Access to city-wide infrastructure and basic services to the poor
&
Participatory city shelter development planning for the poor

Symposium on Cities and Slums

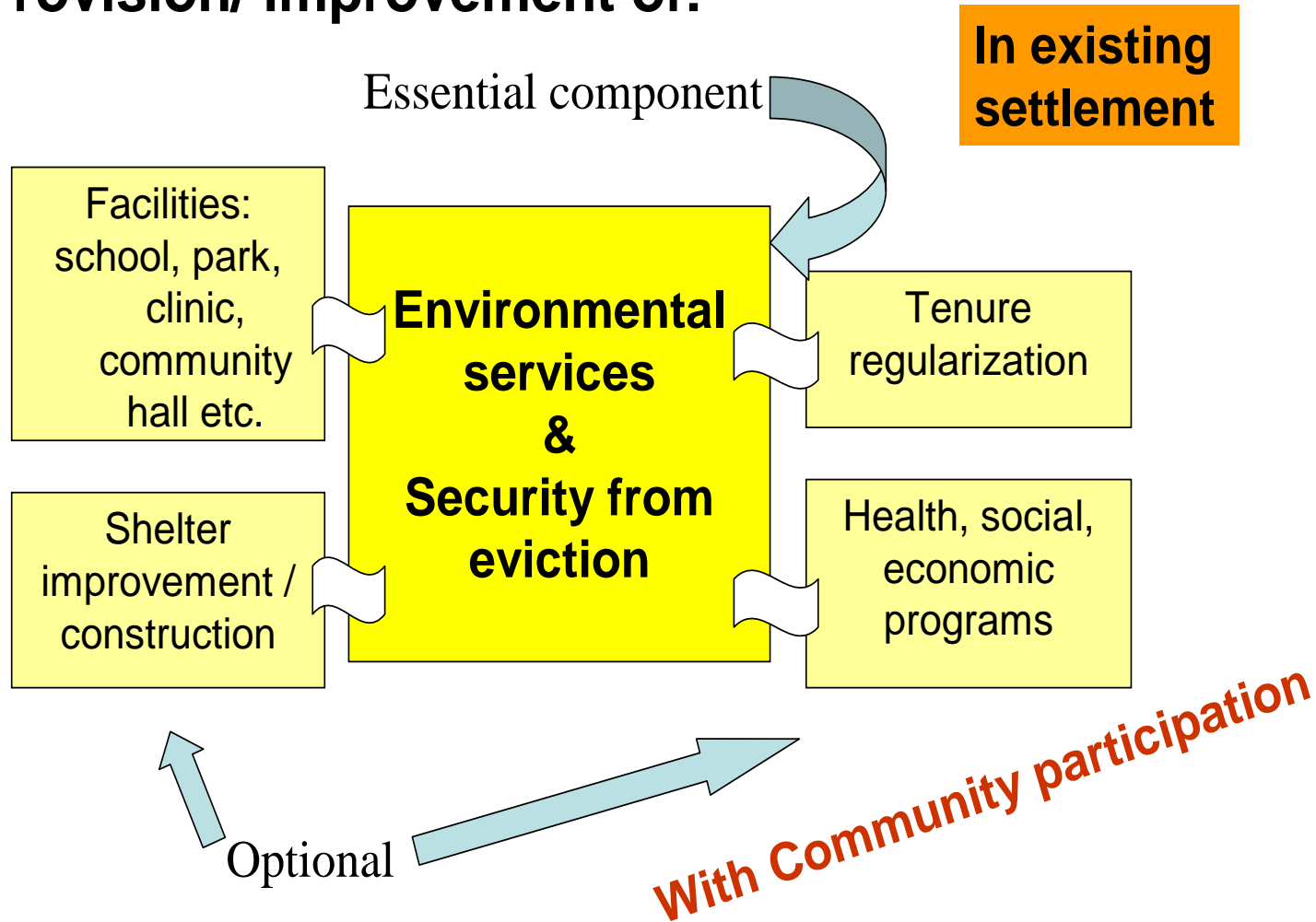**ADB, Manila, 30 October 2013**

Banashree Banerjee

What is slum upgrading?

"Slum upgrading is not a collection of technical actions to be performed independently of each other.

"It is an integrated and comprehensive intervention aimed at improving the physical characteristics of a neighbourhood and its inhabitants' quality of life" (UN-Habitat)

What is Slum Upgrading?

Provision/ improvement of:

Essential component

In existing settlement

Facilities: school, park, clinic, community hall etc.

