CHAPTER II
SURVEY OF RELATED LITERATURE

This chapter consists of three parts. The first part deals with the concepts related to the present study. The second part of discussions is made on the theories/models. The third part deals with the survey of related literature pertaining to this study.

RELATED CONCEPTS

Slum

A street, alley, court, etc. situated in a crowded district of a low class or by the very poor; a number of these streets or courts forming a thickly populated neighbourhood or district where the houses and conditions of life are of a squalid and wretched character (The Oxford English Dictionary, 1989:754).

Barnes (1931:5) defined the older or "ancient" slums as housing that was close together and badly arranged. He pointed out, however that, the "modern" slum is to be "distinguished from the 'ancient' slum in that the insanitary conditions result not from the construction or arrangement of buildings but from the failure to maintain a proper sanitary standard."

Slum is a "blighted area," "renewal area," Deteriorated area," "gray area," "lower class neighbourhood," "low income area," and "inner core area." "Slum" is a "good, old-fashioned word that caries real meaning." (Hunter, 1964:6).

Slums vary from one type to another, but certain general patterns of slum life are universal. Although the slum is generally characterized by inadequate housing, deficient
facilities, overcrowding, and congestion, it involves much more than those elements, it is a way of life, a subculture with a set of norms and values, which is reflected in poor sanitation and health practices, deviant behaviour, and characteristic attributes of apathy and social isolation. People who live in slum areas are isolated from the general power structures and regarded as inferior, and slum dwellers, in turn, harbour suspicions of the outside world (Clinard, 1970:3).

Slum areas refer to dilapidated buildings and buildings largely exist with broken down men and women who launch an almost hopeless fight to live decently. A slum is thus a place were hope is dead (Leinward et al., 1970:16).

The Slum Areas (Improvement and Clearance) Act of 1956, defines slum as an area where (a) building are in every respect unfit for human habitation; (b) by reasons of dilapidation, overcrowding, faulty arrangements of streets, lack of ventilation, light or sanitary facilities, or by any combination of these factors, human habitation is detrimental to safety, health and morals (Arrangannal, 1975: 5).

The term slum should be applied to those parts of the city which may be unfit for human habitation either because the structure therein are old, dilapidated, grossly congested and out of repairs of because it is impossible to preserve sanitation for want of sanitary facilities including ventilation, drainage, water supply, etc. or because the sites by themselves are unhealthy (Economic Survey of Slums in Old Delhi, 1978:165). According to the report on slums in Baroda, the term slum "applies to all those dwellings that do not even provide the basic minimum facilities for human subsistence. The very lack of basic
infrastructure facilities, high infant mortality, utter negligence of personal health and hygiene all these together characterises what may be termed as slums (1978:165-166).

The Tamil Nadu Slum Area (Improvement and Clearance) Act, 1971 defines slum as an (a) any area is or may be source of danger to the health, safety or convenience of the public of that area or of its neighbourhood, by reason of the area being low-lying, insanitary, squalid, overcrowded or other wise; or (b) the buildings in any area used or intended to be used for human habitation are (i) in any respect, unfit for human habitation; or (ii) by reason of dilapidation, over crowding, faulty arrangement and design of such buildings, narrowness or faulty arrangement of streets, lack of ventilation, light or sanitation facilities, or any combination of these factors, detrimental to safety, health or morals, they may be by notification, declare such area to be a slum area (TNSCB, 1992a:5-6).

**Slum Clearance**

The evacuation and demolition of slums usually accompanied by the rehousing of the inhabitants (The Oxford English Dictionary, 1989:755).

**Resettlement**

Resettlement means "The act of resettling, afresh settlement". "The process of settling down again", "the result of a settling" (The Oxford English Dictionary (1989:705). Resettlement can be described as (a) displacement of people, and (b) reconstruction of their livelihood; this reconstruction is some times called rehabilitation (Cernea, 1995a: 100).
Displacement

Displacement means, "remove a thing from its place, putting out of place, shifting, dislocation" (The Oxford English Dictionary, 1989:814),

According to Cernea (1995a: 100) displacement concerns how land and other major assets are expropriated and people are removed, to allow a project intended for the overall social good to proceed. In real life, this is not just an "expropriation", a simple transfer of property in exchange for compensation. In sociological terms, it is a process of unraveling the existing patterns of social organization and functioning of ongoing production systems and settlement units. Forced population displacement always creates a social crisis and sometimes a political one as well. The disruptions it triggers are rarely equaled in the 'normal' process of development.

Rehabilitation

Rehabilitation means "place where persons are bringing back to normal life by special treatment" (Oxford Advanced Learner's Dictionary of Current English, 1984:709-710).

Rehabilitation means "The act of re-establishing (a person) in a former standing with respect to rank and legal rights". "The action of replacing a thing in, or restoring it to, a previous condition or status" (The Oxford English Dictionary, 1989:527).

Rehabilitation means everything from restoring to former capacity of condition, to making in an improved form (Bloom, 1956:114).
The term rehabilitation is frequently used in association with the term renewal; the former is used to mean in the sense of rescue operation for those areas, which are not slums, but may rapidly deteriorated into slums and which show every sign of being depressed and dismal. The word reconstruction refers to restructuring and rebuilding of existing residential areas which are not yet dead and ripe for redevelopment (Scott, 1961:330-332).

The term rehabilitation may refer to services specifically concerned with education, physical function, psychological adjustment, social adoption, vocational capabilities, or recreational activities (Robert, 1965:1).

