

## **SLUM DWELLERS IN INDIA: A CASE STUDY OF SMART CITY OCCUPATIONS AND INCOME**

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### **ABSTRACT**

Slums are a clear manifestation of a poorly planned and managed urban sector and in particular, a mal-functioning housing sector. They are a global phenomenon. Slums are increasingly more prevalent in many cities of the world. There is a general assumption that capital cities of developing world have concentration of the majority of slum dwellers. There is also a general observation that the larger the city, the higher the proportion of population of slum dwellers But, slums can proliferate in primary cities and /or in intermediate cities. Evidence shows that slums exist not only in large and mid-size urban areas but also in small urban centres. Their formation and proliferation is a consequence of urbanization which is one of the characteristics of economic development.

**Keyword:** - Mal-Functioning, Global Phenomenon, Slum Dwellers, Urban Centres, Economic

### **INTRODUCTION**

Slums are informal settlements and more specifically they are squatter settlements. They are a consequence of urbanization. They are the direct outcome of increased pressure on urban land, mounted mainly by the influx of rural migrants into the cities. Rural migrants are attracted by the possibilities that cities can offer, but often settle in shanty towns and experience extreme poverty. The inability of countries to provide adequate housing to the migrants, is related to over urbanization, a phenomenon in which the rate of urbanization grows more rapidly than the rate of economic development leading to higher employment and high demand for resources. The municipal authorities have not been able to provide space for the increasing number of migrants and also the growing poor population within the city for dignified shelter. Slums are the most deprived and excluded form of informal settlements characterized by poverty and large agglomeration of dilapidated housing often located in the most hazardous urban land. Due to the shortage of developed urban land and the land prices and house rents being unaffordable, the poor migrants are compelled to encroach undeveloped and vacant public land available in and around their work places in the cities and erect temporary shelters for their living. Since they are illegitimate settlements, they are not provided with basic civic services such as drinking water, sanitation, drainage, roads and electricity by the municipal bodies. Slums sprout on road margins and vulnerable locations like hill-slopes, river banks, drains, swamps, and garbage dumping yards, the authorities helplessly watch them grow and sometimes may wink at their formation due to political pressures and for fear of aggressive reaction.

### **Economic Development**

Economic development brings about structural transformations within the economy. As an economy develops, the focus of economic activity shifts from agriculture to non-agriculture. Industrialization receives more attention and encouragement. Initially industrialization occurs in cities and urban centres because of the availability of basic infrastructural facilities and quick access to markets, finance and other essential services. Cities and towns are centres of agglomeration economies, investments, technology, innovation, economic growth and tertiary jobs. They are reservoirs of skills, capital and knowledge. They are also hopes of millions of migrants from rural hinterland and smaller settlements. Cities account for

some 70 per cent of global GDP. No country has ever grown to middle income status without industrializing and urbanizing. Rural-urban migration is one of the three drivers of urbanization, accounting for about 25 per cent of urban population growth. In the past hundred years, enormous growth of cities occurred in the western world as people took the fruits of development in the form of products, other than food and fabric that could be produced more economically in cities than in the countryside.

### **Urbanization**

Urbanization implies concentration of people in cities and towns through movement and redistribution. People move to cities changing from agriculture to other pursuits common to cities and corresponding changing behavior patterns. It is linked to industrialization and economic development. The shifts in the proportion of economic activity from agriculture to industry and from industry to services bring social transformation. Urbanization has a potential to usher in a new era of wellbeing, resource efficiency and economic growth. However it creates inequalities. Nowhere is the rise of inequality clearer than in urban areas where wealthy communities coexist alongside and separate from slums. Thus, urbanization is a byproduct of economic development

### **Global Scenario of Urban Expansion**

The world has become increasingly urban during the last six decades, facilitated by greater mobility of working population from rural to urban areas owing to increased economic activity in the cities and consequential expansion of opportunities for employment mostly in urban informal sector. In 2007, for the first time in history, the global urban population exceeded the global rural population, and the world population has remained predominantly urban thereafter. Between 1950 and 2010, humankind has endured its most rapid expansion from 2.5 billion to 6.9 billion. Sixty per cent of this gain has been in urban areas, particularly in urban areas of the developing regions. Humanity is only about halfway through this great transformation of urban living. Between 2010 and 2014, the global population was expected to increase by more than 2 billion while rural population was expected to decline with almost 300 million people.