Environmental services & Security from eviction

Tenure regularization

Shelter improvement / construction

Health, social, economic programs

Optional

With Community participation

Evaluation findings of SU from cities across the world

Policy emphasis on low cost, quick and visible results in projects has some problems

Full integration and sustainability Not achieved

Slum dwellers invest in housing but..
But risk losing it …
If tenure is not secure
If the site is hazardous
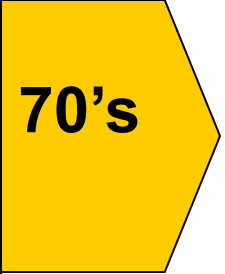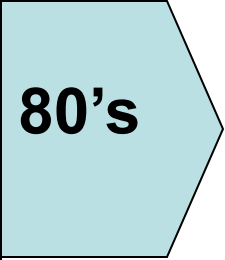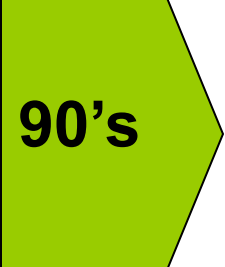**If the regulatory framework is not supportive**
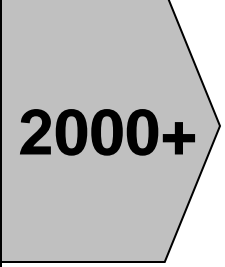
Retrofitting services in slums is not always low cost
Low costs are at the cost of long term sustainability
(poor quality, high maintenance, not connected with networks, City level environmental problems not addresses)

Slum by slum approach cannot solve the problem of scale or integration with city and cannot prevent slums

Evolution of responses towards slums

70's	Ignored, demolition, eviction, relocation to built housing	Slums are bad, slums are temporary
80's	Recognition, improvement/ upgrading projects	Slums are a housing solution,
90's	Integration, social inclusion, upgrading programmes	Slums are here to stay
2000+	High density relocation, redevelopment, urban integration, CWSU	Slum land is real estate, paradigm shift for scaling-up

Reality

- In practice this historical evolution has overlaps

- In most countries/ cities responses are mixed and approaches co-exist

- New models of inclusion in city wide programmes follow two paths:
    - Market based
    - Participatory with private sector inputs
    - Participatory

- Integration with city infrastructure is not always achieved

Examples of City-wide Slum Upgrading from Asia

Market based	- Sustainable Townships Programme, Colombo, Sri Lanka - SRA, Maharashtra, India
Participatory (with private sector inputs)	Baan Mankong, Thailand - CDS, Philippines - RAY, India
Participatory	APUSP, MPUSP, KUSP, India

"Symbols of hope" for including the poor in Asian cities

1. Market forces generate wealth in cities, which can be re-distributed

2. Civil society groups represent the interests of the poor and are increasingly drawing their strength from networking

3. Decentralization potentially enables local government to better respond to the needs of citizens.

Rajiv Awas Yojana (RAY) for "Slum Free" Cities

Phase 1: 2011-2013
Phase 2: 2013-2022

Government of India Programme in partnership with State and local government and poor communities

Slum Free India

Every citizen has right to civic services, social services and shelter

**Shift from
project approach
to
Whole city, All slum approach**

Community Participation

Support for investments	⟷	Policies for scale and sustainability

Curative Strategy	Preventive Strategy	Reform Pillar 1	Reform Pillar 2	Reform Pillar 3
Improvement of existing slums	Providing shelter and services for growth	Tenure security to all	Reservation of land	Earmarking of funds

Decentralised	Flexible	Incentive led	Involve markets

Shelter for homeless	Transit housing	Basic services	Revelopment	Relocation	Rental Housing	Affordable Housing

Methodology of Slum Free City Planning

Situational Analysis and Environment Building

Planning Process

Curative Strategy for Improvement of Existing Slums

Preventive Strategy for Future Slums

Preparation of geo referenced city base map *

Inventory of Vacant Public Lands

Tenability Analysis

Assessment of Housing needs and demand

Socio-economic survey of Slums

Formulation of Future Housing Supply Strategy

Integration of spatial data, socio-economic and bio-metric information at slum/city level to create a GIS enabled slum MIS

Investment Projections

Formulation of Ward/Zone /Slum Redevelopment Options

Investment Requirements and Projections

Implementation modalities

Financing Strategy

Institutional Arrangement

Finalisation of SFCPoA and prioritisation of slums and investments

Total Station Survey is not necessary to conduct at this stage, it needs to be conducted only in prioritized slums during DPRs preparation stage

