



**A PRACTICAL GUIDE TO DESIGNING,
PLANNING, AND EXECUTING CITYWIDE
SLUM UPGRADING PROGRAMMES**

UN**HABITAT**
FOR A BETTER URBAN FUTURE

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Table of Contents

ACKNOWLEDGEMENT	2
FOREWORD	7
CHAPTER 1: CITYWIDE SLUM UPGRADING PROGRAMMES – ADDRESSING SLUMS AT SCALE	8
1.1. SLUMS: FACTS AND FIGURES	9
1.2. WHAT ARE SLUMS?	10
1.3. WHAT APPROACHES HAVE BEEN TAKEN TO THE CHALLENGE OF SLUMS?	13
1.4. WHAT IS SLUM UPGRADING?	16
1.5. WHAT IS CITYWIDE SLUM UPGRADING (CWSU)?	20
CHAPTER 2: INITIATING A CITYWIDE SLUM UPGRADING PROGRAMME AND UNDERSTANDING THE CITY SLUM SITUATION	26
2.1. WHO WILL COORDINATE AND LEAD THE CWSU PROGRAMME?	27
2.2. STAKEHOLDER IDENTIFICATION	29
2.3. CONFLICT IDENTIFICATION AND CONSENSUS BUILDING	32
2.4. WHAT IS THE SITUATION? MAPPING THE CITY'S SLUMS	34
2.5. WHAT CAN BE DONE: AGREEING ON A PLAN FOR THE PROGRAMME	36
2.6. GETTING THE PROGRAMME PUBLICLY KNOWN	57
2.7. SUMMARY: KEY ISSUES FOR SUCCESSFUL CWSU	59
CHAPTER 3: SETTING UP THE CWSU PROGRAMME	68
3.1. FEASIBILITY STUDIES	69
3.2. IDENTIFYING PARAMETERS FOR INTERVENTION: SELECTION OF PROGRAMME TYPE	75
3.3. DESIGN AND ESTABLISHMENT OF THE PROGRAMME MANAGEMENT UNIT	78
3.4. PROGRAMME COORDINATION	78
3.5. PROGRAMME OBJECTIVES	80
3.6. SETTING (PROJECT) ELIGIBILITY AND SELECTION CRITERIA	80
3.7. INSTITUTIONAL FRAMEWORK	81
3.8. FINANCIAL STRATEGY	85
3.9. CAPACITY DEVELOPMENT	90
3.10. COMMUNICATIONS	92
CHAPTER 4: DESIGNING AND IMPLEMENTING THE PROJECTS	96
4.1. SELECTING the Project Manager and ESTABLISHING the Project Management Team	97
4.2. ADAPTING THE CWSU STRATEGY TO THE PROJECT SITES	99
4.3. SETTLEMENT PROFILING	101
4.4. PLANNING AND DESIGN	105
4.5. IMPLEMENTATION	107
4.6. OPENING AND CLOSING PROJECTS AND PROGRAMMES	110
CHAPTER 5: POST-IMPLEMENTATION MANAGEMENT AND MONITORING AND EVALUATION	114
5.1. POST-IMPLEMENTATION MANAGEMENT FOR SUSTAINABILITY	115
5.2. PROGRAMME MONITORING AND EVALUATION (M&E)	119

CHAPTER 6: THE DO'S AND DON'TS OF CITYWIDE SLUM UPGRADING, SLUM UPGRADING CHECKLIST & QUICK GUIDE	128
6.1. THE DO'S AND DON'TS OF CITYWIDE SLUM UPGRADING	129
6.2. SLUM UPGRADING CHECKLIST	130
6.3. QUICK GUIDE	131
CHAPTER 7: CASE STUDIES OF GOOD PRACTICE	134
COUNTRY & CITY: DAR ES SALAAM, TANZANIA	135
KAMPUNG IMPROVEMENT PROGRAMME, INDONESIA	137
FAVELA BAIRRO, RIO DE JANEIRO, BRAZIL	139
PRIMED: PROGRAMA INTEGRAL DE MEJORAMIENTO DE BARRIOS SUBNORMALES EN MEDELLÍN (PROGRAMME FOR THE INTEGRATED IMPROVEMENT OF SUB-NORMAL NEIGHBOURHOODS IN MEDELLIN)	140
BAAN MANKONG, THAILAND	143
CITIES WITHOUT SLUMS, MOROCCO	149
PARTICIPATORY SLUM UPGRADING PROJECT, ISMAILIA	152
CHAPTER 8: BIBLIOGRAPHY AND USEFUL WEBSITES	154
8.1. BIBLIOGRAPHY	155
8.2. VIDEOS	161
8.3. USEFUL WEBSITES	161
ENDNOTES	163



FOREWORD



The appearance of slums in cities has become the physical manifestation of spontaneous urbanization, a phenomenon that has proved to be a current and persistent concern for urban practitioners and policy makers. Over the past 50 years,

governments have implemented a variety of programs, targeting slums with mixed results, but efforts have not been sufficient to curb slum formation and guide cities towards a planned urban growth pattern.

According to the data assembled by UN-Habitat, 220 million people have been lifted out of slum conditions during the decade 2000-2010. Moreover, during those ten years, the proportion of the urban population living in slums in the developing world has declined from 39 % in 2000 to an estimated 32 % in 2010. Despite these gains, the population living in these conditions is likely to grow by six million every year, to reach a total of 889 million by 2020. The result of this growth pattern is that slums will continue to be a problem in cities in the 21st century. To address this problem and harness urbanization for sustainable development, we will need to equip cities with tools and capacities to anticipate urban growth. Practitioners need knowledge, skills and methodologies to address both the upgrading of slums and preventing the appearance of new ones, thus providing land, housing and infrastructure within a planned urban environment to prevent new slums to appear and improving the ones that are already there.

The present guide developed by UN-Habitat responds to this need. The guide draws on the wealth of knowledge and experience that has been accumulated during the last 50 years on how to establish and implement successful citywide slum upgrading programs. I am pleased to share with a wider public this publication that translates this knowledge into practical guidance, and offers useful

tips to practitioners and policy makers. This guidance becomes even more relevant as it is released in the all-important period when the international community is discussing the post-2015 development agenda.

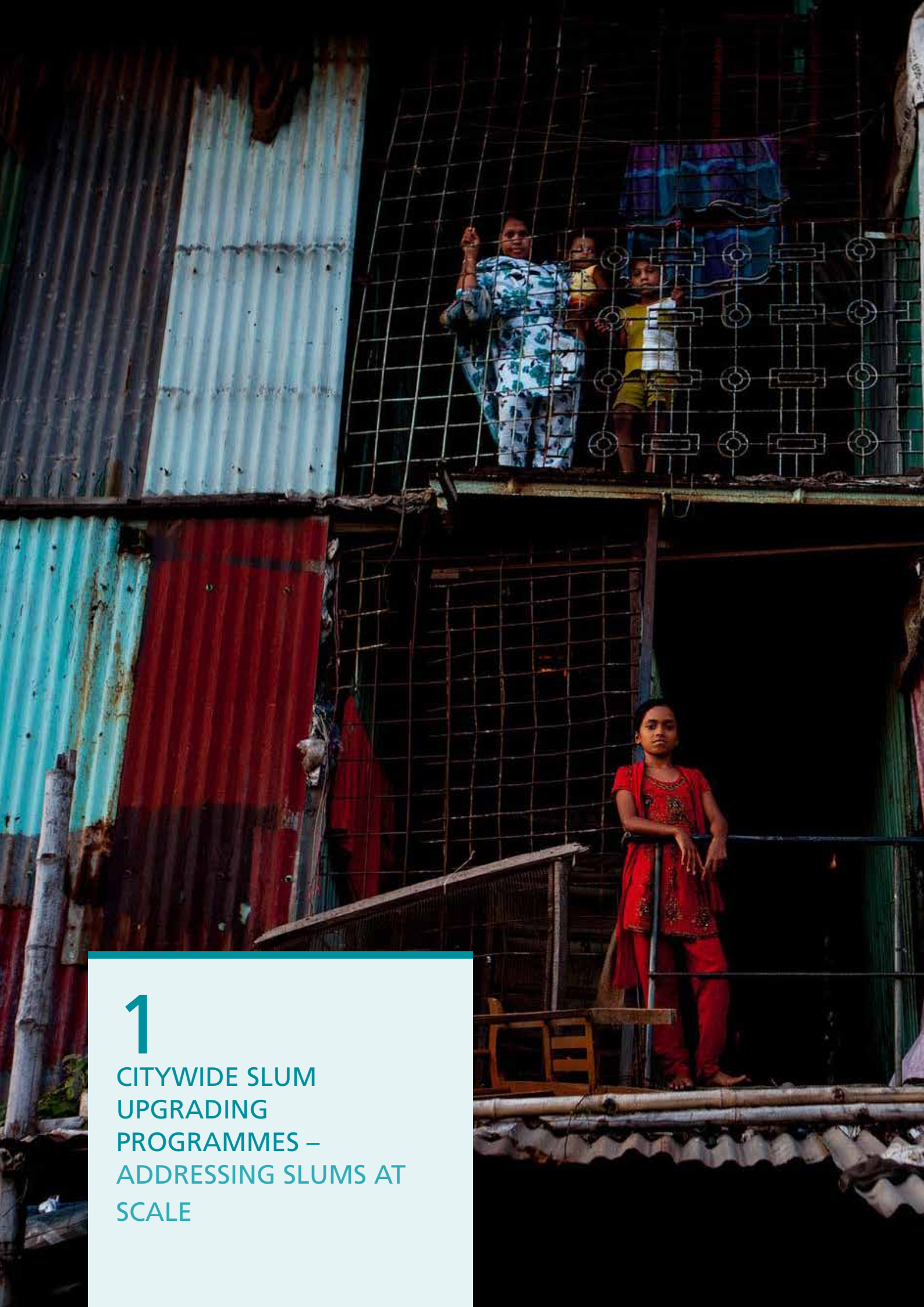
This Practical Guide is an integral part of a trilogy on the topic that includes other UN-Habitat studies, namely *Streets as Tools for Urban Transformation in Slums: A Street-led Approach to Citywide Slum Upgrading* and *A Training Module for Designing and Implementing Citywide Slum Upgrading*. These publications together present a UN-Habitat approach to slum upgrading, encouraging an approach that is both street-led and citywide. The trilogy unequivocally emphasizes the need for slum-upgrading programs to be synchronized with strategies such as National Urban Policies and Planned City Extensions, which anticipate and plan for urban growth. The integration of slum upgrading programs with countrywide planned urban development is the sustainable way to make a difference in slum areas of cities. This planned growth is part of a three pronged approach, combining the components of urban planning, urban legislation, and urban economy. The combination of these three components provides not only physical plans but also the rules and regulations and the financial plans which generate good growth, stability, and investment.

Most importantly, this Practical Guide provides an accessible tool for practitioners, leading them through UN-Habitat steps towards a successful citywide slum-upgrading program. The Quick Guide, which is included in the publication, provides an important reference tool that can be accessed quickly by practitioners in order to help address the most pressing problems and the most important considerations in slum upgrading.

This publication will serve urban practitioners as well as policy makers in the developing world to undertake the necessary steps to design, plan, manage and implement successful slum upgrading programs.

A handwritten signature in black ink, appearing to read 'Joan Clos'.

Joan Clos
Under Secretary General of the United Nations
Executive Director of UN-Habitat

A photograph of a slum building. The building is constructed from corrugated metal sheets in various colors (blue, red, green) and has a dark, possibly black, facade. A woman in a blue and white patterned dress stands on an upper balcony, holding a young child. Another child is visible next to her. A girl in a red dress stands on a lower balcony, leaning on a metal railing. The building appears to be made of metal and has a corrugated metal roof. The overall scene depicts a typical slum environment.

1

CITYWIDE SLUM
UPGRADING
PROGRAMMES –
ADDRESSING SLUMS AT
SCALE

CHAPTER SUMMARY

This chapter defines what slums are, the different types of slums that exist, and looks at what causes them. It examines different approaches governments and other actors have used to tackle slums, especially slum upgrading. The chapter makes a case why slums should be upgraded and why cities should implement citywide slum upgrading (CWSU) programmes. Finally, the chapter explains the importance of preventing new slum development by supporting the provision of new affordable housing at scale.

1.1. SLUMS: FACTS AND FIGURES

Today there are nearly one billion slum dwellers worldwide of a total world population of slightly under seven billion (UN, Department of Social and Economic Affairs, 2011). Since 1990, the number of people living in slums has increased every year (Figure 1.1). The good news, however, is that the proportion of urban dwellers living in slums is decreasing, in part thanks to robust programmes to improve existing slums and increase the supply of new affordable housing at scale to prevent new slum formation (Figure 1.2). However, the reality in many developing countries is that slums remain a large and growing feature of the urban landscape, and this is something that requires urgent attention. Sub-Saharan Africa has the largest number of slum dwellers (roughly 200 million), followed closely by Eastern and Southern Asia. In Latin America the figure stands at just over one hundred million (Figure 1.3).

FIGURE 1.1: POPULATION LIVING IN SLUMS AND PROPORTION OF URBAN POPULATION LIVING IN SLUMS IN DEVELOPING REGIONS, 1990-2010, (UN, 2010: 62).

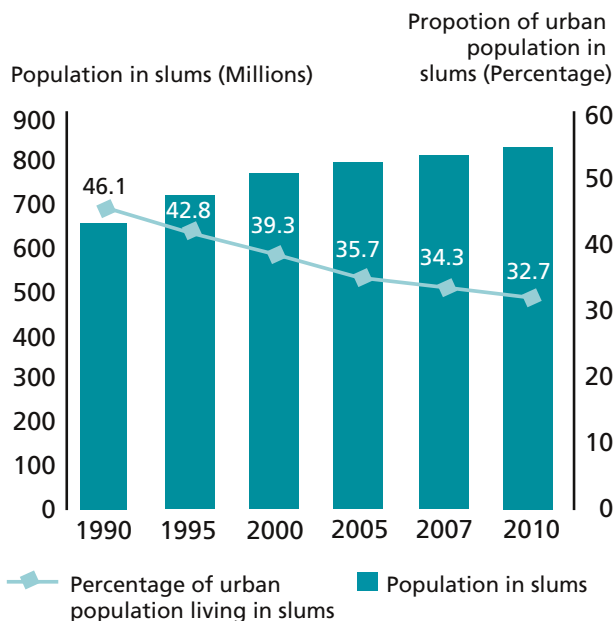
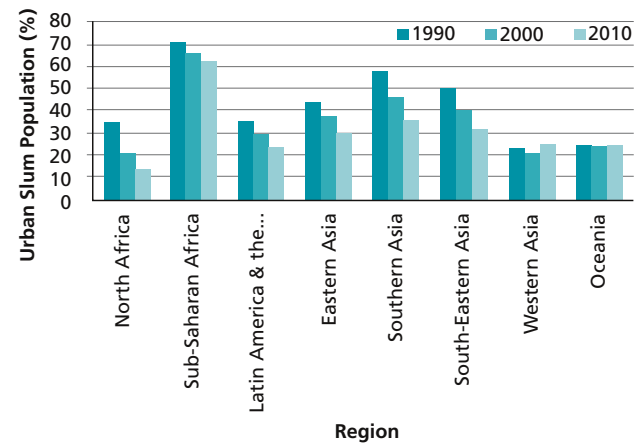
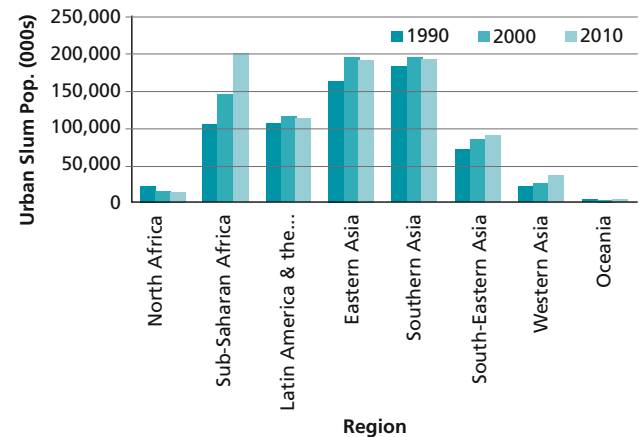


FIGURE 1.2: PROPORTION OF URBAN POPULATION LIVING IN SLUMS, 1990-2010.



Note: 2010 figures are estimates (UN-HABITAT 2008a:32)

FIGURE 1.3: URBAN POPULATION LIVING IN SLUMS, 1990-2010, (UN-HABITAT 2008A: 32)



At the Millennium Summit of the United Nations in September 2000 world leaders agreed to establish a series of goals for humanity in the 21st century. Amongst them is Millennium Development Goal 7, Target 11 which aims to “significantly improve the lives of at least 100 million slum dwellers by the year 2020.” This global call to action underscores the importance of addressing the living conditions of slum dwellers. As this guide will show, one effective approach is through slum upgrading coupled with slum prevention policies and programmes.

1.2. WHAT ARE SLUMS?

Ideas vary greatly about what “slums” are, and there is no single, universal definition in use.¹ The only characteristic that is generally accepted is that slums are neighbourhoods that are in some respect sub-standard.

1.2.1. DEFINING SLUMS

UN-Habitat’s definition of a slum is the most common and widely used around the world. While a global definition may fail to account for the nuances of particular slums in certain cities and countries, a definition with relevant indicators is important when attempting to measure the growth or decline of slum populations, monitor the effects of policies and programmes and will permit cross-country comparison. UN-Habitat defines a slum as an area that has one or more of the following five characteristics (UN-Habitat, 2002c: 12):

- poor structural quality of housing
- overcrowding
- inadequate access to safe water
- inadequate access to sanitation and other infrastructure
- insecure residential status.

A slum is therefore deemed to consist of a household or a group of people living under the same roof lacking one or more of the five amenities listed in Table 1.1. The “description” column can be used as indicators of what constitutes a slum for use in monitoring changes and improvements during slum upgrading.² The UN-Habitat definition is therefore strongly underpinned by a rights-based approach to the universal fulfilment of the right to adequate housing. To the above definition the Cities Alliance (see Box 1.1) adds that slums do not have basic

municipal services (such as water, sanitation, and waste collection), schools and clinics within easy reach, safe areas for children to play and places for the community to meet and socialize (Cities Alliance, 1999: 1).

1.2.2. SLUM TYPOLOGIES

Over the past five decades typologies of slums have been devised in an attempt to categorise and identify their underlying processes, problems and attributes. Charles Stokes (1962) proposed a distinction between “slums of hope” and “slums of despair” where the former represented poor neighbourhoods in which the residents were aspirational and over the course of many years made measurable progress in improving their homes and environments. The latter, however, were slums which were in continued decline for a number of social or economic reasons.

Developed from his Latin American field experiences, John Turner (1976) emphasizes the positive aspects of low-income neighbourhoods. He argues that the

BOX 1.1: THE CITIES ALLIANCE

The Cities Alliance is a global partnership for urban poverty reduction and the promotion of the role of cities in sustainable development. It was created in 1999 by 10 donor governments and the World Bank, UN-Habitat and the major international associations of local authorities. It focuses on two key issues: the growth of slums and the management of cities where slum growth is taking place.

Support provided by the Cities Alliance to cities, local and national governments generally falls within three broad categories: citywide and nationwide slum upgrading programmes; city development strategies; and national policies on urban development and local government.

Source: <http://www.citiesalliance.org/ca/about-cities-alliance>

TABLE 1.1: A CHECKLIST TO DETERMINE WHETHER A HOME IS A SLUM

YES OR NO	AMENITY	DESCRIPTION
√ X	Durable housing	A permanent structure providing protection from extreme climatic conditions
√ X	Sufficient living area	No more than three people sharing a room
√ X	Access to improved water	Water that is sufficient, affordable and can be obtained without extreme effort
√ X	Access to improved sanitation facilities	A private toilet, or a public one shared with a reasonable number of people
√ X	Secure tenure	De facto or de jure secure tenure status and protection against forced eviction

urban poor typically pass through three phases as they move from living in slums to lower middle income neighbourhood (which they develop themselves). Poor families in each of these phases he calls “bridge-headers” (a migrant family whose priority on arrival in the city is to find a [temporary] place to live close to employment opportunities), “consolidators” (occupying a piece of land on the fringes of the city and consolidating its place in the city), and “status seekers” (aiming to legalise tenure, acquire urban services and extend and improve its housing). Turner’s views on housing and slums have been very influential over the last 35 years and provide the logic behind many programmes to upgrade slums.³

The 2003 Global Report on Human Settlements (UN-Habitat, 2003) reviewed 29 case studies of cities worldwide and found that in general two types of slum were distinguished by the respective authorities: “slums proper, on the one hand, and shanties or spontaneous housing and urban development, on the other” (196). The report noted that this distinction was often made on the basis of combinations of physical **location** and **legality**.⁴ In this typology the term ‘slum’ frequently refers to inner-city residential areas that were originally legally built several decades ago but which, over time, have progressively become physically dilapidated. These are Stokes’ “slums of despair”. The category of spontaneous housing refers to squatter invasions and illegal or semi-legal urbanisation or land sub-divisions on the urban periphery.⁵

It has been argued that the homogenisation of poor settlements of all kinds in the category of ‘slums’ fails to recognise their distinct characteristics and possibilities for improvement. (Huchzermeyer, 2011: 2-11). This “catch-all” definition characterises all slums as failing to meet established standards. Therefore, when governments are making great efforts to meet the challenges of the millennium development goals and produce cities without slums, a universally applied name like this may lead them to choose generalised eradication rather than upgrading as strategies. This Guide uses the term ‘slum’ because it is currently the internationally adopted usage in global development organizations, but this does not deny the controversial nature of the term.

1.2.3. WHAT CAUSES SLUMS?

Slum formation has a number of causes. Poor government policies, the failure of the market and government to meet the enormous demand for decent and affordable housing, low state investment in infrastructure, an ineffective urban planning system and a misdirected regulatory system as well as the more general causes of urbanisation and poverty, are often cited as causes of slum formation.

Rural-urban migration has contributed to the housing shortage. Governments have been unable to anticipate and meet the housing demand of the vast numbers of migrants who have arrived in a relatively short space of time. The majority of rural-urban migrants tend to be poor and are unable to compete successfully for good quality land and housing. They are obliged to accept sub-standard accommodation or seek relatively cost-free solutions such as squatting.

The urban planning system in most developing countries is not geared to preventing or coping with slum formation. Urban planners and government officials often do not see slum neighbourhoods as part of the city, and therefore do not recognize the need to share citywide physical and social infrastructure networks. Physical planning should be integrated with city development planning and match economic and social development plans, including housing delivery, to projected needs for the population as a whole.

At present the regulatory system in many countries favours the rich at the expense of the poor. Housing standards and building by-laws are achievable for the well off but are not attainable for the poor. Construction outside these regulations automatically classifies the dwellings as ‘illegal’ and this brings with it insecurity and the fear of eviction. In such circumstances, the poor will not invest in permanent materials - when they can afford them - and so their houses and settlements are condemned to remain sub-standard.

Another major factor in the formation of slums is a shortage of affordable land. Land is difficult to obtain; it is often under-utilised (or held speculatively) or the law protects it from use by the poor (e.g. through property law or planning regulations). Some more

The causes of slum formation are many and varied. It is useful to identify the key causes of the formation of slums in your city in order to be better prepared to offer productive solutions.

TIP

FIGURE 1.4: DIFFERENT TYPES OF SLUMS



San Salvador: deteriorated formal housing in city centre.

Photo: © Reinhard Skinner



Cambodia: deteriorated formal, multi-storey buildings.

Photo: © World Bank / Maseru Gotu



South Africa: illegal housing in a settlement on the urban periphery.

Photo: © World Bank / Francis Dobbs



Yaoundé, Cameroon: use of traditional, rural building materials which do not conform to city building standards (city centre). Photo: © Reinhard Skinner



Thailand: Dilapidated condition of informal settlement in Bangkok.



Pakistan: Flooded slum. Photo: © UN-HABITAT

TIP

There are many different kinds of slums and informal settlements, with different histories and processes of land occupation and settlement consolidation. Not all have the same needs and priorities. Find out which types of slums exist in your city and what their needs and priorities are. Before deciding on any public intervention check the status of land tenure and property rights.

flexible and progressive approaches to land are explained in Chapter 2 (section 2.7.1).

The supply of low-cost housing needs to be increased. The market generally fails to provide for the poor because there is relatively little profit to be made and the risk is perceived as too high. One way to stimulate housing supply is through self-help construction either in the form of sites and service schemes or slum upgrading. In both cases government is required to make land available (directly providing it or through the legalisation of illegally occupied land) as well as providing physical infrastructure.

Investment in urban infrastructure lags behind the growing need for it. As long as settlements are classified as illegal local authorities will often claim they cannot provide infrastructure.

Both the public and the private sector need to cooperate to devise mechanisms which produce a financial market that can provide mortgages and loans for low-income people to buy or improve their homes. In 1977 Chile launched its National Housing Programme which focuses on financial subsidies, obligatory savings and housing loans. In Thailand poor communities are provided with state loans and grants which they manage themselves under the Baan Mankong programme. The Moroccan government has established a mortgage guarantee scheme for banks lending to lower-income groups and has created a guarantee fund to support micro-credit lending for housing to the poor. Unfortunately, these innovations are the exception rather than the rule.

The overall poor management of the housing sector by governments is also a major factor in slum formation. The seminal report *The Challenge of Slums* noted that slums “are not just a manifestation of a population explosion and demographic change, or even of the vast interpersonal forces of globalization. Slums must be seen as the result of a failure of housing policies, laws and delivery systems, as well as of national and urban policies (UN-Habitat, 2003: 5).

In the following chapters we will show how policies aimed at slum upgrading at citywide scale raises the level of existing slums to habitable, good quality neighbourhoods; in section 1.5.1 of this chapter we look at the policies and measures which are needed to prevent the formation of new slums.

1.3. WHAT APPROACHES HAVE BEEN TAKEN TO THE CHALLENGE OF SLUMS?

Historically governments have responded to the problem of slums in seven main ways: ignoring them; using slums for political purposes; eradication, eviction, and displacement; relocation; public housing; sites and services schemes and upgrading.

Ignoring slums

The first way slums have been dealt with is less of a response than the lack of one, with governments ignoring the presence of slums, often with the belief that slums are a temporary phenomenon which will disappear once the expected economic growth takes off.⁷

Using slums politically

In other countries slum dwellers are actively courted by politicians seeking popular support and they attempt to extract as much advantage from them as possible. This may lead to improvements for slums. Collier (1976) was one of the first to detail how several governments in Peru have supported the formation of squatter settlements since the 1940s through such means as protection of squatters from eviction or the promise of land titles.

Eradication, eviction, and displacement

Another approach has been to carry out campaigns of eradication or forced evictions. The Centre for Housing Rights and Evictions (COHRE) has estimated that between 1998 and 2008 forced evictions affected 18.59 million people worldwide (UN-Habitat 2011: 17). Evictions occur for many reasons: large-scale development projects such as dam construction, the staging of global events such as the World Cup or Olympic Games,⁸ and economic evictions such as for reason of non-payment of increased rents. Natural disasters such as earthquakes, hurricanes and tsunamis can also cause mass displacement. Some evictions are also directly caused by government’s urban development plans, urban regeneration or renewal strategies and the action of urban land markets. This includes land clearance to make it available to private investors or to implement master plans with strict land use zoning (Durand-Lasserve, 2005).

Without alternative affordable housing options, these attempts are invariably unsuccessful as those evicted find new locations, often in other slums. These evictions prove to be costly in financial, social and human terms for the women, men, young and old who are forcibly evicted.⁹

Relocation

Relocation has been a common way to attempt to address the challenge of slums. Slum dwellers are relocated to new housing and the slum land is redeveloped. In some cases it is nothing more than inhumane eviction consisting of simply dumping slum dwellers outside the city limits without any recognition of a right to housing. In other cases, however, it involves some element of new housing provision, such as in the form of public housing for rent or sale. However, it was pointed out during

the 1960s and 1970s that completed housing for low-income groups was often too expensive and was inappropriate in design (Turner 1969; 1976, Sardjono et al. 1973 Martin 1977). Furthermore, relocation sites were often on the periphery of cities which increased transport time and cost for households. In many cases households moved back to slums, preferring the central location and lower housing costs.

However, small-scale relocation can be a necessary part of upgrading, for example when environmental hazards

FIGURE 1.5: DIFFERENT TYPES OF SLUMS



Newly constructed houses in Aceh, Indonesia
Photo: © UN-HABITAT



Bulldozer crushes home, Istanbul, Turkey, 2009
Photo: © UN-HABITAT / Cihan Baysal



Public rental housing for relocated slum dwellers, Bangkok, Thailand
Photo: © Reinhard Skinner



Sites and services (core houses with services), Villa El Salvador, Peru.
Photo: © Reinhard Skinner



Sites and services (plots with services), Villa El Salvador, Peru
Photo: © Reinhard Skinner



Upgraded road, Yaoundé, Cameroon
Photo: © Reinhard Skinner

cannot be mitigated and residents need to be moved to a safer location. This is discussed again in section 3.1.

Public housing

Some attempts to re-house slum dwellers in public housing have been more successful. The cases of Singapore and Hong Kong are probably the two best known cases where appalling slum conditions were transformed into good standard accommodation for the majority of the poor in the course of thirty to forty years through state intervention. According to the 2006 census 3.3 million people or 48.8 per cent of the population of Hong Kong live in rental or subsidised-sale public housing (Hong Kong, 2007). In Singapore the figure is 85 per cent (Yuen, 2007: 1).

However, governments of developing countries should note that these are not realistic models to emulate as the two countries have enjoyed special advantages including the fact that both countries are “high income” according to the 2012 World Development Report (World Bank 2011: 391) and, as a consequence of sustained high economic growth they have enormous budgets which they dedicate to subsidising both rental and housing purchase. Singapore’s Housing and Development Board, for example, had an annual operating budget in the year 2003/4 of USD 3,460 million (Yuen, 2007: 7), sums which are unlikely to be available in developing country housing departments.

Sites and Services Schemes

Sites and services schemes represent another type of housing development used in combination with relocation (though it may also be a low-cost project which is open to applicants from throughout the city). Following a planned settlement layout they can take different forms of which the following are typical:

- A plot with no house but infrastructure is provided.
- A plot with a core unit (e.g. one room) and a wet cell providing drinking water and basic sanitation. The plot holder is expected to extend the house.

These have variations in which the number of rooms may be more and the level of services higher. In addition there is usually the installation of a road network and some level of community facilities such as schools, health clinics and community centres. Other common features are access to credit for house extension and some may include employment generation components. Building standards are often relaxed in sites and services schemes in order to allow occupants to build with affordable materials. Sites and services have encountered their own difficulties, such as:

- Location: cheaper areas on the urban perimeter may contain affordable land but raise travel costs for residents to commute to their places of work.

- Regulations: income generating activities and sub-letting on residential plots are often prohibited and this limits residents’ income earning and payment capacity.
- Standards: unless construction standards are relaxed, house-building can be too expensive for the target population. (Buckley and Kalarickal, 2006).¹⁰

Recognising the value in upgrading

The recognition of social and financial costs of the approaches to slums described above caused public policy towards slums to change in various countries during the late 1970s. One critical consideration was the amount of financial and social investment slum dwellers made in their homes and communities and which would be lost in any attempt to clear slum neighbourhoods. A policy had to be developed which built upon these investments rather than squandered them. Slum upgrading gained prominence as a valid, opportune and cost effective way to improve the living conditions and urban environment of cities.

Slum upgrading remains the most financially and socially appropriate approach to addressing the challenge of existing slums

This brief overview of approaches to slums highlights that unfortunately eradication and eviction continue in many countries but they do not represent coherent approaches to dealing with slums. Eradication, eviction, and involuntary relocation represent insensitivity to the complex social and cultural dynamics in slum settlements and the loss of community that occurs during these types of initiatives is just as damaging as the physical destruction of homes. Public rental housing is a luxury for most developing countries and is only a real option in countries which are rich enough to afford to subsidise tenants and/or where tenants can afford to pay. Relocation is a useful tool of housing and urban policy but only if it is voluntary, such as when slum dwellers agree to relocate to a serviced plot as consequence of the upgrading of their settlement, which may involve providing financial or other incentives such as free housing. For such residents, sites and services schemes represent a desirable and feasible alternative but issues of gentrification should be seriously minimized. As we shall see, slum upgrading remains the most financially and socially appropriate approach to addressing the challenge of existing slums.

1.4. WHAT IS SLUM UPGRADING?

The narrow definition of slum upgrading refers to improvements in housing and/or basic infrastructure in slum areas. In a broader sense, upgrading also includes enhancements in the economic and social processes that can bring about such physical improvements (UN-Habitat, 2004: 3).

Thus the term 'slum upgrading' covers a wide range of potential interventions. Any specific upgrading project or programme may include one or more interventions though it is increasingly recognised that the broader and more integrated the approach the more successful it is likely to be. At its most comprehensive it consists of physical, social, economic, organizational and environmental improvements undertaken cooperatively and locally among citizens, community groups, businesses, and national governments and city authorities.

Slum upgrading interventions typically include the following:

- installation or improvement of basic infrastructure such as water reticulation, sanitation, waste collection, road networks, storm drainage and flood prevention, electricity, security lighting and public telephones;
- regularisation of security of tenure;
- relocation of and compensation for the residents (both men and women) dislocated by the improvements;
- housing improvement;
- construction or rehabilitation of community facilities such as nurseries, health posts and community open spaces;
- improvement of access to health care, education and social support programmes to address issues of security, violence, substance abuse, etc;
- removal or mitigation of environmental hazards;
- provision of incentives for community management and maintenance;
- enhancement of income-earning opportunities through training and micro-credits;
- building of social capital and the institutional framework to sustain improvements

(Cities Alliance, 1999: 2).

The evolution of slum upgrading

The first slum upgrading programmes during the period between 1970 and 1990 adopted a physically-led approach. Early results were extremely encouraging in some of the pioneering programmes. These included the Kampung Improvement Programme (KIP) in Jakarta where subsequent house improvements by residents rose dramatically and Tondo Foreshore in Manila, Philippines where 200,000 squatters benefitted from a better environment and health and recreational facilities (UNCHS, loc. cit.).

Such programmes recognised that slum upgrading was a much cheaper alternative to previous approaches, such as public rental housing. A 1980 study by the World Bank estimated unit costs to be around USD 10,000 per housing unit and sites and services were somewhat cheaper at USD 1,000- USD 2,000 for a core unit. The study showed upgrading to be by far the lowest cost at approximately USD 38 per household (UN-Habitat, 2003: 130).

In later years, however, problems emerged in these programmes. Maintenance became a major issue with neither government nor community taking responsibility. Environmental conditions became very poor, solid waste was uncollected, water systems became contaminated and water supply and communal sanitation fell into disrepair. Werlin (1999: 1527-1530) gives some of the reasons for this as lack of tenure (residents are less likely to maintain services where they do not feel themselves owners and may not even pay service charges), weak cost recovery mechanisms (resulting in, amongst other things, lack of resources for maintenance) and low levels of community participation (leading to lack of ownership and involvement in maintenance).

Much was learned from the first two decades of slum upgrading, and this shaped the direction of initiatives from the 1990s onwards. Four key lessons were:

- The participation of slum dwellers and community organizations is critical. Projects need to be designed from the 'bottom up,' working with households and communities so that they can have an input into decisions regarding what levels of service they receive.
- The long-term success of upgrading interventions requires that consideration be given to the costs involved and to designing a level of service that is affordable to the community and to the local government.
- Upgrading cannot be the only component of a housing policy and upgrading programmes must be integrated with city level and country policies, programmes and strategies to achieve synergies

with other supporting interventions addressing poverty, vulnerability and promoting economic growth.

- Upgrading programmes are most effective when led by the municipal authority and implemented at the community level through a broad set of intermediaries including community based organizations, NGOs, and UN agencies such as UNICEF and UN-Habitat.

(Cities Alliance, 1999: 14)

The main lesson amongst these was the need for community participation not only in the construction processes of slum improvement, but also in decision-making and design processes that establish priorities for action and support for implementation. This was what is called the enabling approach, which was embodied in the 1996 Habitat Agenda. It implied that the state would withdraw from the delivery of housing goods and services and concern itself with providing support by creating an appropriate legal, institutional and regulatory environment and ensuring the availability of housing finance for all sectors of society. For slum upgrading this meant enabling a far greater role for communities in projects and programmes in the form of training, organizational assistance, financial help and managerial advice. This support may be provided by the government but in many cases it falls to civil society organizations and NGOs (UN-HABITAT, 2011b).

The other main lesson learnt was that settlements are not only physical entities but have social, economic and institutional aspects all of which form a vital part of the whole. They include community facilities and cultural activities, micro-enterprises and community organizations. Upgrading only the physical characteristics ignores this. Upgrading all aspects not only improves quality of life but may also produce synergies whereby the physical, social, economic and institutional components mutually reinforce each other.

Two important programmes have been established by UN-HABITAT since 2000 which are focused on Millennium Development Goal 7, Target 11: “To make a significant improvement in the lives of 100 million slum dwellers by the year 2020.” The first is the Slum Upgrading Facility¹¹, set up in 2004, which has funded

BOX 1.2: UN-HABITAT’S PARTICIPATORY SLUM UPGRADING PROGRAMME (PSUP)

The Participatory Slum Upgrading Programme (PSUP) was launched in 2008 but its origin is to be found in the World Urban Fora held 2002 in Nairobi, 2004 in Barcelona, and Vancouver in 2006. Following the first two, the European Commission and UN-HABITAT organized a Joint Regional Workshop in 2005 on urban challenges which recommended the reinforcement of the cooperation between UN-HABITAT and ACP (Africa, Caribbean and the Pacific) countries. In parallel, UN-HABITAT decided on 2004 to develop a concrete programme in 15 ACP countries by implementing Rapid Urban Sector Profile Studies (RUSPS). The PSUP states its purpose as to reduce by half the number of people living in slum areas by the year 2020.

It has three main lines of activity defined in three phases: in the first it assists countries in assessing their needs, identifying challenges and response mechanisms. In the second phase PSUP works with cities to understand the city slum situation, prioritise interventions at neighbourhood level, establish networks for slum upgrading work, undertake capacity building activities and identify funding sources. The final phase sees PSUP support to implement the projects they identified in the previous phase.

The Programme works with 63 cities in 30 countries mainly in Africa (23) as well as the Caribbean (4) and Asia (3).

Participatory Slum Upgrading Programme (PSUP) – UN-HABITAT

<http://www.unchs.org/categories.asp?catid=592>

PSUP – Summary of Programme

<http://www.unchs.org/content.asp?cid=6819&-catid=592&typeid=70&subMenuId=0>

four Local Finance Facilities (in Ghana, Indonesia, Sri Lanka and Tanzania) which will create revolving credit funds for demand driven slum upgrading projects

Before starting the programme learn from history and find out about previous policies and approaches in your city and country in order to prevent repeating mistakes. Avoid falling into the trap of the government as sole provider because it has seldom worked. Seek partnerships with other actors and do not underestimate the potential of slum dwellers, even if they are poor.

TIP

(for house improvements and service connections, for example). The other programme is the Participatory Slum Upgrading Programme (PSUP), launched in 2008, which seeks to strengthen the capacity of local, central and regional institutions and key stakeholders' in slum improvement, good governance and management and policy development (see Box 1.2).

A new focus on streets and public space

UN-HABITAT is advocating the opening of streets as the driving force in citywide slum upgrading. This simple strategy uses streets not only as thoroughfares and networks along which water and sewerage pipes, power lines, and drainage systems are laid but as a common good where social, cultural and economic activities are articulated, reinforced and facilitated. This includes meetings and social interactions, economic activities such as shops and a feeling of greater public safety as new streets open up often seemingly impenetrable networks of narrow paths and alleyways (Figure 1.6). It also sees a developed street network as enhancing the connectivity of slum areas to the rest of the city.

In this way the streets focus is integral to the citywide upgrading approach: individual slums are improved at

the same time as they are becoming better integrated into the city fabric. Streets are not treated solely as physical components of a settlement or of the city but as public spaces which bring together social and economic activities and facilitate and reinforce them. They enhance the settlement's identity and confirm slum dwellers' citizenship at the city level as their formal existence is underlined in official city maps, where they become part of the overall network of city infrastructure and services rather than marginalised, grey areas of underdevelopment on the city fringes or pockets of neglect in the middle of urban advancement. Therefore, opening streets, or reinforcing and improving existing streets and accesses, should be considered a *sine qua non*, in slum upgrading interventions with a view to integrating slums into overall city planning and management.

Slum Upgrading and Housing Rights

Under the 1966 International Covenant on Economic, Social and Cultural Rights, States are obliged to achieve the full realization of the right to adequate housing (see Box 1.3). This does not require governments to build housing for their entire population but to create the conditions in which adequate housing can be provided and made



Figure 1.6: Dense occupation in a slum in Nairobi. There are few streets which permit circulation.
Photo: Dennis Rainaldi, Flickr Creative Commons.

accessible. Some components may also be achieved progressively. This might include the promotion of upgrading to reach all slum settlements. But governments must at least show that they are making every possible effort, within available resources, to better protect and promote the right to adequate housing. This would mean, for example, that while upgrading all slums may be impossible in the short term, it is acceptable to start implementation in some slums and progressively attain full city coverage. However, some components of the right to adequate housing, such as non-discrimination, must be achieved immediately.

The right to the city includes a gender rights dimension. In *The State of the World's Cities 2010/2011* (UN-HABITAT, 2008) under the “Principles Underlying the ‘Right to the City’” (ibid: 133) appears the following:

The Gender Equality principle states that women’s participation in city planning and governance is critical to any balanced, equitable urban development. Municipal authorities must develop and implement policies in close consultation with women to ensure they fully benefit from the “urban advantage” – including health, education, decent employment, adequate housing, equal access to both public and private spaces, public transport, streets, sidewalks, markets, parks, toilets (both public and private), workspaces, political spaces, and community spaces, all in a safe environment.

BOX 1.3: THE RIGHT TO ADEQUATE HOUSING

International human rights law recognises everyone’s right to an adequate standard of living, including adequate housing. Adequate housing was recognised as part of the right to an adequate standard of living in the 1948 Universal Declaration of Human Rights and in the 1966 International Covenant on Economic, Social and Cultural Rights (UN-HABITAT & UNCHR, 2009).

The right to adequate housing contains freedoms such as (but not limited to):

- Protection against forced evictions and the arbitrary destruction and demolition of one’s home; regardless of their cause, forced evictions are considered a gross violation of human rights.
- The right to choose where to live.

The right to adequate housing also contains entitlements such as:

- Security of tenure.
- Participation in housing-related decision-making at national and community levels.

Under international human rights law for housing to be ‘adequate’, it must, at a minimum, meet the following criteria:

- Security of tenure: including legal protection against forced evictions;
- Availability of services, materials, facilities and infrastructure: i.e. safe drinking water, adequate sanitation, energy for cooking, heating, lighting, food storage and refuse disposal;
- Affordability: its cost must not prevent the occupants’ enjoyment of other human rights (e.g. to food and education);
- Habitability: such as protection against the weather;
- Accessibility: disadvantaged and marginalised groups must be able to acquire it;
- Location: it must be within reasonable distance of employment opportunities, health care services, schools, childcare centres and other social facilities;
- Cultural adequacy: it must respect and take into account the expression of cultural identity (e.g. traditional housing forms).

Source: UN-HABITAT & UNCHR (2009: 3-4)

Check what legal rights slum dwellers have which are protected in laws and constitutional provisions in order to prevent court cases and problems with upgrading interventions and ensure you promote and respect people’s fundamental human rights.

TIP

1.5. WHAT IS CITYWIDE SLUM UPGRADING (CWSU)?

Citywide slum upgrading can be defined as:

an alternative to piecemeal project-based slum improvement. It is a programmatic way of addressing the challenge of slums and informal settlements in a city aiming at the physical, social, juridical and economic integration of all slums into the official planning and urban management systems that govern the city. It takes the entire city as the planning unit such that upgrading is not limited to a few slum communities but becomes a programmatic process encompassing all slums of the city. Citywide slum upgrading promotes multiple and simultaneous interventions at the settlement level that aim to improve the quality of urban life of their residents through investments in basic infrastructure, settlement planning and local economic and social development processes.

Citywide slum upgrading (CWSU) represents a fundamental shift from piecemeal project interventions to a citywide programme approach. Projects are relatively limited in scope, scale, duration and geography. Programmes are institutionally complex, longer in duration, broader in scope, involve multiple settlements and simultaneous interventions and usually have a multiple and sizeable source of finance. Citywide slum upgrading also requires an integrated rather than a single-sector approach to slum improvement so that public investment is directed to a wide range of sectors such as basic infrastructure (water, sanitation, drainage and pavements), urban planning and land regularization, housing (re) construction and so forth.

Importantly, citywide slum upgrading offers the opportunity to knit slums into their surrounding urban fabric in an integrated manner and make them, and their dwellers, physically, legally and socially part of the city and its official planning and management systems.

A CWSU has three key underpinnings:

- **STREETS:** the citywide approach utilises streets as the entry point to slum upgrading. As explained above, streets are not only thoroughfares and networks along which infrastructure systems are laid but also shared spaces for social, cultural and economic activities and a street network better connects slum areas to the rest of the city (UN-HABITAT, 2011c).
- **PARTICIPATION:** The citywide approach facilitates participation of many stakeholders from the public, private, academic and community sectors, including slum dwellers. Its scale can motivate

the private sector and NGOs to take a more active role in upgrading, and it promotes greater connection and exchange between slum dwellers' organisations and community groups.

- **SPATIAL DIMENSION:** the citywide approach reaffirms the spatial dimensions of urban development and slums, and utilizes spatial tools, for example geographic information systems (GIS), to document and map slum conditions, analyse the particular environmental and socio-economic challenges and needs in slums, and prioritise interventions. The spatial dimension reinforces the essential links between settlement upgrading and wider processes of urban planning, land management, and service and infrastructure provision in cities.

Citywide slum upgrading has the following advantages:

- **SCALE:** slum upgrading at the level of the whole city provides greater opportunities for 'going to scale' with a slum upgrading strategy that is embedded into the overall planning and city development strategy rather than concentrating on piecemeal smaller project-based interventions in selected slums. Investment in citywide infrastructure allows economies of scale which can make services affordable to slum residents when piecemeal provision would either be relatively expensive or require unsustainable subsidies.
- **SYNERGIES:** citywide slum upgrading connects slum improvement processes with activities and responsibilities cities have, for example urban planning, land management and land use ordinances, development of fiscal and physical cadastre, infrastructure development, transport and environmental protection, etc.
- **COMPREHENSIVENESS:** citywide upgrading is a planning response to unplanned developments and urban informality. It provides a platform for the overall improvement of the city, connecting settlement conditions, needs, and priorities of poor residents with those of the city as a whole.
- **RESPONSIVENESS:** as upgrading is carried out by the same municipal administration as is answerable to the electorate and therefore has an incentive to be responsive to slum dwellers' needs and priorities. One may assume that more efforts will be made to ensure upgrading is designed according to slum dwellers' preferences than if it were carried out at national level.

Furthermore, compared to the settlement level, it can attract the involvement of a broader range of city development actors who will be able to help address

a greater number and more widespread issues. These actors may well be more willing to participate at a larger scale (e.g. banks with the offer of credit facilities for housing, development corporations seeking to invest in industry or vocational training systems attempting to create a supply of trained labour to meet the demands of the city's employment market).

Some city problems cannot be addressed on a small, project scale and require a citywide approach. Issues such as violence, health and education require citywide responses, and slum upgrading often has an important role to play in facilitating a broad-spectrum response to such issues.

CWSU also faces challenges, five of which are:

- **POLITICAL WILL:** mayors and local authorities need to acknowledge the presence of slums and have a genuine political will to improve them. Too often political promises for upgrading which are made just before an election and do not materialise.
- **FINANCE:** cities must mobilise financial resources so that they can not only design and plan the programme, but also implement upgrading activities. In many countries financing for urban development comes from the national level, and the scale of finance needed for upgrading far outweighs a city's budget so they need to access external sources.
- **AUTONOMY:** intervention options at the city level will be configured by the level of municipal autonomy that city governments enjoy. In many countries national policies and programmes define the scope for establishing local by-laws, normative frameworks, etc. This constraint on the autonomy of local authorities in taking decisions and leading slum upgrading interventions significantly and adversely affects the impact of these interventions
- **SCALE:** a citywide approach is a programmatic approach. This requires establishing and maintaining a considerable institutional, organisational and regulatory environment that supports the programme design, implementation and management. Establishing this environment takes time and requires institutional capacity, political continuity and commitment. Some cities will not find it easy to achieve.
- **CAPACITY:** a citywide approach requires considerable institutional, technical and human capacity to design, plan, implement and monitor the programme, which many cities do not possess and will need to develop. While CWSU offers benefits to cities in many countries it is not always an appropriate approach. We have mentioned the case of Singapore. Here, a scarcity of land coupled with the availability of massive financial resources created conditions in which high-rise public rental housing solutions as well as subsidised home purchase were more suited to the city's and country's needs.

Table 1.2 summarises how CWSU differs from national upgrading programmes and project or community upgrading programmes. At the national level upgrading is likely to be slower and probably more standardised than at lower levels where it can be geared more closely to the characteristics of the cities and settlements concerned. However, at the settlement level the impact of upgrading will be restricted in the ways already explained.

