

# BSUP CITIES 11

**NTAG study of BSUP projects to examine potential for Community Participation**

**By**

**Society for the Promotion of Area Resource Centres (SPARC)**

**2012**



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Mumbai

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SPARC began its work with Mumbai's pavement dwellers, and in 1986 tied up with the National Slum Dwellers Federation (NSDF), a broad-based organization of the urban poor founded in the mid-1970s. In partnership, SPARC and NSDF formed another community-based organization, the Mahila Milan (MM) (a decentralized network of poor women's collectives).

Collectively, all three organizations are known as the Alliance.

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# Introduction

## Purpose

In 2005, the Government of India announced the Jawaharlal Nehru National Urban Renewal Mission (JnNURM) scheme. Under the scheme are two sub-missions designed to meet the needs of the urban poor. Sub-Mission 1 is Urban Infrastructure and Governance (UI&G) formulated under the Ministry of Urban Development and Sub-Mission 2 is Basic Services to the Urban Poor (BSUP) formulated under Ministry of Housing and Urban Poverty Alleviation.

The main thrust of Sub-Mission 2 on Basic Services to the Urban Poor (BSUP) was on integrated development of slums through projects for providing shelter, basic services and other related civic amenities with a view to provide utilities to the urban poor. The mission statement also emphasizes reforms driven, fast track, planned development of identified cities with focus on efficiency in urban infrastructure/services delivery mechanism, community participation and accountability of Urban Local Bodies (ULBs) towards citizens.

BSUP was expected to run for 7 years from 2005-06. 63 cities identified under this scheme are further divided into three categories depending on population: greater than 1 million (7 cities), 1-4 million (28 cities) and special category (28 cities). The funding pattern also differs as per city population: 4 million plus and 1-4 million, Central: 50% and Rest: 50%; N-E cities and J&K, Central: 90% and Rest: 10%; Other cities, Central: 80% and Rest: 20%. Community contribution must be a minimum of 10-12%.

For cities to access funding, a City Development Plan has to be prepared and the ULBs/State governments are expected to undertake an agenda of reforms to meet the thrust of improving urban governance. Following this, Detailed Project Reports for specific projects are required to be submitted for appraisal to the GOI which will then sanction final projects. A provision of 5% of the central grant is kept for preparation of CDP, DPR, training and capacity building, community participation and Information, Education & Communication.

Although the urbanization of poverty is gradually being recognized by schemes such as JnNURM-BSUP, funds remain largely unutilized as projects have run into issues of procurement and execution. Yet, some cities have also shown innovative ways of using the subsidy and transformed processes by making them inclusive of communities.

The purpose of this study was to document a range of alternatives under BSUP explored by various cities across the country and draw lessons from it for the next phase, which is the extension of JnNURM-BSUP for another two years.

## Objectives

The main objectives of the studies were:

- To understand how each city selected, designed and executed BSUP projects
- To understand the manner in which communities were involved at each level and consequences of that; to what degree municipality, consultants and NGOs were involved
- To study how DPRs were made, contractors selected, structures designed; amenities provided and connectivity to the city
- To assess how cities would do this differently, issues they raise to the city, state and central leadership

## Methodology

**Selection of Cities:** The eleven cities were selected with three criteria. The first four: Nagpur, Asansol, Vishakhapatnam, Bhopal were chosen to study the completed JNNURM projects with a focus on community participation. The remaining seven cities: Jaipur, Bhubaneswar, Puri, Pune, Raipur, Patna and Madurai were selected to cover a diverse range of states, cities and different approaches to the JnNURM-BSUP.

**Secondary Data:** MoHUPA and SLNA's and city documentation of projects from City Development Plan (CDP) to review reports were examined, in some instances these were accessible, in other instances there were many gaps despite many requests. The list of secondary sources is listed in Appendix IV, Page 89. Given the limited time available for the visits, it was difficult to obtain all documents needed for each city.

**Developing a Questionnaire:** A set of questions to act as a guide during the field visits were developed by the team, to be asked to city municipalities as well as eligible households. As the BSUP project is divided into a set of phases, the questions correspond roughly to each phase as listed on the next page. The detailed questionnaire may be found in Annexure III, pages 86-88.

**Field Visits:** In each city, the meeting began with discussions with available project staff and city officials, who, in most cases, were willing to answer questions and reflect on their experience.

Field Visits to projects were decided together with the city officials and project staff who also accompanied the study team to the field and were part of the discussions with households and contractors. Most discussions were open except in some instances where the team was asked not to speak to communities as there were ongoing issues between the city municipality and communities regarding project issues.

The framework for field observations and group and individual interviews on the field were as follows:

- Walking around and inside the construction with staff residents (if they were present) and contractors if they were there
- Interviews to understand issues related to the extent of participation (conducted with officers, communities and contractors)
- Individual interviews (where possible and deemed as needed)

These interviews were based on information learnt from the city officials and project staff as well on the questionnaire developed by the project team prior to the visit to act as a guide.

**Audio and Video documentation:** All interviews and events were visually documented wherever permission was given. The videos were used to substantiate notes taken down during interviews or field visits. With additional resources this can produce very effective learning and educational material for hands-on capacity building tools for future engagement on slum upgrading for slum dwellers, project managers, city managers, state government officials and others

## Project Team

The study was carried out for four cities in December 2011 and for seven cities in February 2012 by the following team:

Sheela Patel, Director, SPARC  
Indu Agarwal, SPARC Consultant  
Maria Lobo, SPARC Consultant  
Sharmila Gimonkar, SPARC Consultant  
Priti Banarse, SPARC Consultant  
Keya Kunte, SPARC Consultant  
Mitali Ayyangar, SPARC Consultant  
Monali Waghmare, SPARC Consultant

Local partners known to SPARC were contacted where necessary in some cities (See Acknowledgments, Pages 90-91). For the cities of Bhubaneswar, Puri, Pune, Madurai, Raipur and Patna, one member from PRIA accompanied the SPARC team for the study. For the cities of Vizag, Asansol and Nagpur, the SPARC team were assisting the NTAG study team.

## Information and Data were collected around the following themes based on the BSUP phases:

- City Development Plan
- Selection of Projects
- Socio-economic Survey
- Detailed Project Report
- Appraisal
- Procurement
- Identification of eligible households
- Biometric Card for eligible households
- Provision of Transit Housing
- Finances and Community Contribution
- Construction
- Occupation and Maintenance
- Tenure

## Annexure I: List of Abbreviations

BDA	Bhubaneswar Development Authority	SRA	Slum Rehabilitation Authority
BMC	Bhubaneswar Municipal Corporation	SSNS	SPARC Samudaya Nirman Sahayak
BPL	Below Poverty Line	SUDA	State Urban Development Authority
BSES	Baseline Socio Economic Survey	TIPMA	Third Party Inspection & Monitoring Agency
BSUP	Basic Services to the Urban Poor	TNSCB	Tamil Nadu Slum Clearance Board
BUDA	Bihar Urban Development Authority	UDRC	Urban and Development Resource Centre
CBO	Community Based Organisations	UI&G	Urban Infrastructure and Governance
CDP	City Development Plan	ULB	Urban Local Body
CHB	Chhattisgarh Housing Board	VAMBAY	Valmiki Ambedkar Awas Yojana
CMAO	City Manager's Association		
CO	Community Organisers		
CSUB	Comprehensive Slum Upgrading Strategy for Bhubaneswar		
DPR	Detailed Project Report		
DU	Dwelling Unit		
GOI	Government of India		
HH	Households		
HPL	Hindustan Prefab Limited		
HUDCO	Housing and Urban Development Corporation		
JDA	Jaipur Development Authority		
JMC	Jaipur Municipal Corporation		
JNNURM	Jawaharlal Nehru National Urban Renewal Mission		
LIG	Low Income Groups		
MHADA	Maharashtra Housing & Area Development Authority		
MM	Mahila Milan		
MMC	Madurai Municipal Corporation		
MoHUPA	Ministry of Housing and Urban Poverty Alleviation		
MUD	Ministry of Urban Development		
NBO	National Building Organization		
NGO	Non Governmental Organization		
NIUA	National Institute of Urban Affairs		
NOC	No Objection Certificate		
NRDA	Naya Raipur Development Authority		
NSDF	National Slum Dwellers Federation		
NSDP	National Slum Development Program		
NTAG	National Technical Advisory Group		
OSDF	Odisha Slum Dwellers Federation		
PAPs	Project Affected Persons		
PIU	Project Implementation Unit		
PKMC	Puri Konark Municipal Corporation		
PMC	Patna Municipal Corporation		
PMC	Puri Municipal Corporation		
PMU	Project Management Unit		
PRDA	Patna Regional Development Area		
PRIA	Society for Participatory Research in Asia		
PSP	Public Stand Posts		
PSU	Public Sector Unit		
PUAA	Patna Urban Agglomeration Area		
RAY	Rajiv Awas Yojana		
RDA	Raipur Development Authority		
RHB	Rajasthan Housing Board		
RMC	Raipur Municipal Corporation		
RUIFDCO	Rajasthan Urban Infrastructure Finance and Development Corporation		
SHG	Self Help Group		
SIO	Slum Improvement Officer		
SJSRY	Swarna Jayanti Shehri Rojgar Yojna		
SLNA	State Level Nodal Agency		
SPARC	Society for the Promotion of Area Resource Centres		

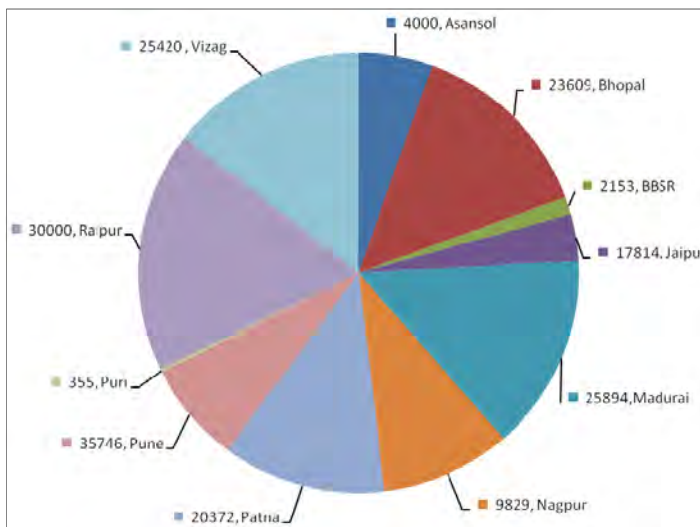
## Annexure II: List of Cities, Visit Dates and Team Members

- 01** Asansol and Durgapur, 26-28 December 2011  
Team: (SPARC: Monali Waghmare, Priti Banarse, NTAG: Seema Mehrotra)
- 02** Bhubaneswar, 22-24 February 2012  
Team: (SPARC: Priti Banarse, Keya Kunte, PRIA: Gargee)
- 03** Bhopal, 6-9 January 2012  
Team: (SPARC: Monali Waghmare, Mitali Ayyangar)
- 04** Jaipur, 13-15 February 2012  
Team: (SPARC: Indu Agarwal, Sharmila Gimonkar)
- 05** Madurai, 27 Feb-02 March 2012  
Team: (SPARC: Priti Banarse, Sharmila Gimonkar, PRIA: Vinika Koul)
- 06** Nagpur, 3-6 January 2012  
Team: (SPARC: Sharmila Gimonkar, Indu Agarwal, NTAG: Seema Mehrotra)
- 07** Patna, 28 Feb-01 March 2012  
Team: (SPARC: Mitali Ayyangar, Monali Waghmare, PRIA: Abhishek Jha, Amitabh)
- 08** Pune, 27 Feb-01 March 2012  
Team: (SPARC: Maria Lobo, Keya Kunte, PRIA: Gargee)
- 09** Puri, 20-23 February 2012  
Team: (SPARC: Priti Banarse, Keya Kunte, PRIA: Gargee)
- 10** Raipur, 21-24 February 2012  
Team: (SPARC: Mitali Ayyangar, Monali Waghmare, PRIA: Deepika Pandey)
- 11** Vishakapatnam, 19-23 December 2011  
Team: (SPARC: Keya Kunte, Priti Banarse, NTAG: Nitika Arora and Rita Dey)

# Summary of Findings

## A Cross-Comparison of 11 Cities: Physical Progress

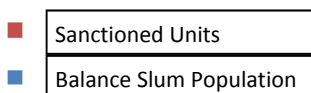
Cities	Slum HHs	No. of Slums	No. of In-Situ Sites	No. of Relocation Sites	DUs Sanctioned	Status of DUs			
						Complete	Ongoing	Cancelled	Occupied
Asansol	57479	499	26	No Data	9219	1916	1321	0	1090
Bhopal	1,83,989	380	No Data	No Data	23609	4708	11743	0	1639
Bhubaneswar	69874	332	3	1	2153	660	1275	0	0
Jaipur	43718	231	No Data	5	5814	0	1320	0	0
Madurai	80352	208	131	1	24332	9019	9559	0	7396
Nagpur	1,13,345	427	3	0	16186	11	152	0	0
Patna	1,73,000	52	No Data	No Data	20372	352	48	32	0
Pune	2,04,601	564	27	5	12576	3356	4396	0	475
Puri	6759	63/46	9	0	355	15	53	70	0
Raipur	26899	192/282	44	17	30000	0	13090	16910	0
Vishakapatnam	1,89,287	741	No Data	No Data	24423	20992	3431	0	2150



Please note that all physical progress data was obtained from the progress tables provided to us by MoHUPA. The projects included in these calculations are only related to housing. Where possible, we have found out actual figures from the respective city municipalities which may vary from the 'official numbers' and mostly refers to specific projects than an overview of the city BSUP work. These and all sources for other data related to population statistics are detailed out in the individual city reports.

### Proportion of Slum households covered under BSUP

#### Legend

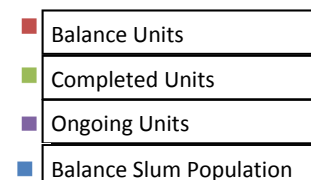


Vishakapatnam: 13%



### Progress of work against dwelling units sanctioned

#### Legend



Vishakapatnam: 100% of dwelling units sanctioned are ongoing or completed, yet only 10% of the completed units are occupied—reasons are elaborated in the city reports.







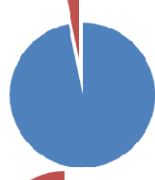









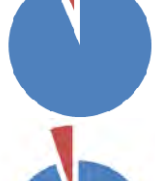





### Proportion of Slum households covered under BSUP

The sanctioned dwelling units under BSUP cover a very small proportion of slum households in the city and of these sanctioned units, even fewer are reaching households.

### Progress of work against dwelling units sanctioned

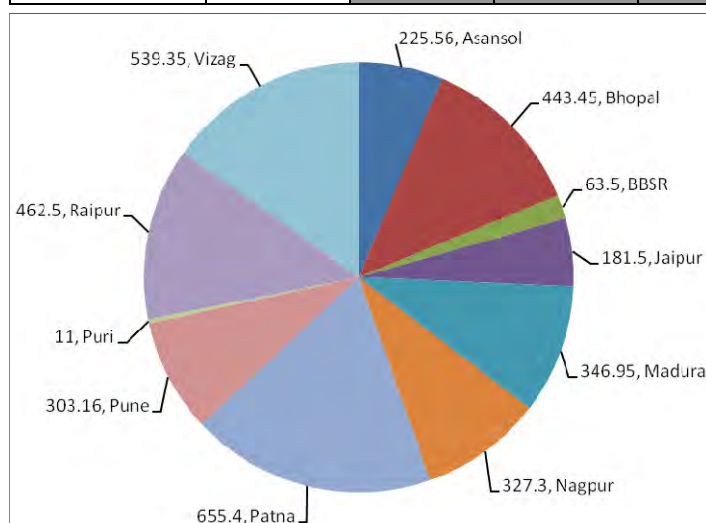
Despite some progress many cities have had to cancel projects. Even in cities with 60-80% work underway, data indicates very few houses have been occupied. Reasons are elaborated in the preceding sections.

<b>Asansol: 16%</b>			<b>Asansol: 24% of dwelling units sanctioned are ongoing, 20% complete</b>
<b>Bhopal: 13%</b>			<b>Bhopal: 50% of dwelling units sanctioned are ongoing, 20% complete</b>
<b>Bhubaneswar: 3%</b>			<b>Bhubaneswar: 60% of dwelling units sanctioned are ongoing, 31% complete</b>
<b>Jaipur: 13%</b>			<b>Jaipur: 22% of dwelling units sanctioned are ongoing, none complete so far</b>
<b>Madurai: 30%</b>			<b>Madurai: 39% of dwelling units sanctioned are ongoing, 37% complete</b>
<b>Nagpur: 14%</b>			<b>Nagpur: 1% of dwelling units sanctioned are ongoing or completed</b>
<b>Patna: 12%</b>			<b>Patna: 0.2% of dwelling units sanctioned are ongoing, 1.7% complete</b>
<b>Pune: 6%</b>			<b>Pune: 35% of dwelling units sanctioned are ongoing, 26% complete</b>
<b>Puri: 5%</b>			<b>Puri: 15% of dwelling units sanctioned are ongoing, 4% complete and 19% abandoned</b>
<b>Raipur: Sanctioned units under BSUP exceeds the no. of slum households</b>			<b>Raipur: 43% ongoing 56% cancelled</b>

# Summary of Findings

## A Cross-Comparison of 11 Cities: Financial Progress

Cities	Amount Sanctioned (Cr.)					Funds Released	Expenses (Cr.)
	GOI	State	ULB	People	TOTAL		
Asansol	111.98	No Data	No Data	No Data	225.56	50.21	No Data
Bhopal	212.29	No Data	No Data	No Data	362.84	137.57	250.71
Bhubaneswar	46.1	10.9	3.1	3.4	63.5	21.8	17
Jaipur	88.1	37.4	42.1	14	181.5	22	2.67
Madurai	165.64	No Data	No Data	No Data	346.95	143.6	No Data
Nagpur	333.29	No Data	No Data	No Data	729.59	83.3	No Data
Patna	274.1	252.3	88.7	40.5	655.4	68.5	13
Pune	142.98	88.43	44.15	27.6	303.16	55.5	139.40
Puri	8	2.1	0.4	0.5	11	2	1.4
Raipur	365	52.4	12.1	32.9	462.5	169.3	120.7
Vishakapatnam	207.96	No Data	No Data	No Data	539.35	154.26	No Data



Please note that all financial progress data was obtained from the progress tables provided to us by MoHUPA. The projects included in these calculations are only related to housing. Where possible, we have found out actual figures from the respective city municipalities which may vary from the 'official numbers' and mostly refers to specific projects than an overview of the city BSUP work. These and all sources for other data related to population statistics are detailed out in the individual city reports.

### Vishakapatnam

Here the ULB allowed for cost escalation but it had to be borne only by the State, ULB and households and not the central government as there is no provision for a cost escalation clause in the guidelines.

	As per Actual	As per BSUP guidelines
GOI	32%	50%
STATE/ULB	34%	50%
PEOPLE	34%	



### Vishakapatnam

Released	29%
Expenses	No Data
Pending	71%

**100% of work ongoing or Complete yet only 29% money released**

Category of Cities for Financing	Central Share	State/ULB/Eligible Households
Cities with 4 million plus population as per 2001 census	50%	50%
Cities with million plus but less than 4 million population as per 2001 census	50%	50%
Cities/Towns in North Eastern States and J&K	90%	10%
Other Cities (Less than 1 million population)	80%	20%

Source: Page 10, BSUP Modified Guidelines, 2009

## Share of BSUP sanction

State/ULB decides its share and that of households, in most cases with no consultation or affordability surveys so often, households are unable to bear the cost.

Asansol (as per DPR):		Asansol (as per actual site):	
GOI	50%	GOI	50%
STATE/ULB	38%	STATE/ULB	30%
PEOPLE	12%	PEOPLE	20%

### Bhopal (as per actual site):

GOI	50%
STATE/ULB	30%
PEOPLE	20%

### Bhubaneswar:

GOI	72%
STATE	17.1%
ULB	4.8%
PEOPLE	5.3%

### Jaipur:

GOI	48.5%
STATE	20.6%
ULB	23.1%
PEOPLE	7.7%

There is no ULB contribution and household contribution is taken as a loan.

### Madurai (as per actual site):

GOI	50%
STATE	40%
ULB	0%
PEOPLE	10%

Included in the project list is a PPP project where part funding is a subsidy.

### Nagpur (as per corporation):

GOI	46%
STATE	32.7%
ULB	13.8%
PEOPLE	7.4%

### Patna

GOI	41.8%
STATE	38.4%
ULB	13.5%
PEOPLE	6.2%

### Pune

GOI	47%
STATE	29.5%
ULB	15%
PEOPLE	7.8%

### Puri

GOI	72%
STATE	19%
ULB	3.6%
PEOPLE	4.5%

### Raipur

GOI	79%
STATE	11%
ULB	3%
PEOPLE	7%

## Funds released, Spent and Balance versus Work Status

In most cities, 60-80% of work is underway yet the proportion of funds released is less, leading to delays in completion or contractors taking on the cost burden.



### Asansol:

Released	27.6%
Expenses	No Data
Pending	72.3%

35% of work ongoing or complete



### Bhopal:

Released	38%
Expenses exceed amount released	
Pending	62%

69% of work ongoing or complete



### Bhubaneswar:

Released	34%
Expenses	78% of released
Pending	66%

89% of work ongoing or complete



### Jaipur

Released	12%
Expenses	12% of Released
Pending	88%

22% of work ongoing or complete



### Madurai

Released	41%
Expenses	No Data
Pending	59%

76% of work ongoing or complete



### Nagpur

Released	11%
Expenses	No Data
Pending	89%

1% of work ongoing or complete



### Patna:

Released	10%
Expenses	18% of released
Pending	90%

1.9% of work ongoing or complete



### Pune:

Released	18%
Expenses exceed amount released	
Pending	82%

61% of work ongoing or complete



### Puri:

Released	18%
Expenses	70% of released
Pending	82%

19% of work ongoing or complete



### Raipur:

Released	37%
Expenses	71.2% of released
Pending	63%

43% of work ongoing, 56% cancelled

# Summary of Findings

## Observations and Challenges

### Project Level

#### CDPs and Project Linkages

- Most of the CDPs were prepared by consultants and almost all reviews available suggest that BSUP linked issues and reforms were not the area of focus. None of the much needed infrastructure investments in the same city had demonstrable linkages to amenities and services needed by slum dwellers. As can be seen in later discussions, almost in all locations, except for very few areas, the subsidy assisted houses had no water and sanitation and no transportation linkages.

#### Selection of Land, Slums, People

- Poor levels of quality and accuracy of data from surveys (location and identification of slums, and household surveys) - an issue in most cities.
- Poor justification of selection of slum for subsidies, unclear selection criteria.
- Land ownership / litigation issues to make land available, occurred in most cities.
- No de-notification process for slums

#### Preparation of DPRs

- In all cases, the DPRs were prepared by consultants or municipality engineers in a greater hurry than the CDPs and with little community input. For Eg. Several DPRs were made without ascertaining availability and access to land for construction.
- Three variations of DPRs:
  - (most projects) The DPR has no relation to the projects in target population, location, design
  - (few instances) The DPR designs have been insisted on even when communities have revolted against them .
  - In one example, the DPR was redone because communities and NGOs demanded it. However, the city did not absorb the cost.
- Milestones essential in preparing DPRs that were not undertaken in most DPRs:
  - Surveys to select vulnerable slums
  - Household surveys to select eligible households
  - Study of land availability, access to bulk infrastructure for amenities and addressing design issues for DPR preparation. In several DPRs, there was a disconnect between actual needs and amenities or housing provided.
  - Discussions and acceptance of by communities of these designs.

### Appraisal Process

- In some cities, projects were approved, after which land was found to be inadequate or falling under CRZ guidelines which made the project a non-starter.

### Procurement and Tendering

- DPRs have to prepare the basis of procurement. In most instances, it is evident that routine and standard procurement used by the state and city were applied.
- Upgrading was seen as contractor-built housing to replace the units where slum populations live.
- Cities began by either seeking project execution from other public sector or large consulting agencies (with deep financial pockets) who did not find these projects profitable enough.
- Few cities changed their procurement strategies (Pune, Bhubaneswar) but there were no support directives from MoHUPA or state SLNAs
- Most cities had to tender several times to find a willing contractor to work at very low rates.
- Except Madurai, Bhubaneswar and Puri, self construction was not considered. However, the poorest households could not take part in the process.

### Project Design and Planning

- **Relocation sites:**
  - All locations were chosen on land far from the city and not linked to livelihoods or transport.
  - All designs were ground plus three or four and similar in design. Most had not infrastructure installed as yet and remain unoccupied.
  - Most projects did not select the eligible households prior to DPR preparation or construction and thus faced resistance from communities who were not consulted beforehand.
- **In-situ:**
  - The general strategy was to break existing houses and build uniform new ones.
  - Most people who had *pucca* houses protested and in some instances resisted.
  - Most designs of the in-situ houses are also uniformly designed without much cultural or community inputs. For example, there is no design consideration for those who use *chullahs* and firewood for cooking.
- **Incremental Upgrading:**
  - This was manifested in three forms. Firstly, subsidy was given to households to use the way they wished; secondly, although a contractor executed project, only 269 sq feet was upgraded. And third households built a second dwelling in addition to their existing house.

## Financial

- Communities were not prepared/not aware of need to make their contribution. In most instances they were not encouraged to save for their contribution nor were they given loan possibilities to make that contribution. As a result, most cities are finding it difficult to collect substantial community contributions at this stage.
- No provision has been made at any level to factor in cost escalations resulting or causing delays as contractors are not paid in time.
- In cities that did allow for cost escalation, the increased costs had to be borne by the state, ULB and eligible households.

## Transit Housing

- Most projects have extended beyond the projected completion time. As a result, most households had to pay additional rentals for transit which often was not supplemented by city municipalities.
- State housing agencies have a weak trust quotient among the poor of ever leaving transit areas, so most have resisted being moved if they could.

## Project Implementation

- Most projects had not begun, the cycle of delays due to land or delayed payments had led to price escalation, thus creating a growing crisis. Delays have also made the survey and eligible household lists out of date which, if updated, are at the cost of the NGO/contractor.
- Often a project was considered complete although it had no basic infrastructure in place.
- Despite most cities showing a high percentage of ongoing or completed work, few houses were occupied.
- Construction quality is mostly not acceptable to everyone. Yet delays, lack of supervision and very low costs have all added to this situation.

## Institutional Capacity

### At the State and Local Government Level:

- Institutions and measures (accountability, governance) that support BSUP are not in place.
- In some cities, the project implementation units were set up only recently, much after projects began.
- High attrition rate and poor institutional memory due weak record management or documentation.
- Poor horizontal and vertical coordination / negotiation / trust between departments.
- Lack of planning for BSUP to overlap with other schemes.

### At the Central Government Level:

- No real capacity other than drawing down money
- Those who implement projects need different capacity building than those who are commissioners
- No timely support to provide flexibility to make changes.

## Monitoring and Supervision

- Almost all periodic engineering inspections need staff, coordination and management systems, most of the processes have not been in the systems and have produces huge problems of billing, quality, and course correction possibilities.

## Land Linked Issues

- **At the Central Government Level:** This issue has not been resolved with no support being provided to assist the state with slums on central government lands.
- **At the State Government Level:** Different state level ministries have stopped work on projects and no arbitration has been undertaken by the state in addressing this issue.
- **At the City Level:** Land chosen for upgrading or relocation, are mainly from pool that belonged to the corporation or the city, and here too in many instances the court has placed a stay after work orders were given by the central government.

This clearly indicates that issues of reform necessary for this process have not been taken seriously and have not been addressed by state leadership and MoHUPA has not been able to assist support or reprimand states for this remission.

## Finance Management

Non usage of funds has not drawn any red flags for interventions at any level.

### At the Central Government Level:

- Disbursals have not been substantial, as most projects were abandoned.

### At the State Government Level:

- The State level nodal agencies have not sorted out these glaring issues.
- Cities and states have only dealt with CDPs and DPRs to get funds allocated to their cities but not addressed ground realities which include seeking the consultation and partnership of slum dwellers.

### At the City Level:

- With most projects now abandoned and most cities not even begun projects means that allocations made centrally have not been fully used.
- Most cost escalations have not been considered by the centre, state or city in a decade resulting in both poor quality or unfinished work.
- All projects re-initiated have either had number of eligible households reduced, the contractors have absorbed losses or the community contribution was increased.
- Cities have pending payments to be made to contractors but have not addressed this issue.

# Summary of Findings

## Observations and Challenges

### Community Participation

#### Participation and its fullest potential value

The project provided ample opportunity to let people make their own decisions and for local governments to forge a relationship with communities. Yet, in most, if not all the cities there was little awareness or participation in the scheme.

There is a lack of awareness about the benefits of community participation at city as well as community level.

#### How Government views Participation

Slum upgrading is seen mostly as moving 'slum dwellers' to contractor built housing – sometimes in situ, usually elsewhere.

For almost all municipalities, 'participation' was viewed as simply providing information to communities about the project in order to obtain consent for implementation of the scheme. Participation remains an unclear and misunderstood term in all cities.

#### Participation: Policy versus Practice

Even though some DPRs recognize the importance of community participation and there is an expressed will of local authorities to involve communities, there are no mechanisms on the ground to guarantee community involvement at all stages of the projects: Planning, Implementation, Monitoring, Maintenance and Evaluation of outcomes.

In practice, while communities were aware of the schemes they did not understand the connection between conducting the surveys and implementing the projects.

Communities were not involved in any decision about the selection of slums for subsidies, selection of eligible households, design or planning decisions, construction, terms and conditions of repayment and also their contribution towards housing. Also, the realities on ground such as the size of families living under one roof, their investment in their homes, livelihood, capacity to contribute financially etc - were not recognised by cities.

The connection between the proposed projects and reality are often too disconnected to understand and the cities provide little support to communities undergoing changes as a result of the scheme. For example, there is no provision under BSUP guidelines for capacity building or livelihoods.

