

**Chapter 1 : Slum upgrading and participation : lessons from Latin America (English) | The World Bank**

*Community Participation in Housing Uploaded by ravianand14 Presentation on the examples of Aranya Township and Half-a-House, explaining the design of social housing with a positive light.*

Property Rights Key references include: Journal of Planning Education and Research. Third World Planning Review 15 1. Social and Legal Studies Vol. In The Informal Economy: Studies in Advanced and Less Developed Countries. Castells, and Lauren Benton. The John Hopkins University Press. The Invisible Revolution in the Third World. Are Public and Private Strategies Contradictory? Farvacque, Catherine and Patrick McAuslan. In Urbanization in Contemporary Latin America. Gilbert, J, Hardoy and R. Housing, the State and the Poor. Re joining Baken, van der Linden and Malpezzi. Third World Planning Review 18 2: Third World Planning Review 16 4: Regional Development Dialogue 13 1: Understanding the Developing Metropolis: World Development 15 7: Lessons of the Failed Socialist Experiment. Scheduled to appear in: Open House International 11 4. The Changing Role of Government Policy. Edited by Alan Gilbert, J. John Wiley and Sons. Urban Development Cooperation for the s. United Nations Development Program. Enabling and Working with Markets The significance of the current policy focus on enabling and working with markets reflects the current policy faith in the ability of markets to deliver in housing provision and urban upgrading. Yet, in practice enabling still remains an ambiguous strategy. Not only is its precise definition difficult, but claims of policy success involving enabling are countered by claims of failure. Habitat International 17 2: Urban Studies 29 1: Real Estate Economics 24 2: A Review, with Reference to Kenya and India. The Result of an Efficient Market? Urban Studies 29 7: Global Strategy for Shelter to the Year What Can the Private Sector Do? Urban India 7 2: Recent Reforms in Mexico. Housing Policy Debate 4 2: Community Participation Literature that supports the idea of community participation makes four major claims. First, community participation leads to better results in project delivery because of a better chance of knowing beneficiary preference. Second, it leads to easier acceptance of project results by beneficiaries. Third, it leads to better economy of projects because of participation directly reducing costs and enhanced willingness to pay. And finally, community participation is a worthwhile end in itself. But evidence from projects indicates that involving communities in projects is not that easy. There are two major problems. First, it is unclear how precisely to get the community involved, as opposed to the notion of a few leaders of the community getting involved. Second, it is not clear how desirable it is to increase community participation at the expense of project efficiency, although increasingly it is recognized that participation must occur for success in a project. Community Initiatives in Urban Infrastructure. In The Urbanization of the Third World. Edited by Josef Gugler, pp. The World Bank Participation Sourcebook. How Communities Organize Themselves. A community based process in programming and development. Reinhard Goethert and Nabeel Hamdi. Action Planning for Cities: A Guide to Community Practice. Hamdi, Nabeel and Reinhard Goethert. Table of Contents Building Community: A Third World Case Book. Edited by Bertha Turner, pp. An Interview with a Community Leader. Journal of Planning Education and Research 9 3: Progress in Planning Vol. Community Participation in Development Projects: The World Bank Experience. World Bank Discussion Paper No. Environment and Urbanization 2 1: Habitat International 18 2: Edited by Peter M. In Progress in Planning, Vol. The View From Above. Community Development Journal 25 1: NGOs and other Intermediaries The literature recognizes that despite the significance of community participation, it is likely that communities need intermediaries such as non-governmental organizations NGOs and community-based organizations CBOs to mobilize and solicit participation. Apart from this, NGOs are also capable of helping with technical assistance and even financial support. The nonprofit ways of the NGOs and other intermediaries are seen as a middle path, distinct from the state and the market divide. But it is unclear how efficient such intermediaries are? Or even how democratic in nature they are? There has also been criticism of the benign lens used to judge such organizations. This body of literature calls for the need to understand better the strength and weaknesses of NGOs and other intermediaries. Habitat International 21 2: The Challenge for NGOs. World Development, Special Issue 15 Supplement. Opportunities and Challenges in an Era of Federal Devolution. Housing Policy

Debate 7 2: Origins, Evolution, and Functions. Thomas and Robert C. Housing Policy Debate 9 3: Habitat International 21 4: International Institute for Labour Studies. Poverty, Aid and Technology. Comparative Case Studies from Zimbabwe. Third World Planning Review 18 3: Leases, Land, and Local Leaders. The World Bank, Capacity Building, Training The concept of capacity building has grown in significance because of the need for replicability.

**Chapter 2 : Bibliography, Institutional Issues**

*Dealing with the meaning and scope of community participation, the potential benefits for the actors involved, practical obstacles, the shared responsibilities and related questions, this text.*

