

Appendix D

Documents Distributed to Participants

Guide to Good Practice

Summary of Research Aims, Issues and Methodology

These two papers were distributed to all invitees during the ten day consultation period before the Workshop

Short Summary of Workshop

This paper was distributed to all participants in the week following the Workshop
Department for International Development

University of Westminster/Romi Khosla-Grup India/Max Lock Centre

Guide to Good Practice in Urban Core Area Development

What is the research project about?

- Economic pressures are giving rise to large-scale commercial developments that displace low-income families.
- Such households gain their livelihood largely from work in central service employment that is an essential element of the urban economy.
- The exodus of residents to the outlying areas of the city leads to an increase in commuting to the centre. Travel times and costs increase for the urban poor and increase travel impacts on the environment through increasing energy use and air pollution.
- The research looks at the ways in which sustainable low-income housing and small business provision can be integrated with new commercial developments in a range of developing world contexts.
- Planning guidelines for design, management and finance can help facilitate integrated mixed use and balanced development in commercial core areas of rapidly growing cities in the developing world.
- The research is based on an acceptance that a public/private sector partnership approach to urban development through such means as land sharing, cross subsidisation, balanced and diverse land tenure and management are becoming a key element of current urban policy thinking.
- The guidelines will be aimed, in the first instance, at both reducing the conflicts between, as well as enhancing the common interests of the prime stakeholders in the urban development process.
- The research into good practice draws on examples from all over the world and uses a comparative study based on field work in four major world cities - Delhi, Jakarta, Cairo and Recife - to test the practical implication of development options.

What are the Objectives?

- The aim is to produce a set of urban design and development tools - methods, principles, examples of good practice - which will enable low-income communities to live close to the source of their livelihood within the commercial centres of cities.
- These tools, grouped together within a 'Guide to Good Practice', are targeted at a range of potential users. The primary users include:
- low-income communities themselves who need practical guidance in negotiating their future with landowners, developers, employers and city institutions
- NGOs, consultants and technical aid organisations involved on the ground in aiding low-income urban communities

- planning authorities, public development agencies and other urban management bodies who need guidelines in facilitating partnerships between stakeholders in core area developments
- developers, financial institutions and landowners are most likely to be the initiators of development and prime beneficiaries, in commercial terms, and who need to negotiate with existing low-income communities and urban authorities in developing core area sites in cities.
- At another level, the Guide is intended to be of use to policy-makers in donor organisations, governments and city institutions in framing policies which they can support in order to realise balanced, sustainable and integrated mixed-use development in core areas of cities.

Where are we now?

- The desk-top study of world-wide practice in city centre development is currently being assessed in the School of the Built Environment at the University of Westminster.
- Stress is being placed on how the low-income provision in existing practices has been sustained.
- Economic, financial and management techniques that have been used successfully within single project or site development have received particular attention.
- The initial site selection and field studies have been completed in Delhi at Motia Khan and Peera Garhi.
- The Master Plan 2001 proposals are set out as the first option for development.
- Further optional courses for sustainable, mixed-use development to include on-site provision for existing occupants of these two sites have been drawn up.
- Options for site development have been considered in the form of urban design concepts but in sufficient detail for space allocation and accommodation to be measured and costed in comparable terms.
- The economic viability of all the options is then calculated as a residual value to see how each option measures up to the demands of the commercial market.

Why this Workshop?

- To present the line of thought that the researchers have explored during the course of the study.
- The workshop is not a forum for researchers to present final proposals but to gather views on how institutions involved in development in Delhi feel about the viability of the concepts and whether similar ideas and concepts have been previously tested in the context of Delhi.

- To consider the approach of the core areas research project to re-development of the two specific sites of Motia Khan and Peera Garhi in particular.
- Delhi is further advanced as a field study in this research project and this workshop will act as a seedbed for ideas, critiques and understanding that will help frame the work and study within the other three cities of Jakarta, Cairo and Recife although their contexts are widely different.
- To understand how flexibility and participation on a site by site basis can be considered within the particular but not unique (except in size and scale) urban planning authority structure of Delhi.
- To discover if, through the thrust of this research, there might be a way to unlock the potential for development on valuable sites currently dead-locked in argument over rights between settlement and re-settlement.