### Consequences of no Participation

Lack of awareness amongst people to be affected by the projects, have led to public protests and community resistance consequently affecting any mobilization efforts thereafter.

#### The issues by which they are most affected are:

#### Universal ground plus three building as a preferred option:

despite much resistance from community most construction choice was contractor built ground plus 3 or walk up houses which do not meet community choice.

#### Most projects were initially relocation projects and

these were resisted strongly by communities because of the distance between site and livelihoods yet these remained the main preference of cities. Projects were mostly located outside city with no transport or amenities.

#### Design of units:

there was no acknowledgement of the special needs of women and children in design in most instances, issue such as cooking fuels, home based livelihoods, internal space usage was not considered. Most designs across cities were uniform without consideration of environment or usage.

#### Construction:

Most households had no involvement at all in supervision of construction, most did not know which would be their home. Almost all projects are contractor managed.

#### Community resistance was rarely seen as necessary

**feedback:** instead it was seen as lack of cooperation.

For almost all the sites, although the whole point of slum upgrading is to benefit the residents, the residents are dissatisfied with the initiatives and often in conflict with the authorities; also there is no provision in most initiatives for grievance redressal.

### Concerns raised by Eligible Households:

- High rise housing did not work for communities
- Quality of construction
- Existing *pattas* which were larger were ignored
- Livelihood issues not addresses
- Distance to/from relocation sites to work
- Capacity to:
  - Pay contribution
  - Pay / manage services & maintenance
  - Increase in living costs
  - Transition costs (such as shifting)

### Concern about Consultants chosen for DPR preparation

- Projects were designed (including procurement by consultants with little ownership by the city) ,
- Typically non-local and/or large scale consultants used to prepare DPRs
- No accountability of consultants chosen for DPRs
- No understanding of what is needed / unaware of local realities
- House designs by engineers - no awareness of how spaces are used by women / poor

### Concerns raised by Municipalities:

- Most ULB officials do not have the knowledge or experience of implementing upgrading initiatives and the capacity to get required agreements from different agencies.
- With most PMUs being in place more recently, most staff have no history of the development of projects and very little documentation helps create institutional history.
- There was little support and crisis resolution on the problems and challenges faced by the staff and this led to a lowering of morale amongst some of the more enthusiastic staff.
- There was a thirst to find out what other cities were doing and compare and explore how it would work in their city.
- Almost none of the staff had participated in capacity building events at city state or central level..
- Every group wanted a follow up meeting and opportunity to discuss visit other projects and share challenges with other PMUs.
- Everyone felt they had learnt a great deal and given an opportunity to do more with help can make valuable changes.

## Innovations by Cities

### • Allowing for a cost escalation clause

Example: Vishakapatnam city municipality allowed for cost escalation however as the guidelines do not allow for this, the cost increase had to be borne by the state, ULB and the households. As a result, the households have to pay 34% of the cost of their house.

### • Responding and adapting guidelines to suit local needs

Example: Madurai, Asansol and Bhubaneswar allowed for some households to upgrade by providing them subsidies directly and the flexibility to chose their own design and contractors.

In Puri, although direct subsidies are not given to households, the flexibility of the municipality allows the designs to be modified by communities and architects without following the DPR.

In Pune, the needs of communities are recognized from the start and designs worked out by the architect with individual households.

### • Thoughtful measures

Example: Nagpur, Shifting electricity meters from original home to transit to new building

### • Participation and Accountability

Example: In Pune, corporator and municipality support allowed NGOs and communities actively participate in the process.

# Recommendations

It is possible to glean from the findings that city governments have faced a number of challenges in effectively implementing the BSUP scheme. Slum upgrading as described in most of the contractor led projects do not have any of the key characteristics of a successful slum upgrading initiative.

For one, the appropriate mechanisms and measures that would support such a scheme are weak. Slum upgrading is viewed as 'redevelopment' and mostly involves relocation of slum dwellers to sites far from their livelihoods and with little access to amenities or transport. Contractor built housing comes with all sorts of problems, almost all units are poorly constructed, difficult to maintain and lack basic infrastructure. As a result, even though cities may show a high progress of work, the data does not reveal the dissatisfaction of displaced communities except where households have refused to occupy these houses.

Most sites have had to be abandoned by contractor unable to keep with the rising costs of construction and city municipal corporations unable to allow for cost escalation clauses in their tenders. The lack of flexibility in allowing this clause or allowing designs to be modified and adapted to the slum dwellers needs occur across almost all cities.

Community participation itself is a rather difficult concept to grasp, with most city municipalities understanding it as providing information than anything more. The NGO plays an important role between community and local government, yet these are mostly absent from the cities studied with emphasis placed on large scale contractors to take on projects. Procurement procedures make it almost impossible for NGOs to participate. However, it is those cities that have allowed NGOs to participate that are seeing the most success in terms of community involvement and so a higher occupation rate of houses built under BSUP. Some cities have chosen to allow communities to take on construction themselves by directly providing the household with a subsidy. These too, are seeing a higher success rate as households build incrementally. The drawbacks may be poor quality construction as the households are provided with little technical support.

If cities can abandon the 'demolish and build' approach to slums and instead provide them with appropriate infrastructure and some (technical and financial) support to incrementally build on their existing houses, subsidies will reach a larger number of households.

**Following are some specific recommendations in light of the extension of JnNURM-BSUP for two more years:**

## **Building Capacities of ULBs**

- Real capacity building must include capacity to build consensus, engagement with community, ability to do course corrections
- Develop strong learning, exchanges with other city municipal corporations to lead to innovative city upgrading
- Explore community based construction with backing from technical support
- Better use of civil society wherever it exists
- Demand bank participation for community contribution as prerequisite for projects
- Create an unused subsidy pool
- Addressing risks and managing them
- Develop an accountability structure, setting up project implementation units at the start of the project and appoint appropriately qualified members.
- At each stage of the project from Detailed Project Report (DPR) to completion, there are different challenges which need attention at each level from MoHUPA to local project managers. These have to become standard practice
- Develop a structure to allow for knowledge transfer in case of frequent change of officials

## **Community Participation**

- There should be an active involvement of the community on decisions affecting their livelihoods and they should be consulted while designing the settlements.
- Effective mechanisms should be developed to allow for community involvement in the project at all levels from data collection on slums, selection of projects, design of housing units and settlement layouts, construction, monitoring and maintenance. For this end, NGOs may be invited to initiate the process.
- The implementing agencies need to educate the community regarding the scheme and their individual contribution as a beginning towards participation. Municipal corporations should involve communities in the surveys and listing of the slums. More Community Development Officers should be appointed in the field to interact with the families.



### **Selection of slums and households**

- The definition of 'slums' in a city may be re-evaluated and a process of de-notification set up.
- The terms and norms for de-notification should be developed nationally for states to adapt them state wise.
- Criteria must be developed (with slum communities) to identify the most vulnerable slums to be taken up for upgrading.
- Land ownership, norms and other issues ought to be cleared prior to DPR preparation. At the same time, should a project not be sanctioned, the cost of acquiring land will still have to borne by a city. Measures to be taken to sort this issue.

### **Planning for updating data and cost escalations**

- Often, the time between the approval of DPR and actual project implementation has been so long that the list of eligible households and settlement plan has changed. The cost of updating this has to be borne by the contractor, if at all. The time it takes to obtain a contractor is long as due to lack of a cost escalation clause, it is difficult to find takers.
- Measures must be thought out to simply the DPR itself and take care of cost escalation or to embed the cost of updating data within the procurement.

### **Building flexibility and developing multiple possibilities for projects**

- To step away from the 'demolish and rebuild' or 'one size fits all' approach, a needs based approach may be taken depending on the housing and infrastructure conditions of that particular settlement. One slum may contain a wide range of possibilities in terms of design and planning—some houses to rebuild, some to only upgrade and some to shift.
- Accordingly, even designs may be developed by households based on need.
- Each state and city has different possibilities which should be explored to produce wider range of possibilities for the national program.

### **What happens when a slum is upgraded with basic amenities?**

A slum with relatively good housing may be provided infrastructure and direct subsidies and technical support to allow the households to upgrade incrementally. Incremental housing can produce low rise higher densities. And subsidies will reach a higher number of households.

### **Linking livelihoods to slum upgrading**

- All slums contain mixed-use spaces, yet all projects are for housing only. A link must develop with design and appropriate subsidies (through linkages with other schemes) to provide for livelihoods to continue.
- Transport and livelihood access are very closely co-created and must be taken into account, particularly in the choosing relocation sites.
- Take on petty construction and its management as critical livelihood activity. This will produce maximum re-circulation of fund in localities, but it requires different support and supervision and must be explored vigorously.

### **Building Relationships**

- Capitalizing on existing relationships (e.g. using corporators or local leaders to liaise, coordinate, share information with community).
- Inter-departmental relationships need to be strengthened at the ULB level.
- Visits may be encouraged between city municipal corporations/implementing agencies in different cities to learn from each other.
- Projects worked best when the contractors were niche organizations - mechanisms may be developed by cities to allow for smaller organizations or NGOs that work with community groups to participate actively in the process.

**For city specific observation and recommendations, please refer to each of the detailed city reports in the forthcoming pages.**

# 01. ASANSOL, WEST BENGAL



<b>Total Population:</b>	5,64,491 (as per 2011 census) Asansol 4,86,304 (as per 2001 census) Asansol 4,92,996 (as per 2001 census) Durgapur
<b>Slum Population:</b>	2,87,099 (as per 2011 census) Asansol 1,58,946 (as per 2001 census) Asansol 1,49,429 (as per 2001 census) Durgapur
<b>Slum Settlements:</b>	499 212 authorized 287 unauthorized
<b>Slum Families:</b>	57,479
<b>Land Ownership:</b>	ADDA, Central Government
<b>Wards:</b>	50

## Overview of Progress

### BSUP Timeline

<b>2006</b>	CDP prepared by Asansol Durgapur Development Authority (ADDA)
<b>2006</b>	DPR submission
<b>2007-2009</b>	Tenders floated for 26 settlements
<b>2007</b>	Construction begins at Shrinagar Colony
<b>2009</b>	Construction completed at Shrinagar Colony
<b>2010</b>	Allotment at Shrinagar Colony

### BSUP Projects Sanctioned in Asansol \*Source: MoHUPA Progress Table, 2011\*

Sites Visited

DPRs Sanctioned	Approved Date	Cost (Cr.)	Total DUs	Status	Implementing Agency	Contractor
Low cost housing for Urban Poor in Rail Para	29.12.2006	33.79	1371	396	AMC	Several Contractors
Rehabilitation of slums in Asansol MC Area*	28.11.2006	88.95	4000	1361 complete, 1022 ongoing, 931 occupied	AMC	Several Contractors
BSUP scheme for the town of Asansol	13.02.2009	58.16	2232	159 complete, 299 ongoing, 159 occupied	AMC	Several Contractors
BSUP scheme for the towns of Durgapur, Bardhaman and Asansol	13.02.2009	44.66	1616	--	Mulitple	No Data
<b>TOTAL</b>		<b>225.56</b>	<b>9219</b>			

\*This DPR covers 26 settlements for in-situ housing, relocation and upgrading projects

The following other projects were taken up under BSUP in Asansol include: Water supply: Proposed 148 stand post (taps) in 26 slums, Drainage: Storm water drain in 26 slums, Road infrastructure: Roads from minimum 4 feet wide to maximum 12 feet wide in 26 slums, Street lightening: Proposed in 26 slums, Community toilets, Community centers, Housing infrastructure

## Agencies Involved

<b>State Nodal Agency:</b>	Asansol Durgapur Development Agency (ADDA)
<b>Implementing Agencies:</b>	Asansol Municipal Corporation (AMC)
<b>CDP:</b>	No Information
<b>DPR:</b>	IL&FS
<b>Contractors:</b>	Several contractors appointed

Asansol is a part of the Asansol Urban Area which is comprised of five major urban centers: Asansol, Durgapur, Raniganj, Kulti and Jamuria. These urban centers form an integral industrial and urban area for West Bengal. Asansol Durgapur Development Authority (ADDA) is a nodal agency in charge of the implementation of development initiatives in coordination with Asansol Municipal Corporation (AMC), Durgapur Municipal Corporation (DMC), Raniganj Municipal Corporation, Kulti Municipal Corporation, and Jamuria Municipal Corporation.

### Physical Progress\*

<b>TOTAL NO OF SLUMS</b>	<b>499</b>
<b>DU'S SANCTIONED</b>	<b>9219</b>
<b>STATUS</b>	
COMPLETE	1916
ONGOING	1321
CANCELLED	0
OCCUPIED	1090

### Financial Progress\*

<b>SHARE (in Cr.)</b>		
GOI	111.98	<b>49.6%</b>
STATE	No Data	
ULB	No Data	
HH	No Data	
<b>TOTAL</b>	<b>225.56</b>	
<b>FUND RELEASED</b>		
GOI	<b>50.21</b>	<b>22%</b>
<b>FUNDS UTILIZED</b>	No Data	

\*Source: MoHUPA Progress Table, 2011

As per BSUP guidelines, the % share for cities with population between 1 to 4 million or above 4 million, is Central Government: 50% and State/ULB/Household: 50%. Household contribution is a minimum of 10-12%.

### Institutional Arrangements

BSUP projects are mostly planned top-down. The AMC is responsible for the administration and supervision of the projects and the Municipal Engineering Directorate (MED) is in charge of the construction work.

### Criteria for Slum Selection

The Mayor and the local Councilor selected the slums and the type of infrastructure needed within the slums and this was the basis on which the IL & FS team was asked to prepare the DPR.

### Criteria for HH Selection

The DPR claims that the BPL (Below Poverty Line) and the EWS (Economically Weaker Section) cards were used to identify the individuals.

### DPR

The AMC has adopted an integrated development approach to implement the first phase of the BSUP project. The DPR covers physical infrastructure as well as housing development in 26 slums. However AMC repeatedly pointed out the fact that since the first DPR had been prepared in 7 days, the priorities of the slum dwellers were neglected.

The DPR was prepared in 7 days on the basis of secondary data. The AMC had to reevaluate the initial DPR due to several inconsistencies such as maps showing the infrastructure were inaccurate, the cost of the project did not cover price escalation and there were also land ownership issues for taking up in-situ upgrading. Therefore, AMC revised their DPR, which is yet to be sanctioned by the MoHUPA, but work is continuing on the request of State Government.

### Participation

The communities were informed rather than consulted. They were not made aware of the scheme, and because of the lack of a project-monitoring unit in the municipality, there was a lack of knowledge about the projects even within the Corporation.

### Procurement

The procurement process was limited to first class contractors with sound financial status, registered with the Public Work Department (PWD) or who are Government *bona fide* private contractors or running contractors of MED. In a number of cases, even though tenders were floated and a work order was issued, the work has not begun on the ground. The AMC claims that since the contractors haven't received the earlier installments, they are not ready to start the work. As a result there has been only a 45% progress in housing project.

### Financing

The share of financing differs between the and actuality wherein an additional share is asked for from households eligible for the scheme.

### Finance Sharing (%)

Stakeholder	Share of funding according to DPR	Share of funding as per actuals (No reservation for SC/ST)
GOI	50%	<b>50%</b>
STATE/ULB	38%	<b>30%</b>
ELIGIBLE HOUSEHOLDS	12%	<b>20%</b>

## In-situ and Relocation Housing, Shrinagar Colony (Ward No. 30)

**Implementing Agency:** AMC  
**DPR Consultant:** No Information  
**Contractor:** No Information

**Status:** 288 units, completed in 2009, allotments in 2011. This site is not part of Detailed Project Report (DPR) but slum communities from identified wards are rehabilitated here.

In the Shrinagar colony, the tenders were floated in July 2007, the actual construction begun in 2008 and was completed in 2010. The allotments were made in 2011.

According to the DPR, the eligible households were selected in accordance with the SJSRY survey. In reality, the ward councilor was in charge of the selection of the households and preparation of the list, which then was approved by the Mayor. The AMC then published the final allotment. The final consequence is that the Councilor is making the decision on behalf of communities regarding the physical infrastructure, and only informing the slum communities on the project developments.

Each individual file consists of a copy of a BPL card, a voter's card, and a passport size photo taken in front of the house. Although the documents have been collected from the beneficiaries, the AMC claims the city does not have these records.

20% of the total cost is the eligible household contribution in all of the BSUP projects in Asansol. The construction cost for the houses in Shrinagar is Rs. 1, 32,000 per DU. The beneficiary thus has to pay Rs. 5000 to 6500 once their name appears on the final list of the AMC. The beneficiaries receive a receipt in return from the Municipality.

In the absence of solid waste management system, the Sri Nagar colony is flooded with garbage. The settlement does not have a door-to-door collection system or a secondary container to dump garbage. Almost all of the open spaces, along the roads, and the building margins are laden with filth.

In Shrinagar, the communities didn't have an electric or water connection for 3 months after they moved into their new homes. Unfortunately, even after a year, the water supply is limited to 3 community taps, which are shared by 280 families and supplies only 3 hrs of water per day.

No provision was made for transit housing in Shrinagar. In addition, few people were aware of the fact that after the demolitions, the newly constructed houses were for them. Numerous members of the community moved from the sites while others worked at the site as laborers.

In Shrinagar, the houses were constructed by the local contractor, not the community. Each house has two rooms and one combined toilet bathroom. The condition of the building and flats in Sri Nagar is poor. The room sizes are small while the indoors are damp. The basic construction is also faulty and the load bearing houses have been constructed with no RCC or tiled flooring. The inhabitants are afraid to stay in the building after some of the walls cracked in September 2011 following a minor earthquake in Sikkim and North India.

The lack of a building society has influenced the community to thinking that the maintenance is the sole responsibility of the municipality rather than their own.



### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Expenses (Cr.)	Amt. Re-leased	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
2006	No Data	288	1,32,000	2007	2008	2009	No Data	No Data	No Data	288	1,32,000	No Data

Detailed financial information of individual projects not available

# In-situ Redevelopment, Repair and Upgrading, Babu Talav (Ward No. 28)

**Implementing Agency:** AMC  
**DPR Consultant:** No Information  
**Contractor:** No Information

**Status:** Some units are being redeveloped in-situ while still retaining their old houses and some households have been provided smaller subsidies to upgrade their houses.

Note: This site is not part of DPR but it is a site of BSUP project.

In Babu Talav, some houses are being repaired or upgraded incrementally by house owners, under BSUP. However, many owners did not demolish their existing houses to upgrade but simply built a new house on the same land, as a result they have two houses now.

The house design was done as per individual households and many house sizes exceed the 269 sq.ft. requirement under BSUP. In connecting to existing infrastructure, several households have chosen to use the community tap instead of taking individual connections.

The eligible households have to pay Rs. 12,000 as contribution and provide the same kind of documentation as in other BSUP projects. The municipal corporation has a tie up with the Union Bank and the Bank of India through which the eligible households are supposed to pay the rest of their share in the form of installments. The houses are initially mortgaged to the Bank and once the repayment is complete, the households get the land holding in their name. The only proofs of allotment the communities have are the receipt of first installment and the bank passbook.

There have been irregularities in the allotment of the houses. Only 30% of the eligible households have received the houses. The communities have also complained that in some cases people have forcefully entered the new houses.



**From Top:**  
Existing Settlement and Open Drains

**Below:**  
Redeveloped/Upgraded Houses



## Durgapur: Overview of Progress

BSUP Projects Sanctioned in Durgapur \*Source: MoHUPA Progress Table 2011\*

DPRs Sanctioned	Approved Date	Cost (Cr.)	Total DUs	Status	Implementing Agency	Contractor Name
Durgapur	15.01.2009	11.55	400	Completed, Occupied	DMC	No Info.
Durgapur Phase IV	25.02.2011	35.78	912	Not Begun	DMC	No Info.
Rehabilitation of slums in Durgapur MC area	28.11.2006	106.02	4000	3346 complete, 607 on-going, 3225 occupied	DMC	No Info.
<b>TOTAL</b>		<b>153.35</b>	<b>5312</b>			

## In-situ Redevelopment, Sanatorit, Cmeri Basti, Durgapur

**Implementing Agency:** Durgapur Municipal Corporation (DMC)  
**DPR Consultant:** No Information  
**Contractor:** No Information

**Status:** 400 units, completed in 2010 and allocation in 2011.

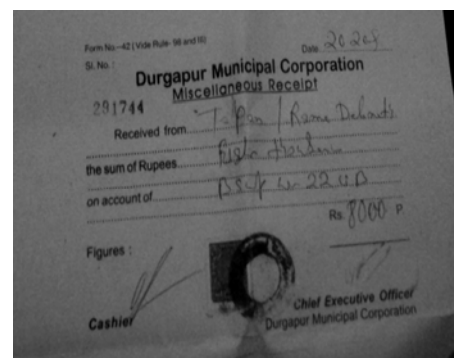
The Ward Councillor selected the slums and households eligible under the scheme. People were informed about the scheme once the layouts of the buildings were finalized. There was no provision for Transit housing. People were told to demolish their houses and build temporary structures on the side of the road at the site. Allotments were done through a lottery system after the work was completed.

Communities at Cmeri Basti are mostly domestic workers at a residential area nearby and livelihoods were not affected.

The project is an In-situ development in G+1 structures with toilets inside the houses, individual electricity meters and individual water supply for 2 hours a day. Also provided are *Pucca* roads with street lights and open spaces. A community centre has been built that the community uses for marriages and parties at a rent of Rs. 1000 per day. Solid waste management by the DMC. Each family pays Rs. 10 per month for individual dustbins and garbage collection every day.

Household contribution is Rs. 32,000. Initially, DMC collected Rs 8,000 from each household. The rest of the share ie, Rs 26,000 will be paid in instalments to Corporation Bank which has a tie up with DMC.

The tenements are mortgaged with the Bank and until the repayment is done they are given a photocopy of the agreement papers. Once the instalments for repayment of the loan are complete they will be handed over the original agreement in their name.



### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Expenses (Cr.)	Amt. Released	Complete	Allocation	Cost per DU As per DPR	Cost per DU Actual
2006	7.55	400	1,32,000	No Data	2009	2010	No Data	No Data	400	2011	1,32,000	No Data

## Observations and Challenges

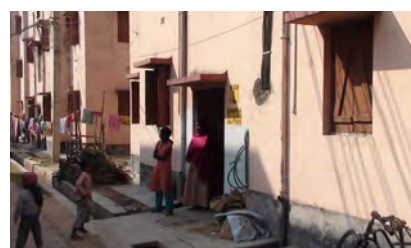
### Observations

- There is a lack of awareness on the benefits of community participation at the Municipal as well as community level.
- The concept of in-situ upgrading has not been understood since the municipal corporation provided financial assistance to the families in the slum to build one more house on the same premises there by adding to the density.
- The issues of adequate water supply, electricity and solid waste management have been completely ignored while implementing the project.
- Numerous delays in project implementation have created mistrust within the communities towards the government.
- Households that used to conduct commercial activities were not compensated during the rehabilitation of slum communities. There was no consideration given to livelihood questions in the rehabilitation project.
- No surveys were conducted. The selection of both slums and households seem to be totally in the hands of the political representatives.



### Challenges

- The concept of community participation is not understood well by the municipal corporation and the implementing agencies
- Lack of Civil Society organizations in the urban areas to raise voices on urban issues.
- No dialogue between DPR consultants and implementing agencies while preparing DPRs
- Low cost housing is interpreted to mean compromise on quality of construction.



## Recommendations

- Capacity Building for city municipal corporation
- Knowledge sharing and exchanges between ULBs, local councilors and communities to promote best practices of participation
- The ULB should promote other programs, such as solid waste management and livelihood programs at relocation sites.
- Creating awareness campaigns related to health and hygiene at project sites.
- The ULB should take the responsibility of operation and maintenance of the newly constructed sites, until the residents form societies, get registered and start functioning smoothly. There should be some support during the transfer of responsibilities using civil society.



# 02. BHOPAL, MADHYA PRADESH



**Total Population:** 14,58,000 (as per census 2001)  
23,68,145 (Bhopal District as per 2001 census)

**Slum Population:** 936066 (BMC data in CDP 2006)

**Slum Settlements:** 380

**Slum Families:** 1,83,989 (BMC data in CDP 2006)

**Land Ownership:** No Data

**Wards:** 70

## Overview of Progress

### BSUP Timeline

<b>2006</b>	CDP submitted and resubmitted in March and approved. First DPRs for BSUP approved First tender floated on 12th April, 2006 Construction for pilot project at Kalpana Nagar
<b>2009</b>	Construction for Kalpana Nagar Completed
<b>2011</b>	DPR revision for Kalpana Nagar to accommodate additional beneficiaries

### BSUP Projects Sanctioned \*Source: MoHUPA Progress Table, 2011\*

Sites Visited



DPRs Sanctioned	Approved Date	Cost (Cr.)	Total DUs	Status
Housing, Infrastructure, Indrapuri (Kalpana Nagar)	30.03.2006	2.54	212	164 complete, 48 ongoing, 163 occupied
Housing, Infrastructure, development of Kotra Market	30.03.2006	9.36	512	512 complete, 304 occupied
Residential Colony for Slum Dwellers, Indra Nagar (Phase II)	02.02.2007	13.43	896	128 complete, 480 ongoing
Houses and Infrastructure, Shyam Nagar	30.03.2006	16.00	1440	792 complete, 648 ongoing, 576 occupied
Rehabilitation of Indra Nagar (Phase I)	29.12.2006	17.10	1216	128 complete, 1088 ongoing
Rehabilitation of Ganga Nagar and Aradhna Nagar at Kotra	14.12.2006	24.73	1848	608 complete, 1240 ongoing
Rehabilitation Of Slum Dwellers at Baba Nagar	14.12.2006	26.61	1872	840 complete, 1032 ongoing
Slum and poor locality integrated area development scheme PHASE 1***	11.10.2006	39.50	NA	NA
Slum and poor locality integrated area Development Scheme PHASE 2***	11.10.2006	41.11	NA	NA
Rehabilitation of Identified Slums	20.02.2009	46.76	2299	1200 ongoing
Infrastructure Facilities at Roshanpura	30.03.2006	47.15	3600	Not Begun
Rehabilitation of Bajpainagar, Police Line etc.	29.12.2006	50.84	3328	832 complete, 2496 ongoing
Slum Redevelopment at Arjun Nagar, Bhim Nagar, Madrasi Colony and Rahul Nagarin	14.12.2006	52.63	3528	704 complete, 2856 ongoing, 596 occupied
Slum rehab and redev., Part I: Bharat Mata Nagar, Naya Basera and Arjun Nagar	20.02.2009	55.68	2858	655 ongoing
<b>TOTAL***Does not include these projects</b>		<b>362.84</b>	<b>23,609</b>	



## Agencies Involved

<b>State Nodal Agency:</b>	District Urban Development Authority (DUDA)
<b>Implementing Agencies:</b>	Bhopal Municipal Corporation (BMC), Bhopal Development Authority (BDA)
<b>Project Monitoring Cell:</b>	Formed as required under BSUP guidelines
<b>CDP:</b>	In-House within Bhopal Municipal Corporation (BMC)
<b>DPR:</b>	In-House within Bhopal Municipal Corporation (BMC)
<b>Contractors:</b>	Several

### Physical Progress\*

<b>TOTAL NO OF SLUMS</b>	<b>380</b>
<b>NO OF SITES</b>	
IN SITU	No Data
RELOCATION	No Data
<b>DU'S SANCTIONED</b>	<b>23,609</b>
<b>STATUS</b>	
COMPLETE	4708
ONGOING	11743
OCCUPIED	1639

### Financial Progress\*

<b>SHARE (in Cr.)</b>		
GOI	212.29	<b>47.8%</b>
STATE	No Data	
ULB	No Data	
HH	No Data	
<b>TOTAL</b>	<b>362.84</b>	
<b>FUND RELEASED</b>		
GOI	<b>137.57</b>	<b>38%</b>
<b>FUNDS UTILIZED **</b>		
	<b>250.71</b>	

#### Sources:

\*MoHUPA Progress Table, 2011

\*\*BMC JnNURM project review

As per BSUP guidelines, the % share for cities with population between 1 to 4 million or above 4 million, is Central Government: 50% and State/ULB/Household: 50%. Household contribution is a minimum of 10-12%.

### Institutional Arrangements

BMC is the implementing agency within which sits the Project Implementation Unit (PIU) to provide non-technical support to the JnNURM project cell. The BSUP PIU was set up in 2009 till which time the UIG PIU oversaw BSUP projects. The BSUP PIU team consists of a) Project Coordinator, b) Social Development Officer, c) Livelihood Expert and d) Research and Training Coordinator. The BSUP PIU team is sanctioned until end March 2012.

The Supervision and Quality Control (SQC) services are outsourced and provide technical support to JNNURM projects including BRTS, BSUP and UIG.

### Survey

A citywide survey of slums in Bhopal was undertaken by the District Administrator and facilitated by the BMC between 1999 and 2002 with the goal of identifying wards that should be notified as "slums". In 2003, the BMC published the official list of 380 slums and an AutoCAD map locating them. The same list was used for preparing the CDP under JnNURM in 2006. Other, non-notified slums were not even considered. BMC undertook baseline surveys at project sites after DPR approval. The survey team consisted of a municipal engineer, community mobiliser and a survey agency (most often a local organization).

### CDP

Bhopal was the first city in India to have its CDP approved under JnNURM. It had to be resubmitted within the week in March 2006 when it failed its first appraisal conducted by NTAG member O.P. Mathur. The final approval of the CDP coincided with the sanctioning and releasing of funds for the first DPRs (4 BSUP and 1 UIG) on 31st March 2006. Bhopal floated its first tender on 12th April 2006.

### Selection of HHs

Once the list of selected households was sanctioned by the Divisional Commissioner, each was given documentation – including legal lease hold giving them the rights to reside and block and flat numbers (through the lottery system of allotment) – enabling households to initiate the bank loan process.

Papers for bank loans for selected households were prepared by the BMC. Common documents for all, such as land ownership agreements and design approvals, were sent directly to the bank by the BMC. It was still a struggle to get the banks to give loans.