Initiating the preparation of Slum Free City Plan
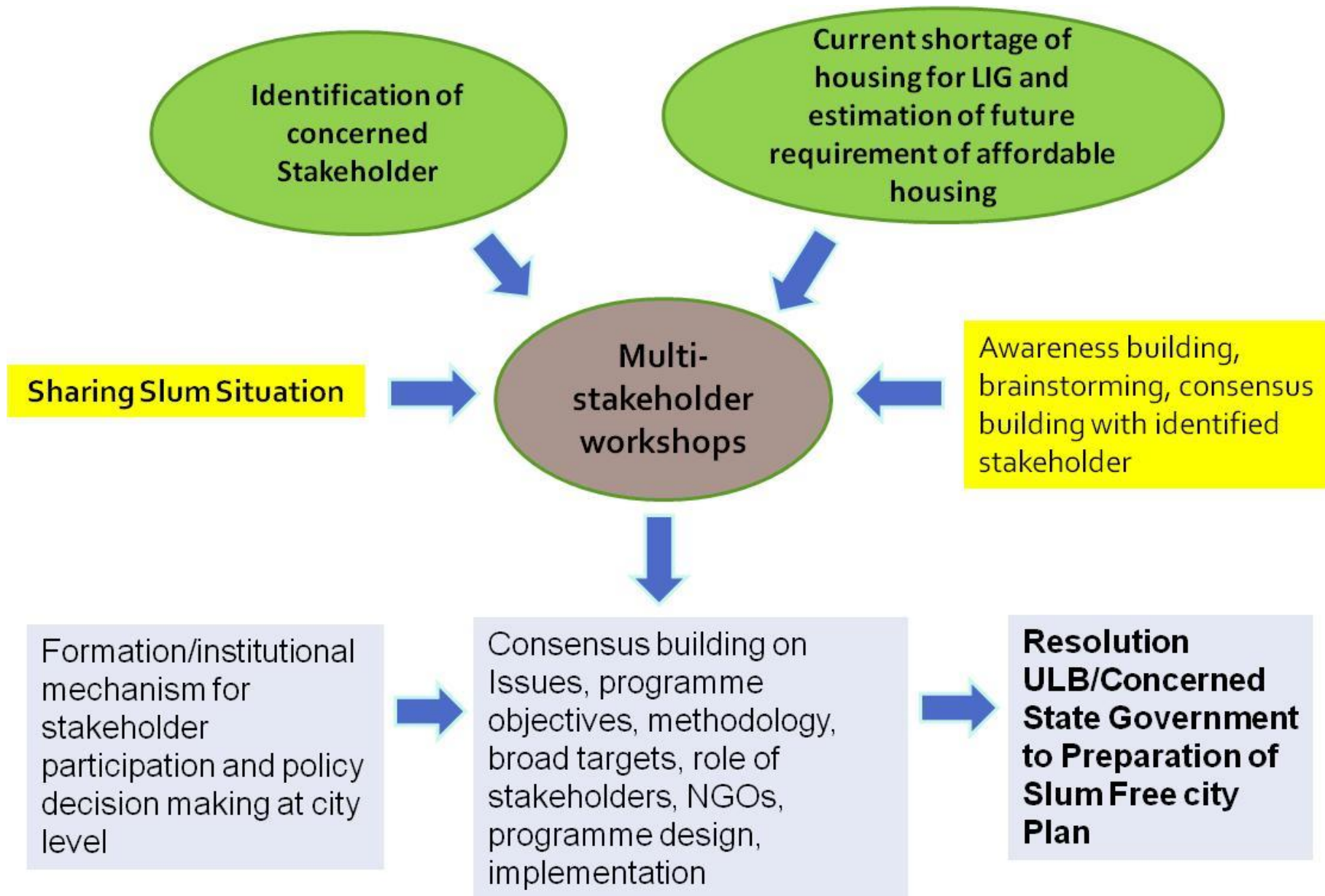
TENABILITY OF SLUMS
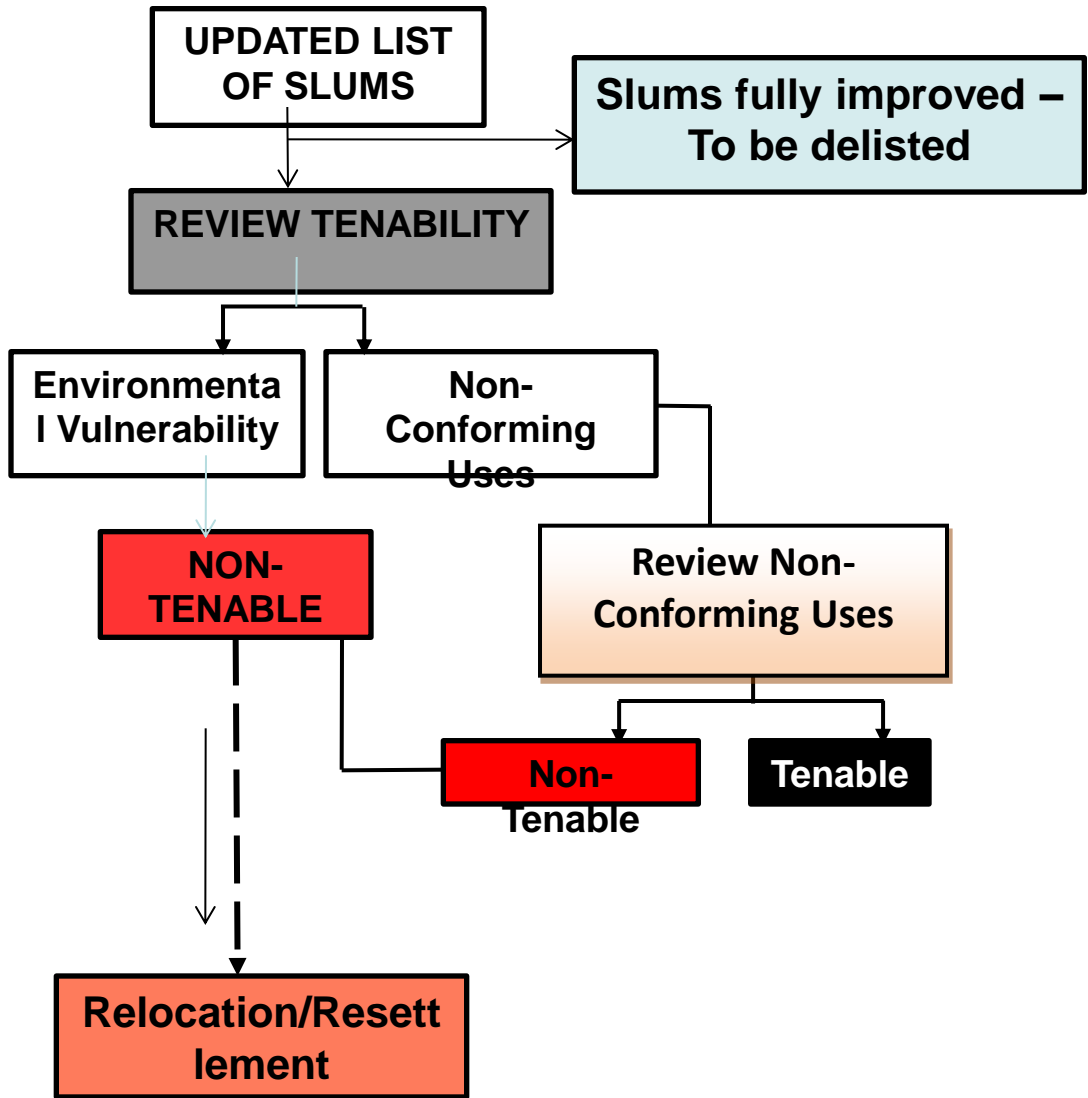
UPDATED LIST OF SLUMS