According to the “World Urbanization Prospects” (2014 revision), 54 per cent of world’s population was residing in urban areas in 2014 as against 30 per cent in 1950. The report states that the urban population of the world had grown rapidly from 746 million (30 per cent of the world’s population) in 1950 to 3.9 billion (54 per cent of the world’s population) in 2014. According to the report, Asia was home to 53 per cent of the world’s urban population despite its lower level of urbanization. It was followed by Europe (14 per cent) and Latin America and Caribbean (13 per cent). Most of the developed countries have now around 70 per cent of their populations residing in urban centres. Though the level of urbanization in the developing countries is currently low, it is indeed in these countries that urbanization is intensely happening at present. As estimated by the report, the world’s urban population is likely to increase by another 2.5 billion by 2050 with concentration of nearly 90 per cent of the increase in Asia and Africa. India, China and Nigeria are expected to account for 37 per cent of the projected growth of world’s urban population between 2014 and 2050.

### **Urbanization in India**

India has been urbanizing. The share of urban population in the total population of India increased from 10.84 per cent in 1901 to 31.2 per cent in 2011. The urban –rural ratio increased from 12.16 per cent to 45.35 per cent in the same period. The number of cities/towns rose from 1917 in 1901 to 7933 in 2011. The number of million plus cities which stood at one in 1901 soared to 53 in 2011. As per 2011 census India’s urban population is 377.1 millions. There are 4041 statutory towns, 3894 census towns, 475 urban agglomerations and 981 outgrowths in 2011 as against 4041 statutory towns, 1362 census towns, 384 urban agglomerations and 962 outgrowths in 2001. As per the Census of 2011, 160.7 million urban population which accounts for 13.3 per cent of the total population of the country and 42.6 per cent of the total urban population lives in million plus cities. The population living in Class I cities as a per cent of

total urban population increased from 21.0 per cent in 1901 to 68.6 per cent in 2011. Urbanization is one of the indicators of economic development. Urban economy has a significant share in the county's GDP.

### REVIEW OF LITERATURE

**Swaminathan (1995)** studies aspects of urban poverty in Bombay and argues that income poverty lines are inadequate measures of deprivation of the homeless and slum dwellers. The study finds certain environmental deprivations characterized by large externalities like health hazards of open defecation. The households live in such great deprivation and squalor that mere increases in private income and individual actions can not improve the living conditions of the slum dwellers. The study advocates slum dwellers. The study advocates public action involving government and organized groups and communities in this regard.

**Sharma and Sita (2000)** who summarized the discussions held by the Tata Institute of Social Sciences, Mumbai on the draft national slum policy released by the government of India for public opinion highlights certain points of the policy. According to the note, the policy recognizes the fact that slum dwellers are bonafide citizens like any other sections of the city population and they also have role in contribution to the urban economy. It also recognizes that economic uplift of slum dwellers is necessary with the participation of people and the local leaders in the process of development.

**Sivaramakrishnan and Singh (2004)** assert that migration is not the principal or dominant factor in urban growth. Referring to Indian Census he points out that during the period 1981-91, natural increase accounts for 60 per cent of urban growth whereas migration accounts for 21.20 per cent and reclassification of towns accounts for 18.80 per cent. According to them, the figures for the last three decades show that nearly 60 per cent of the total migratory movement has been from rural to urban. They however admit that in some of the large cities, for certain period migration is a major factor. Most of the studies on rural-urban migration in developing countries are based on the European experience of labour transfer during the industrial revolution which provided wage employment to the rural-urban migrants in a rapidly growing urban industrial sector.