1.5.1. PREVENTING THE FORMATION OF NEW SLUMS

While slum upgrading can bring very important benefits to poor populations it does not alone solve the underlying problems they face. CWSU therefore needs to be complemented with other policies and measures to prevent the emergence of new slums or the growth of existing ones.

The most effective and lasting way to prevent slum formation is to provide low-income households with access to affordable formal housing solutions, ones that are attractive alternatives to slums.

Scaling up affordable housing supply requires targeted action in several key areas:

Policy reforms for housing, land, finance and infrastructure markets to improve access by the poor. For example, regulations that allow appropriate building and servicing standards that the poor can afford. This will facilitate active partnerships such as those among community groups, NGOs and local governments to create practical solutions responsive to the needs of the urban poor.

Citywide slum upgrading is about integrating slum settlements into the urban fabric of the city, giving them a path to become formal neighbourhoods in the future. Do not look at slums as an isolated sole element of a problem but look at their potential connections with nearby neighbourhoods, infrastructure and economic activity that will benefit not only the inhabitants of slums but the city as a whole.

TIP

TABLE 1.2: SUMMARY DESCRIPTION OF SLUM UPGRADING AT DIFFERENT ADMINISTRATIVE AND GEOGRAPHIC SCALES

	SLUM UPGRADING AT EACH LEVEL
National	• Slow, centralized decision-making. • Upgrading often not tailored to specificities at settlement level. • Enabling legislation possible in all major sectors (land, etc.). • Integrated approach possible.
City (CWSU)	• Integrated planning to address slums at scale. • Enabling legislation possible in some major sectors (by-laws). • Upgrading adapted to city needs and circumstances.
Settlement (community)	• Project-based, hard to scale up, may not (but should) be linked to wider planning processes. • Cannot address citywide issues (e.g. unemployment, poor mobility systems). • Upgrading tailor-made to settlement priorities and needs.

Housing finance should be promoted to provide access to credit which needs to be extended for housing, services, and business development, especially financing for developers and infrastructure providers, and micro-credit for households. Increasing the access of low-income groups to formal housing should be promoted, for example programmes to improve the savings and investment capacity of households by such means as promoting savings in construction materials and the use of self or community help and family contributions. These are common in informal settlements and might usefully be transferred to formal settlements such as for low-rise housing through mutual aid or cooperatives and micro-credit.

Urban planning and the supply of affordable land, which should be improved, for example, by setting aside basic rights-of-way for primary infrastructure which reduces the costs of extending networks. Another example is revising regulatory policies to discourage sprawl and settlement of unsafe or environmentally fragile areas.

Improved governance and management of cities requires transparency and responsiveness to stakeholders, which should reduce corruption and deliver prioritised and affordable housing and services to the poor.

More effective mobilization of local resources also offers scope for improvement. Cities often have significant fiscal resources at their disposal which they are not exploiting. In particular revenue generation systems in many cities would benefit greatly from reform and better enforcement. There is still much that can be done by local authorities to forge partnerships with private investors and with communities that have organizational and human resources which could be put to the service of their communities better when working in partnership.

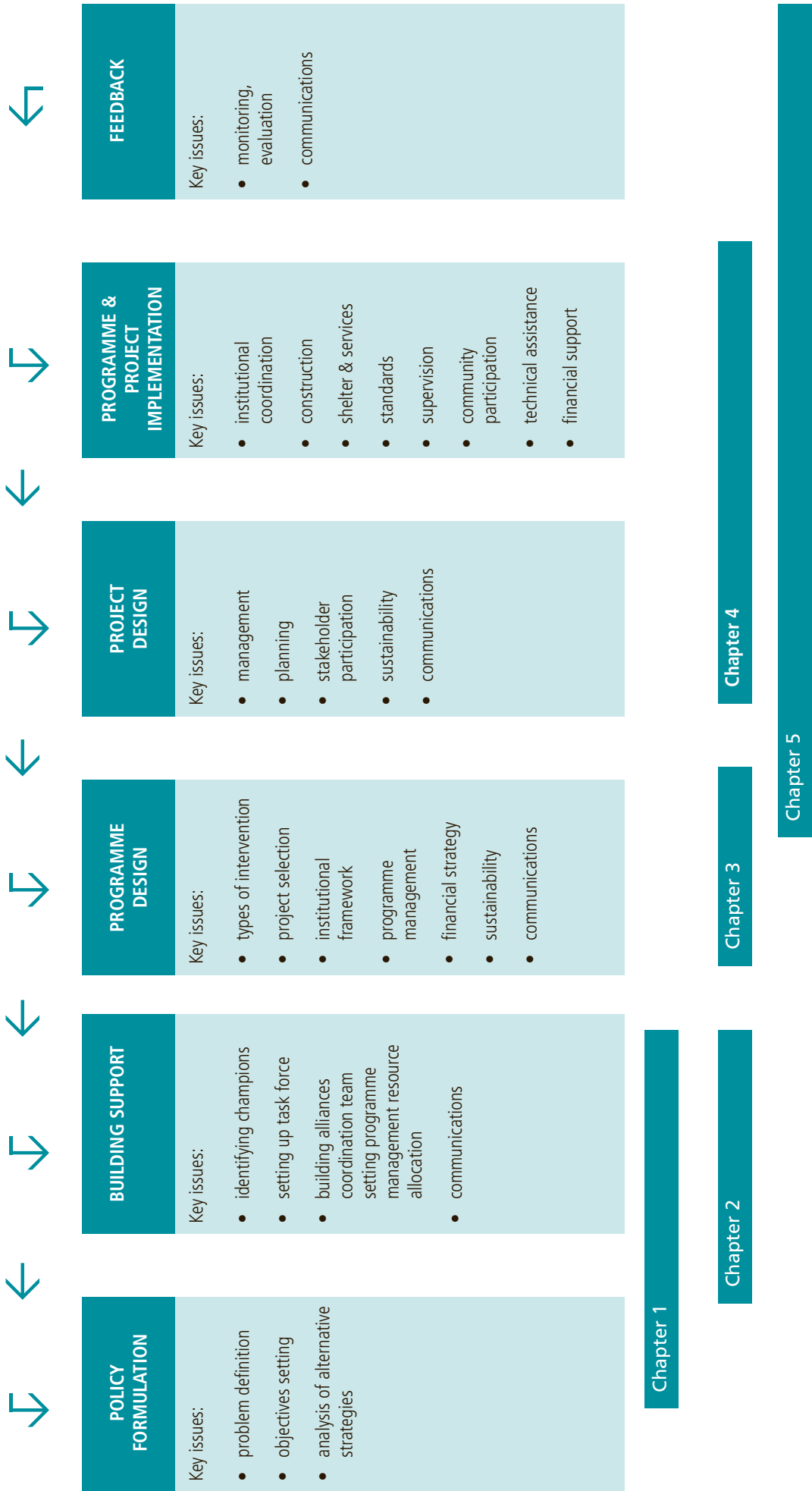
Other targeted activities would include employment generation, social safety nets, public works employment, and promotion of health care, training and educational opportunities, child care for working parents, activities for vulnerable youth (including street children), and efforts to combat crime and violence especially against girls and women.¹² Activities that improve these dimensions of urban life may not be directly related to slum upgrading, but help sustain upgrading improvements. It should be noted, however, that some of these measures could be incorporated in citywide slum upgrading programmes such as some of those relating to sectoral reforms, finance and social capital.

TIP

Make sure that CWSU Programmes are part of a broader twin-track strategy that offers sufficient housing supply to meet demand housing options at scale, which can provide alternatives to slums and reduce gentrification pressures in upgraded slums

At the broader national scale, decentralized urbanization strategies should be pursued, where possible, to ensure that rural-to-urban migration is spread more evenly, thus preventing congestion in primary cities. This is a more acceptable and effective way of managing the problem of rapid rural-to-urban migration than direct migration control measures which have seldom worked. However, decentralized urbanization can only work if pursued within the framework of suitable national economic and spatial development policies, inclusive of poverty reduction (UNCHS 2003: xxvii-xxviii).

FIGURE 1.7: CWSU PROGRAMME CYCLE, KEY ISSUES AT EACH STAGE AND CHAPTER LOCATION IN THIS GUIDE







2

INITIATING A CITYWIDE
SLUM UPGRADING PRO-
GRAMME AND UNDER-
STANDING THE CITY SLUM
SITUATION

CHAPTER SUMMARY

This chapter shows how to start a CWSU programme. The key steps are identifying stakeholders who will commit to the programme, setting up a task force and agreeing how to carry out the programme together.

The chapter shows how to understand the current slum situation through mapping such aspects as the size, location, population and land occupation patterns, the results of which should inform the programme's design.

The key messages are:

- To effectively plan a CWSU programme you need to have an up-to-date understanding of the city slum situation – for example how many slums there are, where they are, and what the conditions are.
- A wide range of stakeholders should participate in the programme design. Participation of CSOs, slum dwellers, and others should be encouraged even at this early stage.
- All cities are different and the guidelines need to be adapted to their own realities, resources and constraints.

2.1. WHO WILL COORDINATE AND LEAD THE CWSU PROGRAMME?

The idea for a CWSU programme will usually come from the local government. If not, government will need to be convinced of the need for it or it will be extremely difficult to carry it out. The necessary

persuasion can come from civil society organizations as has been the case in several Asian countries where NGOs have worked with communities to show local governments what is possible (see Box 2.1).

Local governments must lead the design and implementation, and play a role in the management

BOX 2.1: CITYWIDE COMMUNITY-DRIVEN SLUM UPGRADING IN ASIA

The Asian Coalition for Housing Rights (ACHR) is a regional network of grassroots community organizations, NGOs and professionals actively involved with urban poor development processes in 16 Asian cities. One of its programmes, the Asian Coalition for Community Action Program (ACCA), promotes citywide slum upgrading which is driven by slum communities themselves rather than by municipalities or central government. However, it does not believe that the people should be left to solve the problems of slum communities. Their approach attempts to show residents and government that the poor have a major contribution to make to the upgrading of their settlements in such areas as planning, implementation and maintenance and that governments should support participatory upgrading at a city level.

1. Slum dwellers need to create or strengthen representative community organizations, link these through networks or federations to other slums in the city, undertake planning and implementation of upgrading on a small scale in their own communities and together demand government support for their efforts and to bring them to scale at city level.
2. Upgrading must be community driven and not controlled by government. Government should be a partner but should not lead the process. Similarly, professionals are important to the process but need to support slum residents in their decisions and actions rather than trying to impose their professional opinions. Partnerships therefore are important.

SUPPLY-DRIVEN	DEMAND-DRIVEN
Government or developers plan and implement the projects and select the beneficiaries, buyers	Urban poor communities or needy target groups plan and implement the projects together
Government or developers control the finance and the implementation process	Communities implement the process and manage the finance themselves
Beneficiaries or buyers purchase and own (or lease) the housing units individually	Communities as a whole own and manage the housing projects collectively
Maintenance is by hired companies	Maintenance is by the communities

Source: ACHR 2010: 5

3. Solutions can only be found at city scale. Pilot projects which are intended for replication are judged to have failed to make an impact on the majority of slum dwellers; the problem needs to be addressed at scale from the start.
4. Improvements must be demand rather than supply driven so that the real needs of residents are addressed and communities are motivated to participate in planning, implementation and the maintenance of improvements.

Many of these features are the same as the “people’s process” of housing and development which UN-HABITAT has promoted for many years (see Box 2.8).

ACCA provides minor funding to get the development process started on a small scale (such as by improving a few footpaths). The intention is to support the initial planning and implementation process which will build confidence amongst poor communities to continue upgrading and to put pressure on government to support them.

Communities are encouraged to form self-managed savings groups and mobilise their own resources while the available donor or government funding can be spread further to reach all poor communities in a city.

ACCA is also working to change policy at municipal and national levels in order to allow community -driven slum upgrading to be implemented, sustained, scaled-up and institutionalized as part of a larger structural change process in these countries. After only two years ACCA could report some successes such as in Vinh in Vietnam, where inner city slums have been improved through community upgrading rather than through contractor-built, high standard, unaffordable housing which involves substantial demolition of existing homes. The local government has agreed to adopt this model in many similar areas in the city. In Makassar, Indonesia, ACCA members persuaded the Mayor to negotiate free private land for land-sharing as a start to the upgrading process. In two Philippine cities (Quezon City & Iligan City) representation of the poor has been obtained on city housing boards.

Source: ACHR, 2010

of upgraded settlements. This will include taking into account existing local development plans and strategies. In most cases the urban planning and housing departments will be the most suitable for this role as they have a relatively high level of authority and could most effectively coordinate a task force that reports directly to the Mayor.

2.1.1. SETTING UP A TASK FORCE AND STEERING COMMITTEE

Before the CWSU has started and is still only an idea or intention, it is important to have committed and competent leadership to ensure it becomes reality. This need not be the same leadership which implements the programme itself but which gets it off the ground. It is normal to set up a task force to lead these efforts.

The main tasks this unit will need to carry out are: ensuring that the appropriate organisations and other stakeholders are involved, that a framework for implementation is developed, that the programme message is disseminated to the population in general and to key stakeholders in particular and that the CWSU programme is designed so that implementation can start.

The task force is responsible for ensuring the tasks are achieved and not for executing them all itself. The scale and complexity of CWSU is such that it will be

necessary to draw on the resources and competence of a range of city and national stakeholders as well as hiring in specialist skills as required.

The first question, however, is who should be in the task force. Task forces are usually composed of members of the organizations promoting the programme such as the local or central government who may be partnered by an international donor organization.

While it will not do all the work alone it is important that it has the full range of competencies required in the CWSU exercise. For this reason it is advisable to include members who are skilled in the fields of urban planning, municipal engineering, public administration, finance, economics, and the social sciences. They should be headed by a senior professional though co-directors may be appointed where each of the sponsoring organizations prefers to be represented.

The task force needs to be small and able to act quickly so may number around seven to eight people. It does not need to include members drawn from all stakeholder groups but it does need to involve them in the process and be accountable to them. For this reason a steering committee should also be established where such interests are represented.

This will probably consist of central, regional and local government agencies, donors, a representative of the business sector (e.g. the Chamber of Commerce), media, civil society organizations and representatives of communities which are likely to be affected such as elected leaders of overall community governing structures, women slum dwellers' organisations and local micro-business associations. Although this will mean the size of the committee may seem quite large, with probably over a dozen members, this is less important than its representativeness.

The combination of competencies and representation brought about by the task force and its steering committee should provide the CWSU exercise with credibility and legitimacy.

The task force will benefit immensely from the support of a 'champion' – an individual or organization which puts its weight behind promoting the programme and tries to convince other key actors to support it too. The champion should be respected by those likely to be approached and command sufficient authority to persuade others to meet and discuss. If they are also able to commit significant resources to the CWSU this is a bonus; it will show it is prepared to "put its money where its mouth is". Good champions are therefore likely to be city mayors, heads of major public bodies or even leaders of corporations. But there is no reason why, where they exist and carry sufficient weight, it should not be a charismatic figure from the non-profit sector.

2.2. STAKEHOLDER IDENTIFICATION

The task force's first assignment is to design a concept note of the programme: what it should look like and what needs to be done. This is a stage at which the municipal apparatus is mobilised and its possible contribution assessed as well as the possible opposition of other stakeholders (for example, landowners who fear they will formally lose their illegally occupied land as a result of upgrading).

Once the vision is agreed, the comprehensive mapping of partners, including funding institutions, must be done. At first contacts will be made with potential partners informally as they are sounded out about their views of the planned intervention. It is important to involve all stakeholders: those who have an interest

in the programme being implemented, specialists who can contribute their expertise, and power brokers who can use their influence in favour of the programme. These can all be individuals or organizations.

Once the local government is clear about its vision, a public consultation should be organized. Partners should be drawn from target communities, the public sector (e.g. ministries and public utility companies), civil society (such as community based organizations, federations of men and women slum dwellers, NGOs, religious organizations, universities, professional associations and personnel from service facilities in the affected slums) and donor agencies. They should include the commercial private sector (such as banks, specialized service and infrastructure providers, private utility companies, microfinance institutions, materials and equipment providers, private landowners and developers, employers of residents of slum areas). Finally, elected officials will need to be involved, especially those with links to slum areas. It should be noted that this list of partners is far from exhaustive and will need to be added to or adjusted in any particular city.

The task force will need to identify potential partners and assess the type of contribution they might make. The latter includes understanding the financial and organizational resources and legal powers that potential partners have. For example, do they have the power and ability to assign equipment for physical works, adjudicate plots or extend credits?

A first step will be to identify all stakeholders and assess whether they are in favour or opposed to the CWSU programme. This will not only allow the task force to approach the possible partners but also understand who the opponents are and why they feel the way they do.

The following matrix (Figure 2.1) is a useful tool for doing this. The taskforce can use such a tool to map consensus and divergence amongst critical actors that must play a role in the programme. All stakeholders will be included and assessed against the following questions (which are seen reflected in the columns):

- How important is the stakeholder for the success of the programme?

The task force is an essential part of a successful CWSU programme. It is important that the task force has a clear and unified vision of the goals of the program, so that it can act quickly and consistently. It is important that the task force manages different actors and stakeholders and does not try to undertake all tasks itself.

TIP

FIGURE 2.1: EXAMPLE OF STAKEHOLDER ANALYSIS - INTERESTS AND POSSIBLE ACTORS

STAKEHOLDER NAMES AND ROLE	HOW IMPORTANT (LOW-MED-HIGH)	LEVEL OF INFLUENCE (LOW-MED-HIGH)	CURRENT LEVEL OF SUPPORT (LOW-MED-HIGH)	WHAT DO YOU WANT FROM STAKEHOLDERS?	STAKEHOLDER'S MAIN INTEREST	HOW COULD STAKEHOLDERS BLOCK YOUR EFFORTS?	STRATEGY FOR ENHANCING STAKEHOLDER SUPPORT
Ministry of Housing and Lands	High	High	Medium	Change land legislation	Increased and improved housing stock, regularised land	Not prioritizing new legislation	Convince that upgraded houses are "units" .
Housing Banks	Medium	High	Low	Extend house & microenterprise credit	High level of loan repayments	Refuse to give loans	Provide guarantees for loans
Mayor	High	High	Medium	Policy commitment	Fulfillment of campaign pledges; re-election	Prioritisation of other pledges or policies	Show key stakeholders and voters support CWSU
Municipal Urban Planning Department	High	High	Medium	Coordinate planning process	Orderly and controlled urban growth	Dissuade Mayor from prioritising CWSU	Show positive experiences in other cities
City Treasurer	Medium	High	Low	Design systems for user fees and property tax	Low costs / revenue collection	Dissuade Mayor from prioritising CWSU	Show positive experiences in other cities
Water & sanitation company	High	Medium	Low	Installation of service network	Level of costs, payment of fees, maintenance	Non-inclusion of CWSU in operational plans	Show positive experiences in other cities
Municipal Housing Department	High	Medium	Low	Affordable long-term housing strategy for poor	Affordable, decent, safe, sanitary housing for the poor	Insistence on developing turnkey housing	Show low-cost alternatives in other cities
Donor agency	Medium	Medium	High	(Partial) funding	Satisfaction of local/ central government and residents	Non-priorisation of upgrading in country strategy	Persuasion by responsible Minister
Cadastre agency	Medium	Low	Low	Coordinate cadastral surveys	Comprehensive, accurate cadastre of city		
UN agencies	Low	Medium	High	Targeted technical assistance	Satisfaction of local/ central government and residents		
Slum dwellers (CBO)	High	Low	High	Participation in planning, execution, maintenance	Cheap housing loans and clean drinking water		Show positive experiences in other cities
NGOs	Medium	Low	High	Coordination and technical support at local level (e.g. training)	Increased standard of living of residents		
Universities	Low	Low	Medium	Technical support at local level (e.g. designs)	Application and testing of theory in practice		
Religious institutions	Low	High	Low	Act as trusted interlocutors	Fair treatment for residents; upholding religious values	Persuade residents to boycott project	Show benefits for residents and their support
Etc.							

- What level of support does the stakeholder currently show?
- What is it we would like him/her to do for the programme?
- What are the stakeholders' main interests?
- How could they oppose and block the CWSU?
- How will we need to address the stakeholders to increase their support and likelihood of their contributing what is hoped?

(Note: the level of importance, influence and so on attributed to the various stakeholders in the matrix is only for the purpose of illustration. Actual values will vary in different cities).

It will be essential to engage with those who are very important and highly influential either to support the programme or to overcome their resistance to it. If they are opposed, their opposition will need to be addressed. Those who are very important to the success of the programme but are not influential may include marginal or particularly vulnerable groups who may need additional support for them to adequately participate in the programme. Stakeholders who have little importance for the programme but who wield influence will need careful attention and possibly monitoring as they could harm or hinder the programme. These could include gatekeepers such as City Treasurers. Finally, those who score low in influence and importance are not a priority and will require only limited attention.

The stakeholders to be considered will be many but the importance of identifying and engaging with them correctly is of such importance that it is worth spending the time to do so. They will probably include, but not be limited to:

- Central government ministries
- Local government (the Mayor, senior officials and departments)
- Donor organizations
- Micro-finance organizations
- Commercial banks
- Utility companies
- Regional authorities
- Private service providers
- Construction companies

- Property developers
- Landowners
- Traditional leaders
- NGOs (numerous)
- CBOs (of various kinds)
- Slum dwellers' federations and networks
- Faith based organizations
- Owner occupiers
- Tenants

A list of key questions to ask of potential partners when considering their suitability is (Imparato and Ruster, 2003: 175-179):

Social

- Do they work with communities in the programme area?
- How well organized are they and what is their level and record of achievement?
- Do they represent the diversity of social groups in the slum and the city?
- Do they have experience in upgrading or similar work?
- Is their approach participatory?
- Could they become good socio-technical support providers if they were to receive training?

Technical

- What is their competence in the required technical areas (e.g. urban planning, engineering, urban economics, sociology, information and communication, social work)?
- Do they have staff with hands-on experience in slum upgrading?

Institutional

- What is their experience of area-based planning and management?
- Which of the existing agencies would be a likely coordinating agency?

Financial

- What is their experience regarding cost recovery, taxation, subsidy administration, and loan recovery?

- Which potential partners would be best placed to coordinate financial matters (or would it be preferable to devolve financial management to a new body specifically created for the purposes of the programme)?

With respect to which potential partner might make a good coordinating agency the following are the key characteristics to look for:

- Do they have the capacity and authority to coordinate internal actors coming from different departments and organizations?
- An institutional mission and mandate that legally allows the agency to play the coordinating role
- Core technical capacity in at least some of the disciplines involved and willingness to procure any elements that may be missing.
- A good track record of experience in area-based urban planning and management.
- Legitimacy and authority in the eyes of other agencies who will agree to work under its coordination.
- A good image and reputation for past achievements that make it a strong advocate and catalyst of resource mobilisation for the programme.

2.3. CONFLICT IDENTIFICATION AND CONSENSUS BUILDING

Mapping all city development actors will also help identify existing initiatives, help avoid duplication and indicate potential for synergies.

This is a stage when possible conflicts are identified and strategies put in place to resolve them. Later those who are approached will want to know more than these initial contacts permit and more formal presentations of plans will be required from the task force. The following are some of the different ways in which information can be provided in an effort to build support and achieve consensus:

Study tours can be organized to other cities where CWSU has already successfully taken place and where representatives or slum dwellers (both women and men) are on hand to answer questions and allay fears.

It is essential that all stakeholders feel that their views are taken into account and that they are as much a part of the process as anyone else. This will require the use of other techniques of engagement such as personal interviews, focus group discussions, workshops and brainstorming.

One or more workshops can be held to which all interested parties are invited. The purpose could be to explain the idea of the CWSU to participants and to show positive experiences of similar activities in other countries in the region or other cities in the country.

In order to gain support it may be necessary to assure potential partners that the CWSU programme will be tested in demonstration projects before large scale resources are dedicated to its broader application.

Brainstorming sessions with key stakeholders form another way of engaging potential partners. Their purpose is to obtain their initial ideas about what CWSU programme might look like in their city. Apart from the potentially useful insights obtained one of the benefits is identification of stakeholder biases and misconceptions which can be addressed at this early stage.

The consensus building stage must take account of political and organizational rivalries. The programme must be designed taking into account differing views and priorities. Territorial jealousies will be another issue to be handled carefully at this stage to prevent problems later.

All these activities should be accompanied by adequate information so that participating parties have a clear understanding of the purpose and nature of the CWSU programme which they are being invited to discuss.

By the end of the support and consensus building activities the task force should find that key stakeholders have grasped the issues involved in the future CWSU programme, cleared up any misunderstandings and misgivings and have committed themselves in principle to the project.

TIP

The task force's first assignment is to design a concept note of the programme outlining what it should look like and what needs to be done. Such a concise vision is very important for political decision both at the Mayor's level as well as the executive levels of municipal government.

It is important that study tours, workshops, focus group discussions and brainstorming are inclusive of women and men, young and old, slum dwellers and (other) stakeholders so that a diversity of viewpoints is represented.

At about the same time as the stakeholder analysis is being carried out, conflicts are identified, and consensus built, basic information on slums is needed. This includes how many slums there are, their size and distribution in the city, the general level of housing and services and the public and private agencies which are active in these areas. This information should be available when designing the programme. The next section discusses how this can be obtained.

BOX 2.2: WOMEN'S SAFETY AUDITS IN INDIA

Where women feel unsafe and vulnerable to gender-based violence they adapt their behaviour to the need to protect themselves. Sometimes this means that they are unable to carry out their daily activities, to participate in the life in the city, move around freely, study, work, or even enjoy leisure activities. This is true in many slums but may be equally true of non-slum neighbourhoods.

In the case of New Delhi, India, the NGO JAGORI launched the Safe Delhi Campaign in 2005 to draw public attention to the issue of women's safety. As part of the campaign, women in slum areas were trained to carry out a Women's Safety Audit which would identify dangers as an input to proposals for safer neighbourhoods which communities could present to their local governments.

The audit is carried out in public spaces, including streets, parks, community areas, rubbish dumps and other open spaces. A group of women walks around public spaces in their neighbourhood to identify the physical or social characteristics that make these spaces feel safe or unsafe. It is a process which consists of the following steps.

1. **Rapid situational analysis** by mapping of the essential services in the community (e.g. water points, toilet complexes, solid waste disposal points, drains and power supply), noting which agency is responsible for each service, including maintenance.
 2. **Interviews with key informants** (such as service providers, NGOs, CBOs, local leaders, etc.) to understand the perspective of the service providers. This is done by asking them about the state of the services, complaints about them by the community – including women and girls – and what is being done to improve the situation.
 3. **Focus group discussions** to gain deeper insights into problems faced by women and girls while accessing services in their community. A focus group needs to be held with men and boys too in order to understand how they perceive women's and girls' problems.
 4. **In-depth interviews with women and girls** to gain insights into their problems of accessibility. The aim is to identify (a) how successful or otherwise attempts to obtain better access to water and sanitation facilities are, and (b) if they feel unsafe while accessing essential services and, if so, which services, where, when and the response of the police to any complaints and behaviour of service providers towards them or any particular group in the community.
 5. **The 'safety audit walk'** to observe the dimensions of safety and the different forms of harassment faced by women and girls while accessing the essential services. A group of 7-8 women, girls, men and boys (and, preferably, a local government official) walks through areas identified as unsafe for women and girls. The walk should be undertaken once in daytime and once after dark and notes made and photographs taken.
- A checklist is used during the walk. The following is only a summary but it emphasises

contd...

Make sure to have a proper mapping of the areas, defining their location, population, size, level of services and tenure situation. Also, importantly, have an enumeration of the population and the shacks, dwellings and buildings. Public announcements that the government will upgrade all slums in the city can induce densification and newcomers. Enumerations will minimize the number of 'free-riders' who can create conflicts between existing and new residents.

TIP

how widespread potential dangers for women are.

Condition of roads and streets: what would happen if someone chases me? Would I be able to escape?

Streetlights: are there any obstacles (e.g. bushes or trees) blocking the light? Are all lights working?

Vacant land: is it possible to see clearly when you look ahead while walking?

Are there any police stations: how far away are they?

Cigarette and liquor shops, roadside eateries and other vending shops: are they near any essential services so women and girls have to pass this area to use them?

Water supply areas: are there queues? Is there harassment? Are there arguments?

Refuse disposal areas: do women/girls have to walk through isolated areas to get to them?

Drainage: when drains overflow do women/girls have to walk through an isolated area to avoid them?

Toilets: are they well-lit and easily accessible, do women have privacy, is there an attendant present?

6. **Community members working with local government.** After the walk recommendations for improvement are delivered to the relevant authorities. These will make communities safer for women and girls and in doing so, increase safety for all residents of the community.

The community agrees with the local government how to share roles and responsibilities in making the improvements.

Source: Mehrotra, S.T., Khosla, P., K. Travers et al., (2010).

2.4. WHAT IS THE SITUATION? MAPPING THE CITY'S SLUMS

One of the first and most important pieces of data to be obtained will be where the city's slums are located, and so they will need to be identified and placed on a map. This will allow the programme design to take place when overlay maps are made of existing infrastructure and service provision as well the mapping of any location-specific socio-economic characteristics. An example of mapping based on the Favela Bairro programme in Rio de Janeiro is given in Figure 2.2.

Mapping the size, location, and boundaries of slums is a major step in planning the programme, and there are many ways to do this. Aerial photographs, Google maps, satellite images and cartographic mapping are all widely available nowadays and should provide the basis for a city slum map. Utility companies have maps for electricity and water meters: where they are and whether they are connected, providing another source of information for compiling a citywide mapping of the current situation.

The kinds of information which should be obtained about the slums are:

- Residential density
- Household income
- Age of area
- Road access
- Water supply
- Sanitation
- Safety and security for women (see Box 2.2)
- Electricity
- Flooding/risk areas
- Schools
- Health facilities
- Land ownership
- Zoning for residential use
- Attitude of women and men residents to improvement
- Impact on city
- Community

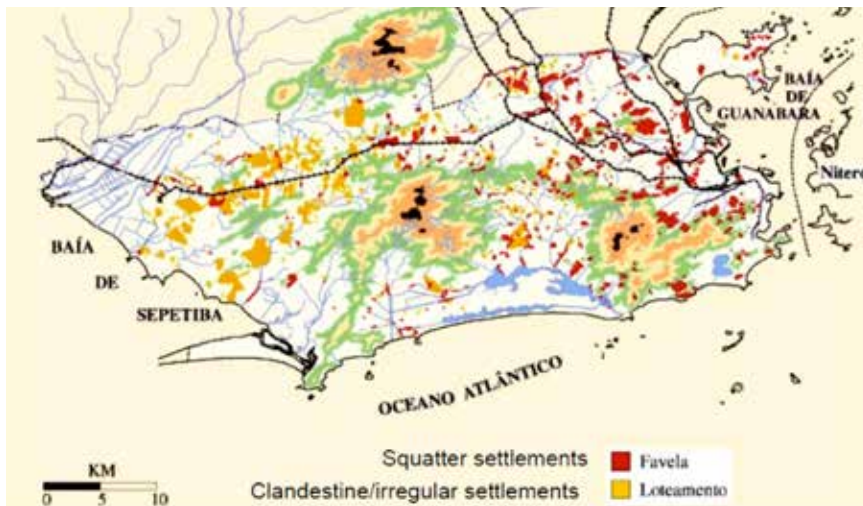


FIGURE 2.2: LOW-INCOME SETTLEMENTS IN RIO DE JANEIRO, 1997.
SOURCE: ACIOLY 2012B.

- Building condition
- Demolitions
- On-going and planned CBO and NGO improvement initiatives

In some cities communities, CBOs and slum dwellers' federations are doing their own mapping and

enumeration which can help get primary data about the target population: where they live and who they are (IIED, 2012; UN-HABITAT, 2010b).

In Asia community mapping has been developed over several years and is not limited to the settlement level as Box 2.3 explains.

BOX 2.3: COMMUNITY MAPPING IN ASIA

Community mapping is a participatory data gathering technique which provides information necessary for the planning of improvements. The kind of data collected is broad ranging: it covers the physical (settlement and plot boundaries and location of infrastructure and services) but also the social and cultural (e.g. community organization and beliefs).

It is carried out by community members rather than outside experts because it aims not only at gathering data but also empowering the communities concerned as they learn that they are able to take an active role in the planning process.

Members of a community are supported in the process by NGOs or other partner agencies who may, for example, facilitate discussions where it is agreed what information needs to be obtained, how this might be done and provide forms in which the data will be recorded. Community mapping is also intended to create learning and understanding between the community and supporting agencies and government officials both during the process and in the analysis of results.

The process is applicable at different levels including the settlement and the city as a whole.

EXAMPLE: City-wide surveying and mapping in Bharatpur, Nepal

In Nepal the Asian Coalition for Housing Rights (ACHR) supported communities in Bharatpur Municipality in their efforts at community mapping at a citywide scale. The following is adapted from ACHR's description of the process.

Steps taken

1. Preparation of a city map and profile (in this case prepared by the Municipality).
2. Identification of informal settlements on the city map.
3. Invitation of 8 women and men representatives from each community in the city to participate in the process.
4. Drawing by each community team of their community layout, showing all the amenities available and locating the community on the city map.

BOX 2.3: COMMUNITY MAPPING IN ASIA

5. Addition of more detailed information about the community: number of households and their members, land ownership and access to basic services.
6. Presentation by each team of their community to the other gathered communities, learning together and sharing common problems and discussing potential ways to overcome them. Presentations were also made to the Municipality.
7. Distillation of each community's information to bring them all together in an informal settlement database covering the whole city. Architects helped participants scale maps from their original rough versions.
8. Detailed mapping of each community by groups of young women and men, community architects and the local development agency.

The role of the external actors was to organize the platform for people to work together and facilitate the process rather than providing the answers.

Outputs and Impacts

1. Data for use in the upgrading planning process.
2. Creation of a network between communities to identify common problems and the establishment of a management committee for a Slum Upgrading Forum which included communities and government representatives.
3. The community mapping process was part of a broader ACHR upgrading programme which contributed to an improvement in understanding between poor slum dwellers and the municipal authorities. This resulted in the Mayor supporting upgrading through the creation of an Urban Community Support Fund in 2010 with the equivalent of USD 75,000). The national squatter community federation is the Secretariat for the Fund which will support projects conceived and implemented by the urban poor in Bharatpur.

Sources: ACHR, 2010: 33 and 2011; UN-HABITAT, 2007

2.5. WHAT CAN BE DONE: AGREEING ON A PLAN FOR THE PROGRAMME

2.5.1. VISION, PRINCIPLES, OBJECTIVES AND COMPONENTS

Once the task force has been established and a decision made on who will coordinate the programme, another important decision needs to be made: who will be the most important actors to be involved in the different phases of the programme – the design, planning, execution and post-occupation¹³ management.

First the basic principles of the programme need to be defined. These probably already exist in the minds of the executing agency and partners will have formed an idea during the preliminary discussions explained above. The concept note will outline these ideas on paper. However, these now need to be formalised in a way that all partners can agree to. The establishment of a vision is the first agreement to reach. This is a general statement of the new reality that partners see the programme will produce. Objectives are also important: what the programme wants to achieve. Box 2.4 outlines statements taken from CWSU programmes around the world to give an idea of their objectives. It can be seen that they are by no means identical.

TIP

Upgrading is likely to require the relocation of some residents to make way for infrastructure, roads, public spaces, etc. Potential resettlement land for new housing to accommodate households that must be resettled should be identified and mapped as part of the citywide slum mapping task.

BOX 2.4: OBJECTIVES OF DIFFERENT CWSU PROGRAMMES

PROGRAMME AFRICA	SUMMARY OF MAIN OBJECTIVES
FOURMI (Phase 1): Fonds d'Appui aux Organisations Urbaines et aux Micro-Initiatives (Funds for the Support of Urban Organizations and Micro-Initiatives), Cameroon (1995-2000)	To improve the urban environment in the disadvantaged neighbourhoods of five main towns and cities through micro-projects that would create infrastructure according to residents' felt needs and in a participatory manner (organizationally, financially and physically). FOURMI-I had three priorities: (i) the promotion of public health: drinking water, sewage, air quality, waste disposal, household waste; (ii) the improvement of living conditions: park areas, health care, housing, and public facilities; (iii) the conservation of natural resources: ecosystems, farmland, forests, non-renewable resources and energy. http://web.mit.edu/urbanupgrading/upgrading/case-examples/overview-africa/country-assessments/reports/cameroon.html
Nouakchott, Mauritania (2002-2011)	To improve basic living conditions, promote employment opportunities and strengthen capacities of CBOs, NGOs, local and central government. Priority interventions were the provision of basic services, economic infrastructure, micro-credits for shelter and latrine construction and economic activities, granting of security of tenure and the provision of affordable houses or serviced sites. http://web.mit.edu/urbanupgrading/upgrading/case-examples/ce-MU-Nou.html
Upgrading of Informal Settlements Programme (UISP), South Africa (2008-present)	To facilitate the structured in situ upgrading of informal settlements as opposed to relocation. Policy objectives: • Tenure security through formalisation of tenure rights informal settlement residents; • Improved health through affordable and sustainable basic municipal engineering infrastructure to the residents of informal settlements; • Empowerment of communities to address social and economic exclusion, building social capital through participatory processes.
Lusaka Upgrading and Sites and Services Project (LUSP), Zambia (1974-1981)	To absorb the growing squatter population of Lusaka into a coherent urban housing and service system. LUSP's main components were: • tenure security through the granting of leasehold titles; • provision of essential services (sewer and water mains, access roads, a refuse collection system); • provision of community facilities (schools, markets and health centres); • provision of building material loans; • provision of technical assistance to households for self-construction of homes and community centres. http://web.mit.edu/urbanupgrading/upgrading/case-examples/overview-africa/country-assessments/download/ZAMBIA.pdf Sanyal, B., 1987: 287 downloadable at http://www.china-up.com:8080/international/case/case/1548.pdf

BOX 2.4: OBJECTIVES OF DIFFERENT CWSU PROGRAMMES

PROGRAMME	SUMMARY OF MAIN OBJECTIVES
ASIA	
Slum Networking Project, Ahmedabad, India (1995 - present)	To integrate slum dwellers into mainstream society through the provision of basic, physical infrastructure which is connected to city networks and to improve the socio-economic conditions of slum dwellers. The focus of activities is: • improved basic physical infrastructure and social services for individuals and the community; • enhanced community development and community participation • environmental upgrading in the city as a whole.
Rajiv Awas Yojana (RAY), India (2011- present)	To bring existing slums into the formal system and enable them to access the same level of basic amenities as other urban dwellers. The most important focus is the provision of property rights to slum dwellers (See http://indiagovernance.gov.in/news.php?id=458). Government of India (2010). New Delhi, Ministry of Housing and Urban Poverty Alleviation downloadable at http://mhupa.gov.in/w_new/RAY%20Guidelines-%20English.pdf
Kampung Improvement Programme, Indonesia (1969-present)	Objectives started as the provision of basic infrastructure in individual slum settlements (1969-74), grew into the linking of slums to city infrastructure networks (1976 onwards) and became community empowerment and management of integrated neighbourhood development planning (from the mid- 1990s).
Million Houses Programme, Sri Lanka (1984-89)	To assist households and communities to build and improve their houses and community facilities. The main focus of the programme was: • the provision of micro-loan finance to households; • the self-building of houses; • the capacity building of communities to carry out Community Action Planning; • the relaxation of building norms; • land ownership granted to slum dwellers at subsidized rates. RRA Notes (1994). Issue 21 (91–96), IIED London. Downloadable at http://www.planotes.org/documents/plan_02114.PDF http://www.alliance21.org/2003/article2211.html

TIP

Pay attention to institutional and organizational management. Avoid creating an artificial or hybrid agency to coordinate the CWSU programme. Work with existing institutions and organizational frameworks and tune them to be more efficient and well staffed. Otherwise, it may create overlapping and unnecessary competition and institutional uncertainty.

BOX 2.4: OBJECTIVES OF DIFFERENT CWSU PROGRAMMES

PROGRAMME	SUMMARY OF MAIN OBJECTIVES
LATIN AMERICA	
PROMEBA (Programa Mejoramiento de Barrios: Neighbourhoods Improvement Programme), Argentina (1997- present)	To improve the quality of life for the population with unmet basic needs living in neighbourhoods with insufficient basic infrastructure, environmental problems and irregular ownership. PROMEBA has two main components: • a social component (promotion of community organizations, community leadership training, and monitoring of community activities); • a physical works component (complete neighbourhood infrastructure and property regularization activities). Almansi (2009) downloadable at http://eau.sagepub.com/content/21/2/389.full.pdf+html
Guarapiranga, Sao Paolo, Brazil (1994-2000)	To improve the quality of the city's main water reservoir by redirecting sewage entering it and improving refuse collection systems. Since much of the impairment was caused by informal settlements built in the water catchment area an upgrading programme was implemented to divert their sewage and solid waste. Cities Alliance (2008: 8)
Bairro Legal, Sao Paolo, Brazil (2001-present)	To turn all slum areas in the city into neighbourhoods, through a combination of physical upgrading, land tenure regularization and social inclusion. Essential to the programme are: tenure regularization, physical upgrading and social development (especially the provision of social services and facilities and the reduction of violence and crime). Cities Alliance 2008: 39-54. http://www.citiesalliance.org/node/728
Mejoramiento Integral del Hábitat en el Centro Histórico de Lima (Integrated Improvement of Habitat in the Historic Centre of Lima), Peru (1996-2010)	To contribute to an increase in the quality of life of families living in the centre of Lima, through actions aimed at solving critical problems of development and human security, the institutionalization of strategic and participatory management processes. The programme includes the following components: • Recovery of public space and improved road and pedestrian access through the relocation of street sellers to new, formal markets; • Preservation and rehabilitation of buildings of historic value; • Slum upgrading (domestic water and electricity connections, employment creation and housing improvement); • Strengthening of CBOs; • Social programmes (aimed at reducing drug use, violence and crime). Municipality of Metropolitan Lima (2006) at http://www.munlima.gob.pe/Descarga/Informacion%20Institucional/PLAN%20ESTRATEGICO%20PROLIMA%202006%20-%202035.pdf ; del Pilar, M. (1999); de los Rios, S. (2002): http://www.uncrdlac.org/SHE/22_15_mejoramiento_lima.pdf and http://www.scribd.com/doc/68793862/22-15-mejoramiento-lima.

The programme will be governed by a set of principles which should be made explicit and agreed to at this stage. These principles will reflect values. Key issues that must be considered are:

- **Participation:** programme and project design will involve the full participation of all stakeholders.
- **Sustainability:** programme interventions will need to be sustainable financially, organizationally and environmentally.
- **Transparency:** decision-making, planning and implementation processes will allow all stakeholders to follow what is being done.
- **Finance:** the cost of improved services will be shared between beneficiary communities and local government.
- **Integration:** improvements will not be sectoral but comprehensive.
- **Target group:** benefits will be targeted to include marginalised and vulnerable groups such as women, children and youth, older women and men and women and men with disabilities.
- **Regulations:** programme and project regulations and procedures should facilitate men and women residents' participation (e.g. in access to loans and making house improvements) rather than exclude or hinder them.
- **Environment:** the programme will be designed and implemented to avoid causing harm to the environment and, as far as possible, improve it.

Again, what the precise principles are will depend on the city in question and the stakeholders involved in the process. However, it is easy to understand that these issues are *sine qua non* for the success of CWSU programmes.

Next, a decision needs to be made about which slum dwellers will be prioritised. Although it is intended that the upgrading be citywide and by no means exclusionary, the nature of its components will affect different sectors of the population unequally. For example, a programme which includes upgraded child care facilities and public spaces is likely to

benefit women and children more directly than one which focuses on improved effectiveness of the local government administration and an improved road network. By naming the prioritised slum dwellers we are in a better position to select programme components which will address their specific needs.

Beneficiary selection is an area where slum communities can make an important contribution. By undertaking a participatory enumeration, visiting slum areas and discussing with residents, officials and staff working in social service centres, it will be possible to identify those sectors of the population who are most in need or who have special needs which should be taken into account. For example, it may be that educational provision is particularly poor in certain settlements and that these communities feel that primary schools should be included in any upgrading which might take place.

2.5.2. STAKEHOLDERS' ROLES, RESPONSIBILITIES, AND EXPECTATIONS

The matrix in Figure 2.3 summarises the main components of CWSU (in the top row). The task force will need to define which stakeholders are responsible for or will contribute to each of them. The decision will, of course need to be made together with the stakeholders themselves. A workshop is useful for this purpose, where the task force can present its proposals for discussion. The matrix is a useful planning tool as it can be used during the workshop and will provide a summary of the main programme responsibilities of all participants.

Note that the stakeholders listed in the matrix will be adapted to the real circumstances. For example, the list on the left might, in a certain city, instead read: Ministry of Lands and Housing, Municipal Works Department, City Health Department, Solid Waste Recycling Corporation, Federation of Slum Residents, City University, Slum Community Organization.

It should be noted that some combinations of roles should be encouraged and others avoided. In particular, it should be ensured that if the community members are expected to participate in monitoring or maintenance, they should also be involved in planning or the sense of ownership and commitment is likely to be too low. It is even better if community members are also involved in implementation of what they have

TIP

Ensure the community is included in consultation when discussing primary beneficiary selection. Their input is essential to ensure the CWSU programme targets the real needs of the community.

helped plan, as this is likely to strengthen community commitment to the program. Organizers should be wary if roles assigned to some actors are too broad. For example, if an individual household is expected to participate in or be responsible for all columns in the matrix, it is probably expecting too much. While they will undoubtedly want to participate and be willing to take on responsibility they are unlikely to have sufficient time to do everything.

The matrix should be seen as an example that outlines responsibilities which will be detailed in the programme design stage (see next chapter).

Figure 2.4 shows how the scope for participation of actors (stakeholders / partners) changes between programmes which deliver completed housing units (here called “conventional”) and slum upgrading. The position of the roles shown by the dots is only hypothetical but is not very different from what takes place in the two types of programme. It can be seen that the scope for participation of the community and household increases significantly under upgrading.

Criteria for distribution of roles

How roles are in fact distributed will depend on a number of considerations:

- the interest stakeholders have in some parts of the upgrading rather than others;
- the special skills that each actor can offer;
- experience and local knowledge which are needed for some areas of CWSU;
- the acceptability of designated actors to other actors;
- the stakeholders having the resources (human, physical, technological, financial) at the time they are needed;
- the interdependence of some roles (e.g. stages of project: planning – implementation – maintenance).

2.5.3. COMMUNITY PARTICIPATION

The participation of the community in planning, design, implementation, and evaluation stages is very important. Community members are key stakeholders in the CWSU process and should be involved from the very earliest program design phases. The community is a potentially enormous asset and is today increasingly recognised as such by governments, municipalities, donors, development banks, NGOs and many other organizations involved in slum upgrading. For this reason it is worth looking at community participation in more detail.

FIGURE 2.3: PARTNERSHIP MATRIX – PROGRAMME LEVEL

STAKEHOLDER	PLANNING	DESIGN	LAND	FINANCE	MATERIALS	INFRA-STRUCTURE	UTILITIES AND SERVICES	EQUIPMENT	LABOUR	MAIN-TENANCE	SUPER-VISION & MONITORING	EVALUATION
Central Government												
Local Government												
Private Sector												
NGO												
Community (CBO)												
Household												
Etc.												

Source: author's own notes

Definition of participation

Community participation in slum upgrading can be defined as:

a process in which slum residents significantly influence the decisions taken about project design and implementation including identification, timing, planning, supervision, evaluation, and post-implementation stages (operations and maintenance).

The importance of participation

The benefits of community participation can be summarized as follows:

- the saving of the agency's scarce human resources and thus expenses by having a community organization to undertake tasks it would otherwise have to do itself (especially in labour and maintenance);
- promoting social development by increasing local self-reliance;
- making political capital by demonstrating the people and the government are working hand-in-hand;
- increasing political or social control by co-opting the community leadership;
- maximizing the efficiency of project implementation by giving the community organization those functions which it can often fulfil better than the project agency (e.g. determining what local improvement priorities are, persuading residents to participate and policing collective activities);
- ensuring that by establishing a strong community organization, the project area continues to develop even after the withdrawal of the agency staff; the organization will determine and undertake new projects which it will be able to implement and manage largely on its own.

As for residents, some of the main benefits they may perceive in participation can be listed as:

- reducing project costs and, therefore, repayments they have to make;

- ensuring that the improvements which are made correspond to their priorities (if participation includes planning and design);
- with an organization which persists after the withdrawal of the official agency, the chance of establishing some local autonomy in development with reduced dependence on outside agencies;
- for community politicians, participation may provide the basis for local power in the community organization and the fostering of patronage relationships with city politicians.

Of course, not all the apparent advantages described above will be felt equally by all governments, planning agencies and residents (Skinner, 1983: 126-127).

When talking of residents we should be aware we are talking to women and men and not only men. Women have often proven themselves to be extremely committed and effective leaders and organisers as can be seen in Box 2.5.

BOX 2.5: THE IMPORTANCE OF WOMEN IN URBAN SLUM DWELLERS' FEDERATIONS

In 15 countries of Africa, Asia, Latin America and the Caribbean, federations of slum and shack dwellers and the homeless have become important actors in poverty reduction. These are founded on savings groups in local neighbourhoods, initiated and managed by women.