The importance of democracy to grassroots communities in urban contexts was realized in when the 74th Amendments to the Indian Constitution were introduced to strengthen urban governance by empowering municipalities to make certain decisions including financial ones on their own by consulting local communities. Because their implementation and efficacy was disputed Vidyarthi, , programmes with a pan-Indian scope have remained largely unresponsive to the growing demand for bottom-up planning. An analysis of the major programmes launched post-independence reveals that the common deliverables were mostly preordained by political entities, bureaucrats and experts mostly seated in the capitols without considering popular opinion, and funds were allocated based exclusively on statistics MoHUPA, When implemented, these programmes either faced mismanagement of funds, lack of harmonization between the centre, state and local polity, legal barriers, or simply were not adopted. Consequently, these "blanket" programmes either achieved marginal success or failed. Such paternalistic and non-participatory approaches are widespread across India in all programmes and have grievous effects when extended to urban-poverty eradication programmes, especially in the development of slum-areas. The urban housing shortage in stood at This has aggravated the already raging housing poverty un-housed or under-housed families and unleashed spatial injustice, unemployment, and many other problems. Research also suggests that the absence of tenure-security has aggravated housing poverty where it has been repeatedly utilized for legitimizing eviction. In the absence of a robust land records management system, land ownerships are often disputed. Properties left vacant for speculation ultimately experience encroachment by the state. It was touted as "The Great Indian Mass Housing Project" which, in spite of the promised participatory nature and settlement upgrading, set aside the agenda of infrastructure development and transformed into a slum rehabilitation scheme carried out by almost all major cities. Mahadevia et al, Social audits undertaken by various research organizations to assess BSUP schemes throughout India observed a lack of understanding regarding the relationship between housing, livelihood, and tenure-rights, as well as an overall presence of haste, mismanagement, official callousness and disregard for basic human rights. Owing to the absence of a comprehensive selection procedure, slums selected for the programme were mostly those in prominent locations. Some have argued that BSUP was used as a tool to rid high value, centrally located lands from slums, resettling slum-dwellers to the peripheries where they would have no connection to city-wide infrastructure Prasad, The household survey which identified beneficiaries and attempted to understand their expectations was also criticized on the grounds that it was carried out with no slum-dweller involvement. The survey records were mismanaged and the list of targeted areas was often completely inaccessible to public. This resulted in ineligible beneficiaries being included in the list, as the Comptroller and Auditor General of India CAG has pointed out Chakravartty, Even the "technically right" housing designs by professionals reflected insensitivity towards the culture, aspirations and needs of the people, resulting in insufficient space, poor choice of latrine locations and arbitrary site planning. In certain cases, abrupt changes in layouts and infrastructure facilities were made to suit the available budget without seeking public opinion. Problems also existed in relocation sites, normally located on the city-fringes. Often the slum households were allotted completely vacant lands, where evictees themselves had to build the transit infrastructure. The lack of funds, dearth of developable land, elusive land ownership documentation, and operation and maintenance responsibilities resulted in slow implementation that forced people to personally invest in their transit tenements. Among these deficits, the absence of livelihood opportunities affected the residents most Mahadevia et al, Moreover, the BSUP principle of providing tenure-rights to slum-dwellers was altogether neglected. For example, in Pune, rehabilitated slum-households were not granted tenure-rights over their new houses, providing no respite from threat of eviction Shelter Associates, In Bhopal, only the evictees with conditional occupancy-rights issued by the state called patta were rehabilitated Mahadevia et al, It has also been reported that some funds meant for projects under BSUP

were diverted to other non-poor programmes, jeopardizing the inception or completion of essential pro-poor projects. As an alternative to the paternalistic approach and to empower slum communities with their own habitat improvement and management, Rajiv Awas Yojana RAY was initiated in to realize a "slum-free-India" with inclusive and equitable cities in which every citizen has access to basic civic and social services and decent shelter. It acknowledges the urban poor and their settlements as an integral part of a city and institutionalizes inclusivity in habitat planning by strengthening access to services and establishing tenure rights. RAY aims to achieve this vision by encouraging the state to tackle the problem of slums. They encourage an integrated approach that brings those forced to live in extra-formal spaces into the formal system. It advocates for making services and amenities available to those who have been denied these rights, and for creating legal title in city spaces. It aims to correct the deficiencies of the formal systems of urban development and town planning that have failed to create conditions of inclusiveness and equity. It is envisaged that new urban families have access to housing with municipal services, rather than be forced to create encroachments and slums and lead extra-legal lives in deprived conditions. RAY funds the development of housing and infrastructure from a number of sources: Tenure-security is of the utmost importance, because the central funds can only be accessed if the state grants land titles to slum-dwellers, thus helping to protect them from evictions, secure credits, and realize social inclusion. In addition, institutional reforms in the form of bye-law amendments, pro-poor policies, establishing slum-development agencies in collaboration with slum-dwellers, and including community-based organizations and NGOs in decision making etc. Raipur Raipur is the capital of Chhattisgarh. Being the only major agricultural, commercial, industrial and educational centre in the region, it attracts large numbers of immigrants. The city initially grew around three central lakes and expanded rapidly in all directions with a current population of 1. The spurt in construction of housing complexes and large-scale infrastructure projects has attracted numerous migrants from the neighbouring states. The households have owned pattas since , which merely allow occupancy rights and do not confer legal status by design. Jorapara is not connected to city-wide trunk infrastructure. While water demand is met by borewells or handpumps, private toilets equipped with cesspits cater to sanitation. Gangtok Gangtok is the capital of the state of Sikkim. The city has a total population of 0. Gangtok is urbanizing rapidly because it is the state capital, the primate city, and a popular tourist destination. The heavy civic-investment in Gangtok has resulted in lop-sided development concentrating around the city and threatening its fragile ecology. Rapid urbanization coupled with topographically restricted developable land resulted in the creation of slums. Presently, there are 58 slums in Gangtok covering an area of 1. Gangtok has more protected forest than habitable area, so most of the slums in the city lie either in non-conforming areas or are precariously interspersed between residential areas in the city and the periphery. There are three categories of slums: Slums within commercial areas. These are mainly low-cost rental houses with poor ventilation and bad lighting. Sanitation facilities are either shared or non-existent. Slums that are encroachments in protected forest land. These slums lack basic amenities like drinking water, good sanitation and solid waste management. The land is also prone to frequent landslides because of the Jhoras mountain streams. Slums on private land. These slums also lack basic amenities because land owners restrict the residents from constructing infrastructure like houses, toilets or drains. It has a total area of 0. Bhanugram is located in the heart of the city, encroaching on state government land. Owing to a lack of legal status, the slum lacks basic services like water and sanitation. Also, dilapidated housing coupled with poor ventilation pose a great threat to the life and health of residents. The following are steps RAY has taken to engage the communities of Raipur and Gangtok at every step of the process. It introduced RAY and highlighted the necessity of participation, while discussing issues facing the ward and the slums. A community mapping exercise was undertaken to understand the way the people of Bhanugram see their settlement and to help them locate the neighbourhood features that may need upgrading. The slum-dwellers were also asked to pick from a pile of picture cards depicting toilets, houses, lighting, water-supply, schools, dispensaries, tenure, etc. Based on the activity, neighbourhood groups were formed to identify which issues to address. The main concerns that emerged from the workshop were housing, garbage-disposal, and taming the Jhoras. Prioritization of Issues Community representatives were selected in Raipur for the purpose of raising awareness about RAY and animating street-meetings. They were successful