What is the role of the Participant?

- To express considered and positive criticism drawn from the invaluable wealth of urban planning and development research and experience in Delhi.
- To take the opportunity presented here to turn theory into practice by considering the implications and constraints of the two particular study sites while at the same time realising that they are both subject to specific development plans that have been stymied by the actual situation on the ground.

Why your response is important?

- In the particular circumstances of Delhi much needed development of potentially valuable sites is frustrated by people living on them in often appalling conditions. The approaches to this acute problem, to be discussed at the workshop, will hopefully lead to the consideration of practical and commercially viable solutions to a way forward

Summary: Aims, Issues, Methodology, Delhi Case - Studies.

Aims of the study

This DFID-funded research project involving two UK and one India-based partner is about sustainable planning for the urban poor in fast growing, developing world cities. The aim is to produce a set of urban design and development tools - methods, guidelines, examples of good practice - which will enable low-income communities to live close to the source of their livelihood within the commercial centres of these cities.

These tools, grouped together within a generic ' Guide to Good Practice ' are targeted at a range of potential users, from policy makers in governments and donor organisations, looking for direction in developing sustainable and equitable urban policy, to the low- income communities themselves, who need practical guidance in negotiating their futures with landowners and city institutions. Similarly, the Guide is intended to be of use to city authorities concerned with larger development issues and NGOs involved in aiding low-income communities at ground level.

The research is based on a concept of a partnership approach to a urban development - land sharing, cross subsidisation, balanced and diverse land tenure and management - that is becoming a key element of current urban policy thinking. The Guide will be aimed, in the first instance, at both reducing conflicts between, as well as enhancing the common interests of the prime stakeholders in the urban development process. Apart from the communities themselves, this includes the landowners, investors and developers who are most likely to be the initiators of development and prime beneficiaries, in commercial terms, and the local authority planners who are empowered, with greater or lesser efficacy, to represent the public interest.

The research into good practice draws on examples from all over the world and uses a comparative study based on field work in four major world cities – Delhi, Jakarta, Cairo and Recife to test the practical implications of development options. The general background of the research and progress to date, with a focus on our recent work in Delhi is given in this summary.

Issues

Economic pressures are giving rise to large-scale commercial developments that displace low-income families. Such households gain their livelihood largely from work in central service employment that is an essential element of the urban economy. The exodus of residents to the outlying areas of the city, often by enforced re-location, leads to an increase in commuting to the centre. Travel times and costs increase for the urban poor and increased travel impacts on the environment through increasing energy use and air pollution.

The research looks at the ways in which sustainable low-income housing and small business provision can be integrated with new commercial developments in a range developing world contexts. Planning guidelines for

design, management and finance can help facilitate this type of integrated and balanced mixed-use development in commercial core areas of rapidly growing cities in the developing world. A detailed desktop study has been carried out into the ways various authorities throughout the world have tackled these issues. In the particular case of Delhi, the Delhi Development Authority itself, with its many remarkable achievements (and its faults), has been the subject of many studies over the years and we have drawn on this experience.

Because the aim of the research is to provide working guidelines and because it is spatially rather than sectorally focused, inevitable it cuts across a wide range of topic-related research areas. Land policy and tenure issues are central, as are issues relating to development control and planning practice. Land sharing and readjustment and planning gain principles need to be explored along with more sophisticated planning mechanisms such as Transferable Development Rights.

We need to look at the role, actual and potential of a range of developers and development agencies from local communities themselves, perhaps working as co-operatives, to purely commercial developers working in partnership with communities or the public sector. Some understanding of commercial development and valuation principles is essential alongside knowledge of how low-income housing works and the role of community development and participation.

On new relocation sites plots are often sold on and/or amalgamated. The concern for the authorities is about those squatters who, having been resettled, sell up for cash and go back to another squatter settlement. Furthermore, official objection is raised that low-income allocations in highly sought after central locations are also sold on, thus destroying the objective of the policy. This concern is frequently expressed in public sentiment. The research is looking at ways and means that have been successfully used by other urban authorities to overcome these valid opinions. Direct community control and community enforcement by various techniques seems to be a common factor in success.