Slums fully improved – To be delisted

REVIEW TENABILITY

Environmental Vulnerability

Non-Conforming Uses

NON-TENABLE

Review Non-Conforming Uses

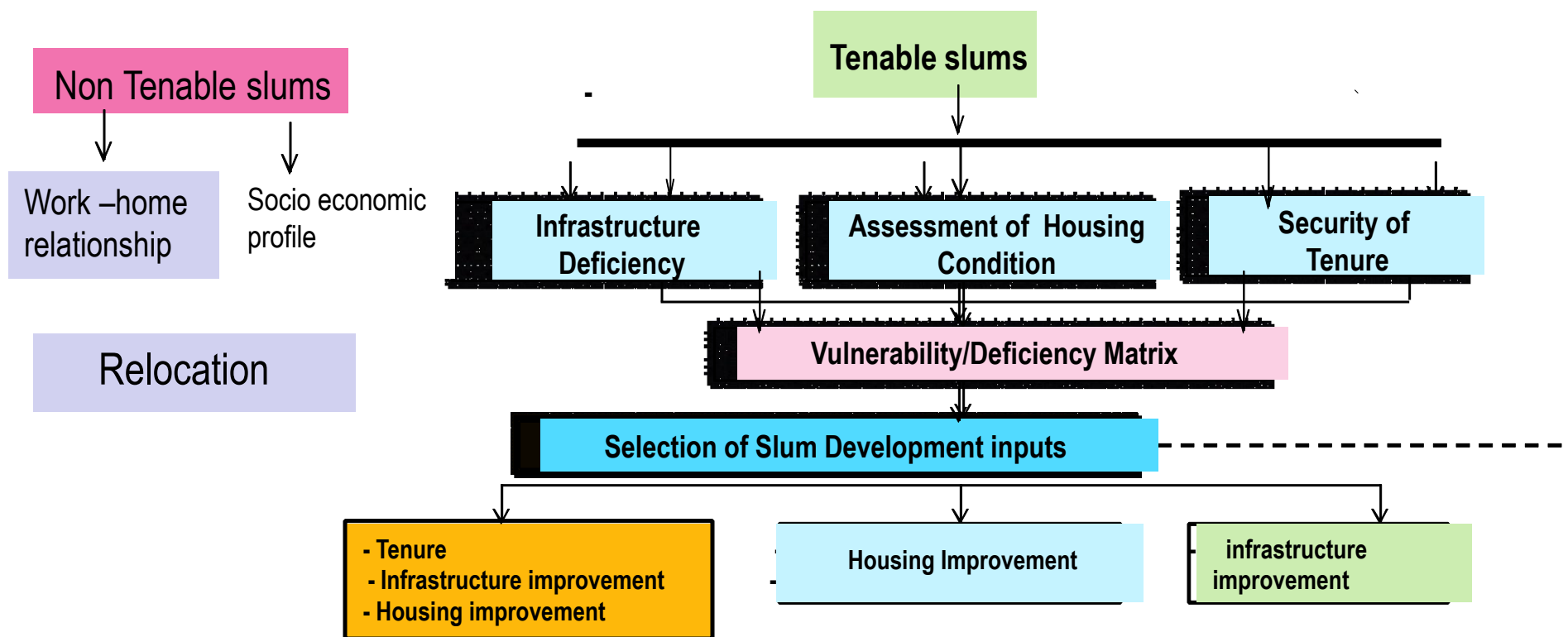**Non-Tenable**

Tenable

Relocation/Resettlement

Integration of spatial data, socio-economic and bio-metric information at slum /city level to create a GIS enabled slum MIS

1. Preparation of slum profiles
   - Preparation of slum MIS
   - Create GIS enabled slum MIS

Formulation of Slum Redevelopment Plan

Non Tenable slums

Tenable slums

Work –home relationship

Socio economic profile

Infrastructure Deficiency

Assessment of Housing Condition

Security of Tenure

Relocation

Vulnerability/Deficiency Matrix

Selection of Slum Development inputs

- Tenure
- Infrastructure improvement
- Housing improvement

Housing Improvement

infrastructure improvement

Key features of RAY

- Improving and provisioning of housing, basic civic infrastructure and social amenities in intervened slums.
- Enabling reforms to address some of the causes leading to creation of slums.
- Facilitating a supportive environment for expanding institutional credit linkages for the urban poor.
- Institutionalizing mechanisms for prevention of slums including creation of affordable housing stock.