If a slum matched the official slum description, then the ward in which the slum is located is notified as a slum. According to BMC officials, given the benefits the ward would be entitled to has made slum identification and notification a highly political process.

### Criteria for Eligibility

- Proof of residence 3 years prior to DPR approval.
- Ownership of structure through a patta or voter ID, ration card, electricity bill or child's school admission card.
- Rentals were not considered.
- If more than one nuclear household lived under one roof, they were required to prove that they were a different household (ration card etc.)

### Community Participation

Only in Shyam Nagar, a pilot show case project – a local NGO, Sahara Manch, was invited to submit a tender to conduct a preliminary survey to prepare a preliminary list of eligible HHs. NGOs are predominantly involved in offering livelihood training. They may apply to work with the state/municipality through quotation or tender only.

## In-situ Redevelopment, Kalpana Nagar, Near Indrapuri

**Implementing Agency:** BMC  
**DPR Consultant:** In-house  
**Contractor:** No Information

**Status:** 164 out of 212 units completed and some households shifted but claim to have been moved forcibly. 48 dwelling units are still under construction. Household share has increased to 40% of total cost.

Pilot project sanctioned in 2006. Kalpana Nagar was chosen because of its prime location in the city. BMC had plans to build a transport depot on the land.

The project to construct the first 164 DUs was divided into 16 sections and shared between 5 contractors. The rest 48 DUs have been given to another contractor.

Households were not involved in dialogue with the BMC at any stage during the planning and implementation of the project. Several claim to know about the project only after construction was complete.

The DPR rationale was that the settlement was “thickly clustered”, with “row type *kuccha* huts, narrow roads and poor drainage network, with no open area for children and lack of other community facilities”.

Once contractors were finalised, households were given a temporary site; they were provided with materials and labour support to build their own transit houses. They were also given communal toilet facilities.

BMC officials maintain that through their community mobilisers and organisers, they interacted with the residents to help form SHGs – but the motivation was primarily to avert any trouble and ensure implementation went according to plan .

Residents showed photos of their original houses and said they lived in well designed, good quality, nicely decorated ground floor structures which they had built themselves. They had 30-year *pattas* for 450 sq.ft. (though several HHs had occupied over 2500 sq. ft.) with large, open spaces where several families lived jointly. In spite of these *pattas*, the community had to move to the G+3 units measuring 223 sq.ft. they now occupy.

Though Electric Lines were provided, people were required to apply individually. The site visit revealed that majority of households were tapping electricity from poles. Water connections were provided in each DU but there were numerous complaints about leaky toilets, roofs and pipes that were causing damage.

Once units were allotted through a lottery system BMC demolished the houses without giving the HHs adequate prior notice. Registration had not been done and ownership documents not received.

The lateness of the information, combined with the forced transition from a large house to a small apartment, has united the majority of the community in refusing outright to pay their contribution.

BMC challenged that the community had to have known about their contribution because they prepared and signed bank papers. The BMC claim is that communities are denying knowledge of their contribution to avoid paying and that some households that are willing to pay their contribution fear to do so because of peer pressure.

### Finance Sharing

GOI	60,000	50%
STATE	24,000	20%
ULB	12,000	10%
HH*	24,000	20%
<b>TOTAL</b>	<b>1,20,000</b>	

\*Household contribution has increased to Rs. 48,000 i.e. (40%) of total cost.



### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Expenses (Cr.)	Amt. Released	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
2006	2.54 (DPR) 3.91 (actual)	212	1,20,000	2006	2006	2012	2.17	No Data	48	164	1,20,000	1,50,000*

\*Eligible Household contribution has increased to Rs. 48,000 i.e. (40%) of total cost

# In-situ Redevelopment and Relocation Housing, Shabri Nagar

**Implementing Agency:** BMC  
**DPR Consultant:** In-house  
**Contractor:** No Information

**Status:** Relocation and in-situ redevelopment of 512 units completed in 2011.

Shabri Nagar was a low density slum on government land with 50 households occupying 5.15 acres of land and hence chosen as a site for redevelopment and relocation of Baapu Nagar and an in-situ redevelopment of Shabri Nagar slums also. The project also included the development of Kotra Haat market, a weekly market near Baapu Nagar.

Baapu Nagar was a slum on govt land. There were 324 units occupying 4.3 acres of land. None of the families had *pattas*. The layout was dense and had poor water, electricity, SWM and drainage infrastructure.

Redevelopment of settlements and development of the market were chosen because of traffic issues – such as congestion – that were causing accidents at Kotra Haat and to clear large pile ups of waste and garbage, stagnant water and open drains – an ideal breeding ground for diseases.

Buildings were first built in the “empty spaces” in Shabri Nagar and the houses were then demolished – According to the residents the Municipality forcefully pulled down their houses.

While the DPR suggests there were mostly *kuccha* houses with illegal water and electricity connections, several members of the community contested that they had *pattas*.

The BMC gave them houses in the constructed (though not completed) buildings as “transit”. It was promised that the households will be allotted different houses after all the construction was complete. However people do not know whether their “transit” is now permanent or not. Residents of Baapu Nagar slum were also relocated to the buildings.

False allotments and cases of bribery were reported. Many people complained that even after submitting all documents their name was left out from the beneficiary lists. Large families were allotted a single unit that has made living difficult in such small spaces.

The condition of buildings and quality of construction is poor: room sizes were small and damp indoors. Buildings are incomplete – most have no glass in windows. There is no provision of solid waste management in this area.

People said that they were concerned about the increase in beneficiary contribution because quality of housing is very bad. No family has yet paid the beneficiary contribution.

## Finance Sharing of total development of Haat area and cost of rehabilitating Baapu Nagar dwellers

GOI	4,68,00,000	50%
STATE	1,87,20,000	20%
ULB	1,40,40,000	15%
HH*	<u>1,40,40,000</u>	15%
<b>TOTAL</b>	<b>9,36,00,000**</b>	

\*Household contribution was initially Rs. 34,000 per DU but that has been increased to Rs. 47,000 per DU.



## Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Expenses (Cr.)	Amt. Released	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
2006	9.36	512	80,000	6.06.2006 19.10.2006	2006 2007	2011	No Data			512	80,000	1,15,000

## Observations and Challenges

### Observations

- Efforts were made to inform the community, follow 'due process' but largely the realities on the ground, such as the size of families living under one roof, their investment into their homes, livelihood, capacity to contribute financially and so on were not recognised.
- In Kalpana Nagar, the condition of buildings and quality of construction is poor: walls and floor are chipping in common areas and inside homes.
- BMC officials said quality suffered as a result of eligible households not paying their financial contribution.
- Poor design – the buildings are inspired by the Mumbai 'chawl' typology: majority of women interviewed said the layout was inconvenient for daily activities such as washing. The open 'balcony' is dangerous for children with bits of material chipping off and falling from above.
- In Kalpana Nagar, there is no provision of solid waste management in this area so the whole settlement flooded with garbage.
- Water supply is only 2 hrs a day i.e. morning 9am-11am. It is a G+3 structure and the 3rd floor doesn't receive water at all.
- BMC said shops along the main road were encroachments and illegal and therefore feel no responsibility to compensate for loss of livelihoods during redevelopment.
- Households were not in dialogue with the BMC at any stage during the planning and implementation of either project studied: Kalpana Nagar or Shabri Nagar/Kotra Haat.
- The definition of Family and Household is not clear and there might be several families in one household which makes it difficult to be rehabilitated in a house of 25 sq.mts. as eligibility criteria only provides a house to one family not a household.

### Challenges

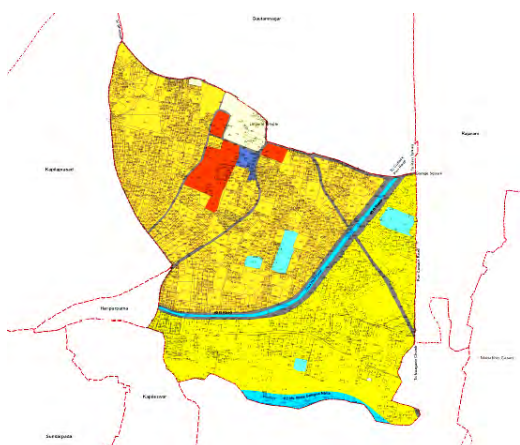
- The most significant challenge is that the municipal corporations cannot be assured that the land area earmarked for housing will be given by the concerned land owner/government department.  
In one instance, the relocation case of *Chotta Jhaad ka Jungle*, residents were prepared to move, the site had been chosen, the DPR was prepared and project sanctioned. But, when it came time to acquire the land, it came to light that the land had a Supreme Court order on it stating that forestland could not be used for non-forest purposes without Supreme Court permission.
- There is no clear information about land ownership at the municipal corporation level and clearances take time, delaying the projects.
- Buying land is not an option for the municipal corporation since that adds to the cost of the project and DPRs may not be sanctioned.
- Cost escalation is a challenge because of which they can not get contractors.



## Recommendations

- The project implementation unit specifically for BSUP should be set up prior to project start to oversee projects and help maintain continuity of knowledge (In Bhopal, the PIU for BSUP was set up only in 2009, three years after BSUP projects were first sanctioned)
- Survey data should be updated (In Bhopal, the survey list used to select slums was based on a 2003 survey). The survey should be used to de-notify slums and prioritize slums based on vulnerability for upgrading
- In selecting the eligible households, better criteria may be used to decide eligibility. In Bhopal, if a household had stayed in a house before the date of the approved DPR and could show some form of documentation proving this then they were considered eligible. This would leave out more vulnerable households.
- The involvement of supportive councilors and NGOs may be sought where possible
- DPR preparation should involve communities in preparation of designs
- Data of surveys should be used more comprehensively and its disaggregated information can help design better locally specific solutions.
- Land Ownership should be made clear before preparing DPR's. In a suggestion by the BMC Research and Training coordinator, one possible solution could be that land issues are left open to the State and guidelines produced instructing that people should not be relocated more than 3km away from their existing location. Alternatively, project sanction guarantees should be given: i.e. "if 'x-points' are achieved then, subject to engineering costs, GOI will guarantee sanctioning project". His point was that who would bear the cost, if the land was agreed upon before the DPR stage and then the project not sanctioned.
- Livelihood issues should be taken into consideration while planning relocation projects.
- The process can be built on the good policies of general land security of the state government policy

## 03. BHUBHANESWAR, ODISHA



<b>Total Population:</b>	6,48,032 (as per census 2001) 8,37,737 (as per census 2011, rough estimate)
<b>Slum Population:</b>	2,56,000 (as per CDP, 2006)
<b>Slum Settlements:</b>	332 (as per 2007 survey in DPR) 71 authorized, 261 unauthorized
<b>Slum Families:</b>	377 (as per profiles carried out for BSUP) 69,874 (HHs below poverty line as per BPL survey in 2004)
<b>Land Ownership:</b>	71 slums on own land 261 slums on government land
<b>Wards:</b>	60 wards

### Overview of Progress

#### BSUP Timeline

<b>2006</b>	Reforms undertaken DELL foundation and USAID help in slum mapping Profile and Tenability assessment of all 377 slums in Bhubaneswar prepared Comprehensive Citywide Slum Upgrading Strategy for Bhubaneswar (CSUB) with a finance and implementation plan prepared by USAID FIRE (D)
<b>2006-2007</b>	DPR prepared by Oriarch Consultants and submitted to GOI
<b>2007</b>	Three BSUP in-situ projects sanctioned by MoHUPA
<b>2009</b>	Tender re-called for three sites, New tender for relocation project of 192 dwellings released
<b>Late 2009-2010</b>	Contractors signed for all 4 sites—3 in-situ and 1 relocation
<b>2010 April</b>	Construction Begins on all 4 sites—3 in-situ and 1 relocation
<b>2011 November</b>	Project Implementation Unit (PIU) formed 3 months back although as per BSUP guidelines it should have been in place at the start of the scheme.

#### BSUP Projects Sanctioned \*Source: MoHUPA Progress Table, Jan 2012\*

Sites Visited



DPRs Sanctioned	Approved Date	Cost (Cr.)	Total DUs	Status	Implementing Agency	Contractor
Relocation and Rehabilitation	24.02.2009	7.45	192	All buildings ongoing	BDA	Pratapchandra Parida
Bharatpur	20.12.2007	33.08	1135	482 ongoing, 509 complete	BMC	SPARC Alliance, Individual eligible households
Dumduma	20.12.2007	21.15	753	261 ongoing, 280 complete	BMC	SPARC Alliance, Individual eligible households
Nayapalli	26.09.2007	1.92	73	21 ongoing, 34 complete	BMC	SPARC Alliance (NGO)
<b>TOTAL</b>		<b>63.60</b>	<b>2153</b>			

## Agencies Involved

<b>State Nodal Agency:</b>	Housing and Urban Development Dept., Odisha
<b>Implementing Agencies:</b>	BDA (Bhubaneswar Development Authority) (Relocation) BMC (Bhubaneswar Municipal Corporation) (In-situ)
<b>Other Consultants:</b>	USAID FIRE (D) project to map city slums and collect data
<b>CDP:</b>	IIT Kharagpur
<b>DPR:</b>	Oriarch Consultants (Relocation), In-house (In-situ)
<b>Contractors:</b>	Pratapchandra Parida (Relocation), SPARC (NGO) (In-situ)

### Physical Progress\*

<b>TOTAL NO OF SLUMS</b>	<b>377</b>
<b>NO OF SITES</b>	
IN SITU	3
RELOCATION	1
<b>DU'S SANCTIONED</b>	<b>2153</b>
<b>STATUS</b>	
COMPLETE	660
ONGOING	1275
CANCELLED	0

### Financial Progress\*

<b>SHARE (in Crores)</b>			
GOI	46.2	<b>72.6%</b>	
STATE	10.9	<b>17%</b>	
ULB	3.1	<b>4.8%</b>	
HH	3.4	<b>5.3%</b>	
<b>TOTAL</b>	<b>63.60</b>		
<b>FUND RELEASED</b>			
GOI	<b>21.8</b>	<b>34.3%</b>	
<b>FUNDS UTILIZED (of released)</b>			
	<b>17.0</b>	<b>78%</b>	

\*Source: MoHUPA Progress Table, Jan 2012

As per BSUP guidelines, the % share for cities that do not fall in the category of population between 1 and 4 million or above 4 million, is Central Government: 80% and State/ULB/Household: 20%. Household contribution is a minimum of 10-12%.

### Reforms

The 2006-7 Dept. of Housing and Urban Development in Odisha activity report outlines several ULB level reforms undertaken to avail of funds under JNNURM. E-governance systems were set up and shift to double entry accounting systems. A Slum policy was being formulated to provide affordable housing to poor including LIG and EWS categories of people. This would be taken up in PPP mode.

### Survey and Project Selection

The in-situ projects were selected by a survey done through communities and with the SPARC alliance.

### Projects

In total 4 projects have been taken up under BSUP: 1 Relocation under the Bhubaneswar Development Authority and 3 in-situ projects under BMC. All 4 sites were visited during this study. However, at the relocation site the study team was not allowed to visit the households identified to be shifted into the rehabilitation buildings.

### DPRs

All project DPRs were prepared in 2006-2007 by BMC engineers and with no community consultation but the tenders were called for only in 2009 and contractors appointed in 2010. As a result, in particular to the in-situ site, there have been several issues regarding cost escalation. Delayed payments and frequent transfer of the SIO (Slum Improvement Officer, BMC) from the corporation have further impeded the in-situ construction.



Plane Table Survey by BMC, 2007



Re-done Plane Table Survey by SPARC-UDRC -OSDF-MM, 2010

### Left:

Plane table survey of one of the in-situ sites—Nayapalli Sabar Sahi. The top survey was done by BMC in 2007 so by the time the work order given to a contractor in 2011, the plane table survey and list of beneficiaries was outdated. However, the cost for updating this data is not part of the tender or work order, nor done by BMC so responsibility and costs were borne by the contracted NGO (SPARC alliance).

# In-site Relocation at Gadakan, Damana and Chandrashekharpur

**Implementing Agency:** BDA  
**DPR Consultant:** Oriarch Consultants  
**Contractor:** Pratapchandra Parida

**Status:** Construction is 90% complete but there is tension between the slum households to be shifted here and the BDA as several evictions have taken place to remove additional households who have now occupied the site. No community consultation and poor coordination between departments is adding to the issue.

**Land Acquisition**  
 In 2000, 2 acre land acquired by BDA for PPP housing, existing slums on land had to be cleared and in 2009 were to be accommodated under BSUP scheme.

**Project Approval**  
 In 2009, BDA applied to Government of Orissa for Rs. 745.26 lakhs for this relocation project. After the project was sanctioned by GOI to BMC and then to BDA, survey took 1 month.

**Slums to be relocated**  
 Tarini basti (30 households) and Aurobindo basti (82 households) which lie on the existing site itself.

**Tenure**  
 BDA to decide the modalities of tenure after shifting

**DPR**  
 Dwelling Unit of 36.5 sq.mts per unit, G+3, 6 blocks, 32 units per block. **Lack of community inputs in DPR.** The house units developed under relocation are done by Oriarch Consultants with no community consultation and exact number of households have not yet been identified for relocation.

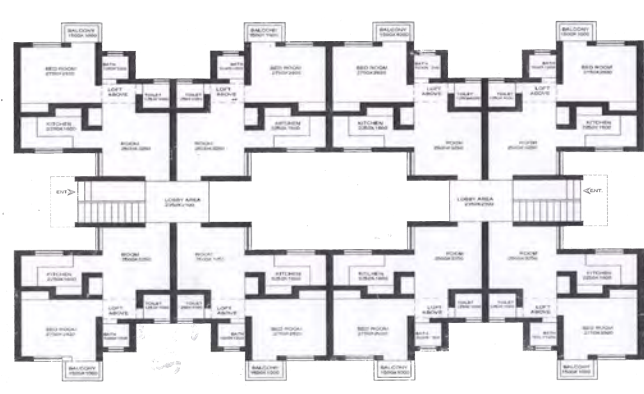
**Construction**  
 40% of the project is complete. Designs are as per DPR.

**Institutional Arrangements**  
 Bhubaneswar Development Authority is in charge of construction and other departments involved in the project include: Enforcement wing, Allotment wing, Legal wing, Land wing.

The Enforcement wing was named as the responsible party for community consultation but on site, Bhubaneswar Municipal Corporation was named as the responsible agency. Here too there is a lack of institutional memory and knowledge transfer.

**Evictions**  
 According to the BDA vice-chairman, evictions are necessary as additional households have now occupied the site since the project was announced and are not eligible under the BSUP scheme.

BDA officials did not allow the study team to speak with identified households to be relocated, citing that they had ongoing disruptions between community and BDA officers due to frequent evictions of ineligible households.



Above Left: Typical Block Plan, Relocation Housing and Above Right: Site of rehabilitation buildings

## Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Construction	Completion	Expenses (Cr.)	Amount Released (Cr.)	Progress
24 Feb 2009	7.45	192	3,25,000	2009-10	April 2010	2013 Expected	2.08	1.35	All 6 blocks in progress



## In-situ projects in Nayapalli, Bharatpur and Dumduma

**Implementing Agency:** Bhubaneswar Municipal Corporation  
**DPR Consultant:** In-house  
**Contractor:** SPARC Alliance

**Status:** Construction is ongoing in all three sites, delays have been caused primarily due to delay in payments from the municipal corporation and a regular transfer of officials in charge. The PIU (Project Implementation Unit) for BSUP in the Municipal Corporation was set up only in December 2011.

### Surveys

Surveys and identification of the three sites in Bhubaneswar were done by the SPARC alliance in collaboration with the municipal corporation.

### Procurement

Tenders were released several times prior to 2009 when a delegation of Orissa government officials visited the BSUP project in Yerwada, Pune to initiate a similar project in Bhubaneswar under BSUP.

In December, the BMC announced an EOI for in-situ slum upgrading at three sites in Bhubaneswar.

There were several re-bids as costs to build were based on 2007 estimates in the tender/DPR (which was prepared and approved in 2007) and a contractor only appointed in 2010.

**February 2010:** Work Order signed

### Tendering Issues

The bid document and consequent work order contained several issues such as no cost escalation clause, no sub-contracting to allow for community participation and no mechanism for grievance redressal.

### DPR

There is no provision of a clause for cost escalation and the preparation and approval process for a new DPR is fairly lengthy. As a result, when the DPR (prepared by the BMC) was handed over to the implementing agency in 2010, the plane table survey and beneficiary list were found to be outdated and had to be re-done at the cost of the agency.

As the work order was signed early, there was no time for community mobilization or participation initiatives.

### Implementation

In Bharatpur and Dumduma, some households are directly receiving subsidies to upgrade their houses. In the remaining houses and in all houses of Nayapalli, the SPARC alliance oversees the entire project.

In all three sites, Mahila Milan contractors work as site supervisors for SPARC, ensuring local participation.

### Challenges

Delays have been caused due to the SPARC alliance having to re-do the plane table survey and re-check the beneficiary lists at their own cost. Land disputes have impeded construction

Collecting housing savings from communities is proving a challenge. Construction costs are much higher than 2007 estimates and there are delays in release of money from the municipality.



### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Expenses (Cr.)	Amt. Released	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
Nayapalli, Sept 2007	1.9	73	1,30,359 3,94,500 6,06,282	2009	2010	E.O.T applied	0.39	0.68	35	22	1,30,359 3,94,500	1,66,000 2,97,000
Bharatpur, Dec 2007	33.1	1135	1,70,000 1,80,000	2009	2010	E.O.T applied	9.64	12.03	581	445	1,70,000 232,500	1,80,500 285,000
Dumduma, Dec 2007	21.2	753	1,70,000 1,80,000	2009	2010	E.O.T applied	4.50	7.77	467	193	1,70,000 1,80,500	2,32,500 2,85,000
<b>TOTAL</b>	<b>56.2</b>	<b>1961</b>					<b>14.53</b>	<b>20.48</b>	<b>1083</b>	<b>660</b>		

## Observations and Challenges

### In-situ

#### Design and DPR

In the case of Bhubaneswar in-situ projects, communities did the survey, identified the three slums and are participating in construction through the help of the contracted NGO and their community leaders. However, the design of the house units was prepared by municipal engineers from the BMC and once the DPR was sanctioned by the GOI, there was no clause in the tendering to allow for a change of unit designs.

As a result, many houses follow the DPR design which does not meet community needs. An example is that Kitchen platforms are provided where households primarily cook using firewood on *chullahs* outside the house.

#### Cost Escalation and Delayed Payments

The biggest challenge to construction is cost escalation as the GOI does not provide a cost escalation clause in the procurement. Many project DPRs were sanctioned in 2007 but construction began only in 2010. Thus, the DPR itself had become outdated and the contracted NGO, in this case, SPARC, had to re-do the plane table survey and verify the eligible household list at its own cost. This will not be feasible for several other NGOs or small scale organizations. Additionally, payments for construction by the BMC have been continually late.

*“Even if DPR is revised and approved with new costs, the additional amount is to be borne by the ULB which makes it unfeasible” SIO, BMC*

*“Constant transfer of the SIO is delaying payments, PIU to be appointed at start of project was appointed two months back” NGO-Contractor*

#### Poor Institutional Memory

The Slum Improvement Officer and the PIU team members joined the BMC two to four months ago and claimed not to know of any issues of delayed payments, indicating a lack of knowledge transfer and institutional memory. An issue raised by the local NGO working in the three sites is that the constant transfer of the SIO has delayed payments being sanctioned for the project.

#### Different agencies to maintain land records

It appears that there are different agencies, which have different personnel to maintain a record of property in the city, such as Bhubaneswar Development Authority, *Tehsildar* and the BMC. It is not clear as to which is the agency that should authenticate and certify maps, which show areas under the legal possession of different individuals.

#### Selection of Slums and HHs

It is not clear what is the mechanism of certification of beneficiaries is and the experience has been that a large number of people were listed as beneficiaries but actually many of them were ineligible for different kinds of reasons such as recently purchased plots, or a already having a *pucca* house or not wanting to get into the program etc.

#### Unchangeable terms and conditions of the Tender/WorkOrder

Issues: No cost escalation clause, no sub-contracting, damages by natural calamities are to be borne by the contractor, outdated plane table survey and eligible household list.



## Relocation

The relocation project itself appeared to be taken up not on priority basis as slums were on risk-prone land but because the BDA wanted to develop the land area currently occupied by these slums and so decided to relocate the dwellers into rehab housing on one end of the site.

### As cited by BDA-Bhubaneswar Development Authority, Implementing Agency:

- Selection of eligible households is a challenge (legal heir issues, ownership disputes)
- Escalation cost: no clause to allow for escalation, even if a revised DPR is submitted with new costs the increase in cost is to be borne by the ULB and not the centre
- Encroachment by more dwellers on land who are not eligible under the scheme
- Removal of garbage as area was used as a dumping yard by BMC
- Shifting of HT (High Tension) OH line in December 2011

### Study Team Observations:

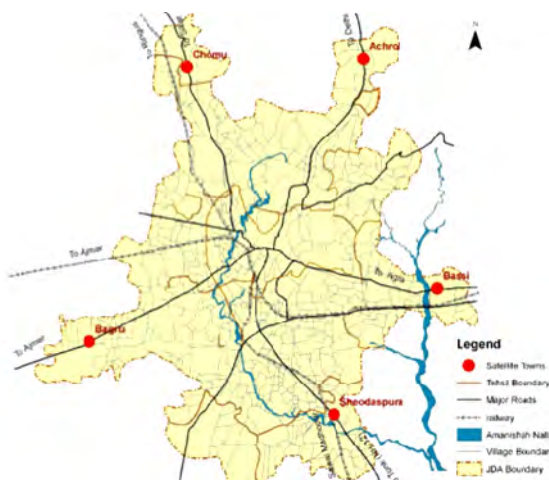
Lack of clear responsibilities regarding community mobilization and surveys in project – BMC denied any involvement, during the site visit we were not allowed to talk to communities, Enforcement Wing referred to evictions; BDA explained these as being carried out only for the encroachers on the site who are not eligible under the scheme.

Above this, the project was selected to clear highly valuable land in the city for other use bringing into question how relocation projects must be prioritized.

## Recommendations

- Clear criteria for selection of slums and households to receive subsidies
- A process for de-notification of slums to be put in place
- PIU – Project Implementation Unit to be in place from start to monitor project from the municipality and to enable a proper documentation process
- Improved transfer of knowledge amongst departments and officials
- Considering that implementation on-site is very different from proposed DPRs, the DPRs themselves may be simplified and allow for flexibility.
- Or, in case that a DPR is sanctioned and communities were not consulted during its preparation, clause must be provided in the tender to allow change to the designs on site as per households needs.
- Cost escalation clause for construction must be provided in tender document. Costs to update any data related to the DPR must also be included in the tender so the contracted agency does not bear these costs on its own.
- Reforms and exchanges with other cities can be initiated with the municipal corporation to build on capacities of officials, keep continuity of project teams and set up participatory mechanisms for projects

# 04. JAIPUR, RAJASTHAN



<b>Total Population:</b>	2.7 million people (Census, 2001)
<b>Slum Population:</b>	2,49,193 (2004, CDP)
<b>Slum Families:</b>	43,718 (2004, CDP)
<b>Slum Settlements:</b>	231
<b>Land Ownership:</b>	182 slums on JMC land 49 slums on JDA land
<b>Zones:</b>	6 zones
<b>Wards:</b>	70 wards

## Overview of Progress

### BSUP Timeline

<b>2006</b>	CDP prepared by LEA Associates South Asia Pvt Ltd. In association with the Centre for Environmental Planning and Technology and PDCor Ltd.
<b>2007</b>	DPRs prepared by PDCor Ltd.
<b>2007</b>	DPRs approved Sanjay Nagar Bhatta Basti land comes under dispute, Of 22 slum project 8 slums taken away for later redevelopment
<b>2009-2010</b>	Slum Surveys conducted by PDCor along with 3 NGO's (including SEWA)
<b>2010</b>	Revised DPR's for Sanjay Nagar Bhatta Basti and 22 slums (now 14 slums) project DPR's approved but Sanjay Nagar Bhatta Basti deferred to be developed under RAY
<b>2010</b>	Tender called for 17 slums and 14 slums projects
<b>Late 2010-2011</b>	Contractors signed for two projects
<b>2010</b>	Construction Begins, estimated date of completion 2013

### BSUP Projects Sanctioned \*Source: As in DPR\*

Sites Visited



DPRs Sanctioned	Approved Date	Cost (Cr.)	Total DUs	Implementing Agency	Contractor
Sanjay Nagar Bhatta Basti	2007	Could not be implemented because of Court Case since part of the land was a wild life sanctuary			
Sanjay Nagar Bhatta Basti (Revised DPR)	2010	169.43	12,000	No takers for tenders due to cost escalation. Project transferred to be implemented under RAY	
17 slums	2010	93.98	2,922	PDCor, JDA	Jain Infra Project Ltd, Calcutta
22 slums	2007	DPR revised and 8 slums taken away to be redeveloped under RAY			
14 slums (revised)	2010	87.50	2,892	PDCor, JDA	APR Projects Pvt Ltd, Hyderabad
<b>TOTAL</b>		<b>350.91</b>	<b>17,814</b>	<b>*This is figure in DPR but MoHUPA does not include Sanjay Nagar which was cancelled so figure for sanctioned DUs in MoHUPA table is 5814*</b>	

## Agencies Involved

<b>State Nodal Agency:</b>	RUFIDCO (Rajasthan Urban Infrastructure Finance and Development Corporation)
<b>Implementing Agencies:</b>	Jaipur Municipal Corporation (JMC) and Jaipur Development Authority (JDA)
<b>Consultants:</b>	PDCor (Joint venture between GOR and IL&Fs) for BSUP and Aarvee for RAY
<b>CDP:</b>	LEA Associates South Asia Pvt. Ltd. in association with the Centre for Environmental Planning and Technology (CEPT) and PDCOR Ltd.
<b>DPR:</b>	PDCor with inputs from JDA
<b>Contractors:</b>	Jain Infra Project Ltd, Calcutta , APR Projects Pvt Ltd, Hyderabad

### Physical Progress\*

<b>TOTAL NO OF SLUMS</b>	<b>231</b>
<b>NO OF SITES</b>	
IN SITU	0
RELOCATION	2
<b>DU'S SANCTIONED</b>	<b>5814</b>
<b>STATUS</b>	
COMPLETE	0
ONGOING	1320
CANCELLED	0

### Financial Progress\*

<b>SHARE (in Crores)</b>			
GOI	88.1	<b>48.53%</b>	
STATE	37.4	<b>20.60%</b>	
ULB	42.1	<b>23.19%</b>	
HH	14.0	<b>7.71%</b>	
<b>TOTAL</b>	<b>181.5</b>		
<b>FUND RELEASED</b>			
GOI	<b>22.0</b>	<b>12.12%</b>	
<b>FUNDS UTILIZED (of released)</b>			
	<b>2.67</b>	<b>12%</b>	

\*Source: MoHUPA Progress Table, Jan 2012

As per BSUP guidelines, the % share for cities with population between 1 to 4 million or above 4 million, is Central Government: 50% and State/ULB/Household: 50%. Household contribution is a minimum of 10-12%.