Rehabilitation can be defined as "transfer of population from one are to another on a planned basis". Rehabilitation not only may refer to services and techniques of functional restoration, but also the organization of all the efforts of all the people involved, as well as the end result of goal of those effort. It is individual as well as community adjustment and its integration, which involves the acceptance of the programmes, designed to accomplish maximum restoration. (Alexander et al, 1991:71).

Rehabilitation and reestablishment, in turn refers to the fate of the displaced people after relocation and to the reconstruction of their socioeconomic organization (Cemea, 1995a: 101).

Rehousing

To house (a person, etc.) again; to provide with other house (The Oxford English Dictionary, 1989:530)
**Community Participation**

Community participation, thus defined, was not invented by development agencies; it has always existed in the form of rural societies. However, with the rapid pace of urbanization in many developing countries, community participation has been given more attention and taken on new dimensions and sometimes controversial meaning (UNCHS - habitat, 1991, 5).

Community participation is sometimes viewed from outside the community as merely an "instrument" to bring about change, particularly in low income settlements. (UNCHS - habitat, 1991:6-7).

The UNCHS - (Habitat) defines the community participation as: (a) the active role of a local community in planning (at neighbourhood level with special attention to provision of facilities for improvement of the daily life of the residents) and implementation of the community development and improvement programmes beneficial to the whole group, (b) the voluntary involvement of people in making and implementing all decisions directly affecting their lives; and the activities undertaken by low income households, with or without outside assistance, to improve their living conditions (1992:22).

**RELATED THEORIES**

**Kenneth Burke's Dramatism**

Burke (1945) discussed Dramatism in which he divides action into five categories: scene, agent, act, agency and purpose. The inter relation between these categories, which Burke calls "ratio" are not exact formulations but general congruencies. At first glance, we find the major importance of the scene. The scenic conditions, housing, present the basic
problems. Slums denote a bad physical environment. Therefore, the first interpretation is that a change in scene will lead to a change in the agents. This assignment of passive role to the residents turns out to be rather an oversimplification. The families are not objects but are active agents, being able to create public issues and to exert some political control on public agencies. Even beyond their role as citizens, the families in substandard housing play an active part in the relocation process by their degree of cooperation resistance and ultimate decision to move. The purely mechanical impact of the act of housing change cannot be the central issue; we must investigate the purpose of the whole process. Certainly there are goals beyond the change in housing itself for the residents as well as for the public authority, staff, comfort, health, and family life are the values for which the general programme and individual drive.

Scudder-Colson Relocation Theory

Scudder and Colson (1982) argued that, relocation, whether voluntary or compulsory, is a stressful experience. Members of community undergoing relocation react in predictable and broadly similar ways, "partially because the stress of relocation limits the range of coping response of those involved". The problems and stress accompanying forced relocation also characterize other types of relocation although to a lesser degree. During the most stressful period i.e. the period leading up to relocation, the move itself, and the first few years of adjustment thereafter, people tend to behave in conservative, risk avoiding ways, clinging to familiar practices and groups. As and if, communities reestablish themselves economically and socially they leave this period of stress and insecurity. People now are to behave in more innovative and risk taking ways, and their attitudes become increasingly flexible, individualistic and open ended - more so than in the case of communities that have not been resettled. This is because the simplified cultural repertoire
and the break down of patterns of community organization and leadership that occur during
resettlement wake for less restraints and individual initiative as the relocated community
establish itself. A community may be deemed to have successfully passed through
relocation experience, when it passed through relocation experience, when it is no longer
out side management and when it has become integrated into wider regional setting in such
a way that it has attained economic and administrative ability.

Michael M. Cernea's Impoverishment Risk Theory

Cernea (1995a, 1997 and 1999) proposed a "Risk Model" consisting of eight
convergent sub processes which result in lasting impoverishment, if the risks are not
addressed from the outset through the very planning of the development programme that
causes displacement. This model shows that how impoverishment can occur as result of
displacement. He pointed out that when displacement and relocation leave people worse
off, the empirical evidence reveals a set of eight recurrent characteristics. While each is
irreducible to others, they have a common denominator: they contribute to a process of
impoverishment. These characteristics make up a risk model. The model points to the "risks
to be avoided" in displacement. These major risks reflect social and economic processes
that occur with higher frequency, that others, despite the enormous variability of
individuals situations. These are: (a) Landlessness; (b) Joblessness; (c) Homelessness; (d)
Marginalization; (e) Morbidity and mortality (f) Food insecurity; (g) Loss of access to
common property assets; and (h) Social disarticulation. These characteristics of
impoverishment not only capture the lessons of many displacements, also provide a
warning model.
Landlessness

Expropriation of land removes the main foundation upon which people's productive systems, commercial activities, livelihood are constructed. This is the principal form of decapitalization and pauperization of most rural and many urban displacees who lose this way both natural and manmade capital.

Joblessness

Loss of employment and wages occurs more in urban areas, but it also affects rural people, depriving landless labourers, service workers, artisans, and small business owners of sources of income. Unemployment or underemployment resulting from resettlement tends to linger long after physical relocation.

Homelessness

Loss of housing and shelter is temporary for the majority of displacees, but for some homelessness remains chronic condition. If resettlement policies do not explicitly provide improvement in housing conditions, or if compensation for demolished shelters is paid at assessed marked value rather than replacement value, the risk of homelessness is increased. In a broader cultural sense, loss of a family's individual home is linked with the loss of a group's cultural space.