- Strengthening institutional and human resource capacities at the Municipal, City and State levels
- Empowering community by ensuring their participation at every stage of decision making
- Involving the private sector through PPP and affordable housing schemes

Credit may still not flow to the poor-

Banks are fearful of loan waivers, difficulties in foreclosing mortgages of the poor, high costs of collection

Private sector participation may not materialise-

Developers will return to HIG as soon as the market upswing starts

States may have difficulty assigning land for slums

Many slums are reservations, untenable locations, on private land and on central lands; many states have adopted auctioning of lands as a policy

Lack of an institutional framework for social housing may delay execution

State Housing Boards mostly dysfunctional

Resistance from Slumlords/slum-dwellers

There are huge vested interests in slums

Andhra Pradesh Urban Services for the Poor (APUSP), India

APUSP Coverage: 42 towns in Andhra Pradesh (AP) India

Population benefited

Urban population:
    9.5 million

Slum population:
    3.4 million

Background of APUSP

Partnership between Govt. of AP and UK Government's Department for International Development (DFID).
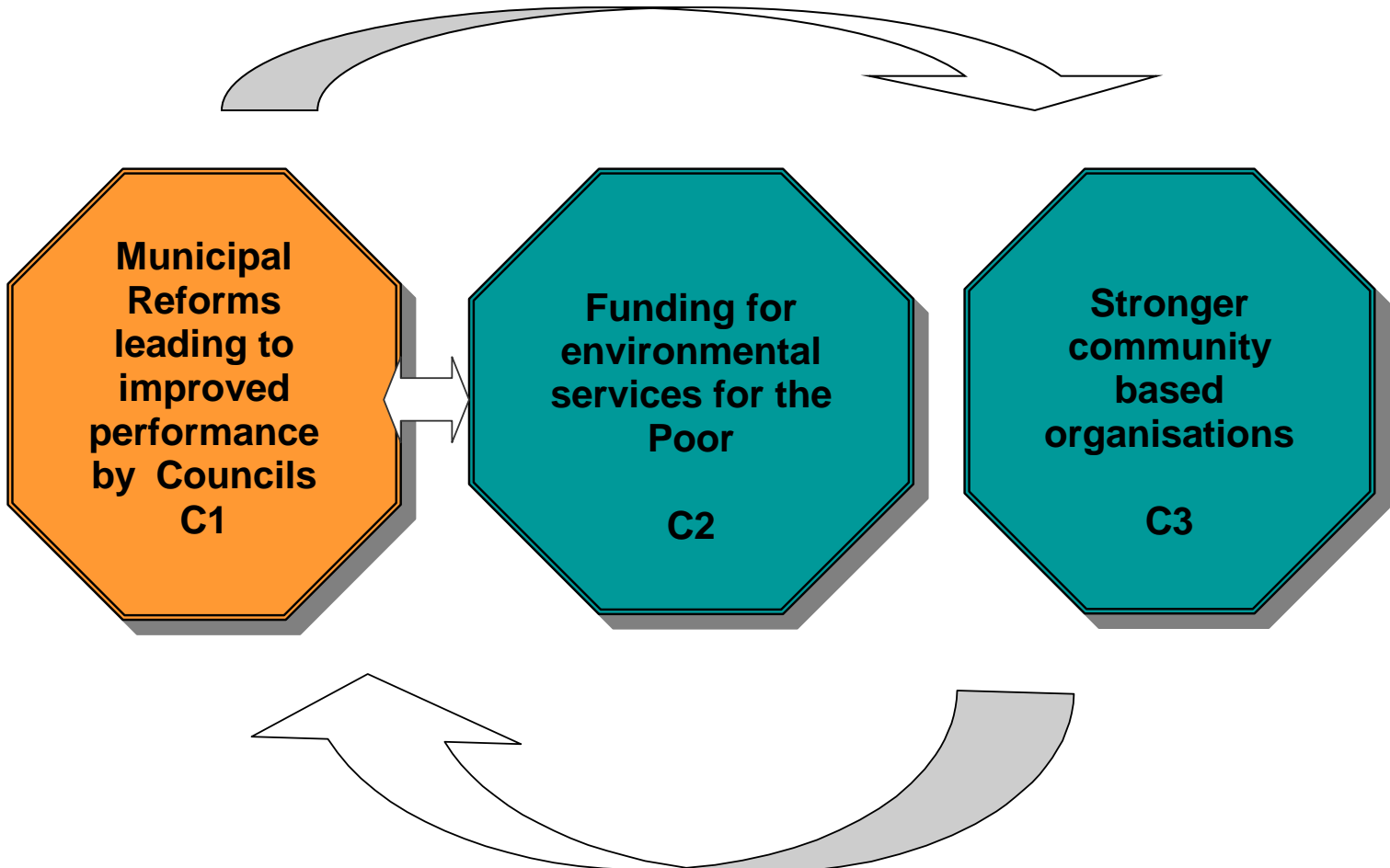
DFID provided technical and financial support of £ 94 mill