Since 1973, the local authorities have undertaken different initiatives in order to provide better living conditions for slum dwellers in Jaipur. Until 2005, JDA relocated 31 colonies in different areas of the city. In 1998 the city initiated a process to identify settlements suitable for regularization and out of 165 initiated regularization processes for 113 settlements.

The Department of Urban Development, Housing and Local Self Government of the Government of Rajasthan recently issued (June, 2010) the Slum Development Policy Under Public-Partnership. This policy is meant to be the framework that will guide the procedures taken by public-private initiatives for the clearance, improvement or redevelopment of slum areas in the cities of Rajasthan.

### Survey and Project Selection

The consultant PDCor LTD. conducted the surveys for the identification of slums in Jaipur in August and October 2009 for the relocation of 17 slums and in June 2010 for the relocation of 14 slums. Three NGOs (not from Rajasthan) were appointed by them to help with the survey process and community mobilization.

The Collector's office in Jaipur conducts surveys of slum residents every ten years and these are the records that are referred to by JMC and JDA while relocating slums.

### Institutional Arrangements

**RUFIDCO** is responsible for the definition of State level policies in relation to housing, infrastructure and urban development.

**JMC (ULB)** is responsible for planning, operating and maintaining specific infrastructure concerns of the city for the areas under its jurisdiction. JMC also has a special cell in charge of the supervision of projects, which is particularly concerned with the monitoring of the construction work.

**JDA** determines the policies with regards to security of tenure, rates, land, internal restructuring of slums for roads, on-site rehabilitation for unsafe areas, supporting site and service projects. A special project cell (PIU) created within JDA manages and monitors implementation.

**PDCor** is the consultant agency made up of GOR officials and IL&Fs. It is in charge of the preparation of DPRs and management of the projects. The PDCOR team gives advice to the implementing agencies in relation to the funding process, is in charge of conducting all the socio-economic surveys, the livelihood profile of slum residents, and of obtaining the consent of the PAPs.

Rajasthan has a practice of giving *pattas* for 90 years and officials say they plan to do the same for BSUP with a preference for the woman.



## In-situ Redevelopment at Sanjay Nagar Bhatta Basti

**Implementing Agency:** JMC  
**DPR Consultant:** PDCor  
**Contractors in 2007:** Awas Vikas Agency (GOI), Shilpa Construction

**Status:**

No contractor could be found to work at the lower rates and the project was finally deferred to be developed under RAY.

The DPR was originally prepared in March 2007. The initial project cost was Rs. 169.42 cr.

Work was begun to level the ground and build the drainage and wall around the perimeter of the plot by the Contractors, Shilpa Construction, before work was stopped due to a court case related to the fact that the site partly occupied Wildlife Sanctuary Land. The clearance for the land came through in 2010 but a written clearance from the high court of Rajasthan is awaited.

The revised DPR was prepared in 2010-11, re-submitted and approved in 2011. Nevertheless, due to escalation in costs, GoI decided to withdraw its funds and gave 50% of the original resources. The rest of the funds had to be provided by the State and ULB.

The project DPR will now be seeking funds under RAY.

Community participation is nil. They have not been consulted about anything relating to the project, though the community seems to be vibrant and aware of the scheme. In fact, they expressed a preference for individual plots as opposed to the high-rise buildings. When we visited them they were constructing inspection chambers and laying in sewer lines to connect to the main sewer line outside the settlement. It was being done through community contribution of Rs. 1200/family.

People knew about the finance scheme and the contributions they are supposed to make, some of them have opened accounts in the bank but haven't deposited any amount yet. Some people said they lack the resources necessary to start saving, but they know they have to pay for the loan too though they did not know how much it would amount to or what the monthly installments would be.

A member interviewed said "We have opened our bank accounts but we are unable to do any savings, since people earn very little and whatever is earned is spend on our daily expenses. We also know about the loan which will be given to us for our housing and we have to re pay the loan by paying monthly installments".



### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Construction	Completion	Expenses (Cr.)	Amount Released (Cr.)	Progress
2007	169.43	12,000			No Data				

## Resettlement projects, Jaipur

### For All Relocation Projects

The collectors department survey (done every 10 years) was used by the implementing agency to identify eligible households.

GOR is planning to introduce Sewage Treatment Plants (STP's) to service each resettlement area.

Eligible households participated in focus group discussions organized by JDA and conducted by PDCOR as for the DPR. Although this created awareness, there is no other role for households.

#### Original DPR: 2007

**Implementing Agency:** JMC

**DPR Consultant:** JMC and PDCOR

#### Revised DPR: 2010

**Implementing Agency:** JDA

**Consultants:** PDCOR

**Contractor:** APR Projects Pvt Ltd, Hyderabad

### 14 slums

#### Status:

From 14 slums, 8 slums were cancelled as most households had bigger plots than those being offered under the BSUP scheme.

Currently, 1728 units are under construction, footing work.

The 2007 DPR was created for the resettlement of 22 slums. However it was decided to leave out 8 slums for development in a PPP scheme under RAY and the revised DPR for the remaining 14 slums was submitted in 2010 when the project was transferred to JDA as JMC could not identify land for project. Tenders were invited only once in December 2010.

None of the state based contractors fulfilled the eligibility criteria (financial capacity to complete project despite payment delays from the govt.) and the contract was finally awarded to APR projects Pvt. Ltd from Hyderabad.

According to JDA officials the community will be consulted at time of allotment of units. If anybody wants special consideration due to being handicapped they have to approach the authorities with proper certificates.

#### Finance Sharing (in Crores)

GOI	42.48	<b>48.5%</b>
STATE/ULB	38.31	<b>43.7%</b>
HH	6.72	<b>7.68%</b>
<b>TOTAL</b>	<b>87.50</b>	

### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Expenses (Cr.)	Amt. Re-leased	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
2010	87.50	2892	2,30,000	Dec 2010	2011	2013	No Data	No Data	2892	0	<b>2,30,000</b>	No Data

#### Original DPR: 2007

**Implementing Agency:** JMC

**DPR Consultant:** PDCOR

**Contractors in 2007:** Awas Vikas Agency (GOI), Shilpa Construction

#### Revised DPR: 2010

**Implementing Agency:** JDA

**DPR Consultant:** PDCOR

**Contractor:** Jain Infra Project Ltd, Calcutta

### 17 slums (Jaisinghpurabas is situated 18kms from Jaipur city)

#### Status:

G+3 building, 2922 units planned, 800 units under construction. Basic services and infrastructure has been taken up simultaneously in all the four developed sites.

The DPR was approved in 2010 and work order obtained in 2011 by no local agencies as they did not qualify due to unachievable financial requirements (40 Cr.).

Communities are aware of the project and visit the ongoing work on their own though they will be brought in officially only after a sample unit is ready.

There is no provision for community members who would be losing their shops or business premises.

#### Finance Sharing (in Crores)

GOI	45.62	<b>48.5%</b>
STATE/ULB	41.09	<b>43.72%</b>
HH	7.27	<b>7.7%</b>
<b>TOTAL</b>	<b>93.98</b>	

### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Expenses (Cr.)	Amt. Re-leased	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
2010	93.98	2922	2,34,000	2010	2011	2013	No Data	No Data	800	0	<b>2,34,737</b>	No Data

## Observations and Challenges

Despite all experience and good intentions the fact remains that Jaipur has not been able to implement BSUP projects successfully. The major in-situ development planned proved beset with land related issues that are still being sorted out. All BSUP projects are now being considered under RAY.

### Institutional Experience

- JDA and JMC have prior experience in rehabilitation of slums. The ULB's between them have developed around 60 rehabilitation and re-settlement projects. JDA has a very strong rehabilitation department and JMC has its own separate city level slum cell.
- Inter-institutional coordination (especially regarding land issues) between JMC and JDA works because they fall under the same Ministry of Housing at State level. Each agency deals with the slums settled on their own lands and any land issues is addressed by the State.
- Poor institutional memory and continuity due to transfer of officials
- The rehabilitation and survey team of JDA was aware of all the schemes and interacted with people, but the consultants (PDCor Ltd.) hired to do the surveys and reports in the BSUP were not very effective.
- Even though it took time, all the permits and clearances necessary to start the construction process were done in advance by the implementing agency. This had a positive effect in the development of the projects because the works didn't face delays due to administrative issues.
- A positive initiative by the municipality has been to give *pattas* to the rehabilitated communities for a lease of 99 years.
- JMC has identified 34 slums that were in the past resettled and are fully developed and they have chosen them for de-notification. However, they do not seem to have any process for de-notifying slums.

### Definition of eligible households according to the DPR :

*"The 'beneficiaries' are the residents who have a survey number allotted to them. The survey numbers were given in 1998, after which many people have left the area and many new have migrated in the area, based on the policy of 'Slum free city', the people other than those having survey numbers are being identified and a policy decision will be taken for accommodating the new entrants."*

The criteria to select eligible households needs to be reviewed.

### Role of Community

- According to the DPR, the surveys included a consultation process with the communities where people were invited to participate in focus groups and public discussions about the projects.
- Awareness was created using focus groups and discussions with slums residents about the scheme and its benefits. One meeting was held in each slum pocket for local councilors and residents. Around 30 to 70 participants attended each of the meetings, which lasted for 1 hour.
- **However as per the description of the process in the DPRs it is possible to infer that it was more informative than participatory, and was used to obtain the consent of the households for the relocation.** Some slum residents were appointed as part of the survey team in order to have a better approach to entering into the community.
- The consultation process was meant to end with the creation of Community Based Organizations (CBOs) which are identified as *"critical for post-project sustenance"*, but there is no evidence, neither in the DPRs nor from information gathered during the visit, that this was achieved.





## DPR

- Since the surveys were conducted by outsiders, they did not have any knowledge of local conditions. According to JDA officials, discrepancies were found in the surveys and they had to be verified again. However, a question that was raised was that **since the DPRs are based on surveys first conducted (since subsequent verification takes time) those surveys are the ones that are final, how does one make corrections to the original survey that has been stamped and sealed?**
- The 2 DPRs made available to the team were well structured but identical and only change in the specific names of the slums under consideration for the project and the name of the relocation sites.
- Even when DPRs recognize the importance of community participation, there are no mechanisms on the ground to guarantee community involvement in all stages of the projects (Planning, Implementation, Monitoring, Maintenance and Evaluation of outcomes)
- There is an expressed will of the local authorities to involve the community in the implementation of the projects, but this has to be translated into effective mechanisms to allow the direct participation of the people in all stages of the implementation process and maintenance of the works.
- No consideration for people in rental houses who have been in the settlement for a long time or for shops or small businesses in the settlements.

## Construction

- At the time of the visit, the construction was underway only in one site for the project of 17 slums (Jaisinghpurabas) and in one site for the project of 14 slums (Jaisinghpura Khor, Block A).
- According to information obtained on 17/March/2012 from the Social Consultant of ARVEE Ltd., Mr. Manish Jain, all the construction process of BSUP projects in Jaipur has been stopped in order to conduct a socio-economic survey of all the slums in the State of Rajasthan before implementing the Slum-Free City Plan under RAY.
- While all institutional arrangements and necessary commitment of the local authorities seems to be in place, there is a need to speed up the construction process and the implementation of the projects in order to guarantee effective delivery of the housing schemes proposed.
- Delays in implementation and slow pace of construction work lead to cost escalations that have to be borne by the urban local bodies.

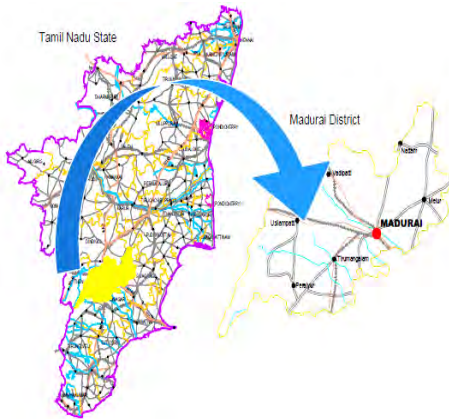
## Allotment

- Construction is underway at the two sites chosen for rehabilitation under BSUP but officials have not decided how they will shift households. It has been the custom that married children (upon submitting proof) are given a separate unit close to the parents and they also honoured the wishes of friends or neighbours who wished to stay next to each other. It is yet to be decided what will be done for the people who were not in the survey list nor has there been any thought given to those who had shops or small business or other livelihoods in the settlements.
- **There is an expressed will of the local authorities to involve the community in the allotment of tenements, but this stage has yet to be reached.**

## Recommendations

- Whole slum approach on criteria of household selection should be taken.
- The agency conducting the survey should be familiar with the area. If any errors are found in the surveys or if the surveys need to be renewed due to delays in the implementations, there should be a system in place to deal with the discrepancy of surveys.
- Wherever the ULBs have their own rehabilitation cells and survey teams, they should be strengthened and used rather than calling in external consultants.
- The Additional Commissioner of Rehabilitation suggested that instead of creating a Slum Rehabilitation Authority the ULB could create a department within the existing bodies so that there is no extra expense on the exchequer and no new land ownership issues are created.
- There should be an active involvement of the community on decisions affecting their livelihoods and they should be consulted while designing the settlements and houses.
- Some criteria should be devised for people with handicaps or the elderly and ailing and so also for shops and small businesses.
- Effective mechanisms will have to be developed to allow the direct participation of the people in all stages of the projects from DPR's to surveys to implementation of the process and maintenance of the works.
- Some instrument for de-notification of slums that are already developed should be created.

# 05. MADURAI, TAMIL NADU



<b>Total Population:</b>	10,16,885 (as per census 1001)
<b>Slum Population:</b>	4,01,760 (as per CDP)
<b>Slum Settlements:</b>	208 (as per MMC)
	306 (as per 2011 survey)
	64 authorized
	144 unauthorized
<b>Slum Families:</b>	80,352 (HHs below poverty line as per BPL survey in 2004)
<b>Land Ownership:</b>	Minimum slums on own land
	Maximum slums on government land
<b>Wards:</b>	72 wards (as per old records)
	100 wards (as per new records)

## Overview of Progress

### BSUP Timeline

<b>2006-2007</b>	132 slums in 4 sites to be completed in 3 phases—3 sites in-situ, 1 site relocation DPR for in-situ Phase I (21 slums) and Phase II (58 slums)
<b>2007</b>	Construction begins for Harijan Colony and Mill Land Areas DPR for Relocation Project. <b>Relocation plots already allocated to HHs 40-45 years ago by TNSCB so had to look for alternative land.</b>
<b>2007-2008</b>	DPR for in-situ Phase III (52 slums)
<b>2008</b>	Construction begins for Mela Vadakka Street
<b>2008-2009</b>	Revised DPR for Relocation Site - Periyar Nagar
<b>2008</b>	Tender for construction of 720 tenements for relocation of Periyar Nagar
<b>2008 November</b>	Construction begins for 720 tenements in Periyar Nagar
<b>2009</b>	Tender for construction of 846 tenements for relocation of Periyar Nagar. Construction begins.

### BSUP Projects Sanctioned \*Source: MoHUPA Progress Table, January 2012\*

Sites Visited  

DPRs Sanctioned	Approval Date	Cost (Cr.)	No. of DU's Approved**	No of Work Orders	Status	Implementing Agency	Contractor
Phase I 21 slums	2007	26.86	2515	2515	2104 complete, 411 ongoing, 2047 occupied	Madurai Municipal Corporation	Eligible Households
Phase II 58 slums	2007	103.58	9563	6778	3207 complete, 4040 ongoing,	Madurai Municipal Corporation	Eligible Households
Phase III 52 slums	2008	176.75	10688	7719	2142 complete, 5577 ongoing	Madurai Municipal Corporation	Eligible Households
Periyar Nagar Relocation	2008	39.77	1566	1566	1566 complete	Tamil Nadu Slum Clearance Board	N. Ramalingam & Company
<b>TOTAL</b>		<b>346.95</b>	<b>24,332</b>	<b>18,578</b>			

\*\*Total: 11 Projects and 132 sites

**One slum under each phase and one relocation site were visited**

## Agencies Involved

<b>State Nodal Agency:</b>	Commissionerate of Municipal Administration, Chennai.
<b>Implementing Agencies:</b>	Tamil Nadu Slum Clearance Board, Madurai Municipal Corporation
<b>Other Consultants:</b>	N. Ramalingam & Company
<b>CDP:</b>	Madurai Municipal Corporation
<b>DPR:</b>	Madurai Municipal Corporation
<b>Contractors:</b>	N. Ramalingam & Company
<b>NGO:</b>	Trivallu Educational Society Trust, Dhan foundation

## Physical Progress\*

<b>TOTAL NO OF SLUMS</b>	<b>208</b>
<b>NO OF SITES</b>	
IN SITU	131
RELOCATION	1
<b>DU'S SANCTIONED</b>	<b>24,332</b>
<b>STATUS</b>	
COMPLETE	9019
ONGOING	9559
CANCELLED	0
OCCUPIED	7396

## Financial Progress\*

<b>SHARE (in Crores)</b>	
GOI	165.64 <b>47.7%</b>
STATE	No Data
ULB	No Data
HH	No Data
<b>TOTAL</b>	<b>346.95</b>
<b>FUND RELEASED</b>	
GOI	<b>143.6 41%</b>
<b>FUNDS UTILIZED</b>	No Data

\*Source: MoHUPA Progress Table, Jan 2012

As per BSUP guidelines, the % share for cities with population between 1 to 4 million or above 4 million, is Central Government: 50% and State/ULB/Household: 50%. Household contribution is a minimum of 10-12%.

## Institutional Arrangements

The Tamil Nadu Slum Clearance Board (TNSCB) is the responsible authority for notifying and providing clearances to the Slums. The ULB is the responsible agency for the provision of services to the urban poor residing in slums and within the municipal limits.

BSUP-In-situ projects are in progress under the MMC. At the relocation sites, the housing units are being constructed without infrastructure. In addition, the PAPs have not been relocated.

## Criteria for Slum Selection

Relocation - Slum on objectionable land on priority basis

In-situ - Approach by the Municipal Councilor

BSUP projects for in-situ development have been those slums where families have been living for 40-45 years and *pattas* have been given. They have already designed and constructed *pucca* houses. Those houses that has less than 250 sq.ft. area have been provided with G+3 structures.

## Financial

### Relocation

Central Government	50%
State Government	38%-40%
Beneficiary share	10%
Schedule Caste	12%

General Category - The families that have to be shifted had to open bank accounts and deposit an amount of Rs. 1,200. Their share of loan repayment comes to Rs. 250 per month for almost 15 to 20 years.

### In-situ

Central Government	50%
State Government	38% to 40%
Beneficiary share	10% to 12%

General Category - The families have to invest in the initial cost of construction themselves. Once the work reaches plinth level, the Government will take the financial responsibility of completing the work. MMC officials will inspect the work done before releasing the finances and will be available to solve material and technical issues where required.

DIRECTORY OF TNSCB OFFICERS			
No.	Name of the Officers	Designation	Phone
1	Mr. S. S. Srinivasan	Chief Executive Officer	2644101
2	Mr. S. Srinivasan	Chief Executive Officer	2644101
3	Mr. S. Srinivasan	Chief Executive Officer	2644101
4	Mr. S. Srinivasan	Chief Executive Officer	2644101
5	Mr. S. Srinivasan	Chief Executive Officer	2644101
6	Mr. S. Srinivasan	Chief Executive Officer	2644101
7	Mr. S. Srinivasan	Chief Executive Officer	2644101
8	Mr. S. Srinivasan	Chief Executive Officer	2644101
9	Mr. S. Srinivasan	Chief Executive Officer	2644101
10	Mr. S. Srinivasan	Chief Executive Officer	2644101
11	Mr. S. Srinivasan	Chief Executive Officer	2644101
12	Mr. S. Srinivasan	Chief Executive Officer	2644101
13	Mr. S. Srinivasan	Chief Executive Officer	2644101
14	Mr. S. Srinivasan	Chief Executive Officer	2644101
15	Mr. S. Srinivasan	Chief Executive Officer	2644101
16	Mr. S. Srinivasan	Chief Executive Officer	2644101
17	Mr. S. Srinivasan	Chief Executive Officer	2644101
18	Mr. S. Srinivasan	Chief Executive Officer	2644101
19	Mr. S. Srinivasan	Chief Executive Officer	2644101
20	Mr. S. Srinivasan	Chief Executive Officer	2644101



\* There seems to be a discrepancy in the no of DU's in Phase II and Phase III in the records provided for us by HUPA and MMC

# Relocation housing at Periyar Nagar, Madurai

**Implementing Agency:** TNSCB

**Consultant:** Mahindra Consulting Engineering Ltd

**Contractor:** N. Ramalingam & Co.

**Status:**

1566 DUs completed in G+3 buildings. MMC has as yet finalized only 301 HHs to be shifted from other sites. 8 out of 14 HHs within the relocation site have been shifted and 6 HHs have moved in without an official allocation.

## Survey and Slum Selection

The survey was done by the MMC along with officers from the Collectors office. **There was no community participation.**

6 slums were selected, to date, 301 HHs from only 3 of these slums have been identified by the MMC to be shifted to Periyar Nagar.

## Land Acquisition

The DPR was originally made for *Awanipuram Rajakur Periyar* because TNSCB owned the land. However, 40-45 years ago, TNSCB measured and allocated the plots to 2,000 families. As a result, when TNSCB attempted to start a survey to relocate households; they resisted because they feared losing their land title and shifting to G+2 structures, which they were not ready to accept. As a result, TNSCB had to acquire an alternative site called *Periyar Nagar*. The 30.15 acre land, located 18km from the city, was purchased by the TNSCB in 2008.

TNSCB was responsible for construction of housing which has been completed. 64 buildings, G+3 have been constructed for 1566 HHs. 8 out of 14 Households already staying at Periyar Nagar site have been shifted into the buildings and 6 HHs are living in the buildings without an official allocation.

MMC has finalized a list of only 301 families to be relocated against 1566 Dwelling Units.

The TNSCB officers claimed that the community development organizer engaged in community mobilising by having regular interaction with the community, particularly to create awareness to enable the families to save for their contribution. However, according to the people interviewed on site, the families were not aware of their part of the contribution. Only the 8 families that shifted have bank accounts. MMC will decide which families are to be shifted to the relocation site. Families will be given an allotment letter, but no *pattas*.

The units are constructed as per DPR and quality of materials is good.

Much of the infrastructure work was incomplete. The house holds were required to acquire electricity connections themselves. For drinking water, people were using a road side common tap. The provision for Bore well and Sewer line is there but isn't connected – as a result, people have to go for open defecation.

## Finance Sharing SHARE (in Crores)

GOI	14.17	50%
STATE	31.27	40%
ULB	0	0%
HH	2.31	10%
<b>TOTAL</b>	<b>47.75</b>	
<b>FUND RELEASED</b>	<b>10.00</b>	
<b>EXPENSES</b>	<b>42.00</b>	

## Nalammal Slum

The slum is on Railway land and the houses are small approximately 100 to 200 sq.ft. The houses were fire prone with plastic roofs. There were no basic amenities in the slum and demolitions were taking place frequently. The communities are unaware of any scheme or contribution but are enthusiastic about moving to the new relocation site.



## Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Construction	Completion	Expenses (Cr.)	Amount Released (Cr.)	Progress
2007	Because of Land issues the DPR had to be revised								
2009	39.77	1566	2,50,000	2008-09	2009	2012	42.22	10.63	1566 DUs Complete

# In-situ upgrading at Harijan Colony, Madurai, BSUP Phase I

**Implementing Agency:** MMC  
**DPR Consultant:** MMC (In House)  
**Contractor:** Eligible Households

**Status:**  
 2104 out of 2515 units are complete as part of Phase I, the rest are ongoing. In Harijan colony, 50 HHs have been allocated units out of 297 total HHs.

## Slum and HH Selection

The slums for development were selected on the basis of MMC lists and recommendation from the local Corporator.

The Households were selected on the basis of financial capacity as initial investment had to be borne by households. **Thus, the economically weaker households could not participate in the BSUP scheme at all.**

## Finances

The initial amount of Rs. 30,000 to 40,000 for the plinth was borne by the families. In order to procure this amount, the families either had to take a loan from the money lender at an interest rate of 10% interest or sell or mortgage gold. The banks didn't entertain them since they belonged to the scheduled caste.

The MMC took on financial responsibility only after inspection of the plinth level construction of the re-developed house.

The Corporation did not provide any help towards opening bank accounts or releasing the subsidy in time

## House Design and Construction

The units have been designed by the householders themselves as per their space and requirements.

The site visit revealed well constructed houses in which most families have maintained their footprint of 300-400 sq.ft going up to G+2 structures.

## Infrastructure

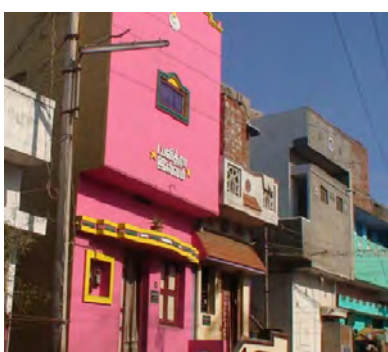
No infrastructure has been developed by the MMC. G+2 structures have been built but they are not connected to sewer lines or water mains.

Common taps are provided in the settlement for drinking water and water is supplied only on alternate days for a few hours.

A few hand-pumps had been provided earlier in the area by MMC and a few households have their own hand pumps that are used to provide water for washing and cleaning.

## Land Tenure

Though DPR mentions that the *pat-tas* should be given in the name of the woman, the previous land allotment papers were in the name of the man and there is no procedure to enable the names to be added or changed.



**Left:**  
 No transit camp was provided to the families while their houses were under construction. The families provided for themselves Eg, a family constructed a small *kaccha* house in the space opposite their house while construction was on and it is now used as a goat shed.

## Physical and Financial Details

Sanction Date	Total DUs Phase I	DUs Completed Phase I	DUs Ongoing Phase I	Cost/DU	HH Contribution	Total HHs Harijan Colony	DUs allocated Harijan Colony	Start Work	Amt. Released	Complete	Cost per DU As per DPR	Cost per DU Actual
2006 Sept	2515	2104	411	92,000	11,000	297	50	2007	No Data	89%	92,000	4,00,000

# In-situ upgrading at Mill Land Area, Madurai, BSUP Phase II

**Implementing Agency:** MMC  
**DPR Consultant:** MMC (In House)  
**Contractor:** Eligible Households

**Status:** 3265 out of total 9563 units under Phase II are completed. In Mill Land, 300 out of 582 HHs have been allocated units.

## Slum and HH Selection

Selected on the basis of MMC lists and recommendation from the local Corporator. **The majority of the families came to know about the scheme through him.**

The Households were selected on the basis of financial capacity as initial investment had to be borne by households. **Thus, the economically weaker households could not participate in the BSUP scheme at all.**

## Procurement

The tendering process for the survey was only done for Phase II. Dhan foundation was chosen to do the surveys.

First, the list of families was sanctioned; second, the willingness and consent of the families to construct their houses was taken; lastly, work orders were issued.

## Finances

The initial amount of Rs.30,000 to 40,000 for the plinth was borne by the families. In order to procure this amount, the families either had to take a loan from the money lender at an interest rate of 10% interest or sell or mortgage gold. The banks didn't entertain them since they belonged to the scheduled caste.

The interviewed families expressed dissatisfaction with the disbursement of government subsidies.

## Design and Construction

HHS did their own designing of the houses. Families have G+1/G+2 structures with open terrace at a height to avoid the heat in summer season. The houses are in a low lying area and in order to avoid rain water from entering the houses, the families have constructed plinths at a certain height.

## Infrastructure

Basic amenities like a sewage line and metered water pipe lines were already present in the area.

HHs have connected toilets inside the houses to the sewer lines and MMC has facilitated them in raising the heights of their water meters to the new plinth levels.

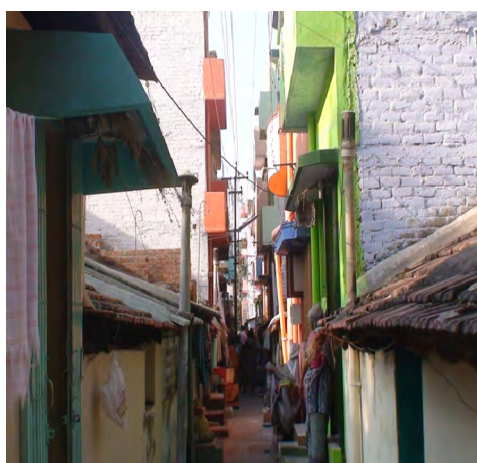
## Transit

No transit housing facility was provided for the household while their house was under reconstruction.

## Land Tenure

Land ownership is not clear. However, the families living on the land are those of retired mill workers and have been settled there for the past +40 years and have been given land title by the MMC.

Security of tenure/*pattas* has been provided to the in-situ beneficiaries in the name of women as per guidelines.