**Ram.B. Bhagath (2005)**, in his study on urban growth by size, class of city and towns in India observes that urbanization in India has reached its peak in 1970 and later has slowed down. However he finds that during the last two decades the population has been growing fast in many million plus cities and several new cities emerge as million plus cities. There are large variations in the rate of growth among the cities themselves. The statistical analysis shows that size of cities and towns as negatively related to the growth of cities, so as to allow them to reap the benefits of growth.

**Neha (2007)** analyses that growth of cities has always been accompanied by the growth of slums. The industrial revolution in Western Europe led to migration of people to slums in cities which create new conditions of ill-health due to overcrowding, poor housing and unsanitary conditions, coupled with poverty. While public health crises were not unknown in earlier times, the institution of family and church were primarily responsible for care and relief at that time.

**Arun Kumar Ghosh (2008)** in his study on relocation of slum dwellers observes that the movement of inhabitants from a squatter settlement to a resettlement colony can be perceived as a rise in the status of the slum dwellers. The legal recognition given to the resettlement colonies makes it mandatory for the government to ensure better infrastructural facilities such as metalled roads, concrete paved lanes, water, sanitation, schools parks and open space. The majority of the households live in pakka houses. The better housing condition of slum dwellers of the resettlement colonies is a direct consequence of security of tenure.

### CATEGORIZATION OF SLUMS

Slum economy is affected by the slum characteristics including size, location and permanence of settlement. More than half of slum dwellers are engaged in informal self-employment. The remainders are

engaged in wage-employment at formal and informal enterprises and generally they are susceptible to low wages, poor working conditions and other forms of exploitation,

### **Registrar General of India**

As adopted by the Registrar General of India for the Census of India, 2001, the term “slum area” includes:

- a) All specified areas in a town or city notified as ‘Slum’ by State/Local Government and UT Administration under any Act including a ‘Slum Act’.
- b) All areas recognized as ‘Slum’ by State/Local Government and UT Administration. Housing and Slum Boards, which may have not been formally notified as slum under any Act.
- c) A compact area of at least 300 populations or about 60-70 households of poorly built congested tenements, in unhygienic environment usually with inadequate infrastructure and lacking in proper sanitary and drinking water facilities.

### **National Sample Survey Organization (NSSO)-1976-77**

NSSO categorized slums for the purpose of its survey conducted in 1976- 77, as

- 1) Declared and
- 2) Undeclared’ slums

They are defined as follows:

- a) The “declared slums” were areas, which had been formally declared as slum by the respective municipalities, corporations, local bodies or the development authorities.
- b) The ‘undeclared slum” was defined as “an aerial unit having twenty five or more katcha structures mostly of temporary nature, or inhabited by persons with practically no private latrine and inadequate public latrine and water”.

### **National Sample Survey Organisation (NSSO) - 1993 - 2002**

NSSO revised and adopted the following definition of slum for the purpose of survey in 1993 and 2002

- Slum is “a compact area with a collection of poorly built tenements, mostly of temporary nature, crowded together usually with inadequate sanitary and drinking water facilities in unhygienic conditions”.
- The slums were categorized as “non-notified” and “notified slums”
  - a) A slum was considered as a “non-notified slum” “if 20 households lived in that area”.
  - b) A slum was considered as a “notified slum” if it was notified as a slum by respective municipality, corporation , local body or development authority.

### **National Sample Survey Organisation (NSSO) – 2002-2012**

Slums have declined by over 35% in the Last 10 Years: NSSO Data. The number of slums in the country has reduced from 51,688 to 33,510 in ten years, said Minister of State for Housing and Urban Affairs, Kaushal Kishore, in a written reply in the Lok Sabha .

- The Minister told the Parliament that the number of slums has reduced by almost 35% as per the 58th and 69th round Survey of National Sample Survey Office (NSSO) on urban slums in 2002 and 2012 respectively.
- Land and colonization are State subjects. The schemes related to housing including rehabilitation of slum dwellers are implemented by States and Union Territories (UTs).
- However, the Ministry of Housing and Urban Affairs is supplementing the efforts of State and UTs by providing Central Assistance under Pradhan Mantri Awas Yojana – Urban (PMAY-U) for construction of houses for all eligible families and beneficiaries including slum dwellers.
- Eligible beneficiaries can avail the benefit of PMAY-U through available four verticals i.e. Beneficiary-led Construction (BLC), Affordable Housing in Partnership (AHP), In-Situ Slum Redevelopment (ISSR), and Credit Linked Subsidy Scheme (CLSS).
- ISSR component of the Scheme specifically deals with slum redevelopment using land as a resource.

