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# Approaches to Urban Slums

A Multimedia Sourcebook on Adaptive and Proactive Strategies

*Editors: Barjor Mehta & Arish Dastur*

*Multimedia: Steffen Janus*



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WBI Learning Resources Series

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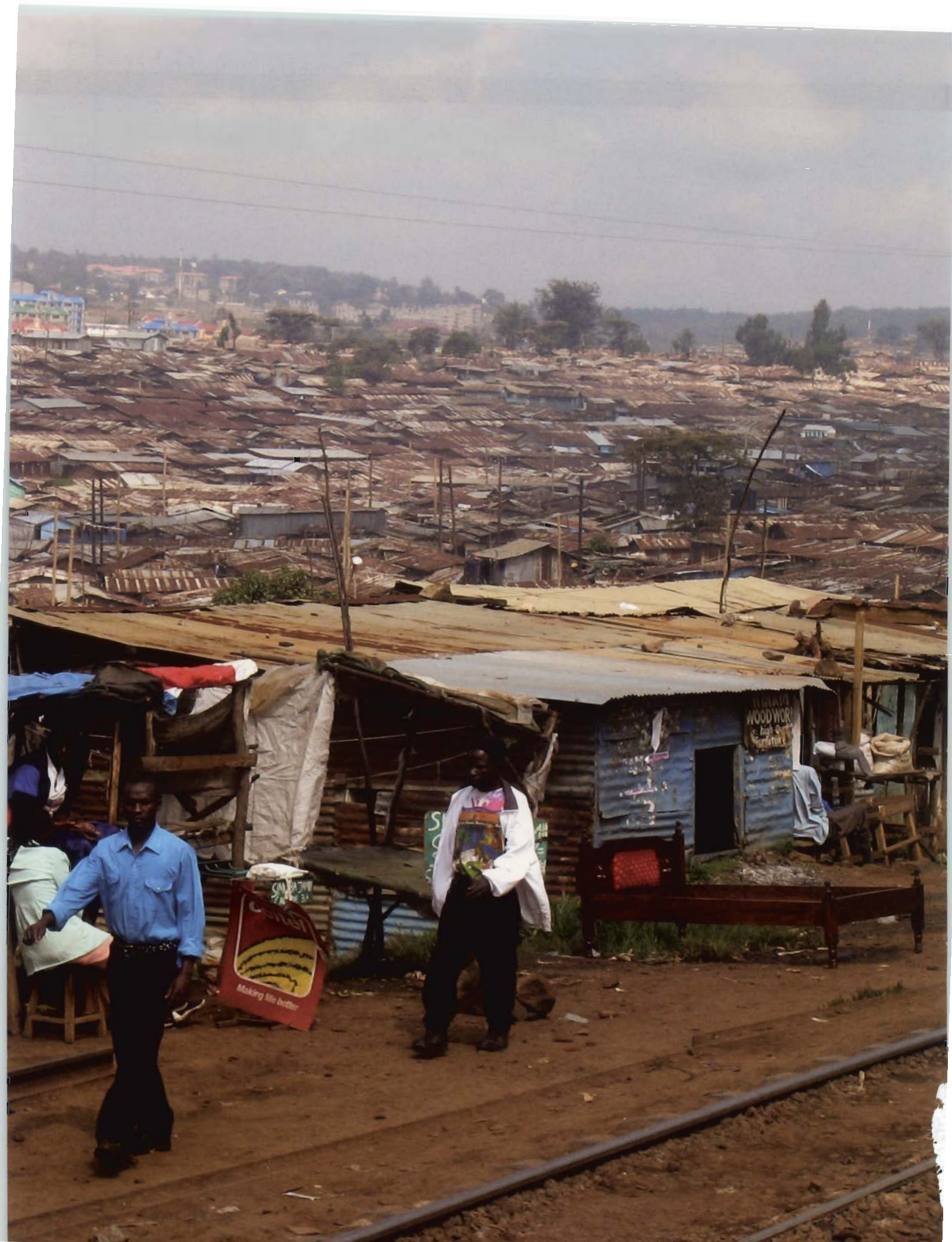
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The sourcebook does not exist in printed format, and can only be viewed on the CD-ROM included with this volume. This guide is a primer to the sourcebook.



## Foreword

The issue of slums is very complex. It cuts across numerous disciplines. It concerns hundreds of millions of slum dwellers directly – and it indirectly concerns all the local and national economies and societies in which slums exist. It is one of the fundamental global challenges of our times. The physical, legal, social, political and economic characteristics of slums are richly varied. Besides, the multiplicity of urban and national contexts within which slums exist adds a further layer of complexity to the issue. So if interventions are going to be meaningful – there needs to be a genuine effort to appreciate the complexities and subtleties of slums, their communities, and how they interact within and with the broader context in which they exist.

*Approaches to Urban Slums* brings together the growing and rich body of knowledge on the vital issue of improving the lives of existing slum dwellers, while simultaneously planning for new urban growth in a way which ensures future urban residents are not forced to live in slums. The sourcebook's user-friendly multimedia approach and informal dialogue greatly increase the accessibility of the content, as well as the range of topics and information that are covered. Totalling over nine hours of modular viewing time, the sourcebook will be an essential resource for practitioners, policy makers, as well as students and academics. It contains the latest perspectives on the burning issues, and cutting edge approaches to dealing with the problems that afflict the living conditions of hundreds of millions of poor people. The sourcebook charts unfamiliar waters in two ways.



First, it recognizes that the Bank's knowledge and perspective on slums could not possibly do justice to the wide variety of rich, on-going experience. Hence, particular emphasis was given to going beyond the walls of the Bank. To do so, we reached out to individuals who have dealt with slums from a variety of perspectives: developmental organizations, governments, NGOs, community organizations, academia, and professional consultants. Including candid perspectives from the field, while also inviting World Bank experts to reflect on the merits of their approaches over the last 35 years, has been crucial in initiating an ongoing, honest and open discussion — one which we hope will strengthen the development community's efforts in the future.