## Physical and Financial Details

Sanction Date	Total DUs Phase II	DUs Completed Phase II	DUs On-going Phase II	Cost/DU	HH Contribution	Total HHs	DUs allocated Mill Land	Start Work Mill Land	Completion Mill Land	Amt. Released	Cost per DU As per DPR	Cost per DU Actual
2007	9563	3265	1628	92,000	11,000	582	300	2008	50	No Data	92,000	4,00,000

# In-situ upgrading at Mella Vadakka Street, Madurai, BSUP Phase III

**Implementing Agency:** MMC  
**DPR Consultant:** MMC (In House)  
**Contractor:** Eligible Households

**Status:**  
 2147 out of 7719 units are completed under Phase III. In Mella Vadakka Street, 300 HHs have been allocated houses.

## Surveys

Surveys were conducted by Trivallu Educational Society Trust but discrepancies were found and subsequent surveys were conducted by Dhan Foundation.

## Slum and HH Selection

Selected on the basis of MMC lists and recommendation from the local Corporators.

The households were selected on the basis of financial capacity as initial investment had to be borne by households. **Thus, the economically weaker households could not participate in the BSUP scheme at all.**

The Mela Vadakka Community came to know of the scheme two years prior to implementation through the MMC.

The area lies close to the road and that is why a lot of households have small shops run from the front of their houses.

## Design and Construction

Households built their own houses, mostly G+1 structures of good quality.

## Infrastructure

Mella Vadakka Street had some amenities provided by the MMC like common taps on the road and a community toilet. The houses that have been redeveloped now have individual connections for water, though meters have not been provided and toilets are inside houses with connection to the sewage pipelines. The roads in the settlement are not paved.

## Finances

The families that were interviewed expressed dissatisfaction with the disbursement of government subsidies. The MMC has decided to pay the subsidy to HHs in four instalments the first at the completion of the plinth and the last when the house is completed.

The MMC only approves the first instalment after the plinth is done and till then the cost of tearing down the earlier structure and construction up to the plinth has to be borne by the Households. Families have to arrange for loans and temporary housing on their own. Sometimes there is a delay in instalments, specially in the 1st instalment after the plinth and that makes matters difficult.

## Land Tenure

This land belongs to the Government but since people have been there for a long time they have *pattas*.



## Physical and Financial Details

Sanction Date	Total DUs Phase III	DUs Completed Phase III	DUs Ongoing Phase III	Cost/DU	HH Contribution	Total HHs	DUs allocated Mela Vadkka	Start Work Mela Vadakka	Completion Mela Vadakka	Amt. Released	Cost per DU As per DPR	Cost per DU Actual
2007-08	7719	2147	4517	1,23,000	12,300	No Data	300	2008	70	No Data	1,23,000	5,00,000

## Observations and Challenges

- The survey to identify Below Poverty Line families by the Community Organizers (COs) has not been successful. The Below Poverty Line eligibility criterion declared by the Government is not reasonably established through the survey and could be a reason for a higher BPL population.
- The city has not undertaken any infrastructure work in BSUP slums including paving of roads.
- The main source of water supply in slums is met through hand pumps and public stand posts (PSPs). Even where households have been provided with taps they are not metered.
- Slums in Madurai city are not provided with *pucca* storm water drains. Although, there are *kutchra* drains, they are damaged or clogged due to solid waste dumping.
- No transit housing has been provided while the houses were being reconstructed in-situ.
- There was little to no inter-Institutional co-ordination between TNSCB and MMC .
- There is no provision of a grievance cell.



### Relocation

- The authorities failed to create community awareness. While communities are aware of the rehabilitation, they have no in-depth information, for example, they do not know how much money they will need to contribute towards housing.
- Finances: 10% contribution of each household was collected as Rs.250 per month. An initial lumpsum contribution of Rs.1250 (for four months) had to be given by all households. The disbursement was structured such that most households did not need to seek loans to pay this amount.
- Plan followed and units are constructed as approved in DPR. The kitchen platform had no sink, units on the ground floor facing the road had access to sunlight but the inner area units were in dark – a small quadrangle in middle of the building barely gave sunlight.
- Units have been given to the families but connections for electricity have to be obtained by the individual households. There is a provision for bore wells and sewer lines have been brought up to the site but the buildings have not been connected and the families have to use a common tap on the ground and go for open defecation.
- Livelihood issues and animal husbandry have not been taken into consideration.
- TNSCB only constructed building at the relocation sites, but did not work with the MMC on identification of eligible households. Though the construction is complete, only 3 out of 6 slums, consisting of 301 families, are approved for shifting as yet.
- Though the buildings at Periyar Nagar are complete, only 8 affected families from the existing site have been relocated to Ground floor units. Another 6 families have moved in but are awaiting official clearance/papers from TNSCB.
- Since the construction on the sites has been completed, the MMC and the TNSCB need to speed up the implementation and shifting of families to the relocation site in order to guarantee effective delivery of the housing scheme proposed.
- The infrastructure work is yet to be completed. As per interview with the Assistant Executive Engineer, maintenance for the relocation site will be done only after shifting the families and formation of individual societies.
- The issue of livelihood has not been considered by the Madurai Municipal Corporation or by the Tamil Nadu Slum Clearance Board.
- There is no provision for a grievance cell.





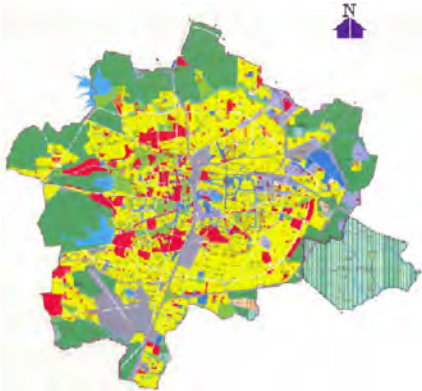
### In-Situ

- There is no community involvement in the project. Though there is high BPL population, selection of eligible households has been based on the capacity of the householder to invest Rs. 30-40,000 initially. This limits the number of households to benefit under the scheme.
- Communities object to the disbursement of funds by the corporation— The MMC only approves the first instalment after the plinth is done and till then the cost of tearing down the earlier structure and construction up to the plinth has to be borne by the households. Families have to arrange for loans and temporary housing on their own with no support from the corporation.
- Each stage of construction is inspected and money paid to the eligible household at four stages. However, there is delay in payments and the work gets delayed.
- There has been no infrastructure improvement by the MMC in the slums selected for BSUP and this continues to have an overall negative impact on the lives of the slum dwellers.
- All households are left to design and construct their own houses—as per the study team’s observations, many houses did not have windows as houses sit next to each other, often excess material and design were used to solve issues such as flooding—all of which could have been avoided with some design and technical guidance.

## Recommendations

- Necessary permissions required to start the construction process was done in advance by the TNSCB. As a result there were no delays with such administrative issues towards the development of the project. This is a practice that should be followed for all projects.
- The in-situ project preference also should be given to families falling under Economically Weaker Section (EWS), rather than on a capacity to self-finance.
- Madurai Municipal Corporation and Tamil Nadu Slum Clearance Board should learn of the benefits of Community Participation in the development projects.
- The implementing agencies need to educate the community regarding the scheme and their individual contribution as a beginning towards participation. MMC should involve communities in the surveys and listing of the slums. More Community Development Officers should be appointed in the field to interact with the families.
- Technical and Design guidance should be provided to households to better their choices and reduce costs when constructing their own houses
- There is need of capacity building at every level to implement BSUP-Relocation project.
- Counter checking from CDO’s and Higher Authorities is necessary so as to facilitate co-ordination between various agencies/authorities involved in the projects.

# 06. NAGPUR, MAHARASHTRA



<b>Total Population:</b>	20,51,320 (Census 2001)
<b>Slum Population:</b>	7,26,664 (Census 2001)
<b>Slum Settlements:</b>	427 (CHF International Slum Atlas 2008) 292 notified 135 non-notified
<b>Slum Families:</b>	1,13,345 (CDP for JnNURM, 2006)
<b>Land Ownership:</b>	Nagpur Improvement Trust (NIT), Nagpur Municipal Corporation (NMC), State/Central Govt, Railway lands
<b>Zones:</b>	10

## Overview of Progress

### BSUP Timeline

<b>2006</b>	CDP Prepared DPR prepared by CHF International, 8 DPRs submitted for In-situ projects and 5 for Relocation
<b>2008</b>	Slum Atlas prepared by CHF International DPR for Jattarodi Slum
<b>2009</b>	Work order for Jattarodi slum
<b>2011</b>	Revised DPR as per Yerwada Pattern

### BSUP Projects Sanctioned \*Listed are In-situ projects as relocation work did not begin\*

Sites Visited

Projects Sanctioned	Approval Date	Work order Date	Cost (Cr.)	Total DUs	Status	Contractor
Jattarodi	29.12.2008	01.08.2009	12.42	279	11 complete, 22 ongoing	Sadiq Ali & Co.
Gopal Nagar and Bhadunt An- and Kausalyan Nagar	20.02.2009	15.02.2010	30.20	642	51 ongoing-plinth level	Shayona Corporation
Jaibajrang Nagar, Kumbhar Toli (II) and Gora Kumbhar pura	02.10.2009	10.03.2010	45.33	858	Not Begun	Retox & Nagarjuna construction
Panch Zopda and Nehru Nagar	02.10.2009	10.03.2010	25.98	567	Transit, Ongoing	Retox & Nagarjuna construction
Intergrated Rehabilitation for Urban Poor in slums, W.Nagpur	28.11.2006	05.11.2008	48.78	2518	DUs revised: 1200, 45 ongoing	Shayona Corporation
Savitribai Phule Nagar	21.01.2009	10.03.2010	52.53	1080	0	NCC-Retox
Indira Nagar, Indiramata Nagar, Borkar Nagar, Wanjra	15.01.2009	15.02.2010	62.06	1282	34 ongoing	Shayona Corporation
Intergrated Rehabilitation for Urban Poor in slums, N.Nagpur	28.11.2006	Tender not called	49.98	2603	0	No Data
PPP project	21.02.2009	No Data	402.29	6357	No Data	No Data
Integrated Civic Infrastructure Development Project (Phase 1)	05.09.2007	No Data	120.81	0	<b>Infrastructure project although put under BSUP in MoHUPA table—we do not use it in our calculations</b>	
<b>TOTAL</b>			<b>729.59</b>	<b>16,186</b>		

## Agencies Involved

<b>State Nodal Agency:</b>	Maharashtra Housing and Area Development Authority (MHADA)
<b>Implementing Agencies:</b>	Slum Rehabilitation Authority (SRA), Nagpur Municipal Corporation (NMC)
<b>Other Consultants:</b>	CHF International, Vistaar, MM Consultants
<b>CDP:</b>	CHF International
<b>DPR:</b>	CHF International; Harshvardhan Nagpure (Revised DPR)
<b>Contractors:</b>	Smruti Construction, Sadiqe Construction, Shayona Construction, REATOX & Nagarjuna Construction

### Physical Progress\*

<b>TOTAL NO OF SLUMS</b>	<b>427</b>
<b>NO OF SITES</b>	
IN SITU	8
RELOCATION	5
<b>DU'S SANCTIONED</b>	<b>16,186</b>
<b>STATUS</b>	
COMPLETE	11
ONGOING	152
CANCELLED	Unknown

### Financial Progress\*

<b>SHARE (in Crores)</b>	
GOI	333.29 <b>45.7%</b>
STATE	No Data
ULB	No Data
HH	No Data
<b>TOTAL</b>	<b>729.59</b>
<b>FUND RELEASED</b>	
GOI	<b>83.33 11.4%</b>
<b>FUNDS UTILIZED</b>	No Data

\*Source:

MoHUPA Progress Table, 2011

\*\*SRA report, Nagpur Municipal Corporation, pages 4-5, 2010 : All projects included as in MoHUPA table except for PPP project and Infrastructure project.

<b>SHARE (in Crores)**</b>	
GOI	150.4 <b>46%</b>
STATE	107.2 <b>32.7%</b>
ULB	45.3 <b>13.8%</b>
HH	24.3 <b>7.4%</b>
<b>TOTAL</b>	<b>327.3</b>

As per BSUP guidelines, the % share for cities with population between 1 to 4 million or above 4 million, is Central Government: 50% and State/ULB/Household: 50%. Household contribution is a minimum of 10-12%.

### Institutional Arrangements

The Nagpur Municipal Corporation and SRA (Slum Rehabilitation Authority) are the two implementing agencies. CHF International prepared the Slum Atlas of Nagpur. Several consultants and contractors were appointed for the projects.

### Surveys

Surveys were conducted by the three consultants CHF International, Vistaar, MM Consultants. Meetings were held with local corporators but the NMC officials were responsible for obtaining consent from the beneficiaries.

### Criteria for Slum Selection

- Predominance of *kaccha* and semi *kaccha* houses
- Lack of basic services and amenities
- Deficient infrastructure
- Slums located on NIT lands, NMC lands, Defense land, Railway land or in areas selected for large infrastructure developments.

### Projects

BSUP In-situ has 23 slums divided into 8 projects for which individual DPRs have been prepared.

BSUP-Relocation has been considered for areas which are in hazardous areas or government reserved lands. In this scheme 33 slums have been divided between 5 Projects.

### DPR

The DPR's were completed by the government without involving the beneficiaries in the procedure and without ascertaining the needs of the people.

### Current Status

#### Relocation

All 5 Rehabilitation projects have not started as yet in Nagpur because SRA and NIT (owner of land for rehabilitation site) have not been able to come to an understanding on the issue of land. Households to be shifted were shown the land for rehabilitation and approved it but the land is yet to be acquired from NIT by SRA-NMC.

#### In-situ

All 8 in-situ projects are redevelopment projects in which the existing houses will be demolished and new high-rise buildings constructed on the same site for the dwellers.

This did not appeal to several households as the existing structures are in good condition and access to amenities. 70% of the slums in Nagpur have *Pucca* structures, 14% have Semi *Pucca* structures and the remaining 16% are *Kaccha* structures. At least 70% of the households in slums have individual toilet. Water supply through NMC is 66% i.e. 2 to 3 hours of water per day. Garbage collection is frequent, which is provided by NMC to over 64% of the slums.

At present, the structures have an area of 400 to 500 sq.ft (G+1 or G+2) and people are not ready to shift into smaller flat housing scheme under BSUP. Except for two or three sites there is no work going on at any of the in-situ sites.

In 2010-11 Principal Secretary of Housing, GOM, Mr. Gautam Chatterjee visited Nagpur and a decision taken to revise all existing in-situ DPRs that recognize the quality of housing and amenities that already exist in these 'slums'.

## Visit to Slums Identified for development under BSUP

- All slums have basic amenities provided under different schemes by the local corporators or MLAs.
- All houses have individual taps and the NMC was billing them as per fixed rates every month.
- All houses have electric meters provided by SPANCO, private suppliers and bills are being paid regularly.
- Solid Waste management seems to be very good in Nagpur. No garbage was visible in the slums visited during this study.



### Jai Bajrang Nagar

<b>Total No of HH:</b>	<b>858</b>
<b>Pucca:</b>	<b>91</b>
<b>Semi-pucca:</b>	<b>579</b>
<b>Kaccha:</b>	<b>223</b>

The settlement is 40 years old and has been reclaimed from huge 'pits' on the land. It has all the amenities and wide tarred main roads and the lanes are paved.

40% of the structures had 250 to 350 sq.ft area, with all the documents including the photo pass and tax property receipts available.

The responses of the people we talked to were the same:

*"We don't want to go for flat system, but only want a "patta" for the existing land and they themselves will construct their houses as per their need and as much as their financial condition will permit them to build."*

According to another resident, "now government wants our houses to be demolished and shift us into small size flats, but what will happen to my son's family who is also staying in the same plot, but in a different structure, he won't get a room in this new scheme and also the size of the room is very small therefore we are happy staying in this place. For bigger rooms we have to pay Rs 40,000 for a second room which means for two rooms a total amount payable will be Rs 80,000/-"

### Nandanvan Slum

People have resided here for more than 30 to 35 years. 35 years, the place was a marshy land and gradually people settled here and reclaimed the land. Since there was ample land at that time they could build on bigger plots. Gradually the houses were improved and added to though some still have a bigger plot of land but with a *kuccha* construction on it.

Most of the houses are 400 sq.ft to 500 sq.ft, with G+2 floors, with a courtyard in the front of the house

Each house has basic amenities such as toilet in the house, individual water taps, and individual electricity meters.



The roads were wide and clean. Structures were mainly in one single line as if they had been planned and marked and then constructed.

People felt that BSUP was an excuse for the government to push them into buildings covering a smaller land area and use the rest for some other purpose.

## Visit to Slums Identified for development under BSUP

### Nehru Nagar

<b>Total No. of Households:</b>	<b>348</b>
<b>Pucca:</b>	<b>90</b>
<b>Semi-Pucca:</b>	<b>174</b>

The slum is 30-35 years old and well settled with all amenities provided over the years.

All the houses were provided with individual toilets under a government scheme about 8 years ago at a cost of Rs. 400 per house.

*“why should I leave my house and go in stay in flat, when I am in this area for so many years and I have all the documents such as photo pass, water meter bill, receipt of the property tax, electricity meter bill with all the basic amenities in the house If at all government wants to implement any schemes they should give us the amount sanctioned by the government to us and we ourselves will construct our own houses in the same place.”*

*-Resident*



Roads are paved and wide. Residents told us that they had all aligned their houses to be able to get wider and more uniform roads that could accommodate a small truck to carry in building materials. Community members have identity cards and water receipts issued by NMC. All HHs have individual electricity meters installed by SPANCO

### Khumbhar Tola, Kumbhaar Purra and Jaibajrang Nagar

(visited with officials and survey team from SRA)

Some families were affected by the road extension and *nalla* construction and it was necessary that they were shifted. The people said that they are willing to shift but only if they get the amount of space that they have on the ground.

In other sections of the slum where in-situ development was planned, families knew about the scheme but were not at all ready to accept it since they had bigger footprints than the ones offered, good *pucca* structures and all the basic amenities in the house.

A transit camp had been constructed, but people were not happy with it and some transit houses were damaged by the people themselves.

The three slums were adjacent to each other and one end was Jaibajrang Nagar that we had visited previously and which had all the amenities. Even the SRA officers were privately sympathetic to the communities and accepted that it would be difficult to go from the houses they have to 225 sq.ft. being allotted under BSUP scheme.



### Indira Mata Nagar

<b>Total No of Structures:</b>	<b>749</b>
<b>Pucca:</b>	<b>48</b>
<b>Semi-pucca:</b>	<b>649</b>
<b>Kaccha:</b>	<b>52</b>

It is a slum that has been in the news for attacking the SRA officers who went to serve notices to the community to vacate their houses prior to demolition for ‘redevelopment’. According to officials themselves it is a well developed slum that could be regularized except that there are no instruments for de-notification of slums in Maharashtra.

**All communities were aware of the BSUP scheme but all these slums look at the experience with Indira Nagar and Gopal Nagar and do not want to be a part of the BSUP scheme. Besides, many households have *pucca* houses of a much larger size than being offered under the scheme and *pattas* which makes the scheme less attractive.**

## In-situ Redevelopment in Gopal Nagar, Nagpur

**Implementing Agency:** SRA & NMC  
**DPR Consultant:** CHF International  
**Contractor:** Vistaar

*"We do not want to shift anywhere nor do we want any flats, since we have all the facilities in the existing house and if we have big families, we can construct more rooms on our roof top and land will also belong to us, but in this building system we are not entitled to our land and we have to stay on top of other families' house."*

- Resident of Gopal Nagar



### Status:

Households interviewed expressed their concern since they were told that the work will be completed within a year, but after six months, the work is still at plinth level. No labourers were at the site during the study visit.

The community was divided about development and when demolitions began for the first phase, a girl tried to immolate herself. Demolitions then continued under police protection.

According to Vistaar, initially people reacted favorably to the scheme but the project did not begin due to procedural delays, and people changed their minds.

The implementing agency (SRA) does not have clearance of land title for Gopal Nagar as the land belongs to NIT which refuses to give clearance till TDR issues are cleared with the government.

In 2011 it was decided that the DPR's will be revised so that most of the slums could be de-notified and regularized. However, the SRA chief is worried about the status of Gopal Nagar since half of the houses have been demolished and people shifted to the Transit Housing for the past six months.

The eligible households have been put into the transit housing meant for Panch Jhopda which is some distance away from Gopal Nagar.

### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/ DU	Tender Date	Start Work	Expenses (Cr.)	Amt. Released (Cr.)	On going
15.02.2010	30.20	185	No Data	No Data	No Data	No Data	3.43	Plinth level

## In-situ Redevelopment at Panch Jhopda, Nagpur

**Implementing Agency:** SRA & NMC  
**DPR Consultant:** CHF International  
**Contractor:** Retox & Nagarjuna

Communities were aware of the scheme and informed at each step of the project. Housing is being provided on the same site and households can see the progress. As each block would be developed the people there would be moved to the transit housing.

### Status:

Construction work has started on Phase I and 56 families have shifted to the Transit camp in 2011. The first block (G+3) is under construction and 2 floors had been constructed.

The houses at Panch Jhopda were mostly smaller and not *pucca* and the community was willing to move to the buildings being developed for them. Since the construction was nearby they could see the progress for themselves.

Electric meters belonging to the HH's were moved in their names to the transit housing and when they move to the DUs the meters will again be shifted. Charge for shifting meters was Rs. 100 per family.

### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Construction begins	Completion	Expenses (Cr.)	Amount Released (Cr.)	Progress
10.03.2010	25.97	219	No Data	No Data	10.03.2010	10.10.2011	No Data	2.95	Transit House Block 1, 2 floors

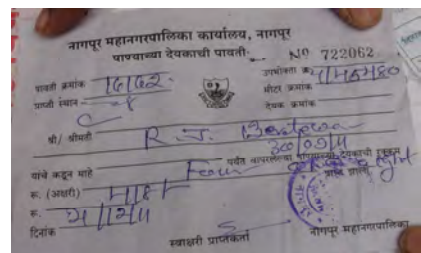
## Observations and Challenges

- DPRs seem to have been prepared, without knowledge of ground reality.
- People had large footprints - not just 400 to 500 sq.mts. but some even have 700 to 800 sq.mts., with concrete slabs, most only want land "Patta". There are written complaints from the local leaders, as well as MP's, MLA's and Corporators who are opposing the scheme.
- All the basic amenities were provided to them through corporator funds, such as well constructed individual toilets outside the each house.
- Big Roads and *nallas* near the house were very clean and no garbage was seen on the road or in the slums.
- In most of the areas visited, people were aware about the scheme, but were not involved in any decision about the design of the house, who is going to construct the house and what are the terms and conditions of repayment and also their contribution towards housing.
- Even State and Central government are not happy with the progress of the scheme, since they were suppose to construct 40,000 structures altogether but have completed only 200 structures. According to the officers they need more Community Mobilization.
- Principal Secretary of Housing, Government of Maharashtra, Mr. Gautam Chatterjee visited Nagpur to asses the non-performance in the BSUP development when all the other parameters of JNNURM were good. He asked the officials to visit the development being done at Yerwada, Pune with community involvement and it was decided that the DPRs will be revised to include the actual ground realities and to only develop those houses that are very small and completely *kaccha* structures .
- According to the chief director, SRA, Indira Mata Nagar is an example of a slum that is much bigger, more developed and cleaner than the Yerwada Slum at Pune which they had visited.
- There was no procedure to regularize notified slums.
- Even though the DPRs proposed high levels of participation (delegated power) in almost every component of the planning and decision-making process and the promotion and strengthening of CBOs, the proposition was ignored during the actual implementation of the project.
- The communities were aware of the schemes but did not understand the connection between conducting the surveys and implementing the projects.
- Because most of the officers in charge of the BSUP projects have been incorporated into the NMC in the last year, they are unclear on the criteria for slum and beneficiary selection.
- Since there is a lack of coordination between the implementing agency, SRA and the land owning agency, NIT, the R&R projects are indefinitely delayed.



## Recommendations

- There should be a provision from Central Government to help ULBs to obtain permissions to use land from different agencies.
- In the preparation of the DPR, the various land owning agencies should be identified and the time needed to acquire the necessary permissions should be factored in.
- Community participation should be encouraged.
- According to the chief director of SRA, there are several slums that could be regularized with limited intervention, but unfortunately, there is no mechanism for de-notification of slum. Under RAY, such a idea could be implemented.
- Since the slums of Nagpur are mostly *pucca*, incremental development should be considered before R&R schemes or before making G+2 structures.



## 07. PATNA, BIHAR



<b>Total Population:</b>	16,98,000 (Census 2001) 20,46,052 (Provisional Census Report 2011)
<b>Slum Population:</b>	63.5 % of total population
<b>Slum Families:</b>	1,73,000 (average size of family 6.4)
<b>Slum Settlements:</b>	52 (notified by Patna Municipal Corporation)
<b>Land Ownership:</b>	28 (PMC/Govt/PWD), 13 (Unknown), 5 (Individual/ 'Beneficiary'), 4 (Mixed), 1 (Patna University), 1 (Thakurbari Land)
<b>Wards:</b>	72 (PMC only)

### Overview of Progress

#### BSUP Timeline

<b>2006</b>	CDP Approved
<b>2007-2008</b>	8 DPRs Approved
<b>2008-2009</b>	9 additional DPRs approved Tenders invited for 22 sites, <b>Tenders were invited several times</b> <b>Out of a total 17 DPRs sanctioned work began only on 4 sites</b> Construction begins at Phulwari Sharif
<b>2010 (January)</b>	Construction begins at Khagaul and Mangal Talab (BSUP Phase III)
<b>Late 2011</b>	Phulwari Sharif and Khagaul projects completed

#### BSUP Projects Sanctioned \*Source MoHUPA Progress Table, Jan 2012\*

Project Name	Approved Date	Cost (lakh)	Total DUs	Status (Feb 2012)	Contractor
Phulwari Sharif, Phase I	26.09.07	11.57	496	192 completed	Govind Constr.
Khagaul, Phase I	26.09.07	2.29	96	64 completed	Govind Constr.
Danapur, Phase I	26.09.07	4.15	176	Not Begun	None
Patna City, Phase I	06.10.07	62.21	2500	Not Begun	None
Patna City, Phase II	06.10.07	49.76	2000	Not Begun	None
Patna City, Phase III	29.10.07	64.03	2736	224 ongoing	Surya Nest Builders
Danapur, Phase II	29.10.07	11.45	480	Not Begun	None
Patna City, Phase IV	28.11.07	107.69	4112	Not Begun	None
Adalatganj	20.02.09	19.61	416	Not Begun	None
Sector 1 W.Patna, Phase V	20.02.09	42.52	992	Not Begun	None
Sector 1 S.Patna, Phase VI	20.02.09	42.52	992	Not Begun	None
Sector 2 W.Patna, Phase V	20.02.09	38.44	832	Not Begun	None
Sector 2, S.Patna, Phase VI	20.02.09	38.44	832	Not Begun	None
Sector 3, W.Patna, Phase V	20.02.09	40.19	928	Not Begun	None
Sector 3, S.Patna, Phase VI	20.02.09	40.19	928	Not Begun	None
Sector 4, W.Patna, Phase V	20.02.09	40.19	928	Not Begun	None
Sector 4, S.Patna, Phase VI	20.02.09	40.19	928	Not Begun	None



## Agencies Involved

<b>State Nodal Agency:</b>	Bihar Urban Development Authority (BUDA)
<b>Implementing Agencies:</b>	Housing and Urban Development Corporation Ltd. (HUDCO)
<b>ULB (Agglomeration)</b>	Patna Municipal Corporation (PMC), Phulwari sharif Municipal Council (PSMC), Khagaul Municipal Council (KMC)
<b>Other Consultants:</b>	WAPCOS (Project Management Consultant and PMU appointed by HUDCO) Tetratex (PMU for BUDA)
<b>CDP:</b>	Infrastructure Professionals Enterprise (IPE), Intercontinental consultants and Technocrats PVT Ltd., Appraisal by Centre for Environmental Planning and Technology
<b>DPR:</b>	Housing and Urban Development Corporation (HUDCO)
<b>NGO's</b>	Nidhaan (Survey work in Phulwari Sharif)
<b>Contractors:</b>	Surya NestBuilders, Govind Construction

### Physical Progress\*

<b>TOTAL NO. OF SLUMS</b>	<b>52</b>
<b>NO. OF SITES</b>	
IN SITU	20
RELOCATION	13
<b>DU'S SANCTIONED</b>	<b>20,372</b>
<b>STATUS</b>	
COMPLETE	352
ONGOING	48
CANCELLED	32
NOT STARTED	19,940

### Financial Progress\*

<b>SHARE (in Crores)</b>		
GOI	274.1	<b>41.8%</b>
STATE	252.25	<b>38.5%</b>
ULB	88.68	<b>13.5%</b>
HH	40.45	<b>6.2%</b>
<b>TOTAL</b>	<b>655.41</b>	
<b>FUND RELEASED</b>		
GOI	<b>68.51</b>	<b>10%</b>
<b>FUNDS UTILIZED (of released)</b>		
	<b>12.97</b>	<b>18%</b>

\*Source: MoHUPA Progress Table, Jan 2012

As per BSUP guidelines, the % share for cities with population between 1 to 4 million or above 4 million, is Central Government: 50% and State/ULB/Household: 50%. Household contribution is a minimum of 10-12%.

### Sites Visited

#### Sites in Progress

Site	Land owner	DUs completed or ongoing	Type	Contractor
Sharifaganj	Revenue Land	48	In-situ	Surya Nest
Mangal Talab	Revenue Land	96	In-situ	Surya Nest
Ishopur	Revenue Land	192	In-situ + R&R	Govinda
Saidpur	Revenue Land	64	R&R	Govinda
<b>TOTAL</b>		<b>544</b>		

### Institutional Arrangements

Bihar Urban Development Authority (BUDA) is responsible for identification of land ownership, acquisition of land and removal of any "hindrance / encroachments". It looks after approvals, NOCs, release of funds and Monitoring of project implementation.