Marginalisation

Marginalisation occur when families cannot fully restore economic strength. Many individuals cannot use their previously acquired skills at the new location and human capital is lost or rendered inactive, useless. Families previously in precarious balance above the poverty line may fall below it and never recover, even without becoming landless. The
coerciveness of displacement also depreciates the image of self. Marginalisation materialises also drop in social status and in a psychological downward slide of resettlers' confidence in society and self, a sense of injustice, a premise of anomic behaviour.

Increased Morbidity and mortality

People forced to relocate are exposed in a high degree to illness, and to comparatively more severe illness, than those who are not. Adverse health effects of displacement, particularly when projects do not incorporate preventive epidemiological measures are documented. The direct and secondary effects of involuntary dislocation without preventive health measures leads to serious decline in health result from displacement-caused social stress, insecurity, psychological trauma and diseases of poor hygiene, such as diarrhea and dysentery, outbreaks of parasitic and vector-born diseases, such as malaria and schistosomiasis caused by unsafe, insufficient water supplies and inadequate sanitary waste systems.

Food insecurity

Forced uprooting increases the risk that people will fall into chronic undernourishment, defined as calorie-protein intake levels below the minimum necessary for normal growth and work, and food insecurity.

Loss of access to common property assets

For poor people and marginal people, loss of common property belong to communities that are displaced represents a cause of income stream deteriorated that is systematically overlooked.
Social disarticulation

Forced displacement tears apart the existing social fabric; it disperses and fragments communities, dismantles patterns of social organization and interpersonal ties; kinship groups become scattered as well. Life-sustaining informal networks of reciprocal help, local voluntary associations and self-organized mutual service arrangements are dismantled. The destabilization of community life is apt to generate a typical state of anomie, crisis-laden insecurity, and loss of sense of cultural identity, tending to transform displacement zones into what has been termed a "anomic regions" or "anomie-ridden areas". The unraveling of spatially based patterns of self-organization, interaction and reciprocity is a net loss of valuable "social capital" that compounds the loss of natural and man-made capital. The social capital lost through social disarticulation remains unperceived and uncompensated by planners, and this real loss will reverberate long and detrimentally during subsequent periods. The people may physically persist, but the community that was - is no more, because its spatial, temporal and cultural determinants are gone.

RELATED STUDIES

Festhinger et al. (1950) found that friendships can depend on physical layout of the residential area and that satisfaction and moral in the neighbourhood are maximized if the layout as well as the social climate encourage interaction.

Young and Will (1957) and Gans (1962) argued that relocation programme almost inevitably break up the cohesion provided by the kinship net work.
Back (1962) has studied the social psychological issues of the relocation of the slum dwellers in Puerto Rico. He also studied the reactions of the slum dwellers who were proposed to be relocated and the residents of the public housing schemes. The findings regarding the socioeconomic status of the households, he finds that they live under rather depressed conditions. The study further revealed that, in the slums, housing conditions depend in great part on economic conditions, while in housing projects this relation does not hold. Everybody there lives in a well-kept concrete building and has piped water and other accommodations. Even other features, such as space, which are not comparable in all apartments, show less relation to income than is true in the slums. Further, people with lower income in housing projects have conditions equivalent to those of people with higher income outside. It is clear that this advantage will appeal especially to families who have little hope of improving their economic standards. He concluded that the projects have two important functions. Depressed sections of the population can be protected and some people can be provided with a base from which they can seek a better life for themselves.

Ivern (1965) discussed in his study about the slums and rehousing the people living in them. In his study he concluded that slum clearance and rehousing cannot be simply reduced to building better houses, nor even if they are occupied by normal and healthy families, with no traces left by the so called 'slum mentality'. Housing has a social and functional value as regards family and community life that must be taken into account by today's builders and planners, if they do not wish to be called 'slum makers' tomorrow.

Mangin (1967) described how the Barriadas of Lima had their beginning in the years immediately following World War II; how it was usual for the police to evict the slum
families from the land by force, "sometimes with fatal beatings of men, women, and children and then burning their shacks and households goods.

Clinard (1970) in his study on "slums and Community Development: Experiments in self-help" in Delhi slums found that, one third of the heads of the families felt that there had been an increase in the general cleanliness of the areas, 44.6 per cent said that there had been no change. He concluded that certain aspects of slum problem in the developed or less developed countries reach far beyond small areas and the possibilities of self-help. Certain functions of government in urban areas cannot be decentralized, and certain problems cannot be corrected at the local level. In both affluent and poor countries, there is a need for more equitable distribution of wealth and elimination of poverty, as well as for greatly improved housing conditions, in less affluent societies, there are acute problems of increased industrialization, overcoming wide spread unemployment, and increasing health facilities. Despite these reservations, there is still much that can be done by slum people, and, for that matter, all urban people, to help themselves.

Juppenlatz, (1970) found that, in Delhi, the mobility in relation to work was considered an important factor in the relocation of squatter families. Where major clearance of high density squatter colonies were involved, relocation schemes were invoked and 'transit camps' were reestablished for the temporary accommodation of the families until they were permanently settled in one of the several resettlement flats constructed. He emphasized that there is a need for a positive investment programme to reduce the time lag between the time of arrival of the newcomers and the time when they will begin to pay taxes.
In Turkey the government with its policy of providing a home for each family commencing with the lowest income group, proposed to improve those 'gecekonduś' which could be improved, some with grants and some on a public loan basis and ultimately to provide the occupants with title to the land; The government intended to reaccommodate the squatter family in formal housing scheme.