Second, the sourcebook begins to address a rather daunting prospect: that in the next 30 years the number of people living in slums is likely to double unless affordable and proactive shelter strategies are not taken on by local and national governments. Proactive measures are often considerably more effective, affordable, and easy to implement than are retroactive measures. However, the constituencies that will comprise this future challenge are by definition not yet in the city — making the problem politically and physically invisible. If political will to deal with existing slums through adaptive measures is weak, the political will to prepare for future urban expansion through proactive measures is even weaker. The international development community has also not focused on the fundamental issue of pragmatically planning ahead. This is strongly reflected in the lack of published research and literature, and also, disappointingly, in the Millennium Development Goals which focus only on improving the lives of existing slum dwellers. *Approaches to Urban Slums* broadens the discussion to include proactive strategies as an inseparable part of the conversation on slums. By doing so it lays the groundwork, both within and outside the Bank, for further initiatives in this important and essential area.

With hundreds of millions suffering everyday, and projections that their numbers may double — one thing is certain: practitioners and policy makers at all levels will need ready access to a range of practical, affordable and implementable approaches to slums. The dissemination and use of this sourcebook will contribute significantly towards this end.



**Katherine Sierra**  
Vice President, Sustainable Development  
The World Bank



**Rakesh Nangia**  
Acting Vice President  
The World Bank Institute

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### **The Multimedia Presentations**

The content for the multimedia presentations in the Adaptive Approaches, Proactive Approaches and Case Profiles sections was compiled, expanded and edited by Arish Dastur and Barjor Mehta. The multimedia presentations were designed and produced by Steffen Janus.

### **The Video Interviews**

The video interviews in the Case Profiles and Thematic Interviews sections of the Sourcebook were conducted by Arish Dastur.

### **Narrators**

Thomas Wilburn narrated the four Adaptive Approaches presentations, Latifah Alsegaf narrated the four Proactive Approaches presentations, and Arish Dastur narrated the six Case Profile presentations.

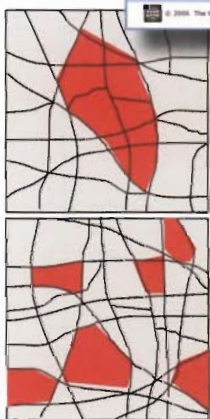
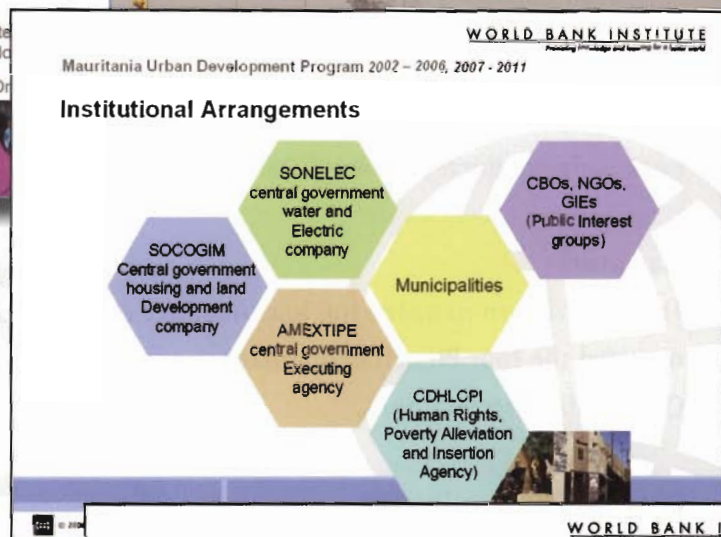
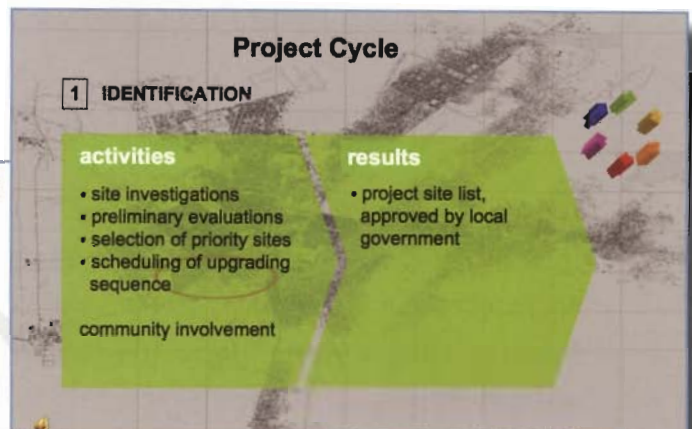
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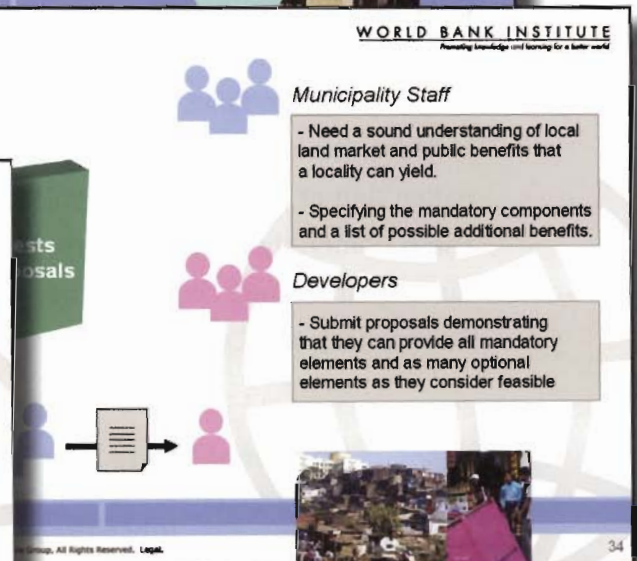
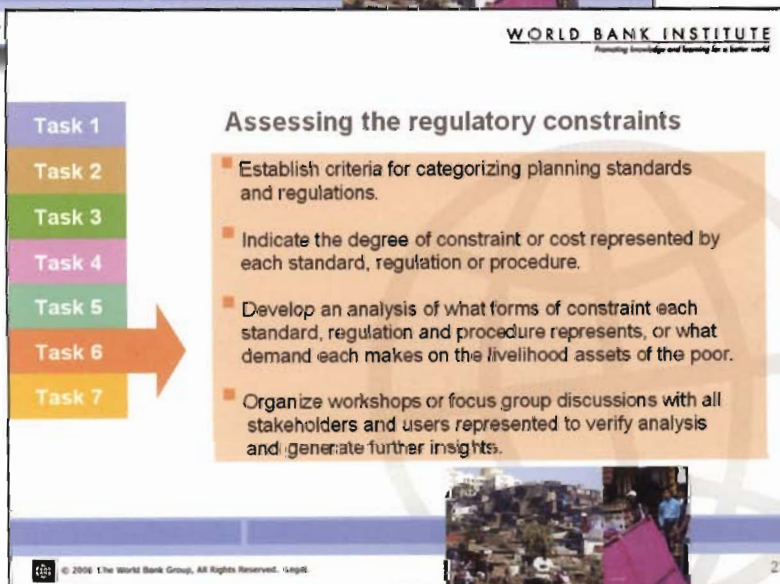