AP Department of Municipal Administration and Urban Development (MAUD) provided establishment expenses, matching grants to municipalities

Milestones

2000	**Initiated by municipalities in 32 secondary towns**
2004	**Extended to 10 more municipalities**
2008	**Mainstreamed as state Govt's Mission for Eradication of Poverty in Municipal Areas**

Slum Upgrading as part of a 3-pronged pro-poor strategy

Municipal Reforms leading to improved performance by Councils C1

Funding for environmental services for the Poor

C2

Stronger community based organisations

C3

The three components are brought together in….

Municipal Action Plan for Poverty Reduction (MAPP)

MAPP contains the municipality's strategy, proposals and implementation plan with measurable outcomes for:
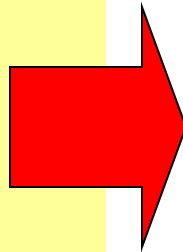
- Phased city-wide slum upgrading and poverty reduction programme
- Pro-poor municipal reform

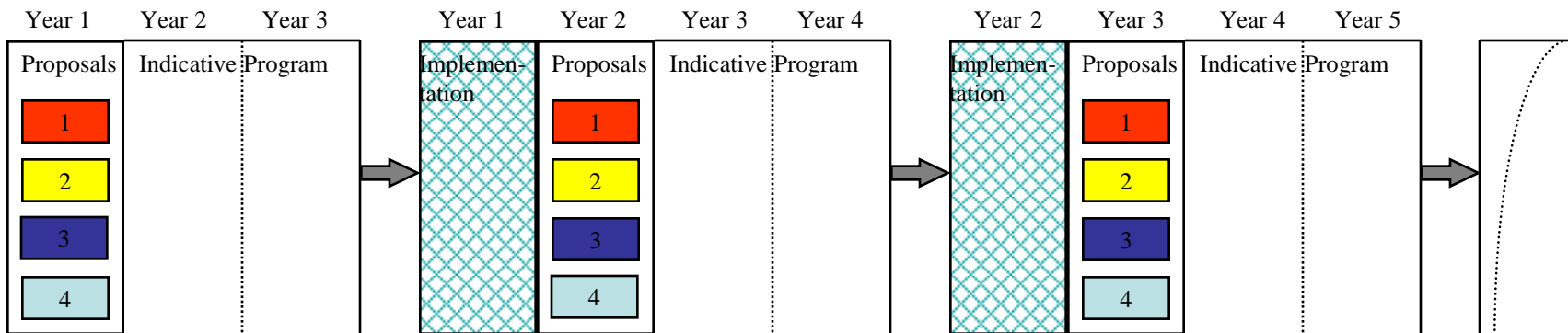# Basic MAPP / Comprehensive MAPP
Simple to Complex

Basic MAPP

- 1 - 2 years
- Uses existing data
- Simple / few reforms
- Few poor settlements for infrastructure improvement