in creating a general awareness about issues in the community and in equipping residents especially women with the skills needed to identify issues and implement solutions. Household items such as wheat flour, pulses, vermilion, earthen utensils, tree leaves etc. Women especially took to the exercise, quickly developing a map that highlighted the ponds, temples, sitting places, individual houses etc. The organic drawings helped explain the spatial distribution of poverty and vulnerability in Jorapara. Later, the participants brainstormed poverty indicators in their settlement and identified the houses they thought were most disadvantaged. Participating households agreed that indiscriminate dumping of garbage into the Jhora should stop and that garbage vats should be used more effectively. However, garbage collection was still irregular, so the community decided to approach the Gangtok Municipal Corporation GMC about rectifying the situation. Street meetings with women groups in Jorapara, Raipur Women in particular took action on the slow extinction of the Bada Jora because of garbage dumping and the sludge from crude toilets. Representatives held many meetings to persuade community members to discontinue throwing garbage into the lake, encouraging them instead to collect garbage in bins and throw in the road-side municipal vats. Most households quickly adopted the practice. The initiative received widespread praise, including from the Mayor of Raipur. Regarding housing, we learned that many families lived in abandoned houses with a scarce water-supply. Because Sikkim has no neighbourhood-level water supply, water had to be piped in from the main source - a very costly process. Poor families would often share costs to make water sourcing more manageable. However, the sharing of costs also generated frequent disputes over maintenance responsibilities. While the CBO has been discussing this issue with the community, a more sustainable solution is awaited. Because some of the content of the survey was sensitive such as toilet usage practices and drug addiction rates, chosen enumerators from the community were trained in conducting the survey. In Raipur, the slum-survey was conducted and managed entirely by a group of female volunteers from the community, while the CBO was responsible for data-collection in Bhanugram. The inclusion of local people in the survey process helped to quickly build a rapport with the community and made the data collection schedule more flexible. The collected data was entered into an online platform specifically designed for analysing the socio-economic conditions of the slums. Once completed, the survey data was publically displayed and community comments were invited. With only minor changes, the data set was approved by all households involved and the ward-councillor. Although mapping of the two slums was completed with the support of professionals, street-meetings enabled community members to validate and correct the data throughout the process. In Jorapara, while the community approved of the housing designs and space allocation, it was concerned about unused land ownership rights, transit accommodation, the fixed size of dwelling-units and construction methods. Most slum-dwellers wanted to build their own dwelling units without the involvement of contractors.. The community representatives played a very crucial role in clarifying misconceptions and clearing doubts with the community.

**Chapter 3 : Urbanomics: NIMBYism, community participation, market failures, and slum redevelopment**

*Apart from professionals in the fields of sociology, urban studies, and development studies, Community Participation and Slum Housing will be of interest to policymakers, voluntary organizations, and international agencies.*