Housing and Urban Development Corporation (HUDCO) has done the DPR preparation including Financial planning, DU Design and site layouts. During implementation it was in charge of tendering, work orders, quality control and communicated with ULB and State to develop a coordinated plan of action. Urban Local Bodies (ULBs) look after the selection of slums and land availability. They are responsible for creating community awareness, conducting surveys, identification of eligible households, allotment and provide municipal services to the settlements/sites.

### CDP

The City Development Plan (CDP) 2006-2012 covers the urbanized sections of three districts within the Patna Regional Development Area (PRDA). The JNNURM-BSUP scheme covers the Patna District which consists of Patna City and its outgrowths known as the Patna Urban Agglomeration Area.

### Surveys

Surveys have been conducted by various agencies in various projects. NGO Niddaan (recommended by HUDCO) conducted a survey at Ishopur Nahar that was found faulty. Subsequently SPUR, Support Program for Urban Reforms conducted a survey (for other reasons) and was accepted for this project too. In another project at Sarifaganj, the Ward Councillor prepared the list of beneficiaries.

### Slum and HH Selection

Slums that are: along roads / canals; predominantly *kuccha* without basic services and infrastructure; encroached on Govt. land (ULB owned land; Irrigation Dept land in Phulwari Sharif – where slums are facing eviction notice by court). No criteria for slum *prioritization*

Eligible households have been short listed in Urban Agglomeration DPRs – No justification given.

Patna Municipal Corporation DPR's state that all households in selected slums will be resettled.

Of the 17 DPRs, the team was only able to study 8 DPRs (those sanctioned in 2007 – 2008) as provided by HUDCO. As a result, most of the analysis is based on these 8 DPRs – unless stated otherwise.

## In-situ project at Isopur Nahar, Phulwari Sharif Phase I, Patna

**Implementing Agency:** HUDCO  
**DPR Consultant:** HUDCO  
**Contractor:** Govinda Construction

### Status:

Construction completed in Sept 2011 but shifting not begun as of March 2012 yet as beneficiary list is being compiled/revised by the PSMC. According to the ULB, the delay is resulting because they are revising the list from the original 224HH to 192HH.

The Community at Isopur Nahar had settled on land owned by the Irrigation Department and were facing eviction. The existing houses were in dilapidated condition.

HUDCO recommended Nidhaan, an NGO, to conduct the initial survey and prepare a list of beneficiaries prior to DPR preparation. However, according to PSMC, the NGO surveyed and prepared a list of 1200 HH in one day casting doubts on the integrity of the process. Several ineligible names that already owned property were included on the priority list.

Support Program for Urban Reforms (SPUR) in Bihar initiated a new survey in Isopur as part of a separate agenda. PSMC has indicated that they will now work with SPUR's data to select 192 households for the above project.

**Role of community** was limited to providing information about themselves during the survey. There is otherwise no participation. Officials informed us that when it comes time to shift, they anticipate people's 'readiness' to move and allot the units. This cooperation is considered 'participation'.

**The team was unable to interview any eligible HH to ascertain whether they were aware of the scheme, and what preparations, if any, were undertaken. Without interviewing the community, real or perceived challenges can not be gauged.**

### Site Observations

#### Construction

Construction quality is low with flimsy looking fixtures and fittings. Closed sewage drains are already being eroded; no glass in windows. PSMC suggested that the quality of the construction was poor. During the construction stage, ULB stated that they attempted to give suggestions but HUDCO overlooked these.

#### Infrastructure

Provided but not connected to the main sewage line. PSMC and HUDCO did not agree on whose responsibility it was to extend the infrastructure and connect it to the main line. As a result things have been left unfinished. Overhead water tanks, 3 bore wells, 2 hand pumps, electricity mains have been provided. However, HH will have to get electric connections independently.

HUDCO has been maintaining the site since October 2011. According to HUDCO, ideally they would have been involved for a short period (2-3 months) post shifting to support the transition. However, since the identification of beneficiaries and shifting has been delayed, HUDCO may not support maintenance for more than a month longer (i.e. until April 2012).

Allotment of tenements will be the responsibility of PSMC. HUDCO may support them in the preparation of allotment letters.

### Finance Sharing (in Crores)

#### DPR

GOI	6.31	55%
STATE	4.46	39%
HH	0.79	7%
<b>TOTAL</b>	<b>11.57</b>	

#### Isopur Nahar Site

GOI	2.57	55%
STATE	1.82	39%
HH	0.32	7%
<b>TOTAL</b>	<b>4.71</b>	

**Above:** The breakup is based on information provided by MoHUPA. However State officials told us that a Special Notice has been issued stating that no beneficiary contribution will be taken.



### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work On	Completion On	Cancelled	Complete	Cost per DU As per DPR	Cost per DU Actual
26.09.2007	11.57	224	1,60,000	2008-09	2009 Jan	2011 Sept	32	192	1,60,000	2,42,000

DPR prepared for relocation of 7 slums to 5 separate sites of which Isopur Nahar is one

## In-situ project at Sharifaganj Phase III, Patna

**Implementing Agency:** HUDCO  
**DPR Consultant:** HUDCO  
**Project MC:** WAPCOS Ltd  
**Contractor:** Surya Nest Builders Ltd

### Status:

Construction completed. 93 dwelling units allotted thus far.

No survey was conducted. The beneficiary list of 240 households was prepared by the Ward Councillor. No provision for transit housing made even though this was an in-situ project.

Land was made available by the community in phases. Sections of the community would move to another part of the slum or go to rental housing to vacate land. The Ward councillor was instrumental in helping the community do this. (HUDCO argues that this was inefficient from a construction and cost perspective).

HUDCO sent a letter to the State in Dec 2010 – stating that unless clear sites were made available, they would continue in their role as Implementation Agency. They have not yet received a response.

### Finance Sharing (in Crores)

#### DPR

GOI	32.01	50%
STATE	27.74	43%
HH	4.26	7%
<b>TOTAL</b>	<b>64.03</b>	

#### Sharifaganj Site

GOI	2.45	50%
State/ULB	2.11	43%
Beneficiary	0.34	7%
<b>TOTAL</b>	<b>4.91</b>	

**Above:** The breakup is based on information provided by MoHUPA. However State officials told us that a Special Notice has been issued stating that no beneficiary contribution will be taken.

The DPR explains that the slums being considered in Phase 3 are *kuccha* and lack adequate access to basic services such as water, toilets, drainage and sewage facilities and are “desperately in need of suitable accommodation”.

### Site Observations

Individual toilets in the occupied DUs do not have fixtures and are not connected to the sewer lines. The toilets inside the DUs are choked and unusable.

The construction is of a poor quality and incomplete yet the households have been allowed to shift. As a result the quality is quickly eroding, both inside the DU and in the public areas like stairs and corridors.

No provision for community halls or community areas in the settlement. No municipal or garbage collection services. Pathways completely clogged with waste water and garbage.

**Households allocated the DUs themselves** after differences between the Ward Councillor and HUDCO over allocation. The process took nearly 3 months but HUDCO feels this was the best and least challenging way to do it.

*“There needs to be greater involvement of NGOs to communicate the needs of community. Contractors implement the drawings – they are not motivated to consider the social aspects – e.g. issues of solid waste management, how the shifting of people should be managed etc – and there is nobody to consider/monitor these aspects.”*

- Mr. John Vadassery, Asst General Manager, HUDCO



#### Left:

Buildings adjacent to the main road. 96 households have been shifted in January 2012, but the buildings and infrastructure is not yet completed. The toilets are blocked and lanes are full of waste water and garbage.

### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
29.10.2007	64.03	208	1,55,000	2008-09	2010 Jan	No Data	144	96 G+3	1,55,000	2,42,000

DPR prepared for in-situ redevelopment of 12 slums of which Sharifaganj is one

# Observations and Challenges

## Observations

- Patna's CDP was submitted in 2006 by Infrastructure Professionals Enterprise (IPE) and Intercontinental Consultants and Technocrats Pvt. Ltd. In its appraisal, the Center for Environmental Planning and Technology (CEPT) stated that though the plan was very detailed, it had inadequate focus on the urban poor, was financially unsustainable and was lacking in prioritization of the numerous projects proposed.
- The BUDA, HUDCO and the newly established PMU had very little information about the CDP. No one knew who prepared it, when it was submitted although what is known is that the CDP is currently under revision.
- The DPRs were prepared by HUDCO based on verbal commitment by BUDA that they would be the implementing agency (i.e. before an MOU was signed with the State). A total of 17 DPRs were submitted. DPRs seem to be put together using general pre-existing information, a Copy/Paste job' where the only variations between DPRs are general locality descriptions, sites and financial plan.
- Issues of land ownership and integrity of land for construction at the sites were not established at the time of DPR preparation and as a result led to non-starts, delays and cost escalations.
- The process was agreed upon verbally and not through proper coordination with other partners therefore several critical aspects of due process were compromised during implementation.
- The survey process is unidentifiable. From the case studies, it is evident that the eligibility list is put together by the ULB, but what specific criteria were considered is unknown.
- Tenders were floated for 22 sites (on average 4-5 times per site, because of poor response). Work orders issued for 16 sites. Work in progress on 4 sites.
- HUDCO set a defect liability period for 1 year valid from the construction completion date (and not from when the building/DUs are handed over which can potentially take longer).
- There is no defined role for the community in the allotment process. HUDCO is willing to help with preparing documents for allotment. Shifting of families into new apartments is supposed to be supervised by the ULB.
- No provisions for temporary relocation of families for in-situ projects were made. This provision was included much later on in the JnNURM-BSUP guidelines.
- HUDCO plans its involvement for a short period (2-3 months) post shifting to support the transition: from committees of beneficiaries for maintenance of the bore-wells, to pay their electricity bill, to maintain the open spaces etc. In the intervening period, HUDCO may pay for maintenance.

It is interesting to note that most of the challenges arose when HUDCO approached specific sites. This demonstrates that the DPRs prepared by HUDCO themselves were without proper ground verification of the actual situation. HUDCO argued, however, that on the one hand, the MOU had not been signed, and on the other, the financial allocation for DPR preparation (5% of project cost) was too low for detailed research about each site.



## Challenges

### As cited by Implementing Agency

- Govt./ULB should make a provision of “hindrance free” land and clear ownership without disputes and litigation.
- ULB’s show a reluctance and delay in issuing a No Objection Certificate. Land identified was either not suitable for construction or where land acquisition was proposed in the project, land was not acquired.
- Most slums in Patna are in vulnerable areas (along roads under bridges, along drainage and sewer lines) – therefore in-situ where upgrading is not feasible.
- HUDCO was not getting any land for temporary relocation from govt./municipality: *“They were afraid that once you relocate them temporarily, that will become a slum”*. Most of the people living in the slums are SC/ST category and due to deeply underlying casteism they are not able to get houses or land on rent – even temporarily
- Timely approvals / release of funds from the State Government are lacking.

### As observed by Project Team

- Non-existent institutional memory: frequent transfers within government departments and very poor transfer of information.
- Lack of Capacity – technical and non-technical – at all levels. Bihar Govt. was not equipped to implement BSUP therefore GOI nominated HUDCO for implementation. There was no capacity for in-house project monitoring – so HUDCO had to tender out and outsource PMU.
- Lack of clarification of roles and responsibilities of key players: HUDCO, BUDA and ULB. This leads to poor/ limited communication, collaboration and support between them.
- There is a poor documentation of process and implementation
- Incomplete / inaccurate records of land owners, there were many land ownership disputes / litigation. In several cases, land was already allotted for alternate purposes.
- Lack of awareness amongst people to be affected by the projects, leading to public protests and community resistance.
- Across departments and institutions, there is a gaping need for people who have experience in working with communities on social issues. Staff of 16 from Tetratex are appointed as PMU for all of JnNURM but their capacity appears to be limited. For example, an environmental engineer was appointed as the social and livelihood development officer.
- Planning at inception stage was inadequate and unrealistic. Plans for 22,000+ units were made all at once!
- No options for transit housing for in-situ projects.
- No allotment strategy has been developed by the ULB. Though the buildings are complete at one site, they have not been able to finalize the list of beneficiaries to be shifted.
- All projects are contractor managed—no involvement of communities or even government bodies.

## Recommendations

- There needs to be a clarity about the roles and responsibilities among the key partners so that there is better planning and coordination between implementing agency (HUDCO), State (BUDA) and ULBs.
- Investment should be directed towards proper and good quality completion of existing projects.
- Stakeholders and accountability measures should be detailed.
- The Project Management Unit should be empowered to be able to monitor quality and financial progress.
- DPR planning and preparation should be based on ground realities and not a one size fits all approach.
- Clear and well documented Surveys with community involvement should be conducted. Issues rising out of these surveys should be addressed/reflected in the DPR.
- Technical and social capacity of the ULB/State should be improved instead of inviting outsiders to implement the project.

## 08. PUNE, MAHARASHTRA



<b>Total Population:</b>	38,37,000 (as per DPR)
<b>Slum Population:</b>	12,50,000 (32.84%; as per DPR)
<b>Slum Settlements:</b>	477 (PMC; Slum Atlas by UCD & Mashal)
<b>Slum Settlements:</b>	564 (DPR)
	353 declared
	211 not declared
<b>Slum Families:</b>	2,04,601
<b>Land Ownership:</b>	90% on Private land (UCD & Mashal)
<b>Wards:</b>	14
<b>Wards:</b>	12 (DPR, No data on slums in one ward)

### Overview of Progress

#### BSUP Timeline

<b>1987</b>	CDP Created for Pune
<b>2006</b>	CDP created for Pune BSUP
<b>2006 August</b>	Rehabilitation at Hadapsar
<b>2006 November</b>	Rehabilitation at Warje
<b>2006 November</b>	DPR Approved for Rehabilitation for Urban Poor Street Vendors
<b>2006 December</b>	DPR Approved for Dormitories for Migrating Urban Poor
<b>2009 February</b>	DPRs Approved for In-situ Rehabilitation at Yerwada, Parwati, Mundhwa, Ghorpadi, Kothrud Tenders called
<b>2012</b>	Tenders called for Dormitories in January but due to lack of response recalled in February

#### BSUP Projects Sanctioned \*Source MoHUPA Progress Table, Jan 2012\*

Sites Visited



DPRs Sanctioned	Approved Date	Cost (Cr.)	Total DUs	Status	Implementing Agency	Contractor
Rehabilitation at Hadapsar	28.08.2006	99.25	6000	992 ongoing, 1416 complete, None occupied	PMC	Arch Infra Project Nirman Ltd.
Relocation at Warje	28.11.2006	63.09	2576	128 ongoing, 1216 complete, None occupied	PMC	M/s Patil
Rehabilitation of Street Vendors	28.11.2006	27.04	10265 <i>ottas</i>	957 <i>ottas</i> ongoing	PMC	---
Dormitories for Urban Migrants	14.12.2006	21.85	0*	Not begun as land is not in possession	PMC	---
In-situ Upgrading at Yerwada, Parvati, Mundhwa, Ghorpadi, Kothrud	05.02.2009	140.82	4000	3276 ongoing, 724 complete, 475 occupied	PMC	NGO's and Community
<b>TOTAL</b>		<b>303.16</b>	<b>12,576</b>			

\*As per the GOI progress report No. of units approved for Dormitories is not given whereas in the report given by the corporation says 6160 have been sanctioned.

## Agencies Involved

<b>State Nodal Agency:</b>	Maharashtra Housing and Development Authority (MHADA)
<b>Implementing Agencies:</b>	Pune Municipal Corporation
<b>CDP:</b>	Omkar Associates
<b>DPR:</b>	Omkar Associates
<b>Slum Atlas:</b>	UCD & Mashal
<b>Contractors:</b>	Arch Infra Project Nirman Pvt. Ltd, M/s. Patil Constructions
<b>NGOs:</b>	SPARC, Mashal, VRP Associates, SEWA

### Physical Progress\*

<b>TOTAL NO OF SLUMS</b>	<b>564</b>
<b>NO OF SITES</b>	
IN SITU	27
RELOCATION	5
<b>DU'S SANCTIONED</b>	<b>12,576</b>
<b>STATUS</b>	
COMPLETE	3356
ONGOING	4396
CANCELLED	0
OCCUPIED	475

### Financial Progress\*

<b>SHARE (in Crores)</b>		
GOI	142.98	<b>47.2%</b>
STATE	88.43	<b>29.2%</b>
ULB	44.15	<b>14.5%</b>
HH	27.60	<b>9.1%</b>
<b>TOTAL</b>	<b>303.16</b>	
<b>FUND RELEASED</b>		
GOI	<b>55.49</b>	<b>18.3%</b>
<b>FUNDS UTILIZED (of released)</b>		
	<b>139.4</b>	<b>72%</b>

\*Source: MoHUPA Progress Table, Jan 2012  
For our study, only figures related to BSUP housing are considered.

As per BSUP guidelines, the % share for cities with population between 1 to 4 million or above 4 million, is Central Government: 50% and State/ULB/Household: 50%. Household contribution is a minimum of 10-12%.

### Institutional Arrangements

**MHADA** had the responsibility of Project appraisal, project sanctioning, Management of grants, Releasing funds to different stakeholders and Monitoring physical & financial progress.

**PMC** as the implementing agency was responsible for preparing the CDP and DPRs. It had to create awareness amongst the communities and different stakeholders about the project in all terms (designing, execution, management, financial etc.) PMC had to involve the NGOs & communities in the project. It is responsible for addressing issues/problems related to project implementation at different levels.

**NGOs/Contractors** were responsible for getting communities involved in the project, working in coordination with the ULB, surveying & identification of eligible households and obtaining consent from them. Preparing detailed layout plan for each unit with the Householders approval and set up linkages with banks. Once the unit was constructed they had to obtain CC & OC from the PMC.

All DPRs were prepared by Omkar Associates based on the data that was already available with the Corporation. They did not have any community participation nor the involvement of any other stakeholder.

The DPR had rough layout plans with some cost estimates. Later when the NGOs were tendered the work under BSUP they came up with new DPRs in consultation with the communities and their architects & engineers changed designs and layouts.

### Procurement

Tendering process was done only once for all projects except for the Dormitories where they had to re-tender because of lack of response.

### Slum Selection

#### In-situ

Slums on government land where any housing scheme has been implemented (VAMBAY) and are in residential belt.

#### Relocation

Slums on reservation lands – schools, gardens, hill tops and slopes, canals, road margins.

### De-Notification of Slums

As per Slum Act under SRA. The authority lies with the Assistant Municipal Commissioner, Slums, and the Zonal Commissioners have also been given rights to notify and de-notify slums. Proposals for 132 slums to be de-notified have been submitted to the SRA of which 5 have been de-notified. 22 slums have been de-notified by the Corporation where development has already taken place Altogether around 30 slums have been de-notified.

*"When we talk of making cities 'slum free', the biggest hurdle is land; then why don't we make land acquisition a policy and the ULB should be given powers and permission to do so "*

*- Siddharth Dhende,  
Corporator, Nagpur Chawl*

# Relocation housing at Warje, Pune

**Implementing Agency:** Pune Municipal Corporation  
**DPR Consultant:** Omkar Associates  
**Contractor:** M/s Patil Construction

**Status:** 12 buildings completed but remain unoccupied as eligible families are yet to be finalized. Therefore no interviews at the slums have been conducted.

Slum areas on lands falling under riverbeds, green belts, road widening, hill top hill slopes, vitally required lands etc have been taken up for relocation. A primary survey conducted provides a list of 40,000 hutments that fall under the category for relocation.

Total number of DUs to be constructed for relocation is 1344. According to the contractor, 1120 units have been constructed in 10 buildings whereas 2 buildings are still to be constructed.

DPRs had to be revised because after the project was appraised and sanctioned, the land area for relocation was found to be lesser than stated in the DPR. Thus, the number of dwelling units that could be accommodated changed and the floors of the proposed buildings had to be increased from G+4 to G+7. The ULB is struggling with financing this change since the State does not take any responsibility.

There is no provision of capacity building or addressing livelihood issues even though people have to move long distances to the relocation sites. That is one reason people do not want to move.

*“Since the relocation projects were building oriented & contractor oriented therefore people are not ready to shift. Two NGOs were involved to motivate people to move, after 2 months they failed to motivate even one person to move. When asked in a community meeting how many want to stay where they are, all raised hands”*  
 - Sharad Mahajan, NGO Mashal

## Site Observations

- No involvement of the community in designing the units nor choosing the relocation site
- Tendering process done only once.
- The DPR had to be revised for the relocation projects as land was not available; the design had to be changed from G+4 to Parking +7
- 12 building have been constructed but the units have not been occupied as yet since eligible households have not been identified.
- The relocation site is at a distance of half an hour from the city
- The units constructed do not have a balcony.
- For some of the buildings some infrastructure work is still pending. Parking, parking pavers, electricity cables have still to be completed.
- MIG & HIG residential units next to the buildings.



## Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Expenses (Cr.)	Amt. Released (Cr.)	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
2006	63.0	2576	1,73,000	19.10.2007	2008	No Data	36.31	14.67	1344	1136	2,27,000 With infrastructure	4,25,000



# In-situ upgrading at Mother Teresa Nagar, Yerwada, Pune

**Implementing Agency:** Pune Municipal Corporation  
**DPR Consultant:** Omkar Associates  
**Contractor:** SPARC Alliance (NGO)

**Status:**  
 197 out of 295 units completed since 2010. Completion expected in 2013.

There was no provision for transit accommodation. HHs had to make their own arrangements.

Since the units are still under construction, the other amenities could not be assessed.

### Finances

The unit cost per dwelling is Rs. 3,000,123 which is as per the District Schedule Rates (DSR) of Pune PWD regions. The eligible household contribution per DU is Rs. 30,012 (10%) and Rs.33, 013 (11%).

People had bank accounts for repayments but had to take loans on their own.

The eligible households were also contributing extra money towards the construction of their house but is being done voluntarily.

### House design as per DPR

25 sq.mt.(G+1) which includes 1 multipurpose room, 1 bedroom with balcony, 1 cooking alcove with wash area, 1 Bath, 1 Water Closet

However, once the project was sanctioned the DPR designs were not followed. Instead, designs and plans were developed by the consultant-architects and discussed with the women first by representatives of the corporator and then by the engineers & architects. Meetings for these were held 3-4 times. They families, particularly women, were involved in the designing of their units and the spaces within.

3-4 house models were prepared and shown to the community after to give an idea of the space they would be receiving as opposed to their current houses.

2000 individual plans were prepared and sanctioned by the corporation in a first for BSUP projects.

### Community Participation

Communities were involved at various stages of the projects. Surveys were done by Mahila Milan women with the help of the community women.

The contractor SPARC is an NGO and that is why community women were involved at almost all stages of the projects - from surveys, to preparing files, to designing their homes etc.

Community members who wanted to work at construction sites were encouraged to do so.

Communities came to know of the scheme through their corporator and then by word of mouth.



### Designing with Communities

Mahila Milan women sat with the community and architects to develop designs. Some footprints were too small to upgrade and through discussions a cluster approach to combine their houses and build G+3 houses was developed.

**Extreme Left:** A House Model

### Physical and Financial Details

Sanction Date	Cost (Cr.)*	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Ex-penses (Cr.)*	Amt. Released *	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
2009	No Data	295	3,00,000	2008	2010	2013	No Data	No Data	98	197	3,00,000	No Data

\* individual breakups not available since DPR is common for all in-situ sites

# In-situ upgrading in Nagpur Chawl, Yerwada, Pune

**Implementing Agency:** PMC  
**DPR Consultant:** Omkar Associates  
**Contractor:** Mashal (NGO)

**Status:**  
 332 out of 478 units completed.

Nagpur Chawl is a 50 year old settlement and has a total of 2200 families. Of these, 1600 have self-constructed their houses and the remaining have been included in the BSUP-in-situ project. The local corporator has been supportive of the participatory approach taken by the consultant.

### House design as per DPR

25 sq.mt.(G+1) which includes 1 multi-purpose room, 1 bedroom with balcony, 1 cooking alcove with wash area, 1 Bath, 1 Water Closet

During implementation, designs were developed by the NGO with the individual households through several participatory means.

People were aware of the financial contribution they would have to do for developing their houses. Though no help for this was given from the ULB or the NGO, people managed to get loan on their own from their places of work and do not find it a problem.

People arranged for their own transit housing, even putting up a few tin sheets to create a shelter while the house was being constructed. (See photos below)

### Nanda Gaikwad's House:

The family has seven members and needs space. So she opted for a combined toilet and bathroom to be able to have a bigger kitchen.

However, since the toilet is next to the kitchen the family still prefers to use the community toilet block. This saves on water and electricity for pumping water to the overhead tanks. They use the house toilet only when guests are staying with them.

According to the corporator the use of the toilet blocks has gone down which means that most people are using the toilets in their houses.



Original house



Transit House



Upgraded house

### Physical and Financial Details

Sanction Date	Cost (Cr.)*	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Expenses (Cr.)*	Amt. Released *	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
2009	No Data	478	3,00,000	No info	2010	No Data	No Data	No Data	146	332	3,00,000	No Data

\* individual breakups not available since DPR is common for all in-situ sites

# Observations

## CDP

The CDP for Pune was prepared in 1987 and the City Development Plan for BSUP was prepared in 2006. Different stakeholders comprising of NGO representatives, industry associations, educationists, environmentalists, councilors, BMC officers, representatives from the informal sectors and of Mohalla committees formed an integral part in the preparation of the CDP.

## Slum and Household Surveys

- Surveys were carried out through NGOs: Mashal and Shelter Associates. Although the total families to be taken up under in-situ upgrading were about 10,000, in the first phase, only 4000 dwelling units covering 8 slums have been taken up. Slum areas on lands falling under riverbeds, green belts, road widening, hill top hill slopes, vitally required lands etc have been taken up for relocation. A primary survey conducted provides a list of 40,000 hutments that fall under the category for relocation.
- Though slums to be taken up for the in-situ and relocation were chosen before the preparation of DPR, the selection of eligible households, bio-metric surveys etc. were conducted after the procurement. The first survey for BSUP was conducted by Mashal, Urban Community Development (UCD) and CHF's Utthan project. A GIS based survey was conducted by Mashal-CHF-UCD which is 80% complete

## Procurement

- PMC had invited leading NGO's to talk about an in-situ housing project. 31 slums had been pre-selected under conditions of being on government land and having a residential DP reservation. The NGO's were asked to select sites that they wanted to work with. A total of 4,000 units were being proposed in an in-situ housing development style. Each new house would be given 270 ft<sup>2</sup> with an individual toilet and the eligible household would have to pay a mandatory 10% contribution amount equaling 30,000 INR.
- Tenders for the in-situ projects were called for in February 2009 only once. For the Dormitories for Migrating Urban Poor project it was tendered first in January 2012 but because no body bid for it, it has been tendered again in February 2012. Tender for conducting BSES for the relocation project was floated in October 2007.

## Finances

- The unit cost per dwelling is Rs. 3,000,123 which is as per the District Schedule Rates (DSR) of Pune PWD regions. The eligible household contribution per DU is Rs. 30,012 (10%) and Rs.33, 013 (11%).
- For the relocation project the community contribution is only 10%, PMC (10%), State Government (30%), Central Government (50%).
- Apart from this each member of rehabilitated tenements is to pay Rs 10,000 towards operation & maintenance and SRA will add Rs 5,000 per tenement to the amount to create a sinking fund.

## Discrepancies in the DPR

(for in-situ projects at Yerwada and Relocation projects at Warje and Hadapsar)

- Though it is designed for the In-situ project, it talks about the relocation project as well. Pages 3-9 talk about the in-situ housing project and thereafter it talks about the SRA model to be taken up for in-situ as well as relocation.
- The content talks mostly about the projects planned under SRA
- Provision of basic services has been provided for in the DPR (Pg.94) says "yes" in the checklist whereas actually the DPR states that these provisions already exist.
- The DPR for in-situ as well as for the relocation projects are the same – copy-paste formula adopted
- The Physical and Social Infrastructure in all the slums being in existence and well functioning, the agency has not proposed this in the DPR. Only required water and sewerage connectivity up to the municipal network from the proposed rehab unit is considered in the cost.
- The DPR also talks about Nagpur and the slums taken up under BSUP in Nagpur. (Pg 12)
- The Slum Rehabilitation Authority in co-ordination with the Slum department of PMC would be implementing the scheme as per given schedule However, the Pune Municipal Corporation and Project Management Consultant are actually be implementing the scheme as per given schedule. (Pg.13-14)
- The DPR for in-situ rehabilitation project was approved in 2009 but was again revised informally.

## Observations

### DPR versus Implementation

The designs for the in-situ housing units and the relocation units are the same, for in-situ DU it is individual G+1 with 1 multipurpose room, 1 bedroom + balcony, 1 cooking alcove with wash area, 1 bath and 1 water closet and for the rehabilitation DU it is also 25 sq.mts. (270 sq.ft.) including a balcony but excluding common area in exchange of his/her structure. The relocation DU also includes a multipurpose room, a kitchen, common passage, either combined or separate toilet-bathroom and parking provisions for two wheelers.

Although the **community was not at all involved in the preparation of the original DPR**, in the in-situ projects where NGOs were the implementation agencies, the original DPR was allowed to be modified by communities. This was an extensive process where communities had a vital role to play in designing their units with the assistance of architects.

3-4 house models were prepared and shown to the community after which they got an idea of how much space they are occupying now and how much will they be getting along with the amenities. 2000 individual plans were prepared and sanctioned. This is also the first time that the individual plans for slum dwellers were prepared, sanctioned by the corporation and work is being carried out as per the plan.

In the case of relocation project however, the designs were implemented without community involvement. The only change that had to be made was in the height of buildings. This is because although the DPR had been approved for G+4 buildings, land area was found to be smaller than the approved area in the DPR and the design had to be changed to G+7 buildings. Site visits revealed some discrepancies: there is a provision for a balcony in the DPR but in reality the units constructed do not have a balcony.

### Construction

In the in-situ projects, NGOs were appointed to do the construction that was further sub-contracted to local contractors. All the responsibility of planning, designing, quality was of the NGOs, they have also appointed engineers who work closely with the communities. Site engineers for all projects have also been appointed by the corporation who does site visits, billing etc. The quality of construction so far seen was good, the eligible household on some sites are also contributing in terms of physical labor towards the construction of their units.