The savings groups and the Federations they created not only manage savings and credit but also undertake many initiatives, such as securing land, upgrading homes and improving community services and infrastructure (such as community toilets and washing facilities). In addition, these Federations visit, learn from and support each other. They have formed a network called Slum/Shack Dwellers International (SDI), to facilitate exchange programmes and their negotiations with international agencies.

contd...

The coordination of the programme and the executive responsibility are best assigned by the Mayor or the highest authority of the city. It is important to have this clear right from the start. Do not start the programme if roles and responsibilities are not defined by an executive memo, decree or alike.

TIP

The first women-led slum dweller Federation originated in India, based on savings groups formed by pavement-dwellers in Mumbai in 1986 and was named Mahila Milan (Women Together).

As a result of their membership in savings groups women began to want to join other community organisations. Women now form the majority of the leaders of many slum dwellers' federations. Many of the most powerful women leaders came from the lowest-income and most socially marginalised neighbourhoods, in part because in these areas men had given up.

Women-dominated savings groups also take the lead in Federation initiatives to acquire and develop land for housing, even if men are often keen to join once the construction phase begins. The savings groups carry out house-by-house enumerations to gather the information and develop the maps required to support the proposal for upgrading. For new housing programmes, it includes their engagement in the design and construction of houses, including planning the layout with architects and choosing building materials. In constructing community toilet blocks, women's savings groups are involved in the design to ensure that their needs are met – for instance by providing separate toilets and queues for women and men. In the development of neighbourhoods, women's safety is explicitly considered in design discussions.

To date, across fifteen nations, the SDI Federations have secured a total of 108,000 plots, 54,000 houses, services for thousands of additional plots, and over 600 communal washing and toilet blocks serving hundreds of thousands of people.

Adapted from: Patel and Mitlin (2011)

Along with benefits one should be aware that there may be costs whether these are real or only perceived. The main cost may be seen as the time and expense entailed in setting up participatory processes and the additional staff time required for the programme formulation and preparation phases. While there is some truth in this most agencies working with participatory processes see any costs as by far outweighed by the benefits.

Imparato and Ruster (2003: 15-16) point out that there are, however, real risks to participation. These risks: mainly arise from poorly conceived or poorly managed participatory initiatives. Without competent intermediation, for example, the conflicts of interest that arise during a project

may paralyze it. Poor intermediation and poor management of the project cycle may mean that stakeholders' expectations are first raised and then frustrated by long delays or changes of approach, compounded by lack of information on their cause or discussion of alternative remedies to the situation with the stakeholders. This situation is unfortunately all too common and leads to a severe loss of credibility...another risk is that a project may be hijacked by political parties or special interest groups.

However, the authors believe that upgrading is impossible without participation 2003:37.

Although participation is necessary, it is important that all community members are able to participate, and not just a select few. Not ensuring that all participate runs the danger of prioritising some residents' views over others with the guise of being "participatory." Having community meetings at different times of the day, providing transport for the disabled or elderly, and having special sessions aimed at children are a number of ways that ensure that everyone can participate.

The scope for community participation throughout the project cycle is very broad (design, implementation, post-project operations and maintenance):

- **Identification of needs and priorities**
Residents are the best placed to decide what their needs and priorities are. If the upgrading budget is limited, as it usually is, priorities will have to be established. Respecting the community's preferences will enhance the likelihood that they will participate in implementation and in maintenance. This can be done in community meetings in order to get overall agreement on ranking of settlement priorities.
- **House design and settlement layouts**
Those who are living in an existing house or those who are to be resettled and who are going to live in a site and service area will know best what their housing needs and preferences are. Project staff from the socio-technical support unit can assist them with construction advice (e.g. regarding extending the house) or by adapting standard plans for new houses or core units to residents' preferences.

Box 2.6 shows an example of community participation in re-blocking in South Africa.

BOX 2.6: PARTICIPATORY PLANNING WITH COMMUNITY ARCHITECTS IN SOUTH AFRICA

Informal Studio: Ruimsig is a practical Master's degree project in Architectural Technology at the University of Johannesburg. It is a project in which 16 students, their supervisors and experienced NGOs worked together with 8 community members (or 'community architects') from the small Ruimsig informal settlement in the city of Johannesburg to produce a plan for the settlement's upgrading.

Over a period of seven weeks the area was mapped in detail and a re-blocking proposal made which was discussed and approved amongst residents. The re-blocking map showed how small adjustments in layout can lead to a more equitable distribution of space, reduce overcrowding, and create of space for recreational facilities, roads and future provision of sanitation, water and electricity supply.



University students and Ruimsig residents working together during university studio. Photo: Thorsten Deckler

The project was based in a community building. Here the data collected by the community – student teams were analysed under the guidance of grassroots organisations and NGOs with experience in upgrading.

For the university this exercise was a means of linking theory and practice. It was also a response to the new approach of the South African government towards mass housing for the poor which started with the National Upgrading Support Programme (NUSP) in 2008. The course helps prepare architects and planners for participatory slum upgrading.

The City of Johannesburg supported the process and was involved throughout as was the NUSP.



Aerial photograph: Ruimsig Prior to Re-blocking, 2010. Photo: Azur



Re-blocking map drawn by Thorsten Deckler, Alex Oppen based on student / resident collaboration

The plans did not remain as academic exercises but were implemented with the support of the participating NGOs. 134 structures were relocated to better locations in the settlement and / or were upgraded as part of the reblocking. In addition, various proposals for short and long-term upgrading and sustainable growth of the settlement, were drawn up in the same collaborative manner and presented to community leaders and residents of Ruimsig, as well as to representatives from the various participating NGOs, NUSP, project partners and officials from the City of Johannesburg.

Sources: http://informalcity.co.za/sites/default/files/Informal%20Studio_%20Ruimsig-A4.pdf
<http://www.uj.ac.za/EN/Faculties/fada/departments/architecture/Pages/InformalStudioRuimsig.aspx>
[InformalStudioRuimsig.aspx](http://informalstudio.ruimsig.aspx)

In some cases upgrading cannot proceed without community participation as shown in the case of the Bacia do Una project in Brazil (see Box 2.7)

- **Finance**

CBOs in many countries have shown that they can serve as generators and managers of slum upgrading funds. These include mechanisms such as savings and loans schemes (generated internally), revolving funds (using internal or external funds and managed by CBOs), guarantee funds to attract private bank lending to communities for upgrading (external) and community banking (internal savings managed by the community). These have been explained in more detail in Chapter Three (section 3.8).

- **Land**

Residents can help identify owners of plots in upgrading areas where ownership is unclear. The socio-technical team will then need to verify the identification in case of dispute.

Land preparation can require heavy equipment but where physical labour is required residents can

often provide it (if they consider it to be a priority or if they are paid).

- **Physical infrastructure**

In the Community Infrastructure Upgrading Programme in Tanzania residents committed themselves to contributing five per cent of the capital cost of neighbourhood infrastructure and 100 per cent of its maintenance costs.

- **Social infrastructure**

In Villa El Salvador in Lima, medical services were provided with major community inputs (e.g. the building of a pharmacy – see Figure 2.5) as well as financing the construction of a small number of school classrooms.

- **Building materials production**

Traditional materials can be produced by many residents. This will cheapen the cost of upgrading if permitted by local building codes. These traditional materials may not always be the best solution for residents and the socio-technical support unit has a role to play in advising home improvers of the availability of affordable alternatives or modifications of the traditional materials. For example, the man making soil blocks in the traditional way (Figure 2.6) knew that he could not construct a second floor to the house he was building with these blocks and that he could with stabilised soil blocks using cement. Where cement is unaffordable small credits or grants could have a significant effect on improvements. The socio-technical support unit may also give training if technologies are not yet well known.

- **Labour**

Unskilled labour is what is often considered to be the community's main contribution to implementation. This is often incorrect as it ignores the community's organizational and supervisory resources. However, labour is an important resource.

- **Construction**

In the Baan Mankong CWSU programme in Thailand there are many 'community builders' who are contractors from the community. Residents who want their houses built prefer them to outside contractors because they feel they will not be cheated and they also cost half what external builders charge (CODI, 2008: 8).

- **Management and decision making**

Communities in many countries have shown they are able to manage variety of aspects of upgrading. In the Luanda Urban Poverty Programme in Angola the programme included

BOX 2.7: RESIDENT PARTICIPATION IMPROVES HOUSING DESIGN IN BRAZIL

The Bacia do Una programme (1993-2004) was implemented in Belém, Brazil. After completion of the resettlement of around 2,000 families the target population rejected the housing units which were offered. They had not been involved during the design stage.

The issue was resolved with the assistance of the Urban Reform Programme of the Federal University of Pará (or PARU UFPA). The residents asked the University to develop a new project and provide technical assistance to the community. The implementing agency agreed.

The PARA UFPA team prepared studies taking into account family composition, ability to pay, and preferences and discussed the designs with the affected families.

This process demonstrates the difference in satisfaction when technical assistance and participation are allowed and spatial and comfort aspects are addressed. The project proved acceptable although it faced severe constraints (only USD 2,000 was available per unit) but user participation achieved a more suitable design result.

Source: Magalhães & di Villarosa, 2012: 32



Figure 2.5: Trench dug with community manual labour, Lusaka Photo: © Reinhard Skinner (left). **Community pharmacy built with community funds, Villa El Salvador** (right)

a community management model for the water supply component. Communities selected the site for water stand pipes and their Water Management Committee assumed overall responsibility for its operation and maintenance as well as setting user fees to meet the costs of maintenance and repairs (http://www.unhabitat.org/bp/bp.list.details.aspx?bp_id=1121).

- **Establishing service levels, norms and standards**

Above we mentioned that service levels need not always be of the highest standard from the start of the upgrading process, but can be gradually improved over time. The same is true of building materials; they may start out being temporary and will graduate into more permanent forms. Residents themselves are best placed to decide what service levels they can afford. They should also be permitted to select the building materials which best reflect their payment capacity and references.

- **Maintenance**

Chapter Five covers this subject in detail. In a large number of projects, communities themselves have taken on the responsibility for the operations and maintenance of citywide slum upgrading such as in Rio de Janeiro (the Favela Bairro programme) and Ahmedabad in India.

A coherent and comprehensive approach to community participation in settlement and citywide upgrading is that of UN-HABITAT's "people's process" which is explained in Box 2.8.

BOX 2.8: UN-HABITAT'S "PEOPLE'S PROCESS"

Based on its worldwide experiences in slum upgrading UN-HABITAT has developed a community based approach to housing and settlement development. This is the "people's process." It is based on evolving professional thinking since the first United Nations Conference on Human Settlements in 1976 and has been developed furthest in post-disaster and post-conflict situations. However, it can be applied in all communities where development needs are substantial.

The "people's process" involves the residents of a poor community taking charge of their own development process:

".... in the communities that take charge of their own recovery will make informed decisions, reach sustainable solutions, and achieve better results faster, while at the same time enhancing their solidarity and capacity to undertake development initiatives. This action is one of the most effective means of overcoming the trauma of a conflict or a disaster. Social mobilization is practiced in many different ways by development practitioners." (UN-HABITAT, 2007: 5)

In this way it is expected that the community will be empowered to take control of its own development.

The main characteristics of the process are as follows:

contd...

BOX 2.8: UN-HABITAT'S "PEOPLE'S PROCESS"

First, a community needs a representative and legitimate community organization to convene it for meetings and collective actions as well as representing it before outside authorities. Where necessary, a community organization will be created with the support of the implementing agency or strengthened if it already exists.

Second, the implementing agency will facilitate a community action planning (CAP) process in which community members produce maps and descriptions of their settlement (social mapping), identify and prioritise its problems, define different ways of solving them, decide on a preferred set of action (taking into account the advantages and disadvantages of each option) and plan and organize the implementation. Professionals such as architects and engineers will assist in drawing up detailed designs and costings for the selected actions.

The "people's approach" does not mean that the people have to do it all on their own. There is an important role for professionals, government authorities and development partner organizations which will possess the resources to support actions decided upon by the community. Indeed, the community action planning will need to be facilitated by the project agency or an NGO the first time it is tried.

Participants in the CAP workshop will usually be - apart from community organization's own members - representatives of the various interest groups in the settlement, project staff, the Local

Authority and other organizations concerned. This will ensure that the interests, ideas and skills of all the relevant actors are taken into account and, in that way, to produce a well-considered plan. However, non-community actors are expected to contribute and to facilitate but not to dominate or control the process which must be demand- (or people-) driven.

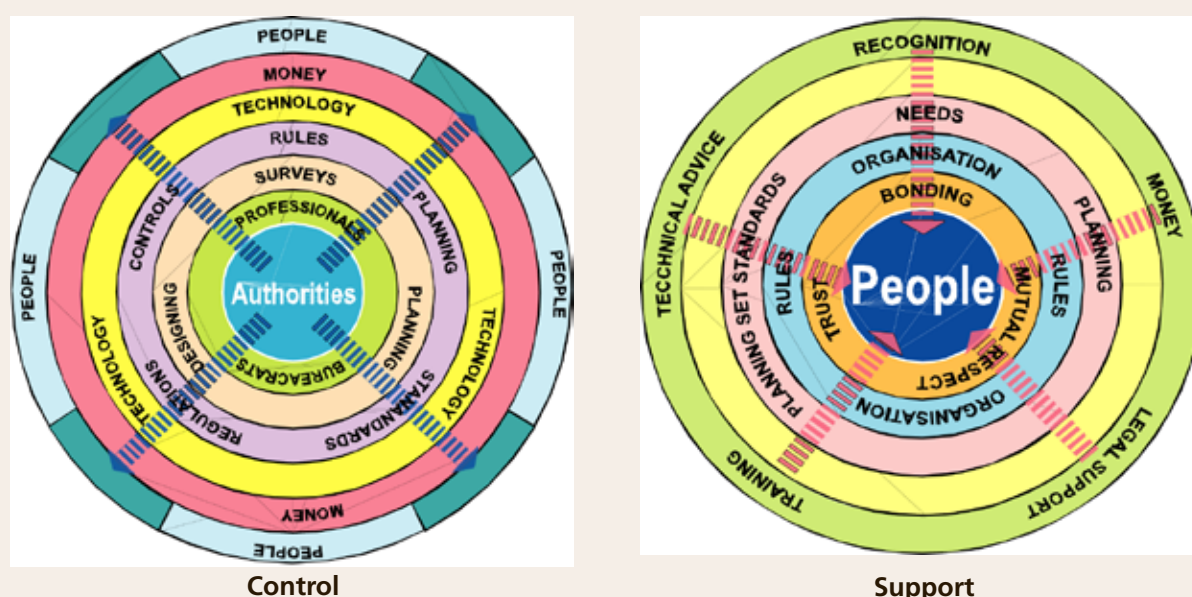
The figure below illustrates the difference between a conventional planning process in which the authorities take control and the "people's process" where residents take the lead.

In the control paradigm development is driven by the authorities. As such they are at the centre of the process which is designed by professionals with controls established by bureaucrats. In the support paradigm people are in control and are placed at the centre of the process of decision making and action, supported by the authorities.

When the CAP has taken place and the plan has been drawn up the community organization takes charge of implementation by hiring contractors, probably and preferably local construction groups under "community contracts" signed between it and the contractors. The community will also supervise the execution of the works since they have the greatest interest in their success and live nearby.

The "people's approach" need not stop at settlement level but can be scaled up to achieve greater impact. The following three conditions, however, apply:

FIGURE 2.5: CONTRASTING THE CONTROL PARADIGM WITH THE SUPPORT PARADIGM



Source: UN-HABITAT, 2010: 4

Contd...

1. **Empowering people** to create a movement through methods such as facilitating the horizontal exchange of community organizations so they can learn from each other as well as exchange visits to other countries, establishing federations of community organizations at city and national level and establishing community banking to pool community resources.
2. **Attitudinal changes:** professionals and decision makers must accept that community organizations have, or can easily develop, sufficient capacity to address the problems they face and that their own most useful role is to facilitate and support rather than to dictate and prescribe.
3. **Policy changes:** governments need to adopt the people's process as the main methodology of settlement development or, in post-disaster and –conflict situations, reconstruction. Care

should be taken to ensure marginalised and vulnerable groups are included in upgrading and reconstruction plans.

UN-HABITAT (2007: 11-12) has shown that the “people’s approach” is quick and is conducive to massive implementation. In Pakistan’s Post Earthquake Rural Housing Reconstruction Programme the approach was adopted by all development partners who were tasked to support families to rebuild their houses to earthquake resistant standards. UN-HABITAT carried out a massive information and training programme for the homebuilders and artisans and developed technical guidelines were developed for standards that are affordable and also for local construction technologies. Over 460,000 houses were completed in a 4 year period.¹⁶

Sources: UN-HABITAT (2010e),
UN-HABITAT (2007)



Figure 2.6: Fabrication of stabilised soil blocks in Kissy, Sierra Leone
© Reinhard Skinner

What can go wrong if there is insufficient community participation?

Upgrading can be done better with community participation. Without it things can go badly wrong. The following are some common examples of this:

- Residents stop paying: if upgrading does not reflect community priorities or standards of service delivery ignore payment capacity, residents may not pay.
- The community does not maintain project benefits: again, if improvements have been made without sufficient attention to what residents want they can hardly be expected to maintain them.

- Residents encroach on public spaces: respect for private and public spaces and keeping the two separate depends on the community’s acceptance of how the space has been planned as well as on a means to enforce this separation. Where the community has not been involved in planning they will not offer the control that they are best able to provide. This is examined further in Chapter Five.

Vulnerable groups are marginalized: without intending to do so planners can ignore the most vulnerable. It is easy for plans to make general assumptions about slum populations and not seek out the interests of the most vulnerable such as young children, youth, the disabled and half the slum population represented by women. Planners are unlikely to detect these important segments of the population unless they talk to communities, including holding conversations directly with them.

Constraints on community organizations’ ability to participate

Many community organizations will lack some of the skills required for effective participation. These will commonly fall into the following areas:

- understanding of planning procedures and techniques;
- management skills (e.g. how to organize teams effectively, conflict resolution);
- administrative skills (e.g. book-keeping);
- how to identify and access funding opportunities;
- writing proposals and plans;
- monitoring and evaluation.

Where these weaknesses exist the project should assist by developing capacity. As we will see in Section 3.9, the CWSU programme should include a component of capacity development of partners.

Techniques for participatory planning

Table 2.1 presents some techniques which can be used to make the planning of a slum upgrading project participatory. Some of the techniques can also be applied at programme level in such exercises as city consultations (e.g. brainstorming and SWOT analysis). However, it is at project level that the most specific data will be collected.

The table is not exhaustive and many other techniques exist which may be applicable to a particular project.¹⁷

French, Frediani and Nunez (2011: 51) describe an approach that merges many of these participatory tools and links a wide range of stakeholders whilst retaining the community at the centre of upgrading decisions. Change by Design: Building Communities Through Participatory Design. Techniques used include observation, mapping, interviews, models, drawing and interactive street installations, with all residents, but also with empowerment of women, children

and people with disabilities. The approach links the dwelling (house) scale, neighbourhood (settlement) scale, and the city scale (institutions and policies) in an effort to achieve sustainability and scale-up upgrading plans whilst retaining community involvement.

2.5.4. PREFEASIBILITY STUDIES: ACTORS, THE LEGAL FRAMEWORK AND LAND

The general information which was used in making initial contacts with participating parties needs to be supplemented to allow for the assessment of the three pillars upon which the programme will be built. The three pillars are the organizational capacity (technical, social and financial) of the actors, the legal framework and the availability of land (including its tenure and legal status). Later, this information must be supplemented with site specific data (see Section 3.1).

When programme partners have been identified and agreed on their roles within the programme it will be time to analyse in more detail what their capacities are and where there are gaps. When these gaps are identified training can be provided as one of the activities of the programme.

TABLE 2.1: TECHNIQUES FOR PARTICIPATORY PLANNING

NAME OF TECHNIQUE	BRIEF DESCRIPTION	POSSIBLE USES IN SLUM UPGRADING
Transect walks	Systematically walking with a guide through an area, talking to people who would be affected by an intervention.	To determine the best location of a project component such as school, water post or road.
Modelling	Rough models made of wood, plastic clay, etc. produced by residents to portray their preferences regarding physical project components.	To show the preferred relative size, number and location of rooms in a house which is yet to be built or extended.
Maquettes	A form of model which accurately shows settlement features such as topography and structures.	To facilitate discussion with groups of residents or individuals about the location and effect of possible changes such as re-blocking.
Brainstorming	A discussion with a group of residents in which their initial opinions and reactions are asked for in an open-ended way. All ideas views are valid and do not need to be justified.	To gather as wide a range of ideas and suggestions as possible in order to later analyse and group them for purposes of selection. For example, defining improvement priorities, which project components should be included or how best to address a problem issue.
Semi-structured interviews	Using a short mental or written list of topics as a basis for open-ended interviewing and following up on unexpected replies.	To find out what key persons in a community think about an issue, investigating the reasons and probing for proposals. For example, whether or not an intervention is deemed successful and why.
Focus group discussions	Small groups of people sharing some characteristic are questioned about a topic and allowed to discuss it. The group may provide insights into aspects of an issue they consider most relevant.	To discuss with women or youth what the possible or desired impact of a community centre or shared water standpipes would be.
SWOT analysis	Small groups analyse the strengths, weaknesses, opportunities and threats affecting an organization or community. The strengths should be used, the weaknesses addressed or avoided, the opportunities exploited and the threats defended against.	To identify an economic development strategy for a settlement or to improve the effectiveness of a community organization or local government.

NAME OF TECHNIQUE	BRIEF DESCRIPTION	POSSIBLE USES IN SLUM UPGRADING
Problem / objective trees	Groups of people identify problems together, finding the links between the problems and locating the key problem and its causes. The objective tree is a similar identification of desired outcomes, links made between them and the means to achieving them agreed.	The two types of tree are useful inputs into project planning at its problem identification and design stages.
Community based planning	The community carries out planning for its neighbourhood and links it into local and national plans.	A community based organization holds meetings, does a situation analysis, develops overall plans and action plans which it submits to the PMT to consider for inclusion in the settlement's upgrading plans. If included, the CBO and PMT agree the means of implementation.
Micro-planning	A small group of residents holds a workshop with a small team of experts for a few days using mainly newsprint and marker pens to draw charts, diagrams and plans. Residents prepare plans and decide on the programme's content and structure themselves.	This technique has been designed especially for settlement level upgrading. It covers all and any aspects of upgrading. Micro-planning entails members of the socio-technical team joining community representatives to work out a plan together which would then be adapted as required for purposes of implementation by specialist agencies in addition to actions undertaken by the community. http://www.communityplanning.net/methods/microplanning_workshop.php

BOX 2.9: WHEN PARTICIPATORY PROGRAMMES GO WRONG

In the Lusaka upgrading programme in the 1970s it was hoped that residents would participate as a community in the installation of utilities and infrastructure, on a group basis by replacing shared with individual water supply and on an individual basis by constructing their own houses.

In practice, widespread mutual help infrastructure installation was prohibited by World Bank requirements for rapid disbursement of funds and implementation and for formal tendering procedures.

Most infrastructure was installed by contractor, large scale in the case of roads and utilities, small scale in the case of community buildings, and community self-help inputs were limited to a few areas in which residents were organized to take over some of the least skilled aspects of a job, generally trench digging for drains or water supply, in return for building materials to the value of the labour contribution, which they could then use for a community project of their choice.

(Rakodi, 1989)

The legal and regulatory frameworks also need to be understood, first to know what is possible under existing conditions and, second, to be aware of what advocacy may be necessary to build into the programme. In several countries legislative change has been successfully achieved (see Box 2.10) by slum dwellers' organizations such as those who are potential partners in citywide slum upgrading programmes.

Next, the supply of land needs to be analysed and understood. The programme will need access to land for different purposes. The first is to undertake the upgrading itself. The status of land occupancy and ownership may determine the feasibility of providing infrastructure. Important questions regarding land tenure and availability must be considered: does the state have power to acquire the land compulsorily? What will be the cost of paying compensation? What is the availability of suitable public or privately owned land which can be used for relocation, if necessary?

It is important when undertaking a participatory planning process to seek out people from all different parts of the community. All residents, men, women, children, the elderly, the disabled, etc, have valid inputs to make into the process. They also each may have varying degrees of opportunity to voice their opinions, if they are not sought out and made a priority. Organisers should ensure that the complete population is engaged during the participatory process.

TIP

2.5.5. PHASING THE CWSU PROGRAMME

The CWSU programme should be seen as a medium- or long-term process in which incremental improvement is contemplated. Limited resources mean it will usually be impossible to achieve all goals at once and upgrading will need to be phased. Here are some guidelines when deciding which elements of CWSU should be carried out first and which later. Note that all cities are different so the answers will not all be the same.

Priorities: needs and priorities at settlement level need to be balanced with the priorities of the city as a whole.

Impact and visibility: highly visible improvements at an early stage may help create confidence in the programme and serve as a sign of good faith.

Settlement design and engineering: technical considerations mean some improvements have to precede others. For example a typical sequence of infrastructure delivery would be: drainage and erosion control → accessibility and transport (road levelling) → water and sanitation → street lighting and domestic electricity connections → solid waste collection → community level facilities.

Funding flows: not all funding commitments will be available immediately and upgrading work will need to be matched to when it is.

When the participants are ready: some of the CWSU actors will require capacity development and some elements of the programme which depend on the increased capacity of these actors will need to wait until training is under way.

BOX 2.10: SUCCESSFUL CAMPAIGNS BY SLUM DWELLERS' FEDERATIONS TO CHANGE PLANNING AND BUILDING STANDARDS

In 1987, women pavement dwellers in Mumbai who had formed an organisation known as Mahila Milan began to dream about improved housing. They constructed small-scale cardboard house models and later full size models, inviting professionals and officials to come and discuss the designs that they had created.

One of the important features of the models, that were eventually judged to be both acceptable and affordable, was a fourteen-foot back wall with a sloping roof. This feature allowed for the construction of a mezzanine floor (or loft), nearly doubling the available living space for only a 30% increase in the cost. The problem was that this did not meet local building bylaws which limited ceiling height to nine feet.

This design innovation had been tested in a variety of upgrading scenarios including high rise construction. However at each stage there was a battle with officials. The fourteen foot wall was eventually officially sanctioned after four years of persistent lobbying by the Slum Dwellers' Federations and Mahila Milan as well as considerable financial resources to produce practical demonstration models.

The Namibian Federation, Windhoek:

The Namibian Federation, supported by their NGO the Namibian Housing Action Group, were able to persuade government to reduce plot size requirements so that developments would be affordable to Federation members. This is an important example because the Namibian

Federation and the Windhoek City Council took a collective risk in establishing a new standard for plot sizes in spite of national plot size requirements that were considerably larger.

Pamoja Trust, Nairobi:

In Huruma, one of the Nairobi slums where the Pamoja Trust works, the City Council took a similar approach accepting that plots would need to be reduced in order to accommodate all the residents. To achieve this the Council made the area a special development area.

The Indian Federation, Mumbai:

When families were relocated from alongside the railway tracks in Mumbai's Urban Transport Programme they needed transit accommodation. The Indian Federation, by building the first transit camp themselves were able to demonstrate to state officials and to the World Bank that a reduced spatial standard of 125 sq feet per family rather than 225 sq. ft worked well, particularly for families whose previous option had been to live in 80 sq. foot houses immediately adjacent to the danger of the rail tracks.

Barrio San Jorge, Buenos Aires:

In Argentina, in Barrio San Jorge, an informal settlement in Buenos Aires, the local authority accepted that building standards would take time to improve and they tied allocation of secure tenure to improvement in standards over a time period acceptable to families living in the barrios.

Source: McLeod, 2003: 15-16.

Some things take time: setting up new systems and structures such as credit funds and technical and social advisory services, for example, cannot happen right away.

Some things happen later: property tax, for example, will only be forthcoming when land has been regularised and cost recovery will follow the installation of services.

The danger of phasing improvements: phasing of improvements carries with it certain dangers. For example, what starts out as an integrated programme may end up becoming piecemeal. One way to overcome this is to ensure that the programme be integrated from the very start even if this means starting at a micro level and developing slowly. For example, income generation can start by supporting existing microenterprises by helping them identify markets and improve their cost control on a one-to-one basis. Larger scale training and credits can come later.

2.5.6. WHICH SETTLEMENTS SHOULD BE UPGRADED FIRST?

There are some general criteria for selection of settlements which are likely to be applicable in most cases. In addition, cities will need to develop their own criteria to reflect their own priorities, objectives and resources.

General criteria:

1. **The public profile of the settlement:** it might be politically advantageous to show that a particular settlement is being improved. This is not a choice the technical staff of the task force will make, but may be an overriding consideration if political influence is brought to bear. CBOs and active community mobilization for improvement and security of tenure may determine this choice.
2. **The size of a settlement:** technical considerations are important to determine whether small settlements can be upgraded or large settlements are included in the programme. The size of a settlement has different cost implications. An ideal size or range per number of households or number of residential units may be a useful criterion. In the Favela Bairro Programme in Rio de Janeiro the ideal size was between 500 and 2,000 households. There is no universal 'ideal' size. The preferred population size will vary between settlements and will be determined by many interrelated variables such as density, tenure and housing types, as well as the other criteria listed here. The implementing agency will also need to consider what size allows it to achieve economies of scale while remaining manageable in terms of coordination and community cohesion.
3. **Need and level of deprivation:** is improvement an urgent need for reasons such as manageable environmental hazards or unhealthy conditions? Or does the settlement concentrate many extremely needy households?
4. **Proximity to trunk infrastructure:** this allows for cost efficiency and easier solutions in infrastructure provision, turning the settlement into a 'quick-win' for programme output.
5. **Proximity to other settlements to be upgraded:** this allows for improved city planning, connectivity, and integration of slums into the overall formal city systems.
6. **Ability to pay:** if cost recovery is a key concern for the programme the ability of residents to pay for improvements will be important. This criterion is unlikely to lead to upgrading favouring the poorest but it can help reduce pressures of gentrification in upgraded settlements where households cannot afford an upgraded environment.
7. **Active CBOs mobilizing and representing the interests of all residents:** the existence of an active, legitimate and legally established CBO representing the interests of residents will make slum upgrading responsive, participative and consultative, increasing its chance of success, and normally leads to well-established post-upgrading community-based management processes. In an upgrading programme in Ahmedabad, India all slums are eligible but communities are expected to form an association and indicate commitment by payment of a small fixed contribution per household to cover both overall and maintenance costs.

Some general criteria will identify settlements to be excluded from upgrading, though they may be subject to other measures:

The issue of land tenure is one of the most important elements to confirm before the program moves forward. The tenure status of the targeted slums and the land tenure laws must be fully confirmed and understood.

TIP

- if the settlement is precariously located (e.g. on steep gradients), unsafe or subject to environmental problems (e.g. endemic flooding);
- if the land on which the settlement is located is reserved for alternative uses which will benefit the city as a whole;
- if the site is illegal or occupancy is contested in court by legal owners and it seems unlikely that this can be changed or resolved during the period of the upgrading programme;
- if the site has only recently been occupied, possibly by opportunistic households squatting to benefit from programme investments.

City-specific criteria

Each city is likely to have specific criteria to reflect their own priorities, objectives and resources. For example, the criteria in the Argentine PROMEBA Neighbourhood Upgrading Programme are settlements where there are at least 50 minimum-income families with unmet basic needs who have lived in the settlement for two years or more, situated in localities with populations of more than 20,000 (with the exception of the capital Buenos Aires and its metropolitan region) and that meet the conditions described in Table 2.2 below. The eligibility conditions must be met in two phases: (1) preliminary project for commitment of federal funds; and (2) final design for contracting the works.

A more recent approach, under the Rajiv Awas Yojana (RAY) Programme, is used in Hyderabad, India, where the key criteria are poverty and lack of infrastructure. These are applied by means of the following matrix.

Each slum is numbered and a poverty index constructed for it which is calculated on the basis of: the proportion of families living below the poverty line, the proportion of the population which belongs to the legally recognized especially vulnerable groups of “scheduled castes” and “scheduled tribes” and the level of literacy. An infrastructure deficiency index is constructed using the parameters of houses built with temporary materials (katcha houses) and the nature of water supply, sewerage, drainage and roads.

When the calculations for each have been made each slum number is entered into the matrix and slums scoring highest on the combined indices are prioritized as shown in Figure 2.7. The top left cell indicates the highest priority. Since the slum upgrading programme has a five year duration the priorities are similarly phased: top priorities are addressed first and the lowest priorities at the end of the programme.

The criteria and system for scoring used in Jakarta in the Kampung Improvement Programme (KIP) was based on over 15 criteria that were weighted and scored. Table 2.3 provides an outline of selected criteria and shows how they were scored according to most and least favourable: 3 points for most favourable, 1 for least, and 2 for an intermediate situation. The weighting allows for adjustment depending on the overall importance of criteria.

2.5.7. THE FINANCIAL STRUCTURE

At this stage the programme needs to:

- Make an estimate of how much the programme will cost;
- Identify sources of funding;
- Set the general rules and principles for financing within the programme.

Calculations of costs can only be accurately made later when feasibility studies of individual slums are carried out. At the present stage of initiating the programme general estimates are sufficient. Davidson and Payne (2000: 13) recommend particular care be given to:

Land costs: If land must be acquired, expropriated or compensated, this must be budgeted for.

Infrastructure: What is the cost of providing different levels of service to target populations?

Buildings: If relocation is considered and building new houses is needed, then this cost must be budgeted for.

Burra (2005: 81) has suggested six other areas where funding is needed if slum upgrading is to be carried out at scale and these should be included in cost estimates:

TIP

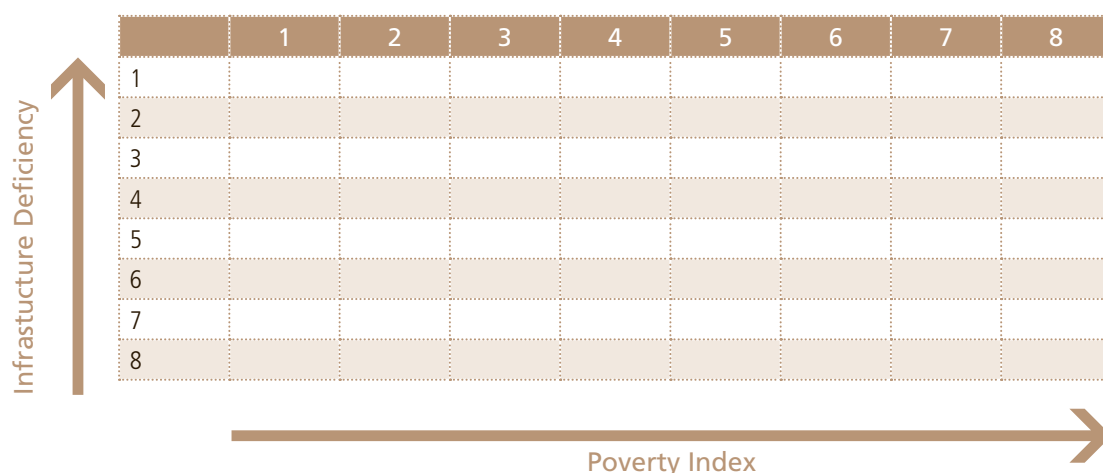
Before making any intervention a comprehensive settlement design (area-based plan) must be made and agreed. This primarily involves the delineation of what is public and what is private space and defines the urban configuration and street network. Phased works can then be implemented following this plan. Do not invest in basic infrastructure provision and the laying of pipes and networks without a settlement plan. Otherwise, you may risk wasting resources when the plan is defined and planners realized that water pipes are laid where new houses need to be constructed.

TABLE 2.2: PROJECT ELIGIBILITY CRITERIA USED IN THE ARGENTINE PROMEB A UPGRADING PROGRAMME

	PHASE I	PHASE II
Social	75 percent of the population must have unsatisfied basic needs - Residents must have lived in the settlement for two years 70 percent of the households must be capable of paying loans with 25 percent of their income.	- An accompanying social programme must be in progress. - A relocation plan has approved by the beneficiaries. 75 percent of residents must have shown their agreement with the project design.
Legal	Neighbourhoods must be located on land that is publicly owned or that has been acquired by the occupants.	Land ownership must have been legalized to permit the process of issuing individual titles.
Environmental	The neighbourhood must not be highly vulnerable to natural or anthropological problems and must not compromise areas of ecological importance.	- Environmental data sheet and environmental management plan has been approved. - Evidence that environmental studies have been published.
Technical and economic	- Neighbourhoods must be located within the urban boundary and connected to the urban centre by means transitable at all times; it must be feasible to equip the neighbourhoods with drinking water, electricity and sanitary solutions - The number of lots developed under the programme must not exceed 10 percent of the number of families living in the neighbourhood.	- Investment costs must not exceed the following limits per plot: (a) Total investment US \$ 6,500 (b) Water and sewer systems US \$ 1,700 (c) Street and drainage system US\$ 2,300
Institutional and financial	A fund transfer agreement must have been signed with the Province.	- Agreement with the Province on project cofinancing and execution. Supplementary funds must be provided to house relocated families. - Agreement to transfer services to providers and commitment by the latter to take over operations and maintenance.

Source: adapted from Brakarz, (2002: 110-114).¹⁸

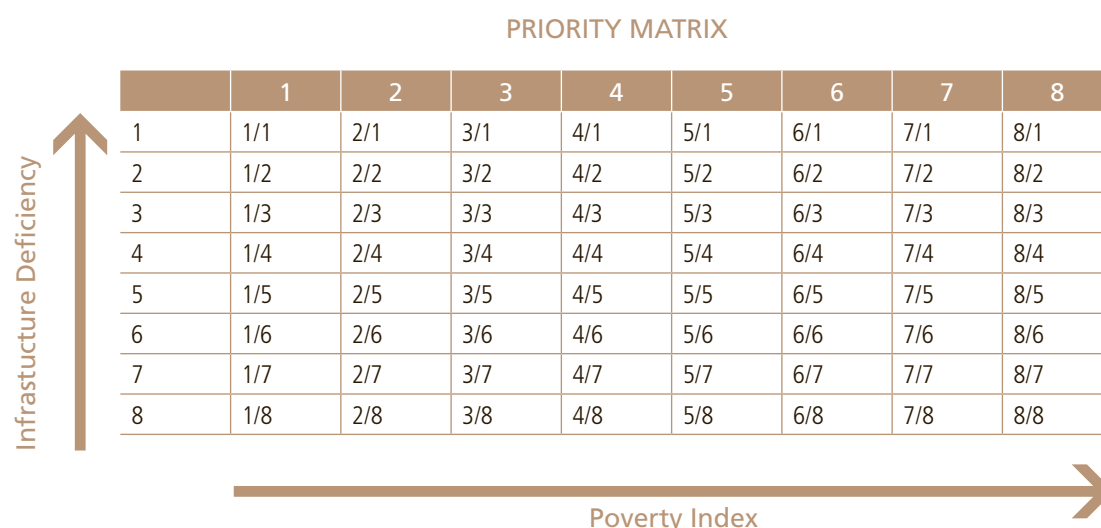
FIGURE 2.7: PRIORITISATION AND SELECTION OF SLUMS FOR UPGRADING IN HYDERABAD, INDIA



Source: Subhani, 2011: 72.

- Community mobilization and consultation
- Exchanges: sharing knowledge and experience
- Pilot projects/precedent-setting activities
- Finance and guarantees for scaling up
- Pre-finance and guarantees for accessing loans
- Pre-finance for accessing subsidies

FIGURE 2.8: PRIORITY MATRIX USED IN RAY SLUM UPGRADING PROGRAMME, INDIA



Source: Subhani, 2011

Funding is likely to be provided from a combination of programme partners and is likely to consist of a combination of the state (ministries or municipality), donor agency, private sector and beneficiary communities. Agreements need to be made and signed about who will provide what.

Consideration also needs to be given to which stakeholder will manage funds. It is possible that this will fall to more than one. For example, housing credits are often managed by a bank and funds for infrastructure by the municipality but there is also scope for community involvement such as in the Baan Mankong programme in Thailand (Boonyabancha, 2005: 45-46).

2.5.8. COORDINATING CWSU WITH OTHER CITY PLANS AND STRATEGIES

CWSU is part of the municipality's housing programme and should be fully integrated into the city's overall strategic plan. It should also be integrated with national housing policies and approaches. While national housing policies define the overall framework and programmes to bring housing options to scale and diversity (in size, typology, standards, price and location), it is at the city and municipal level where investments, building and actual physical transformation takes place.

TABLE 2.3: SELECTED SCORING AND WEIGHTING FACTORS FOR SELECTING SETTLEMENTS FOR UPGRADING IN THE KAMPUNG IMPROVEMENT PROGRAMME, INDONESIA

TESTS	CRITERION	3 (MOST FAVOURABLE)	2	1 (LEAST FAVOURABLE)	WEIGHTING
Gross residential	Area divided by population	More than 600 persons per hectare	300-599 persons per hectare	Under 300 persons per hectare	3
Attitude of residents to improvement	Positive attitude	2/3 of people want improvement	Few people want improvement	People resisting improvement	1
Building condition	Permanent materials in walls, roofs, floors, doors and windows	2/3 of buildings have 1/3 permanent materials	2/3 of buildings have between 1/3 and 2/3 of permanent materials	2/3 of buildings have more than 2/3 of permanent materials	3
Income group	Average income in all settlement	More than 2/3 of families have less than average income	Between 1/2 and 2/3 of families have less than average income	Less than 1/3 of families have less than average income	1
Demolitions	Number of existing houses to be cleared	Less than 103 demolished	10-201 demolished	More than 201 demolished	4
Flooding	Not included as all sites subject to flooding are to be redeveloped				0

The implementation of national programmes within municipal jurisdictions should be part of a municipal housing policy to make land available in existing residential areas, the city core, city expansion areas, etc. A municipal housing programme is inexorably linked to land use planning (availability and location of land for new housing), expansion of the infrastructure networks and the overall city development strategy.

CWSU programmes are part and parcel of this overall housing and city development framework. By regularizing land tenure and improving security of tenure, creating area-based planning interventions where slums are located and connecting these areas to the city fabric and formal planning, CWSU programmes actually provide an increase in housing supply without necessarily building housing. This institutional, programmatic and financial connectivity must be well-arranged in order to maximize impact and overall involvement in the quality of life in cities. CWSU programmes also provide for the backward and forward linkages of the housing sector with other parts of the economy, thus boosting employment opportunities and poverty reduction.

The Cities Alliance highlights two key reasons why slum upgrading programmes should be integrated with city development plans:

- slum upgrading being firmly on the city development agenda and receiving a budget allocation is an important consideration when aiming at sustainability. The intention is that, once in the plan, slum upgrading will remain an ongoing programme;
- coordination difficulties can be reduced as slum upgrading resources are brought under the same planning umbrella as other programmes from the start.

Source: (<http://www.citiesalliance.org/ca/node/438>)

The way to achieve this is to create a strategy and plan how to transform slums as part of the core business of managing and improving the city and its economy. An effective tool to define these plans is to draw up a City Development Strategy (CDS) to identify city priorities which leads to producing a workable plan for the upgrading programme within broader city development. For the same reasons, an attempt

should be made to incorporate slum upgrading programmes into broader poverty reduction strategies.

There are other linkages between slum upgrading and development initiatives. One that the task force should bear in mind is the United Nations Development Assistance Framework (UNDAF) which is a programme document between a government and the United Nations country team that coordinates development efforts in the particular country to ensure the integrated planning and financing of activities to reach national development goals. In some cases Poverty Reduction Strategy Papers are and have been prepared and these provide the opportunity to include citywide slum upgrading since the PRSPs are expected to be both participatory in formulation and comprehensive in nature.²⁰ Box 2.11 provides an example of a citywide slum upgrading strategy which was integrated with both poverty reduction and city development strategies.

2.6. GETTING THE PROGRAMME PUBLICLY KNOWN

It is important to maintain good communications at all stages of the CWSU process with the aims of:

- Gaining support for the programme from communities and the broader public (and perhaps changing public perceptions);
- Disseminating information to populations as a whole: the programme concept, opportunities to participate and an invitation to consult;
- Controlling the accuracy of information received by the population (i.e. to dispel any false rumours).

Communication needs to be two-way: in addition to disseminating information it is important to receive feedback from the intended programme population. (Monitoring is also part of this and is explored fully in Chapter Five). The focus of communications will differ at programme development and project stages of the CWSU process as shown in Table 2.5.

At the programme development stage the main purpose of the communications strategy will be to prepare people and to get their 'buy in' to the CWSU programme.

Make sure that the eligibility criteria are made public before the programme starts so that manipulation and opportunism is minimised. This will increase trust between the programme and the citizenry.

TIP

TABLE 2.4: DO'S AND DON'TS OF FINANCING SLUM UPGRADING

DO	DON'T
Ensure that financing for slum upgrading is recognized as a priority within city development planning and as a key investment element of the municipal budget. This emphasis should be reflected in a slum upgrading budget line within local authority budgets	Don't rely on one-off poverty-focused upgrading projects
Encourage and give incentives for financial institutions to become active participants in financing upgrading as part of their core business	Don't rely on housing or governance finance institutions
Ensure that guarantees are available to encourage financial institutions to lend to slum upgrading programmes and projects	Don't provide guarantees that support interventions based on political patronage
Tap into local initiatives, for example community-based savings and loan systems and look for ways to support and scale these up to increase local capital and slum dwellers' ability to contribute to upgrading	Don't assume that one financial product fits all
Recognize that financing for slum upgrading requires a mix of short, medium, and long-term loans, integrating finance for building infrastructure and livelihoods	Don't rely on government subsidies or on full cost recovery from slum dwellers
Provide mechanisms to blend municipal finance, cross-subsidies and beneficiary contributions to ensure financial viability of upgrading programmes	Don't expect residents of slums to be the only risk takers in developing new approaches to upgrading
Develop a process for sharing risk analysis and planning for risk mitigation and management with key stakeholders	Don't assume that lending for slum upgrading will necessarily be asset-based. Where financial institutions do lend for this purpose lending is more than likely to be revenue based
Plan projects on a mixed-use basis with revenue generating elements such as saleable residential units and rentable commercial space in order to maximize financial viability	Don't assume that all problems of a slum can be addressed quickly within the framework of a single project
Ensure that subsidies are effectively targeted so that the benefits reach those for whom they are intended and build on the basis of long term engagement	Don't insist that interventions should only benefit low-income households
Recognize that not everyone who lives in a slum is poor. Where an area upgrading strategy is to be implemented provision needs to be made for a range of income groups with steps taken to ensure that the poorest are not excluded	Don't restrict interventions to developments based on clear land title and private ownership of property
Make the real cost of finance very clear so that people clearly understand the commitments they are making to loan repayment	Don't hide the real cost behind misleading promotional messages
Where appropriate establish local upgrading finance facilities so that funding is locally available	Don't assume that existing finance institutions will have the capacity to deliver the full range of financial services required
Explore options to use land allocation, readjustment and sharing methods to release finance for upgrading	Don't place unnecessary restrictions on land use

TIP

Do not start the programme if finance is not secured. The worst that can happen to a CWSU programme is the raising of false expectations amongst residents and participating parties. The project will roll back to the drawing table and people will become frustrated with a lack of progress.

Later, at the project planning and implementation stage, the emphasis will change. The communication will become more specific and will deal with the contents of the upgrading in their own settlements. This is covered in more detail in Chapter Four.

Communications should be two-way. There need to be mechanisms by which the population can contribute and voice their concerns or complaints once it is underway. This need not always be created by the CWSU programme itself, as the example in Box 2.12 shows. In Chapters Three and Four we return to the question of programme and project communications and look at some of the challenges involved.

2.7. SUMMARY: KEY ISSUES FOR SUCCESSFUL CWSU

There are several aspects of a CWSU programme that need to be planned and managed well if the programme is to be successful. Each of them is examined in more detail in the following chapters but are worth introducing briefly here.

2.7.1. LAND

The essential problem of land in slum settlements prior to upgrading is the lack of tenure security. Without this residents may be reluctant to invest in

BOX 2.11: INTEGRATING CWSU WITH POVERTY REDUCTION AND CITY DEVELOPMENT STRATEGIES IN AGRA, INDIA

In 2006 the Cities Alliance began to support Agra Municipal Corporation with a grant to develop a City Development Strategy (CDS) as part of the Jawaharlal Nehru National Urban Renewal Mission (JNNURM), India's massive urban reform and development initiative launched the same year.

The CDS process was implemented by the Centre for Urban and Regional Excellence (CURE) and linked in with USAID's Cross-Cutting Agra Project, an inclusive slum upgrading and community development project also implemented by CURE. The CDS incorporated a number of activities aimed at benefitting the city's poorest residents, including:

- Citywide slum mapping of 378 slum neighbourhoods, providing accurate data on Agra's informal settlements for use in comprehensive city planning;
- Integrating that data into the Community Based Information System (CBIS), a map-based information system that makes citywide data easily accessible to municipal staff;
- An inclusive slum upgrading and poverty reduction strategy that gave Agra a roadmap for upgrading and mainstreaming slums;
- A strategy for local economic development designed to broaden the economic activity in the city, renew and adapt traditional livelihoods, and introduce residents to new livelihoods; and
- The development of the Mughal Heritage Walk, a one-kilometre walking loop that links the Taj Mahal with some of Agra's lesser known Mughal monuments.

As a result of the CDS process, Agra Municipal Corporation has developed the capacity to respond to the needs of informal settlements in the city and is better prepared to implement reforms that benefit its poorest residents.