Community participation in public sector-led housing and service delivery for the urban poor can determine the success of these projects, says Sohini Sarkar. A look at the experiences of CHF International in building participatory spaces and programmes in urban low-income housing projects in Bangalore, Pune and Nagpur. A whole host of factors, including bureaucratic inertia, limited capacity of urban local bodies ULBs to pursue community engagement, rapid escalation of urban land prices, and nexus between rogue developers and politicians have posed roadblocks to serious engagement with slum residents. Procedural challenges like the rush to meet deadlines set under JNNURM for submission of CDPs and DPRs, and ill-conceived targets that do not accommodate the somewhat time-consuming nature of participatory planning and implementation, has more often than not resulted in symbolic rather than real attempts at engaging communities. However, there are inherent challenges to implementing participatory processes, which need to be understood and addressed. CHF provided a mix of grants and technical assistance TA to build the organisational capacity of CBOs, local NGOs and local government entities, especially their ability to effectively engage in participatory planning and implementation. In Bangalore, CHF was invited by the Bruhath Bengaluru Mahanagar Palike BBMP to assist with the implementation of a slum redevelopment programme, which was designed to provide subsidised housing for about 1, residents in 13 slums. CHF worked in collaboration with Bangalore Mahila Milan to develop a strategy to secure retroactive buy-in from slum residents. Engaging the Community Securing buy-in A variety of factors, including socio-economic and cultural profile of the slum communities and the political, economic and regulatory framework play a role in shaping any community engagement process. Once the programme is launched, CHF staff and their local partners meet with relevant city councils to secure their buy-in and enter into MOUs. In some cases house-to-house visits were conducted to explain the project and encourage slum communities to participate. In addition, local partners often conducted entry-point activities to raise awareness about SCALE-UP and start off on a good note like eye check-up camps, health clinics and solar lamp distribution. Mapping the community Spatial surveys and data analysis, including detailed plane table surveys and analysis of existing layout of settlements-plot size, state of shelter, the number of settlement plots, non-residential uses, access roads, religious places, community amenities, shops and facilities are conducted. The survey data is analysed and integrated into a geographic information system-based management information system MIS. The data from socio-economic surveys is used to identify eligible beneficiaries. Once beneficiaries are selected, individual beneficiary files are developed for each household comprising: Consent of the beneficiary on design, Socio-economic survey form, Tax and the receipt of other PMC bills, Residential proof this could include ration card, election card, electricity bill etc. Each beneficiary is provided a copy to retain as part of his or her legal record. Designed by the community Communities were also engaged in design of the housing units. For instance, in Pune Mahila Milan staff comprising women from the slums collaborated in designing and redesigning of models and dissemination of information with the communities. If it involved additional costs, beneficiaries were required to pay extra. In in-situ slum upgrading, a final design approval was obtained from the beneficiary and a legal agreement signed between the building contractor and the beneficiary. They also liaised with local banks to open joint accounts with the beneficiaries, followed up to ensure timely deposits and evaluated beneficiary passbooks at each phase of the construction process. Training of trainers ToT , that comprise building capacity of select group of CBOs or individuals drawn from a relevant pool of stakeholders is a popular capacity building strategy. Capacity building efforts need to be designed to ensure that the knowledge is not restricted to a few groups or individuals. For instance, in Bangalore, where BBMP had not ensured community consultation during the programme design phase, slum residents were sceptical and at times openly hostile to ULB officials visiting their slums for enumeration activities. However, SCALE-UP chose BSUP-approved slums where Mahila Milan was already active and despite a late start, were able to fast track the mobilisation process due to

the trust they had built. On the flip side, past history of local partners and associated perceptions can also threaten participatory processes. Public sector-led efforts for affordable housing and basic services for the urban poor cannot afford to alienate the communities they plan to serve. It also improves the chances of sustaining the investments as beneficiaries develop a greater sense of ownership and stake through participatory planning processes. Engaging slum residents in participatory planning is easier said than done. Slum communities are rarely, if ever, homogenous. A range of diverse and vested interests exists within slums, making the process of consensus building challenging and time consuming. Also, raising awareness, removing scepticism, and securing buy-in of slum residents to participatory processes can also be labour intensive and lengthy. This creates challenges for community mobilisation and consensus development. The cost for these changes and additions could be given to the beneficiary. For several houses, which have constructed pucca houses but do not have sq. Currently, most of the local governments in India implementing BSUP-funded interventions lack the organisational capacity and tools to effectively engage in inclusive governance. Examples of improvements that could create the right set of incentives for local governments to engage in inclusive and pro-poor governance include: Sarkar is also pursuing a doctoral degree at American University, Washington DC, focusing on the housing crisis of the urban poor in India. This article is part of Prayas Edition 5: A place called Home.

**Chapter 4 : "United We Build" - Lessons on Slum Upgrading in India | Global Communities**

*'The focus of this study was to inquire the levels of participation of Pumwani community members during Pumwani phase 11 slum redevelopment scheme and whether the issues that emerged thereof were influenced by participation.*

The definitions have core implications for conceptualizing the problem, understanding the scope of the problem, and for the allocation of resources. Using the UN Habitat definition of slums, the following sections explore the background and prevalence of the manifestation of slums in the developing world. The definition, which allows the consideration of slums in the nondeveloping world, will be explored later in this entry. The following explores the causes of slums and is mainly relevant to the developing and nondeveloping world.

**Contributing Factors** Various factors have been linked to the presence of slums. This is perhaps reflective of differing perspectives among scholars, and in some cases affected persons, as to whether slums continue to exist because of purposeful design, benign neglect, or other forms of intentional inattention to the needs of poor people and slum dwellers. A full exploration of these perspectives is worthy of exposition, but is beyond the scope of this entry. There is agreement among major global institutions and researchers that key causal factors include modernization and structural adjustment interventions, poverty, poor planning, poor governance, and climate change. Under colonialism, poor indigenous people were exploited for labor. Their needs were not considered in planning. Slums were viewed as extensions of the ethnic village tribe Arimah, Some scholars have linked the IMF and World Bank interventions as extensions of colonialism as a causal factor—namely the structural adjustment and peasant modernization programs Davis, ; Murray Li, Both programs influenced the shifting of subsidies and other resources away from traditional sustenance and small commercial farming to more modern farming methods embraced by larger corporate growers. This has resulted in deep cuts in domestic spending, including agricultural support. De-peasantization or modernization programs sought to move sustenance farmers to increase efficiency in growing by requiring farmers whose families had for generations used traditional methods to sustain themselves to increase output or leave farming to become rural or urban wage earners Davis; Oya, In many cases, modernization coupled with reduced agriculture support had the net effect of creating global food shortages Arimah; Davis. African countries such as Ethiopia and Ghana were particularly hard hit. Additionally, climate change—impacting rainfall pushed many families beyond the scope of their ability to feed and house their youth. Thus, young people, with no amassed resources, sought out cities for economic opportunity, which they did not find upon arrival. Their exodus to the only low or no-cost spaces available Oppong-Ansah, illustrates how SAPs and de-peasantization are driving poverty as a push factor for migration to urban slums. Poverty Seeking opportunity in urban areas is the core connection between slums and poverty. One the chief consequences of poverty is the lack of access to adequate, permanent, safe, and affordable housing. The global population affected by poverty has sought to access housing where they can and have thus found themselves living on land that has limited value or importance to governmental or private development entities UN Habitat, An additional connection is the impact of poverty on educational attainment and social mobility. Worldwide, when people live in areas of high concentrations of poverty, their ability to move into working and middle class is severely hampered Krishna, Once a poor person becomes a resident of a low-income area, their exit can only be facilitated with extensive planning and intervention UN Habitat, Poor Planning Slums are viewed as geographical manifestations of poverty driven by poor urban planning Arimah, ; UN, Urban slums in which active planning and intervention are not in place are growing in scale and the degree of poverty experienced there is worsening. Davis makes key distinctions between slums where poor planning persists and areas where active planning is in place. The World Bank captures this dichotomy using M. The interventions being applied incorporate self-help approaches and interventions by local government and NGOs Davis, ; UN Habitat, This deterioration is further fueled by the continued rapid influx of the poor without planning and action to address current needs or to project future actions required to improve the slum area. These institutions assert that poor governance results in the lack of a political will to address the conditions of slum dwellers via planning and resource allocation. Research conducted by Devas supports these findings and more specifically suggests that the lack