In 1954 Hong Kong Housing Authority in Cooperation with the Resettlement Department and the Public Works Department, the Authority had accommodated a total of 6,00,000 of former urban squatters in housing units, mostly apartments by 1965, i.e. over the eleven years period. The Authority adopted density standard of 1,600 to 2000 persons per acre and established an organization to be responsible for housing management and tenant education. These were meant for those squatter families who were industrious and could afford to pay rent for larger and better apartment as the resettlement buildings were intended only for those families whose income was very low and who could afford little for rent.

Bishop (1971) attempted to study the Hong Kong Resettlement Programme in terms of the squatter background to resettlement and to indicate some of the effects of resettlement both on the community and on the squatter himself. The study reveals that out of 131 families surveyed 181 claimed to be generally satisfied with their housing and social conditions, 35 were neutral and 19 were dissatisfied. 79 families were satisfied with the educational facilities as against 25 neutrals and only one dissatisfied. 79 expressed themselves satisfied with the post-resettlement employment situation, compared with 33 neutrals and 23 dissatisfied.
Muthayya and Mathur (1975) in their study on "Rehabilitation of displaced villagers" attempted to find out the socioeconomic conditions of the displaced villagers and their future life situation in order to devise ways and means to rehabilitate them more effectively. The study has dealt not only with existing socioeconomic conditions of the displaced villagers but also with their attitudes to the future life situation, more specifically the type of occupation they expect to take up. It has revealed the very depressing condition in which the villagers survived in the New Settlement with initial difficulties of finding a place of living leave alone other facilities, which they could claim without effort in their previous environment. All of them particularly those who were having land based occupations are also anxious about the future.

Turner and Byran (1975) pointed out in their article 'Self-Help Society' that 'massive and forced transfers of the poor from inner-city slums and shanty towns to greatly improved dwellings on the urban periphery generally impoverish the poor. When these centralized systems are used to house the poor, their scale and limitations of management rule out the essential variety and flexibility of housing option which the poor display in their own housing developments evolved over a period.

Oram (1976) discussed that one of the reason for squatter resettlement policies in Delhi not achieving its objective was the false assumption that squatters would want to move to services plots and pay for services provided, rather than live in an unserviced area for no apparent cost. Clearly response will vary according to income level and to aspirations among the poor; very poor people are much more likely to settle for no services. It is likely, however, those more affluent squatter settlers would accept services and related
debts payments. Unfortunately, even where this is the case, bad administration too often makes them wait too long for their lots.

Laquian (1977) criticized early site and service efforts because they were located in urban peripheries, requiring relocation of inner city squatters, resulting in economic, social and personal dislocation. Given the structure of land prices in Third World cities, only peripheral areas are available for low cost programmes and, therefore, Government intervention in the land market is necessary.

Hasnath (1977) discussed in his study on "Consequences of Squatter Removal" in Daka that the squatters "resquat", grow in number and live in a more pitiable condition in the new place than the squatters from which they had been forced out.

Payne (1977) found that the people themselves fully capable of developing their own housing and local environment. The potential for self-help which he suggests, reinforces the conviction already expressed that housing as such is not required for large sections of the low income groups, but that serviced settlements, integrated within a comprehensive social policy, would be more appropriate.

Mathew (1978) discussed in his study on "The Rehabilitation Programme of Alagados Squatter Settlement, Brazil, that the rehabilitation programme contains positive as well as negative consequences for the actual residents. On the positive side, the squatters are permitted to remain in the occupied areas and that the planners came to the economically reasonable decision to preserve most of the existing building structure, even though it was erected without planning permission. Concerning the new houses, the
architectural solution provides some freedom for the inner arrangement of the houses. The squatters have shown on the same site that they are capable of determining their housing needs and even developing more fantasy in the design of their dwellings than the architects did in this scheme.

Shah (1978) discussed the slum rehabilitation project at Vasana in Gujarat. The Integrated Urban Development Project (IUDP) at Vasana, Ahmedabad comprises two mutually complementary, overlapping streams of activities. The first relates to the provision of the physical infrastructure for living through the erection of township on the city outskirts for about 12,000 people, who lived in an unhygienic, deprived and forgotten existence in the slums and squatter settlements of the city affected by floods. The second stream of activities attempts to build-people-a cohesive community of self-respecting, self-reliant individuals. This is being done through various activities under the social action component. Trained community workers were involved in workout the alternative housing strategies through the community meetings and the discussions with the community leaders and the people preferred to build houses in the new settlement. Attempts were made to involve the community in design of the house and layout and house construction. Attempts were also made to develop low cost health system through community level paramedical workers. The community workers in cooperation with the district panchayat started a primary school immediately after the families moving to the new township. A crèche, which employs women from the community itself, looks after children while their mothers are working. He concluded that the Vasana resettlement project, seen as a housing project for slum dwellers was successful.
Unni (1978) stressed need for housing management and improvement of the quality of environment with the participation of the residents. In this context housing the urban poor, its roles include responding to the individual household's choice regarding location preferences, coordinating the work of all agencies including voluntary ones to function in a unified manner, guidance and control regarding use of all levels of community spaces and provision for recreation, team activities for supplementary income, attending to needs in terms of priority felt by the people relocated. Transfers and exchanges between occupants in the same relocated site and between different settlements are a provision which housing management judiciously employs to promote neighbourly satisfaction and to deal with the case of problems of families. Management makes an effort to attain the social betterment of residents through education, human relations techniques and stimulation of tenants' participation in programmes.