Through the CBIS information system, the city now has access to accurate, citywide data on its informal settlements that it can use to develop demand-based slum upgrading plans and monitor slum upgrading activities.

The process has also helped the Municipal Corporation engage positively with the city's slum dwellers and actively seek to include them in city planning. City engineers have participated in community discussions on service issues, undertaken joint site visits with CURE to understand local concerns, and participated in planning exercises. In addition, district and other urban local bodies have begun interacting with local community groups and involving them in programme advocacy and awareness building on key issues such as hygiene.

The CDS process – in addition to the Cross-Cutting Agra Project, which effectively established a demonstrable model for inclusive planning for slum upgrading and sustainable livelihoods – laid the groundwork for a second major activity: the development of a citywide slum upgrading plan for Agra.

The activity aims to:

- Formulate an inclusive, integrated citywide slum upgrading plan;
- Create an enabling environment for sector reforms to facilitate the implementation of such a plan; and
- Strengthen the capacity of local institutions to implement participatory slum upgrading projects.

Source: Cities Alliance, <http://www.citiesalliance.org/ca/node/2696>

housing improvements and may be subject to the risk of eviction. Even if they are not at risk of eviction, residents are less likely to invest in their own housing improvement if they do not feel secure.

Security is partly an issue of legality; while land occupation remains contested, eviction remains a possibility. It is unlikely neighbourhoods without legal tenure will be able to acquire improved infrastructure because this would legitimise their occupation or because service company regulations prohibit the provision of infrastructure to illegal plots.

Tenure security does not necessarily mean residents need to legally own their plots. As long as residents lose the fear of eviction, they feel secure and are more likely to invest their savings and time and effort in their homes and neighbourhoods. The Global Land Tool Network (GLTN) advocates that “the range of possible forms of tenure can be considered as a continuum. Each continuum provides different sets of rights and degrees of security and responsibility”. (UN-HABITAT & Global Land Tool Network, 2008). The continuum is shown in Figure 2.9.

Handzic (2010: 11) has studied the renowned Favela Bairro Programme in Brazil and based on this concludes that full regularization of land tenure through land titling is not essential in the slum upgrading process, even though in the long term, the aim may be to provide titles to residents. More important than land titling is security of tenure, which allows a squatter to remain on and use the land.

Security of tenure can be achieved in a number of ways. In the Brazilian case it was the state of exception which is the creation of separate regulatory controls and planning methods for informal areas. This ensures that these areas are not overburdened with standards that are costly or otherwise impossible to implement or enforce and provides secure tenure pending full titling being achieved. This is a useful measure in cases where land occupancy is contested and titling is delayed and in danger of subverting the authorities’ intention to upgrade a settlement.

Another Brazilian city, Recife, has developed innovative land legislation which favours low-income dwellers. Under the PREZEIS (Plan for the Regularisation of Special Social Interest Zones), legislation was enacted which later became part of the City Statute (Estatuto da Cidade in Portuguese) in 2011. This gives the municipal government two tools, “adverse possession” and “real right to use” instruments, with which to intervene in informal settlements that have been declared “social interest zones” and with regard to illegally acquired plots. The first allows residents to acquire rights over privately owned land, up to a maximum size of 250 square metres subject to certain conditions (for example, being able to prove the land was occupied without violence, that they have lived on it for at least five years, and that the residents have ownership of the house and are keeping it in good condition). The second instrument allows for 50 year land leases to be granted to those occupying land belonging to the local government, or central government land managed by it (Acioly, 2006: 86).

TABLE 2.5: THE FOCUS OF PUBLIC COMMUNICATION AT PROGRAMME AND PROJECT STAGES

PROGRAMME	PROJECT
Selling the concept (to general population and potential partners)	Explaining what will happen (what, who, when)
Making a broad statement of intent (what is going to happen, why and when)	Explaining what benefits are available, to whom and under what conditions
Preparing communities for change (the implications for the lives of those involved)	Explanation of project regulations and residents’ rights and obligations
Starting the process of participation (invitations to public consultations, etc.)	Inviting residents (men and women, young and old) to participate
Organise consultative workshops with all stakeholders including CBOs and NGOs working in slum upgrading	Organize meetings with CBOs at settlement level and promote street-based representation and residents councils to increase dialogue

TIP

To avoid duplication and promote aid coordination, make sure that the CWSU programme is part and parcel of the overall urban planning and city development strategy, connecting agencies, institutions and actors on the ground.

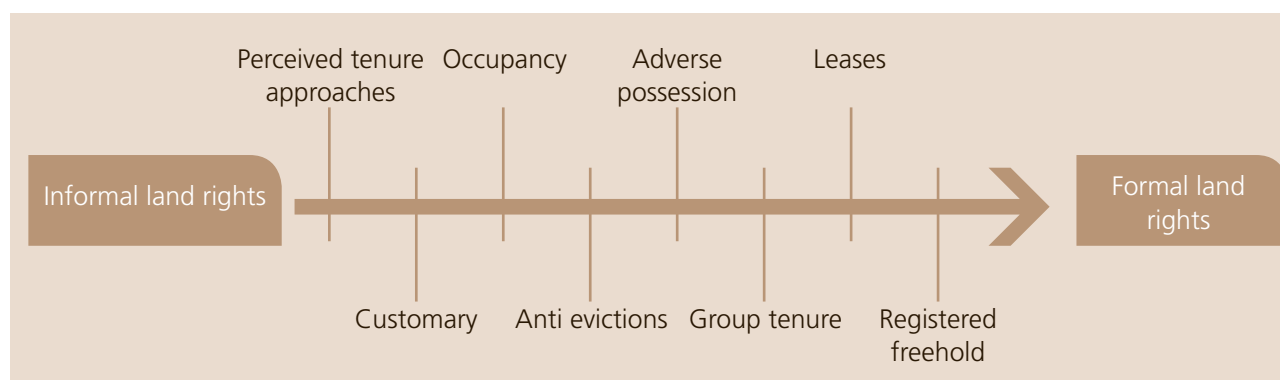
Some poor residents cannot afford to acquire title and for them an option to rent is important. Upgrading programmes should not focus entirely on the house owner nor should it employ regulations prohibiting the renting out of rooms in improved houses or extended houses in overspill sites and services schemes. The latter, incidentally, is also a way for plot owners to increase the income they have available in house and plot development.²¹

In many cases communities do seek ownership. In some cases outright purchase is not possible and leasing provides an alternative (Boonyabancha, 2005:

27-31). What is important though is that whatever the solution found it is always communal rather than individual: the community as a whole buys or leases the land. This is not only a reflection of the collective efforts to gain secure land tenure, but also a precautionary measure against the sale of land to outsiders and therefore a means of preventing gentrification. A similar approach has been adopted by various federations of the urban poor (McLeod, 2003: 23).

Hernando de Soto has been influential in the field of land tenure for the poor. For him, the poor who

FIGURE 2.9: THE CONTINUUM OF LAND RIGHTS (UN-HABITAT AND GLOBAL LAND TOOL NETWORK, 2008: 8)



BOX 2.12: CITYWIDE MONITORING OF PROGRESS - BOGOTÁ CÓMO VAMOS?

Bogotá Cómo Vamos (or How Are We Doing, Bogota?) is a monitoring mechanism developed by civil society to assess progress made by successive mayors of the capital of Colombia in delivering on their election promises. It was founded in 1997. The 1991 Constitution had mandated citizens to exercise social oversight of public administration. It was founded by El Tiempo Publishing House, the Corona Foundation, and the Bogotá Chamber of Commerce.

The Bogotá Cómo Vamos project includes an expert in evaluation and local government. It collects data from the municipal administration, analyses them, drafts evaluation reports, consults with thematic experts and commissions an annual opinion survey to see how citizens feel the Mayor is performing.

The thematic experts who comment on the data collected provide views as to performance but also why targets are being met or not met, justifiably or not. Representatives of the city administration are also invited to comment on the analyses and the experts' observations.

The areas of performance which are monitored are health, education, housing and utilities,

environment, public spaces, traffic, citizen responsibility, citizen security, public management, public finances, and economic development.

The results of the data, the analyses and comments are published in the mass media. These are the newspaper El Tiempo, the newspaper with the largest circulation in the city and nationwide, reaching 1,430,000 people from Monday to Saturday, and 3,040,000 on Sunday, and the local television station City TV with an audience of 2,905,900 people.

Other strategies adopted included publishing a Quarterly Bulletin with 3,000 copies for distribution to grassroots citizen organizations, and other publications, such as reports from seminars and forums, to experts, libraries, research and documentation centres, universities, and high schools.

Sources: <http://info.worldbank.org/etools/docs/library/19099/BogotaComoVamosEnglish.pdf>
<http://www.bogotacomovamos.org/scripts/contenido.php?idCnt=2>
http://www.unhabitat.org/bp/bp.list.details.aspx?bp_id=2403

occupy plots illegally have in their houses a source of wealth, a form of capital. However, it is what he calls 'dead' capital since it cannot be used to leverage more capital by using it as collateral for loans to invest in their homes and businesses. He advocated giving legal titles to these landholders to stimulate access to finance, economic activity and thereby urban upgrading (De Soto, 2000). However, although these ideas have stimulated massive titling programmes, especially in Peru, several authors have questioned the existence of a connection between title and access to credit and investment in housing (Skinner, 2011; Gilbert, 2002; Bromley, 1994)

A novel form of land tenure, land sharing, was pioneered in the 1980s in Bangkok. NGOs developed this approach as an alternative to forced evictions that could produce a win-win situation for the landowner and the urban poor community. Land sharing meant that an urban poor community faced with eviction would share the land it occupied with the landowner who would be able to develop his or her share of the land for commercial use.

The government played an enabling role in the land-sharing projects; it was usually the landowner, the developer or their representative that negotiated with the urban poor community, with an NGO as intermediary. The NGO provided assistance to the community for the design of the new settlement and houses. The National Housing Authority would provide infrastructure subsidies or housing loans, and ensured that the settlement was exempted from building regulations. This was necessary, because the land of the community was sometimes so small that the slum households had to resettle in three-storey row houses on 24m² plots.

When mapping all the slums in the city, the executing agency and the programme coordination team must have a land tenure map as well. It means that the legal and tenure status of the land where the slum settlements are located must be classified. It will be easiest to undertake area-based planning, demolition, reconstruction and investment in infrastructure on public or municipal land. But, if land is privately owned, or belongs to public institutions, or is under litigation in court, in-situ upgrading may not be possible or it may take much longer to be executed since land must be cleared for development.

2.7.2. FINANCE

Finance is one of the five main inputs to housing and as such it is crucial to an effective CWSU programme. The subject will be taken up in more detail in Chapter Three. For now, when the CWSU programme is being 'sold' as an idea to the government and its partners and to the population as a whole the following should be the main concerns of the programme's advocates:

Sources of funds for upgrading and maintenance:

Where will the programme find its funding? Amongst others it needs to consider and approach the following possible sources:

- Central or regional government through grant or loan programmes (co-financed with local governments and possibly, CBOs, and the private sector);
- Property tax and percentage of municipal revenues;
- Private sector credit financing;
- NGO or community equity;
- NGO or community credits (savings and loans).

Affordability to slum dwellers

If the targeted slum population of the CWSU is going to benefit it needs first of all to be able to afford it. CWSU's different components carry real costs. The following are some of the ways these costs can be defrayed, reduced or made accessible to target groups:

- Credits;
- Cost recovery;
- Grants and subsidies.

2.7.3. STAKEHOLDER PARTICIPATION

Successful CWSU is impossible without the participation of the slum dwellers concerned and other stakeholders. Local organisational and human resources (in planning, design, implementation,

TIP

Communication of the programme design and its status can take many forms. Be creative and utilize modern approaches to getting your message across to your target audiences. Videos, short films, websites, blogs and cell phone text messages can all supplement traditional forms of communication such as posters, flyers, town hall meetings and city consultation workshops.

etc) should be harnessed in the CWSU programme. The following two chapters describe in detail how this can be achieved. However, at this stage in the process, when potential partners and supporters are being identified and brought on board, the main justifications concerning stakeholder participation will be as follows:

- Community participation will help better identify community needs and priorities and therefore the services for which beneficiary communities are likely to be willing to pay and contribute to maintaining. The same applies to other stakeholders and they need to be invited to participate in processes such as city consultations.
- Participation of stakeholders contributes to citizenship and transparent governance which brings broader benefits than just the CWSU will deliver. This is linked to the empowerment created through participation will provide low-income communities with the skills and self-confidence to enter into future negotiations with government and utility companies, make their own development plans, and so on.

2.7.4. INSTITUTIONAL FRAMEWORKS

Decisions have to be made about the appropriate form of programme delivery. While it is certain this must be participatory, someone has to take the lead. Other important stakeholders must be prepared to accept their leadership so a lead organization has to be chosen which carries sufficient weight and authority.

Apart from the lead agency a structure has to be set up for the practical management of the CWSU programme. There are various options here including a specially created and autonomous Programme Management Unit (PMU) and an agency within an existing organization. We will look at the advantages and disadvantages of each in Chapter 3.

2.7.5. EQUITABLE ACCESS

CWSU is intended to benefit all slum dwellers, women and men, young and old and those with disabilities. Unfortunately, as with many development projects, it may end up benefitting the strongest groups since they are often the most visible and vocal.

Upgrading can have a particular impact on women (Box 2.13), so provision must be made for this probable outcome. For example, it can help reduce their workload (e.g. by providing easier access to clean drinking water) or health risks (by providing improved sexual and reproductive health services). Women have the primary responsibility for sustaining families. They are the ones who are responsible for providing

food, water, care for the home, children, the sick and the elderly. They are often the core of projects and take leadership in community mobilisation, project management, monitoring and evaluation and financial contributions. Women's contribution in terms of time, and even labour, is often greater than that of men.

Slum upgrading programmes and projects need to be responsive to women's needs and overcome obstacles to their participation. In some cases this means training men, through awareness raising, to understand the positive role women play in settlement development. In other cases it means aiming at reconciling the extra activity brought about by the upgrading project with their jobs, their role as mothers, and their responsibilities in the home. It is important to ensure that women are able to participate in the projects and not prevented by family and household responsibilities.

Similarly, vulnerable groups need special consideration in programme and project design. These include the physically impaired, ethnic minorities, young children and youth. The programme needs to ensure that special sub-programmes are established to meet their special needs; to decide what these should be and how they should be designed their participation is vital. In addition, their active involvement in the regular participatory processes should be sought.

Projects and programmes should not assume that the groups involved are homogeneous. They should be designed to reflect differences while avoiding exclusion. For example, demands for community labour should consider the physically impaired but offer them alternative channels of participation such as supervision of community facilities like clinics and child care centres.

Some groups are vulnerable on account of their income and there should be greater subsidies for the poorest in the community. Other vulnerable groups to consider are children and refugees. In the case of young children there is growing evidence that they are more able to express useful opinions about preferences than was earlier realised.

Refugees and IDPs often have ethnic similarities which bind them. These can be used to form planning groups which also execute the decision reached. Care should be taken, however, not to marginalise refugees from the overall process and, depending on their numbers throughout the city, they should be accommodated within general planning and decision making processes at programme and project levels.

A good way to work with vulnerable groups is to identify the usually small organisations which work with them. They focus on the vulnerable while the overall settlement level organizations may overlook them.

2.7.6. SUSTAINABILITY AND CONTINUITY

Chapter Five deals with the issue of sustainability in detail. At the present stage of building support and consensus around CWSU the most important issues are agreeing on what should be sustained, how sustainability will be ensured and who will be responsible for it. Partners will have to be convinced that their investments will be safeguarded and will bring in social dividends well into the future.

Also important in this respect is continuity of political will to support CWSU. This is particularly important

since upgrading will take place over many years and probably across the lives of several municipal administrations. Continuity is impossible to guarantee. However, insofar as successive administrations are convinced of the popularity of CWSU they are likely to want to be seen to support it. This will require the communications strategy which we have discussed about above to include elements of popular mobilization. Gaining media attention will be very useful but so will building the capacity of CBOs in slum upgrading areas which can be counted upon to push for the continuation of CWSU even after the administration which initiated it has left office.

BOX 2.13: HOW SLUMS IMPACT WOMEN AND GIRLS

Poverty impacts women and girls differently to men and boys. The following summary of an analysis of women, gender and urban development carried out by Khosla shows some of them. Slum

upgrading strategies and plans should take them into account if they to reach both women and men.

ISSUES	IMPLICATIONS FOR WOMEN AND GIRLS
Access to land, security of tenure & housing	Lack of secure tenure or shared tenure increasing women's poverty and vulnerability in situations of domestic violence and family breakdown.
Access to infrastructure and services	- Women and girls lose time and experience stress when negotiating access to inadequate water and toilets. They face harassment and rape when there are no toilets. - Unsafe water increases women's care responsibilities, raises health costs and limits their income generating possibilities. - Access to safe, frequent and affordable transportation is often missing. - Limited or non-existent health, school, recreation services increase women's care-taking responsibilities.
Livelihoods	- Lower employment options and low incomes prevent security of housing. Insecurity of tenure means poor women have fewer resources, less assets and less credit. - Informal sector activities bring little income for high investments of time and labour – piece work, selling of cooked food, and sewing. - Below official wage rates and piece work compromise minding children in congested living environments.
Safety and Security	- Inadequate and inappropriate access or affordability of water, toilets, drainage, lights, lanes, and transport puts women and girls at risk of sexual harassment and assault. - Lack of employment and insecurity of informal sector wages make women and girls vulnerable to sexual harassment from landlords and 'middle men' and leaves no option to make ends meet except by engaging in the sex trade.
Compromised living Environments	- Poor drainage and lack of solid waste management fosters mosquitoes, flies, unpleasant smells, clogs drains and brings ill health, adding to women's domestic responsibilities. - Small plot sizes and small dwellings expose women and children to indoor air pollution from cooking. - Lanes overflowing with waste water and garbage are difficult for pregnant women, people with disabilities and older women and men to navigate as well as when carrying water.
Lack of political voice	- Women and girls are excluded from participation in local government structures and decision making including in community groups. - Lack of a political voice denies women and girls their human rights to choices over their lives.

Adapted from Khosla, P. (2011: 3-4)

SOME THINGS THAT CAN GO WRONG	POSSIBLE CAUSES
Some key stakeholders do not show interest in the programme or actively oppose it.	Insufficient care has been taken to ensure that all key stakeholders are represented in the Steering Committee to which the Task Force starting up the programme will report.
Significant numbers of slum residents do not show the expected interest in the programme.	Slum residents were not adequately represented at the start of the programme when its broad outlines and objectives were being drawn up. Or, significant parts of them were left out (certain slum areas or sections of residents). The communications plan did not do enough to spread a positive message, provide information on what could and could not be achieved, where and when, who was eligible to participate and under what conditions, engage slum dwellers and obtain and react to feedback and to present a credible image of transparency and accountability.
Some actors who have agreed to carry out certain roles do not do so (this can appear at the planning and design stages or later during implementation).	Unrealistic estimate of their capacities to discharge these roles (e.g. in terms of time or skill).
Some actors do not carry out certain roles it was expected, or hoped, they would (e.g. making repayments, monitoring activities, carrying out maintenance).	These actors were not included in decision making.



Figure 2.10: Citizens' participation, Myanmar. Photo: UN-HABITAT/Veronica Wijaya

INITIATING A CWSUP, UNDERSTANDING THE CITY SLUM SITUATION AND BUILDING SUPPORT







3

SETTING UP THE CWSU PROGRAMME

CHAPTER SUMMARY

This chapter describes how to plan the CWSU programme (the next chapter explains how to set up the individual projects).

It looks at the preparatory works that need to be undertaken to set-up the programme and the different kinds of programme activities that have to be launched. Not all settlements can be upgraded and a choice has to be made; this chapter shows how to decide which to include in the CWSU programme by defining clear eligibility criteria right from the start. The way the programme should be managed is also covered since this directly affects efficiency.

The chapter explains how the overall institutional framework should be built up and a financial strategy devised.

Finally, it explains how a communications strategy contributes to informing about the programme and receiving feedback and what a strategy should look like.

The programme is a strategic plan and as such it should be designed with the long-term in mind. It should not be planned for period of 4-5 years; this is a typical project timeframe. Its horizon needs to be set at a minimum of ten years. The programme should aim for much larger results and improvements in the lives of a considerable number of slum dwellers.

The programme must set up the vision, the goal, and the strategy to realize them, but must have an incremental character. It is unrealistic to seek to implement the whole plan at once at the city-scale. Priorities will need to be set and upgrading carried out in phases, each of which will work with additional slums. Some improvements will be made before others with the later interventions only being possible when additional funding has been obtained.

Some of the changes the programme is seeking to make will require changes in the way things have been done in the past and they will inevitably meet with some resistance. It will require persistent advocacy work if changes in bylaws or legislation are pursued. One typical change is the need to adjust planning regulations and urban design standards to allow for such things as narrower roads, smaller plots in land regularization and higher Floor Area Ratios (FAR) in plot occupation.

In order to start planning the programme the task force will need accurate data so a number of feasibility studies should be undertaken. The next section outlines some of the major data needs at this stage. The reader is directed to further detailed references to help when intending to carry out studies.

3.1. FEASIBILITY STUDIES

Feasibility studies are short studies of key topics which provide insight into whether a project is likely to meet its objectives, or whether they have to be changed. For example, if an economic feasibility study shows that

significant numbers of slum dwellers are too poor to repay small house construction loans, a programme which plans to utilize construction loans may have to consider subsidising this component. If it is found from a technical feasibility study that seasonal flooding will make proposed access roads or footpaths unusable for substantial parts of the year, the programme may decide to add a component of flood mitigation or storm water drainage.

Feasibility studies are carried out to allow a quick testing of the ideas the programme is based on (the programme 'concept') and to avoid spending large amounts of resources on more detailed research and design before the programme has even been approved. The feasibility studies will allow this decision to be taken. Once this has been decided, the programme will need more feasibility studies at the settlement level to help it select settlements to include in the upgrading programme. When they have been selected further detailed studies will be needed to allow settlement level plans to be drawn up.

Table 3.1 shows the type of information the programme will need during its different stages. Some of the feasibility studies mentioned in the programme and project columns appear to be duplications but are not. At the project level the study needs to be more detailed. For example, "residents' ability and willingness to pay for different types of infrastructure and service" at the programme level is intended to find out their willingness pay or not; at the project level it is about how much they will be able and willing to pay.

In this chapter we are considering only the information required at the stage of programme design; data needs at the project design and implementation stage is dealt with in the following chapter.

Feasibility studies will need to be carried out in the following areas:

1. The policy, legal and regulatory frameworks

These frameworks will already have been studied at a more general level as a pre-feasibility study. Now the feasibility study will detail the implications of the information already gathered and, where necessary, obtain more details. An example might be to identify the kind of support residents need in regularizing their plots (e.g. by obtaining security of tenure or land title). A fundamental analysis to be made is the status of land tenure and whether one can expect barriers to the upgrading and consolidation of the settlements on the land where they are located.

The feasibility study will look at existing policy and national and local laws (bylaws). It will include analysis of:

- land;
- development and planning codes;
- design and construction standards (including which building materials can be used); and
- infrastructure and service standards.

These analyses will be more detailed than at the pre-feasibility stage and are essential to know not only so

that the programme respects them but also to identify any aspects which may damage the upgrading effort and to consider if trying to get the laws changed.

The study will look at land ownership in the settlements which it is considering upgrading and what the different types of settlement are (squatter settlements, illegal subdivisions and central city slums). This may establish a typology of slums and which possible solutions are fit for their cases.

A policy study can show which areas of the city or which populations should be included in the CWSU programme. The study will also help identify the planning instruments which could be used by the programme to involve residents in the planning of the settlement, areas for relocation, and legal issues regarding compensation and expropriation that may be necessary to use.

2. Socio-economic conditions and characteristics

The programme needs to understand the residents in the areas where it will potentially work. It needs a range of reliable information about them in order to plan appropriate interventions and help it select eligible settlements for upgrading. For each settlement the following socio-economic conditions should be explored with the data subsequently presented in tables, graphs and maps:

- the age of the settlement;
- how long residents have lived there (in case it is decided to give priority to the men and women who have lived there longest);
- number of residents, their age, sex distribution and household composition, number of women-headed households, people with disabilities, members of different ethnic and religious groups, etc.;
- residents' income levels (this will help to assess the affordability of different upgrading options);
- how many households have domestic infrastructure connections (this will tell us what the need is);
- housing quality (of roofing, walls, floors, etc., which illustrates the need for housing improvement);
- type, location, and number of social services and facilities (the need for their improvement).

If the programme has decided to target particular groups of vulnerable or disadvantaged people it is necessary to know the number of residents who fall into these groups (e.g. pre-primary children, elderly, refugees, IDPs, ex-combatants, illiterates).



Figure 3.1: By-laws which prevent the use of traditional building materials block possibilities for house improvement.

Photo: © UN-Habitat/Reinhard Skinner



Figure 3.2: Technology research is making traditional building materials more suitable than some conventional materials (shown here: earthquake resistant stabilised soil blocks).

Photo: © UN-Habitat/Reinhard Skinner

Residents' willingness to pay for different types of infrastructure and services will also be a factor in deciding what to include in the overall upgrading programme and for individual settlements.

3. Technical and environmental options

This is what the programme needs to find out to allow it to make solid technical and environmental decisions:

- Settlements' population density needs to be known (to help calculate how many residents need to be relocated so that space and health standards can be met).
- Density information will also allow for the calculation of costs of infrastructure and service provision per household.
- The street ratio index is important in order to assess the level of connectivity and availability of public space.
- Topographical features (such as gradients, ravines and low-lying land subject to flooding) will measure how suitable the land is for housing and infrastructure development.

There is a series of additional questions which are necessary to ask:

- Is there any vulnerability to natural or human-made hazards? If so, these settlements will not qualify for in-situ upgrading. The same applies to settlements which occupy land which is protected environmentally.
- How physically accessible is the settlement (how easily can the external upgrading works teams get there?).
- How close is the settlement to other planned improvements? The other improvements may make it easier to improve the target settlement (e.g. if an improved main road is being built to which the settlement's own network can be linked).



Figure 3.3: Houses which are vulnerable to hazards, such as landslides, should be excluded from upgrading (but not other housing options). Photo: © Reinhard Skinner



Figure 3.4: Houses which are vulnerable to hazards, such as recurrent or flash flooding, should be excluded from upgrading (but not other housing options). Photo: © Reinhard Skinner

- What is the type and quality of solid waste collection in settlement (should this be a feature of the programme?)?

The study should help identify neighbourhoods where few improvements have been made and which the programme may decide for this reason should be prioritised.

The same considerations apply to whether settlements are connected to different utility networks (electricity, water, sewerage) and will affect the cost of providing these improvements.

4. Institutional Capacity

During the initiation of the programme, when looking for support and consensus on the CWSU, pre-feasibility studies helped to identify which partners and different agencies existed and which skills and resources would be valuable to the programme. At the programme design stage more detail is needed:

- What are the particular kinds of skills and expertise which the programme needs in terms of type and number?
- What powers do local governments have which can contribute to the upgrading programme or which need to be taken into account when designing it (such as the authority to design and implement local development plans).
- Are there any sub-levels of government that one should consider for CWSU?
- Where are the CBOs, NGOs, and networks or federations of slum dwellers located and what are their different types? Some will be rooted in, and serve, particular settlements; others will specialise in different sectors, such as in child health or employment generation; whereas others have a long track record in technical assistance to CBOs and community groups in the design and execution

of piecemeal slum upgrading. All have a possible role to play in CWSU.

- What role do NGOs and CBOs play in local/ community administrations? In some cities they are key to the implementation of local government programmes or as capacity builders to the administration (such as in Lima, Peru, see Skinner, R., 2006).

Training needs for those directly involved in the programme were identified by the pre-feasibility study described in Chapter Two. At the programme design stage the feasibility study will make proposals for how training and technical assistance is to be delivered.

Profiles of local government administrations relevant to slum neighbourhoods will need to be built up which cover staff size, skills, budgets, administrative and decision making flows. Local government powers (e.g. designing and implementing local development plans) will tell the programme what their competencies are. On the community's side the availability of institutional resources can be ascertained by the location and type of CBOs and networks or federations of slum dwellers who can contribute to the upgrading process. The role of NGOs and CBOs in local / community administration and their experience of working with government are also significant in this respect.

5. Economic Analysis

The kinds of questions that need to be answered at the pre-feasibility (support and consensus) stage were:

- What are the city's main economic activities and where are they located?
- Are they growing or declining or expected to do so?
- What are their investment plans and what effect will this have on the city economy?
- How many people (women and men) do they employ?
- How much tax revenue do they contribute?

At the programme design stage we will build upon this with more detailed information on slum neighbourhoods such as:

- The types of economic activity taking place in the slums (carpentry, cooking food for sale, sewing, masonry, small industry, etc.);
- Where these activities are located;
- The number of men and women involved in these activities;
- The levels of employment and under- or unemployment in the neighbourhood as a whole; how many small-scale enterprises exist? Are they official or informal?
- What skills resident men and women bring to the labour market;
- Levels of economic organization (e.g. associations of micro-enterprises);
- Women's informal sector activities (many women are engaged in income-generating activities from their homes);
- Residents' willingness and ability to pay for different types of infrastructure and service?

This data will inform such planning decisions as where to invest in local economic development.

6. Financial Analysis

While at the pre-feasibility stage we were interested to know what the main lending institutions were, their lending policies and conditions, in the programme design stage the key questions for the feasibility studies are:

- Where can funding for CWSU be obtained, at what cost and under what conditions?
- Is international donor funding available?
- Is lending at lower (concessionary) rates available and if so what kind of purposes?
- Can subsidies be granted from municipal funds and, if not, what are the chances that this can be changed?
- What is residents' ability to pay for different types of infrastructure and service?

TIP

Scan the institutional and regulatory environments well so that all bottlenecks and opportunities are identified and documented on records, maps, flow charts before the programme starts its execution phase. This will minimise the chance of stalemate situations arising later.

- What is the tax base of the city and how city revenue is used for public investment?
- What are the chances to propose a law allocating a percentage of city revenues to support a CWSU fund?

TABLE 3.1: SUMMARY OF KEY INFORMATION NEEDS AT DIFFERENT STAGES IN THE PROGRAMME

	STAGE OF PROGRAMME		
	INITIATION OF PROGRAMME (PRE-FEASIBILITY STUDIES)	PROGRAMME (FEASIBILITY STUDIES)	PROJECT (FEASIBILITY STUDIES)
	Importance of the Studies		
	The information below makes a case for the approval of CWSU	This information supports decisions on programme design and operational approvals	The information below is critical for decisions at the project level: selection, design, and implementation
	Key Specific Data Needs		
Policy, legal and regulatory frameworks	• Map legal and regulatory frameworks and identify constraints and opportunities to support the programme. • Identify and locate on city maps the legal status of land occupancy and ownership in different types of settlements (squatter settlements, central city tenements, etc.) and where they are located. • Legal and political viability of land tenure regularisation.	• Land tenure situation in target settlements. • Local governance systems and laws that strengthen or provide a legal basis for the programme. • By-laws applicable to building materials and construction. • Planning and environmental laws.	• Land/ plot ownership and disputes. Security of tenure and legal provisions/ entitlements. • Local administration and resident involvement in governance. • Legal rights and obligations of residents and state agencies.
Socio-economic conditions and characteristics	• Education: overall educational levels; number of educational establishments (primary, secondary and tertiary). • Health: overall health levels and morbidity; number of health establishments and other forms of provision (clinics, hospitals, doctors, nurses, midwives, preventative services). • Housing conditions: quantitative and qualitative deficits, conditions of the physical environment, tenure patterns (home ownership, rental, shared, etc), occupancy rates (persons per room). • If possible, socio-economic data should be aggregated for the city population as a whole and for the slum population: a large difference can strengthen the case for upgrading slums to create an inclusive and equal city.	• Demographic profiles of settlements: numbers, age, sex, family and household composition of residents. • Overall quality, size and types of houses and their tenure: rental, ownership, shared, etc). • Location and number of social services and facilities. • Number of persons belonging to specially targeted groups: pre-primary children, the elderly, refugees, ex-combatants, illiterates, etc. • Aggregate data as much as possible, both within and across slums, to obtain a clear picture of the conditions.	• Household data: composition, economic and social activities. • Households', families' and community's improvement priorities. • Plot sizes, location, shapes, clusters and groups. • Location and types of public spaces and public buildings. • Overall quality and types of houses. • How long residents have lived in the settlement. • Residents' income levels (men and women). • Level of service provision; whether households are connected to different utilities (electricity, water, sewerage). • Number of persons belonging to specially targeted groups (e.g. pre-primary children, the elderly, refugees, ex-combatants, illiterates).

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TABLE 3.1: SUMMARY OF KEY INFORMATION NEEDS AT DIFFERENT STAGES IN THE PROGRAMME

	STAGE OF PROGRAMME		
	INITIATION OF PROGRAMME (PRE-FEASIBILITY STUDIES)	PROGRAMME (FEASIBILITY STUDIES)	PROJECT (FEASIBILITY STUDIES)
	Key Specific Data Needs		
Technical and environmental options	- Deficits in overall infrastructure coverage in the city: electricity, water, sanitation, drainage, roads and public transport. - Location and nature of public spaces and protected environmental areas. - Location of settlements (on maps) vis-à-vis risk areas, conservation areas, city water sources, environmental protection areas, catchment areas, etc.	- Size (land area) of settlements, density of existing settlements and street index. - Whether settlement is connected to different utilities (electricity, water, sewerage). - Existence and type of solid waste collection service in settlement. - Risks such as location of dwellings in hazardous areas, risk areas, environmental protection areas, catchment areas, etc. - Trunk infrastructure availability. - Availability of land for relocation/resettlement.	- Density of settlement (people per hectare, housing per hectare, street index, site coverage/floor area ratio, etc.). - Residents' domestic access to infrastructure and services (with attention to the specific problems faced by women and girls). - Quality of housing (size, age, structure, materials). - Main risk factors for households (hazardous location, etc.). - Topography, green areas, ground conditions. - Accessibility, availability and location vis-à-vis public transport and basic urban services.
Institutional capacity	- Stakeholders involved with slum upgrading in the city, their size, mandate, activities, and experience. - Institutional capacities and deficiencies (skills and resources) amongst participating agencies and institutions.	- Profiles of local government administrations relevant to slum neighbourhoods (staff size, skills and budget). - Local government powers (e.g. designing and implementing local development plans). - Location and type of CBOs, NGOs and networks or federations of slum dwellers. - Role of NGOs and CBOs in local / community administration. - Academic/research institutions undertaking slum related studies.	- Profiles of local government administrations relevant to the slum (authority and powers, staff size, skills and budget). - Provisions of current local (area) development plans. - Role of NGOs and CBOs in local / community administration. - Role and capabilities of federations of the urban poor/ community savings groups. - Role and capabilities of faith-based organizations.

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TABLE 3.1: SUMMARY OF KEY INFORMATION NEEDS AT DIFFERENT STAGES IN THE PROGRAMME

	STAGE OF PROGRAMME		
	INITIATION OF PROGRAMME (PRE-FEASIBILITY STUDIES)	PROGRAMME (FEASIBILITY STUDIES)	PROJECT (FEASIBILITY STUDIES)
	Key Specific Data Needs		
Economic analysis	- The city's main economic activities and their location (including construction sector). - Their growth rates or decline (and forecasts). - Investment plans and effect on the city economy? - Numbers of employees. - Size of the informal sector.	- Economies of potentially targeted settlements: types of employment, numbers and types of business (formal and informal). - Size and importance of informal sector economic activities at settlement level (e.g. home enterprises, local industry, etc.). - Land and housing property market in the city: values, prices, trends; including the informal property market and both the rental and sales market.	- Commerce, industry, types of employment. - Formal land and housing prices; property market analysis and trends. - Informal land and housing market: values, size and transformations.
Financial analysis	- The main lending institutions, their lending policies and conditions. - Size of tax base of the city and volume of potential property tax situated in informal settlements and slums.	- The existing subsidy structure and the political viability of reforming it. - Available funding sources and their conditions and relative advantages. - Residents' ability and willingness to pay for different types of infrastructure and services.	- Recurrent and discretionary budget of administration governing the slum. - Residents' ability and willingness to pay for different types of infrastructure and service. - Current payments/taxes/certificates of occupancy collected by local government.

3.2. IDENTIFYING PARAMETERS FOR INTERVENTION: SELECTION OF PROGRAMME TYPE

There are various types of interventions that can be considered when designing a CWSU programme:

- Sectoral ('piecemeal') upgrading** focuses on different dimensions (social, economic, infrastructural, etc). This can be incremental whereby upgrading starts as sectoral but adds more components over time.
- Integrated upgrading** focuses on the concurrent social, economic, infrastructural, spatial and legal integration of all slums in a city.
- Settlement regularisation** focuses on legal provisions to regularize land tenure and rights in favour of women and men slum residents.
- Settlement redevelopment** focuses on the physical improvement of degraded existing structures in central city slums.

- Total redevelopment** involves temporary removal of slum dwellers, who are rehoused in another location, and the redevelopment of the original site.
- Housing improvement** focuses on technical assistance and credit for house expansion and improvement.
- Infrastructure improvement** focuses on increasing the quality of and access to services such as water and electricity and improving the quality of the hard infrastructure such as roads, streets, public spaces, street lighting, etc.
- Local economic development** focuses on improving slum dwellers' livelihoods and economic security.

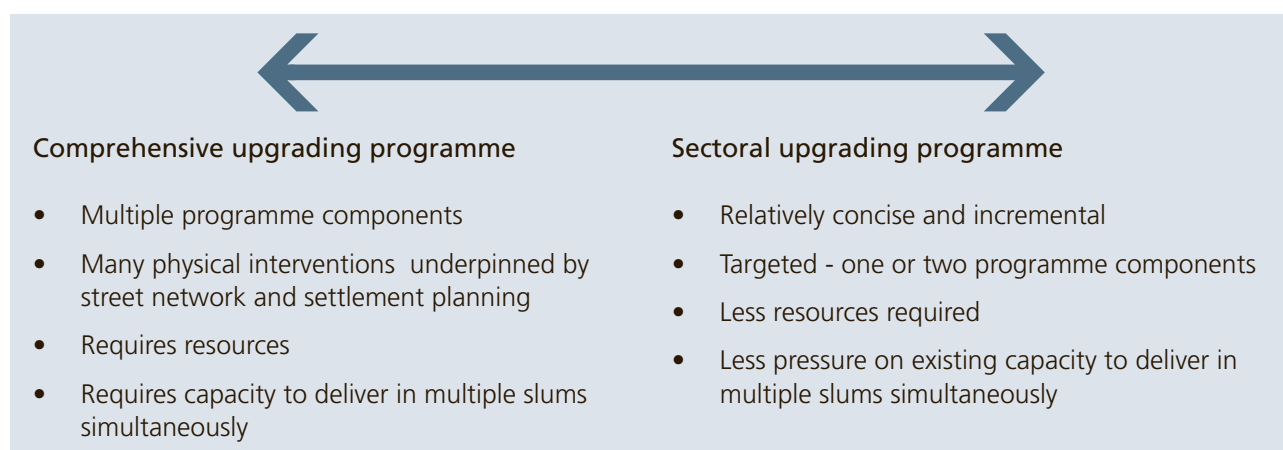
There can also be provision of alternative affordable housing options to those who are (voluntarily) relocated because of (hopefully minimal) demolitions. These may include sites and services housing (located near to the upgraded area), unserviced plots (also nearby and coupled with compensation grants to facilitate new shelter construction) or new houses in a new settlement (possibly free as compensation for relocation).²²

CWSU as it has been described so far in this Guide is integrated and comprehensive in nature but, as the above list shows, it does not have to be. However, in any slum upgrading intervention, we strongly recommend that a crucial programme component is the street network and settlement planning of slum settlements; this is a requirement for the full integration of slums into the city fabric. Otherwise programmes can vary in terms of scale as Figure 3.5 shows. Furthermore, as we showed in Box 2.4, interventions can have different primary objectives, and can focus on different dimensions of slums such as: (a) (built) environment improvement; (b) social; (c) economic. It is important to be explicit about what your programme considers its primary objectives. Most programmes focus on physical upgrading, but as has been discussed in the Guide so far, equally important are the social and economic dimensions, which will help ensure the sustainability (maintenance) of the upgraded physical improvements.

Deciding which intervention approach to choose will depend on a number of factors. The programme will have gathered information in the feasibility studies to help it in making its decision, which will reflect the following factors:

- **Types, size and quantity of slums in the city:** first, it is important to know how many different types of settlement there are: how many squatter settlements, illegal subdivisions and central city tenements are there in the programme area. The importance of each of these settlement types will influence the appropriateness of different types of programmatic interventions.
- **Environmental conditions of slums:** density of existing settlements, existing infrastructure and service levels, materials, quality and crowding of existing houses and risk factors are all important. Dense settlements may require significant demolitions in order to implement basic infrastructure and the street network. Low quality of existing structures suggests a house improvement component would be appropriate while overcrowding will require consideration of de-densification (and resettlement) to allow for house expansion and the development of access routes. Risks such as location of dwellings in hazardous areas (e.g. steep slopes subject to landslip) require planning to include relocation strategies.
- **Land tenure:** the land tenure situation in existing settlements and the legal and political viability of land tenure regularisation is something we have touched on above. Depending on legal frameworks and options, disadvantageous land tenure conditions may make upgrading of a particular settlement unfeasible.
- **Policy and regulatory environment:** if a supportive regulatory environment does not exist, or cannot be created, integrated upgrading should not be pursued. Sectoral upgrading may be more achievable in the short term.
- **Residents' ability and willingness to pay for an upgraded environment:** the disposable income of residents will tell us how much they can afford to pay and will require discussion of whether subsidies should be used. In some cities a culture of non-repayment and of entitlement may have grown up which would make interventions requiring cost recovery difficult. Integrated upgrading is not recommended if residents cannot, or will not, pay for an integrated upgrade. Incremental sectoral interventions may be more appropriate to cultivate a sense of city inclusiveness and contribution.
- **Access to, and amount of, available funding:** if funding is available at attractive terms for certain kinds of improvement it will have an influence on the upgrading intervention to be pursued. This may be for housing improvement,

FIGURE 3.5: THE CONTINUUM OF UPGRADING PROGRAMME SCALE



micro-enterprise development or infrastructure development (for the programme agency). If funding is limited, sectoral, piecemeal upgrading will be more appropriate than integrated upgrading.

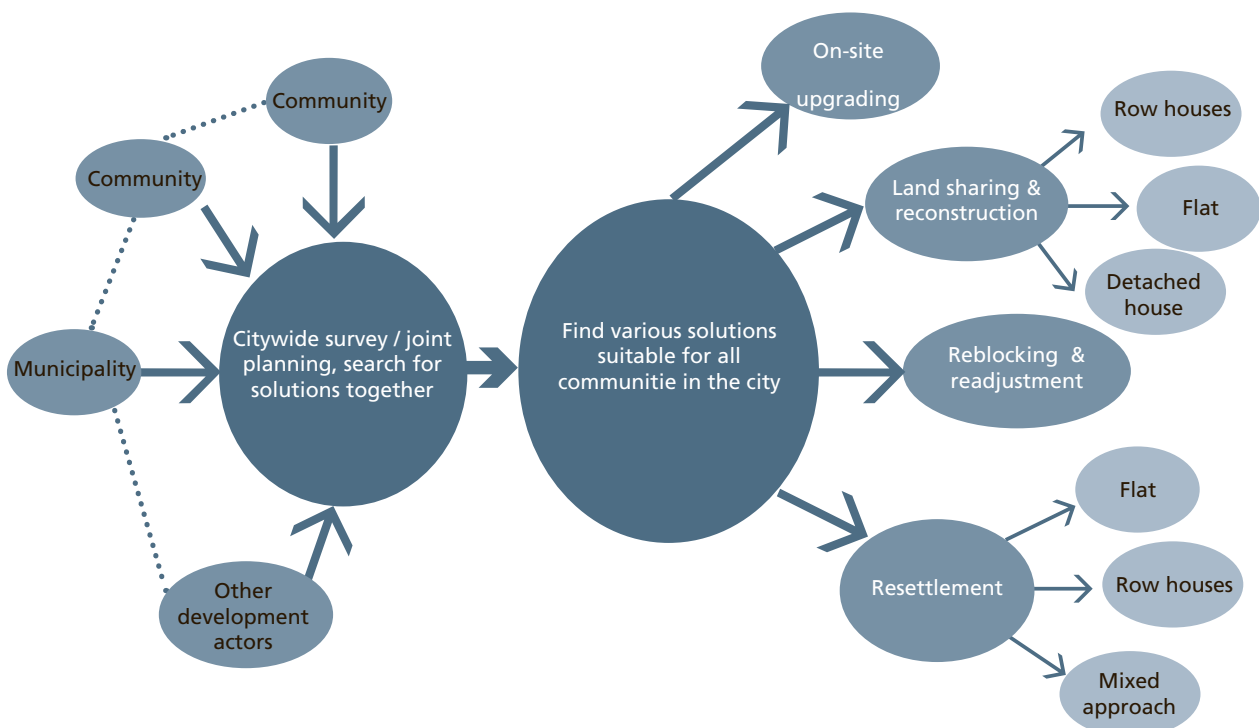
- **Special needs and groups:** the socio-economic feasibility study may find a particular issue that should be urgently addressed and therefore a decision to address this need through the programme may be taken. For example, particular problems faced by women and vulnerable groups in the city's slums may have an influence on which components are included in the programme. (See for example Box 2.13 in the previous chapter).
- **Political will and public perceptions:** politics and public perceptions may also play an important role although these should be carefully navigated. There may be popular or influential views of which low-income communities are priorities for upgrading. If there is strong political will to improving the lives of slum dwellers, the programme should harness this and push for integrated upgrading to make the biggest impact. It is important, however, that political rhetoric

is backed by adequate government resources and required policy and regulatory reform to be able to implement the programme. It should be noted that this discussion is particularly concerned with political will and public perception shaping programme intervention choice. This is not the same as choosing which slums to implement projects, which should be based on the transparent criteria set at the beginning of the programme, which can help avoid corruption and political patronage of selected slums.

Figure 3.6 shows how the mix of interventions is decided in the Baan Mankong programme in Thailand. CWSU is adapted to the particular needs of each city by involving communities, the municipality and other development actors in carrying out a survey and planning (the left sphere in the diagram) and collectively identifying a range of appropriate interventions such as upgrading and resettlement (the right hand sphere).

In cities where there are active NGOs working in some form of community-based upgrading and improvement process, and/or where urban poor people's federations exist, one should involve these

FIGURE 3.6: PARTICIPATORY DECISION MAKING ABOUT THE APPROPRIATE COMPONENTS OF CWSU.



Establish a consultative process with target populations via CBOs and representatives prior to defining the scope of the programme. This will help to prioritize programme components and turn the programme into a demand-driven initiative with a greater degree of support from slum residents.

TIP

actors in programme design and make them genuine development partners. Although CWSU programme design and implementation is a prerogative of city governments, involving these partners will increase efficiency and responsiveness of the programme and greatly increase the chance of programme success.

3.3. DESIGN AND ESTABLISHMENT OF THE PROGRAMME MANAGEMENT UNIT

The CWSU programme will be coordinated by a management team which we here call the Programme Management Unit (PMU). It can be an autonomous, separate agency or part of an existing institution. The PMU will be the programme's overall coordinating unit. It is not the same thing as the task force which initiated the programme, marshalled support behind the concept and reached agreement with partners on the overall shape of the programme. There is nothing to stop task force members becoming part of the PMU and they would bring with them the knowledge gained during the preparatory first stage of the programme. However, they may be needed back in the organizations from which they were seconded and a new team will have to be recruited.

The composition of the PMU depends on the nature of the programme. In principle, it should consist at least of a Programme Director, Head of Administration and managers with overall responsibility for the operation of the different components of the programme. The latter may be project managers and/or functional managers.

There are advantages and disadvantages to integrating the PMU in a municipal department or municipal agency, or giving it an independent status as a specialized agency. It can be integrated into the municipality, a line agency or semi-autonomy municipal entity (authority). It can operate from the town hall, a central office and combine one or more offices nearer the project areas. Which option is selected will depend in part on the weight of technical competencies or responsibilities an organization has, which is why the municipality is often chosen.

One of the advantages of this arrangement is that the host organization will have a greater ownership in the programme and the PMU is likely to become a real executive body. A disadvantage may be that support comes at the price of influence on the PMU's decision making.

There are advantages to autonomy of the PMU. One is the freedom to make decisions without undue influence and to be able to implement them

without the bureaucratic delays encountered in public administration and existing larger organizations. There are, however, corresponding disadvantages: organizational jealousy may lead to lack of cooperation from operational staff who are not as well paid or from management who feel that the PMU is encroaching on its area of competence. But worst of all is the danger that the PMU will develop its skills to a high level which are invaluable during the programme but which are lost as soon as it ends. This is a danger which can be reduced by arrangements with participating organizations to second their staff to the programme under the management, or as part, of the PMU where their skills will develop but will be returned to the permanent organizations responsible for city development at the end of the programme.