- Central assistance of Rs. 1 lakh per house is provided under this component, based on projects submitted by the State and UT Governments.
- Under the ISSR component, a total of 4,51,050 houses have been sanctioned so far to construct houses for slum dwellers.
- Public health and sanitation are State subjects. The primary responsibility of strengthening public health and sanitation in all urban areas including slums lies with the respective State and UT Governments.

However, the Central Government supplements the efforts of States and UTs through various programmatic interventions including Atal Mission for Rejuvenation and Urban Transformation (AMRUT), Swachh Bharat Mission-Urban (SBM), National Health Mission (NHM) for augmenting and improving the sanitation and public health facilities for urban poor in the country including slum areas.

### **State Governments in India**

The concept and definition of the term: slum” varies from state to state in India. Unlike the definitions adopted by the Registrar General of India and the National Sample Survey Organisation each state government defined slum in its own way based on the provisions of its own Slum Act and depending upon the socioeconomic conditions obtaining in the respective areas. However, broadly speaking, the physical characteristics of slums in all Indian states are more or less the same. By and large, slums as perceived across the country are clusters of hutments having dilapidated and infirm structures deprived of basic amenities such as toilets, safe drinking water and having no arrangements for drainage and disposal of garbage and solid waste. However, in technical terms, the parameters adopted by the state governments, NSSO and the RGI differ. There is no mention of the limit of the households in the slum area in the definitions of the state governments whereas the definitions adopted by the NSSO and RGI clearly mention the limit. Similarly the state governments follow their own procedure and criteria in notifying an area as a slum and distinguishing between notified and non-notified slums.

### **Slums in India**

There are 139.2 lakh slum households in India as per 2011 census. They constitute 17.2 per cent of the total urban households of 808.9 lakhs. The average size of the slum households is 4.7. The slum population is 654.9 lakhs accounting for 17.4 per cent of the total urban population of 3771.1 lakhs. Slum population as a per cent of the country's slum reported towns is 22.4 per cent. There are 2613 slum reported towns in India in 2011. The sex ratio of slum population is 928 as against 924 of urban population.

Slums and slum dwellers thus not only deserve but also warrant serious attention from policy makers, public administrators and social organizations as well. It is true, that there is a growing concern about slums everywhere. World bodies like United Nations have taken initiatives to study the problem and offer help to countries of different regions. This is evidenced by the United Nations Millennium Declaration. Governments across the world, have come forward to implement various schemes aimed at improving the physical environment of slums and living conditions of slum dwellers. Certain social organizations have also been evincing keen interest to participate in the programmes of slum-improvement.

### **OBJECTIVES OF THE STUDY**

- i) To review the socio-economic conditions of the slum households
- ii) To examine the migratory character of the slum dwellers
- iii) To identify the occupational structure of the slum dwellers of the study area
- iv) To review the service conditions of the workers among the slum dwellers and identify deficiencies
- v) To examine the income, expenditure and saving levels of the sample respondents.

### **RESEARCH METHODOLOGY**

The focus and main objectives of the present study is to examine the occupational structure and income and expenditure levels of the slum dwellers of the sample area. This study has been based on primary as well as secondary data.

**a) Primary Data**

Primary data was collected through a schedule-cum-questionnaire. The questionnaire was pretested through a pilot survey by collecting data from 12 sample respondents at the rate of 3 from each location. With the experience gained during the pilot survey regarding clarity, correctness and adequacy. Minor modifications were made in the original schedule-cum- questionnaire and the finalized schedule-cum questionnaire was used for regular survey. Selected Bhagalpur Smart City Slum Areas- Bhikhanpur Gumti No. 1, 2 & 3, Fakirtakiya (Ishakchak), Islamnagar, Jaiprakash Nagar Purbi Tola, Jaiprakash Nagar Paschimi Tola, JLMNCH Campus Area, Kalighat, Mayaganj, Lajpatnagar, Daudbat, Tilkamanjhi University Campus Road Side, Vinoba Nagar, Barari.