Santhanam (1980) found that various housing schemes promoted by the City Improvement Trust, Tamil Nadu Housing Board, Tamil Nadu Slum Clearance Board in Madras fulfilled only about one third of the requirements of urban poor likely physical, social, cultural, economic and environmental. One of the major objectives of slum clearance by way of provision of house is to improve the environmental conditions of the slums. But the satisfaction index for environmental aspects covered under various schemes ranges from 10 to 25 and average satisfaction index for all schemes was 18.93 which was lowest among all aspects.

Devas, (1981) studied the Kampung Improvement Programme in Indonesia which was financed by the City Government. No charges are taken from the residents for the infrastructures provided, although they are required to contribute the land required for
access routes. In financial terms the programmes do not represent a burden to the residents, since capital costs are not recouped directly; the only costs to the residents are increased property taxes and certain contributions for operation and maintenance of infrastructure.

**Mishra and Gupta (1981)** in their study "Resettlement policies in Delhi" pointed out that (1) there was no significant change in the average monthly income of the respondents after shifting to new resettlement colonies but the average monthly family income was considerably reduced. (2) The major reason for poor availability of services in the resettlement colonies seems to be their remoteness from the heart of the city. (3) Mode of shifting: According to the resettlers, their consent was not taken regarding their choice of resettlement colony. (4) The reason stated by the officials, for locating the resettlement colonies on periphery of the city, was the non-availability of the appropriate sites within the city. Land prices are also very high where such type of welfare schemes can't be carried out due to their uneconomic nature.

**Wang and Tan (1981)** discussed that the difficulty in urban redevelopment is related to slum clearance, which is a tedious process. Relocation disrupts the traditional operation of small shops and the life style of the residents. A redevelopment project can only obtain the sympathy of the residents affected if disruptions are minimized. In addition an improvement in the living environment, together with better employment opportunities and their incomes, should be provided for the affected shops and families after their relocation besides, the location of the resettlement centres are to be carefully selected.

**Wiebe (1981)** in his study on "Tenants and Trustees: A study of the poor in Madras" found that the tenement programme has been effective in certain considerations,
and ineffective in others. The poor slum dwellers are suppressed, constrained and handicapped by social, cultural, administrative and other mechanisms, while showing also, innumerable ways, how they remain resilient. The evidences has shown, how changes that can work to the advantage of the poor can be encouraged through social work understanding.

Joshi (1982) in his study on "Displacement and Rehabilitation" stressed the stress and strains involved in the rehabilitation of the people both before and after rehabilitation. He has focused on the changing social relations and the resulting stress and strains involved in the rehabilitation. He found that the process of resettlement and the uncertainty arising out of it led to anxiety among the people and the impending crisis of displacement will have certain impact on the structure of the family after rehabilitation as it might bring in its wake new economic resource; modify the existing ones and they might affect the composition of the family.

Visvanath L.S. (1982) has studied the socioeconomic conditions and attitude towards Rehabilitation of tribal families of submerged villages in Gujarat.

Muthayya, et al. (1984) have studied about the socio economic characteristics and patterns of behaviour of the affected inhabitants, potentialities for employment and income in the National Aluminium Company (NALCO) complex rehabilitation colony and in the impact area of the project extending over a zone with a radius of 10 kms from the plant site, apart from the possibilities of providing linkages between the community of the displaced and the impact area on the one hand and the NALCO and the Government on the other hand, for mutual support and help on a continuing basis. This study was conducted before
resettlement of the people. The findings of this study reveal that the people wanted to have a better structure for their house than their houses in the old settlements. They also preferred a demarcation of their village boundaries in the new settlements, as they were apprehensive of caste rivalries and unhappy interactions when people from six villages covered on the new settlement.

De Wit, (1985) in his study "Slum Dwellers, Slum Leaders and The Government Apparatus" attempted to probe into the relations between the actors involved in the slum upgrading efforts in Madras. The study reveals that, the inhabitants of Madras slum workers had irregular jobs, with payment on a daily basis. For men, the dominant job was coolie, often in the building sector. The main paid activity for women was housework for the richer families in near by parts of the city. In conclusion, it appears that the main conformities of interest between the various actor groups exist between the slum leaders, government officials and the (ruling party) politicians. They are in the best position to manipulate the available resources for slum upgrading to their own benefit.

Basu (1988) studied the impact of the resettlement policies on squatter settlements in Delhi. He concluded that, housing condition in most of the resettlement colonies is very poor and the socioeconomic conditions of the squatters had not changed after they were shifted to the resettlement colony and their conditions had deteriorated after resettlement. He suggested that, the only solution to improve their housing conditions is to allow the resettlers to construct their houses according to the approved designs and the "shelter" has to be seen in a broader sense and should cover infrastructure services, the environment, income generating opportunities and other related components. Shelter includes not only the roofs and walls but also the total physical and social environment. Thus the provision of
potable water, sanitation waste disposal, schools, health care, recreation facilities and employment opportunities should be integrated with policies and programmes for the provision of shelter.

**Sivashunmugam and Ahmed** (1988) described in their study on Role of voluntary agencies in a Rehabilitation Project in Delhi that, the voluntary agencies itself has planned the project mobilized resources, designed and executed the project. In spite of the fact that the target community is the lowest income group with no financial resources and accessible to public housing finance assistance, the voluntary agency took the burden and assisted them. Even with the limitations of being a voluntary agency recovered 64 percent of its loan and still the recovery is being done successfully. More over from the housing finance assistance approach the project can be considered as a successful one. They also suggested that, the housing projects for low-income people need to be integrated with other development programmes and it could be successful when it is planned and executed in such a way that it suits the individual requirements of the target groups.