3.4. PROGRAMME COORDINATION

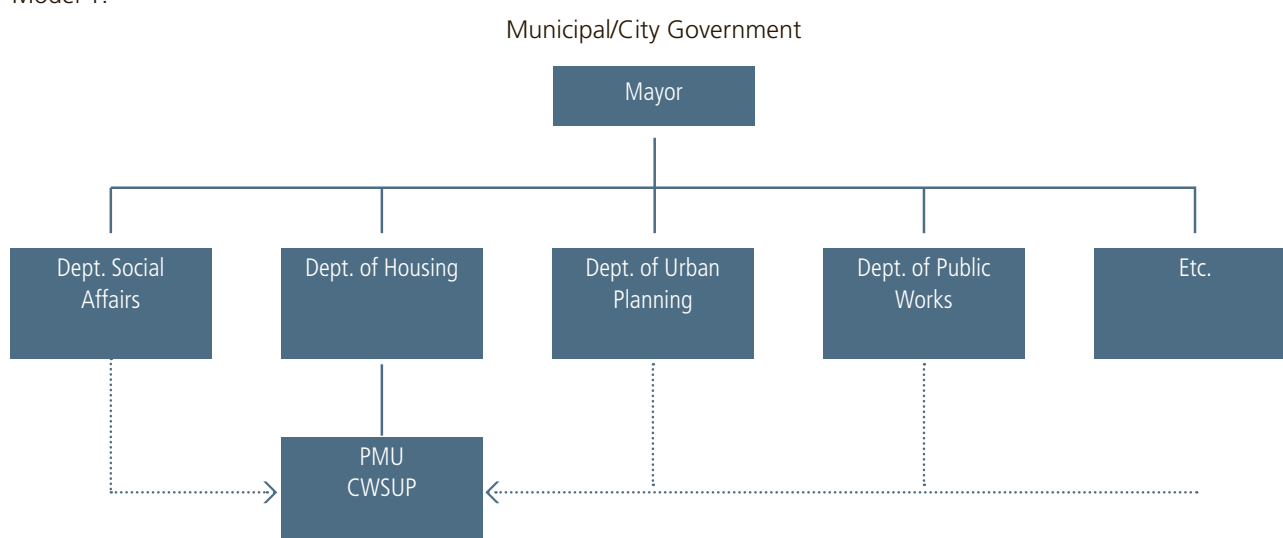
Here we consider in more detail the location of the PMU within the municipal administrative structure. Its location may have implications for the way it works, its efficiency in decision-making, resource allocation and staffing and the overall success of the programme. Careful consideration should be paid to the formal and informal organizational culture of the municipal government as a whole, and to the functional department where the programme is likely to be placed. Where does it have the best opportunity to be institutionalized? Issues such as authority, hierarchy, teamwork and duplication of mandate are all dimensions and variables to be carefully looked at when defining the institutional position of the programme and the assignment of responsibilities and staff recruitment.

Model 1 in Figure 3.7 depicts the CWSU programme management unit situated within the Department of Housing, thereby associating it directly with housing policy. It could also be well-placed within the Urban Planning or Public Works Departments. This will depend on the existing delivery capacity of the respective units and the political decision of the Mayor and his or her management team. CWSU programmes are politically sensitive because the success of the programme and its political leadership are very visible. It can generate jealousy, political battles and unnecessary competition amongst municipal departments and their directors and leaders, particularly if these positions are occupied by politicians or individuals with political ambitions.

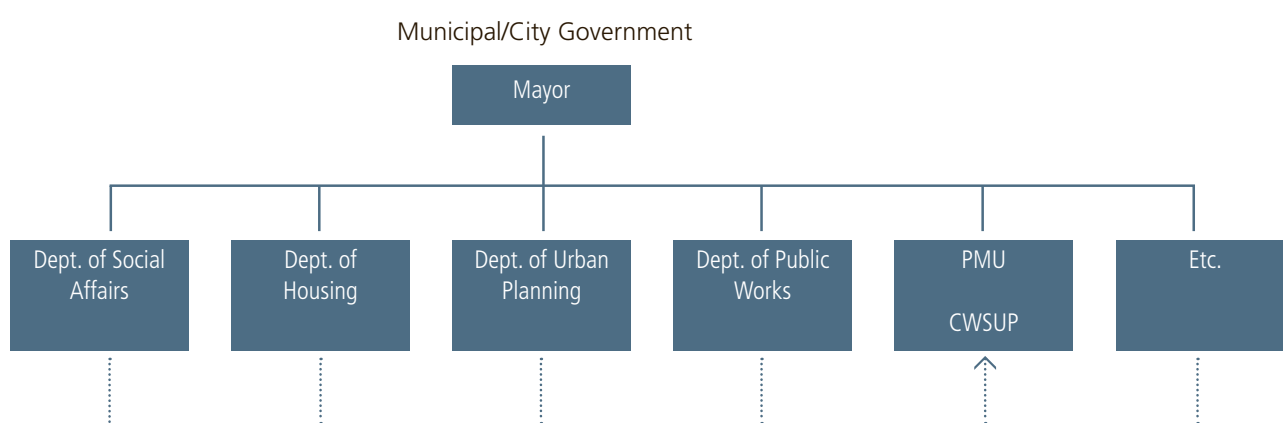
Model 1 shows CWSU as part of the Department of Housing despite it being a citywide strategic programme of the entire municipal government. All actions regarding slums are perfectly embedded into an existing administrative and functional structure. The PMU will draw on staffing from housing as well as

FIGURE 3.7: TWO OPTIONS FOR POSITIONING THE LOCATION OF THE PMU IN RELATION TO EXISTING MUNICIPAL ORGANIZATION CHART

Model 1:



Model 2:



planning, public works, and social affairs departments. The manager of the programme reports to the head of the Housing Department.

Model 2 depicts an organizational model in which the CWSUP is placed at the same level of municipal departments. This results in the creation of a hybrid organisation or an extraordinary department with full power, authority and mandate on everything related to slums. In this case, the manager of the CWSU Programme management unit reports directly to the Mayor. This may speed up decisions, create direct lines of coordination, accelerate resource allocation and ensure political support. However, such a specialised unit directly subordinated to the Mayor may create a superstructure that overlaps other functions valid in other departments. This can create risks of entering in others' competencies, cause conflicts, duplication and clashes for dominance in decision making on municipal plans of action.

Since this hybrid/new unit is established within the municipalities' structure, it might vanish after changes in the political leadership thus affecting its continuity and institutionalization. It is highly recommended to look very carefully at these models and options to host the programme before the programme actually starts.

These models of coordination might be connected to decentralized field offices geographically located with executive powers and delegated authority to implement the programme.

3.5. PROGRAMME OBJECTIVES

A CWSU programme needs to define what it wants to achieve, how to do it, in what order and over what period of time. This should be written up in a programme strategy and plan. Consultative workshops involving key stakeholders, focus group meetings and community-based action planning workshops are some of the available tools to support programme design, problem analysis and goal setting. This needs to be articulated in a programme document laying out its objectives, actions, results, measurable impacts, etc.

Defining programme objectives:

Defining the programme objectives is a fundamental step in the process of programme design. There is a wide range of methods to do so, from participatory and bottom-up approaches to more top-down and authoritarian ways. Another popular method is the 'problem tree analysis' which is commonly used in public consultations and working group sessions. Involving different stakeholders in this exercise will increase the value-added of the result formulation.

Whatever approach is taken, objectives need to be defined through SMART criteria, drawn from strategic planning methods. SMART stands for:

- **Specific** in place: the programme focuses on specific spatial/territorial units; slum(s); groups of slums; all informal settlements in the city.
- **Measurable** in performance /output terms: the programme defines verifiable indicators to measure achievement; quantifiable results that can be measured and verified by observation, research, inspection. For example, laying down 'X' kilometres of water pipes, regularizing 'X' number of plots, etc.
- **Attainable** in view of means and resources: programme objectives are consistent with the institutional capacity, available funds and human resources, keeping a high degree of realism and not over-optimistic in character. Upgrading all slums in the city and providing a legal provision to secure land rights to all residents within a given timeframe may not be attainable.
- **Realistic** in view of existing obstacles and chances of success: programme objectives need to consider existing institutional, legal, capacity

and financial bottlenecks. It is very common to underestimate the power of administrative resistance when proposing fast-track methods of project approval and budget allocation that often requires a big change in the status quo.

- **A timeframe** which is feasible for concrete results to be achieved within the development framework: the programme objective must consider the time required to achieve each step and outline this. Citywide programmes imply multiple and simultaneous interventions. If tendering public works depend on decisions elsewhere for resource allocation and contracting, outside the programme coordination, then this time variable must be considered.

The team in charge of defining the programme needs to clarify both the problem analysis and the setting of objectives, thus creating an 'objective tree analysis' that will help in the final objective statement. One must consider the strategies to achieve the objective(s), the activities and actions required to achieve the stated objective(s), and the means available or required to carry out these activities and actions.

Consultations with various stakeholders are likely to help refine these objectives and facilitate therefore the definition of the programme's strategy and set of activities. Involving NGOs, CBOs, People's Federations and private academic stakeholders will be instrumental for defining and refining the programme's objectives and goals.

3.6. SETTING (PROJECT) ELIGIBILITY AND SELECTION CRITERIA

During the initiation and consensus building stage the task force will have defined general criteria for the eligibility of settlements for upgrading. The PMU now has to refine and apply these eligibility criteria. The examples given from Argentina in Table 2.2 are in fact very specific and they would probably not yet have been refined to that degree but during this stage they will need to be. The data needed to make a decision about qualifying settlements will have been provided either through existing data or gathered during the feasibility studies as described above. Figure 3.8 shows the selection criteria which were applied in the Favela Bairro programme.

There are different ways to gather data and there is a substantial role for community participation. In Chapter Four this guide will describe how to engage communities and what they can do. Many of the same techniques shown there are also applicable at the programme stage and should be applied when drawing up the programme objectives.

FIGURE 3.8: SLUM SELECTION CRITERIA IN THE FAVELA BAIRRO PROGRAMME**Selection criteria for upgrading**

1. Size of the favela
2. The degree of difficulty in upgrading
3. The degree of infrastructure already in place
4. The socio-economic needs of the residents
1. The high cost of upgrading larger settlements = the exclusion of 114 favelas with over 2,500 households.
2. The high cost of upgrading small settlements = the exclusion of small favelas.

IDEAL SIZE: 500-2,000 households (2,000-11,000 inhabitants)

Indicators were defined for:

- the degree of 'urbanization' (urban development) of each favela
- numbers of domestic connections to water and sewage networks
- percentage of household heads earning under one minimum wage (US\$100 per month)

For example, in the Ciudad Bolívar Institutional and Community Development Programme, an upgrading programme for a settlement of almost 350,000 people in the south of Bogotá, Colombia, the sponsoring organizations had already decided the general objectives and six types of interventions to be made during the initiation and consensus building stage.

These included strengthening the local government administration and local women's groups. The PMU was charged with writing a plan to show how these interventions would be carried out in order to achieve the objectives set. It undertook a number of participatory activities with the population to help it identify the outputs that were needed to achieve its objectives in a way that reflected the reality of the

programme area and the expressed demands of the slum dwellers for whom the programme was intended.

Workshops were held with local government officials and residents and used techniques such as brainstorming and problem tree analysis to identify problems existing in the municipal administration and how these might be solved. Workshops were similarly held with women's groups for the same purpose regarding the intervention aimed at them. The plan which was drawn up as a result was presented to participants for verification.

3.7 INSTITUTIONAL FRAMEWORK

The PMU will work with different organizations to design and implement the CWSU programme. An institutional framework has to be set up with its agencies, legal mandates and governance defining the way in which all parties work together. A legal and regulatory framework is part and parcel of this step.

It is generally a good idea to make use of existing institutional frameworks where possible. This is because partners will be used to them and know how they work. They will also probably have more legitimacy than a newly created structure if they have worked with any success. But this is not always possible and it may be necessary to adapt existing frameworks.

The PMU itself is a new entity and others may be needed in order to achieve the programme's objectives. In the Ciudad Bolívar programme in Bogotá the strengthening of inter-institutional coordination was identified as one of the intervention areas. In this case a new committee was created to bring institutional representatives together. In other cases, upgrading may be new and represent a major challenge to existing institutions.

During the initiation and consensus building stage of a CWSU programme, the task force identified stakeholders in the programme and selected those it felt were the most important likely contributors. It will also have identified others who were hostile or indifferent to the programme. Where opposition might impede the programme it needs to be addressed and where indifference is found amongst stakeholders who are important to the programme (e.g. private

Don't reinvent the wheel. If there are existing institutional frameworks that include agencies with the mandate over slums and urban development, they are there for a reason. One of these reasons is probably that they work. People also probably respect them. If they function well consider placing the CWSU programme within this framework, with or without some modifications, before creating new ones. Avoid creating hybrid agencies that have little chance to survive political changes and thus affecting sustainability and continuity.

TIP

landowners and other 'gatekeepers') this indifference should if possible be turned into support. Opponents will include vested interest groups who stand to lose from the upgrading. The PMU needs, as a matter of urgency, to develop a strategy to bring them on board.

Partnerships or alliances need to be built to support the Programme. They may be partnerships to achieve concrete and fairly short-term results or alliances in which the relationship is longer term and strategic. In each case there is a pooling of valuable resources and shared risk on the basis of common objectives and often of values and vision. Partners and allies can be found in many forms. They may include the Mayor, municipal departments, central government ministries, private companies, NGOs, CBOs, faith-based organizations, utility companies (private and public), academia, the media, international NGOs, people's federations and unions. Most of them can contribute something to getting the programme set and running.

The PMU should define its relationship with partners and stakeholders as well as project management teams in each intervention area in terms of the roles and responsibilities of each, including decision making at programme level. The partnership matrix presented in Chapter Two will be useful in this respect.

Imparato and Ruster (2003: 182-184) have described five different roles and relationships between stakeholders in

different upgrading programmes in Latin America. One of them is presented in Figure 3.10 below.

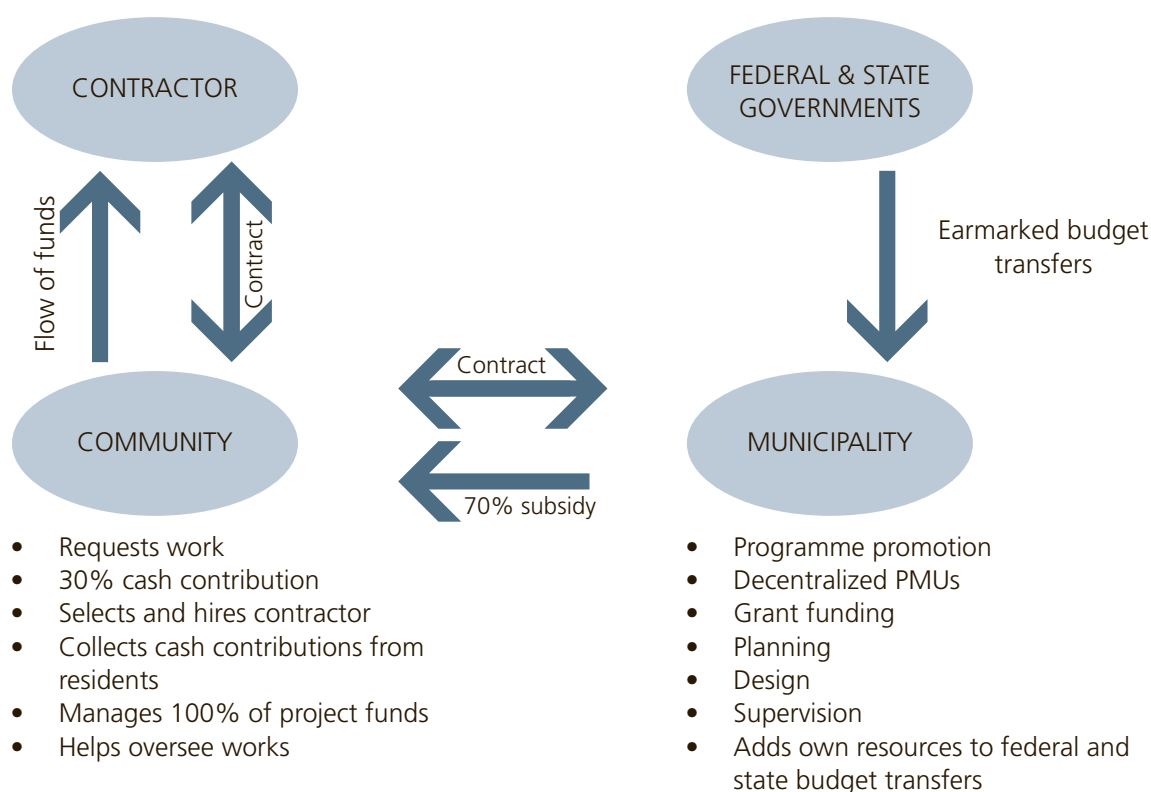
In Figure 3.10 the PMU is decentralised though part of the Municipal government of Tijuana, Mexico. Central government provides funding to the Municipality who signs an agreement with the community to manage all project funds. It is the community which selects, hires and supervises contractors. Residents pay 30% of project costs themselves with the local government subsidising the remaining 70%. Socio-technical support is provided by the programme via the PMU.

What roles and responsibilities, and the corresponding relationship of partners should be in any city depends on its own circumstances and the above example is only one of many options.

Of particular interest is the role of the community. Funds management and responsibility for hiring contractors are just two of the many potential roles to be played. These are discussed in more detail in Chapter Four.

Another example is that of the Favela Bairro Programme shown below in Figure 3.11. The municipality was the initiator and placed the programme within the Department of Housing which takes the lead in articulating the programme with other municipal departments. Together with the Institute of Architects

FIGURE 3.10: THE INSTITUTIONAL FRAMEWORK FOR PROGRAMME IMPLEMENTATION IN TIJUANA, MEXICO



Source: *Imparato and Ruster, 2003*

of Brazil, the Housing Department launched a national tendering for the development of the methodology of the programme and recruited the best ones to be piloted in 12 favelas before it was enlarged to nearly 100. It set up a PMU and commissioned both the development of the upgrading plans and their execution to private parties. The programme went on for more than ten years. After starting with its own resources, the municipality managed to acquire a loan for 40 per cent of its budget, raising the total budget for the first phase to USD 360 million.

This decision on the institutional and management structure is indispensable and, as long as all parties agree, goes a long way to making complex coordination of different infrastructure and service provision a lot easier. Imparato and Ruster (2003: 176) explain this in the case of the Guarapiranga upgrading programme in Brazil. Here the municipality, like any other in the country, was responsible for providing roads, drainage and solid waste management services. Water and sanitation was a State level responsibility and was executed through utility companies.

To complicate matters further some of these companies were being privatised at the time. This could have led to big coordination problems as each of the agencies involved had its own technical standards and engineering design for each type of infrastructure. Of course, each agency also had to take into account the requirements of all the other infrastructure types (e.g. maintaining road quality depended on good drainage and the sewerage system relied on a solid waste management system which prevented refuse from blocking the sewers). Despite these challenges,

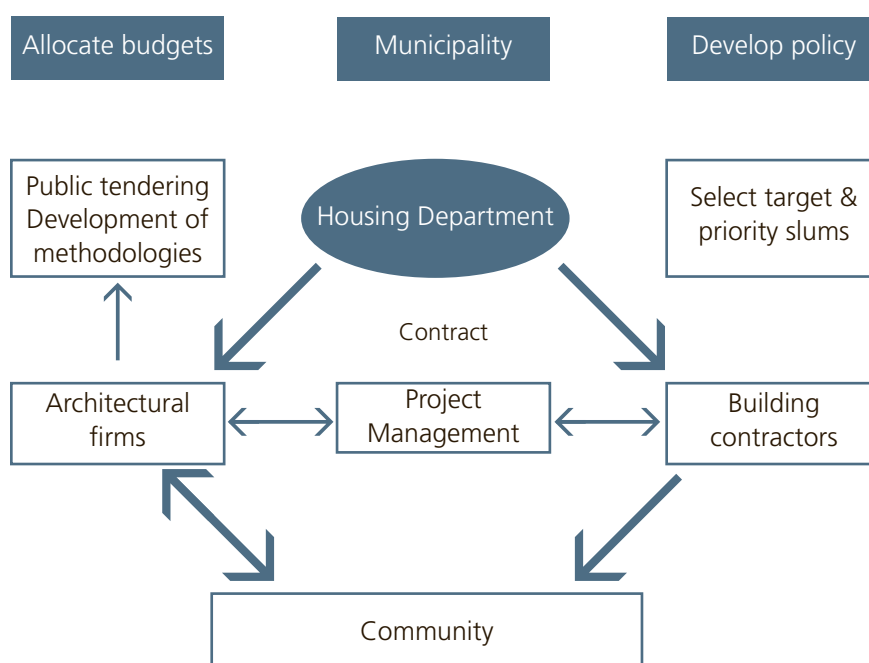
problems were held to a minimum because all parties accepted the Municipality's coordinating role which allowed it to hire a single contractor which would carry out (and therefore coordinate) improvements in all the infrastructure sectors while the responsible agencies provided supervision.

The PMU needs to start planning for sustainability of programme benefits at this early stage. Sustainability does not simply arrive automatically at the end of a programme. The seeds need to have been sown at the start and if this is done properly sustainability will be a natural conclusion of the programme. Stakeholders which have been involved in planning and decision making, and possibly implementation, are likelier to be committed to sustaining what the programme has delivered. The issue of sustainability is discussed in more detail in Chapter Five.

3.7.1 IMPORTANT TOOLS FOR THE PROJECT MANAGEMENT UNIT

The PMU has overall responsibility for the management, coordination and monitoring of the CWSU programme. For these it will need a solid management information system (MIS) to inform it of progress in the completion of activities. Programme management tools are available to assist in this, notably computer software, though more traditional methods can also be used such as the logical framework (Reed et al., 2011). These tools allow for activity plans to be drawn up and completion dates across a multiplicity of actions to be identified visually. This includes progress made in all activities at any one time in each settlement being upgraded. Chapter Five

FIGURE 3.11: THE PROGRAMME MANAGEMENT STRUCTURE OF THE FAVELA BAIRO UPGRADING PROGRAMME, RIO DE JANEIRO, BRAZIL



shows in detail how a monitoring system should be designed and implemented including a description of the important roles which residents can play.

The vehicle for corrective action is mainly the regular coordination meetings which the PMU holds at different levels. As an example Box 3.1 describes the various levels at which coordination takes place in the Kenya National Slum Upgrading Programme (KENSUP). While this example is specific to the Kenyan programme, all CWSU programmes will have a number of levels where progress will be discussed, problems analysed and agreements reached on how to solve them. At the top (policy) level meetings will be

least frequent (perhaps quarterly); here the PMU will be expected to demonstrate that the overall objectives of the programme are being effectively reached. At the level of inter-agency coordination meetings may take place monthly. Although this is an accountability mechanism, it is also an opportunity for the PMU to identify how the different agencies can assist to improve performance and remove obstacles, if any exist. The PMU will itself hold frequent meetings, probably weekly, with its field managers in different settlements to monitor and discuss local level progress and agree on any modifications in planned actions, if appropriate.

BOX 3.1: MANAGEMENT, COORDINATION AND MONITORING IN THE KENYA NATIONAL SLUM UPGRADING PROGRAMME (KENSUP)

Inter-Agency Steering Committee (IASC) is the supreme Programme organ composed mainly of representatives of key relevant Ministries, local authorities, UN-HABITAT and development partners. The IASC gives policy direction and reports to the President. This brings KENSUP to the centre of national decision-making and provides opportunity for fundraising.

The Inter-Agency Coordinating Committee (IACC) is the intermediary organ between the IASC and KENSUP operations. It provides a mechanism for coordinating all KENSUP related activities and monitoring of inputs in slum upgrading. It consists of representatives of the agencies participating in the execution of the Programme including NGOs and CSOs.

A **Multi-Stakeholder Support Group (MSSG)**, comprising representatives of development partners, civil society, Government, local authorities and communities is a broad forum to review the Programme and provide feedback which the KENSUP Secretariat can use to improve operations.

The KENSUP Secretariat is the 'programme management unit' responsible for management, coordination and tracking of the day-to-day running of the Programme. It also builds the capacity of local authorities and other local actors and manages information and communications about the Programme.

Project Implementation Units (PIU) are established within local authorities and co-ordinate the work of the Settlement Project Implementation Units (SPIUs – see below), and assist in the planning, design, and construction of required facilities and provide technical, logistical and resource support to SPIUs.

The Settlements Project Implementation Units (SPIUs) link the Programme Secretariat and the PIU with the community. They are responsible for mobilizing actors and coordinating their activities at the settlement level. The SPIUs identify appropriate settlement stakeholders and grassroots organisations, their potentials and activities, in co-ordination with PIU and Programme Secretariat.

Settlement Executive Committees act as a link between the Programme Implementation Unit and settlement communities. They facilitate community networks, cooperatives, and resource mobilization processes such as savings and credit schemes. It also charged with advocacy for community rights and seeking full community participation in decision-making.

Source: Adapted from Government of Kenya, Ministry of Housing website - <http://www.housing.go.ke/?p=124>

TIP

There are many different project management software packages which can greatly simplify coordination and monitoring. Most of them are proprietary but a few are open source. They are not all identical and technical advice should be sought to ensure the most appropriate package is obtained for your programme.

In addition, the PMU should ensure that there are fora in which residents, civil society organizations and NGOs can express their opinions which are a valuable form of monitoring. This can be done in various ways such as residents' monitoring committees (see Box 5.2 for a description of the Citizens' Watchdogs in Colombia), which may be limited to a single settlement, and broader processes which look at the programme as a whole, similar in part to KENSUP's Multi-Stakeholder Support Group concept which is described in Box 3.1.

3.8 FINANCIAL STRATEGY

The PMU needs first to estimate the financial requirements of the programme and then to draw up a financial strategy that will ensure financial sustainability.

There are four main cost items that have to be provided for: land; infrastructure; shelter and the financing cost (i.e. the interest that has to be paid on the financing obtained to implement the programme). In addition there are the costs associated with social and economic programmes.

How will upgrading be paid for?

There is no standard formula for programme financing. The sources of finance available for the programme may include one or more of the following:

- **Taxation:** A municipal slum upgrading fund can be set-up and be supported by a certain percentage of the tax base or the percentage of the total annual revenue. This can be set up by law and guarantees so that programme has a sufficient flow of resources for implementation.
- **Loans** from central government or a development bank (For example, the Inter-American Development Bank has funded many upgrading

programmes in Latin America in this way).

- **Grants from:**
 - donor agencies such as the European Commission (EC) or central government.
 - international companies and private foundations (e.g. Coca Cola, Guinness and the Gates Foundation).
 - twinned cities and regions or those working in solidarity (e.g. Barcelona's support of upgrading in Yaoundé see Figure 3.12).
- **Local partnerships** with business communities where corporate social responsibility funds may be encouraged into various components of upgrading.
- **Public-private partnerships** whereby local government harnesses the resources of the private sector. Poverty reduction and water and sanitation programmes in cities such as Kathmandu (Nepal), Cordoba (Argentina) and Stutterheim (South Africa) have benefited from private sector involvement in municipal service provision.
- **Public-private-community partnerships** where all parties contribute to the CWSU Programme financing.
- Reorganizing budget distribution of local budget through **participatory budgeting** which reflects residents' priorities for slum upgrading at city level.

Slum dwellers in the programme may contribute through:

- **User charges** (payment for some or all of the newly provided infrastructure and services)
- **Local taxes** (generated from the formalisation of



Figure 3.12: Upgrading in Yaoundé Funded, amongst others, by Barcelona and Yaoundé VI Municipalities and Implemented by the Cameroonian NGO ERA-Cameroun and The Catalan Enginyeria Sense Fronteres. Photos: © Reinhard Skinner



Figure 3.13: Community members participating in upgrading, 10 de Octubre slum in San Salvador. Photos: © Reinhard Skinner

land ownership and property taxes and possibly some form of betterment tax or levy)

- **'Sweat equity'** (the contributions community members make in kind to the programme be they physical or organizational – see Figure 3.13).

Residents may be charged for all, part, or none of the improvements they receive. There is usually an element of:

- **Subsidies:** either in the form of paying less than the full cost of an improvement or service or through 'internal cross-subsidies' by means of which some residents pay less than the cost and others pay more (usually the poorer and less poor groups respectively), or
- **Grants:** some services simply may not have to be paid for, grants are given to residents as compensation or incentive (typically for relocation to a new site) or as non-repayable contributions (e.g. to the activities of community organizations described at the start of this section).

When applying subsidies it should be considered how long it will be for as indefinite subsidies are unlikely to be sustainable in many cities. It should also be considered how the recipients of subsidies will afford to pay once the subsidies are withdrawn. This may lead to the inclusion of an income generation component in the programme.

Decisions about levels of payment and the application of grants or subsidies should take into account:

- residents' ability to pay;
- what the payment norms are in the rest of the city (e.g. should services supplied in upgrading sites be more or less expensive than other parts of the city where better off residents live?);
- what contributions in kind residents have made;
- what the social objectives of the programme are

(it may be more important to provide services than to recover costs from all those receiving them).

Governments have developed a range of financing mechanisms which PMUs would do well to learn about. One of those used in the case of Mumbai's upgrading is presented in Box 3.2. There will have to be creativity in the design of the financial strategy but what is adopted will ultimately depend on the financial resources available to all stakeholders (from state to private sector and community), concepts of what is just (equity) and the weight of different political opinions.

Another way in which communities may participate in the financing of slum upgrading is to take control of part of the financing system. Below we look at some examples of how this has been Done after a brief consideration of financing of CBOs so that they can participate in the upgrading process.

3.8.1. FINANCING CBOs TO PARTICIPATE IN UPGRADING

One aspect of the social and economic costs is that of providing financial services for slum residents. These will include community driven attempts to participate in the upgrading programme. McLeod (2003: 18-19) has compiled a list of these. The following are a selection of the grants she identifies as necessary if communities are to fulfil this role:

External grants for financing basic capacity among CBOs

Grants can help community based organizations undertake capacity building which they could not afford to finance themselves. Examples include, establishing networks of communities to exchange knowledge and experiences and data collection such as mapping and enumeration which will form a data base the community will use in drawing up plans to present and negotiate with state organisations.

Grants for financing learning, knowledge creation and capacity building

BOX 3.2: FINANCING OF UPGRADING IN MUMBAI

From 1995 the state government began an in-situ slum upgrading programme in Mumbai. The Slum Rehabilitation Authority (SRA) was set up as the coordinating authority. There would be multiple executing agencies such as private sector developers, public bodies, NGOs and cooperative housing societies of slum dwellers.

It was made the planning authority for slum areas, and the municipal and state legislation was amended to give it the power to make changes to the development plan of the city and to provide building permissions.

In Mumbai more than half the slum population lives on land owned by the state.

The SRA designed a mechanism to attract private developers to slum to upgrade them in a way that ensured they would make profit and the poor would get improved living conditions. This it did through the use of a device called the Transfer of Development Rights (TDR) which worked in the following way.

Developers were allowed to build flats (apartments) in slum areas for higher income groups and

make a corresponding profit on them. However, they would be obliged to build flats for a specific number of the poor slum dwellers too. If a developer was willing to build flats for slum dwellers beyond that minimum he would receive a Transfer of Development Rights certificate. A TDR can be used either for construction in another part of the city or sold on to other developers.

The flats were free to slum dwellers.

Any developer who undertook a slum rehabilitation scheme also had to contribute Rupees 20,000 (approximately US \$400 at March 2012 exchange rates) per family to a central fund. The interest from the fund was used to help cover monthly maintenance costs and municipal taxes.

The new middle and low income apartments would put pressure on the existing water mains, sewers, treatment systems and storm water drains, so the developer was also expected to pay Rupees 840 (US \$17) per square foot of built area to fund the needed expansion in infrastructure capacity.

Sources: Burra, (2005)

The learning which comes from the pilot projects needs to be documented to allow it to be shared within and between settlements. This learning is not limited to community organizations; municipal staff, NGOs and members of the private sector can also learn from participating. Shack/Slum Dwellers' International (SDI) which, amongst other activities, disseminates information about upgrading practices amongst its affiliates worldwide, has been supported by grants from SIDA (Swedish International Development Agency), the Government of Norway and several major foundations in this way.

Grants for the development of small scale pilot and demonstration projects

These grants would allow community organisations to make small scale investment projects in slum upgrading for themselves such as toilets, sanitation, water, solid waste management, access roads and drainage. These projects are experiments but if successful they can represent important contributions to the upgrading process. Grants will make it possible to undertake these risky investments until they have



Figure 3.14: Kroo Bay Community Centre, Kroo Bay.
Photo: © UN-Habitat/Reinhard Skinner



Freetown, Sierra Leone. Photo: © UN-Habitat/Reinhard Skinner

BOX 3.3: FINANCING COMMUNITIES' CAPITAL INVESTMENTS IN SLUM UPGRADING – THE CLIFF PROGRAMME

The Community Led Infrastructure Finance Facility (CLIFF) provides loan finance for slum development projects that are implemented by the urban poor in India, Kenya and The Philippines.

CLIFF was established in June 2002 through funding from the UK Department for International Development, DFID (contributing over £6.8 million) and the Swedish International Development Co-operation Agency, Sida (contributing approximately £3 million). It is due to continue until March 2014 by which time it will have received donor funding of £28.8 million (pounds sterling).

The mechanism was established to address the problem that the urban poor and their support organisations have traditionally been unable to access affordable capital in the form of loans from financial institutions.

The programme provides financial support through grants:

- Capital Grants to enable partners to provide loans for project construction and related costs. Capital Grants represent around 75 per cent of the CLIFF budget.
- Operational Grants to cover the costs related to CLIFF implementation, including project preparation and management and the documentation and dissemination of lessons to allow the learning from projects to be shared widely.

The Capital Grants help communities to establish their own revolving loan funds to finance initial slum redevelopment demonstration projects.

When Capital Grants are repaid, they are used to support new projects. These projects mobilise a range of resources from the public, private and civil society sectors, such as loans, cost recoveries, land, infrastructure and skilled human resources. Loan guarantees from Homeless International's Guarantee Fund and other providers can also help access loans from financial institutions

These demonstration projects result in improved housing and sanitation for significant numbers of people. In addition, they are used to influence the policy and practice of relevant organisations such as banks, local and national government, and international development agencies.

Recognising that sustainable access to affordable finance from financial institutions is a key piece of the scaling-up puzzle, CLIFF plays a special role in plugging and bridging this gap.

CLIFF is co-ordinated internationally by Homeless International

*Sources: <http://www.dfid.gov.uk/work-with-us/funding-opportunities/countries-and-regions/cliff/>
http://www.homeless-international.org/document_1.aspx?id=0:59668&id=0:59663&id=0:59166&id=0:59153*

been refined and improved to such an extent that they are replicable. YMCA (Young Men's Christian Association) – Sierra Leone receives grant funding from the British-based charity Comic Relief for small projects it has set up in the Kroo Bay slum in the capital Freetown (see Figure 3.14).

3.8.2 COMMUNITY PARTICIPATION IN FINANCE

CBOs can serve as managers of slum upgrading funds. Four ways in which communities have done this in various parts of the world are through:

- Savings and loans schemes
- Revolving funds
- Guarantee funds
- Community banking

Each of these can be applied to upgrading and are explained here.

Savings and Loans Schemes

In the Baan Mankong upgrading programme in Thailand communities manage their own finances (Boonyabancha, 2005: 45-46). As explained in a previous chapter the Community Organizations Development Institute (CODI), a semi-autonomous public agency which is responsible for Thailand's urban upgrading, receives a budget from central government which it passes directly to communities. Government believes community organizations should drive the upgrading process. This includes managing their own funds.

The financial framework for government support of community upgrading projects is as follows. The government provides:

- a grant of US \$625 per family for regular physical and social infrastructure improvement.

- a grant of US \$31.25 for local administrative and joint management costs.
- housing loans to community organizations to purchase land or for housing construction at a rate of interest of 2% per annum.
- a grant for capacity building, learning, exposure trips, meetings, seminars, coordination, information dissemination.

The total subsidy per family is US \$1,700.

Communities are required to set up savings and loans schemes, first as a way to commit to saving and accumulating capital, secondly to work collectively and third, and most importantly according to former Director of CODI, to teach communities to manage their own savings and outside finance collectively and thereby become key actors in development.

Somsook Boonyabancha, Director of CODI, says:

If a community cannot manage money, it is doomed forever to having its development process determined by someone else....

It is a skill which has to be learned which the government agrees with and provides a capacity development grant to that end.

CODI does not believe savings and loans groups should focus on housing, as many other such groups do. In the latter group members simply save until they have enough for a house and then they stop. CODI believes this wastes the opportunity to work together on an ongoing basis, developing whatever the community prioritises and to have the confidence that they are capable of achieving their goals.

The community approach is also likely to contribute to the sustainability of upgrading if it means that community members are constantly identifying and implementing improvements.

Revolving Funds

The Community Led Infrastructure Finance Facility (CLIFF) is an initiative to provide loans allowing poor communities to set up revolving funds for the upgrading of their communities as explained in Box 3.3. While CLIFF is a specific case which has been implemented in India, Kenya and The Philippines the use of revolving funds is of more general applicability.

Guarantee Funds

CLIFF bridges a gap in the financial market and makes funding available to poor communities for slum upgrading. UN-HABITAT's Slum Upgrading Facility has also developed a mechanism with the same purpose

but this time using the tool of guarantee funds in what it calls the Local Finance Facilities Concept (<http://www.unhabitat.org/categories.asp?catid=542>). This is a one-time grant used to set up revolving credit enhancement funds, which has been done so far in Ghana, Indonesia, Sri Lanka and Tanzania. The funds mainly serve to offer guarantees to attract domestic banks to start lending in poor communities in the process of upgrading.

Each Local Finance Facility operates as a self-supporting business with a board of directors drawn from community groups, domestic banks, local municipalities and relevant national ministries.

The Facility aims to finance projects with a combination of community savings, subsidy from the municipality or a national ministry, and local domestic commercial bank lending. In this way the Local Finance Facilities are able to attract external funding and achieve a leverage of on average 3.5 (external funds) to 1 (the guarantee fund).

The Programme for the Institutional and Community Development of Ciudad Bolivar in Bogota in the late 1990s also set up guarantee funds to attract bank financing of microenterprise and housing components of the slum upgrading programme.

Community Banking

Another approach is to establish a community bank, an approach which seeks community management of a wider range of sources of finance for an equally wide range of upgrading purposes. Box 3.4 presents an early example of community management.

It also delivers the processes which make these benefits possible. It improves local government efficiency, responsiveness to constituents and revenue generation; it establishes partnership between stakeholders to plan and implement and it strengthens

BOX 3.4: AN EARLY EXAMPLE OF PARTICIPATION IN FINANCE – THE COMMUNITY BANK OF VILLA EL SALVADOR

The Community Bank was founded in August 1974. It aimed to capture internal and external funds in the rapidly growing settlement (at that time with approximately 130,000 residents) to invest in local development and to create jobs. Initial aid, mainly in the form of a building loan and the training of personnel, had been given by the Popular Bank of Peru but the Community Bank was to be financed and administered by residents themselves, acting through their community organization.

The Bank's main declared tasks included: the creation and expansion of industry and the financing of projects to tackle health, educational and employment problems; to give credit for house construction; to collect individual residents' payments for public utilities and to act as a financial intermediary in any state investment in the settlement.

Once in operation the Community Bank penetrated nearly all spheres of Villa El Salvador's

economic and social development. A year after its inauguration it had received savings and deposits of approximately US\$426,356. Apart from those deposits which were service collections and had to be passed on, these funds were used for such purposes as paying the initial bill for domestic electricity connexions, the installation of three communally owned kerosene pumps (for the supply of cheap heating, lighting and cooking fuel), the financing of the community's Second Convention, the community's contribution to the road construction programme, and a loan to an area organization for the construction of a common meeting hall. By January 1976 these projects had been extended to cover the financing of the construction of 70 schoolrooms, a community health centre, a commercial centre, a building materials depot and the establishment of a civil construction company.

Sources: Skinner (1981: 105-107).

existing capacities in the organizations of the urban poor which make them able to effectively analyse problems, plan for their future and produce solutions. Sustainability therefore is about safeguarding the products and processes of CWSU.

3.9. CAPACITY DEVELOPMENT

The citywide slum upgrading approach will be new for many organizations and institutions in the public and private sectors and in slum communities. They will all need to develop new skills and capacities if they are to contribute optimally.

Capacity development may consist of any the following:

- Increasing skills (e.g. through training and on the job technical assistance focused on specific aspects of programme design, planning, management and execution).
- Improving organizational processes (e.g through the application of new techniques, reorganization, management and technical assistance).
- Increasing resources (financial, physical, human, organizational and the ability to manage funds, multiple projects and financial reports).
- Adapting policy (to allow the new skills, processes and resources to be utilised effectively).

Though all participants need new skills they will not all need the same. Table 3.2 is an outline of what some of the likely stakeholders will need – what knowledge

TABLE 3.2: CAPACITY NEEDS OF CWSU STAKEHOLDERS AND HOW TO DEVELOP THEM

STAKEHOLDER	REQUIRED CAPACITIES (EXAMPLES)	HOW TO BE OBTAINED (EXAMPLES)
Central government ministries	Ability to facilitate housing and service improvement.	• Study tours to CWSU programmes in other cities (knowledge of facilitating policies). • Adapting policy.
Local government (the Mayor, senior officials and departments)	How to promote and work with participatory processes.	• Study tours to CWSU programmes in other cities. • Training of staff and management in new governance and financial techniques. • Adapting policy and procedures.
Donor organizations	How to ensure participatory processes inform loan and grant agreements.	• Donor meetings and workshops. • Adapting policy.

Contd...

STAKEHOLDER	REQUIRED CAPACITIES (EXAMPLES)	HOW TO BE OBTAINED (EXAMPLES)
Micro-finance institutions	Coordination with large, commercial banks.	• Training • Joint workshops with commercial banks. • Study tours. • Increasing human resources devoted to management of new, large funds from banks or donors.
Commercial banks	The design of financial services appropriate to the poor (e.g. for housing and micro-enterprises).	• Joint workshops with micro-finance institutions. • Study tours. • Adapting policy. • Increasing human and organisational resources devoted to low-income sector services.
Utility companies	Working with community based utility management.	• Study tours to other cities with CWSU programme. • Community engagement. • Adapting policy and systems.
Private service providers	How to coordinate with and utilise resources of community based organizations.	• Study tours to other cities with CWSU programme. • Adapting policy and systems.
Construction companies	Development of incremental housing design options.	• Training • Community engagement. • Adapting policy and systems.
Property developers and large landowners	Awareness of non-conventional land tenure and development options.	• Training • Conferences / seminars. • Adapting policy and operating systems.
Architects, engineers, planners	Appropriate and affordable housing design, building materials and planning standards. Street-led settlement design.	• Training • Community engagement. • Adapting professional role.
Small (slum) landowners	Awareness of changes in tenure and ownership and their implications.	• Communications strategy (e.g. community meetings with information sheets / flyers).
Traditional leaders	Assuming/sharing responsibilities with elected community and city councilors.	• Meetings with Councilors and elected community leaders. • Training (workshops).
NGOs (numerous)	How to advise and facilitate participatory processes with CBOs.	• Study tours to NGOs in other cities with CWSU experience. • Conferences, workshops and seminars. • Increasing human, physical and organizational resources.
CBOs (of various kinds)	• Management of service organizations (e.g. for solid waste, drinking water). • Participatory data collection/enumeration.	• Exchange visits with CBOs already experienced in CWSU. • Increasing human, physical, financial and organizational resources. • Training
Slum dwellers' federations and networks	Negotiating with programme planners on a citywide scale during design stage.	• Study tours to CWSU programmes in other cities.
Owner occupiers	Awareness of new financial obligations (e.g. payment of utility fees and property tax).	• Information meetings with NGOs/CBOs
Tenants	Awareness of new rights and responsibilities (e.g. tenure).	• Information meetings with NGOs/CBOs.

and which skills. It gives examples and does not cover all possibilities. These will depend on the nature of the CWSU which is to be implemented and the existing, and lacking, skills and capacities of the participating stakeholders.

3.10. COMMUNICATIONS

As already mentioned in Chapter Two communications are an essential part of the CWSU package to allow the flow of information between actors and establish feedback systems between slum residents, the PMU, partners and other actors. The programme will need to develop a communications strategy which will have two components:

- general (regarding programme content, structure, process, management and decision making, monitoring and evaluation) and
- specific (about access to different components of upgrading – such as loans, and rights and responsibilities – such as cost recovery).

It needs to be explained what will be included. Which benefits, improvements and services will be available (e.g. credits, plots, advice, building materials, etc.) and which not?

Residents should be invited to apply for those components of the project in which they are interested or to find out more about their eligibility and how they can participate.

Communications need to be devised which will prepare residents to participate in the upgrading of their neighbourhood. There will be an explanation that feasibility studies will take place and that there will be data collection exercises in which they can actively participate (e.g. enumerations) or at least be prepared

to cooperate with.

The project will be implemented according to certain procedures, processes, rules and regulation and all these need to be explained. Residents need to know what is expected of them but also what their rights are.

As at the programme level, there should be dedicated communications support at project level too, specialist if possible. This might be part of the work of existing staff but their job descriptions should specify this. This will ensure that communications receives due attention and is not treated as an 'add-on' which will be done when and if there is time. However, some communications work must be specialised (e.g. the production of flyers and TV broadcasts).

The way in which the interests of women and especially vulnerable residents are to be met needs to be explained. Are there any project components specifically directed at them? For example, is there a project for the training of women's savings or building groups? Is there training for maimed ex-combatants? Some groups, such as youth, may not listen to the normal communication channels; they will need specific communications actions which are directed at them.

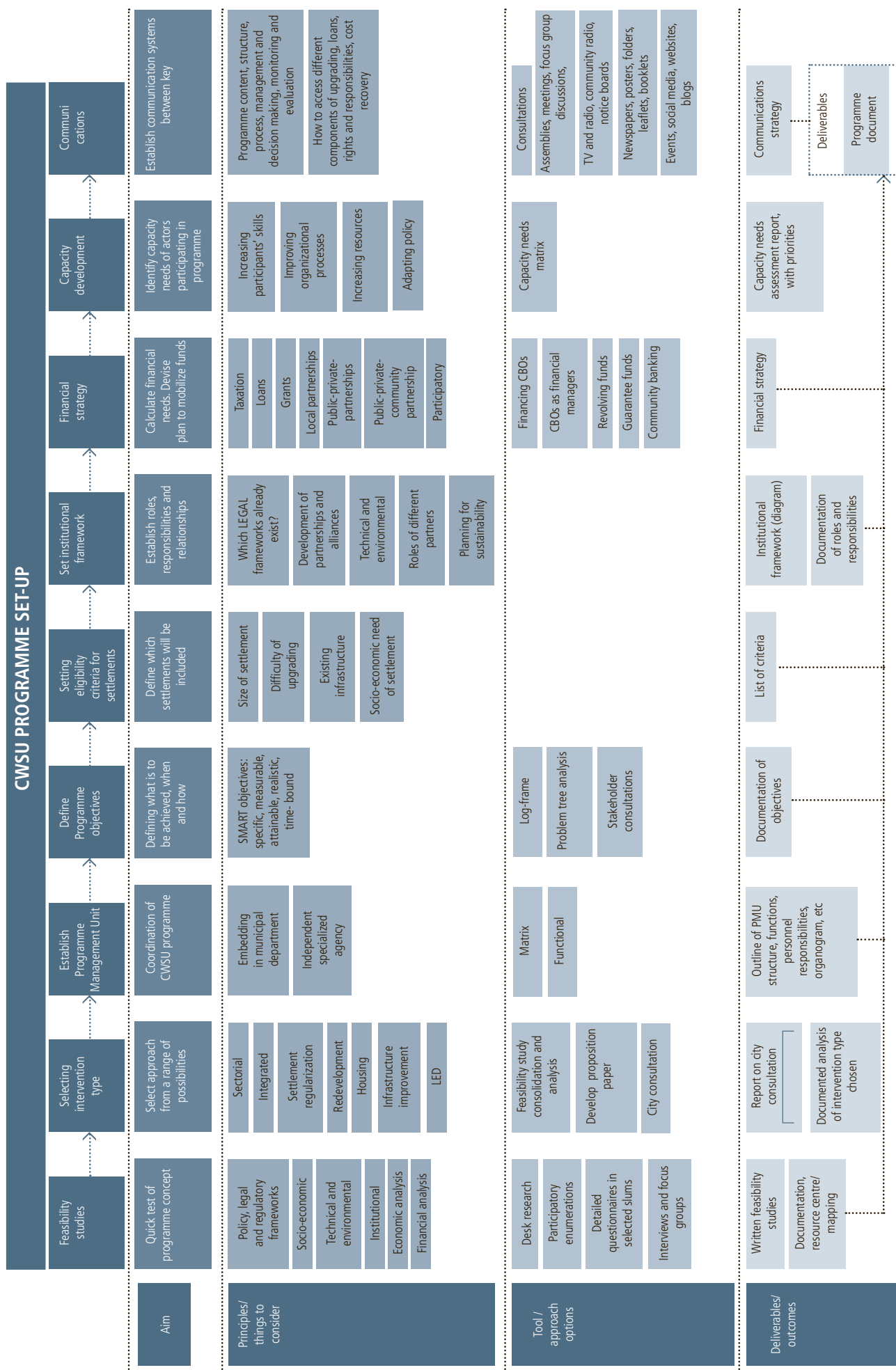
A simple matrix can be used which indicates the types of information and communications methods which can be used and combined in a communications strategy (Table 3.3).