CMAPP

- 3 years rolling plan
- New database established
- IDAP, RIAP, GTP, O&M, FOP, CIIP, Cap. building plan
- Phased yearly infrastructure programme
- Social development programmes
- Links to municipal annual budget

MAPP: Rolling Multi-Year Program

Year 1	Year 2	Year 3
Proposals	Indicative	Program
1		
2		
3		
4		

Year 1	Year 2	Year 3	Year 4
Implemen-tation	Proposals	Indicative	Program
	1		
	2		
	3		
	4		

Year 2	Year 3	Year 4	Year 5
Implemen-tation	Proposals	Indicative	Program
	1		
	2		
	3		
	4		

1 — Environmental Infrastructure Proposal

2 — Municipal Reform Proposals

3 — Social Development proposals

4 — Capacity Building Proposals

APUSP BB Ideas

Planning for CWSU

City level

- Ranking of all poor settlements based on poverty and infrastructure deficiency

- Marking settlements on city land use map

- Identifying settlements in risk areas and difficult areas

<u>Slum prioritisation matrix</u>
Poverty

	1	2	3
1	**1/1**	**2/1**	**3/1**
2	**1/2**	**2/2**	**3/2**
3	**1/3**	**2/3**	**3/3**

Infrastructure Deficiency (vertical axis label)

By working group:
Engineers, councilors, CDS representatives (Women)
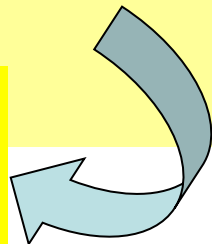
Stakeholder workshop to identify priority poor settlements and Municipal reforms
(municipal departments, councilors, NGOs, trade organisations,university industry,CDS, other govt. deptts.)

Representative structure of community participation

Slum street/ cluster	RCV (Resident Community Volunteer) or SHG leader	Elected by a neighborhood group of 20-40 households or Womens Self Help Group (SHG) of 10-20 women
Slum	NHC (Neighborhood Committee)	RCVs/SHG leaders of one slum form the NHC, with one RCV/ SHG leader as convenor of NHC
City	CDS (City Development Society)	NHC convenors of a city are members and elect their president, secretary etc.

Planning for slum settlement upgrading

Micro-planning in priority settlements
•Mapping and prioritisation led by RCVs, NHCs, assisted by Municipal staff and NGOs

Technical design of infrastructure
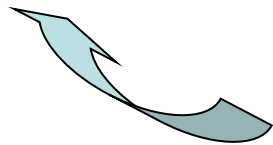•based on micro-plan and endorsed by community

Implementation
•Through community contracts
•Community supervised conventional contracts

Social, economic, health programmes
•Community demand based through micro-planning
•Implemented with NGO support

Capacity building of community leaders
Capacity building of municipal staff

Components: Upgrading & poverty reduction

Community prioritised Infrastructure in poor settlements
- Water supply
- Storm water Drainage
- Roads and Footpaths
- Solid waste management
- Street lighting
- Sanitation

Off-site infrastructure
- where necessary to link poor settlements to network.

Secure tenure & housing loans
- State Govt. programmes
- Slum notification

Community demand based Social, economic, health programmes
- Through NGOs and CBOs

Municipal reform framework

Different and diverse cities
and slums:
different solutions
locally determined by
communities

Access to sustainable services

Sustainable services in slums	City-wide reforms/ state actions
Demand based services in slums linked to city networks	Part of MAPP process to include all slums in a phased programme based on priority slums agreed by all stakeholders
Services provided at standards which are at par with the city. (concrete roads, individual water connection, street lights, solid waste collection)	Funds available initially from DFID and then municipality's own funds generated through revenue enhancement reforms
Quality control of construction of services by local community	•community monitoring of works introduced in the engineering procurement manual at state level after piloting in 3 APUSP towns •3rd party quality assurance
Arrangements for O&M of services	•tax collection from improved slums, municipal O&M budget, earmarking 40% of additional annual tax collection for slums) •Community participation for day to day maintenance
Arrangements made for complaints regarding service breakdowns and problems with poverty reduction entitlements	•Citizens Service Centres set up in all municipalities with assistance for illiterate citizens •Citizens Charters adopted and made public

Infrastructure improvement & shelter consolidation

Community O&M of services

1

2

3

1. Community toilet maintained by residents
2. Garbage Collection by SHG Van
3. Street sweeping by residents

Environmental services omissions

1

1. Non notified slum
2. Neglected open space
3. Typical drain in non-priority slum
4. Typical school toilet and tap

3

2

4

Examples of Livelihood opportunities and supports

Vocational training & placement

4.Pay and use toilet

Women's groups contracted for Mid day meals in schools

Outsourcing municipal services to women's groups

Garbage collection from narrow lanes: SHG garbage van

Management of pay and use toilets

Reform: Pro-poor institutional and financial reforms

- Multi-disciplinary teams for working in slums
- UPA Cells operationalised: Improving community development capacity
- Working in partnership with civil society
- Improved citizen interface: Citizens Charters, Service Centres
- Elected representatives part of the planning process
- Improved resource mobilisation: tax assessments, improved collections, asset management
- Earmarking funds for poverty reduction

How effective is APUSP as CWSU?