139 hectares  
7 years

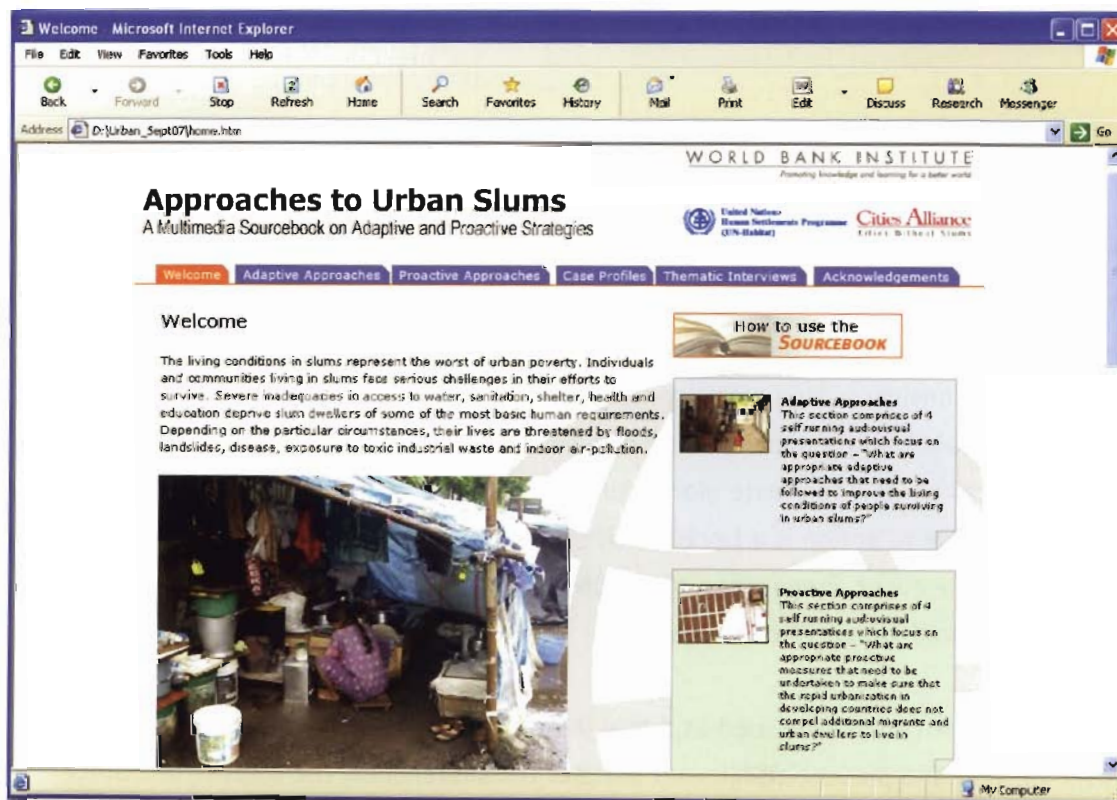
### Time requirements

170 hectares  
5 years



# How to Use the Sourcebook

*Approaches to Urban Slums* is a multimedia sourcebook that comprises 14 self-running audiovisual presentations and 18 video interviews. It is organized into four broad sections: Adaptive Approaches, Proactive Approaches, Case Profiles, and Thematic Interviews. The sourcebook itself, which contains more than 9 viewing hours of content on CD-ROM, does not exist in printed format. This guide provides an overview of the structure and content of the CD as well as approximate running times for the various sections.



*Approaches to Urban Slums* builds on an extensive body of knowledge accumulated over 35 years from a wide range of sources. The 14 self-running audiovisual presentations include photographs, illustrations, maps, graphic animations, and aerial imagery, along with voice-over narration. The sourcebook's multimedia format facilitates the presentation of a highly complex subject by adding an audiovisual and spatial dimension to the descriptive and analytical discussion.