of participation by poor citizens in decision making regarding planning and land use for slums has been linked to a greater likelihood that slum conditions will persist. Fox further asserts that lack of voice and participation is one of several factors that define poor governance. The additional factors include lack of transparency, limited accountability, limited participation, lack of the rule of law, bureaucratic inefficiency, and failure of enforcement to support property rights Arimah, It is important to note that participation means having the ability to actively shape and then vet urban planning and development decisions. Climate Change As discussed under poverty, lack of rainfall is a critical factor pushing people from rural farms to urban areas. Climate change is also contributing to rising sea levels, a particular threat to slums in coastal areas Adelekan, Slums are more likely to be located in areas that are susceptible to flooding and land collapse. Slum housing, because of the use of poor-quality materials, is less likely to withstand earthquakes or storms with strong winds Saha, When slum housing is destroyed, residents are likely to resettle in other nearby slums, thus causing further slum growth. Each of the aforementioned factors helps to create slums or maintain status quo slum conditions, yet when these factors are corrected, governments can avoid the conditions experienced by residents of slums, which are described below. Conditions Because slums are home to large concentrations of people who are poor, socially marginalized, or otherwise relegated to a low socioeconomic status within their particular society Davis, ; Devas, , these areas are often impacted by a complex web of poor social, economic, health, and spatial conditions. The array of conditions culminates in the lack of political capital to secure safe, sanitary, and affordable housing UN Habitat, Additional details on the nature of these conditions follow. Economic Conditions Slums are also characterized by other challenging social conditions, including high levels of poverty, low educational attainment, and social stratification resulting in classes of economically oppressed people. These people are often racial, religious, or cultural minorities. Some slum communities have high rates of unemployment. However, some scholars have argued that it is important to consider that many people in slum communities are employed in informal alternative economies Cities Alliance, ; Devas, The types of work can include activities that may be deemed illegal, such as prostitution and drug selling. Other activities may include various aspects of domestic work, mechanical work, textile and clothes making, toilet attending, or gathering and recycling materials or the production of crafts or art UN Habitat, According to Dash , people employed within the informal sector may work for themselves and others doing work that is undesirable or insufficiently profitable for non slum dwellers. This sector may also include economic activities deemed illegal such as prostitution and drug selling , and thus are potentially more difficult to draw into the formal economic sector in milieus where these activities violate social norms. Health The key conditions that threaten health in slum communities are the lack of access to sanitation and clean water University of California at Berkeley, The lack of sanitation causes a myriad of unsafe conditions because people dispose of waste, both human and other types, too close to where they live, resulting in the contamination of water sources Water Aid, Although recent upgrades have improved such conditions across the globe, the majority of slum dwellers continue to lack access to sanitary systems within their homes Nderitu, Some slums have public sanitation systems that may be accessed for a fee. The flying toilets contribute to unsafe water conditions, which increases exposure to water-borne miasmas that cause dengue fever, cholera, and diarrheal diseases. Slum dwellers also face the risk of accidental injury and possible death resulting from unstable land when slums are situated on steep slopes UN Habitat, Other types of injury are possible when slums are located in or near dumpsites, including burn injuries, exposure to toxins, and diseases such toxoplasmosis University of California at Berkeley. Because the toilet facilities may not be private, women in such areas choose to use these systems during hours of darkness, resulting in both physical discomfort and potential exposure to crime Yasin, Because housing is produced by each house holder, it is possible to find people living in various types of structures, which are built from available materials including mud, plastics, cardboard, discarded wood, tin, and aluminum. Structures may also be built using more durable materials, including brick and cement Arimah, ; UN Habitat, Many homes lack plumbing, electricity, access to clean water, or safe sanitation methods.