Large scale, huge impact on health indicators
- ✓ > 3.2 million poor in 42 towns directly benefit
- ✓ Indirect benefits for >13 million citizens

Inclusion of slums in city
- ✓ Participatory planning
- ✓ Land use planning
- ✓ Infrastructure linkages
- ✓ Mapping and enumeration

Good value for money?
- – Slum upgrading is not low cost but is sustainable

Services sustained
- ✓ Community involved in planning and prioritising
- ✓ Community contracting
- ✓ Minor operation and maintenance
- ✓ Linked with city networks

Relocation of untenable slums
- ✓ Identified
- - No action taken

Fully legal settlements after APUSP
- ✓ Long term lease, building permission, municipal taxes
- - Market displacement of poor

Environmental risks
- - Mitigation expensive and not always possible
- - Deter investment in housing

Pro-poor municipality
- ✓ Participatory Planning (MAPP)
- ✓ Institutional development
- ✓ Financial reforms
- ✓ Partnerships with civil society

Civil Society advocacy
- - Limited to 8 towns and very few organisations

City Development Strategy (CDS)

Philippines

City Development Strategy (CDS)

- CDS is an action plan for equitable growth in cities, developed and sustained through participation, to improve the quality of life for all citizens.

- The goals of a CDS include a collective city vision and action plan aimed at:

A) improving urban governance and management,

B) local economic development, and

C) systematic and sustained reductions in urban poverty.

CDS Principles

- Emphasis on livability, bankability, competitiveness and good governance,
- Cities prepare their own comprehensive, long-term development strategies with guidance
- Local ownership: The city government involves local stakeholders in the entire strategic planning process - assessment, visioning, strategy formulation, project prioritization and capital investment planning - through a series of consultations

CDS Philippines

The CDS approach supported the country's decentralization goals and the Constitution's vision of an inclusive "Peoples' Government"

CDS, Philippines

- the CDS is widely recognised as an effective tool for strategic urban planning

- Its flexible nature allows each city to identify its unique challenges and development opportunities.

- Slum upgrading, housing and poverty reduction are common threads in all CDS's

- Every city has its own long-term vision statement and a concrete plan of action against which progress is closely monitored.

- At every stage, stakeholders (including civil society, businesses, academia, local government officials and city residents) are involved

Process of preparing a CDS

CDS team needs to define stakeholders, how to bring them in, establish and maintain a dynamic participatory entrepreneurial culture.

A CDS methodology might consist of five phase:

- **Vision:** stakeholders' consensus-building on the preferred economic future of the community.

- **Goals:** based on the overall vision and specify desired outcomes of the economic planning process.

- **Objectives:** set the performance standards and target activities for development.

- **Programs:** set out approaches to achieving realistic economic development goals.

- **Action Plans:** define achievable program components, prioritized activities, establish costs and responsibilities.

Scaling up CDS

1998 7 cities	CDS 1: Preparatory Activities for the Expansion of CDS Programme in the Philippines
2001 31 cities	CDS 2: Upscaling Poverty-Focused CDS in the Philippines.
2006 15 cities	CDS 3: An Enabling Platform for Good Governance and Improving Service Delivery
2013	50% of cities in Philippines have prepared CDS

Support to CDS, Philippines

Project	City Development Strategies for the Philippines 1998-2008
Partners	Cities Alliance, League of Cities of the Philippines (LCP), the World Bank, UN-Habitat, Japan International Cooperation Agency (JICA), Asian Development Bank (ADB)

Key role of LCP

- The League of Cities Philippines (LCP) has acted as an intermediary

- provided guidance, hand-holding and capacity building support to cities in collaboration with other institutions.

- It has developed a CDS Toolkit and

- an internet based 'knowledge management platform' for cities to share experience and access international knowledge.

Recurring barriers to successful preparation and implementation of CDSs

- CDS platform is valuable in stimulating public debate over investment priorities

BUT

- funding for many priority actions not available.
- government agencies, accountable for outcomes in their respective areas, do not always agree with priorities identified in CDS
- interests of stakeholders are often competing
- NGO's do not always represent community consensus
- There are differences in information available to stakeholders,
- Corruption and elite capture of decision making are not uncommon

Critical requirements for taking forward CWSU in Asian cities

- Change conventional planning and attitude of planners
- Build capacities and resources proportionate to large scale
- Build of institutional & organisational capacity
- Build local level skills to shift to complexities of programmatic approach
- Cities to use tools and instruments to increase revenue
- Avoid piecemeal project/settlement focused interventions. They hinder city-wide approaches and connectivity with city services.

Thank you!