**Fernandes et al.** (1989) discussed in their study that the rehabilitation schemes have to be such that they ensure that most benefits reach the displaced persons and other weaker sections.

**Cernea** (1989) discussed in the World Bank assisted Urban Development Projects of Jakarta and Shanghai in Asia, that the land acquisition under these projects appears relatively limited, yet the ratio of people affected to land expropriated is very high. This reflects the high population density in the urban renewal areas. The displacement of households economic units not only deprives those affected on their dwellings, but also of
access to their customer base. Immediate loss of employment is certain. Access to new employment is uncertain. Those who lacked legal title to their shelters and house plots are also usually regarded as ineligible for compensation, and are often worse-off as a result of displacement. For the majority of urban residents, metropolitan renewal brings an impoverishment in the quality of life. In an another case study of "The Yacyreta Dam Project in Argentina/Paraguay the author found that the resettlement programme went beyond simple replacement, providing ample support to the affected people in establishing new housing conditions, rebuilding their socioeconomic net work, protecting their occupational and income-producing activities. This was a shift from the welfare/relief approach to a development-oriented approach. The opportunity was created to use compulsory relocation for development of the affected urban poor.

Mathew (1989) discussed about the problem of displacement of people due to the development industries and mines. He found that the dispossession of the indigenous people to various development projects is taking place not only in the economic but also in the social, political and cultural spheres. As a result of this the indigenous people are gradually being reduced to a sub human level of existence.

National Institute of Rural Development (1992) undertaken a research project to restudy the problems of NALCO colony inhabitant and the environment of their location to assess the impact of rehabilitation measures taken by NALCO. The focus of the study taken up in the mid-1993 was on the behavioural aspects as a consequence of improvements in economic and social environment. The findings of the study reveal that majority of the settlers expressed satisfaction in the resettlement colony compared to their old settlement. Absence of lavatory bathrooms, temple and so on were indicated as limitations in their
resettlement colony. The respondents were more concerned about frequent occurrence of quarrels among the families in the resettlement colony.

Cernea (1993) discussed that, the displacement of the households and economic units deprives those affected either of dwellings, or of employment, or of access to their customers, or of a combination of these loss. The single most critical problem associated with urban displacement is not the loss of housing but the loss of employment, or of site-related income sources and the uncertainty of finding new employment in the relocation. The distance of the relocation site from the original place and jobs often become an insurmountable obstacle to maintaining prior employment. Ascertaining whether or not economic development potential exists, or can be created, at the new location must therefore be a fundamental creation in sound resettlement planning. He found that the social and cultural disruptions in neighbourhood ties and kinship networks also have deep effects, which are additional to the tangible economic loss. Such non-quantifiable but real social and economic costs are the loss of access to mutual help, to childcare arrangements, exchange and borrowing opportunities and other informal support systems. In Jabotabek projects, he discussed that, as in many other places, cash compensation alone are inadequate to prevent impoverishment; the slums allocated proved insufficient to buy alternative house plots of similar quality. the project authorities not aware whether or not the people who receive the cash compensation have been able to reestablish themselves productively, and not even know where these thousands of people have gone. In Shanghai Environmental Improvement projects, he found that, the project included a well-designed and funded plan for the socioeconomic reestablishment of the displaced population. The author concluded that the need for a policy and planning frame work addressing explicitly the complex issues of urban involuntary displacement. Relocation guidelines must be
included in the overall national policies that govern urban planning and investment allocations in developing countries.

**Dalua** (1993) discussed about river valley projects in Orissa that, the resettlement activities of its oustees, their social system, ecological damages to the ecosystem due to the construction of dams. In general, he has discussed the rehabilitation policies relating to water resource projects.

**Carmon and Baron** (1994) studied the national programme for social and psychological rehabilitation of distressed neighbours aimed at reducing inequalities in Israeli society. This study analyzed the influence of the project renewal on the winners of the family. The people in the street were regularly harassed by police, constantly threatened with eviction. If the people were not alert, they would simply come and take all their belongings away. Majority of their kids particularly the girls did not go to school because they did domestic work.

**Dowal** (1994) discussed about an evaluation of urban redevelopment policies and practices in the People's Republic of China. In most Chinese cities, redevelopment regulations require the on-sit replacement of demolished housing, the provision of additional community facilities and the payment of numerous fees, taxes, and charges. The regulations greatly impair the feasibility of most urban redevelopment projects and result in a very low level of redevelopment activity across urban China.

**Sabirali** (1995) in his study on Environment and Resettlement Colonies of Delhi found that, squatters have emerged on open spaces like parks, road perms, and on land
reserved for housing, health, shopping, etc. in the resettlement colonies particularly squatters on road perms created a serious and traffic problems in the resettlement colonies. The study also reveals that 45 per cent of the total population in the resettlement colonies do not have individual water connections and have to depend on shallow hand pumps, about 5000 persons defecate in open space and 12300 persons defecate along the drains nearby. The study has further revealed that though pucca drains have been provided, the maintenance was very poor which created serious health and environmental problems in the resettlement areas.