One of the communications methods is what we would normally refer to as a data collection method (i.e. focus group discussions). This is because while they are principally used for this purpose we should not forget that they also provide feedback on people's opinions and this is something our communications strategy needs to take into account.

TABLE 3.3: SOME COMMUNICATION METHODS FOR CITYWIDE SLUM UPGRADING

METHOD	STRENGTHS	POSSIBLE USES (EXAMPLES)
Consultations	Conducive to serious analysis and reflection Involve broad and varied range of actors.	Drawing up framework of overall city or settlement planning.
Assemblies	Community assemblies: getting general messages across, making statement of intent, gaining general impression of community feeling or response (feedback).	Informing communities of what has been done and what is to come and when.
Meetings	Focus on single issue with exchange of views, possibly leading to agreement.	PMU agreeing with Advisory Committee on the next steps to be taken.
Focus group discussions	Gathering opinions and feedback from relatively homogeneous sectors of population.	Assessing impact of women's organizational support grants.
Workshops	Coordinated focus on specific, agreed problems or issues leading to proposals.	Training CBO leaders in social violence reduction.
TV	Allows showing of films across city of successful CWSU.	Publicising benefits of CWSU at start of process.
Radio	Wide audience.	Holding interviews with participating slum dwellers on effect of CWSU.
Community radio and notice boards	Repeated, locally relevant messages.	Informing community of forthcoming events and interventions. Delivering practical messages from community leaders.
Newspapers	Articles: in-depth explanations and descriptions. Advertisements: detailed information to citywide audience.	Publicising citywide events, progress of CWSU, inviting applicants for specific sub-programmes (credits, etc.).
Posters	Attention grabbing, difficult to miss messages. Repetitive character of messages can lead to them becoming 'slogans'.	Underlining key messages (e.g. 'get tenure security now', 'clean water is coming').
Folder, leaflets and flyers	Quick, easy and attractive to read if they have a lot of images. Can be kept.	Informing of the existence of new services (e.g. housing credits).
Booklets	Written record of details for future reference.	Explaining processes and procedures, rights and responsibilities (e.g. how reblocking will take place and its implications for individual families).
Events	Can be designed to attract specific sectors or population in general (rap music, micro-entrepreneurs' market, etc.).	Support raising, motivation building at strategic points in the CWSU process.
Social media	Appeal to young, viral potential, up-to-date.	Video reporting recent citywide festival of handicapped youth (YouTube).
Internet website	Stock of records, detailed information in attractive and accessible form.	Online complaints about services or downloading of conditions for micro-enterprise loans or how to get a site and service overspill plot.
Internet blogs	Up-to-date, most relevant issues discussed and ideas proposed.	Discussing effectiveness of new community policing policy.

THINGS THAT CAN GO WRONG	WHAT CAN GO WRONG
The programme management unit (PMU) finds that it does receive the cooperation it needs from municipal departments.	The PMU was set up independently of the existing municipal departments who believe they have the skills to do the work and are resentful of better pay the PMU staff is receiving. A better alternative may have been to set up the PMU as part of the municipal structure or to include existing staff in the PMU. More support might also be needed from the Mayor to overcome staff resistance. Communications and consultations were considered by the PMU to be too time consuming delaying implementation. However, do not be tempted to cut corners and push ideas through 'top-down'. This risks rejection on the part of stakeholders and/or communities and will cost more time and money in the long run.







4

DESIGNING AND
IMPLEMENTING THE
PROJECTS

CHAPTER SUMMARY

This chapter focuses on project design and implementation of slum upgrading projects. It shows how the CWSU programme delivers interventions at the slum settlement level which is the on-the-ground materialization of the citywide slum upgrading policy and programme.

There are steps that are quite similar to those at the programme level but within which the content is different. Project preparation, design, participation and involvement of women and men residents, prioritization, layout design and project components and the implementation arrangements all come into place at this level. The steps are described in this chapter.

At this stage a project manager needs to be identified and management teams established for better coordination with residents, utility companies and the entire institutional environment of municipal governments which is critical for efficient implementation and optimal use of resources. This chapter also describes aspects related to community participation in planning and implementation.

The slum upgrading project is the ultimate realization and achievement of the goals of the Citywide Slum Upgrading Programme. It is at the slum/settlement level where actions and execution takes place and where the entire preparation and programme philosophy come to fruition.

The process has a clear sequence of tasks and activities that need to be performed for successful implementation. Management wise, it is common to have coordination mechanisms and project coordination committees depending on the size, complexity, location and specificities of the slums.

Because the slum upgrading project is in fact an area-based planning intervention, the tasks involved in preparing to undertake the work include, but are not limited to, the following:

1. Preparation of the settlement profile, combining the social and economic but also the physical and spatial profile of the settlement; including mapping the urban configuration of the settlement, and mapping the existing infrastructure networks passing through or adjacent to the settlement e.g. water, sewerage, drainage, electricity and road networks to which the project will be connected to;
2. Preparing the layout design and options for street network and setting priorities in terms of levels, accessibility, standards and phased implementation;
3. Preparing communication tools to support dialogue with residents as well as municipal stakeholders and the general public such as models, maquettes, posters, large-scale designs and illustrations and project briefings;

4. Agreeing on an implementation modality: arrangements for project execution and decisions on whether to place the project package for bidding or to implement through local government institutions; decisions on the establishment of channels of participation and communication with residents and identifying all community-based organizations existing in the settlement and having legitimacy amongst residents;
5. Defining and communicating project components which are actually programme components; and the project implementation arrangements, and so on.

4.1. SELECTING THE PROJECT MANAGER AND ESTABLISHING THE PROJECT MANAGEMENT TEAM

At the settlement level, the success of the slum upgrading project depends on two fundamental elements:

1. the quality of the organization and management of the project design process, and the way the on-site execution works are managed and coordinated with residents, area-based stakeholders, utility companies and the entire local government apparatus; and
2. the level of participation and involvement of the residents in project formulation and implementation. The latter can take shape through direct participation of residents in various stages of the project design and implementation or through their established community-based organizations where local leaders and appointed representatives of residents and interested groups play a role.

Project Management and Staffing

A project manager must be assigned to lead the project formulation process. Often, it is the same project manager who supervises the project implementation phase as well. The complexity, size of the settlement and range of activities and project components being implemented will determine whether a project management team should be established as well. It is very common to have a team structured by responsibilities divided by the nature of work being executed. That means one representative per project component such as social (participation, demand surveys, etc), economic (finance, local economic development, small businesses, etc.), physical/infrastructure (water, sewerage, road, drainage, electricity, etc) and housing (demolitions, compensation, reconstruction, etc.)

The Project Manager (PM) can be chosen in different ways such as:

- assigning a staff member from one of the departments or agencies directly involved in the programme;
- assigning a staff member from within the professional cadre of the programme implementation agency; or
- through open recruitment and public tendering (an announcement placed in local newspapers and/or through an existing management contracts).

The project management team can either be set up by the project manager in consultation with the programme coordinator/implementing agency or be formed on an ad-hoc basis according to the needs of the project. For example, once the project reaches the stage of opening streets and executing networks of water and electricity supply, those in charge of these components from the utility companies and/or private contractors commissioned to do this job are invited to sit in planning and coordination meetings and regular project management meetings. There is actually a wide range of modalities and one needs to choose what best fits the organizational culture of the locality where the CWSU programme is being implemented.

By this stage, a series of operational manuals and guidelines needs to have been prepared by the PMU in order to guide the decisions and procedures of the PM and PMT (for a detailed example see Imparato and Ruster, 2003: 475-478). In particular, these are needed for cases when public bidding needs to be launched for a particular project component or its entirety including project design; when particular procurements need to be pursued; when decisions need to be made on project components; when

residents are to be involved in decision making; when approvals and endorsements by the municipal apparatus are made, etc. All these procurement and legal procedures must be in place and well known by all those involved in project implementation. There should be no gap by the time the project goes to the execution phase.

Preparing Time Planning & Implementation Schedule

In the same way as the PMU will have drawn up plans for the whole programme period and will draw up detailed plans annually to cover the coming year, the PM will draw up similar plans for his/her own project area. A slum upgrading project requires a properly designed time plan, schedule and log-frame to support its implementation.

Identifying Who Should be Involved in Project Design and Implementation

Slum upgrading projects include a wide range of activities requiring the involvement of a variety of service providers. Utility companies, state and civil society organizations, private companies, faith-based organizations, building contractors, community contractors are usually involved. Some may not have experience with slum upgrading projects which normally involve work taking place on a site where people have been living for many years and where cartographic and topographic information is not commonly accurate.

Project Support Communications

Project support communications are needed to explain different aspects of the project to stakeholders, especially slum dwellers involved in the programme. They will complement what has already been developed at programme level as explained in Chapter Three.

At project level the following are the types of issues that are likely to be important and for which communications materials need to be developed:

- Project plans (how they are to be drawn up and decided and what their main components are).
- Regular briefings on progress and feedback from communities on their perceptions of progress.
- Eligibility for different aspects of the project (credits, housing in an overspill or resettlement area, grant support for youth groups, etc.).
- How security of tenure will be achieved.
- Support for housing improvement (regarding finance, building materials and technical assistance available as well as building regulations to be applied).

- Types of infrastructure to be installed, quality, location and cost to the household.
- The development of public facilities and spaces such as parks, libraries and playgrounds.
- Responsibilities for implementation and maintenance and who is to pay how much.
- Project regulations and their enforcement (e.g. not encroaching on public spaces and who will police this).

The matrix which appears as Table 3.3 in Chapter Three will help in selecting the types of communication method which might best be used for each of these issues.

4.2. ADAPTING THE CWSU STRATEGY TO THE PROJECT SITES

The PMU will have established an institutional framework at programme level by means of which the roles and responsibilities and lines of authority between the different stakeholders are described. At project level the stakeholders will be different and will even differ between projects. Even when the stakeholders are the same, notably the community, their capacities and resources will vary and their roles must reflect this. A dynamic and well-organized community organization with a long history of achievement will have a different role from that of organizations which are inactive, new or poorly organized.

A strategic plan will have been drawn up by the time settlement planning takes place. It provides the guidelines for CWSU but does not detail what is to be implemented in each settlement. Local strategic planning will be carried out, based on the citywide plan, which details this. The contents of the local plan will be similar to those for the CWSU programme and will include the following:

- Vision, goal and objectives; and
- A settlement profile (similar in many ways to the feasibility studies at city level) which includes:
 - demographic and socio-spatial data;
 - socio-economic conditions and characteristics;
 - an analysis of stakeholders active in the settlement;

- an inventory and analysis of existing area development plans and projects;
- legal and regulatory frameworks;
- spatial, technical and environmental constraints and options;
- institutional and financial capacity of partner institutions (including CBOs).

Objectives should be formulated so that they are SMART, as in the case of the CWSU programme. The settlement strategic plan will identify the types of intervention to be implemented along with selection criteria for those who may benefit, an institutional framework to carry out the upgrading, a financial strategy to pay for it, as well as a plan to develop capacity where shortfalls have been identified.

The following pages explain how this planning can be carried out.

Establish project level coordination frameworks

Socio-technical support: the PMT may decide itself to develop some of the socio-technical skills described above through its own process of internal capacity building but its main role will be the coordination of services from other providers. It may hire a provider specifically to coordinate the various 'soft' inputs such as those relating to capacity building of community organizations (e.g. youth and women's organizations) and their coordinated participation in planning processes. This provider is known as a social intermediary or socio-technical support agency (if technical as well as social functions are involved).

In some well-organized communities the central community organization may be able to provide the socio-technical support. This would be a form of community management, a model in which project management is shared between external actors and local residents. An extreme form would be full control which involves placing control of the project entirely in the hands of local residents.

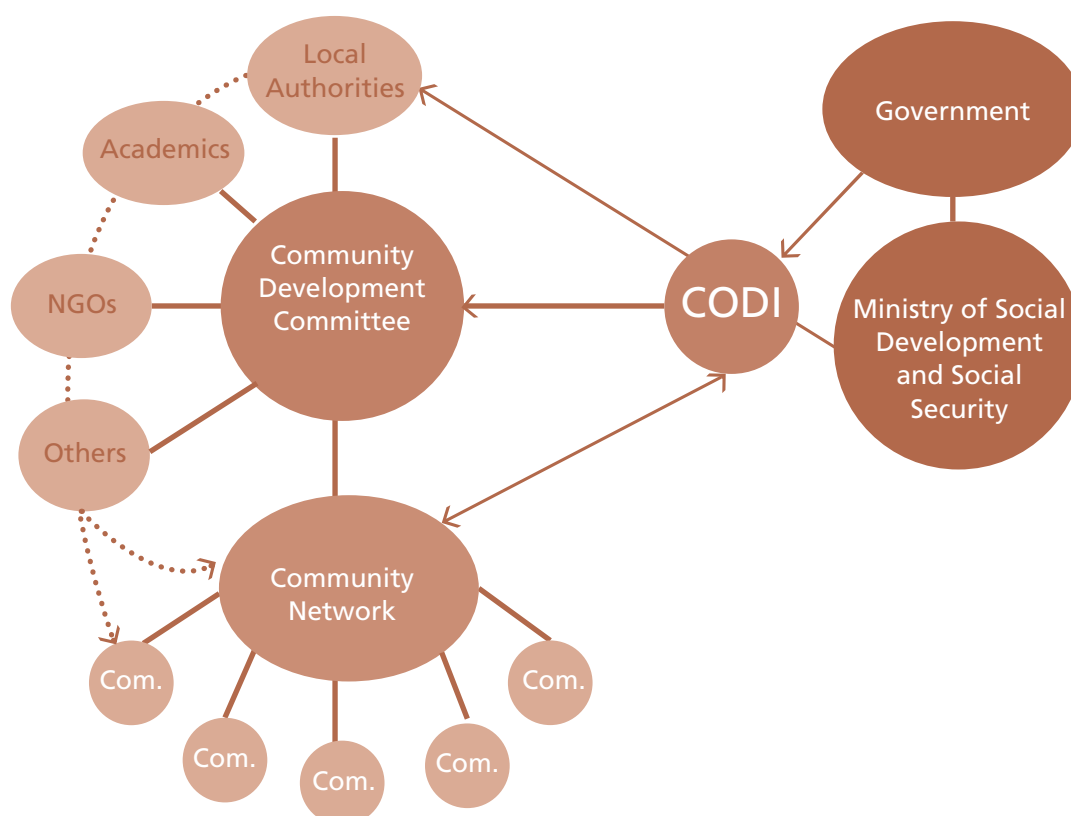
The PMTs will find it useful to form a multi-stakeholder advisory committee even though it receives guidance from the PMU. This is because it is a useful forum for the generation of feedback about progress made, the airing of misgivings and complaints and an opportunity to seek advice. The PMT can present its intentions to the committee to sound out their reactions and invite suggestions. Finally, the very existence of a functioning committee is likely to disseminate an image of transparency and co-operation.

BOX 4.1: PROJECT COORDINATION FRAMEWORK IN BAAN MANKONG CWSU PROGRAMME

Figure 4.1 shows how the Baan Mankong CWSU programme was adapted to each individual project in Thailand. The overall coordinating agency for slum upgrading is CODI (the Community Organizations Development Institute) which receives a budget from central government which it allocates directly to communities as advised by its upgrading partners especially the local government and the slum network in each city.

The Community Development Committee (CDC) brings the municipality together with communities and other partners such as academics and NGOs. The partners advise the communities through the CDC but the communities decide what they will prioritise and how they will spend their budget. The advice they receive includes how to carry out surveys, draw up a plan and establish financial management mechanisms in their communities.

FIGURE 4.1: THE PROJECT COORDINATION FRAMEWORK IN THE BAAN MANKONG CWSU PROGRAMME, THAILAND



Source: (no author) <http://www.scribd.com/UrbanKnowledge/d/79355090-City-Wide-Community-Upgrading>

Coordination of planned activities with existing area development plans

Slum areas will be subject to local development plans. These reflect the development priorities of local governments and, ideally, their constituents. It is therefore essential to attempt to coordinate plans for upgrading with these plans in the same way as the programme at city level has to integrate with city and national strategies for city development and poverty reduction (see section 2.5.8).

This coordination will require the PMTs to meet the local government administration. The latter will present the local development plan and the PMT, with the support of the PMU, will explain the objectives of the CWSU

programme and its main types of intervention. A series of working meetings will then be held with a view to identifying aspects of the local development plan which the upgrading project can support and complement.

These meetings should take place at the very beginning of the project before an upgrading plan has been drawn up. The meetings can be inputs into the CWSU planning with the local administration, as a major local stakeholder, playing a role in the participatory planning process. Showing the local administration that the upgrading project can contribute to it reaching its own goals and gaining its commitment to the programme will be an important step in assuring its sustainability.

4.3. SETTLEMENT PROFILING

Once the PMTs have been set up and the CWSU strategy adapted to settlement level, the next step is developing detailed settlement profiles. Activities at this stage should focus upon drawing up an area-based plan/map that incorporates all sets of information possible and takes into account the intrinsic difficulties arising from a slum settlement reality. Building baseline information about each settlement – hereinafter called settlement profile or slum profile – can help in producing a set of thematic maps or map overlay containing all information ranging from income, size of households, housing typology, infrastructure provision, accessibility, business locations, land tenure aspects, etc. This is vital for a successful project design and will ensure that once the plan is made and goes for implementation, all parties have the full package of the information at hand. Key aspects to include in the settlement profiling are the following:

Developing baseline information to support project planning and design

The development of the project and particularly the area-based plan requires the collection of key data and information. Some are of statistical nature while others of a qualitative nature. Some information will have been collected already in the previous phase, when setting up the Programme, but now it is important to get more accurate information to help the design and planning of appropriate interventions for each settlement. Table 4.1 outlines key baseline information and Table 4.2 outlines potential data collection methods.

Key sets of baseline information are:

- **Relevant legal and regulatory frameworks:** what laws, rules and regulations govern what can be done and how, e.g. plot sizes, public and private spaces and building materials.
 - **Spatial, technical and environmental constraints and options:**
 - Urban configuration and existing infrastructure, inside and adjacent to the settlement.
 - Topographical and geological studies to assess the need for erosion control and determine storm drainage systems as well as residents who are occupying hazardous terrain. (This may identify households that have to be relocated).
 - Environmental impact assessment.
 - When a preliminary road network design has been produced it will indicate if there is a need for resettlement. (In the Lusaka upgrading programme residents' leaders formed part of Road Planning Groups and walked through the settlement to agree on road routing which aimed at reaching a consensus amongst all residents. Thus resettlement became voluntary).
 - There will then be further studies to identify what needs to be done to ensure resettlement is as positive an option for the resettled families as possible (e.g. compensation in the form of free plots elsewhere, houses and/or resettlement grants).
 - Feasibility studies of off-site infrastructure with cost estimates.
 - **Institutional capacity and financial analysis of partner institutions:**
 - Capacity of NGOs to provide technical assistance or manage project funds.
 - A preliminary picture of the level of community organization.
 - The community's priorities and aspirations.
 - Potential capacity development needs listed in Section 3.9.
- The analysis in the settlement profile will inform the programme what the project options are.
- **Demographic and socio-spatial data:** accurate mapping of the settlement (identifying plots and houses, household size, settlement spatial configuration, existing infrastructure, services, topography, etc.).
 - **Social and economic conditions and characteristics:** socio-economic surveys to establish the characteristics and priorities of the community (e.g. numbers of people falling into vulnerable categories, the willingness of residents to pay for which services).
 - **Stakeholder analysis:** of CBOs, private sector, utility companies, etc, often done in conjunction with efforts for community mobilization and engagement in project initiation and development.
 - **Existing area development plans and projects:** government, NGO, academia, etc., to coordinate intervention goals and timing with them, and avoid replication and delays in implementation.

TABLE 4.1: EXAMPLES OF BASELINE INFORMATION FOR SETTLEMENT PROFILES

INDICATORS/ DATA REQUIRED	UNIT
Demographic and socio-spatial data	
Slum population	Persons disaggregated by sex
Land area covered by the slum	ha
Number of dwellings	Number
Population density	Persons/ha
Average household size and composition	Number of persons (by sex and age)/household
Room occupancy	Number of persons/room
Average residential plot size	m ²
Average living area in dwellings	m ²
Proportion of permanent dwellings (cement block or burnt brick walls; iron sheet or other permanent roof)	% or #
Proportion of semi-permanent dwellings (mud/pole walls; iron sheet roof)	% or #
Proportion of temporary dwellings (mud/poles or other temporary wall materials; thatched roof)	% or #
Average construction cost of permanent dwelling	Local currency & USD
Average construction cost of semi-permanent dwelling	Local currency & USD
Average construction cost of temporary dwelling	Local currency & USD
Availability of piped water on plot	% or #
Distance to piped water (if not on plot)	#
Proportion of households depending on sources other than piped water (water vendors, rivers, wells,...)	% or # (please specify sources)
Availability of formal electricity connection in dwelling	% or #
Availability of other electricity sources (if no formal connection)	% or # (specify types of other sources)
Average monthly household income	Local currency & USD
Households with permanent source of income (employed in formal sector)	% or #
Households with main income or productive activity at home/plot (small shop, dressmaker, shoemaker, etc)	% or #
Proportion of rental housing	% or #
Average monthly rent per room	Local currency & USD
HIV/AIDS prevalence	% or # of women and men infected
Proportion of population receiving food assistance	% or #
Female headed households	% or #
Main environmental hazards (floods, landslides, pollution from surroundings, others...)	Name and frequency
Other...	
STAKEHOLDER ANALYSIS	
Community based organisations	
Which community organisation(s) operate(s) in the slum?	
How many members does each organisation have?	
How are leaders elected?	
Are women, youth and elderly represented?	
How many meetings are held in a month/year?	
How are community organisations represented at the municipality?	
How effective is their influence in decision-making and implementation by the municipality regarding slum improvement projects?	
Private sector	
Companies delivering infrastructure and services to slums (roads, drainage, water, sewerage, street lighting...)	

TABLE 4.1: EXAMPLES OF BASELINE INFORMATION FOR SETTLEMENT PROFILES

Small contractors/developers (formal and informal)	
Locally driven business initiatives (e.g. 'adopt-a-light')	
Companies and organisations providing pro bono services (multinational consultancy firms, service clubs like Rotary...)	
Academia	
Public utility providers (national/municipal)	
EXISTING PROGRAMMES AND PROJECTS (FOR EACH PROJECT. ON-GOING AND COMPLETED IF EXPERIENCE IS STILL RELEVANT)	
1. Project name	
2. Main objectives, activities, slum upgrading methodologies	
3. Location	
4. Number of slum dwellers involved	
5. Budget	
6. Main results	
7. Other relevant information	

TABLE 4.2: DATA COLLECTION METHODS

METHOD	BRIEF DESCRIPTION	USE IN CWSU
Mapping	Drawing of simple maps as well as cartographic maps, including ortho photos, satellite images and aerial photography to unveil the settlement profile, layout configuration, accessibility and indicate places and items of importance to residents.	- Defining road and street planning. - Identifying landmarks and structures. - Locating community services. - Identifying and marking key infrastructure networks. - Location and linkages with nearby areas.
Enumeration	In-situ counting and mapping of all structures, housing units, business units and identifying their occupants and/or owners, to determine who lives where, since when, etc. This can be done in a participatory and inclusive manner.	- Physical location of structures, shacks, housing units in a map. - Identification of individuals and families. - Decisions on eligibility criteria and recognition of rights. - Documentation of residents. - Database of residents, owners, renters, occupants.
Semi-structured interviews	Interviews of key residents and officials in the settlement to gain their opinions and ideas about problem issues or possible innovations	Identifying problem areas and priority issues from officials and community leaders, helping in prioritizing project design.
Focus group discussions	In-depth discussions of specific topic with small groups of similar people (e.g. young adults, elderly, entrepreneurs, community activists, women, religious groups, to mention a few)	Identify specific social demands and creating a backstopping group that can become vital players in the post-upgrading phase.
Diagramming & Posters	Stakeholders' analysis showing relationships between individuals, groups and organizations and their specific roles and responsibilities through line drawings.	Establishing co-relations between particular groups, organizations and individuals and thematic areas important for CWSU such as land tenure, mobilization of savings and self-financing means; development control, access to water, service provision, communication, etc.

Contd...

TABLE 4.2: DATA COLLECTION METHODS....CONTD

METHOD	BRIEF DESCRIPTION	USE IN CWSU
Household & Business Surveys	Gather key information, usually from individuals and businesses located in the settlement, often using a questionnaire and on-site visits and face-to-face interviews.	Getting a more realistic overview of people's social, economic and cultural backgrounds; - Getting first-hand information on income, family composition, security of tenure documentation, number of women, men, boys and girls per household, tenure status, etc. - Calculating population density and businesses profiles; - Obtaining data on tariffs and prices paid by residents to access basic services and infrastructure; - Identifying ability and willingness to pay for slum upgrading costs;
Timelines	The drawing of key events in a community's history along a line representing time.	Identifying which events have had the most negative and positive effects and working to overcome their legacy or build upon it.
Models & Maquettes	Models are made to indicate participants' preferences	House design
Ranking	Residents drawing up of lists showing order of importance, size, wealth, etc.	- Determining affordability by different groups. - Prioritisation of needs.

Communities can participate in the collection of data for project planning and several of the studies listed above can be carried out with their involvement. All the methods described in Table 4.2 are possible for a variety of community members to use, usually with the support of trained facilitators. They can be compared with participatory enumerations which are a series of participatory techniques designed and/or implemented by the people being surveyed including several of those listed in the figure (UN-HABITAT, 2010).

Community data collection is not a cheap, second best method. It has advantages over conventional and more formal techniques such as:

- greater acceptability of interviewers by those being interviewed;
- if residents do the data collection they will provide a more complete understanding of the local situation;

- some data is more accurate such as in the identification of the neediest groups;
- participation can lead to buy-in; and
- data collected may be considered more legitimate by residents.

The negative implications of community data collections should also be considered. There is a possibility that interviews, focus groups, or surveys that are carried out by community members rather than researchers from outside the community could find different answers, particularly to sensitive questions. When dealing with members of their own communities, respondents may be embarrassed, nervous, or unwilling to give truthful answers to some questions.

TIP

When collecting data that deals with details of the community and community members, both the positive and negative implications of the data collections method chosen must be considered. All DATA collection methods have particular viewpoints and bias. If possible, complementary methods should be chosen, in order to attempt to get different perspectives on the community.

4.4. PLANNING AND DESIGN

Establishing the settlement master plan and strategic plan: the area-based plan

A spatial plan is the departure point for planning and design. Regardless whether upgrading will be incremental (sectoral, staged improvements) or comprehensive, a spatial master plan is needed to guide and coordinate upgrading interventions. It is crucial that the master plan does two things:

1. Reflects the specificities identified in the settlement profile –one size does not fit all.
2. Considers a range of scales – from the larger city scale (where the slum is integrated with the surrounding urban fabric) to the smaller household scale (where the needs, priorities and affordability for households are incorporated).

It is important that the area-based plan is developed in conjunction with a strategic planning document. It should not be a purely design-led plan to 'beautify' the area. The strategic document should outline a vision and plan of how to improve the socio-economic conditions of residents. While it will have a strong spatial/design component, it should also outline, in words and diagrams, the strategy for moving from the current situation to an improved living environment for residents that also contributes to the city.

The strategic plan should outline in more detail the considerations regarding eligibility, financing, the type

of upgrading, etc. that were established already at the programme level. These should be reviewed to ensure congruence with the settlement profile findings and emerging master plan:

- Eligibility criteria for project benefits: who will be able to access benefits (e.g. housing credits may only be aimed at those with plot titles or organizational support grants only to those CBOs which are in some way able to prove they are representative). These criteria will adapt those designed at programme level to fit local circumstances.
- Upgrading type and phasing: what are the project components and what level of improvements will be made (e.g. shared standpipes or metered individual water connections, pit latrines or flush toilets).
- Financing: how will costs be met and who will meet them? What are the financing opportunities and constraints at settlement level? What is the affordability of improvements for households based on the detailed settlement profile data?
- Project norms and standards for construction materials and service provision. To what extent can existing norms, standards and by-laws be adapted? Communities differ in standards which they consider acceptable. What is perfectly adequate in one may be seen as too low status in another (e.g. stabilised soil blocks) (See Figure 4.2).



Figure 4.2: Acceptability of building materials. Stabilised soil blocks were acceptable to residents in this upgrading project in La Paz, Bolivia where the technology is well known (left). But in Lima, Peru (right) residents were trained in the use of the seismic resistant stabilized block, based on a known technology, but rejected it as being too 'rural' and low status. They wanted burnt bricks (seen in background) to demonstrate the social progress they had made. Photo: © UN-Habitat/Reinhard Skinner

There are more businesses willing to participate in upgrading at project levels than may be realized. Approach high profile companies and the Chambers of Commerce or Construction. You will find that some of them are willing to support CWSU but do not know how. Show them.

TIP



Figure 4.3: Inappropriate Design Standards. A large car park in Rangsit sites and services scheme Bangkok, Thailand, stands empty as few of the residents can afford a car (left). In the same project roads were laid out which were unused and were converted into social areas or where informal production activities could be carried out better than in their houses as here in the case of these two women (right). Photo: © UN-Habitat/Reinhard Skinner



Figure 4.4: Accounting transparency. Lists of residents who have paid upgrading contributions in Yaoundé (left) and how the community committee has used community improvement funds posted on the public fire extinguisher cabinet in Trawk Ton Mamuang, Bangkok, Thailand (right). Photo: © UN-Habitat/Reinhard Skinner

- Partnerships to carry out the different components of the plan. Which new potential partners were identified in the settlement profile?

should probably be published more formally than the two examples in Figure 4.4 but they show that simple methods can be used.

Planning for implementation

From the spatial master plan and strategic plan, the type and phasing of proposed interventions should be clear. The next step is to detail how it can be implemented. The following are considerations at this point:

- **Identify potential pilot projects** to test proposed interventions (and document and disseminate lessons learned and adapt plans as appropriate). New construction technologies and collective work will often present some unforeseen difficulties which piloting will allow to be resolved before they are applied on a large scale.
- **Prepare detailed design, cost estimates and implementation schedule** for all project components. Clearly what is to be done, how and when will need to be made explicit when the steps listed above have been completed. A precise and transparent budget needs to be drawn up and published so that residents can hold the programme coordinators to account. These
- **Adapt general procedures for tendering, contracting and building** which were developed at programme level to suit project level conditions and opportunities. Preferential tendering for community contractors is against many procurement rules. The rules should be modified or exceptions made in order to further the objectives of upgrading. Community contracting creates employment and establishes the basis for maintenance of upgraded services by the community later (Fransen and Goldie Scott, 2000).
- **Negotiate and prepare for resettlement** (if any). Resettlement of households is often required in slum upgrading to reduce densities and make way for new roads, public spaces, infrastructure, etc. However, it should only be proposed as a last resort when it is inevitable because if not done correctly it can have serious negative impacts on relocated households. Resettlement should also be voluntary so that those for whom have found it impossible to find a new plot on site will find the move



Figure 4.5: Self-Help Builders Need Technical Assistance. Roof on a House Laid by Building Group, La Paz, Bolivia.

Photo: © UN-Habitat/Reinhard Skinner



Figure 4.6: Participatory planning in an NGO coordinated upgrading project in Yaoundé. Photo: © UN-Habitat/Reinhard Skinner



Figure 4.7: Needs identification and prioritisation in Soyapango, San Salvador. Photo: © UN-Habitat/Reinhard Skinner

acceptable and do not feel forced. This means a site must be identified which is not considered too far from (existing) sources of employment or social networks. Questions of appropriate compensation also need to be addressed. Magalhães & di Villarosa (2012: 16) describe the case of the Prosamim upgrading programme in Manaus, Brazil, where new homes were offered free of charge to those whose houses were demolished in the upgraded settlement.

- **Identify the model to be adopted for the provision of socio-technical support** Residents and their organizations will need support, such as training and advice, in the areas of administration and on technical matters (e.g. the supervision of works or self-help house construction). This will usually require the inputs of social scientists, architects, engineers and planners. These services have been successfully provided in projects

worldwide by the municipality itself, NGOs, the private sector, utility companies and so on. When identifying the right one for the project one needs to consider whether the organization has the resources and capacity needed as well as sharing the vision of the CWSU programme and the project in particular.

- **Plan for project sustainability** This question is dealt with in detail in Chapter Five. However, the key issues are: who will be responsible for sustaining what, how to create ownership so that the slum dwellers involved want to participate in sustaining the project benefits, what capacity needs to be developed to carry out the activities required and how it will be paid for (the financing framework).

4.5. IMPLEMENTATION

After the planning has been carried out the implementation can get underway. The processes will differ substantially depending on the type of intervention implemented. However, the following are the key ones which are likely to be relevant to all intervention types:

Settlement layout and reblocking

Within the settlement boundaries which will have been drawn by this stage, we need to draw plot boundaries. We can then draw a map on which every house appears. This will allow the planning of roads and infrastructure related to road location (water, sewerage and storm water drainage).

Check what the local development plans have to say about upgrading. They probably include something and will have gone through a (participatory) planning process. This will tell us what local priorities are and will save a lot of time.

TIP



Figure 4.8: Public spaces developed by residents at multi-block (residential group) level (left) and settlement level (right), Villa El Salvador, Lima. © UN-Habitat/Reinhard Skinner

Plot ownership will be important to identify as it will determine the need to provide security of tenure and whether or not other project components are applicable such as credits for house improvement which will require ownership in some programmes but not in others.

Settlement layouts will include public as well as private spaces. Their location should be discussed with

residents during the planning and design phase as they are the ones who will be affected, will probably be responsible for their development and may be expected to maintain them. In most cases public spaces will be based on existing arrangements and their development involves residents deciding what to use public spaces for (see Figure 4.8).

BOX 4.2: GENDER SENSITIVE TOILETS

Service needs of women and girls are frequently different from those of men and boys but service design often ignores this. The Indian NGO, JAGORI, and Women in Cities International, have analysed how this can lead to violence against women and girls. From their experience in Delhi slums they suggest that the following questions be asked to identify how far public toilets and bathing areas present dangers to girls and women. It is easy to see that these questions can also be used as important design criteria for gender-sensitive toilets.

Is an attendant present?

If so, is it a woman or a man? Is s/he present all the time or only at certain times? Does the attendant's presence make female users feel more or less safe? Why?

Is there any evidence of harassment?

Do females users feel they are being stared at, having comments made about them, subject to actual physical contact/touch, being stalked, etc.?)

Is the toilet area well lit?

Is there a power supply? Is the lighting good, dim or absent?

Women in Delhi reported that men entered women's toilet blocks during power failures.

Is the toilet area easily accessible?

Often toilets are too far from the house, or the paths to them too poorly lit, so that women and girls dare not use them after dark.

Is the area outside the toilet well maintained?

Are any steps or the area at the entrance to the toilets in good condition? Or are they broken or damaged? Will older or pregnant women or women with disabilities find it difficult to use this area? Is there adequate space for standing in queues (to avoid crushing and unwanted physical contact)?

Are the toilets and bathing spaces well maintained?

Are the latches on the doors working or are they broken? What is the condition of the doors? Can they be locked? Or are they broken? Are parts of the door damaged, affecting the privacy of the users?

Do women have privacy while using the toilets? Do men or boys manage to gain access to women's toilets?

Can men or boys enter the women's section? Do they peep through gaps?

Are there more toilets for men than for women?

Have specific needs of women been taken into account?

For example, is there a provision for bins for menstrual waste in the women's toilet areas?

Adapted from Mehrotra, S.T., Khosla, P., K. Travers et al., (2010: 23, 42-43).



Figure 4.9: Self-Build. Residents transform reed matting houses into solid but still evolving structures within five years. Villa El Salvador, Lima.
© UN-Habitat/Reinhard Skinner

The settlement profiling will have identified those areas where upgrading cannot be implemented for reasons of vulnerability to hazards or environmental considerations. This means some plots will have to be reduced in size and structures on them partly or totally demolished as may be the case when planning the routing of roads. This is a process called reblocking. It cannot be stated too frequently that demolitions should only be done with the consent of those affected. Consent is easier to obtain if those affected participate in the decision making process and are adequately compensated. Social pressure can be powerful when individual interests are confronted by those of the community. This can also be used to convince those living in dangerous locations, or on land designated for collective use, that resettlement is their best option. It is important during implementation that residents know which areas are designated as environmentally risky, 'no-build' areas so they can help prevent newcomers settling there.

Housing design and construction

Residents themselves should largely manage housing improvements. In some cases they will do the building themselves but in most they will hire others. Those who are relocated to sites and services schemes will benefit from advice on progressive housing development options. Where possible these should be varied to allow for the different investment possibilities and household characteristics involved. Preferably there should be personalised advice, as was given in the Supervised Credits Programme in Peru in the 1980s and 1990s.

In the same way, advice should be available on regulations and standards, materials options and construction skills. Many self-builders will not be able to master the more complicated parts of the house, such as the foundations and roof, and should be assisted. This sometimes applies to professional builders too. This assistance can be provided through the Socio-Technical Support Unit discussed in Chapter Three.

Infrastructure and services installation

Levels of infrastructure provision should be based on community priorities and affordability. This may involve an element of progressive development such as starting with levelled roads which are later gravelled or asphalted with pavements added alongside. Water, for example, may start as a shared service with domestic connections following. The same principle can be applied to sanitation and solid waste disposal. When designing infrastructure and services a gender sensitive approach should be taken in order to ensure the needs of women as well as men are taken into account; Box 4.2 gives an example of how a gender sensitive approach would influence design significantly.

Health and education services will be upgraded either by the addition of facilities or the upgrading of existing facilities. Communities may be able to help with some of the unskilled staff, cleaning and maintenance.

4.6. OPENING AND CLOSING PROJECTS AND PROGRAMMES

Attention should be paid during the planning to their opening and closure of the programme and individual projects as they serve important purposes.

Project opening

The start of a project underlines a commitment on the part of the implementing agencies and partners; all the discussions held and agreements made are now about to be put into practice. For those championing the cause of CWSU this is a moment to celebrate, rally the enthusiasm of participants and publicise the launch to a wide audience. For elected officials, of course, it is also a very political moment. Some simple guidelines can be used to prepare the launching ceremony:

1. **The location:** for a project a central community meeting place can be used. Community members will have the experience to help with logistics to ensure that such aspects as seating and public address systems are in place and working. If the launch concerns the programme as a whole, the location should be acceptable to all settlements. In a few cases it will be possible to use a place which is symbolic of the improvement of conditions of the poor (e.g. a public square commemorating a popular leader). But in most cases a well-known, public location will be chosen. If the programme is to start in a particular settlement before extending to others, it could provide the location.
2. **The launch team:** in addition to the PMU, the Mayor, key local administration officials and community leaders should be invited. If it is the programme launch all partners and communities should be represented in the launch team. This will demonstrate that the programme or project has the backing of the Municipality and of the slum dwellers involved.
3. **The audience:** all those who will be affected by the programme should be invited. For a project all residents should be invited. The same can be done for a programme but at least the community representatives and key personalities, such as local champions and heads of the main CBOs, should be present. This is a moment in which momentum can be built so local media should also be invited to provide maximum publicity.
4. **The content:** although the project or programme will be largely known to most of the audience and other slum dwellers, the launch is a good opportunity to reiterate and clarify its objectives, activities, deliverables and benefits as well as (again) presenting the main actors involved. A timeline should be given together with the

milestones for the completion of major stages of the project/programme. At the end of the meeting a short period can be reserved for questions and answers, though care should be taken that this does not become a discussion and detract from the overall impact of the launch.

5. **Further information:** a launch deals with the bigger picture of the CWSU and its component projects; it cannot go into details. These will need to be provided in follow-up meetings in the participating settlements and through additional written, verbal or online information. At the launch it should be explained where additional information can be found as well as information about progress as the programme/project advances. Nevertheless, staff should be on hand at the launch to deal specifically with questions when the meeting has closed.

The event should be documented as part of the history of the project or programme.

Project closure

Project closure marks the end of a programme or project or of a phase in a multi-phase programme. Formally, it comprises two areas: (i) administrative (mainly ensuring all documents have been properly archived and ready for transfer to future users, closing and auditing accounts and transferring assets) and (ii) contract closure (settling and documenting all outstanding contracts). In the same way as for the project or programme launch, closure is more than procedural and offers opportunities as explained below (United States, 2009 and 2007; UNDP & Govt. of Indonesia, 2009).

1. **Post-programme evaluation:** the CWSU programme should be evaluated partly for accountability reasons (to ensure everything that was promised has been carried out and delivered) and in order to draw out lessons which can be applied to future phases of the programme or programmes in other cities. Knowledge gained in this way should be documented and transmitted to actors who can then use it in their work or further disseminate it to others, such as other local governments, NGOs and national and international organizations.
2. **Transfer of assets:** the programme and individual projects will have procured assets (such as offices, equipment, machinery and vehicles) and produced outputs which have become assets (such as training workshops, physical infrastructure and community centres). Ownership of these assets needs to be formally transferred when the programme comes to an end. Here care should be taken that transfer is made to actors who can

maintain and sustain the assets for the use of the slum residents for whom they are intended.³²

3. **Transfer of roles and responsibilities:** when the programme has ended, other organizations and actors need to take over activities to guarantee their sustainability. Major construction may have come to an end but it needs to be maintained; similarly, services (such as health care, building advice and provision of micro-business credits) need to be continued. Agreements need to be drawn up which define who will assume these responsibilities in future.

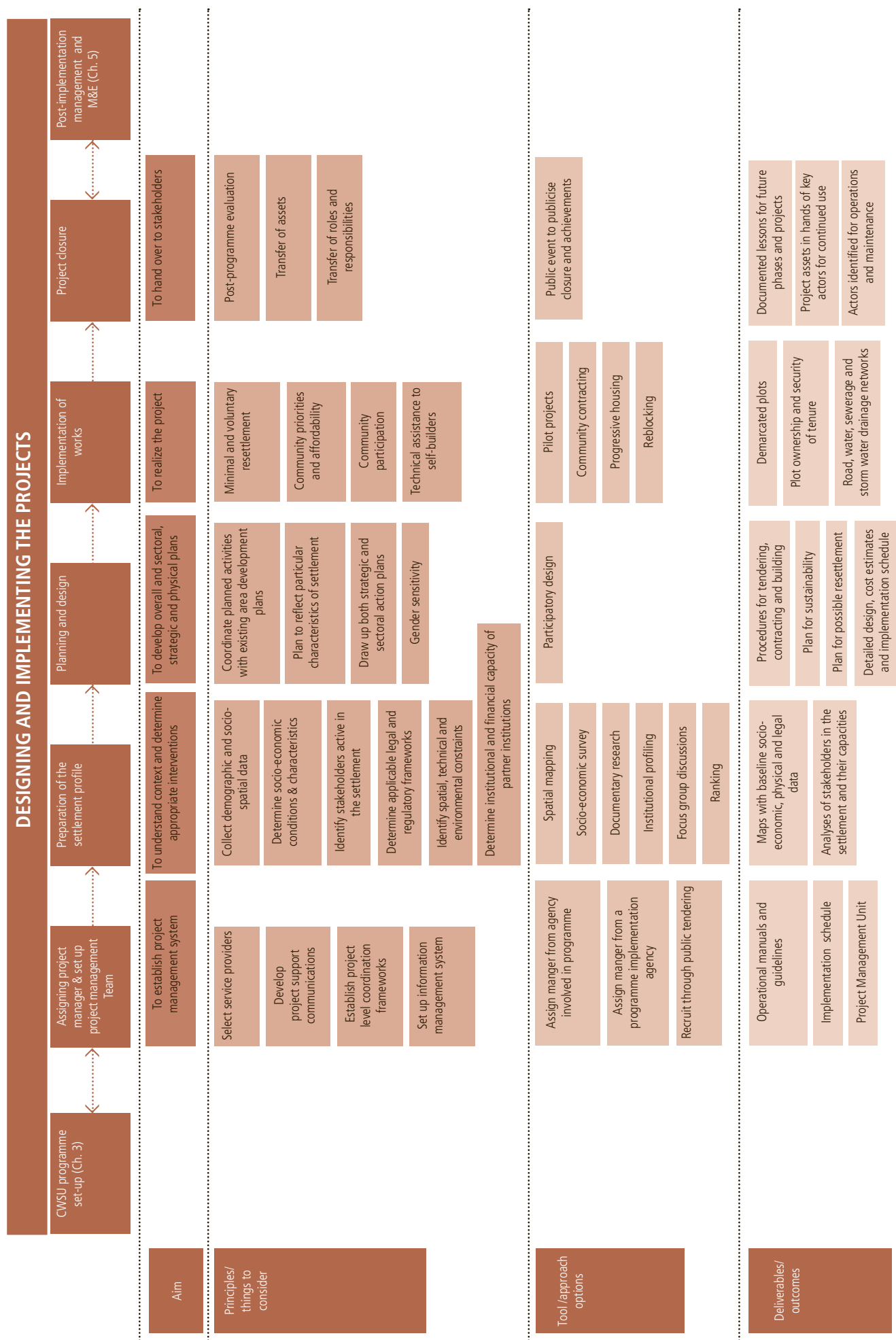
Some of these activities warrant public exposure. For example, the transfer of assets and of roles and responsibilities can be made at a public event to mark the programme's closure and to publicise it for the last time. This will publicly identify those responsible for sustainability. The same event can be used to

recognise and celebrate outstanding work and the inputs made and support given by various participants and supporters. In the case of projects, events can be held in each settlement with the same purpose.

Other public events can be held with the purpose of knowledge transfer. Programmes should always be documented for future reference and may produce publications and audio-visual materials which explain their methodology and achievements for the benefit of future practitioners.³³ These publications may be launched publicly. They may also be used in future to further promote the CWSU approach both nationally and internationally.

A programme's benefits do not end with its closure but will continue if there has been adequate planning for sustainability. This is the subject of the next chapter.

SOME THINGS THAT CAN GO WRONG	POSSIBLE CAUSES
Project benefits miss slum residents who are most in need (e.g. older men and women, people with disabilities).	Participatory processes establishing needs and priorities did not adequately include vulnerable residents who are often 'unseen' and whose voices are unheard unless they are sought out. Using a standardized plan for all settlements rather than adapting plans to individual settlement needs.
Groups of residents complain about the project not delivering what it promised while project staff explain that this was never in the plan.	Project objectives were not SMART and there was confusion about precisely what was supposed to be done, how much, where and when. Project objectives were inadequately communicated to residents.
CWSU project upgraded roads are damaged by city refuse disposal lorries.	CWSU has not been coordinated with local area development plans and collection vehicles matched to road quality.







5

POST-IMPLEMENTATION
MANAGEMENT
AND MONITORING AND
EVALUATION

CHAPTER SUMMARY

In this chapter we will show how to make the benefits of upgrading programmes and projects sustainable. To do this we will need to understand the way the different upgrading components interact and depend on each other and how neglecting or sustaining one will have a corresponding impact on the others.

What factors make it easier to achieve sustainability and which tend to undermine it? We look at these questions as well as showing how the way we design upgrading activities will influence their sustainability.

Throughout the implementation process it is important to measure progress: are we on track to achieve what we set out to achieve when we started the process with our partners? At the end we will also need to hold ourselves accountable to all stakeholders for whether or not the upgrading delivered what it promised. In the second part of the chapter we explain how to keep track of progress and measure success.

We look at the project and programme's monitoring and evaluation (M&E) system and explain how it should be designed and discuss the different options that are available to collect information.

In our discussions of both sustainability and M&E we will see the value and importance of community participation.

5.1. POST-IMPLEMENTATION MANAGEMENT FOR SUSTAINABILITY

5.1.1. THE SUSTAINABILITY OF PRODUCTS AND PROCESS

Citywide slum upgrading is an enormous investment of human, financial and organizational resources which brings a corresponding return in social, economic and physical terms. It is essential to protect that investment and the benefits it has brought about. For this reason sustainability has to be part of the programme.

Imparato & Ruster (2003, 42-43) define sustainability as follows:

A programme or project is sustainable when it generates a permanent improvement in the quality of life of the people involved. A sustainable project is one that permanently augments a community's resources and hence its social initiative and social capital-and thus reduces its vulnerability.

Sustainability is not automatic: many projects have produced benefits which later fall into disrepair or fail to produce lasting benefits.

CWSU produces better living environments not only because roads, water and sanitation and shelter have been improved or because street lighting, health services and small enterprises exist where before they were lacking. It also delivers the processes which make these benefits possible. It improves local government efficiency, responsiveness to constituents and revenue generation; it establishes partnership between stakeholders to plan and implement and it strengthens existing capacities in the organizations of the urban

poor which make them able to effectively analyse problems, plan for their future and produce solutions. Sustainability therefore is about safeguarding the products and processes of CWSU.