### Occupation and Allotment

475 units under the in-situ projects have been occupied. No shifting has been done under the relocation projects though dwelling units have been constructed at two of the relocation sites.

The rehabilitation tenement shall be allotted in the name of the wife as first name and joint with husband's, as second name. This shall ensure to a major extent, of the man of the family transferring or selling the house. A registered Lease agreement for a 99 years period shall be executed for the allotted tenement in favor of beneficiary family. A co-operative housing society shall be formed and registered. All the allotted families shall become members of the same. The land, building thereon with all the built, un-built spaces and areas shall be conveyed in favor of such society.



## Challenges

### In-Situ

- The DPR was created in 2006 but the project began in 2009 and there was a cost escalation, however there was no clause under BSUP to allow for escalation.
- Project Implementation Unit appointed only in 2010. Role of SLNA is absent in Pune, the only meeting held was in May 2010.
- Delay in clearing of bills from PMC creates problems in going up to the next stage of the project and leads to delays.  
*“It takes an average of 75 days to clear bills” - Sharad Mahajan, Mashal*
- SRA offers a DU of 25 sq.mts free of cost whereas BSUP offers the same unit for 10% contribution – lesser incentive for communities to want a BSUP scheme.
- Getting the community involved in this process was a big challenge. Collecting the community contribution was a hurdle as the amount was too much for some households. No transit accommodation was provided by the PMC. Resolving individual/ personal issues regarding space took a lot of time leading to longer project times.
- Changing the mindset of the contractors from a commercial perspective to a social perspective is difficult.
- One of the organizations appointed for the project had to quit as there were lot of political problems, secondly there was no proper understanding between the NGO, local corporator and the community, third since SEWA was a Thane based NGO it had no experience of working in Pune which was also creating problems for them hence they had to be removed. Their work has now been given to SPARC and Mashal.

### Relocation

- Land is not easily available therefore land acquisition is a challenge for the implementing agencies.
- Community mobilization is difficult and people are not aware of the project as it took place only after the construction started.
- People are not ready to move because of the distance from the present settlement since it impacts livelihood issues, and social impacts etc. There is no provision under BSUP guidelines for capacity building or livelihoods.
- Cost escalation because DPRs had to be revised are being borne by the PMC, state or center take no responsibility.
- Appraisal process is unclear as land issues were raised after the project was sanctioned.
- Identification of eligible households to be shifted is still in progress even though the units have been constructed and are lying vacant.

## Recommendations

- Explore multiple possibilities in terms of housing being provided for in-situ projects
- Understand and incorporate reasons as to why relocation projects are not a success
- Building capacities of the ULBs to manage risks and implement projects
- PIU – Members of Project Implementation Units for BSUP can be also appointed under RAY to carry forward the experience
- Cost escalation clause must be considered at central and state levels.
- Project delays are often due to delays in land acquisition since the owners of the land fail to reach understanding. The ULB/implementing agency should clear these issues before submitting DPRs for approval.
- Land acquisition should be made compulsory in order to make slum free city and this authority should be given to the urban local bodies.

## 09. PURI, ODISHA



<b>Total Population:</b>	1,57,610 (as per 2001 Census) 1,98,000 (as per 2011 Census, early figures)
<b>Slum Population:</b>	33,768 (as per 2001 Census) 47,707 (as per 2006 CDP)
<b>Slum Settlements:</b>	46 (as per 2001 census) 63 (as per 2011 rough survey for RAY)
<b>Slum Families:</b>	6759 (as per 2001 Census)
<b>Land Ownership:</b>	Most slums on government land (No Data)
<b>Wards:</b>	30 wards

### Overview of Progress

#### BSUP Timeline

2001	Census lists 46 slums - 25 authorized, 21 unauthorized
2006	CDP prepared
2007	DPR for In-situ at Mattitota and Mishranolia Sahi approved
2008	BSUP Phase II (7 slums) approved
2007-2008	Tenders called for all 9 slums*
2009	Tender Re-bid for Mishranolia Sahi, Gokha Sahi, Mangala Sahi

\* PMC requested Govt to separate tenders since no one contractor could take up such a large scope of work

#### BSUP Projects Sanctioned \*Source: MoHUPA Progress Table, Jan 2012\*

Sites Visited



DPRs Sanctioned	Approval Date	Cost (Cr.)	Total DUs	Status	Implementing Agency	Contractor Name
Mishra Nolia Sahi	2007 September	1.74	13	2 ongoing	PMC	SPARC
Mattitota Bhoi Sahi	2007 September		21	Work order Cancelled	PMC	Sasmita Behera
Mattitota Pradhan Sahi	2007 September	9.28	47	Work Order Cancelled	PMC	Sasmita Behera
Gokha Sahi	2008 February		111	19 ongoing(6 complete)	PMC	SPARC
Mangala Sahi	2008 February		40	5 ongoing	PMC	SPARC
Tikarpada	2008 February		46	Abandoned	PMC	Tatwaprakash Ratha
Chamara Sahi	2008 February		28	Abandoned	PMC	Tatwaprakash Ratha
Kumutipatna	2008 February		26	0	PMC	Self
Narendrakona Bhoi Sahi	2008 February		26	2 complete	PMC	Self
<b>TOTAL</b>			<b>11.02</b>	<b>355</b>		

## Agencies Involved

<b>State Nodal Agency:</b>	Housing and Urban Development Department, Odisha
<b>Implementing Agencies:</b>	Puri Municipal Corporation (PMC)
<b>CDP:</b>	City managers Association (CMAO)
<b>DPR:</b>	In House
<b>NGO:</b>	SPARC, UDRC and Odisha Slum Dwellers Federation
<b>Contractors:</b>	Sasmita Behera, Sathyanarayan Engg. Works, Tathwaprakash Ratha, SPARC Alliance

### Physical Progress\*

<b>TOTAL NO OF SLUMS</b>	<b>46/63</b>
<b>NO OF SITES</b>	
IN SITU	9
ABANDONED	4
RELOCATION	0
<b>DU'S SANCTIONED</b>	<b>355</b>
<b>STATUS</b>	
COMPLETE	15
ONGOING	53
ABANDONED	70
NOT BEGUN	217

### Financial Progress\*

<b>SHARE (in Crores)</b>		
GOI	8.0	<b>72.5%</b>
STATE	2.1	<b>19%</b>
ULB	0.4	<b>3.6%</b>
HH	0.5	<b>4.5%</b>
<b>TOTAL</b>	<b>11.02</b>	
<b>FUNDS RELEASED</b>		
GOI	2.0	<b>18%</b>
<b>FUNDS UTILIZED (of released)</b>		
	1.4	<b>70%</b>

\*Source: MoHUPA Progress Table, Jan 2012

As per BSUP guidelines, the % share for cities that do not fall in the category of population between 1 and 4 million or above 4 million, is Central Government: 80% and State/ULB/Household: 20%. Household contribution is a minimum of 10-12%.

### Institutional Arrangements

**PMC** has the responsibility of DPR preparation, Tendering for construction and Site supervision.

### Reforms

**2006:** ULB reforms undertaken as per JnNURM guidelines.

### CDP

CDP prepared by the City Manager Association (CMAO)

Main points in the CDP, Section 9 -Urban Poverty and Slum Development (page 145) include:

Creation of comprehensive database on slum dwellers, Focused land reforms for transferring land from Revenue Department to Puri Municipality, comprehensive livelihood program linked to tourism.

**2007:** CDP approved by the Government of India

### Survey

Survey of selected 9 slums chosen from census list by Slum Improvement Officer (SIO) – 1, Community Organizers (Cos) – 6. No biometric survey.

### Criteria for Slum Selection

9 authorized slums were selected from census list by Slum Improvement officer and corporators and councilors from the area. Land belongs to the community.

### Criteria for HH Selection

Kaccha structures, Voter ID and BPL card but no cut off date. SIO, Councillors approve list.

### DPR

DPR made by PMC with support from architect hired, no community consultation.

### Procurement

2007-08: Funds come in late from the central government, 355 dwelling units sanctioned for Puri in 9 slums. Tender called for 9 slums together at first and then Puri municipality requested government to separate the tenders as no contractor could take up such a large scope of work as part of one tender.

2009: In the re-tendering in 2009 all 9 slums were called as separate bids. Of all the slums called for, three slums (Mishra Nolia Sahi, Gokha Sahi, Mangala Sahi) did not find any contractors and a re-bid took place in February 2010.

2010: As SPARC was the sole bidder, Puri municipality had to submit the documents for approval to the State Housing Department (BSUP Nodal Agency). However, the bid was rejected and a third bid for the three sites took place in May 2010. This time, although SPARC was still the only bidder, the State Housing Department granted the project to SPARC.

### Projects

9 work orders were issued for 352 DUs: 3 slums to NGO, 4 slums to contractors, 2 slums for self construction by households.

### Construction

Four contractors were tendered to implement the project.

While the SPARC Alliance continues to work in three sites, other Contractors have left work incomplete and abandoned work in some sites over the last three years due to cost escalations. In two sites, communities are upgrading their own houses and receive subsidies directly from PMC. However, work is left incomplete in some houses here also due to cost escalation.

## In-situ Upgrading at Narendrakona Bhoi Sahi, Puri

**Implementing Agency:** PMC  
**DPR Consultant:** In-house  
**Contractor:** Self construction

**Status:**

Households were paid subsidies directly by PMC to upgrade their own houses. Some have invested an additional amount to build larger houses. Contractors that were hired by some households left due to cost escalations.



**Daitari Bhoi, Resident, Narendrakona Bhoi Sahi**

Work order was issued for 4 married sons, initially all living under one roof. They received Rs.1,40,000 as subsidy and spent 4 lakhs for extra additions to house on their own.



**Pramila Bhoi, Resident, Narendrakona Bhoi Sahi**

Work order was issued for 3 families, initially living under one roof. Family 1 with 5 members received Rs.1,12,000 while Family 2&3 received Rs.92,000 each i.e. Rs. 2,96,000 in all. The contractor has left the site in the middle of work for the past 6 months.

### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Ex-penses (Cr.)	Amt. Re-leased	Ongoing	Complete	Cost per DU As per DPR	Cost per DU Actual
13.02.2008	0.75	23	1,45,000	2009-10	2009	2013	0.16	No Data	18	2	1,45,000	4,00,000

## In-situ Upgrading at Tikirpada, Puri

**Implementing Agency:** PMC  
**DPR Consultant:** In-house  
**Contractor:** Tathwaprakash Ratha

**Status:**

Site abandoned by contractor after starting work on some houses due to cost escalation.



**Bhimbadar Bisoi**

4 member family. Their house was demolished and 450 sq ft plinth was built, site remains abandoned for the past three years.



Photo Taken: Feb 2012

**Trilochan Bisoi**

9 member family. The hut was demolished, Rs. 80,000 paid, brick walls were made and then the site was abandoned by the contractor. The ratio of sand used was higher during construction and that might have caused problems.

### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Ex-penses (Cr.)	Amt. Re-leased	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
13.02.2008	1.29	46	No Data	2009-10	2009	2013	0.44	No Data	32	1	No Data	No Data



# In-situ Upgrading at Gokha Sahi, Puri

**Implementing Agency:** Puri Municipal Corporation  
**DPR Consultant:** In-house  
**Contractor:** SPARC Alliance

**Status:**  
 Construction is ongoing with community participation. 6 out of 111 units have been completed thus far.

The tender process was done twice as no bidder showed interest in the work due to very low cost estimates of the dwelling units. The estimates were based on the 2007 schedule of rates but the bid was called only in 2009. There were no provisions for cost escalation.

Proposed settlement layouts also had no relation to actual site conditions. Upon doing new plane table survey, several discrepancies were also found between eligible household plot sizes on-site versus those sizes indicated in the DPR. Thus, the household list had to be verified again by the SPARC alliance at its own cost.

SPARC alliance that was tendered the project worked with Puri Mahila Milan to set up community housing savings groups in Gokha Sahi and initiated a discussion between households and architects and engineers to develop designs. The PMC was flexible in allowing changes to the designs provided in the DPR as the propose house layouts were not workable.

Some amenities provided in the DPR, such as a jogging track, appear to have no relation to actual settlement needs.

Amenities Proposed as per Phase II DPR are as follows:

Cement concrete roads, Sewer lines, Storm water drains, Water supply, Street Lighting, Solid Waste Disposal, Community Halls for Livelihood Support, Park, Jogging Track, Plantation.

**Below: Site proposed for Jogging Track**



**From Left:** Proposed Settlement Layout and Typical unit plan (as per DPR) of dimensions 6.5 metres x 2.53 metres which are very narrow and long houses unlike the existing house typologies on site.

**Left:** Re-done Plane Table Survey showing actual layout of houses done by SPARC-UDRC-OSDF-MM in 2010 for Gokha Sahi, Puri.



**Behera Family:**  
 3 houses for each married brother earlier under one roof, G+1. Ground Floor Level has one family and two families live on the upper floor. Staircase provided is very wide and partitioned, latrine and bath are in one space.

**Padi and Khira Behera:**  
 6 member family, GFL design by engineer from local NGO, small windows as per family request. Family has made space for firewood and 'chullah' outside pucca house with their own money. Kitchen provided as per DPR is used as another room.



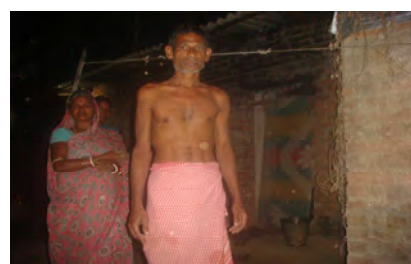
## Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Expenses (Cr.)	Amt. Released	Ongoing	Complete	Cost per DU As per DPR	Cost per DU Actual
13.02.2008	2.6	111	1,70,000	2009-10	2011	2013	No Data	No Data	19	6	1,70,000	2,10,000

## Observations and Challenges

### Observations

- In 2011, the DPR given to the consultants contained an outdated plane table survey and beneficiary list as it was originally prepared for sanction in 2007 but could find bidders only in 2011. In three sites of Gokha Sahi, Mangala Sahi and Mishra Nolia Sahi, the SPARC alliance re-did the plane table survey and re-verified the beneficiary lists before starting the project. The cost for this work was not part of the procurement document and SPARC had to put in its own resources.
- Changing the design could help fit the construction within estimated costs provided in the tender. However, any changes in design would have to be approved by MoHUPA, thus delaying the project further. This option has not been explored further.
- Out of the 9 sites, most are former rural areas now brought under urban city limits. As a result, many of the houses are large in size, in good condition and need some repairs. Eg, in Mishra Nolia Sahi, house sizes range from 540 to 130 sq.ft. and in Mattitota Sahi, where house sizes range from 3920 to 696 sq.ft all eligible households have square footage more than is being offered under BSUP.
- Many houses, classified as kachha and eligible under the scheme did not need complete demolition as the walls and floor were pucca and only the roof needed replacement. But there is no provision to allow for only repairing or basic amenities in the implementation.
- House unit designs in the DPR do not reflect any actual site conditions or user needs. Due to the flexibility of PMC, the contractors on site are providing houses as per community design needs where households are building directly. In the case where SPARC is the contractor, the designs were re-worked out by architects with communities prior to construction.
- Of the 9 sites, 6 sites were given to contractors without a tendering process. The Puri municipality however refutes this. For the remaining 3 sites, several re-bids took place and only after the GOI requested the ULB to allow NGOs to take on work, was SPARC selected according to the Puri municipality.
- There is no cost escalation clause in the bid document and no grievance redressal mechanism to address this and other issues with the tender. Cost escalations have caused almost all contractors barring SPARC to abandon work. Even in the two sites where work is being done by households themselves, some contractors hired by the households have left the work half-way. PMC has sent a letter to MoHUPA requesting transfer of work to SPARC and to blacklist other contractors.
- There was some confusion about the eligibility of two or more households residing under one roof. Puri Corporation states that even if 2 families are residing under one roof, only one head of household is eligible and will receive one house under BSUP.



## Challenges

### As cited by PMC:

- Cost differences – the estimated cost of the unit in 2007 is 1,70,000 and actual cost during implementation in 2010-2011 is estimated at 2,20,000. There is no provision for a clause for cost escalation and the preparation and approval process for a new DPR is fairly lengthy.
- Construction work in 6 slums has been abandoned at various stages by the contractors due to inability to pay for cost escalation. Puri municipality is now requesting SPARC-UDRC to take up the work in 4 slums.
- Approvals for vacant areas and land areas are difficult to obtain
- Interference by third party monitoring agency – B.L.G construction appointed as third party visited in July 2011 and told households not to pay their contribution amount. Work was stalled as households stopped paying or saving for a few months.

### As cited by Puri federation:

- Full survey done by federation in the 6 abandoned slums and report submitted to UDRC
- In a community meeting at Tikrapada on 16th February 2012, the community refused Mahila Milan's offer of loans to pay contribution or extra costs or contributing by labour.

## Recommendations

- Increase awareness about scheme amongst communities
- Clarify the criteria to identify slum settlements and households to receive subsidies
- Survey – De notification process to be put in place.
- Community involvement in project at all levels from data collection on slums, selection of projects, design of housing units and settlement layouts, construction, monitoring and maintenance. For this end, NGOs may be invited to initiate the process.
- While preparing DPRs for in-situ housing the present size/foot prints of the houses should be taken into consideration instead of forcing the 'one size fits all' concept. Since there is a time lag between DPR creation and implementation the condition of houses might change to *pucca*. But there is no provision to allow for only repairing or basic amenities in the implementation.
- Cost escalation clause must be provided in tender or costs for updating DPRs must be provided in the tender for construction.
- Procurement process must allow for flexibility in design of houses if households have not been earlier consulted. For houses in relatively good condition, the subsidy may be reduced to provide only for repair work instead of complete demolition and rebuilding.
- There should be provision in the DPR for in-situ development to make adjustments to house designs as per individual requirements considering that implementation on-site is very different from proposed DPRs, the DPRs themselves may be simplified and allow for flexibility.
- Reforms and exchanges with other cities can be initiated with the municipal corporation to build on capacities of officials, keep continuity of project teams and set up participatory mechanisms for projects.
- Grievance redressal mechanisms for procurement issues should be present.

# 10. RAIPUR, CHHATISGARH



**Total Population:** 6,70,042 (as per census 2001)  
 10,64,045 (as per CDP projection for 2011)

**Slum Population:** 1,59,120 (as per CDP 2006)

**Slum Settlements:** 282 (as per RMC)  
 192 (as per CDP and DPR)  
 135 Declared  
 19 Undeclared

**Slum Families:** 26,899 (as per CDP 2006)

**Wards:** 70

## Overview of Progress

### BSUP Timeline

<b>2006</b>	CDP prepared. Now being revised
<b>2006</b>	BSUP Phase I - 4 DPRs approved for 61 slums. Sanctioned DU's 27,976†
<b>2007</b>	SUDA, RMC and HPL sign tri-party agreement with HCL as implementing agency
<b>2007-2008</b>	Tender floated*. Work order issued for 16,986 DUs
<b>2008</b>	Work begins but delayed due to non-availability of land
<b>2009-2010</b>	BSUP Phase II - 2 DPRs approved for 2024 DUs
<b>2010</b>	HCL target reduced to 5,210 DUs
<b>2010</b>	RMC, SUDA, State Govt. bring in RMC and CHB as additional implementing agencies
<b>2011-12</b>	2006 rates too low so State Govt. reduces target of BSUP projects to 12,202 DUs from 30,000

† There is no distinction in the DPRs between in-situ housing and relocation housing

\* Tenders floated several times but no documentation shown for tenders or work orders

### BSUP Projects Sanctioned \*Source: MoHUPA Progress Table, January 2012\*

Sites Visited



DPRs Sanctioned	Approved Date	Cost (Cr.)	Total DUs	Implementing Agency	Contractor Name
Locations 46-61	28.11.2006	108.21	6504	HPL/CHB/RMC	8 private contractors including 1 NGO, CHB
Locations 31-45	28.11.2006	72.10	5624	HPL/CHB/RMC	8 private contractors including 1 NGO, CHB
Locations 16-30	28.11.2006	152.82	12248	HPL/CHB/RMC	8 private contractors including 1 NGO, CHB
Locations 1-15	28.11.2006	58.25	3600	HPL/CHB/RMC	8 private contractors including 1 NGO, CHB
Naya Raipur	21.02.1009	28.79	888	NRDA	No Information
Raipur Phase II	08.02.2010	42.25	1136	RMC	Not Decided
<b>TOTAL</b>		<b>462.5</b>	<b>30,000</b>		

## Agencies Involved

<b>State Nodal Agency:</b>	State Urban Development Agency (SUDA)
<b>Implementing Agencies:</b>	Hindustan Prefab Ltd (HPL), Raipur Municipal Corporation (RMC), Chhattisgarh Housing Board (CHB), Naya Raipur Development Authority (NRD)
<b>Project Management</b>	HPL
<b>Consultants:</b>	
<b>CDP:</b>	Operation Research Group Pvt Ltd (ORG), Aarvee Associates (RV) - For revised CDP
<b>DPR:</b>	Raipur Municipal Corporation, Mr Zakir Khan
<b>NGO:</b>	Association for Rural social Action (ARSA), Vardhan
<b>Contractors:</b>	8 contractors and one NGO. (Aryan Builders, Deepak Pandey, Manoj Agarwal, Manish Agarwal, Mahesh Somani, Rameshwar Sinha, Manish Mishra & Gayatri Gaekwad, Vijeta Constructions and 1 NGO - Sugam Social Services)

### Physical Progress\*

<b>TOTAL NO OF SLUMS</b>	<b>61</b>
<b>NO OF SITES</b>	
IN SITU	
RELOCATION	
<b>DU'S SANCTIONED</b>	<b>30,000</b>
<b>STATUS</b>	
COMPLETE	0
ONGOING	13,090
CANCELLED	16,910

### Financial Progress\*

<b>SHARE (in Crores)</b>		
GOI	365	<b>78.84%</b>
STATE	52.4	<b>11.32%</b>
ULB	12.1	<b>2.61%</b>
HH	32.9	<b>7.11%</b>
<b>TOTAL</b>	<b>462.5</b>	
<b>FUND RELEASED</b>		
GOI	169.3	<b>37%</b>
<b>FUNDS UTILIZED (of released)</b>		
	120.7	<b>71%</b>

\*Source: MoHUPA Progress Table, Jan 2012

As per BSUP guidelines, the % share for cities that do not fall in the category of population between 1 and 4 million or above 4 million, is Central Government: 80% and State/ULB/Household: 20%. Household contribution is a minimum of 10-12%.

### Institutional Arrangements

**SUDA** is the nodal agency supporting ULB and executing agency to implement BSUP. It will release money when required. In 2010, a PMU has been formed under JNNURM that is now supporting SUDA to implement BSUP as well as RAY projects.

**RMC** had been instrumental in preparing DPRs and has been one of the implementing agencies from 2006.

From 2010 it has also taken up construction through a contractor.

**HPL**, through a tripartite agreement with SUDA and RMC, became the Executive Agency for BSUP projects in Raipur. From 2006-2010 it implemented BSUP projects which included execution and monitoring. However HPL has not been successful in its venture and since 2010 its responsibility is to construct 5720 DUs through a contractor.

### Criteria for Slum Selection

In-situ - Notified Slums

Relocation - Slums closest to relocation site.

35 slums are identified to shift but RMC is still unclear about who will go where.

### Criteria for HH Selection

Since they do not have their own survey list, RMC is planning to use RAY surveys for identifying beneficiaries.

### Sanctioned Projects

In 2006 the total no of DUs sanctioned was 27976. In 2009 Vijeta contractors were given work orders for 16, 896 DUs. However due to non availability of clear land and cost escalations work began on only 5210 DUs which have not yet been completed. Thus, in 2010 HPL's target was reduced to 5720 DUs and the rest were divided between RMC and CHB. Since the agencies could not work at the rates approved in 2006, **in 2011 the State got decided to reduce the number of DU's to 12,202 to fit in with the finances available.**

**Right:** Abandoned site by HPL contractor at Bhatagav.



**Above:** Telebandha Settlement was moved to Transit Housing at Boriakala pending in-situ development. However in 2011 CRZ regulations forced the RMC to plan elsewhere.

## Relocation housing at Bhatagav, Raipur

**Implementing Agency:** 2006 HPL  
2010 RMC

**DPR Consultant:** RMC and Omni

**Contractor:**

2006, Vijeta Contractor

2010, Deepak Pande  
(Nathani builders)

**Status:**

The implementing agency (HPL) and Vijeta contractors had disputes leading to the abandonment of the work by the contractor. Since Oct.-Nov. 2010 the construction work has stalled and HPL has been replaced by RMC as the implementing agency, while the Nathani builders are the new contractors.

There have been two implementing agencies—HPL abandoned work in 2010 and handed it over to RMC.

**The team was unable to interview any eligible HH to ascertain whether they were aware of the scheme, and what preparations, if any, were undertaken.**

**Without interviewing the community, real or perceived challenges can not be gauged.**

The site is 500 mts. from a *pucca* road and has shops and schools within 1 km distance.

Construction is in the last stages, but the proposed social infrastructure in the DPR such as community hall etc have not been built. Open *nallas* present.

RMC is relying on data from surveys that SPUR is conducting for RAY to finalize the list of eligible households.

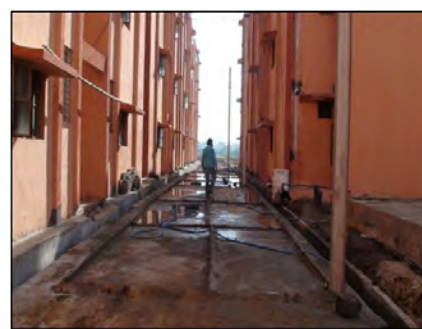
Since proper surveys were not conducted, it is doubtful if people are aware of all aspects of the schemes. Since the beneficiary list has not yet been finalized it is even more doubtful that they have been informed of any financial contributions they have to make.

HPL building is incomplete with only brick work done, there are no doors, no partitions built among the rooms, flooring is also *kuccha*. The quality of construction is very poor.

HPL and Vijeta Contractor had disputes – which is why Vijeta left the construction unfinished. HPL claims that design was too heavy to construct, Eg. Cast iron pipes are used which are very rare to find leads to increase in cost. Land was not cleared with NOC prior to construction. All these reasons led to delay. Municipality has evaluated the work of HPL at maximum Rs 27Cr. But so far Rs.61, 95, 60,500 have been disbursed to HPL an Agency from Delhi is conducting a formal evaluation of the work done by HPL.

The construction work has stopped since Oct./Nov. 2010. Currently the building is occupied by Nathani builder's construction site workers.

Nathani builders, the present contractor, has followed the plan of G+3 structures as approved in DPR. Column based structures follow municipality process for quality control – no independent QC. The site is built on limestone base which was difficult to excavate and the contractor had to use blasting techniques which escalated the cost of construction. This excess cost was, according to Contractor, borne by themselves since the lump sum amount (Rs. 1.5 lakh per DU) could not be negotiated.



### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Ex-penses (Cr.)	Amt. Re-leased (Cr.)	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
2006	No Data	608 *	No Data	2008	2008	Abandoned	Dis-puted	61.956	No Data	No Data	No Data	No Data
*Initially work was with HPL but due to disputes with the Contractor the buildings were abandoned midway. IN 2010 HPL was replaced as the implementing agency and the project begun afresh.												
2010	No Data	608	1,50,000	2010 Feb	2010 May	Almost done	No Data	No Data	608	No Data	1,50,000	No Data

# In-situ Upgrading in Telibanda, Raipur

**Implementing Agency:** RMC  
**DPR Consultant:** RMC  
**Contractor:** Omni construction  
 (withdrew in 2010)

**Status:**

Communities were forcibly moved into the transit site from a site along the lake identified to be cleared for beautification and rehabilitation. However, in 2010, the contractors withdrew due to differences with RMC and in 2011, the supreme court announced that CRZ regulations did not allow for a rehabilitation on the site so designs and locations have to be modified slightly.

Raipur Development Authority wanted to beautify the site since is at a lake but were unable to do so because of encroachments and they requested RMC to take it up for development under JNNURM-BSUP.

Slum survey and identification of slum dwellers for the BSUP project was done *after* the DPR was sanctioned in Dec 2010 – Jan 2011.

The settlement at Telibanda was 45 -50 years old. The community was not ready for relocation so a plan was made for in-situ development.

After the household and biometric survey in March 2011 RMC published floor-wise allotment notices in newspapers and asked people to submit applications for transit flats to be distributed by lottery. There was a low response to the notices and RMC conducted a public meeting where they showed a presentation ‘virtual walk through’ of the proposed redevelopment to the communities. This helped RMC obtain applications.

In April 2011, communities were shifted to Boirakala transit site which is 10 km away from Telebanda and RMC demolished the existing structures and did total stations survey to prepare plan and layout for redevelopment.

According to community members it was an enforced move: **RMC had announced a day for negotiating and making an agreement, but instead they came with hundreds of police people and started demolitions.**

Communities claim that the survey was done by the NGO ASRA, in the name of census and they were unaware that slum had been selected for this scheme and they were going to be shifted to transit. Several structure owners were excluded from allotment because their structures were occupied by renters and renters produced enough documentation to convince surveyors to take their photo alongside the house. Therefore, in several cases renters got allotted a house instead of structure owners.

After the Biometric survey communities were given a receipt which they took to the RMC office to inquire about the reasons for conducting a survey and that is when they learned about the BSUP project. Communities submitted an objection letter to RMC but after looking at the presentation some of them agreed to shift.

In 2010, Omni construction, the contractors responsible for redevelopment, withdrew from the project as RMC wanted prefab cement-concrete monolithic construction (for rapid construction) which escalated costs for the contractor. Also the scale of work and inadequacies of financing led to further delays which the contractors could not deal with.

In August 2011, the Supreme Court of India announced that due to CRZ regulations a building could not built on the site. So now, RMC plans to move the buildings to a nearby vacant plot.