Suggesting urban management frameworks for the complex of interests that surround this type of mixed site development is likely to prove one of our major tasks.

Timetable and methodology

The research lasts for three years and began in summer 1997. There are two aspects to the methodology we are employing.

Firstly, we are reviewing examples of existing practice, mainly drawing on the research literature but also carrying out some primary research into examples that are geographically and culturally related to our field studies.

One example, that will shortly be published in the report on DFID-funded research into public-private partnerships led by Geoff Payne, is the Slum Redevelopment Scheme of Greater Bombay. The private developers are permitted to build above the permitted plot ratio in return for accommodating

existing low-income residents on site. Rights to additional floor area can also be sold on the open market.

Secondly, there are the field studies themselves. These take the form of theoretical urban design explorations of appropriate sites in four cities: Delhi, Cairo, Jakharta and Recife in Brazil. Each of the cities has very different institutional frameworks and development contexts. While it is not possible to have a representative sample, the four studies are intended to be illustrative of the potential range of cultural and development contexts. In each we will be looking at a range of feasibility options and carrying out a financial and social appraisal. We will be looking at the space that can be accommodated on the site in combinations of uses and tenures in different spatial configurations and at different densities. The output of these studies will be an urban design and development brief for the site that presents the feasibility options for different designs and management arrangements.

These are theoretical studies and the scope for community involvement is limited but, where possible, we will be working with an existing low-income community to establish their needs and aspirations. In any event we aim to liaise with local researchers, NGOs, community representatives, developers and city representatives, policy and political implications of the proposed options.

Delhi field study is well advanced. The other three studies are at the planning stage. The rest of this paper describes the issue around the two case study sites in Delhi.

Case studies

Of the four case studies cities, Delhi represents the extreme of the planned and regulated city, even if things do not always work out in practice according to the planner's intentions. India has inherited the old British planning system, and in Delhi, being the capital city, it has been put into practice, with far more vigour than the British could ever manage. Despite the obvious frustrations, already touched upon earlier, that arise from a highly centralised and bureaucratic organisation, with such wide sweeping powers as embodied in the Delhi Development Authority (DDA), there can be little doubt that without their planning and development activities over the past forty explosive years, Delhi would be a much poorer place and would have almost certainly ground to a halt years ago.

Development rights to most of the land in the city are vested in the DDA that is a central government organisation. Until recently, when private developers and mixed public-private development have started to become common, all large-scale development was undertaken by the DDA and most small-scale development has taken place on DDA regulated and owned plots.

Development in Delhi is strictly land-use zoned according to the Delhi Master plan that is currently under review. There is also the inherent conflict of interest between different government policies. A good example is a housing policy with, on the one hand, central government and the courts supporting the rights of existing land occupants and, on the other, a development policy

for the capital, represented by the DDA wanting to develop sites with commercial potential for the highest return and value in order to continue their city-wide cross-subsidisation policies for the EWS, LIG and MIG. These conflicts became increasingly apparent as we did our first selection exercise.. It seemed that every site considered was stacked with sensitive political, planning and policy reasons why it should not be chosen. Finally, two sites were selected for study at Motia Khan and Peera Garhi. Both sites can be considered as good examples that are ripe for commercial development with people living on them. They are deadlocked in this conflict with appalling living conditions perpetuated and the commercial potential stymied.

Motia Khan

This is a central area site (4.4ha.) of which some 3.5 ha. is occupied by a high density squatter settlement. It is located on an expansion zone to the west of the city centre, on the north side of Desh Bandhu Gupta Road- the main west road west out of Old Delhi to Karol Bagh, an important inner Delhi commercial district. It is within 2 km of Connaught Place, the commercial centre of New Delhi, and even less from Chandni Chauk, the main commercial street of Old Delhi. Large commercial/market centres north and south of the site offer wide employment opportunities.

Adjacent to the squatter settlement is a consolidated sites and services settlement: small back-to-back plots of 18/20 sq.m. on a 3m frontage. The buildings were originally one storey but have now been built up to 3 or 4 stories. Originally a low-income residential settlement plot allocation scheme, typical in many in Delhi at that time, it now incorporates a lively mix of housing, commercial and employment uses at high density and demonstrates the natural way that cities like Delhi develop, in total contradiction to the authorities' master planning, defined land use and development density vision.