The 18 video interviews provide access to the knowledge and opinions of urban stakeholders and experts on specific issues, and from various development perspectives, including development organizations, governments, nongovernmental organizations (NGOs), community organizations, academia, and professional urban consulting.

### For Self-Study

Clearly, viewing more than nine hours of material at one time may not be advisable. Consider viewing it in segments over the course of a week or maybe two. Since not all the topics in the sourcebook will be of immediate interest to everyone, this guide allows you to become familiar with the content and its organization. You can then select the sections that are most relevant, or simply browse through the menu.

### Face-to-Face Events and Conferences

For workshops or conferences devoted to this topic, consider breaking the event into multiple sessions over three or four days. The event organizer or moderator should become familiar with the participants' experiences and objectives and reflect these in the agenda. Consider asking participants to make presentations about how the content in the sourcebook might apply in their own work or projects, and then forming panels to share ideas on how to create momentum for implementation in their cities. The move from knowledge to action is a key objective that should be encouraged and facilitated throughout the event. Preparation of action plans is another method to help participants transfer acquired knowledge to their work.

The sourcebook can also be used as a tool in academic programs or training courses. After viewing and presenting relevant parts of the sourcebook, the teacher or trainer



could ask students to work in groups to determine how its lessons might apply in their home cities. They could also take their studies to the field by working with local NGOs or institutions to create momentum for action.

The objective of knowledge sharing and capacity building is to advance knowledge, improve performance, and ultimately achieve results on the ground. We believe this resource can help create communities of practice, whether among students, professionals, or policy makers, as one means of ensuring that the urban poor have better access to shelter and urban services. We hope this sourcebook can serve as a bridge from knowledge to action.



## Contents of the Multimedia Sourcebook on CD-ROM

(Approximate Viewing Time: 9–10 Hours)



### 1. Adaptive Approaches

(4 Multimedia Presentations. Approximate Viewing Time 1 hour 30 minutes)

- Introduction
- Urban Upgrading Programs
- Project Management and Project Cycle
- Strategic Guidelines



### 2. Proactive Approaches

(4 Multimedia Presentations. Approximate Viewing Time 1 hour 30 minutes)

- Introduction
- Managing Urban Expansion
- Reviewing Regulatory Frameworks
- Pluralistic Systems of Supply



### 3. Case Profiles

(6 Multimedia Presentations + 6 Video Interviews. Approximate Viewing Time 3 hours)

- **Dar es Salaam — Community Infrastructure Upgrading Program**  
The Multimedia Presentation is followed by a Video Interview with *Rumana Huque*, Senior Urban Specialist, World Bank
- **Ecuador — Low-Income Neighborhood Upgrading & Urban Land Management Project**  
The Multimedia Presentation is followed by a Video Interview with *Alexandra Ortiz*, Senior Urban Economist, World Bank
- **Vietnam — Urban Upgrading Project**  
The Multimedia Presentation is followed by a Video Interview with *Richard Beardmore*, Senior Urban Specialist, World Bank
- **Bahia — Poor Urban Areas Integrated Development Project**  
The Multimedia Presentation is followed by a Video Interview with *Ivo Imparato*, Senior Urban Specialist, World Bank
- **Kabul — Urban Reconstruction Project**  
The Multimedia Presentation is followed by a Video Interview with *Soraya Goga*, Senior Urban Development Specialist, World Bank
- **Mauritania — Urban Development Program**  
The Multimedia Presentation is followed by a Video Interview with *Roberto Chavez*, Lead Urban Specialist, World Bank



#### 4. Thematic Interviews

(12 Video Interviews. Approximate Viewing Time 4 hours)

##### Working with Slum Dwellers

- Lessons from the Experience of SPARC, India  
Video Interview with *Sheela Patel*, Founder and Director, Society for the Promotion of Area Resource Centers, India-SPARC
- Federated Communities Taking the Lead: NSDF and SDI  
Video Interview with *Jockin Arputham*, President, Shack/Slum Dwellers International
- Urban Poverty, Participation, and Inclusive Cities  
Video Interview with *Arif Hasan*, Advisor, Orangi Pilot Project, and Founder/Chairman, Urban Resource Center, Karachi
- Understanding The Beneficiaries' Perspective  
Video Interview with *Ashna Mathema*, Consultant, World Bank

##### Planning Ahead

- The Cities Alliance: City Development Strategies and Slums  
Video Interview with *William Cobbett*, Manager, Cities Alliance
- Lessons from the UN Millennium Project's Task Force on Slums  
Video Interview with *Elliott Sclar*, Co-Coordinator, UN Millennium Project, Task Force on Slums
- Incremental Slum Management  
Video Interview with *Roberto Chavez*, Lead Urban Specialist, World Bank