Cernea (1995) in his article "Understanding and Preventing Impoverishment from Displacement: Reflections on the state of Knowledge", gave a global perspective to development-caused displacement. While he admits that forced resettlement as an age-old issue, he points out that this age-old problem can be resolved. To establish his contention he focuses on: the state of the art in social science research on involuntary resettlement; the essence of the displacement /resettlement set of issues; the response of the people to displacement situations; the way social scientists address people resistance to, or the way they participate in resettlement and the current priorities, both in research and at the operational level, for improving resettlement. He sums up his article thus: first, the enactment of firm policies, and legal frameworks; second, the allocation of commensurate resources that will allow internalization of costs; third, the empowerment of resettlers, enabling them to have voice and participation in the decisions and procedures regarding their location; fourth, and continuation of innovative social research.

Sobita (1995) concluded that the resettlers have been deprived of their fundamental rights to live and earn a living. The people with no suitable jobs, no permanent housing
remains under constant grip of police terror. Their fate is determined by the economically
and politically strong groups of mobile entrepreneurs. The displaced are hidden behind long
progress reports of development projects.

Mahabatra (1995) makes a critical analysis of the Orissa Resettlement and
Rehabilitation Projects Affected Persons Policy of 1994. In this policy he identifies a few
positive aspects that will go in favour of the project affected persons. At the same time, he
disCOVERs a good number of loopholes too. After analyzing the strength and shortcomings
of the policy statement, he indicates some areas that need to be given due importance while
formulating state policy for development projects.

Shinha (1995) examines the Koel Karo Hydro-Electric Projects of Bihar, and brings
out positive and negative features, as the life of the affected people are concerned. He
analyses the government response to people's protest and examines the rehabilitation plan
worked out for this project and the way it was implemented.

Goyal (1996) concluded in her study conducted at Bombay that, the resettlement
and rehabilitation issues need to be taken for more seriously than they have been in the
past. So far, resettlement and rehabilitation has tended to be considered as some kind of
'externality' of development projects, and investment in resettlement and rehabilitation has
been minimized. This approach has lead to widespread impoverishment of project affected
persons, and also to conflict between them and the project authorities that they have had
extremely high financial and human cost.
Asthana (1996) came to the following analysis based on the review of World Bank financed projects involving resettlement for the period of 1986-1993. Good resettlement can prevent impoverishment and even reduce poverty by rebuilding sustainable livelihoods. If resettlement is not done adequately, resettler sends up worse off than before. Socially responsible settlement is also economically beneficial because the heavy cost of poorly handled resettlement extend well beyond the immediately affected population - the regional economy, and to the host population in relocation areas. Inadequate resettlement induces local resistance, increase political tensions, entails extensive project delays and postpones project benefit for all concerned; the benefits lost because of such avoidable project delays sometimes far exceed the marginal cost of good resettlement package.

Kothari (1996) argued that, efforts at minimizing displacement or improving resettlement would only be marginal, palliative and temporary if they were not contextualised in wider socio-political context. Three contentions support the argument: first, that the current patterns of economic development which are constantly invoked to justify the forced eviction of people all over the country, are themselves incompatible with the goals creating wider conditions of equity and social security. Second, despite constitutional mandates in an overwhelming number of cases, national and regional interests violate the interest of politically and economically weaker groups and individuals. Third, political and ecological solutions sought must recognize the need to both the democratise the control over the resource and process of production and the degraded ecological resource.

Usha (1996) in her article on "Displacement and the law" concluded that, the displacement is not on the wane. In fact, the planning process presumes that displacement is
inevitable. There is an attempt to justify it as a cost of development, and to project it as an opportunity to improve the living conditions of the displaced. The creation of the internal refugees, the impoverishment of the displaced, the incapacity of the state to rehabilitate them and avoid making them the sacrificial lambs the development process—these are explained away as unfortunate side effects of the process of economic growth. The initial deprivation of the displaced has been conveniently used to suggest that development could only benefit them. She suggests that the law has been instrumental in enhancing this perspective. A reassessment of the human cost of development projects is the first requirement of improved legislation. Legal reform is essential to curb state powers to this field, and to give tangible rights to the victims of mass displacement.

Hakim (1996) discussed about the resettlement of Vasavas, a community of largely subsistence farmers involves a physical move from the hills in the plains which restructures way the community views itself as well as the way it is viewed by others. Resettlement demands the restructuring of production and consumption patterns which the Vasavas view as the essence of their distinction from the plain people. Thus while they do not perceive a threat to their identity, as they see it, from the adoption of plain dress or religion, they are restructuring of production and consumption patterns which resettlement will involve.

Thukral (1996) in his article on "Development, Displacement and Rehabilitation: Locating Gender" found that the rehabilitation policies so far have not accorded the displaced women a status equal to that given to their male counterparts. There are very few women who have ownership rights at the time of displacement. He also found that the current model of development allows very little or no participation of the affected
population. He suggested that the rehabilitation plan must ensure joint ownership of both spouses at the time of new allotments.

Good (1996) concluded in his study on "Mental Health Consequences of Displacement and Resettlement" that the mental problems are an inevitable cost of resettlement and relocation programmes. They should be recognized as such by planners. Mental health problems are certain to be exacerbated by resettlement done poorly. If planning does not involve the affected communities, if ongoing services are not provided to communities in the first months and years of resettlement, and if effective health services are not available, the cost is likely to be magnified many times over.

