised and regular public transport system; new housing sites should have all the necessary infrastructure in working condition prior to occupation.

**f) Willingness-to-pay:**

- Slum dwellers expressed their willingness to contribute up to Rs.100 per month for 1 basic services i.e. water supply, sewerage and solid waste management.
- There was willingness to pay between Rs. 300 - 500 per month as housing instalment including O & M as people see this as a means of a way of improving their quality of life. This was expressed by all those who participated in the consultations irrespective of their tenure rights – the willingness stemmed out of a desire to improve overall quality of life. However, specific amounts differed according to income and tenure and the figure stated here is the average across all groups.

#### g) Public/ Community Participation:

- Several slums already have committees and unions that are active in taking up issues of 'rights', 'livelihoods' and basic amenities. There was willingness to formalise these groups and their participation under the Community Participation Law.

## 4.4 Schemes for Slum Improvement

Given the complexity of the social, economic and physical environment in which a growing number of urban poor work live and work, the formulation of anti-poverty measures and the design of slum improvement programmes is difficult. In order to arrive at a plan for assistance to this group of people, it is important to understand the impact of anti-poverty initiatives that have been undertaken to date.

Urban development agencies with the mandate to address the city's housing and basic service needs came into existence during the 1960's and 1970's, together with legislation like the Uttar Pradesh Slum Areas (Improvement and Clearance) Act 1962, Uttar Pradesh Planning and Development Act 1973 and the Urban Land (Ceiling and Regulation) Act 1976. These acts have had little impact on curbing the growth of slums in Lucknow.

National and state government policies and programmes that target the urban poor typically target infrastructure Improvement of poor settlements  
Improvement in primary health and welfare services  
Employment generation for the poor

The focus here is more on programmes addressing physical improvements in slums (rather than economic interventions), as these have greater bearing on the urban poor' access to basic services.

The status of projects undertaken by the District Urban Development Authority in Lucknow is as under:

- Swarn Jayanti Sheheri Rojgar Yojna – being implemented through the empowered women's groups at the community level known as the Community Development Committee (CDC's).
- Under the Housing Improvement Scheme – DUDA has constructed and allotted a total of 485 houses for the slum dwellers. 108 houses have been constructed in Mishribagh, 157 (in-situ) in Barafkhana and 220 in Tafhrohi area.
- Under the National Slum Development Programme 200 houses have been constructed and re-allocated in Amerai Village area.
- Valmiki Ambedkar Awas Yojna – houses have been constructed and distributed in various slum localities in the city
  - 1002 houses constructed in Narpatkheda and many others reallocated in 15 other localities
  - 317 houses constructed in hardasi kheda, 30 are under construction
  - Ali Nagar Sunehra – 632 houses constructed, 712 under construction
  - Vrindavan and Telibagh – 805 houses constructed
  - Hardoi – 663 houses constructed, 37 houses under construction

The consultations served to provide a feel for what the people want. This was a critical input for the formulation of the interventions and investments for the urban poor.

#### 4.4.1 Key Issues

- There are several sources of information regarding the number of slums in the City and the population living in the slums – each of the sources differ in their conclusions but all agree that Lucknow does have a significant slum population that is distributed in almost even clusters across the wards.
- The slum clusters are located on land that is under various categories of owners – 74% of the slums are located on 'own land' where there is security of tenure, about 115 clusters are located on railway lands and the remaining slums are located on land that belongs to 'someone' and requires that dwellers pay a monthly rent.
- All slums are characterised by poor access to basic services and consultations with slum dwellers has revealed that there is willingness to pay for services either as capital cost contribution or in terms of labour for housing, water supply, drainage and solid waste management.



Lucknow has a significant slum population although, estimates of total numbers vary across sources.

Slums are more or less evenly distributed across the City and are marked by low levels of access to basic infrastructure

74% of the slums are located on 'own land' where there is security of tenure, about 115 clusters are located on railway lands and the remaining slums are located on land that belongs to 'someone' and requires that dwellers pay a monthly rent