There is considerable potential for commercial redevelopment of the frontage of the site. This would link up with other business developments in the neighbourhood. Desh Bandhu Gupta Road is intensively commercial from New Delhi railway station up to the site, with wholesale building materials and furniture activities in mostly converted 3 to 4 storey buildings. Further to the west, at the next road junction is the Jhandewalan District Centre, a DDA developed office/commercial centre dominated by the Videcom tower block to the south and the earlier flatted factory employment centre on Rani Jhansi Road to the north.

People we interviewed spoke of there being 7,000 families living on the site. This is most certainly an exaggeration. The real number is likely to be half of that, giving a total population of between 10 and 15,000 people.

Not all can be re-accommodated on the site. The DDA official plan envisages the whole squatter site being developed as commercial and 8 to 12 storeys middle to high-income flats – so none would be accommodated. The Zonal Development Plan for the Special Area has part of the site generally zoned for residential development at a density of 450 –500 persons/hectare, a capacity of 2250-2500 people were the whole of the area currently occupied by squatters developed residentially to Master Plan standards. Low -income

housing at local space standards could increase this capacity considerably. Some of the squatters we spoke to were happy to be re-settled on a sites and services plot in a peripheral location because of security of tenure but have not been offered the option of secure tenure in-site.

Within the slum wing of the Municipal Corporation of Delhi there was sympathy expressed for the idea of mixed use development but they have pressure on them from the DDA as landowners to re-settle the squatters elsewhere. The feeling was that the DDA would develop the site whatever, in a way appropriate to their purposes and that this was not necessarily the best way forward overall.

The existing four-storey residential blocks to the north of the site were built by the DDA as part of an overall plan as middle and low-income accommodation some twenty years ago. At about the same time the squatter settlement started on the southern end where the proposed community centre and 8 and 12 storey middle to high-income flats were to be build. Residents of these four-storey flats are hostile to the squatters, partly because of security and partly because the road between the two settlements is used as a latrine by the squatters.

On the western side of the site, that has been kept clear of encroachment, one of the eight-storey blocks of flats has been built, with a similar block just north of the site. These are high standard (125-130 sq.m.) elevator serviced developments that have yet to be let. They are a typical DDA development that the private sector could be doing better in a more suitable market orientated location. We understand negotiations have been proceeding by DDA to develop the vacant area fronting Desh Bandu Gupta Road as an hotel that would be in line with the proposed community centre development plan. The presence of the squatter settlement cannot be helping the progress of these negotiations.

Some of the squatters we spoke to were happy to be re-settled on a sites and services plot in a peripheral location (many specifically mentioned Papankalan) because of security of tenure there and high crime rates at Motia Khan. Our survey indicates some 40-45% of the families has sufficiently strong economic and social ties to the site and, given the choice, would wish to stay there or somewhere very close. Nobody expressed the desire to move out of Delhi altogether.

Peera Garhi District Centre

This is a large 28 ha. site, further out to the west from Motia Khan with a far lower density of occupation. It is just to south of Rohini, part of the Delhi Extension, a new town of 1 million plus people being constructed as a mixture of public and public- private development. The site is 13kms. from Connought Place and is designated by the DDA as a district centre. It has good transport connections, bound on the north by the Northern Railway main line and to the west by the Outer Ring Road. It is thus in a key strategic location and is served by the nearby Mangolpuri railway station that is under-used as a commuter station but there is the potential for a transport interchange.

The site is largely vacant with scattered settlement of Sikhs - political immigrants from the persecution that occurred in the Punjab following the assassination of Mrs Gandhi. These migrants are now firmly established in Delhi.

A temporary tented high School occupies the south-west corner of the site. There is a 5 bed dispensary built by the Municipal Corporation of Delhi (MCD); three toilet blocks, only one of which has running water; and a primary school. The settlement is relatively well-organised with a good community office. Water supply is by stand pipe and suffers from low pressure. Drainage is poor and stagnant, ill-maintained and uncleaned. At as Motia Khan , electricity supply is obtained illegally by hooking to overhead transmission wires by the squatting units, whereas the barrack style blocks are legally connected.