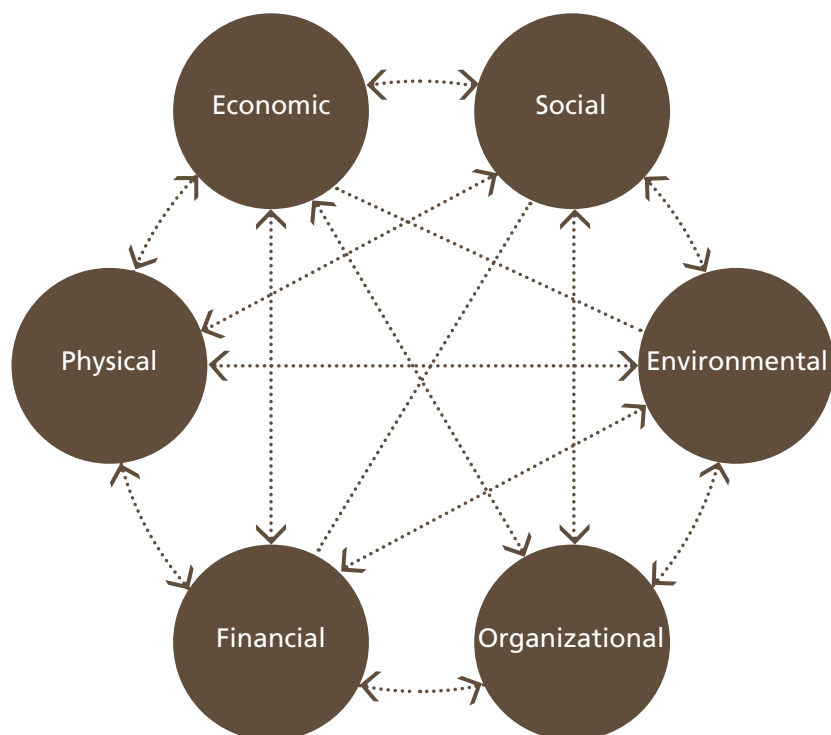
5.1.2. UNDERSTANDING THE CONNECTIONS BETWEEN PROJECT AND PROGRAMME COMPONENTS

Upgrading programmes have various components which require sustenance:

- physical (e.g. infrastructure);
- environmental (e.g. solid waste, public spaces);
- social (e.g. child care, health);
- economic (e.g. micro-enterprise promotion);
- financial (e.g. cost recovery); and
- organisational (e.g. administration, coordination).

One of the reasons CWSU has such an impact is that these components are not simply improvements in their own right but reinforce each other. For example, improved water and sanitation are desirable improvements to shelter but also have an impact on family and community health and productivity; micro-enterprise development increases family incomes but also stimulates the local economy and local government tax revenues; the improvement of child care facilities produces a healthier, safer and more educational environment for young children but it also frees mothers to go to work, reduces their stress and may even contribute to a reduction in family breakdown and juvenile delinquency.

FIGURE 5.1: THE INTERCONNECTED NATURE OF SUSTAINABILITY IN UPGRADING



Logically, if the benefits of upgrading are interconnected so is their sustainability. Neglecting one component will also have a detrimental impact on others. Broken standpipes will no longer contribute to better family health and may create new hazards such as pools of stagnant water which become breeding grounds for vectors of disease. A closed day care facility may also close the route to work for women or may lead to permanent harm to children. Thus the failure to sustain benefits will have a multiplier effect. Fortunately, so, by the same argument, will providing sustainability. Figure 5.1 depicts the interconnected nature of sustainability.

5.1.3. FACTORS WHICH ENHANCE AND UNDERMINE SUSTAINABILITY

One of the most visible forms of poor sustainability is bad maintenance. The deterioration of footpaths and roads, water collection points, street lighting and communal toilets often make it difficult to believe that a settlement was ever upgraded. In these cases the problem is either due to lack of resources or no actor assuming responsibility. In either case it demonstrates a failure in planning: resources should have been budgeted and responsibility assigned to an actor



Figure 5.2: Protection of Assets. Boy (Left) showing a broken tap in a settlement in Colombo, Sri Lanka, as part of the Million Houses (upgrading) Programme. Clear responsibilities for maintenance were lacking. Photo: © UN-Habitat/Reinhard Skinner



Agreeing that keys for common facilities will be provided to a responsible community representative is one way of protecting new assets as here in Windhoek, Namibia.

Photo: © UN-Habitat/Reinhard Skinner



Figure 5.3: Defining Responsibilities for Maintenance and Control. Community toilets in India (left) maintained by no one. Lights left on all day (right) are unreported because residents do not feel it is their responsibility. Photo: © UN-Habitat/Reinhard Skinner

(see next section). Figures 5.2 and 5.3 show some examples of a breakdown in maintenance.

Residents sometimes complain that local government departments fail to maintain new services and local government may complain that residents do not take care of the improvement they have installed. In fact either of them could usually assume responsibility but no agreement was ever reached as to who it would be. Each party assumed it would be the other.

Another common cause is poor coordination between stakeholders: the service provision agency often has no responsibility for maintenance and does not coordinate with the agency that does. As a result the latter will not have reserved funds to carry out the work, will feel slighted for not having been involved and therefore less disposed to cooperate.³⁶

All these examples point to a need for coordination between actors at the planning stage and a clear definition of roles and responsibilities, agreed to by the parties concerned.

In many countries a change in local or central government administration can mean abrupt policy change. In the case of the CWSU, one would hope that commitment remains but this will of course not always be the case. When political will comes to an end recurrent funding for sustainability may be reduced or withdrawn. This is a risk that should be taken into account during programme planning and contingency measures put in place.

This is not only an issue about maintenance but any improvements and upgrading processes which are sensitive to the availability of external financing. This can include a wide range of recurrent costs such as operating a land titling office, administering credit programmes or the operation of citizens' advice offices.

The planning process should include alternatives which either come into operation if resource constraints require them (e.g. a marginal increase

in the cost of credit or energy tariffs) or are built into the programme from the start. The latter will consist of alternatives which are relatively insensitive to changes in external funding. For example, establishing a community based solid waste disposal system, removing all subsidies and making services self-financing and entering into contracts between beneficiary and provider which bypass government (e.g. with NGOs for capacity building, which may be partly subsidised or private contractors for street repairs – on a full cost basis).

Another approach might be the creation of new alliances with public and private sector agencies which, if successful, would provide upgraded communities with a broader base of collaboration and thereby reduce its exposure to changes in state policy.

This said, it is a difficult issue; preparing a programme for the worst possible outcome will probably lead it to forego financial support which is available from the present administration because it is trying to avoid dependence on it. It also invariably leads to increased costs being imposed on poor communities who will have limits to what costs they can bear.

5.1.4. COMMUNITY ROLES IN SUSTAINABILITY

Residents sometimes refer to improvements in terms of "theirs" rather than "ours" when it comes to maintenance problems; the improvements are seen as belonging to the provider and so is the responsibility for upkeep. In these cases there has invariably been a failure to involve the community sufficiently in planning. Where they have not participated in planning and decision making about the nature of the upgrading they will be less likely to assume ownership and be willing to maintain it.

Another cause of poor maintenance by the community can be lack of tenure. If the issue of security of tenure or property titles was not adequately resolved during the upgrading process residents may not feel

ownership of improvements which are, after all, improvements of somebody else's property.

The tenure problem can also result in residents failing to pay service charges. This may also result from weak cost recovery mechanisms where the charging authority fails to enforce payment. One result of this is a shortfall in funds available to the authority for maintenance.

Residents may also stop paying because they assume that improvements are free or they cannot afford to pay. If residents think they do not have to pay for improvements something has gone wrong with the communications strategy during the programme design stage. Whether residents can afford to pay or not should have been determined by the project feasibility studies.



Figure 5.4: Community Maintenance of Public Spaces, Trawk Ton Mamuang Bangkok. Photo: © UN-Habitat/Reinhard Skinner

What is just as likely is that residents stop paying because the services do not meet their expectations. To avoid this, the communications component of the programme needs to be very clear about service delivery standards, having discussed appropriate levels with the slum dwellers who will later be expected to pay for them. The quality of the delivery itself will require careful monitoring in order to detect shortcomings before they become critical. The ways in which this can be done are explained in the next section of this chapter

However, residents are in principle those with the greatest potential interest in maintaining improvements to their communities and, if the improvements reflect their own priorities, they often deliver substantial inputs into the process of sustaining the benefits of upgrading. Figure 5.4 shows an example of community maintenance of a playground for children in an upgraded community in Thailand.

Another important area in which communities can contribute to sustainability is in the enforcement of rules and regulations such as those regarding respect for public spaces and encroachment into them by private individuals. In Villa El Salvador, Lima, Peru there have been several invasions of unoccupied land since the early 2000s. However, these have invariably been upon state owned land rather than community property. Figure 5.5 shows an invasion on the periphery of the settlement heading towards state owned beaches. According to sources in Villa El Salvador the invaders avoid parks and other public spaces since these are respected and enforced as the community's.



Figure 5.5 (left): New invasions in the formalized 40 year-old settlement of Villa El Salvador. Photo: © Reinhard Skinner

Figure 5.6 (right): Once this refuse heap has been cleared who will ensure it does not reappear? Prospective upgrading site, Yaoundé, Cameroon. Photo: © Reinhard Skinner

TIP

Getting the community involved in maintenance activities is a win-win. In addition to the project benefits being maintained there are income and employment opportunities. Identify where the community could establish an enterprise for project maintenance (e.g. solid waste disposal, water supply, road repairs).

BOX 5.1: HOW DESIGN AFFECTS COMMUNITY MAINTENANCE IN INFRASTRUCTURE: THE CASE OF HYDERABAD, INDIA

The choice of technology for infrastructure influences both the complexity of the maintenance tasks and the extent to which maintenance can be carried out by an individual household or groups of households within the community.

The way in which people can contribute is particularly dependent upon the balance between unskilled and skilled labour. Ideally the skilled labour component for maintenance tasks should involve workers such as masons, whose skills might be available from within the community, or be readily available in the local "marketplace". Tasks requiring specialist skills and equipment cannot be realistically undertaken by the community.

This was ignored In the case of Hyderabad's Slum Improvement Programme in the 1980s. For example, there was a tendency to specify bitumen-surfaced or concrete roads wherever possible and to use water-borne sewerage systems as the means of sanitation.

More extensive use of stone slab flooring as a paving material and of pour flush pit latrines for sanitation would have been less expensive and would have increased the scope for community participation in maintenance.

Sanitation in certain isolated slums was achieved by new sewerage systems which discharged into a septic tank on the site because there were no city trunk sewers nearby. This was complicated to maintain, was vastly more expensive than using household pour flush latrines and the effluent from the septic tank posed a serious public health hazard.

Source: Cotton and Skinner, (1990).

5.1.5. DESIGN FOR SUSTAINABILITY

In the same way as with planning, care should be taken when designing the upgrading programme and its projects to facilitate sustainability. This should be based on the agreements reached at the planning stage on the roles of different actors in sustaining project benefits. Box 5.1 describes an example of design being unsuited to community participation in maintenance.

5.1.6. TRAINING FOR SUSTAINABILITY

The actors who have agreed to take on sustainability roles will often require some form of capacity



Figure 5.7: Lightweight drainage covers in Bangkok.

Photo: © Reinhard Skinner

development. Communities who take on services like solid waste disposal or management of funding will need to learn how to run such operations. The Luanda Urban Poverty Programme, Angola, contained a capacity building component to train communities to provide, manage and maintain basic services for the poor. The community's management committees were trained in the maintenance of standpipes, in basic management, conflict-resolution, and bookkeeping skills.

Local governments who are new to working in participatory projects will need to acquire the appropriate skills. The Nova Baixada programme in Rio de Janeiro, Brazil, for example, included an institution-building component for the municipalities, with special emphasis on, amongst others, the organization of refuse collection services. Training was also provided for community based health agents, street cleaners and community leaders. Here maintenance was a joint responsibility.

5.2. PROGRAMME MONITORING AND EVALUATION (M&E)**5.2.1. DEFINITIONS**

Monitoring is defined by Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development (OECD) as:

A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.

Evaluation is: The systematic and objective assessment of an ongoing or completed project, programme or policy, its design, implementation and results.

(Emphasis added in both cases)

Source: <http://www.oecd.org/dataoecd/29/21/2754804.pdf>

In brief, monitoring is an ongoing activity throughout the life of a programme or project while evaluation takes place at specific points. For this reason monitoring tends to focus on activities, results (outputs) and spending and evaluation on the 'bigger picture' questions of objectives, project purpose, effectiveness, (cost) efficiency, relevance and sustainability.

5.2.2. THE PURPOSE OF M&E

The four reasons for carrying out monitoring and evaluation are:

Accountability

Programmes and projects are set up to deliver an agreed set of benefits and need to show that they are doing and have done so. M&E helps make them accountable to the slum residents involved, partners and stakeholders.

Management

Managers need to monitor progress to know if they are on track. If they are not they will find out why and take corrective action.

Decision making

Programme promoters and sponsors will want to know if they are making good social investments and whether they should continue to provide support.

Learning

The lessons learned from projects and programmes will inform the way they are designed in future.

5.2.3. DESIGNING AN M&E SYSTEM

The M&E system will be designed according to the answers to the following questions.

Who does it? The PMU and PMTs must decide if their staff will be responsible for M&E or whether they will

set up a separate unit. There are arguments for and against each. For example, one can argue that an outside evaluator could possibly more successfully and objectively judge the success/failure of the project. On the other hand, when monitoring and evaluation are the responsibility of staff themselves (possible with guidance from a specialist unit), it is easier for staff to learn from and own the results. Both are valid arguments and must be considering when deciding who will undertake the M&E. In addition community residents can provide some very important inputs as is described below in Section 5.2.6.

What data should be collected? As a rule only data for which there is a clear need should be collected. Data collection takes time and costs money so should not be carried out unless there is likely to be a good return. Indicators must be developed for objectives, outputs and activities which will tell if a change has been achieved (for example, "a 10% increase in the use of permanent roofing materials in each year of the project").

Managers should not ask for data which might be useful but only what they know to be useful. Excessive data is costly to process and may obscure the analysis of what is happening.

What data collection methods and sources are appropriate? The first choice to make is between qualitative and quantitative data. If the information sought is purely factual quantitative data collection methods are needed (e.g. counting the number of residents through a census survey). If an understanding why things are as they are is of more interest quantitative methods will be of little use and qualitative techniques should be used (for example, focus group discussions on the subject of why available house improvement credits are not being subscribed to). In practice a mixture of quantitative and qualitative techniques is usually appropriate.

Wherever possible, existing data (secondary sources) should be used. This is often to be found in routine reports and documents. For example, local government departments are required to report on expenditures which can provide information to the M&E system on investments in infrastructure, social services and so on. Similarly, data on numbers of service users can be

TIP

Communities want to know that upgrading is really having the desired effect. Community members have easier access to information and to frank answers than the project staff does. Take advantage of this and ask them to measure the project's effectiveness. Train them to do this if necessary. This will have a great impact on community ownership and probably produce better data.

useful if one is interested in changes in the uptake of an improved service. Building materials suppliers will keep their own records of sales of different types of material. However, when secondary data is unavailable the project and programme will have to collect their own primary data.

Frequency and timing of data collection: collect data when it is useful to do so. If annual changes in house construction or enrolment on vocational training courses are important there is no value to collecting the data monthly. Similarly, data on electricity consumption is probably useful if it is collected daily or more frequently. Fortunately this is the type of information which is automatically collected by the service provider.

It is most important that data must be collected at the very start of the programme (the baseline data) with which subsequent data can be compared. Without baseline data it is difficult to assess accurately the changes the project or programme brings.

The second consideration is to collect data when the data sources are available. Sources are not only documentary but also human. Male heads of household are often available for interview or discussion at different times to their wives. Observations of how often public spaces are used will give different answers depending on the time of day and the day of week. Participation in self-help construction and community meetings is usually greatest on rest days.

Frequency of reporting: management should draw up a reporting schedule establishing when they need data to be delivered. This should be as infrequently as possible but as often as necessary. Timing should correspond with established review points such as progress meetings with project managers (in the case of the PMU) or social workers (in the case of the PMTs). Reports should be as succinct as possible to allow reviews to be quick and include the minimum of data such as: targets, achievements, reasons for any shortfalls or overruns and actions to be taken (e.g. the provision of additional support or an adjustment in the targets) along with any other data which management decides is important in their specific case.

Evaluation and Sustainability: it is important to consider that the end-of-project evaluation is not the

final evaluation that should be done. Different project impacts take different amounts of time to take effect. Therefore, it is useful to plan for evaluations of the project area up to five years after the completion of the project. This will allow for insight into the sustainability of the project and also allow the project team to learn from any problems that arise in the years after the project is completed, in order to better inform future projects.

5.2.4. DATA COLLECTION METHODS

The following table lists the main data collection methods used in monitoring and evaluating CWSU projects and programmes when primary data is required. Many of these can also be used for data collection in the planning process. Most of the methods can be used for both project and programme so they are not differentiated here. 5.2.5.

5.2.5. DEFINING PROJECT AND PROGRAMME INDICATORS

Indicators are the measures which tell us if we are achieving what we are trying to achieve and are crucial to the whole M&E exercise. For example, the slum upgrading programme may have as a result “enhanced capacity of women’s organizations”. But this is quite vague; how would we recognize it if we saw it? Indicators tell us. They say what precisely has to be demonstrated to be able to affirm that the result has been achieved. The following example will clarify.

Result: to improve the access of residents to clean drinking water

Indicator: 25,000 additional houses with domestic water connections by December 31st 2018 compared with the baseline number at December 31st 2012.

It is important to consider that indicators at the programme (city) level and at the project (neighborhood) level may vary substantially. Programme level indicators will most likely be more quantitative in nature, considering the size of the area over which data will be collected. The programme level will also be interested in levels of connectivity between project locations, which is best considered with quantitative measures. On the project level, on

Baseline data must be collected before the project has begun. It is essential, therefore, that a monitoring and evaluation framework, complete with indicators, is set up before implementation. Failure to do so will mean that it is tricky to collect the correct baseline data and producing a reliable evaluation may become difficult.

TIP

the other hand, the smaller scale of the evaluation provides the opportunity to consider more qualitative questions – such as the impact of the project on the day to day life of residents. Valuable insights can be gained from speaking directly to residents that can offer explanations to questions such as how the project affected them and their family, and why.

5.2.6. CITIZEN PARTICIPATION IN MONITORING AND EVALUATION AT PROJECT AND PROGRAMME LEVELS

As in so many areas of programme and project design and implementation stakeholders (especially the community) can provide valuable inputs to the monitoring and evaluation system. These include:

Defining appropriate indicators of success

Indicators are unambiguous measures of achievement. Since slum dwellers know best how far the upgrading is actually benefiting them, they should be involved in deciding what appropriate measures of success are.

Carrying out the monitoring and evaluation

Residents of upgrading areas want to know that improvements are in fact being delivered, that they are on time, within budget and of the required quality. Residents have a daily view of the process and are best placed to know the impact on their own lives. For this reason it is desirable to involve them in both the monitoring and evaluation of upgrading. This will also lend greater legitimacy to the programme since its quality will have been verified by those most closely affected.

Box 5.2 describes one example of citizen participation in the monitoring of public projects in Colombia. It is a model which is applied in Colombia to all areas of public life including slum upgrading programmes.

5.2.7. M&E AND LEARNING

Monitoring and evaluation are not only concerned with programme management or with measuring programme success. They are also learning tools

TABLE 5.1: SOME PRIMARY DATA COLLECTION METHODS

METHOD	WHEN TO USE	ADVANTAGES	LIMITATIONS
Sample surveys	For data on large populations when numbers are the focus (e.g. socio-economic survey of slum dwellers).	Accurate collection of wide range of quantitative data.	Qualitative data cannot be collected in depth (too many people in time available) unless use great deal of time.
Census survey	When it is important to collect data on every household (for overall city slum profile).	All sections of population are included (none are unintentionally missed).	Very expensive. Time consuming. Cannot be used for any but the simplest qualitative data.
Semi-structured interviews	To obtain opinions and ideas about problem issues or possible innovations from key residents and officials in the settlement who will have special knowledge.	Allows probing to discover underlying reasons for answers which are given.	Semi-open nature means an inexperienced interviewer may be distracted and fail to cover key issues adequately.
Focus group discussions	To obtain opinions of small groups of similar people (e.g. market traders, tenants) about a planned or actual activity.	Fast. Allows discussion of reasons and causes and follow-up of unexpected answers.	Of little use for quantitative data collection.
Observation	When we want to see 'with our own eyes' how events happen and people behave (e.g. participation at public meetings).	Does not rely on (possibly biased) interpretation of respondents.	Observer needs to be able to interpret the observation accurately. Presence of observer may distort normal behaviour of the observed.
Case studies	To see how slum upgrading affects a family or group in the way it normally operates and holistically (e.g. how improved water supply or women's empowerment affects family relations).	Reveals effects on real social units which individual interviews and focus group discussions, etc. cannot.	Much depends on the interpretation of the researcher.
Quasi-experimental design	To compare the effect of slum upgrading with areas where it has not taken place (a comparison of 'with' and 'without' upgrading).	Convincing assessment of the effect upgrading has had.	Great difficulty finding settlements which are sufficiently similar that one which has been upgraded can be accurately compared with another which has not.

which benefit programme and project staff, slum communities and stakeholders. Each project is to a certain extent new and will not simply be able to apply approaches which worked elsewhere. While good practices, such as those presented in Chapter Seven of this guide, are helpful in showing what has been tried and what can work, it is for staff, residents and others involved to construct their own project or programme according to the particular conditions pertaining in their own cities.

In doing so they will need to learn lessons about what works and what does not. Slum upgrading projects and programmes need to establish systems of organizational knowledge by which lessons are learnt, shared and acted upon. This will require the creation within the CWSU programme of 'learning platforms' which can consist of reviews of each major actions by those involved as soon as it has been completed ('after action reviews'), periodic reviews of the process as a whole ('learning reviews') and a data base of experiences ('knowledge asset') which includes documentation of the reviews just mentioned, reports generated by the programme and case

studies from other cities (preferably with a discussion of their relevance to the present city). Other possible components of the knowledge asset are various such as discussion blogs, depending on the connectivity and computer culture in the city concerned. M&E data will feed the learning process. Naturally, this learning must involve and be accessible to all concerned parties.

The learning process will contribute to sustainability as the municipality develops knowledge of how to carry out citywide programmes successfully, communities learn how they can best contribute to improved living environments and other stakeholders come to understand the best ways in which they can play a role in upgrading their cities. In due course this knowledge, if properly documented, will provide the case studies of good practice for other cities who intend to embark upon a citywide slum upgrading process.

SOME THINGS THAT CAN GO WRONG	POSSIBLE CAUSES
Operating funds dry up when the programme has been active for some years.	CWSU was treated as a special programme and not properly integrated with other city development plans so no recurrent operating budget has been provided for by the municipality.
Inadequate funding is available at the completion of the project for a full project evaluation.	Funding for monitoring and evaluation must be set aside during the initial financial planning of the project. Doing so will ensure that even at the end of the project funds remain for a full and useful evaluation.
The parks, new classrooms and medical post which everyone seemed to want are in a state of disrepair.	Roles and responsibilities for maintenance were unclear and everyone expects someone else to carry out repairs.

BOX 5.2: CITIZENS' WATCHDOGS IN COLOMBIA

Citizens' Watchdogs (Veedurías Ciudadanas in Spanish) were created in 1989 as bodies of ordinary citizens who would oversee the award and implementation of public contracts and to report improper activities of public servants to the relevant authorities. These bodies have the right to whatever documentation is necessary for the discharge of their duties and managers of the organizations they are overseeing are obliged by law to cooperate with them.

They have different areas of competence:

- Geographical: vigilance over all activities taking place in their area of residence.
- Specialisation: specific themes of public administration such as health or roads.
- Entity-based: all activities of a particular public body.
- Spontaneous: on whatever matter which arises and which citizens consider to be of importance.

Organizations which are subject to oversight by Citizens' Watchdogs include:

- Local authorities
- Regional governments
- Providers of services to the public sector
- Ministries
- International bodies in Colombia
- Public corporations (and public-private companies)
- Universities
- NGOs

Their functions include:

- Ensuring that planning and decision making processes include community participation as provided for by law.
- Seeing that budgets give priority to meeting basic needs.
- Ensuring transparency in the allocation of public contracts (including those implemented by NGO's with public funds).
- Ensuring the quality of public works.
- Ensuring local development plans are carried out.
- Informing citizens of the results of their activities.
- Making recommendations to public agencies concerned.

They receive state support:

- All state bodies have the constitutional duty to assist in the organisation, promotion and training of citizens so that they can carry out their functions in the CWC's.
- State bodies must receive, look into and act upon complaints that citizens raise through the watchdogs.

Source: author's own notes.

Further information can be obtained from:
www.cej.org.co/vee.htm
www.contraloriagen.gov.co
www.interred.net.co/rednalveedurias.

BOX 5.3: EXAMPLES OF SUCCESSFUL SLUM UPGRADING PROJECTS (BRAZIL)



Parada Lucas, Before
Photo: © UN-HABITAT



Parada Lucas, After
Photo: UN-HABITAT



Vila Ceu, Before
Photo: © UN-HABITAT



Parada Lucas, After
Photo: UN-HABITAT







6

THE DO'S AND DON'TS
OF CITYWIDE SLUM
UPGRADING, SLUM
UPGRADING CHECKLIST &
QUICK GUIDE

6.1. THE DO'S AND DON'TS OF CITYWIDE SLUM UPGRADING

DO	DON'T
Include slums in the city's overall development plans.	Treat slum upgrading as a special issue outside normal city development planning.
Develop strategies to manage new slum formation.	Assume upgrading the slums of today will be the end of slum formation.
Identify stakeholders and partners who can contribute to the upgrading process.	Underestimate the number of stakeholders and potential partners who will be prepared and want to participate.
Invest in existing physical, social and organizational resources in slum settlements.	Invest public resources in massive new social housing schemes.
Combine slum upgrading with employment generation and local economic development.	Consider slum upgrading solely as a physical issue.
Do not let limited funds stop you: adopt an incremental approach to upgrading.	Impose unrealistic standards and regulations.
Invest in social capital to develop cohesion and organizational resources.	Underestimate the importance of poor communities in the design, implementation and maintenance of their neighbourhoods.
Identify the resources slum communities can contribute to upgrading.	Think that just because communities are poor that they have no resources.
Include a sustainability plan as part of the overall programme and institutionalize it.	Assume that upgraded settlements will automatically sustain themselves.
Plan with, not for, the slum communities at all stages of the upgrading process.	Impose upgrading plans on communities or sections of them.
Design improvements according to the specific needs and priorities of settlements.	Assume all slums have the same needs and priorities and that a 'one size fits all' design will work.
Design improvements which are affordable to the population.	Provide unaffordable infrastructure and services.
Provide slum dwellers with security of tenure.	Assume individual land titles are essential for tenure security.
Adapt building codes and by-laws where possible to facilitate residents' participation in construction.	Impose unrealistic standards and regulations.
Encourage initiatives of slum dwellers and recognise the role of women.	Let the traditionally powerful, vocal and visible dominate planning.
Involve tenants and owners in finding solutions that benefit them both.	Discriminate against rental housing or promote a single tenure option.
Design and negotiate relocation plans only when absolutely necessary and with the agreement of those concerned.	Assume relocation is the best alternative for poor people living in bad housing conditions.
Look for a broad range of funding sources and payment mechanisms (public, private, grants, cross-subsidies, etc.).	Rely on governmental subsidies or on full-cost recovery from slum dwellers.
Look for creative financial mechanisms to support the initiatives of CBOs.	Assume the poor can only contribute labour resources to upgrading.

6.2. SLUM UPGRADING CHECKLIST

The following checklist is in the form of brief questions, chronologically arranged, that policymakers can use to review their programmes and policies with regard to the provision of affordable and sustainable housing.

If the answer to any of the questions is “no”, information on most of these subjects can be found in the section of the Guide indicated in the column on the right which will enable you to get to “yes”.

HAVE YOU.....	CHAPTER & SECTION
Identified the size and type of the slum challenge?	1.2.2
Identified relevant examples of slum upgrading in other cities and countries which may have lessons to offer?	7
Reviewed previous upgrading experiences in your city to see what worked and what didn't?	1.4
Got a long-term city growth plan to which the slum upgrading programme should relate?	2.5.8
Set up a task force (coordinating committee) responsible for producing the strategy?	2.1.1
Identified partners, reached consensus on strategy and gained commitment of resources?	2.2. – 2.3
Mapped all slums in the city (including high risk areas and location of city infrastructure)?	2.4
Carried out feasibility studies (including relevant policies and legislation)?	3.1
Identified what inputs are needed at city level (land, transportation, trunk infrastructure, etc.)?	3.1
Formed a programme management structure?	3.3.-3.4. and 3.6-3.7 4.1
Established an institutional framework of all stakeholders to implement the upgrading?	3.7
Designed a capacity development plan for stakeholders?	3.9
Defined slum selection criteria?	2.5.6
Defined options for type of programme intervention (comprehensive, sectoral, etc.)?	3.2
Drawn up a financing strategy?	3.8
Drawn up a sustainability plan?	5.1
Developed a communications strategy?	3.10
Set up a monitoring and evaluation system?	5.2
Drawn up an implementation plan?	4.5
Defined a strategy to manage the growth of future low-income settlements?	1.5.1



Slum near Tbilisi, Republic of Georgia

Photo: © Henning (1), Flickr Creative Commons



Slum near TShanghai, China

Photo: © Szymon Kochanski, Flickr Creative Commons

6.3. QUICK GUIDE

The Quick guide brings together all in-text tips. Use it to quickly read through key guidance or to make sure you have covered all the most important steps.

- There are many different kinds of slums and informal settlements, with different histories and processes of land occupation and settlement consolidation. Not all have the same needs and priorities. Find out which types of slums exist in your city and what their needs and priorities are. Before deciding on any public intervention check the status of land tenure and property rights.
- The causes of slum formation are many and varied. It is useful to identify the key causes of the formation of slums in your city in order to be better prepared to offer productive solutions.
- Before starting the programme learn from history and find out about previous policies and approaches in your city and country in order to prevent repeating mistakes. Avoid falling into the trap of the government as sole provider because it has seldom worked. Seek partnerships with other actors and do not underestimate the potential of slum dwellers, even if they are poor.
- Check what legal rights slum dwellers have which are protected in laws and constitutional provisions in order to prevent court cases and problems with upgrading interventions.
- Citywide slum upgrading is about integrating slum settlements into the urban fabric of the city, giving them a path to become formal neighbourhoods in the future. Do not look at slums as an isolated sole element of a problem but look at their potential connections with nearby neighbourhoods, infrastructure and economic activity that will benefit not only the inhabitants of slums but the city as a whole.
- Make sure that CWSU Programmes are part of a broader twin-track strategy that offers housing options at scale, which can provide alternatives to slums and reduce gentrification pressures in upgraded slums.
- The task force is an essential part of a successful CWSU programme. It is important that the task force has a clear and unified vision of the goals of the program, so that it can act quickly and consistently. It is important that the task force manages different actors and stakeholders and does not try to undertake all tasks itself.
- The task force's first assignment is to design a concept note of the programme outlining what it should look like and what needs to be done. Such a concise vision is very important for political decision both at the Mayor's level as well as the executive levels of municipal government.
- Make sure to have a proper mapping of the areas, defining their location, population, size, level of services and tenure situation. Also, importantly, have an enumeration of the population and the shacks, dwellings and buildings. Public announcements that the government will upgrade all slums in the city can induce densification and newcomers. Enumerations will minimize the



Lack of street network connecting slums to planned city in Ouagadougou, Burkina Faso. Photo: © UN-Habitat

number of ‘free-riders’ who can create conflicts between existing and new residents.

- Upgrading is likely to require the relocation of some residents to make way for infrastructure, roads, public spaces, etc. Potential resettlement land for new housing to accommodate households that must be resettled should be identified and mapped as part of the citywide slum mapping task.
- Pay attention to institutional and organizational management. Avoid creating an artificial or hybrid agency to coordinate the CWSU programme. Work with existing institutions and organizational frameworks and tune them to be more efficient and well staffed. Otherwise, it may create overlapping and unnecessary competition and institutional uncertainty.
- Ensure the community is included in consultation when discussing primary beneficiary selection. Their input is essential to insure the CWSU programme targets the real needs of the community.
- The coordination of the programme and the executive responsibility are best assigned by the Mayor or the highest authority of the city. It is important to have this clear right from the start. Do not start the programme if roles and responsibilities are not defined by an executive memo, decree or alike.
- It is important when undertaking a participatory planning process to seek out people from all different parts of the community. All residents, men, women, children, the elderly, the disabled, etc, have valid inputs to make into the process. They also each may have varying degrees of opportunity to voice their opinions, if they are not sought out and made a priority. Organisers should ensure that the complete population is engaged during the participatory process.
- The issue of land tenure is one of the most important elements to confirm before the program moves forward. The tenure status of the targeted slums and the land tenure laws must be fully confirmed and understood.
- Before making any intervention a comprehensive settlement design (area-based plan) must be made and agreed. This primarily involves the delineation of what is public and what is private space and defines the urban configuration and street network. Phased works can then be implemented following this plan. Do not invest in basic infrastructure provision and the laying of pipes and networks without a settlement plan. Otherwise, you may risk wasting resources when the plan is



Preparing a social map

Photo: © UN-Habitat



Community consultation in Nepal

Photo: © UN-Habitat



Man takes part in a consultation process in Myanmar

Photo: © UN-Habitat

defined and planners realized that water pipes are laid where new houses need to be constructed.

- Make sure that the eligibility criteria are made public before the programme starts, so that manipulation, opportunistic behaviours are mitigated at the start. This will increase trust between the programme and the citizenry.
- Do not start the programme if finance is not secured. The worst thing that can happen to a CWSU programme is the raising of false expectations amongst residents and participating parties. The project will roll back to the drawing table and people will become frustrated with a lack of progress.

- To avoid duplication and aid coordination, make sure that the CWSU programme is part and parcel of the overall urban planning and city development strategy, connecting agencies, institutions and actors on the ground.
- Communication of the programme design, and its status can take many forms. Be creative and utilize modern approaches to getting your message across to your target audiences. Videos, short films, websites, blogs, and cell phone text messages can all supplement traditional forms of communication such as posters, flyers, town hall meetings and city consultation workshops.
- Scan the institutional and regulatory environments well so that all bottlenecks and opportunities are identified and documented on records, maps, flow charts before the programme starts its execution phase. This will prevent stalemate situations arising later.
- Establish a consultative process with target populations via CBOs and representatives prior to defining the scope of the programme. This will help to prioritize programme components and turn the programme into a demand-driven initiative with a greater degree of support from slum residents.
- Don't reinvent the wheel. If there are existing institutional frameworks that include agencies with the mandate over slums and urban development, they are there for a reason. One of these reasons is probably that they work. People also probably respect them. If they function well consider placing the CWSU programme within this framework, with or without some modifications, before creating new ones. Avoid creating hybrid agencies that have little chance to survive political changes and thus affecting sustainability and continuity.
- There are many different project management software packages which can greatly simplify coordination and monitoring. Most of them are proprietary but a few are open source. They are not all identical and technical advice should be sought to ensure the most appropriate package is obtained for your programme.
- There are more businesses willing to participate in upgrading at project levels than may be realized. Approach high profile companies and the Chambers of Commerce or Construction. You will find that some of them are willing to support CWSU but do not know how. Show them.
- Check what the local development plans have



Meeting of stakeholders of new housing project in Uganda
Photo: © UN-Habitat



Newly completed houses as part of a self-build project in Uganda
Photo: © UN-Habitat

to say about upgrading. They probably include something and will have gone through a (participatory) planning process. This will tell us what local priorities are and will save a lot of time.

- Getting the community involved in maintenance activities is a win-win. In addition to the project benefits being maintained there are income and employment opportunities. Identify where the community could establish an enterprise for project maintenance (e.g. solid waste disposal, water supply, road repairs).
- Communities want to know that upgrading is really having the desired effect. Community members have easier access to information and to frank answers than the project staff does. Take advantage of this and ask them to measure the project's effectiveness. Train them to do this if necessary. This will have a great impact on community ownership and probably produce better data.
- Baseline data must be collected before the project has begun. It is essential, therefore, that a monitoring and evaluation framework, complete with indicators, is set up before implementation. Failure to do so will mean that it is tricky to collect the correct baseline data and producing a reliable evaluation may become difficult.



7

CASE STUDIES OF GOOD PRACTICE

COUNTRY & CITY: DAR ES SALAAM, TANZANIA

Country & city: Tanzania

Dates of operation: 1995 - present

Keywords: community management, water, community infrastructure, capacity development of municipal authorities and community organizations.

Description

General

The Community Infrastructure Project was part of larger Sustainable Dar es Salaam project which started in 1992. It was later applied in other parts of the city. In 2010 a Citywide Action Plan for Upgrading Unplanned and Unserved Settlements in Dar es Salaam was prepared with the technical assistance of UN-HABITAT which would lay the basis for upgrading at the level of the city.

Focus

- Community managed water systems.
- Provision of basic infrastructures and services with the aim of increasing employment and income generation.
- Solid waste management and the protection of water sources.

Management

The Sustainable Dar es Salaam Project assumed the leadership role in formulating the objectives during project formulation while the CIP Implementation Unit assumed the leadership role of implementing the CIP itself.

Planning Process

Communities defined their own needs and priorities through community studies (similar to feasibility studies).

Participatory Rapid Appraisals were carried out. These were similar to the participatory data collection methods described in Section 4.3. Community profiles were prepared by community members.

A key principle was that standards for infrastructure should be affordable. It was intended that infrastructure would be of lower standard than usual but the communities wanted the standards to be raised. The World Bank then agreed to change them

and the City Council increased its contribution to pay for the additional costs.

Partners

1. Dar es Salaam City Council: committed itself to paying staff salaries, office space and road maintenance.
2. Irish Aid: funded the project's Technical Advisor, training, technical design of the infrastructure plans for the communities, logistical and financial (salaries) support to the Project Implementation Unit.
3. The Prime Minister's Office: assumed responsibility for mobilising resources from the World Bank to upgrade infrastructure.
4. Communities: committed themselves to contribute 5% of the capital cost of neighbourhood infrastructure and 100% of its maintenance costs.
5. The Utility Agencies (water and power) provision of technical advice, relocation of utilities as required and installation and development of infrastructure and services in the communities.

Financing

As mentioned above, communities contributed 5% to capital costs and paid fully for maintenance. See also O&M and Sustainability below.

Implementation

Community or labour based contracting was incorporated in the plan in order to generate incomes.

Community Participation

This started with the identification of needs and priorities and extended into operations and maintenance (see below).

Capacity Development

The CIP was an innovation when it was introduced in 1995 and city authorities were unused to working in this way. So Municipal capacity development was made part of the project to assist in strengthening a project implementation unit to respond to and support community driven requests for assistance and to collaborate with them to implement infrastructure programmes.

Capacity was also developed in the CBOs for who the system was also new. Resources were also used for

providing training/knowledge, information and skills to the community members.

Operations & Maintenance and Sustainability

Communities are now running their water systems at cost i.e. residents buy the water and the money is ploughed back into running the systems. In some communities part of the income is used to operate a solid waste collection system: the water committee pays for the collection services and community members are charged collection fees.

The CIP enhanced the communities' sense of ownership and responsibility of the improved infrastructure and they were willing to contribute for their operation and maintenance.

Scaling Up to City Level

The CIP experience was taken further in 2005 when the first phase of the Community Infrastructure Upgrading Programme (CIUP) began.

CIUP is a sub-component of the Local Government Support Project, funded by the World Bank. CIUP objectives are to:

- improve productivity and the well-being of low-income urban residents in Dar es Salaam by upgrading infrastructure and services in unplanned and under-serviced settlements;
- strengthen municipal systems for the upgrading of infrastructure and services; and
- build community capacity to participate in planning and maintaining infrastructure in cooperation with Municipalities.

CIUP is being implemented in two phases: Phase 1 (2005-2008) involved 16 communities with 167,000 residents and Phase II (2008-2011) covered 15 communities with 162,000 residents. This represented coverage of 20 per cent of unserved areas in Dar es Salaam.

Communities prioritised their infrastructure needs from a menu of different options including roads/footpaths, drainage, solid waste management, street lighting and public toilets. Water supply was also to be provided.

The main goal of CIUP has been to develop capacity of the City Council in the planning and management of the growth and development of the city, using the Environmental Planning and Management (EPM) approach.

In 2010 a Citywide Action Plan for Upgrading Unplanned and Unserved Settlements in Dar es Salaam was prepared with the technical assistance of UN-HABITAT which would lay the basis for upgrading at the level of the city. It aims to upgrade 50% of unplanned and unserved settlements by 2020 while at the same time preventing the formation of new unplanned settlements in Dar es Salaam.

Sources: http://www.unhabitat.org/bp/bp.list.details.aspx?bp_id=3410. This describes the programme at the time it won Best Practice Award in 1998.
UN-HABITAT, 2010c.

KAMPUNG IMPROVEMENT PROGRAMME, INDONESIA

Country & city: Indonesia

Dates of operation: 1969- present

Keywords: community development, participation

Description

General

Kampung is the name for village in the (Bahasa) Indonesian language. It is also used to refer to urban squatter and informal settlements.

Kampung improvements started in the Dutch colonial period. The Government of Indonesia also implemented them in Jakarta and Surabaya from 1969-74. The latter provided basic infrastructure to over a million people but did not always connect slums to city infrastructure networks.

From 1976, with World Bank, Asian Development Bank and UN-HABITAT support, the Kampung Improvement Programme (KIP) expanded and linked slums to city infrastructure networks in over 500 towns and cities. 15 million people have benefitted. Community participation became more important and social and health components were added.

KIP was decentralised from 1996 and was included in the nationwide Integrated Urban Infrastructure Development Programme (IUIDP).

A new programme started in the mid-1990s entitled KIP-Comprehensive (or C-KIP). This has a community focus: programmes and activities are based on what communities can do by themselves without dependence on state funding. It is believed that this will allow improvements to be made on a larger scale, more quickly and sustainably than the previous physical approach.

Focus

Community development and participation is central to C-KIP.

Management

Under C-KIP a Kampung Development Board (KDB), or Kampung Foundation, is established in each settlement comprising the community, local political parties and a development consultant.

The KDB is the legal entity responsible for overall management of the process. It also disseminates information and mobilises communities.

A Supervisory Council (SC) monitors KDB activities. Its members are the heads of RTs (smallest unit of neighbourhood organization), the heads of RWs (higher level neighbourhood units) and LKMD (Sub-district Community Defence Board).

Planning Process

Community Self-Mapping (CSM) is carried out in every RT. This provides data on the kampung's problems and potential which is analysed to arrive at a list of kampung development priorities. Students assist the community with their surveys until they are able to carry them out alone.

When the community has identified its priorities it meets with experts and city government in a community workshop to discuss what it believes should be done and the options for doing it. This could include physical infrastructure planning (e.g. footpaths, solid waste management or public toilets) or non-physical improvements such as the development of co-operatives, micro-credits for small businesses, skills development training and education.

Partners

Local government, technical experts and university students and the communities themselves

Financing

One-fifth of the C-KIP budget is used for physical improvement work. The rest becomes revolving credits for microenterprises. For every US\$1 invested by KIP, residents contribute at least US \$2.50. The revolving funds are managed by a task force (the Multi-Economic Cooperative, MEC).

Implementation

Integrated KIP

Components include:

- Infrastructure: roads, footpaths, sanitation, drainage, collective water supply, public latrines, refuse disposal.
- Social facilities: clinics, primary schools.
- Land and housing: land certification, building permission, housing improvement.

Community contracting is favoured as a means to developing the community and generating local incomes.

Community Participation

These have been described above.

Capacity Development

The different groups and bodies set up under C-KIP receive management and institutional development training including visits to other successful kampung programmes.

O&M and Sustainability

The community-based approach has given C-KIP greater sustainability than the earlier KIP programmes where improved kampungs often had to be improved again after three to four years because of inadequate maintenance.

Assuming the revolving fund is managed well it will continue for the long-term to provide micro credits to residents.

Sources: Banerjee, B., 2009; Dhakal, 2002; Silas, 1984.

FAVELA BAIRRO, RIO DE JANEIRO, BRAZIL

Country & city: Rio de Janeiro, Brazil

Dates of operation: 1995-2006

Keywords: Scaling up, sustainability. Integration of infrastructure and social services, competitive tenders

Description

General

Phase I of the Favela Bairro programme began in 1995 and covered 55 squatter settlements and eight irregular subdivisions in four years. The second phase began in 2000 with the aim of upgrading another 52 squatter settlements with approximately 25,000 residents and an additional 23,000 residents of irregular subdivisions.

Management and Coordination

The municipality established intersectoral coordination in the form of (a) a technical committee to approve and monitor projects and (b) a coordination committee for the various secretariats involved. Both were under the authority of the Mayor.

Planning Process

The selection process for squatter settlements and irregular subdivisions used a rating system based on poverty indicators and the cost efficiency of the investment. An additional criterion was whether operations in squatter settlements in the same geographic area could be combined to enhance the urban impact of the programme.

Discussions were held with communities to select infrastructure and other projects (e.g. water supply, sewerage, street systems, storm drainage, public lighting, parks, and recreational facilities, social services and employment-generating components). The programme also included community development, hygiene and environmental education, and support for land titling.

The second phase included some significant modifications to the first. Surveys of slum residents showed that more diversified social services were wanted, so support services for vulnerable groups (children not in school, single mothers, and the elderly, among others) were introduced, plus income generation activities and support for occupational training. Community consultation and participation were considered critical to ensuring programme sustainability.

Financing

One of the key factors in Favela Bairro's success is that it is fully financed and executed by the municipality. This simplifies execution as there are fewer decision-making authorities.

Implementation

To resettle the few families who had to be relocated out of risk areas, the programme generally included construction of flats in the same area or near the beneficiary settlement.

The programme utilised a unique mechanism of security of tenure: the concession of the right to use but not full ownership of land. Municipal planning authorities declared those favelas undergoing improvements as Special Social Interest Areas with their own special planning processes and building codes and the usual regulations were suspended.

This was the process for favelas built on publicly owned land. For those on private land the municipal government provided assistance in claims where the land had been occupied for at least five years. This kept the land in the public domain and prevented displacement and marketization of land.

Community Participation

Communities were involved in project preparation through workshops, door-to-door visits from community leaders, assemblies and events where they debated and approved settlement development projects. An example of participation was solid waste disposal and community reforestation services being contracted out to community members through the neighbourhood association. These methods created great popular support and assured the programme's continuity through a number of different municipal administrations.

See also Planning Process above.

Technical Assistance

In Phase 2 of the programme the municipality decentralised their offices to poor neighbourhoods to offer technical assistance on land tenure regularisation, house construction, maintenance of infrastructure services, environmental upgrading and community supervision of service providers. These offices were part of the operations and maintenance structure and allowed for continued relationship between municipality and the community after the programme ended.

Sources: IADB (2002: 98); Rojas (2010: 180); Handzic (2010).

PRIMED: PROGRAMA INTEGRAL DE MEJORAMIENTO DE BARRIOS SUBNORMALES EN MEDELLÍN (PROGRAMME FOR THE INTEGRATED IMPROVEMENT OF SUB-NORMAL NEIGHBOURHOODS IN MEDELLIN)

Country & city: Medellin, Colombia

Dates of operation: 1993–2000

Description

General

PRIMED covered fifteen low-income settlements with around 51,000 people (one-fifth of the total population living in informal settlements). Improvements included:

- access roads, footpaths and public stairways;
- stabilisation of slopes prone to landslides;
- drainage;
- schools, health centres, sports fields, parks and other public spaces and community centres;
- extended access to drinking water and sanitation;
- improved housing and the provision of land titles.

The programme attempted to address urban poverty on several fronts: physical and social infrastructure upgrading, improved housing conditions and land tenure, employment, health, education, the environment, and the strengthening of community organization. It succeeded best in the physical aspect.

PRIMED management realised that it was limited in its ability to affect poverty and that it needed:

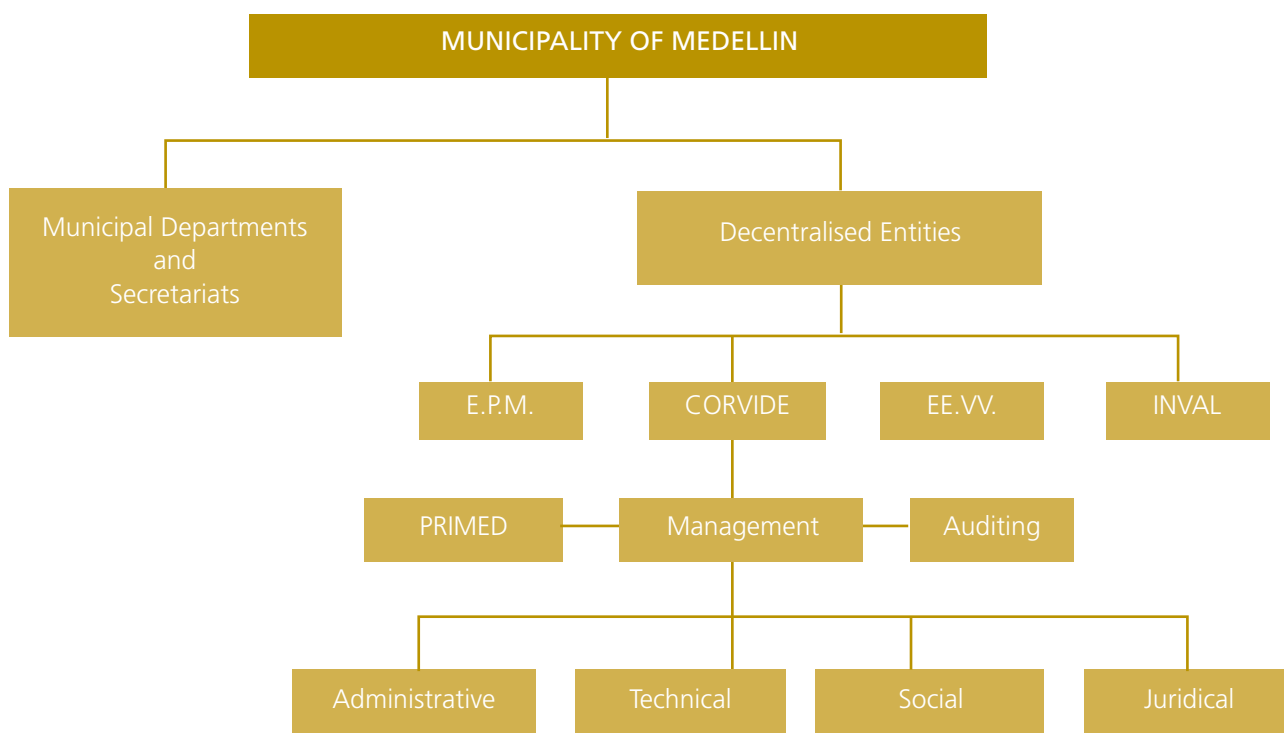
complementary municipal policies aimed at the reduction of those problems that the Programme cannot confront directly, including: violence and armed conflict, unemployment, low educational and health levels as well as deficiencies in cultural and youth strategies and attention to children and the elderly.