**TABLE- 1A**  
**AVERAGE MONTHLY INCOME OF RESPONDENTS BY SLUM AND OCCUPATION**

S. No	Occupation	Average Monthly Income - Slum-wise (Rs)						
		Bhikhanpur gumti No. 1, 2 & 3	Fakirtakiya (Ishakchak)	Islamnagar	Kalighat, Mayaganj	Vinoba Nagar, Barari	Lajpatnagar, Daudbat	Average
1	Manufacturing	8625	9209	11278	11967	12907	12100	11015
2	Trade and Commerce	11764	9969	10723	11182	11401	12902	11263
3	Transport	11472	10469	9161	10644	10418	12258	11787
4	Construction	9460	10633	10595	11216	12557	12511	11361
5	Service	10550	9492	9269	10918	12337	12472	10874
6	Agriculture and allied	8240	9443	9091	10704	11150	9944	9970
7	All Occupations	10069	9945	10022	11135	11786	12069	10931

**Source:** Computed from the primary data.

**Table- 1B**  
**AVERAGE MONTHLY EXPENDITURE OF RESPONDENTS BY SLUM AND OCCUPATION**

S. No	Occupation	Average Monthly Expenditure by Slum						
		Bhikhanpur gumti No. 1, 2 & 3	Fakirtakiya (Ishakchak)	Islamnagar	Kalighat, Mayaganj	Vinoba Nagar, Barari	Lajpatnagar, Daudbat	Average
1	Manufacturing	7390	8138	9561	10543	11212	10338	9536
2	Trade and Commerce	10022	8981	9351	9900	9986	11623	9949
3	Transport	9890	9130	7691	9756	9449	10942	9523

4	Construction	8506	9389	9330	9552	11060	11091	9980
5	Service	9458	8490	8363	9655	10855	11267	9717
6	Agriculture and allied	7200	8548	8371	4473	10440	8751	8948
7	Average	8787	8803	8789	9790	10481	10715	9656

**Source:** Computed from the primary data.

#### **b) Secondary Data**

For the purpose of identifying the problem, identifying the areas of focus and finalizing the research design, secondary data has been used. The sources of secondary data consisted of books, journals, reports, printed or unprinted documents and relevant records, on line documents, Acts and government orders.

#### **Selection of the Study Area and the Sample**

Both the study area and the sample have been selected after considering the overall location and condition of slums and distribution of slum dwellers location-wise and occupation-wise.

#### **Selection of slums**

The city has about 86,000 households with average density of 13,263 persons per sq.km. There are about 165 slums spread within city with population of about 9,000 persons. After pilot study keeping the identical nature of their characteristics they have been grouped into some locations for the purpose of the present study as follows, since the main focus of the study is occupational structure but not mere location.

#### **LIMITATIONS OF THE STUDY**

Collection of primary data from people imposes certain limitations. The researcher found it difficult to elicit information from the slum dwellers that are not very enthusiastic in answering all questions. They had to be convinced and persuaded. They were hesitant in particular to talk about their income, expenditure and savings. They have not maintained any records but gave information from their memory. A few respondents might have given incorrect information intentionally for some personal reasons. Therefore, there may be certain inaccuracies in the information provided by sample respondents on certain aspects of study the results of the study may be limited to that extent.

#### **Conclusion**

Thus various schemes have been introduced and some of them have been modified and are introduced in some other name. Most of the schemes are continuing. Some of the schemes have yielded satisfactory results though the problems of slums still persist. It may take a few more years to find visible impact and slum-free India. Since the review of the implementation of the scheme is not within the scope of the present study, further examination of the schemes and their implementation has not been included in this chapter. With broad idea gained from the overview of the issues of urbanization and proliferation of slums and the government's approach towards tackling these issues, the study proceeds with the analysis of the data collected from the sample households in the later chapters.

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