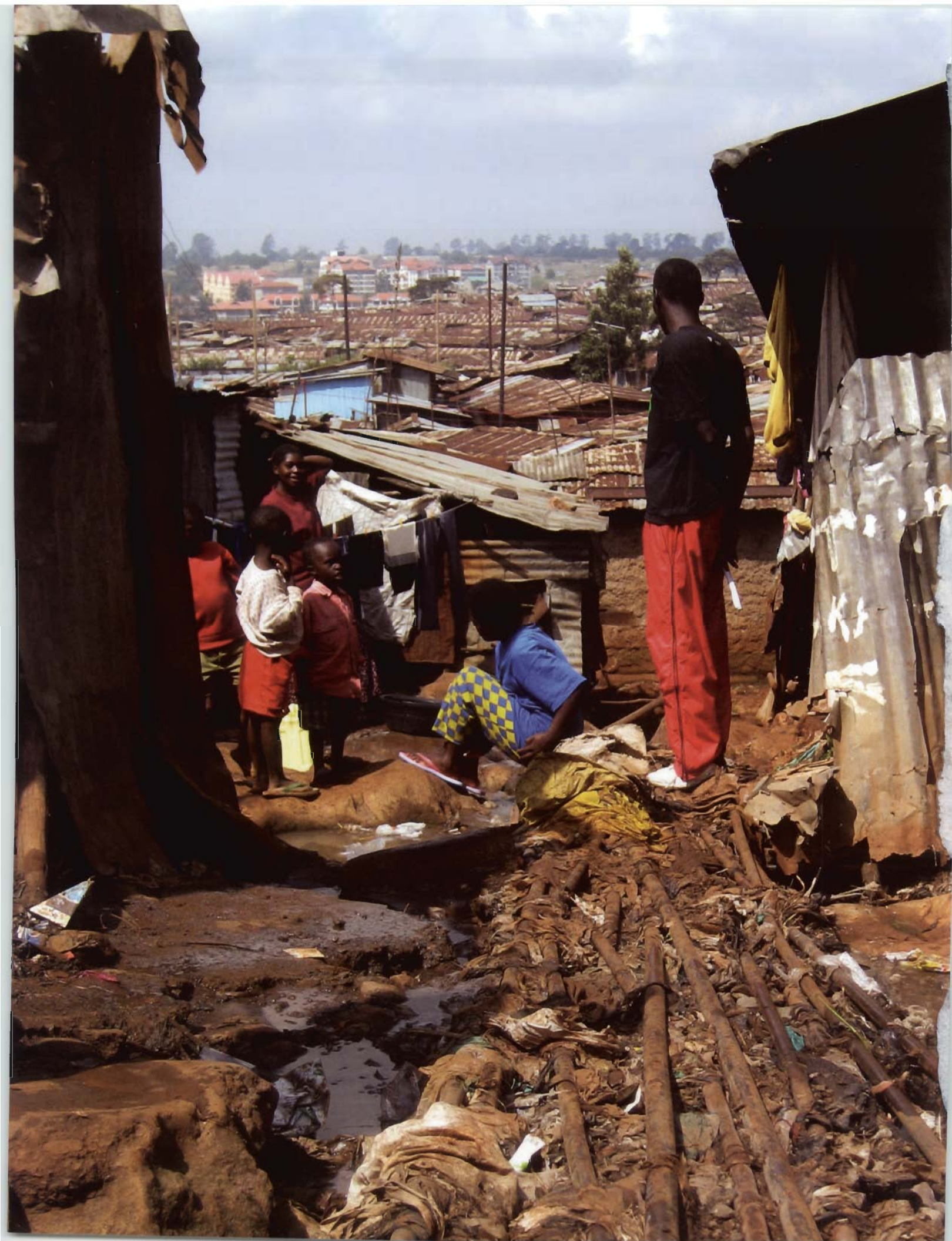
##### Land & Tenure

- The Importance of Land Management  
Video Interview with *Clarissa Augustinus*, Chief, Land and Tenure Unit, UN Habitat
- Innovating with Tenure  
Video Interview with *Geoffrey Payne*, Principal, Geoffrey Payne and Associates

##### Creating Effective Slum Policies

- The Economics of Slum Policies  
Video Interview with *Robert Buckley*, Adviser, Urban Housing, World Bank
- Political Will and Effective Slum Policies in São Paulo  
Video Interview with *Paulo Teixeira*, Federal Deputy in the Brazilian Parliament
- Coordinating Comprehensive National Approaches  
Video Interview with *Dean Cira*, Senior Urban Specialist, World Bank





## Overview

The lives of hundreds of millions of slum dwellers are threatened by the lack of access to the most basic human requirements: water, sanitation, shelter, health, and education. The nature and extent of the daily challenges posed by existing slums are not just daunting, they are life threatening.

While keeping in mind the magnitude of the existing situation, consider the future challenges posed by urban expansion. Within just 30 years, cities in developing countries will triple their entire urban built-up area, generating the same amount of urban area as the entire world had cumulatively generated by the year 2000.

If local and national policies do not change, much of the imminent urbanization will be characterized by more slums. Hundreds of millions of new slum dwellers will suffer from the relentlessly inhuman conditions that affect the already very large population living in slums.

Consider the city of Mumbai in India, where official figures show that about 6.5 million of its total 12 million people live in slums. The slum population of this single city is larger than the national population of Norway. Regrettably, statistics about slum dwellers in cities all across Asia, Africa, and Latin America are just as disconcerting. All of these populations are poor, all of them struggle — everyday — to maintain their dignity.

Totalling more than 166 million people in 2001, slum dwellers make up 72 percent of the urban population in Sub-Saharan Africa. Their numbers are expected to increase to



more than 325 million by 2020, more than the current population of the United States of America.

There is no need to underscore the magnitude of the challenge or the dire implications of ignoring it. Ironically, the solutions to slums are well known and are not difficult. What is required is political will and ongoing commitment.

Slums themselves are the physical manifestation of several overlapping forces. On the one hand, they are the manifestation of deep poverty, unrealistic regulatory frameworks, ill-conceived policies, inadequate urban planning, weak institutional capacity, and larger macroeconomic factors. But on the other hand, slums are a manifestation of the ingenuity and resilience with which extremely disadvantaged populations have organized themselves in the face of these very challenges.

The list of challenges faced by slum dwellers is long, and many of these disadvantages reinforce each other in a vicious cycle. Still, the resourcefulness often demonstrated by





slum dwellers in the face of such adverse circumstances is remarkable. Evidence demonstrates that slum dwellers collectively make a substantial contribution to urban and national economies, and that many towns and cities would cease to function effectively without the people who live in slums.

What slum dwellers really need is a chance to improve their own lives, and to make a positive contribution to the city. Plenty of evidence shows that resources spent on improving the lives of the poor are investments that will yield global economic and social returns.