**Chapter 5 : ENGAGING COMMUNITY IN SLUM REDEVELOPMENT IN RAIPUR AND GANGTOK, INDIA**

*Community Participation in Slum Upgrading Program 3 Surabaya's Data in General Demography and Health Surabaya is the capital city of East Java Province, Indonesia that is the second.*

It will also have a range of additional impacts such as strengthening security of tenure conditions for many, improved public space, livelihood generation, better basic services and urban safety. Physical upgrading of slums with street networks and improved access to municipal basic services through augmentation of physical infrastructure has proven to make formidable positive social and economic changes in many cities. Socially, upgraded slums improve the physical living conditions, improve the general wellbeing of communities, strengthen local social and cultural capital networks, the livelihood generation opportunities, quality of life, and access to services and opportunities in towns and cities. In many instances, processes to improve security of tenure conditions are started. Economically, upgraded slums trigger local economic development, improve urban mobility and connectivity and integrate an enormous economically productive sphere into the physical and socioeconomic fabric of the wider city. In sum, slum and informal settlement upgrading becomes part of a town or cities broader urban vision to enact the right to adequate housing and living standards for all by focusing on the role of housing at the centre of quality of life and thus policy action. Cities and towns thus have the duty to mobilise action towards improving housing conditions in slums as a means of meeting a basic human need. To achieve this, local participation has proved to be pivotal in galvanizing partnerships that catapult communities to address immediate needs within their locale. Participation can be turned into a powerful instrument to mobilize low income communities around the land challenges, urban planning, management and governance issues of their city neighbourhoods, provided that the participation is perceived to meaningful to them, empowers them and improves their daily lives. For this reason, participation is often most effective when initiated at the neighbourhood level through individual or community projects which are relatively limited in scale and developed progressively with outcomes which are achieved in the short, medium and long terms. The search for solutions should be done by understanding security of tenure and land management arrangements, participatory housing design, with a specific focus on the dwelling needs and aspirations of the urban poor and vulnerable groups, including women-headed households. Likewise, there is an urgent need to develop practical tools, knowledge resources and expertise in designing environmentally sustainable and affordable green building solutions. Housing is an opportune and strategic setting through which achievement of mutually beneficial goals of climate change mitigation and adaptation, as well as of sustainable urban development in general is feasible. The planning of residential areas, slum upgrading and urban renewal will help reduce the ecological and carbon footprint of cities and the greenhouse gasses of the national building sector. Provide access to inclusive, sustainable and adequate housing for all Housing is one of those basic social conditions that determine the quality of life and welfare of people and places. Where homes are located, how well designed and built, and how well they are weaved into the environmental, social, cultural and economic fabric of communities are factors that, in a very real way, influence the daily lives of people, their health, security and wellbeing, and which, given the long life of dwellings as physical structures, affect both the present and future generations. Housing is therefore central to sustainable development. Housing is also part of the relationships between society and the environment. On the one hand, housing construction and operation consume large amounts of natural resources land, energy, water, building materials , while producing waste, air and water pollution. On the other hand, housing itself is exposed to a variety of environmental impacts and hazards, including those associated with natural disasters and climate change. These aspects are also significant considerations for sustainable development. This complex web of inter-relationships between sustainability and housing is addressed by the policies for sustainable housing. These policies consider a spectrum of underlying conditions to achieve sustainability in housing development along the four dimensions of sustainability – environmental, social, cultural and economic , such as: Although sustainable housing is often associated with wealth and affluence, it does not need to be so – genuinely sustainable houses are those that are inclusive and affordable for all. Addressing the issue of

affordability is, therefore, a necessary condition for transformation towards sustainable housing. And yet affordability is not enough, because the so-called affordable homes cannot be considered sustainable if they create negative impacts on the environment or social life. The marriage of affordability with other sustainability conditions is a must. In this Guide, the link between sustainability and affordability is discussed in the unified notion of sustainable housing. This approach is necessitated by the holistic perspective of sustainable development and by the very multi-faceted nature of housing. Sustainable affordable housing in this regard may be considered as extension of the adequate shelter for all strategy of the Habitat Agenda: It also means adequate privacy; adequate space; physical accessibility; adequate security; security of tenure; structural stability and reliability; adequate lighting, heating and ventilation; adequate basic infrastructure, such as water supply, sanitation and waste-management facilities; suitable environmental quality and health-related factors; and adequate and accessible location with regard to work and basic facilities: Housing policy development

The growing urgency to provide more homes to millions of households in the developing world, and the remarkable rate of illegal construction and housing production processes calls for a paradigm shift in housing policy, urban planning and building practices. This becomes more urgent when the phenomenon of climate change is considered, given that the building sector is responsible for nearly 40 per cent of greenhouse gas emissions in cities. This problem compels national and city governments to attend to design, planning and technology standards and norms that affect the planning of residential areas, housing design and production, and the construction industry. Sustainable housing is, however, yet to gain its due prominence in developing countries. It is rare that the social, cultural, environmental and economic facets of housing are addressed there in an integrated policy. In others, rapid housing developments create amplified carbon footprint and further negative impacts on the environment. Yet in most developing cities, decent and safe housing remains a dream for the majority of the population, while government considers affordable housing as merely a social burden. In order to address their housing and informal settlements issues, governments need to set up a strong national housing policy to create an enabling environment that will increase the supply of affordable housing. This is a central requirement: Key stakeholders such as national and local government bodies, non-governmental organizations, financial institutions, as well as builders and private sector developers have to operate within clear, given frameworks. This will enable well-defined institutional and operational conditions in order to support the housing sector more effectively and, in doing so, contribute to the provision of affordable, adequate housing for all. National housing policies need to be closely harmonized with other development aspects such as economic, social and environmental interests. For instance, beyond the mere provision of shelter, housing projects have to be understood as playing an active role in boosting employment and the economy, reducing poverty and improving human development. Likewise, housing policies have to include urban planning considerations, advocating for mixed urban uses and medium to high density, ensuring small urban footprints and rationalized mobility patterns. National and local authorities need to be at the helm of housing projects, not only to create a conducive environment for investors, developers and builders – for instance in resolving land issues, but also to ensure housing affordability that is pro-poor oriented, and guarantee provision of basic services and infrastructure. Housing rights