The resident population is likely to be about 16,000. The local community head estimated 3200 families. They are partly-housed in temporary Government-built accommodation, more than 60 asbestos roofed temporary barracks with an allocation of about 18 sq.m. per family. There is a further area of concentrated squatter settlement while other squatters are scattered indiscriminately over most of the site. There is also a laid out temporary tented accommodation.

Some informal trading is housed in temporary structures along the access road running north into the site. There is considerable industrial male employment around the area within walking distance. For cultural reasons, the women tend not to seek employment although some cases of home working were recorded.

There has been some enforcement of policy of keeping part of the site vacant by DDA and the people are under pressure from the authorities to quit. They have been promised, but not yet allocated, plots much further out of town. According to the local head, they have refused to move because the plots are too far out and there is no work there. They want to be re-housed on site, even if it means living in tower blocks.

This is an ideal site in terms of being large enough to accommodate most of the existing residents while providing good opportunities for commercial development due to its strategic transport location and good main road frontage that is largely free for development (through a new site will be needed for the school).

Conclusions

Although we are at the fairly early stage in the study, the sites that we have investigated thus far, support our basic contention that low-income communities are threatened by unsustainable commercial development in core areas. In the particular case of Delhi, rigid planning policy in the form of mono-use zoning is working against the development of the sort of mixed income and mixed use neighbourhoods that occur in the less regulated areas of the city. We are hopeful that our case studies will act as demonstration projects to show that, as far as commercial return and low-income community development is concerned, it is possible to have your cake and eat it.

SHORT SUMMARY OF CORE AREAS WORKSHOP

India Habitat Centre September 24th 1998

Sponsored by Department for International Development, London

DISCUSSION SESSION – 1

Chair: Dr Vinay D. Lall - Director, Society for Development Studies

- Introduction to workshop by the chairperson (audio available and transcription)
- Outline to the research by Dr Michael Theis, Max Lock Centre, University of Westminster
- Presentation of video on Motia Khan. Introduction by Ripin Kalra, Max Lock Centre.

- Discussion question:

'The basic assumption behind the research is that mixed-use of all classes, in core commercial development, is good practice. Can, or even should efforts be made to achieve this in Delhi?'

- Open discussion
- Summary of session from the chairperson (transcribed)
 - The discussion had 80-85% participation
 - There was wide acceptance to the idea of mixed-use development in core areas
 - Social and gender issues should be incorporated in physical planning
 - The MCD has gone through three stages of integrating economic activity within residences – first stage was to allow economic activity within homes, second stage was to allow economic activity in a courtyard shared by 7-8 houses and third was to provide shared economic infrastructure outside courtyards
 - Composite credit instruments must be incorporated into housing and income generation schemes
 - Co-operatives are important agents as economic life can never succeed without community participation
 - Cross-subsidisation in housing must have a market component
 - The approach has to be 'bottom-up' in which all the stakeholders are satisfied

LUNCH

DISCUSSION SESSION – 2

Chair: Prof. Veena Garella - Faculty Member: School of Planning and Architecture

- Presentation of alternative options by Dr Michael Theis
- Discussion question:
 - ‘Should the people stay or go from the site?’
- Open discussion
- Summary of session from the chairperson (transcribed)
- View expressed relate to reasonability of providing such schemes – free-ships should never be given
- Uses in adjoining area should be considered – projects such as this can make a headway within parameters of land-owning agency, and within attributes of location consideration of site potentials like commercial viability
- Experiments should be encouraged
- See if government schemes like Rozgar Yohanas can converge on site or not
- They can open new doors
- Community awareness and education is important
- There is consensus that mixed-use is important to the city as exclusive uses (restricted use) have a proven inefficiency ... other uses creep in and there is a need for discretion on which of these are appropriate
- The education of people and their integration into the site is important
- With so many sites like this in the city problems have to be perceived within a framework of mixed-use vis-à-vis exclusive use (restricted use)
- When we plan in context to the site let us go into some detail on what kind of development would be sustainable
- Let us not fear market forces
- Subsidisation should be at city level
- People especially the informal sector, contribute 40% of the city's economy
- We should think of action which can be taken to bring people in.

END OF WORKSHOP