Affordable and successful adaptive measures for existing slums have, and can, increase the well-being of millions of slum dwellers. These measures also further unlock the productivity of the urban poor, creating a powerful upward spiral that strengthens both urban and national economies.

At the same time, effective proactive measures—measures that create conditions that allow the future urban poor to find affordable housing and not be forced to settle in slums — have proved extremely beneficial to cities, national governments, and the urban poor. These measures are cost-effective, affordable, and implementable.

As cities in developing countries prepare to take on the range of challenges posed by slums, it is essential that key knowledge about these measures be organized and disseminated in a format that can be readily used to create the momentum necessary for policy changes, national level programs, regulatory reform and city level projects.

The Sourcebook's nine hours of modular multimedia content have been designed to comprehensively explore the many dimensions of what is arguably one of the most critical and solvable global challenges of this millennium.

What follows are very brief overviews of each of the four major sections of the Sourcebook. The overviews are intended to familiarize users with the content and its organization in the four major sections of the CD-ROM.





## Adaptive Approaches

This section of the CD-ROM comprises four self-running audiovisual presentations that focus on the question "What kind of adaptive approaches can help improve the living conditions of people subsisting in existing urban slums?"

Each of the four presentations in the Adaptive Approaches section lasts about 20–25 minutes and can be viewed on the attached CD-ROM.

### *1. Introduction*

Outlines the characteristics of slums and discusses the challenges faced by populations living in slums. Provides a snapshot of typical policy approaches toward slums, and the shortfalls and merits of those approaches, and discusses why in most cases urban upgrading should be the preferred alternative.

### *2. Urban Upgrading Programs*

Focuses on what the objectives in urban upgrading programs should be. Considers the factors that are incorporated in the design and implementation of good programs. Introduces three basic types of urban upgrading programs.

### *3. Project Management and Project Cycle*

Provides an overview of some project management protocols, followed by a basic outline of the project cycle requirements for comprehensive urban upgrading.

### *4. Strategic Guidelines*

Considers some strategic guidelines concerning tenure and goes on to discuss the options for physical, social, and economic services. Outlines important guidelines about financial policies for cost allocation, cost recovery, the effective targeting of subsidies, and affordability.

## Adaptive Approaches

*Adaptive approaches* are affordable and meaningful strategies that improve the situation of existing slum dwellers and further strengthen their integration into the social and economic fiber of the city. Broadly speaking, adaptive approaches involve upgrading the level of urban services in slums: physical, social, and economic. They also include pragmatic solutions for dealing with the tricky issue of land and tenure. Adaptive approaches have been proven to increase the well-being of millions of slum dwellers while simultaneously strengthening urban and national economies.



Project-level interventions can be further bolstered if they are implemented concurrently with supportive national policies and broad-based programs to upgrade slums.

The physical services in an upgrading project might include water supply, sanitation, roads, footpaths, drains, street lighting, land readjustment, and a range of other such services. Physical services can be categorized as on-plot, on-site, and off-site.

On-plot services are those that are used privately by households. These could include individual sanitation facilities, water connections, or electricity. On-site services are those that are used collectively by the project site residents. They can include public sanitation facilities, public standpipes for water, site preparation, footpaths, street lighting, and the relocation of structures to make room for more plots or public facilities. Off-site services are those that are used collectively by the project site residents and the city at large. These services typically integrate the project site into the larger infrastructural networks of the city. They might be national or city roads, municipal water and sanitation networks, transportation services, and markets.

The following three pictures were taken in different parts of a slum in the Philippines that was part of the successful Tondo Foreshore upgrading initiative in the 1970s. In the first picture, the path is unpaved and wet, a woman is carrying a large orange bucket of water, the homes on the right hand side use wooden planks to bridge an unpaved drain,



Before



In process



After

and a long garden hose is drawn out across the path to provide water access. The second picture shows the installation of physical infrastructure in process, and the third picture shows the site almost complete, with paved access and drainage.

In addition to physical services, adaptive approaches include a range of social services. Social services in upgrading initiatives can include education, health facilities, sporting facilities, day care, community facilities, and the creation or strengthening of institutions that help new migrants integrate themselves into the city. Social services should not be taken lightly; they often contribute to increased economic growth, reduced crime, and better education and awareness.

Projects may also include economic services to generate employment in the area and to raise incomes. Economic assistance can include training, job placement, credit and technical assistance to small businesses, establishment of new community-owned enterprises, microfinance opportunities, and loans for housing and for building materials. If implemented correctly, such services will unlock bottlenecks to development and make way for economic revitalization in the area.

Often the trickiest issues in improving slum conditions have to do with land and tenure. In order to propose meaningful solutions to tenure, planners and policy makers need accurate knowledge of land ownership patterns and precise criteria for the selection of beneficiaries. The equitable allocation of benefits between beneficiaries is extremely important.

Who owns the land? Is it owned by the local government, the parks department, a transportation authority? Is it in the freehold ownership of a few absentee landlords? Has it been leased to private landlords by a public agency, and is it now informally squatted upon by the slum dwellers? If informal land markets exist, how do they work? Is some of the land under customary or traditional administrative structures? Does all the land implicated in the project site fall under a single ownership pattern? If not, what are the different patterns? Appreciating and working through the complexity of these issues, while also understanding the social and economic complexities rooted in land ownership, will ultimately structure the approach to devising appropriate tenure arrangements for households.

Often, and with good reason, the appropriate tenure arrangements are more complex than simply handing out individual land titles. Innovative forms of collective tenure al-



## Land and Tenure: Ownership Issues



low projects to accommodate the lowest-income households that cannot immediately afford outright ownership. Since payments are collective, such arrangements also accommodate the irregularities in individual income through community-based strategies such as revolving-credit schemes.