The right to adequate housing as a component of the right to an adequate standard of living is enshrined in many international human rights instruments. During the 1990s, the right to adequate housing gained further increasing recognition among the human rights community, and many governments adopted or revised housing policies to include various dimensions of human rights. These resolutions constitute the main mandate for the establishment of the United Nations Housing Rights Programme. Development of standards and guidelines

Elaboration of existing international legal instruments and support for enhanced compliance by governments

Development of a system to monitor and evaluate progress in the realization of housing rights

See also Joint UN-OHCHR and UN-HABITAT Factsheet 21 on the Right to Adequate Housing

Improve the living conditions in existing slums UN-Habitat has gained solid experience from over three decades of continuous work on slum upgrading which it at the disposal of city authorities and national governments willing to implement participatory citywide slum upgrading. UN-Habitat assists countries to develop and implement housing policies, strategies and programmes that increase access to adequate housing, improve

living conditions of slum dwellers and curb the growth of new slums. Likewise, UN-Habitat assists citywide slum upgrading programmes, and helps strengthening institutional building as well as skills development of technical cadre from governments and other stakeholders involved in developing informal settlements. In this process, a number of participatory planning tools have been developed. These include tools for enumeration and mapping, programme management guidelines and general guides to support the implementation of complex slum upgrading programmes. UN-Habitat provides technical aid to formulate and adopt sustainable housing building codes and revised regulations at country and city levels. It formulates national and cities strategies which synergistically provide reductions in greenhouse gas emissions attributable to housing across their life cycle, climate adaptive capacity through durability and resilience to changing climatic impacts. The strategy simultaneously provides social, cultural and economic benefits in the form of improved quality of life, poverty alleviation, environmental protection and improved health and safety. Besides, UN-Habitat has a strong longstanding experience in accompanying local and national governments to partner with all the key actors in housing, slum upgrading, reconstruction and vulnerability reduction interventions. The interventions are made using a participatory approach whereby the slum dwellers themselves become key partners in the slum upgrading effort, nurtured and organized through an appropriate enabling environment. UN-Habitat guides local and national governments in ensuring that such enabling environments support communities in identifying their problems and establishing their priorities. UN-Habitat also provides specific capacity-building and technical aid. Additionally, it supports the resource mobilization process and the establishment of a sound management framework for communities. Finally, building upon the best practices and the lessons learned, UN-Habitat supports the scaling up of those interventions, converting them into strategies, programmes and policies at broader local and national levels. The United Nations five characteristics defining a slum Inadequate access to safe water Inadequate access to sanitation and infrastructure Poor structural quality of housing Overcrowding Insecure residential status Slum upgrading: Physical upgrading of slums with street networks and improved infrastructure makes social and economic sense. Socially, upgraded slums improve the physical living conditions, quality of life, and access to services and opportunities in cities. Economically, upgraded slums trigger local economic development, improve urban mobility and bring in an enormous economically productive sphere into the physical and socioeconomic fabric of the wider city. In consequence, cities need to improve the housing conditions in slums. To achieve this, local participation can be turned into a powerful instrument to mobilize low income communities around the planning, management and governance issues of their city neighbourhoods, provided that their participation is meaningful, empowers them and improves their daily lives. The search for solutions should be done by participatory housing design, with a specific focus on the dwelling needs and aspirations of the urban poor and vulnerable groups, including women-headed households. If new housing stock fails to be sustainable and energy efficient, cities and countries will for decades be confronted with dangerous energy consumption patterns and predatory forms of urbanization. Housing is an opportune and strategic setting with which to achieve the mutually beneficial goals of climate change mitigation and adaptation, as well as of sustainable urban development in general. UN-Habitat and housing UN-Habitat supports Habitat Agenda partners and all levels of government in formulating and implementing progressive housing sector reforms and legislation that contributes to the creation of inclusive and sustainable cities, and which complies with international law related to the right to adequate housing. It provides expertise to support sound analysis of the housing sector and, in particular, the review of key legislation affecting affordable housing provision. Substantive technical advice on the content of new or revised progressive housing legislation will help national governments to create an enabling environment for the progressive realization of the right to adequate housing. UN-Habitat assists governments to develop policies and strategies designed to maximize the role of lodging in national economic development and employment generation. It helps with in-depth local diagnosis of the state of a housing sector, and provides technical support to the formulation of a national housing policy, including an implementation strategy. UN-Habitat also provides tailor-made capacity development for all housing sector stakeholders. One of the offered solutions is the Housing Profile Tool that has been successfully applied since in at least 10 countries of Africa, Asia and Latin America. This tool enables governments and their national