(Betancur, 2007: 8, citing a PRIMED internal document)

At the end of the programme PRIMED conducted a survey of residents to measure its social and economic impacts. The results were very positive. Ninety-six percent of respondents indicated that their quality of life had improved. The areas in which satisfaction was greatest were home improvements, public spaces, legalization of tenure and access to transport. They also confirmed that the target areas were incorporated better into the city via streets and paths.

The PRIMED experience has been referred to by other cities, such as the capital Bogotá, when designing their own low-income settlement upgrading programmes.

FIGURE 7.1: PRIMED INSTITUTIONAL FRAMEWORK



Acioy (2012:18)

Focus

Although PRIMED was integrated it was less integrated than had been intended. The biggest investments and successes were in physical improvements. Social investment was small and the intended increase in community mobilisation hardly materialised. This is discussed further below.

Management and Coordination

The executing agency was Medellín's Housing and Social Development Corporation, CORVIDE, with PRIMED as the Programme Management Unit. However it functioned largely as an autonomous entity. It fell directly under the Mayor and also had direct access to the presidency via the Commission for the Metropolitan Area of Medellín.

A coordinating committee was established which included (see Figure 7.1):

- PRIMED's Director
- the Mayor
- representatives from the Commission
- CORVIDE
- the National Institute for Social Interest Housing and Urban Reform (INURBE)
- the national skill training institute (SENA)
- the confederation of NGOs
- the Metropolitan Area administration
- the United Nations Development Programme (UNDP)
- the local utilities company (EPM)
- city departments and
- a representative from the affected communities.

The coordinating committee had so many representatives that coordination was cumbersome and the distribution of responsibilities amongst the members was unclear. Separation between planning and project implementation created problems as each agency had its own institutional approach and modus operandi and resisted the plans developed by PRIMED. In spite of this, according to Betancur (2007: 8) participants saw the benefits of working jointly.

Partners

Programme partners were the German Ministry of Economic Cooperation (BMZ), the German government's development bank KfW (Kreditanstalt für Wiederaufbau), CORVIDE, INURBE and the Municipality of Medellín as well as various civil society organizations like the Catholic Church, philanthropic foundations and universities as well as community organizations in the affected settlements.

Financing

The total cost of Phase I was nearly EUR 7.31 million. This was financed with a loan from KfW of EUR 6.6 million and a mix of national and local funds totalling EUR 650,000.

Planning and Implementation

Improvements were coordinated by PRIMED but carried out by the corresponding municipal agencies such as the utility company and the municipal secretariats for Community Development, Public Works and Social Welfare.

Donors, apart from funding, provided technical cooperation for programme formulation, administration and monitoring and evaluation.

The role of community based organizations, NGOs and Universities was mainly to provide finance and labour for the housing projects and a limited number of small community projects.

Community Participation

Although PRIMED set out to promote community participation, in the beginning it was limited. Residents did not take part in the initial planning or decision making but provided paid labour for some projects (such as community sub-contracts) and unpaid labour in others. They were invited, through their community based organizations and NGOs, to submit proposals for the funding of small projects. They were also involved in negotiations about relocation of affected households. However, only at the end of the programme were they represented in the programme's planning and decision making processes.

The small projects proposed by CBOs were largely financed (75%) by the programme but only 60 were proposed, of which only 18 were funded and completed (little more than two a year). The budget allowed for a total of 240. This may have been partly due to residents' exclusion from the initial planning and decision-making process and resentment at being seen a source of unpaid labour.

Capacity Development & Technical Assistance

The small number of proposed and approved small projects also reflected, according to PRIMED management, CBO inexperience in complying with all the technical requirements and their lack of skills to manage the projects according to the programme's guidelines. However, the failure of PRIMED to provide technical assistance was also a factor. Capacity development was not included in the programme. Other areas of weakness included agencies' lack of experience in inter-institutional cooperation, in community contracting and in coordinating such a complex programme which involved so many actors and components.

Operations & Maintenance and Sustainability

The absence of community participation in the initial planning and decision making processes prevented communities from coming to own the programme. It had been the intention that residents participate in maintenance activities and that this would be coordinated by a residents' committee. But when the programme ended so did the committee.

The KfW development bank reported in 2004 that two major risks to the sustainability of the programme's physical improvements were the critical budget situation of the city of Medellín and the growing militarisation of the marginal settlements at that time as residents became involved in the armed conflict. To these risks Betancur (2007) adds the lack of political will in the new municipal administration which assumed office at the end of the programme as well as poor institutional coordination.

Scaling Up

PRIMED covered about 20% of slum dwellers in Medellín but intended that eventually the whole city would benefit. In this way inequalities between poor areas would be eliminated. However, the slum upgrading programme was not embedded in a long-term city development strategy and the second phase was scrapped. (KfW, 2004).

Sources:

Betancur (2007).

KfW (2004), Development Cooperation – Colombia – Evaluation – Social Programme Medellín, downloadable at: http://www.kfw-entwicklungsbank.de/ebank/EN/Home/Evaluation/Ex-post_evaluation_reports/PDF-Dokumente_A-D/Colombia_Medellin1.pdf.

UN-HABITAT Best Practices database: http://www.unhabitat.org/bp/bp.list.details.aspx?bp_id=3275

BAAN MANKONG, THAILAND

Country & city: Thailand, numerous cities

Dates of operation: 2003– present

Description

General

Baan Mankong means “secure housing” in Thai. Baan Mankong was conceived as a national programme but is implemented city by city on a citywide scale. According to the programme coordinating agency (CODI, 2008: 33):

City-wide slum upgrading enables communities and municipalities to work together as more equal partners and to achieve [an] overall upgrading plan together, solving eviction problems together as a team. Using city-wide upgrading [allows for the building up of a] new partnership between communities, municipalities and development actors.

Individual communities can approach CODI for support but when it is given it is as part of an overall city plan (details are given under Planning below).

By April 2008 the programme had been implemented in over 200 city districts and benefitted over 500 communities (53,444 families). (CODI, 2008: 31).

Focus

Baan Mankong has several distinctive characteristics:

- (a) It sees upgrading as a part of social and political development as well as physical. Participating community organizations are vehicles for broader social change (UN-HABITAT 2009: 5).
- (b) It is based on savings groups which create cooperative links amongst community members and provide financial resources which can be used for community individual investment. Savings groups are joined together in a network across the city to give them power to negotiate with landlords and government and to facilitate the exchange of information and experiences.
- (c) It is collective in orientation. In all the projects supported in the programme, land must be collectively owned or leased. This is to prevent sale to outsiders.
- (d) It is mainly concerned with in situ upgrading (accounting for almost 80% of all projects) though reblocking and relocation options are permitted if residents choose them.

Management and Coordination

The Baan Mankong programme is managed and coordinated by the Community Organizations Development Institute (CODI), a parastatal funded by the Ministry of Social Development and Human Security.

The programme’s decision making structure appears elsewhere in this guide (Figure 4.1).

Partners

Local government participates with other organizations through a City Development Committee and central government through its funding of CODI. CODI is responsible for channelling funds from the Ministry to communities and for disseminating the programme.

Civil society organizations, such as universities, NGOs, and sometimes religious bodies, support communities with technical assistance.

The private sector has a limited role: it sells or leases land to the communities which occupy and is sometimes employed by communities as contractors.

Financing

CODI receives funds from the state which it passes on in the form of subsidised loans to community organizations for infrastructure improvement and management. The City Development Committee consisting of the Municipality, universities, NGOs as well as other communities vets individual community organizations before funds are released to them by CODI.

Low-interest loans are also available for housing improvements as are grants for capacity development, learning, study visits, seminars and information dissemination. The total subsidy per housing unit is estimated by CODI as equivalent to approximately US \$1,700 (CODI, 2008: 18).

Loans are only provided to savings groups who have shown themselves capable of sustained saving and of managing funds; the loan is never provided to individuals. The group is responsible for the repayment of loans.

In all the projects, at least 10% of the finance comes in the form of a contribution from the community.

Planning Process

Communities carry out their own planning, with technical assistance from partners.

Individual settlement planning is preceded by citywide planning with numerous communities carrying out simple surveys of their neighbourhoods. This activity is very important as it builds capacity and self-confidence, creates and strengthens bonds across communities and is a learning exercise. As the Director of CODI says: "This is their university. This is how people learn and build capacity and everyone can do it. That's the most crucial thing." (UN-HABITAT 2009: 9-10)

Because it is large in scale and participants are inexperienced planning is slow and typically takes about three years. During the planning process a small number of projects which have been proposed are selected by the participating communities as a whole and implemented first. These pilot projects, which may be for families with the greatest need, provide learning which will benefit later projects.

Implementation

Each city programme is launched with a big event to which the Mayor and all the slum communities come. This aims to promote confidence and belief amongst participants.

The form of implementation is decided by communities themselves. They may hire an outside contractor to undertake the work but this tends to be

more expensive than community contractors. Baan Mankong projects have provided many community members with construction skills which they can use as contractors in their own right. According to CODI: "community builders better understand the needs of the community and are less likely to cheat." (CODI, 2008: 8).

What is interesting is that there is no incremental housing; the projects tend to produce completed houses. (Yap & de Wandeler, 2010: 339)

Community Participation

Communities decide on improvement priorities, carry out project planning, manage funds and hire and supervise contractors.

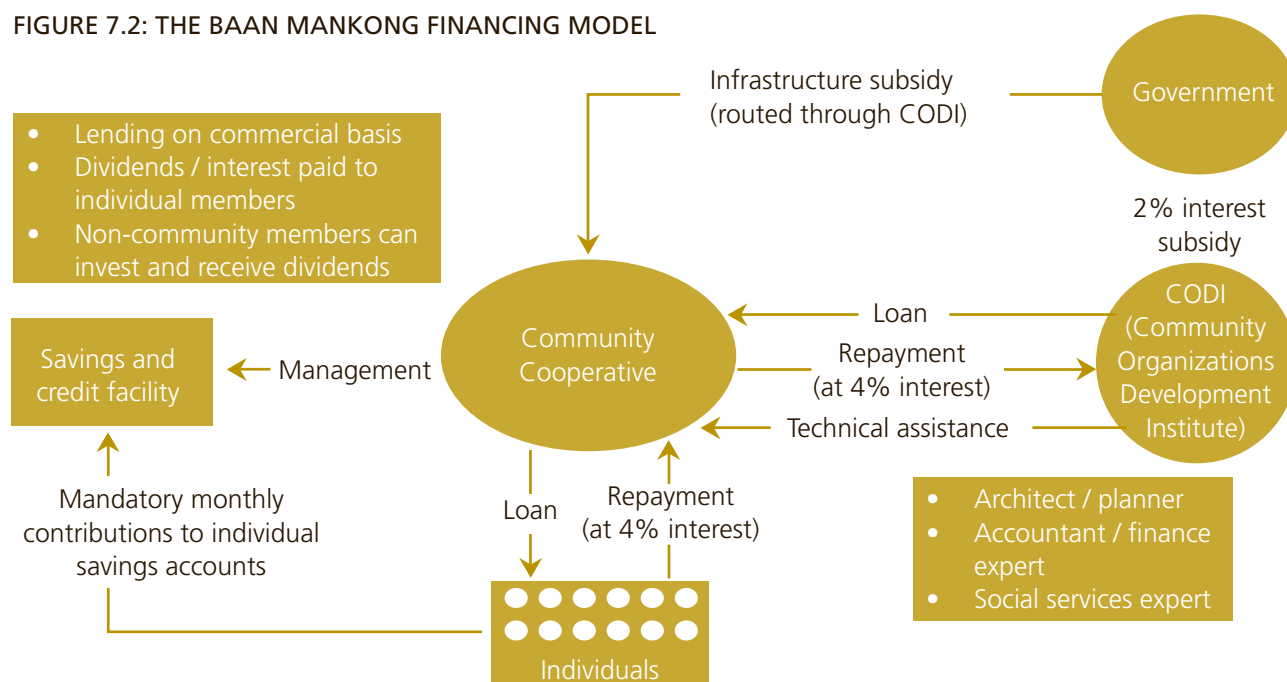
Capacity Development & Technical Assistance

During the planning process network partners, such as universities and NGOs, as well as CODI, provide technical assistance to community members. Participating in the planning process builds capacity. Communities also develop each other's capacities through information and experience sharing.

Operations & Maintenance and Sustainability

The saving groups provide substantial funds but insufficient for land purchase, infrastructure provision and the reconstruction of houses; substantial external capital is required. This is provided by CODI largely in the form of loans. Yap and Wandeler (2010: 339-340) question the sustainability of the model. This is

FIGURE 7.2: THE BAAN MANKONG FINANCING MODEL



Source: UN-HABITAT (2009: 18)

because the loan capital remains tied up in real estate for the 15 years of the housing loan repayment. This has led to cash flow problems as CODI admitted in 2008 and asked the Ministry of Social Development and Human Security for additional funds.

Scaling Up

Scaling up has taken place. Communities carry out pilot projects which are analysed and the project methodology adapted before replicating them throughout the city.

Scaling up has also happened from city to national level. Baan Mankong was conceived as a national programme but only achieved national coverage after successes in a smaller number of cities.

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SLUM NETWORKING IN INDIA

Country & city: Ahmedabad, India

Dates of operation: 1995- present

Description

The Slum Networking Project (SNP) started in 1995. At that time the 300,000 slum families in Ahmedabad represented 40% of the city population.

The main objective of SNP is to integrate slum dwellers with the mainstream of society through the provision of basic, physical infrastructure which is connected to city networks and to improve their socio-economic conditions. The SNP aims to cover all slums in the city.

New infrastructure provided in individual slums is linked to that of other slums and to the existing city systems in order to bring about significant improvements to the city as a whole.

SNP is open to all slums in the city under two conditions: (i) all households in the slum must agree to contribute to the cost of making individual water supply, sewerage and drainage connections as well as a small contribution towards maintenance expenses and (ii) the community must form an association.

The Project has improved the health and well-being of beneficiary households. For example, communal water supply and sanitation has become individual, underground drainage has reduced flooding, solid waste management systems have reduced public health risks and over 80% of households now spend less on health care. Incomes have increased in almost 60% of families while over 30% have made significant improvements to their houses. Slum dwellers have also participated more in the formal financial system, after SEWA Bank had got them use to saving and using banking services. Many of the Neighbourhood Associations which were formed have continued their work and some have developed livelihood activities such as solid waste management.

Management and Coordination

A separate cell was set up within the Ahmedabad Municipal Corporation (AMC) to manage the SNP. This risked setting up parallel mechanisms for project implementation which can lead to overlaps, redundancies and a lack of accountability.

When setting up such a mechanism, it is critical to link it with other existing departments working on the same issues, while at the same time not losing the objective of providing the required autonomy to prevent delays, etc. In this case, the SNP cell should have worked more closely with the UCD departments

in order to more effectively converge slum networking with the other development programmes for the urban poor in Gujarat. (Anand, 2008: 23).

The basic organisational unit in each slum is an elected Neighbourhood Committee. They handle funds and represent the slum dwellers' interests when dealing with developers and local government.

The role of the state is limited to that of enabling and facilitating. For example, by removing the legal impediments to land development and the rental sector, making serviced land available and carrying out maintenance of infrastructure systems where relevant.

Slum dwellers are equal co-financiers. As such they have the right to be consulted on any works and find their own contractors. The Municipal Corporation may put in a bid to do the work but the final decision rests with the slum dwellers.

Partners

The programme is implemented through a partnership between the city government, slum residents, the private sector and NGOs.

The AMC is a joint financier of the project. It carries out overall mapping of slums and city level infrastructure needs. It also determines policies on land tenure, rates, sale of land, upgrading and site and service projects and maintenance.

Elected Neighbourhood Associations are responsible for ensuring the communities pay their share of costs for the physical works. They also run the socio-economic programmes developed under the project. Each family has to initially contribute 100 rupees (US \$1.20 as at August 2012) to finance these activities and manage community assets. The fund is regularly topped up when needed. Neighbourhood Associations may also collect rates on behalf of the Corporation and receive a small fee for doing so.

Residents are willing to contribute because they have the security that the AMC has provided them with an assurance that they will not be evicted for at least 10 years.

Role of the private sector: this has led many parts of the programme in areas such as physical and community development, solid waste management and environmental improvements. The reason is that industry's growth relies on the city's infrastructure network and the efficiency of its production depends on the living conditions and skill levels of its workers many of whom live in the slums.

The main role of NGOs is to organise communities, help collect funds and launch the health, educational and income generation programmes. This they do with the existing community based organisations (CBOs) to whom they provide capacity building services so that they are able eventually to take over all community related activities. After 10 years of the programme NGOs were planning, designing and implementing infrastructure works in slums. AMC checks designs and supervises and monitors implementation.

The NGO SEWA Bank provides loan and bank services to slum dwellers. It lends the money that slum dwellers need to contribute in order to be able to participate in the SNP (2,100 rupees or US \$23).

Financing

The Slum Networking Project has no donor funding. Aid agencies are required only to act as financial guarantors to the AMC. The costs of the programme are shared between the partners.

AMC pays one third of physical improvement costs and 70 per cent of the costs of city level programmes. It pays for project preparation costs, surveys, consulting charges, evaluations, documentation and dissemination. It funds only 70 per cent of the community development costs, with NGOs and the private sector paying the rest. The private sector also pays a third of the physical upgrading costs within slums.

Residents pay the remaining third of physical upgrading costs including individual water and sewerage connections, building individual toilets (with an 80% subsidy from AMC) and house improvements. Slum dwellers are willing and able to pay quite large amounts to improve their living conditions and invest anything from Rs. 10,000- 80,000 (US \$180-1,440) in their houses at one time.

However, over the first ten years of the project (1995-2005) residents' share of financial contributions has fallen by half. This is because infrastructure and service costs increased but community and NGO contributions remained the same. The city government covers the shortfall.

Planning

Design options for individual slum upgrading are discussed with community groups. Once a broad consensus is reached, details of the chosen option are produced, also in consultation.

Implementation

Initially private contractors were hired for the implementation work but they took up to two years to complete work in one slum. When AMC also invited NGOs to implement infrastructure services the work was done much faster. NGOs bid for contracts with private contractors.

Community Participation

Neighbourhood Associations are involved in planning and implementation and help in maintenance. Slum dwellers have participated in the construction of improvement works. Associations collect service fees from house to house which relieves a major burden from the service providers.

Capacity Development & Technical Assistance

The SNP includes an intensive training programme for project staff, community members and NGOs.

Operations & Maintenance and Sustainability

Partnership agreements have been entered into by Neighbourhood Associations and the AMC to maintain the services provided. Some slum communities carry out solid waste collection and road and drain cleaning.

Other important factors in favour of the sustainability of the project are:

- The project is not dependent on external aid financing; all funding is local;
- Maintenance and sustainability costs can in principle be met by the current partners;
- The project, although innovative, has been institutionally grounded in existing structures. It falls within the work programme and budget of the AMC. NGOs and neighbourhood associations also contribute.

Scaling Up

The SNP started as a pilot project in a slum community of 181 households. When the model of partnership between AMC, community, private sector and NGOs had been tested it was extended to other slums in the city. In its first ten years the programme benefited some 10,000 households (approximately 50, 000 people) in 45 slums. However, this is only three percent of the city's slum population. Implementation has been delayed by problems with land acquisition, low staff capacity and a lack of sufficient political will.

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CITIES WITHOUT SLUMS, MOROCCO

Country & city: Morocco, nationwide

Dates of operation: 2004-2014

Description

General

The Cities Without Slums programme was launched by Royal Decree in 2004 and in 2010 the Kingdom of Morocco received the Habitat Scroll of Honour in recognition of its achievements.

The programme is citywide but is implemented at national level. It aimed to improve slum conditions in 83 towns and cities throughout Morocco by 2012 to the benefit of 1,740,000 residents (348,000 households). 813,000 slum dwellers had been reached by mid-2010 and 42 cities and towns had been declared “slum free”.

The approach is heavily oriented to slum clearance and it was planned that nearly 150,000 families would be involuntarily resettled over a five-year period (World Bank, 2009: 18-19).

Two strategies with four housing options are being followed:

1. Where the slum is considered to be in good enough condition, upgrading is carried out in situ and provided with services and improved access. This would cover about 30% of cases.
2. Slums which are declared to be in very poor condition or represent a hazard to the inhabitants are demolished and residents are relocated to partially serviced sites and service areas (35%), fully serviced sites (15%) or are re-housed in new, subsidised apartments (20%). It was estimated that half of those receiving new apartments would be vulnerable households, such as the aged or single parents, who would pay little or nothing.

The Slum Upgrading Poverty and Social Impact Analysis which was carried out at the start of the project showed that the poorest slum dwellers were unable to pay for any kind of housing and that in situ upgrading was a popular option for this category while re-housing in apartments was not. Residents’ objections were taken seriously, particularly against the backdrop the ‘Arab Spring’ taking place in Northern Africa between 2011 and 2012 and a compromise was found. This consists of well located and serviced land, provided by the State and developed by private investors. Additional compensation was also paid to poor households who were relocated. The main form of re-housing has become serviced plots.

For the whole national programme, public land has been made available. Social housing was boosted through public/private partnerships which delivered housing units at US \$16,800 and US \$30,000 and housing finance was stimulated by the creation of the Guarantee Fund (FOGARIM) to facilitate access to credit to low-income or irregular income households, as did the extension of existing micro-credit mechanisms to the area of social housing.

Focus

The main objectives of the programme have been:

- To provide decent housing with services;
- To ensure security of tenure (all housing options provide tenure security);
- To reduce ill health caused by poor housing;
- To improve the supply of social and economic infrastructure;
- To reduce poverty; and
- To promote social integration and social cohesion.

Management and Coordination

The programme is managed by the Ministry of Housing, Urban Planning and Policy and implemented by various public and private companies, the main one being Al Omrane Group, a public organization which merges a number of former housing and urban and regional development agencies within the Ministry of Housing and Urban Planning and Policy.

Partners

The Governor, representing Central Government at local level, plays a crucial role in mobilizing central government departments involved in resource allocations for urban and social services and overall coordination.

The Ministry of Housing and Urban and Regional Planning mobilizes central government finance for social housing and urban development and implements housing operations through various public and private social developers for slum improvement.

Local authorities’ responsibility is the coordination of the various actors on the ground, including civil society organizations and NGOs, neighbourhood organizations and residents. This also includes checking the lists of beneficiary households and supervision of slum demolition. Municipalities issue building and occupancy permits.

The operator's responsibilities, either public or private, include land acquisition, overall technical coordination (such as studies and supervision of works), the collection of residents' contributions and the delivery of individual property titles.

All these responsibilities are usually spelt out in a "city contract" between the Ministry, the local representative of the central Government and the local authorities in each town or city where the programme is implemented. The contract also specifies operational and financial arrangements as well as the sites where activities will take place which include social activities (such as awareness raising) as well as physical interventions.

Financing

By mid-2011 the cost of the programme had reached the equivalent US \$2.86 billion of which the Government of Morocco has contributed US \$1.1 billion. This works out at around US \$8,200 per household. The financing plan includes a combination of:

- State funding through the general budget as a standard compensation for the demolition of shacks;
- The receipts from a tax on cement which were channelled through the Solidarity Fund for Housing (FSH) and administered by the Department for Housing;
- Beneficiary contributions;
- Cross-subsidies from the sale of housing units / plots to higher income earners or for commercial purposes;
- External donor funding (the World Bank, USAID, the French Development Agency- AFD, the European Union, EBRD).

Mortgage financing is made available to low-income earners, including those who have no physical assets or who have irregular incomes through the BMCE Bank. Mortgages are limited to 40% of a person's income and the State guarantees up to 70% of that amount. A typical mortgage is the equivalent of US \$125 per month, for one of the larger apartment options of three bedrooms (BBC, 2009).

The programme has proved attractive to many and has even resulted in community action to demand each family (rather than each household) receive compensation packages in the case of slum clearance (as described under Description above) and that there be better services in relocation sites. This meant a

very significant increase in the number of families to be supported in most large cities. The demands were met with the additional costs being met by mobilizing additional peri-urban state-owned land and increasing the cement tax.

Planning Process

The Ministry of Housing and Urban and Regional Planning is responsible for planning and decision making at national level while the decision about which slums are to be upgraded and which are to be cleared is taken on a consultative basis at local level at an early stage when the city programme is negotiated. A community consultation takes place for each project but does not allow community involvement in the important choice on main project options.

Implementation

(See "Partners" section above). Under the site and service option, individual residents are responsible for developing allocated plots and are normally provided with free house designs and technical advice during the self-building process. It is at this stage that community involvement is the most effective, including such activities as organizing the residents' move, negotiating for additional urban and social services and supporting the most vulnerable households.

Community Participation

Consultation with communities is recommended in the national programme during the detailed design stage of each project and this is the responsibility of the Local Authorities. However, lack of expertise and capacity meant this has not taken place as fully as it should have. Nevertheless, complaints by residents in the largest cities with the oldest slums led to more consultation, leading to improved relocation support packages and the improvement of urban and social services in relocation sites.

Operations & Maintenance and Sustainability

Overall responsibility for the maintenance of infrastructure in upgraded slums, sites and service areas and new housing areas rests with the respective municipalities. Individual residents are only responsible for the maintenance of their own plots and apartments.

It is intended to prevent the formation of new slums by increasing the supply of affordable social housing (at US \$16,800 and US \$30,000 per unit) made sustainable by the above mentioned Solidarity Fund for Housing (FSH) which is fed by a tax on cement.

Main Issues Related to Programme Sustainability Include:

1. The limited involvement of local governments in urban planning with the management of the slum rooted in an incomplete national decentralization framework.
2. The lack of state capacities and an outdated decision making system which make it impossible to involve communities sufficiently.
3. High programme costs, boosted further by the increased demand described under Financing above.
4. Lack of available serviced land for satisfactory relocation of slum dwellers.
5. A weak territorial coordination framework to ensure appropriate urban integration of peri-urban relocation sites.

Based on lessons learnt from eight years of the national programme the new Government which took office after the 2011 general elections has begun to develop a more integrated policy to address housing issues at local level.

Scaling Up

The programme has always been implemented city and nationwide.

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PARTICIPATORY SLUM UPGRADING PROJECT, ISMAILIA

Country & city: Ismailia, Egypt

Dates of operation: 2004-2008

Description

General

The Participatory Slum Upgrading Project in Ismailia City was developed as a follow-up to the activities of the working groups on urban upgrading within the Sustainable Ismailia Project which recommended upgrading two informal areas: El Hallous and El Bahtini.

The total targeted population was initially estimated at approximately 15,000 residents in both areas (out of the total population living in informal settlements at that time of 177,000 (UNDP, 2011: 2-3).

Focus

The project was three-pronged and comprised physical, social and capacity building components. The physical comprised basic urban service provision such as drinking water, a sewage network, paved roads and electricity networks. The social component included literacy classes, health awareness campaigns, the provision of equipment to a youth centre, issuing voting cards to women, assisting in the micro-loan programme in cooperation with a local NGO and obtaining land tenure. Capacity building was aimed mainly at the local authorities on the subject of conducting participatory planning and upgrading activities.

Financing

The total project budget was the equivalent of US \$4.8 million which was mobilized through the Debt-for- Development Swap programme. In this way bilateral debt owed by the Arab Republic of Egypt to the Italian Republic was converted into financial resources to implement development projects in Egypt.

Management and Coordination

The project was nationally executed by the Ismailia Governorate and implemented by the United Nations Development Programme (UNDP). UN-HABITAT supported the capacity building component.

Overall project coordination was carried out by the High-Level Committee for Participatory Slum Upgrading headed by the Governor of Ismailia. It was intended that this committee would provide a possible model for replication at national level. This committee was also responsible for discussing policy.

Day-to-day management and backstopping of project activities was the responsibility of the National Project Coordinator, supported by the technical team of the Technical Advisory Unit (TAU), who reports directly to the Governor of Ismailia. Apart from the National Project Coordinator, the TAU consisted of an Upgrading Officer, Sustainable Development Officer, GIS Expert/Planner and Architect/Civil Engineer and several short-term consultants (which included a Civil/Sanitary Engineer and a Social Development consultant).

Partners

As explained above, the project partners were the Italian government, the Governorate of Ismailia, a number of local authorities within Ismailia and the UN (in the form of UNDP and UN-HABITAT). In addition a local NGO called ADE (Association for Development and Environment) and CBOs in the settlements which were being upgraded were also participants.

Planning Process

Working Groups were set up to identify and prioritise issues and problems. They consisted of a range of stakeholders including local NGOs, CBOs, women, youth, associations and community leaders.

At the start of planning field surveys were conducted by external experts with the assistance of selected residents.

Meetings were held with residents and leaders to disseminate technical information and to hear what community needs were. Intervention priorities were selected from a list of projects proposed by government, planners and residents who also assessed and prioritised them.

Implementation

A Project Implementation Unit (IU) was set up in each of the two slum areas to direct and follow up on a daily basis the physical and infrastructure component of the project. The IUs were staffed with land surveyors, an assistant and a social worker.

After some mistakes the project management concluded that local small and medium contractors were preferable to national and international companies. The sewerage contract for one of the settlements, El Hallous, had been awarded to a large international construction firm which proved very difficult to supervise in terms of timing and quality. This was not a problem when hiring local contractors which brought the additional benefits of local employment creation, the expansion and development of local companies and significant cost savings.

Community Participation

As already mentioned slum dwellers participated in the planning process in both surveying and planning through Working Group meetings which were attended by community representatives and by the project management and technical staff. These meetings have helped to ensure coordination and community buy-in.

Residents also helped monitor compliance by the contractors who provided infrastructure.

Capacity Building and Technical Assistance

Training was provided for local authorities in the fields of conflict management, housing development, GIS and participatory planning for slums, strategic plans and new construction laws. Action planning training was given to both project implementing agencies and local communities.

Operations & Maintenance and Sustainability

The project only closed fairly recently at the time of writing so it is impossible to assess how far it has succeeded in achieving sustainability. However, the degree of participation during the planning and implementation created ownership and it seems likely that residents will want to participate in protecting the gains made. Project management also believe that they will continue to upgrade their settlements.

Each neighbourhood has a functioning CBO which continues to meet weekly. When the project closed they were already planning further upgrading, such as extending the road surfacing improvement to the smaller streets. Having already gained experience of working and coordinating with local agencies, the committees will be approaching pertinent authorities for the required funding.

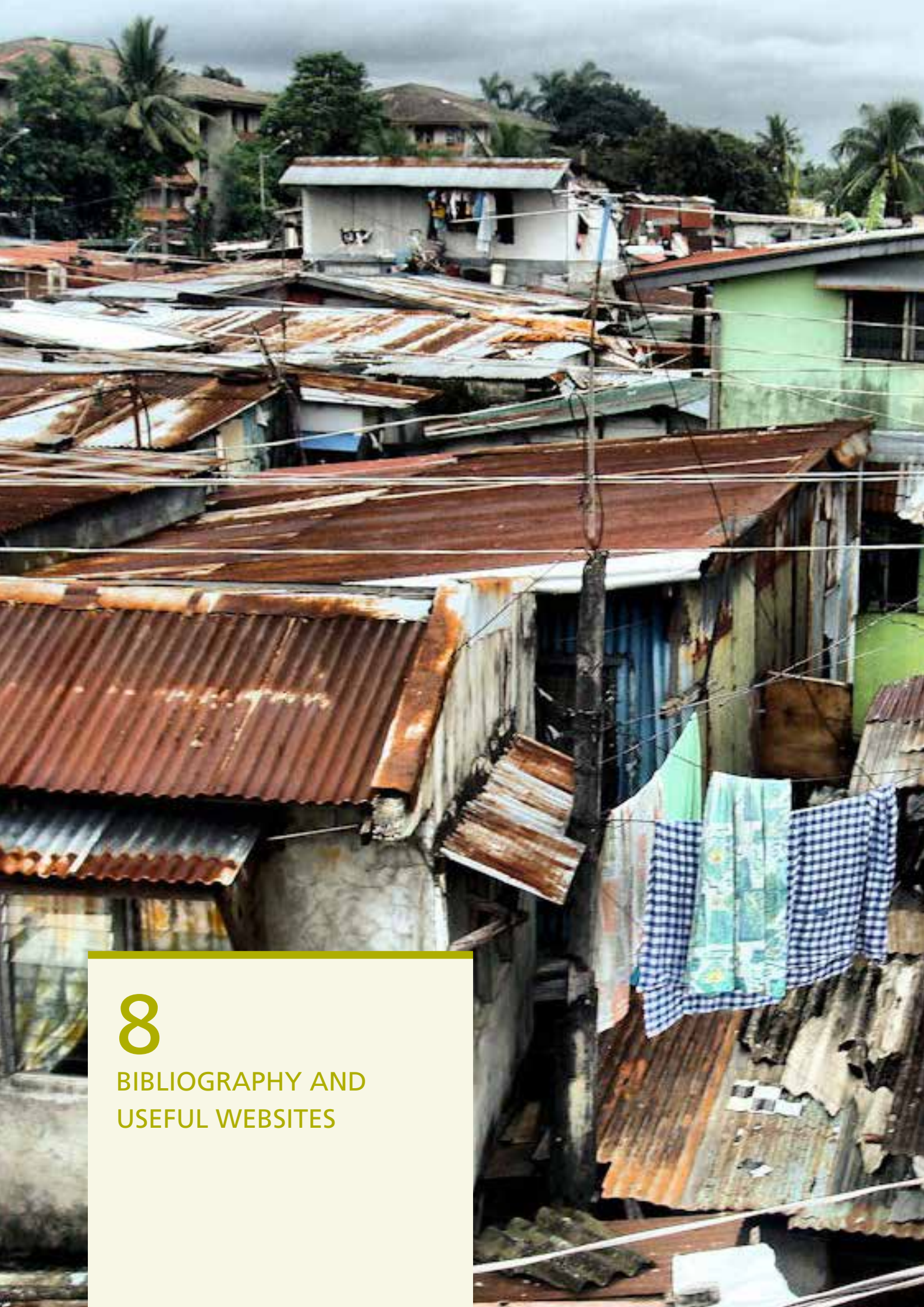
Participatory slum upgrading has been partly institutionalised amongst governmental authorities but management capacity continues to be strengthened by the NGO ADE.

Project management was aware of the danger of creating local organizations which might disappear when the project came to an end so they worked instead with existing organizations which they believed had a sustainable funding base and which would continue to provide services after the project. These include CBOs which deliver micro-loans (with funding from Central Government), literacy classes and vocational training and government funded youth and health centres which continue to upgrade their facilities and services.

Scaling Up

Scaling up has not yet happened.

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8

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8.2. VIDEOS

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8.3. USEFUL WEBSITES

- Ahmedabad Municipal Corporation** website. <http://www.amcmegacity.com/> and <http://www.egovamc.com/>.
- Asian Coalition for Community Action (ACCA): <http://www.achr.net/ACCA>
- Asian Coalition for Housing Rights:** www.achr.net
- Cities Alliance:** <http://www.citiesalliance.org/ca/about-cities-alliance>
- CODI:** an explanation of how to do CWSU the Baan Mankong way <http://www.codi.or.th/housing/StrategicPlans.html>
- Colombia: Citizens' Watchdog Committees**
- www.cej.org.co/vee.htm

- www.contraloriagen.gov.co
- www.interred.net.co/rednalveedurias

Forced Evictions

Forced Evictions: Global crises, Global solutions (2011)

<http://www.unhabitat.org/pmss/listItemDetails.aspx?publicationID=3187>

<http://www.scribd.com/doc/64236498/Forced-Evictions-Global-Crisis-Global-Solutions>

Losing your Home: Assessing the impact of forced evictions (2011)

<http://www.unhabitat.org/pmss/listItemDetails.aspx?publicationID=3188>

<http://www.scribd.com/doc/64238966/Losing-Your-Home>

Housing and Slum Upgrading in South Africa

The Landfirst website offers a constructively critical analysis of the new slum upgrading approach of Government of South Africa:

http://www.landfirst.org.za/index.php?option=com_content&view=article&id=68:a-new-response-to-informal-settlements-&catid=19:articles&Itemid=63

Urban Landmark is a South African organization that proposes ways in which land markets can be made to work better for the urban poor. <http://www.urbanlandmark.org.za/index.php>

The National Upgrading Support Programme (NUSP) provides a summary description of NUSP together with overviews of different aspects of slum upgrading and tools for several of its different stages. <http://www.upgradingsupport.org/>

The South African example of participatory planning of settlement upgrading known as Informal Studio: Ruimsig and the university course of which it is part are described in the following weblinks, the third being a PowerPoint presentation: <http://informalcity.co.za/ruimsig>

http://informalcity.co.za/sites/default/files/Informal%20Studio_%20Ruimsig-A4.pdf
http://2610south.co.za/docs/Summary%20Mar%2012_rev%203.pdf

A website promoting slum upgrading in South Africa instead of the formal housing delivery approach is <http://www.housinginformalcity.co.za/>

A summary of NUSP together with overviews of different aspects of slum upgrading and tools for several of the different stages. <http://www.upgradingsupport.org/>

Constructively critical analysis of the new SU approach of government of South Africa:

http://www.landfirst.org.za/index.php?option=com_content&view=article&id=68:a-new-response-to-informal-settlements-&catid=19:articles&Itemid=63

The following website contains other examples of South African housing and settlement improvement:

<http://www.housinginformalcity.co.za/>

Management

Encyclopedia of Business (2nd ed.) has a variety of relevant entries including matrix management <http://www.referenceforbusiness.com/encyclopedia/Man-Mix/Matrix-Management-and-Structure.html>

Morocco's Slum Upgrading programme: <http://www.alomrane.ma/>

Participatory Data Collection Methods: <http://www.fao.org/docrep/W8016E/w8016e01.htm>

Participatory Planning Techniques

<http://www.iied.org/natural-resources/key-issues/empowerment-and-land-rights/participatory-learning-and-action>
http://www.communityplanning.net/methods/microplanning_workshop.php

Post Implementation Issues: MIT: Upgrading Urban Communities: A Resource for Practitioners. <http://web.mit.edu/urbanupgrading/upgrading/issues-tools/tools/worksheet-Post-Proj.html>

SEWA Bank website. <http://www.sewabank.org/> and <http://www.sewabank.com/>.

UN-HABITAT 2006 Best Practice Award Winner: details at http://www.unhabitat.org/bp/bp.list.details.aspx?bp_id=1762

World Bank Institute

The World Bank Institute has a learning community about settlement upgrading including information about Brazilian, Indian and South African experiences, amongst others. The following is the link for South Africa: <http://inclusivecities.ning.com/page/south-africa>

Various articles on low-income settlements

<http://www.globalurban.org/GUDMag08Vol4Iss2/MagHome.htm>

ENDNOTES

- ¹ Neuwirth (2005: 177-204) gives a journalistic history of squatting and slums in Europe, the USA and China.
- ² It should be noted that information on secure tenure is not available for most countries and in the UN-HABITAT database only the first four indicators are used to define slum households, and then to estimate the proportion of the urban population living in slums. (UN-HABITAT, 2008:30). But this is only for the UN-HABITAT database; it does not mean that cities should forget about the tenure issue when carrying out CWSU.
- ³ See also Turner, J. (1970, 1969) and Turner, J. and R. Fichter, eds. (1972).
- ⁴ The legal status may apply to the house, occupation of the land or land use (zoning).
- ⁵ These are also sometimes called "peri-urban", "marginal", "informal" or "unplanned" settlements. The terminology is often inaccurately applied as invasions are often planned and do not emerge spontaneously. Furthermore, some writers have also pointed out that slums may often be located on the margins of the city but are far from marginal to the city economically providing a cheap labour force for industry, commerce and even government as well as constituting a mass of consumers.
- ⁶ In fact squatting is often far from being cost-free. Invaders sometimes have to pay to participate in an invasion. Once the land is occupied they may informally buy or rent housing units. Be this as it may it is still cheaper than formal 'solutions' to which the poor will have little or no access.
- ⁷ Yuen 2007:4 records that this was the case in Singapore until 1959.
- ⁸ Slum dwellers have mobilised in Rio de Janeiro to protest planned evictions as part of preparations for the 2014 World Cup and 2016 Olympic Games to be held in the city. See <http://comitepopulario.wordpress.com/> and <http://rio.portalpopulardacopa.org.br/>
- ⁹ Werlin (1999: 1524) reports that because slum clearance was so widespread during the 1970s, United Nations officials estimated that governments were destroying annually more low-income housing than they were building.
- ¹⁰ For descriptions and analyses of sites and service schemes, their benefits and their problems see Srinivas, H. <http://www.gdrc.org/uem/squatters/s-and-s.html>, Rodell 1983 and Swan et al. 1983)
- ¹¹ <http://www.unhabitat.org/content.asp?typeid=19&catid=542&cid=4868>
- ¹² Khosla, P. (2011), Mehrotra, S.T., Khosla, P., K. Travers et al., (2010) and Taylor, A. (2011) all analyse and discuss the extent and nature of violence against women and girls in urban areas as well as approaches to take to combat it.
- ¹³ "Post-occupation" refers to the period after the completion of the project or programme. It more accurately refers to a turnkey project where occupation only takes place at the end rather than an upgrading process where residents, of course, already occupy the settlement. However, it is conventional to use the same term for slum upgrading.
- ¹⁴ For a discussion of problems in obtaining the desired level of participation see Skinner (1983).
- ¹⁵ The choice of contractor should be the community's but it will probably choose local construction groups because they are cheaper, locally known and trusted and easier to supervise than external contractors.
- ¹⁶ The programme was rural; an urban programme would probably benefit from easier logistics.
- ¹⁷ Examples and descriptions of participatory planning techniques can be found in Chambers (1999: 115-125), Kumar (2000) and Lewis et al. (n.d.), as well as a wealth of up-to-date information at the Participatory Learning and Action website: <http://www.iied.org/natural-resources/key-issues/empowerment-and-land-rights/participatory-learning-and-action>
- ¹⁸ Note: UBN = Unmet Basic Needs
- ¹⁹ The Cities Alliance maintains a data base of city development strategies which it has supported, many of which include slum upgrading: <http://www.citiesalliance.org/ca/cds>
- ²⁰ The IMF website describes the requirements of a Poverty Reduction Strategy Paper: <http://www.imf.org/external/np/exr/facts/prsp.htm>
- ²¹ This is a thorny issue because if measures are not put in place, there may be exploitation of the relatively poorer segments by those who have the capacity to acquire or own properties. In one project, the direct beneficiaries / owners charged the tenants market rents after the upgrading even though the project had leveraged a 75% subsidy. The rent charges were 200% above the mortgage.
- ²² See also Imparato and Ruster, 2003:170.

- ²³ This is likely in cases where an international donor is involved who will want external representation on the PMU which will be selected through established recruitment procedures rather than nomination as was possible with the task force.
- ²⁴ This is particularly problematic in cases where an independent PMU operates on mandate received during a previous municipal administration. The present Mayor and government may feel less commitment to their predecessors' commitments and see the PMU as an independent relic of past administrations. The author has experience of how this can lead to serious obstacles for the development of an upgrading programme.
- ²⁵ Some opponents of upgrading can be found in unexpected quarters. In the upgrading of the Kibera slum settlement in Nairobi it has come from small landlords who opposed land regularization because they would lose the rents they charged if alternatives were created. Source needed.
- ²⁶ Much of what has been written about stakeholder analysis is directed at the business world but is applicable to slum upgrading and other development contexts. Two short guides are Gawler (2005) and Thompson (no date). The U.S. Centers for Disease Control and Prevention (2011) have a short 'course' while the European Commission/Food and Agriculture Organization have produced a one-page summary of the process. With respect to strategic planning, UN-HABITAT (2010f) have a downloadable publication on how to carry out such an exercise at citywide level.
- ²⁷ There are many different project management software packages, most proprietary but a few open source. Technical advice should be sought to ensure the most appropriate package is obtained for your programme.
- ²⁸ The Dutch government provided funding for the SINPA (Support to the Implementation of National Plans of Action) Programme up until the early 2000s which advised the municipal governments of Kitwe, Zambia and Santa Cruz, Bolivia, amongst others, in improved resource generation. (Source needed).
- ²⁹ See <http://www.sdinet.org/partners/> The foundations are: Bill and Melinda Gates, Rockefeller, Sigrid Rausing Trust and Tides. Misereor is also a donor.
- ³⁰ A dwelling is defined as "a residential unit, either an independent structure or within a multi-unit structure, designed, occupied or intended for occupation by one household, with its own access" (UNCHS, 1991).
- ³¹ Some donors, such as the Inter-American Development Bank, will insist on a proximity clause in their loans cases of resettlement (Magalhães & di Villarosa, 2012: 14). The International Finance Corporation (2002) has published guidelines on how resettlement should be dealt with, including compensation arrangements.
- ³² Actors and organizations to be recipients of assets is often made early in the programme but such agreements should include a clause which gives the programme the possibility to change recipients if it is felt that responsibilities will not be met by those originally identified.
- ³³ Similarly, seminars can be held to present programme results and discuss them amongst practitioners.
- ³⁴ In some slum settlements in Ciudad Juárez, Mexico mothers have been known to tie their young children to heavy furniture in order to prevent them injuring themselves while they are at work. (Author's field notes).
- ³⁵ We have already seen that community management can lead to substantial cost savings such as in the Baan Mankong case (see section Chapter Four).
- ³⁶ This is an idea we came across in Chapter Four when McLeod (2003) suggested financing CBOs to forge new alliances with public and private sector agencies. She mentions banks, for example, who may be willing to support the upgrading process when they have understood the investment processes of the poor and thereafter develop the internal mechanisms within their own institutions that are required if intermediation between informal and formal systems is to occur.
- ³⁷ Patton (2002: 204) has produced an extensive checklist of "particularly appropriate use of qualitative methods".
- ³⁸ Randomised control trials compare the results of two groups or populations, one of which has received an intervention (here upgrading) and one which has not. The 'random' element comes in by randomly selecting groups to receive and not receive upgrading (in order to avoid bias). Of course this would be impossible, for obvious practical reasons, to carry out in the context of upgrading. But settlements which have been upgraded and those which have not can be directly compared. This is what is called quasi-experimental design.

- ³⁹ The author of this Guide was introduced to citizens' watchdogs in the upgrading programme he was directing in Bogota, Colombia. At first he considered it a likely nuisance but quickly found it to be a valid way of assessing progress, providing feedback from and to the community and providing increased legitimacy to the programme.
- ⁴⁰ Collison & Parcell (2004) is an excellent source for those looking for more ideas on how to set up organisational learning processes.
- ⁴¹ The Consejería para el Área Metropolitana de Medellín (The Commission for the Metropolitan Area of Medellin) was established in 1990 to address the problems of violence, governability and social breakdown in low-income neighbourhoods.

Today there are nearly one billion slum dwellers worldwide of a total world population of slightly under seven billion (UN, Department of Social and Economic Affairs, 2011). While 220 million people have been lifted out of slum conditions over the past 10 years, the number of people living in slum conditions is likely to grow by six million every year, to reach a total of 889 million by 2020.

In order to address this, it is necessary to equip cities and their practitioners with the tools and capacities to anticipate and control urban growth. In this light, municipal staff will require knowledge, skills and methodologies that will allow them not only to upgrade existing slums but also prevent the appearance of new ones.

This Guide, *A Practical Guide to Designing, Planning and Executing Citywide Slum Upgrading Programmes*, advocates for a citywide approach to slum upgrading. This approach represents a fundamental shift from piecemeal project interventions to a citywide programme approach. While singular projects are relatively limited in scope, scale, duration and geography, citywide programmes are longer in duration, broader in scope, and involve multiple settlements and simultaneous interventions.

This Practical Guide is part of a trilogy on citywide slum upgrading that includes *Streets as Tools for Urban Transformation in Slums: A Street-led Approach to Citywide Slum Upgrading* and *A Training Module for Designing and Implementing Citywide Slum Upgrading*. Together, these publications present a UN-Habitat approach to slum upgrading, encouraging an approach that is both street-led and citywide. Along with the other two partner publications, this Practical Guide provides an accessible tool for practitioners, leading them through UN-Habitat steps towards a successful citywide slum-upgrading program.

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