**From Left:**  
 Telibanda Settlement and Relocation Site

**Physical and Financial Details**

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU	Tender Date	Start Work	Completion	Expenses (Cr.)	Amt. Released	On going	Complete	Cost per DU As per DPR	Cost per DU Actual	
2010 Feb	24.28	800	5,40,000 approx.	DPR is being revised since construction was not allowed at the present site because of CRZ regulations.									

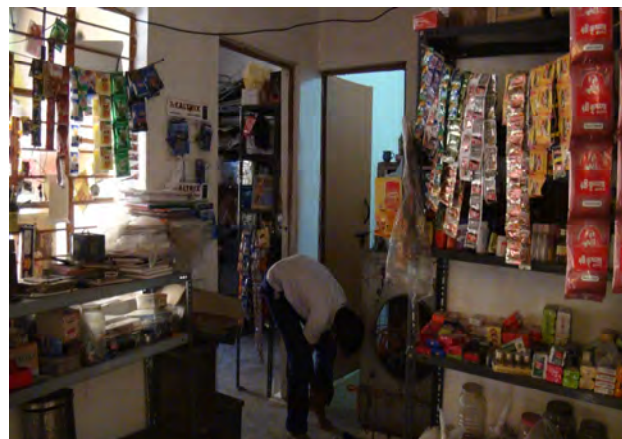
## Transit Housing in Boriakala, Raipur

RMC bought 1760 DUs of 300 sq. ft. each from Chhattisgarh Housing Board in G+3 buildings that could be used for Transit Housing as and when required for all planned BSUP projects in Raipur.

Of the 1760 DUs, 800 DUs were handed over and 940 are under construction. Each DU costs Rs. 2.07 lakhs.

### Site Observations

- Building/construction quality seemed good.
- Each DU is well ventilated and contains a living room, bedroom, kitchen, toilet-cum-bathroom and a balcony.
- RMC will provide water and electricity (24/7) free for one year.
- Main roads were clean and well maintained, but, in contrast, area between the back side of building were extremely polluted with rotting sewage and waste - and being fed on by pigs.
- Site has *anganwadi*, ration shop, primary school, health centre and a police *chowky*. It is only 500 feet from a *pucca* road.
- Water from overhead tanks is also used for drinking water but these tanks on the roof are all uncovered and cause several problems. Overflowing tanks create stagnant pools of water on the roof that drains into the area behind the buildings adding to filth. Significant algae growth in pools on roof *and* in water tanks.
- According to the community the site is too far from the city – city buses (public transport) are unreliable.
- Increasing crime in the area (including the murder of a girl last year) partly because of its isolated and desolate location (surrounded only by open fields and other Housing Board construction sites).
- Uncertainty about if and when they will go back to Telibanda. People are losing confidence that they will be relocated because it has been nearly a year since they moved – and there hasn't even been a ground breaking ceremony!



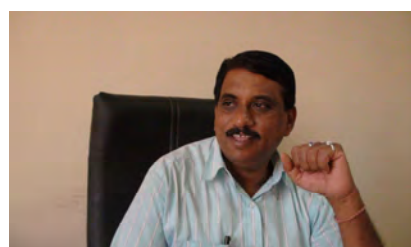
### Left:

Water tanks on the roof of the building. There seem to be individual water tanks for each tenement.



## Observations and Challenges

- Consultants prepared CDP in haste in 2006. Now , CDP revision is in progress for entire Chhattisgarh i.e. 10 Corporations and 32 Municipalities. AASCII, Hyderabad, is the Nodal Agency supporting ULBs in building capacity, knowledge and technical support to prepare effective CDPs.
- RMC used census and RMC database for preparing the DPR. It is very unclear as to which slums have been selected for In-situ or for relocation as only the name of 61 locations where BSUP project will be implemented are mentioned. Ground truthing of data was not done.
- The concept of in-situ upgradation has not been understood by the city therefore there is more focus on relocating slums even in 'in-situ' sites. The relocation sites are isolated and with poor connection to public transit. Some households at Telibanda are not ready to move into the transit site due to distance of the site from existing livelihoods.
- Land selection and negotiation with private landowners is a major hindrance in starting a project.
- 1999 SoR (Schedule of Rates) has been used to work out the cost of the projects but in some places RMC mentioned considering 15% cost escalation. It is unclear whether that was actually followed up or not.
- Same designs have been followed for all sites, but the DPRs has different costs per DU ranging between Rs. 1 to 1.65 lakh. Both In-situ and relocation sites consist of G+3 structures with a area of 300 sq. feet per DU.
- As the rates are too low, there was no response to the tender. HPL has re-tendered average 3 to 4 times and eventually gave the contract to the agency willing to construct.
- RMC gave the construction contract to an NGO, Sugum Social Services. But RMC and CHB have hired private contractors for construction for all sites as per the DPR designs.
- RMC will use the database collected under a RAY survey project for their BSUP allotment. It clearly shows that communities were not involved in even the initial surveys, let alone decision making. In one site, communities say they were told the initial surveys were for the census. (Refer the case study of Telibanda)
- RMC is yet not clear about how they are going to collect the community contribution in future and yet maintains that the responsibility for maintenance lies with the residents moved into the rehab housing.
- Till date, RMC has not shifted anyone to the rehab housing. Communities at Telibanda have been shifted to transit housing. As of now, 35 slums have been selected, on the basis of physical observation, by the Zonal Manager for allocation.
- There is a lack of awareness about the benefits of community participation at Municipal/ULB as well as community level.
- Inability in building trust amongst people because RMC has not yet been able to complete a project and communities have had little input.



## Recommendations

- There is a need for capacity building at every level - State, ULB, Community - to implement BSUP.
- Surveys should be the basis of any planning - in-situ or relocation.
- Co-ordination of RMC /CHB and PMU should improve for effective implementation of BSUP
- NGO empanelment at state level, especially for relocation projects is needed.





## Agencies Involved

<b>Implementing Agencies:</b>	Andhra Pradesh State Housing Corporation Ltd (APSHCL) Greater Vishakhapatnam Municipal Corporation (GVMC)
<b>Project Consultants:</b>	Sheladia Associates
<b>CDP:</b>	Inputs of 7 working groups, UCD department, GVMC heads the working group on urban poverty
<b>DPR:</b>	In-house and Geetam Engineering College
<b>Contractors:</b>	Not Known

### Physical Progress\*

<b>TOTAL NO OF SLUMS</b>	<b>741</b>
<b>NO OF SITES</b>	
IN SITU	No Data
RELOCATION	No Data
<b>DU'S SANCTIONED</b>	<b>24,423</b>
<b>STATUS</b>	
COMPLETE	20,992
ONGOING	3431
OCCUPIED	2150
CANCELLED	0

### Financial Progress\*

<b>SHARE (in Crores)</b>		
GOI	<b>207.96</b>	<b>38.5%</b>
STATE		No Data
ULB		No Data
HH		No Data
<b>TOTAL</b>	<b>539.35</b>	
<b>FUND RELEASED</b>		
GOI	<b>154.26</b>	<b>29%</b>
<b>FUNDS UTILIZED</b>		No Data

\*Source: MoHUPA Progress Table, 2011

As per BSUP guidelines, the % share for cities that do not fall in the category of population between 1 and 4 million or above 4 million, is Central Government: 80% and State/ULB/Household: 20%.

### Institutional Arrangements

In 2006, APSHCL was the sole implementing agency but most projects failed to secure contractors so some work was handed over to GVMC in 2009.

7 projects under GVMC – 2 Housing and Infrastructure only and 5 only infrastructure – completed 3, 2 are 80% done

5 projects under APSHCL

The Urban Community Development (UCD) department under GVMC is responsible for the survey and collecting community contribution. Note that their community organizers are not from the slums but work with GVMC.

E-procurement was carried out to select contractors for the projects.

### Survey

In 2005-2006, 32 village areas and 1 ULB were merged with the urban area. These are being given special attention in terms of services.

In 2006, survey commenced to identify eligible households for BSUP by UCD with a re-survey in 2009.

No de-notification process.

### Criteria for HH selection

Occupants of houses in all objectionable encroachments like road margins, railway sites, canal, *gadda* and bunds

Occupants of thatched houses, semi-permanent houses with white ration cards

All BPL householders residing in rented accommodation, provided they have white ration cards

Following an identification of households, a list of the same is published by GVMC to call for objections, if any. All lists were announced in January 2008.

### Detailed Project Reports

2 DPRs were prepared in-house and 5 by Geetam Engineering College.

Package I and II DPRs were handed over from APSHCL to GVMC in 2007.

DPRs were modified in terms of location and costing for Packages I & II by GVMC. Almost all locations in earlier sanctioned DPRs are changed and GVMC states that this was done after local people approached the High Court after preparation of DPR.

### Housing Projects

25,420 households identified – 80% complete

10,100 houses taken up by APSHCL

15,320 houses taken up by GVMC:

2500 houses are in-situ

12,500 allocated

2000 households shifted

Most slums occupy government land (known as 'unspareable' slums) and these are given priority to relocate.

Households are asked to choose the closest site within their zone that they wanted to move into.

### Finances

**Initial cost estimates were based on SSR 2006-07 at Rs.1.06 lakhs per unit.**

**In 2009, DU costs were enhanced by 5% to Rs.1.81 lakhs for 2002 units.**

**The AP govt issued orders for all ongoing works to adjust the difference in estimate rates to that of current rates, but it is the state government and communities that bear the cost increase: 20-30% is expected to be paid by HHs instead of the standard 10-12% under BSUP guidelines.**

## Relocation housing at Madhurwada I, Kommadi (Package II DPR)

**Implementing Agency:** GVMC

**DPR Consultant:** In-house by GVMC

**Project Consultant:** Sheladia Assoc.

**Status:**

While housing (960 units, 30 buildings) is complete, households have been moved here in a haste and amenities are not yet complete.

In 2011, 600 out of 960 households were shifted from Omkar Nagar and Seva Nagar slums along the railway line in the old city.

Families have occupied these two railway slums for the last 40 years and in 2007 were given a notice by the railways or else they were warned with evictions. The two slums organized around their committee and filed a court case against the railways but lost the case.

Survey of the households was done a month prior to the shift and families were informed about the shifting only 2-3 days prior to the actual moving. Transportation trucks and labour were provided by GVMC to shift households into the houses but households claim to be shifted here in haste.

Allocation was done as per a lottery system but residents are okay with not having the same neighbours as before. Some households claim that many handicapped and elderly families have been allotted the floors above instead of the ground floor units reserved for them.

GVMC officials say they have provided households an allotment letter however the original *patta* will only come once the households pay their contribution which is Rs. 20,300 + Rs. 35,000 loan. So far, half the households have paid Rs. 20,300 and have the option of paying it in 4 instalments.

**Amenities:** GVMC claims water: Water supply is available for 24 hours a day. Sewerage completed also, UGD finished, Roads laid, Street lighting provided. All other remaining services/amenities will become available in the next 10-15 days. Electricity is there but individual connections are remaining and will require households to submit individual applications.

A vacant land area next to the rehabilitation buildings is slotted to be used as 'open' space and another for a shopping complex to provide work for daily wage labourers.

Bus service will be provided here after 1 week as per GVMC. GVMC gives Rs.1000/month for first two months as a token amount to shifted families.

Despite the above claims by GVMC, the households shifted to the site had different views:

Water supply does not reach the houses although taps are fitted as there is a leakage. GVMC engineers gave us an explanation about households not being able to use the taps properly so although each block has 4 syntax tanks, there is a water shortage. Households claim that it now costs them Rs.100 to travel back and forth from the workplaces in the main city.

The CDO (Community Development Organization) will prepare a local residential association and collect Rs.10 per household per month, till that happens the corporation will take care of the cleanliness.

Inside the DU there is no storage space in room, only one small storage space above kitchen platform, bath and toilet are not separate. No electricity in the houses as yet. No provision in the housing to expand when the family grows.

**Right:**

A paper slip given was given to households when they were shifted as proof of their being provided with rehabilitation housing.



### Physical and Financial Details

Sanction Date	Cost (Cr.)	Total DUs	Cost/DU (Lakhs)	Tender Date	Start Work	Completion	Ex-penses (Cr.)	Amt. Re-leased	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
28.09.2006	13.96	960	1.58	2006	2007	No Data	No Data	No Data	Infrastruc-ture*	960	1,58,000	1,92,000

\*Buildings have been completed but infrastructure work is ongoing, therefore the project is incomplete.

# In-situ Redevelopment in East Point Colony (Package I DPR)

**Implementing Agency:** GVMC  
**DPR Consultant:** In-house by GVMC  
**Project Consultant:** Sheladia Assoc.

**Status:**  
 32 units, 1 building completed in 2011 and inaugurated in November 2011

Project was sanctioned in 2006 at Rs.1.06 lakh/unit and revised in 2008 at Rs.1.35 lakh/unit. The tender was released in 2008/2009 and construction began a year later.

All the households are washerfolk from VUDA park area.

There was no community participation in the project. Some corporation officials outlined the settlement boundary with chalk but no clear explanation of the project was provided.

The houses were demolished and then households told to come for a meeting in which the layout was shown. Of course, the women who attended the meeting did not understand the layout.

When the first slab was constructed, the HHs realized the design implications and wanted a balcony incorporated which they communicated to the municipal corporation, to no avail.

During construction, HHs set up temporary huts as transit housing. GVMC provided money of Rs.1000 per household for a period of 1 year. Construction took one and a half years. Households say that they have had to pay Rs.2000 for rent and claim they have not received any money from government even though it took two and a half years for the project to be completed.

Water supply (from Borewell) in new units only for bath-toilet, no drinking/cooking water.

Drinking water supply sump is provided but not the connection which they will get within a week as per GVMC. The residents fill water from outside using a municipality tap with 1 hour water supply as before.

Households cited a need for cupboards and storage, especially in the kitchen area.

In the house units, the bedroom is not provided with windows and the toilet and bath area are one.

The financing pattern asks for 30% of contribution from communities as the cost per unit had to be increased from the original sanctioned amount of Rs.1.06 lakhs to 1.65 lakhs. The GOI did not increase their share and so the A.P state government and communities have to had to bear the cost increase.

Between calling tender (2008-2009) and construction start there was a gap of 8 months as some households did not vacate sites immediately.

### Finance Sharing For one dwelling unit East Point Colony Site

GOI	53,000	32%
STATE/ULB	56,700	34%
HH	20,300	34%
HH Loan	35,000	—
<b>TOTAL</b>	<b>1,65,000</b>	

**Households pay Rs.20,300 + Rs.1000/month to repay the Rs.35,000 loan – GVMC has linked with a bank to provide loan to households with help of UCD.**



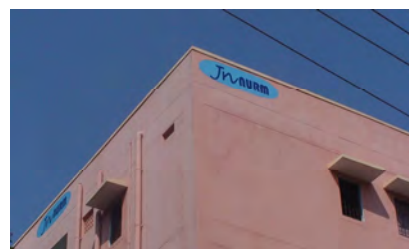
### Physical and Financial Details

Sanction Date	Cost (Lakhs)	Total DUs	Cost/DU (Lakhs)	Tender Date	Start Work	Completion	Expenses (Cr.)	Amt. Re-leased	On going	Complete	Cost per DU As per DPR	Cost per DU Actual
2006	48.30	32	1.06 1.35 (Revised)	2008-9	2010	2011	No Data	No Data	No Data	32	1.35	1.65

## Observations

### Relocation

- 1: Change of locations: Almost all the locations given in the sanctioned DPR have changed. GVMC has given reason that local people approached the high court after preparation of DPR and hence sites had to be changed. The Govt. of Andhra Pradesh has ratified this change. The distance of the new locations from the original locations could not be ascertained. The distance is also not mentioned in the revised DPR.
- 2. Cost escalations: Increase in the area as per BSUP norms after the DPR approval (which is only 1.88%)
- Change in SSR rates as the original sanction was based on 2005-06 SSR and tenders were based on 2007-08. There is also a ref of Govt. of A.P.'s orders to adopt price adjustments based on prevailing SSR rates.
- Govt. orders for re-imbursements of VAT, Insurance etc which were not considered in the original estimate.
- The infrastructure cost has increased by 355% for 7968 houses of (package –II). There is an increase in all individual items. The increase is very substantial in case of sewerage, roads & electrification.



### In situ

#### Issues cited by affected households:

- No balconies in the Dwelling Unit design. (As per GVMC- after 2008 more carpet area allowed provision of balconies but this was the first project and so no balconies could be provided.
- Complaints that they have to make cupboards and storage space from their own pockets.
- Beneficiaries were not involved in dialogue with the GVMC at any stage during the planning and implementation of the project.
- Beneficiaries were not consulted as far as design of the unit was concerned. As per GVMC dwelling units were completed in February 2009 but shifting had started in Dec 2011, since infrastructure work was going on.
- Survey of the households was done less than a month back and families were informed about the shifting only 2-3 days prior to the actual moving. Many households claim to be moved here in a hurry by GVMC officials. Transportation trucks and labour were provided by GVMC to shift households into the houses.
- Water supply, Sewerage, UGD, Roads and Street lighting have been provided. When asked about open spaces, officials pointed to a vacant space nearby as an 'open' space. All other remaining services/amenities were to become available in the next 10-15 days.
- Bus service was to be provided here after 1 week as per GVMC. GVMC gives Rs.1000/month for first two months as a token amount to shifted families.
- A temporary make shift school till the 8<sup>th</sup> class was functional there.
- Water supply does not reach the houses although taps are fitted as there is a leakage. Households claimed that it now costs them Rs.100 to travel back and forth from the workplaces in the main city.



## Challenges

### Challenges as told by K.V.N Ravi, GVMC:

- Construction work began one year after the procurement in most projects. There are several reasons for delays - Metal Scarcity: in the summer, Vizag faces a lot of power shortages (industrial belts) so crushers cannot crush metal. Labour Shortage. Natural Calamities: Cyclones and Heavy rains (Dec.2009/Nov.2010) leading to lack of sand.
- Four-year gap between identification of beneficiaries in the 2007 survey and occupation resulted in many extra households who also want benefits of the scheme (gives example of Seva Nagar-Omkar Nagar)
- Shifting – some communities are not interested to relocate – transportation is a problem

### Other Challenges and Observation by Study Team:

- In the third party monitoring reports by Shrikhande Consultants, issues with the DPRs for projects have been pointed out – namely, land issues and community objections to relocation, resulting in a change of several projects and sites.
- GVMC took a unique step as a municipality by allowing for cost escalation to be reflected during tendering even though the GOI does not recognize a cost escalation clause. This means, that the cost of the project remains fixed as on the date/year it has been sanctioned irrespective of any price rise later on. In the case of Vizag, the municipality allowed the tender to be floated at current prices (an increase from Rs.1.06 to 1.65 lakhs per unit) and the difference was taken on by GVMC and through a loan component by the benefitting households. As a result the *burden of cost escalation has been transferred to the beneficiaries* and households are paying almost 30-40% towards the cost of the house which is unaffordable by many spoken to during this study.
- GVMC has reached scale by providing almost 25,000 households with a housing option (the project report shows an 80% completion). However, completion as defined by the GVMC refers to completion of the building or unit and not provision of basic amenities thus providing an inaccurate picture of actual projects.
- The UCD department at GVMC is responsible for community mobilization prior to the project but the officials interviewed did not know the scheme for which they were mobilizing the communities
- In relocation project at Madhurwada, Kommadi, households were moved with little intimation into the rehabilitation units, and remain without basic amenities and transport to their livelihoods in the city
- In the in-situ project at East Point Colony, households were only briefly informed about the project but not actively involved in the process

## Recommendations

- Inclusion of a cost escalation clause to relieve burden on the state, ULB and communities
- Study of affordability of households eligible under the scheme before setting a % expected as community contribution towards the cost of a house
- Prior study of land and community consultation to decide choice of in-situ or relocation projects and choice of unit design
- Increased role of UCD to mobilize communities as there are strong community groups within the cases studied in this report. The UCD officials must be integrated with other GVMC departments so as to gain a more comprehensive understanding of the project before interacting with benefitting communities
- Setting up a gradual relocation process, where relocation is inevitable, so as to keep livelihoods, community networks intact

## Annexure III: Questionnaire

The following list of questions were listed after discussions between the project team members, against each project phase as outlined by the JnNURM-BSUP project guidelines. Not all questions may have been covered during the interviews and not all are relevant to every city so adjustments were made accordingly during the interviews. The questions are not meant to be a survey but only to act as a 'guide' when speaking to the implementing agencies, urban local bodies, communities and other stakeholders.

Project Phases	ULB/Implementing Agency	Communities
<b>About them</b>	<ul style="list-style-type: none"> <li>• History of the corporation and its roles.</li> <li>• Draw us a corporation organization structure</li> <li>• How many projects taken up under JnNURM?</li> <li>• How many projects/households/slums taken up under BSUP-When?</li> </ul>	<ul style="list-style-type: none"> <li>• Name of slum?</li> <li>• How many households?</li> <li>• Major livelihoods?</li> <li>• Existing organized community groups?</li> <li>Existing NGOs working in these slums?</li> </ul>
<b>Overall Scheme</b>	<p>Were communities told of the scheme and its implication on them?</p> <p>Is there a separate department for engaging communities in projects?</p> <p>Describe the phases of work and their sequence and timeline?</p>	<p>Are you aware of such a scheme?</p> <p>If no, how and when did you find out about it and the project?</p> <p>What was the broad process followed?</p> <p>What was your involvement in the process?</p> <p>How often were you given information regarding the project?</p>
<b>CDP</b>	<p>Were communities consulted during any of the CDP processes?</p> <p>To what extent did the CDP inform the selection of projects?</p>	---
<b>Socio-economic Survey</b>	<p>On what survey were project eligible households selected?</p> <p>If a new survey was done under BSUP, then: Who did the survey and how long did it take?</p> <p>How many slums in city and how many households/population?</p> <p>How many notified slums?</p> <p>Is there a process of de-notification for slums?</p> <p>How many projects/slums/population selected for BSUP?</p>	<p>Was a survey done - by whom? Were you informed about the survey?</p>
<b>Identification of projects for BSUP – relocation or in-situ</b>	<p>What criteria did you use to decide if a slum should be relocated or developed in-situ</p> <p>On what basis were lands for relocation selected?</p>	<p>Did you participate in this?</p> <p>Were you informed of which slums had been selected?</p> <p>How did you find out about the selected slums?</p> <p>Do you agree with the sites that have been selected for relocation or in-situ upgrading?</p>
<b>Procurement</b>	<p>What were the eligibility criteria?</p> <p>How many times did you have to call for a tender before a bidder was selected?</p> <p>If so, What were the reasons for the re-bid?</p> <p>When was the tender released, when was a bidder appointed and when did the project begin?</p>	<p>Did you work with an NGO?</p> <p>If so, did they participate in the tender?</p>



<b>Project Phases</b>	<b>ULB/Implementing Agency</b>	<b>Communities</b>
<b>DPR</b>	Who prepared the DPR? How long did it take? How was the community consulted/involved? What does the DPR say it will provide in terms of housing, infrastructure and other amenities and what is the actual site status?	How did you contribute in the design and planning process?
<i>Detailed slum survey, Infrastructure profiling</i>	Who did the detailed survey? How long did it take?	Who did the detailed survey? Were you informed of it? How long did it take?
<i>House designs, Settlement layout Infrastructure</i>	How many families have received new houses? Who developed the designs? The min. sq.ft. to be subsidised under Jnnurm is 25 sq.mts – what happens to households owning more sq.ft.? What other amenities are being provided?	What material was your house made of before? What was its size? What changes to the house are made now – good and challenges? Was and now is your house connected to infrastructure? What other amenities do you now have?
<i>Identification of beneficiaries</i>	What are the criteria followed in selecting beneficiaries?	Do you know how houses/families were identified? Do you feel the correct houses/families were identified? If no, why? Do all families now have a biometric card? Was it linked to something else? How has the card been of use to you?
<i>Individual Files</i>	Who collected the HH proofs? Is there a cut-off date? How long did this process take?	Who collected the HH proofs? What documents were submitted as proof?
<b>Transit Housing Implementing agency/ ULB has to provide this facility prior to construction of new dwelling units</b>	What form of transit was provided by the ULB: on-site temporary shelter, money to households, rentals? If no, why? After demolition, when did construction begin?	Where did you stay during construction? How much did you pay? Did the ULB contribute monetarily or otherwise? After demolition when did construction begin?
<b>Finance and Community contribution</b>	What is the average cost of a house unit? What is the amount or % contribution of central govt, state govt, ULB and communities? Were communities made aware of their monetary contribution? If no, why? How much have households paid so far (with respect to specific projects)? Did the government or NGO link communities to banks or other support? What are the challenges in this phase? Have you received regular money for work from the central/state government?	When and who informed you of the payment towards the project? How much do you have to pay? How much have you paid? How, by whom was the contribution collected and where was it collected? What other finance sources have you sought to pay this amount? Was this payment acceptable by you and if not, were there any negotiations with government?
<b>Construction</b>	Who was appointed to do the construction? When were the consultants appointed and when did construction begin? How long has construction taken? What stage is it at now? What challenges were faced and how were they dealt with?	How were you and the local government involved during construction? When did construction begin? How long did the construction take? What challenges were faced and how were they dealt with?

## Annexure III: Questionnaire

Project Phases	ULB/Implementing Agency	Communities
<b>Occupation</b>	Is construction complete now? When were households moved here? Describe the shifting process? How was allocation done? Was an NGO involved?	Is construction complete now? When were households moved here? If relocation, describe the shifting process? How was the allocation done? Are your original neighbours/community clusters the same?
<b>Housing cooperatives</b>	Who will support the households in forming a registered society now? Are there existing NGOs or community groups that the ULB works with here?	Are you a registered housing cooperative society? Are there existing NGOs or community groups now?
<b>Maintenance</b>	Who decided the maintenance procedure? To what extent is the local government involved in maintenance?	How will this building be maintained?
<b>Transfer of rights</b>	What are those “suitable protection clauses” to ensure the dwelling units are not transferred?	
<b>Ownership &amp; Tenure</b>  <i>Security of tenure to be given to people, discussion on this, clarity to be established and people to be well informed</i>	Who owns the land? Did the government buy it and for how much? How was this land selected for relocation? What tenure right on land will or do the households have after upgrading/relocation?	In your original settlement, who owned the land? Were there evictions? What form of land tenure do you have now? Is there a document given by the ULB to you?
	What rights on the residential unit do the households have?	Do you own these residential units? Is there a document given by the ULB to show that you are an owner now?
<b>Additional Q.s</b>		
<i>Community Participation</i>	What do you understand by community participation? Where was this evident in the projects phases?	How do you think the ULB could have made you a part of the process? Go phase by phase if possible.
<i>Grievance Redressal</i>	What are the kind of complaints- most common issues- you have received? How do you listen to these issues/engage with communities after the project?	Have you had any major issues with the relocation/upgrading-if yes, what did you do to solve them? Did you approach the implementing agency to help you? How long did it take for a response?
<i>Challenges</i>	What were the major challenges of BSUP for you as a ULB?	What were your major challenges in this project? How has the project affected your life-livelihoods etc. after moving to your new house/area?

## Annexure IV: Secondary Sources

The following list of documents were asked from every municipal corporation as a secondary source of reference for the study. In most cities, it was difficult to obtain documents or when obtained, the data often differed from the MoHUPA progress of cities (financial and physical) for BSUP. The study has included both sets of data/numbers/facts to highlight the discrepancies found.

1. CDP as prepared for JnNURM
2. Slum Definition and Slum List – this could be any survey used to identify project eligible households
1. Slum Survey and related report
2. Document related to denotification of slums – process and those slums denotified
3. Criteria for selection of slums for relocation or in-situ
4. Criteria for Selection of land for rehabilitation and land procurement documents
5. Maps (cadastral, project-specific, GIS layers etc)
6. Eligibility criteria for households
7. Tender/EOI/Procurement advertisements
8. Actual tender documents - original and re-bid documents
9. List of consultants tendered/hired (contractor, project management consultant, implementing agency, NGOs/CSOs), their appointment dates
10. DPR of all BSUP projects being studied
11. Individual household files (ask for a sample copy)
12. Documents stating/recording community/ household contribution
13. Document stating start of actual construction and progress so far
14. Allotment letter for households, if redevelopment is occupied
15. Supporting document for security of tenure granted to households after project and transfer of property rights)
16. Progress Reports from hired consultants: e.g Quarterly progress reports by the project management consultant or Third party monitoring reports
17. Any other documents to help better understand Planned Project, Implementation, Actual Project Delivery

## Annexure V: Acknowledgements

We would like to acknowledge and thank all those who supported, guided and participated in this study, from the Ministry of Housing and Urban Poverty Alleviation, India, National Technical Advisory Group for JnNURM, the City Municipalities, Implementing Agencies, Political Representatives, Consultants, NGOs and last but not the least, the communities from the urban slums without whom this report would not have been possible.

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Ms. Maragadam, Executive Engineer, Tamil Nadu Slum Clearance Board  
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Mr. Amit Pandey, Private Contractor  
NGO PRIA (Participatory Research and In Asia), Raipur  
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Mr. K.V.N Ravi, Executive Engineer, GVMC  
Mr. Venugopal, Executive Engineer for Thatipudi Water Supply Line, GVMC  
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Mr. Ramesh P. and Mr. Yadgiri, Hyderabad Slum Dwellers Federation  
Mr. Narayan Murthy, Vizag Slum Dwellers Federation



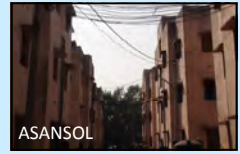




BHUBANESWAR



BHOPAL



ASANSOL



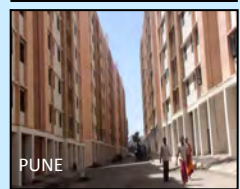
JAIPUR



NAGPUR



PATNA



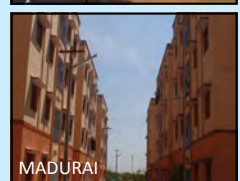
PUNE



PURI



RAIPUR



MADURAI



VISHAKHAPATNAM