and local partners to better understand the constraints hindering access to adequate housing by various segments of society. It also provides a review and analysis of policy implications needed to achieve the right to adequate housing for all. Besides, it convenes national and local stakeholders to international expert meetings to discuss national and local analyses related to the right to adequate housing. Furthermore, UN-Habitat is currently developing a Global Housing Strategy to the year , taking into account the challenges of providing adequate and sustainable housing and basic infrastructure. The strategy will consider the need to integrate housing policies into broader urban planning strategies and governmental actions, aligning them with other social, economic and environmental policies. Global Housing Strategy GHS The unprecedented proliferation of slums and other informal settlements is the physical manifestation in cities of a chronic lack of adequate and affordable housing resulting from inadequate public urban policies. Thus, despite significant efforts, the net growth of slums continues to outpace the improvement. The UN-Habitat Global Housing Strategy aims to assist member States in working towards the realization of the right to adequate housing. One of the main objectives of the Strategy is for member States to develop national housing strategies. A national housing strategy guides policies, planning and programming of investment, management and maintenance activities in the areas of housing, slum upgrading and slum prevention. These need to be formulated with the full participation of all relevant stakeholders. Housing strategies, at national and city levels, are inseparable from land-use strategies, infrastructure strategies, including mobility and local economic development strategies, all integrated in the broad, participatory and inclusive urban planning and management process within a supportive legal and regulatory framework. The expected outcomes of the UN-Habitat Global Housing Strategy will re position housing within the global contemporary debate on economically viable, environmentally and culturally sustainable and socially inclusive cities. Furthermore, the Strategy will bring about several critical outcomes, such as: Learn about the Participatory Slum Upgrading Programme.

**Chapter 6 : Slums and Affordable Housing - Encyclopedia of Social Work**

*Slum upgrading and participation: lessons from Latin America (English) Abstract. This book talks about participation, from the first to the last page.*

Enumerations are an increasingly common approach employed by residents of informal settlements and other marginalised communities to generate data that gives them a tangible identity and demonstrate they have the capacity to self-organise. They also serve as the basis for lobbying for policy change on behalf of evictees. Accepting that the Dar es Salaam eviction would take place, the movement hoped to use the data from the enumeration to lobby government for a grant of land for community resettlement. The research sought, first, to investigate what motivates grassroots participation in mobilisation efforts around built environment conflicts, in this case a forced eviction. Second, it studied the consequences of this participation on participants themselves. Renters were seldom found to participate in mobilisation efforts. The fundamental power differential between owners and renters in Tanzanian informal settlements is at least in part responsible for this difference. Other groups – including owners, policy makers and planners – considered renters to be second-class citizens when it came to the impacts of eviction and displacement. Perhaps more disturbingly, renters shared this perspective and felt that their voices were of little consequence to decisions about the future of their homes, community and livelihoods. This finding serves as a stark reminder to carefully interrogate how internal power differences within communities are likely to shape the dynamics of participation. It also highlights that tenure status is often associated with power and that renters can be all too easily overlooked in mobilisation efforts. The second lesson, related to the first, is that communities are more heterogeneous than we frequently assume. While organisers in Dar es Salaam focused their attention on the community writ large, albeit making efforts to include both women and men, the divide between owners and renters escaped notice. A fundamental cleavage in the community went unaddressed in the participation strategy and renters were largely left out of mobilisation activities. The third lesson is that it is important not to assume that everyone in a community will participate; only some will and it is vital to understand what motivates that participation. There are a wide range of factors held by scholars from different disciplines to influence decisions to participate in mobilisation efforts, including economic payoffs, social networks, group identification, political opportunity, relative deprivation, connection to place and even genetic and hormonal factors. The great range of possible motivating factors implies a complex decision calculus for individuals weighing the choice to participate. The fourth lesson is that it is essential to understand what the possible consequences of participation might be and whether these could have negative implications for participants. In Dar es Salaam, residents who participated fared worse in terms of some post-eviction resettlement outcomes than those who did not. The reason for these differential outcomes rests on the fact that participants spent their already limited time engaged in group mobilisation activities rather than securing their own new, post-eviction homes. This reveals that practitioners and policymakers need to be very careful when they draw on the limited time and resources of the poor in participation efforts, as this can have unintended, potentially negative, consequences. The fifth, related, lesson is that it is vital to manage expectations associated with participation efforts. Where expectations are unrealistic, individuals who choose to engage may be left worse off than they might otherwise have been, which may leave them jaded and suspicious of future participation efforts. Finally, the research shows that, in spite of the increasing enthusiasm rhetorically at least for participation and the outstanding work that many community groups have done to improve development outcomes, there is nonetheless a strong need for formal planning processes that can support, empower and protect vulnerable groups. There is considerable risk in the current climate of heightened, but sometimes shallow, support for community participation that communities will be burdened with managing problems of a scale that are simply too immense for them to act on alone. Forced eviction and resettlement may be a case in point. While some communities may be able to effectively cope on their own with extreme challenges such as forced eviction and resettlement, many if not most others will require the support of planners and policymakers and a backdrop of enabling policies and transparent public administration. Read this very interesting article at <http://>

## Chapter 7 : Housing & slum upgrading “ UN-Habitat

*This training module aims at showing that a reorganization of waste-management procedures, including community participation, is more likely to provide durable solutions than purely technical approaches.*

## Chapter 8 : Community participation and slum housing : a study of Bombay (Book, ) [racedaydvl.com]

*SIP is a UNICEF-funded, community-based effort in Bangladesh to improve the slum environment, provide primary health care, and empower poor women living in these communities. Beginning in the mid-eighties, the first phase took place in 57 slums in 5 medium-sized towns. The second phase started in.*

## Chapter 9 : Community Participation: Solid Waste Management in Lowincome Projects

*Community participation in public sector-led housing and service delivery for the urban poor can determine the success of these projects, says Sohini Sarkar. A look at the experiences of CHF International in building participatory spaces and programmes in urban low-income housing projects in Bangalore, Pune and Nagpur.*