Cernea (1996) in his article on "Public Policy Response to Development - Induced Population Displacement" suggested that, the resettlement plan should support the settlers' social and cultural institution and rely on them as much as possible, while the initiative of resettlers for self help should be encouraged through incentive programmes. Careful work with the resettlers, the hosts and their leaders prior to and after the move is crucial. Turning displacement in development also calls for reconstructing settlements with enhanced standards of physical planning and services rather than just replicas of those existing previously. Planning of social service gains a high profile. The social infrastructure, school and health services, road, access to employment opportunities, and the size of the housing plots and dwellings should be carefully designed to meet the needs of the resettlers' growing families taking into account at least the first and second generation in the settlement.
Parasuraman (1996) assessed the nature of change displacement induces among the affected families, presenting two case studies as illustrations. The Upper Krishna project has undermined the economic and social position of originally landless labours and the fishermen. The vulnerable groups such as the harijans, fishermen and women were left worse off. The project did not make any attempt to facilitate families replace lost assets. In case of Jawarharlal Nehru Port, the land acquired was excess of that required for its present and future development. It could have functioned efficiently with less land. On the other hand modern technology used in the port operations could absorb very few workers and that too only those with technical qualifications.

Stanley (1996) concluded that, only those who agitated against their displacement acquired better resettlement and facilities. Several thousands displaced in the last four decades are yet to be resettled. He suggests that, the resettlement cannot be limited to physical resettlement alone but must also include the economic, social, psychological, cultural and other aspects. At the psychological level the people have to be helped to cope with their sense of insecurity.

Mukul (1996) in his study on "Building from above, Displacing from Below: Land Development in Delhi" discussed that, with increasing pressure on urban land, poor and working class people are being dispossessed of their housing. As the experience of residents of the lower class housing colony shows neither legislation nor court ruling deter the displacement of people by influential sections with the help of the government and its agencies. He found that the poor and weak families of Ashok Nagar have countless experiences of attacks and repression by colonizers and goondas; the loot and plunder by housing society; the conspiracy and connivance of the state; and the indifferences of
sociopolitical organizations. It took several years to complete the process of displacement of families and to this date, illegal sale and occupation of their land and houses in continuing.

Meikle (1998) studied the impact of political and economic changes on the implementation of established resettlement policies. Drawing on the author's recent research in urban areas of China and Philippines, it shows how changes in the political economy of both countries are affecting the complexity of the work of resettlement staff and the ability of life of the resettlers, and that the process of implementation is very slow in responding to contextual changes. The author concluded that the transformation in the political and economic contexts is both China and the Philippines are having an impact on the resettlement process in both countries. As a result of these changes, there is some mismatch between policy and practice. In case of these two countries, the mismatch is having implication for achieving both equitable and efficient resettlement.

Fernandes W. (1998) discussed that the exercise of eminent domain by the state without defining public purpose in development induced displacement, deprives the powerless. the author recommends that there is an urgent need to abandon the principle of eminent domain.

Pingle (1998) discussed that the real success of any participative procedure for resettlement and rehabilitation will be seen only if the persons affected have the choice of saying 'no'. Such a choice must be available and feasible. He suggested that the project's first test of feasibility should be its capacity to fully compensate those affected by it and to secure their willing and whole-hearted cooperation.
Ramesh K.S. (1998) argued that the experiments from various sectors and geographical regions in implementation of infrastructure development projects have shown that while one section of the society deprives benefit from projects, another section that parts with their lands faces impoverishment risks.

Latha R., Panigrahi and Mohanti (1998) in their study on comparative analysis of economic status of people before and after displacement in Orissa's upper Indravati project found that the displacement forced the displaced to slip to lower level of economic status as compared with pre displacement.

Narender (1998) found that the political forces have distorted the planning process by initiating projects even before clearance is given by planning commission and government of India. Often the process of the project has been subverted. Project that are economically unsound, became of the large amount of money spent prior to clearance, are not abandoned because of political expediencies.

Galab S. (1998) found that the self-employment programmes implemented on limited scale, was not encouraging. Even where few schemes were grounded, it was observed that there were loose ends in formulation and implementation.

Mahapatra L.K. (1999) attempted to develop overall indicators of success based primarily on ultimate goal of reconstructing livelihood, which implies sustained development not only of the first generation of displaced persons, but also of their progeny in the second generation. The author suggested that analysis of impoverishment risks and
the formulation of action programmes to counter them, adequately and an appropriate time frame, together with substantial follow-up and institutions to ensure maintenance and development of infrastructure and amenities will provide viable means of reaching this ultimate goal. The author also suggested to include education loss as a major impoverishment risk.

Mejia (1999) focused on key economic issues regarding house replacement for resettlers. It discussed affordability of new housing, subsidized rehousing solutions with full or partial payment by the project and other financing alternatives that emerged in Brazil, Argentina and Columbia. Because failure to understand the complexity of the resettlement process has caused chronic underestimation of its costs in urban project budgets, the author also discussed that the reestablishing income-generating activities resettlers in urban setting confronts a host of economic problems that are specific to large human agglomerations and different from rural resettlement. Among them are costs of urban services, distance to jobs and cost of transportation, scare demand for labour and limited customer base in newly constructed locations.

CONCLUSION

The survey of related studies reveal that majority of studies conducted on 'development caused displacement' in rural areas. The studies related to urban resettlement are - related to resettlement / rehabilitation of urban slums or congested urban areas of inner cities. It is also found that the most of the studies are carried out in developed and developing countries. It is also noted that there are only few theories / models mentioned above are found on the studies on resettlement. Among these, the researcher proposed to adopt Cernea's Impoverishment Risk Model (1995a,1997, and 1999) as it found more suitable for the present research.