Collective tenure can also allow communities to negotiate from a position of much greater power and thereby secure themselves successive improvements to their neighborhood. A collective leasehold agreement can help to discourage premature resale and speculation. Such collective agreements decrease the likelihood of the beneficiary cashing in on a land title and moving to squat elsewhere in the city in the hope of repeating the process again. Tenure is often the most contentious issue in upgrading, and proposals need to be carefully crafted to suit the particular realities of a given situation.

Institutional arrangements in the implementation of adaptive approaches vary from case to case. It is crucial to underscore the central role of local governments and their leadership in the process. It is also important to identify the existing and potential roles of other key stakeholders—the poor themselves, national and provincial governments, civil society groups, the private sector, and other development partners.

An important step is to assess how the relative strengths of each stakeholder group can be combined to maximize synergies between their contributions. Partnerships that



balance the respective strengths and neutralize the respective weaknesses of all stakeholders are the best way forward. Clear understanding of protocols for effective project management and for the project cycle will allow the various components of the project to be harmonized and the efforts of different stakeholder groups to be coordinated in the most appropriate and efficient manner.

Policy makers and local officials will need to pay particular attention to the financial dimension of programs and projects. This involves issues of cost allocation across various stakeholders, the careful targeting of subsidies when required, and protocols and mechanisms for cost recovery. Flexibility in the choice of possible services and service standards will accommodate a range of income brackets and address issues of affordability and equity.

The benefits of upgrading projects are both quantifiable and unquantifiable, and they accrue to the public at large and to private beneficiaries in particular. The various strands of these complex interventions often reinforce each other, and their cumulative impact compounds benefits to slum dwellers and strengthens urban and national economies.



Urban  
upgrading  
in Bahia,  
Brazil

Before



After



## Proactive Approaches

This section of the CD-ROM comprises four self-running audiovisual presentations that focus on the question "What are appropriate proactive measures that need to be undertaken to make sure that the rapid urbanization in developing countries does not compel additional migrants and urban dwellers to live in slums?"

Each of the four presentations in the Proactive Approaches section lasts about 20–25 minutes and can be viewed on the attached CD-ROM.

### *1. Introduction*

Outlines the potential scale of future challenges facing urban areas with the growth of slums. Considers the unprecedented magnitude and rate of global urban expansion that is projected to take place by 2030 and beyond, and the importance of political will at the local, national, and international levels. The importance of institutional collaboration, good governance, and transparency are emphasized. Introduces and outlines the main issues in proactive approaches to slums.

### *2. Managing Urban Expansion*

Focuses on the role of city development strategies. Goes on to address more specific issues of understanding and assessing the dimensions of demand for land and housing. The preparation of land budgets and housing needs assessments are discussed, followed by a brief discussion on priorities for land use, transportation, and tenure.

### *3. Reviewing Regulatory Frameworks*

Focuses on the importance of regulatory frameworks and the impacts that such frameworks can have on the ability of poor households to access land and housing through legal channels. Goes through a step-by-step outline on how to undertake a regulatory audit.

### *4. Pluralistic Systems of Supply*

Examines a few specific policy options for increasing the supply of land, material, services, and credit in ways that can meet the needs of increasing, and largely poor, urban populations. Options such as sites and services, the acquisition of rights-of-way, land pooling and readjustment, requests for proposals, and companies limited by guarantee are looked into.

## Proactive Approaches

*Proactive approaches* can be significantly more cost-effective, affordable, and easy to implement than retroactive measures. They are both financially and socially beneficial to cities, national governments, and the urban poor. All cities can and should take such measures.

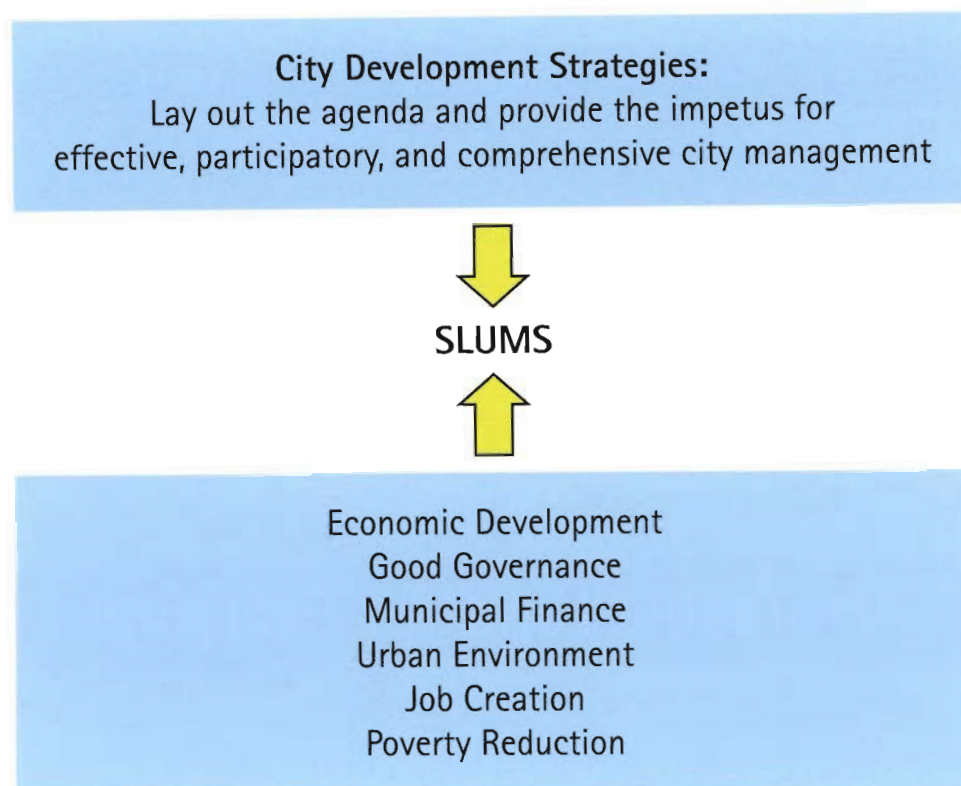


In a recent World Bank study on the effects of urban population growth on the built-up area of cities, it was projected that developing countries could triple their entire urban built-up area between 2000 and 2030. This means that in only 30 years, developing countries alone might generate the same amount of built-up urban area as the entire existing urban world had done up to the year 2000. The magnitude and rate of this urban transition is unprecedented.

Managing the process of urban expansion is critical, but can be a complex and multi-tiered challenge. City development strategies can be effective instruments through which cities can organize, orient, and initiate their response to the multitude of challenges and opportunities posed by their urban future.

The scope of a city development strategy is to lay out the agenda and provide the impetus for effective, participatory, and comprehensive city management that is built on the particular realities facing a given city. A proactive approach to slums will form an integral component of city development strategies. In addition, many of the other components of city development strategies—such as economic development, good governance,



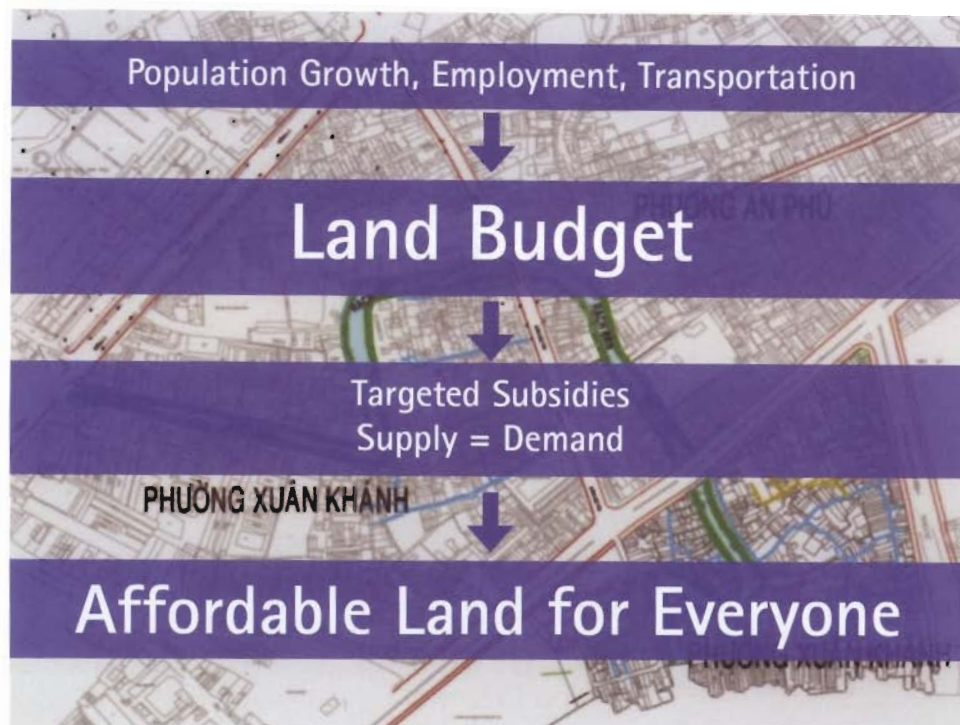


municipal finance, urban environment, job creation, and poverty reduction—will also have a considerable impact on the ability of cities to manage the needs of the urban poor living in slums.

Within the broader scope of city development strategies, a focused inquiry into low cost shelter options for the poor will require understanding and assessing the dimensions of demand for land and housing.

Land prices largely depend on levels of demand and supply, together with issues of accessibility and topography. To make sure prices are within the ability of all sections of society to pay for them, governments must balance demand and supply by carefully considering and targeting subsidies. Achieving this balance involves preparing a land budget based on population growth estimates and other trends, such as employment and transportation. A land budget will help ensure that land is made available for development in line with increasing demand and will reduce inflationary increases in land prices.





Preparing a land budget and assessing the amount of land that is required can be done using the following five factors:

1. The projected demand for commercial and industrial lands, and the demand for land for new housing development.
2. Density levels for specified types of housing and other land uses, based on minimum official plot sizes, occupancy levels, and road widths.
3. Requirements for communal facilities such as schools, clinics, religious sites, public open spaces, and so forth at central and neighborhood levels.
4. Topography and ground conditions, including steep slopes, load-bearing capacity, and vulnerability to flooding.
5. Accessibility of available land, relating to public transportation networks, location of economic activities, and access to physical and social infrastructure. Supply-side solutions that disregard this dimension of demand often lead to costly mistakes.

A major component of the land budget will be to understand the need for new housing, which can be achieved by preparing a 'housing needs assessment.' Housing needs assessments are broadly based on the following five points:

1. The rate and scale of new household formation.
2. The replacement rate of existing units that will have fully depreciated during the plan period.
3. The replacement rate of deficient units whose upgrading is not economically feasible.
4. The number of units required to relieve overcrowding levels at the start of the plan period.
5. The upgrading of deficient units existing at the start of the plan period.

The housing needs assessment will aid planners in understanding demand for land and housing, making it possible to develop a land use plan. Creating an efficient land use plan for new urban development—keeping in mind the existing land use patterns and transportation networks in the city—is vital if prices are to be affordable. Doing so can help reduce the amount of urban land required and can better integrate the new development into the existing urban fabric. Priorities and constraints at the regional, city, and neighborhood levels vary; thus, the areas available for development, and their allocation for particular uses, will differ from case to case.

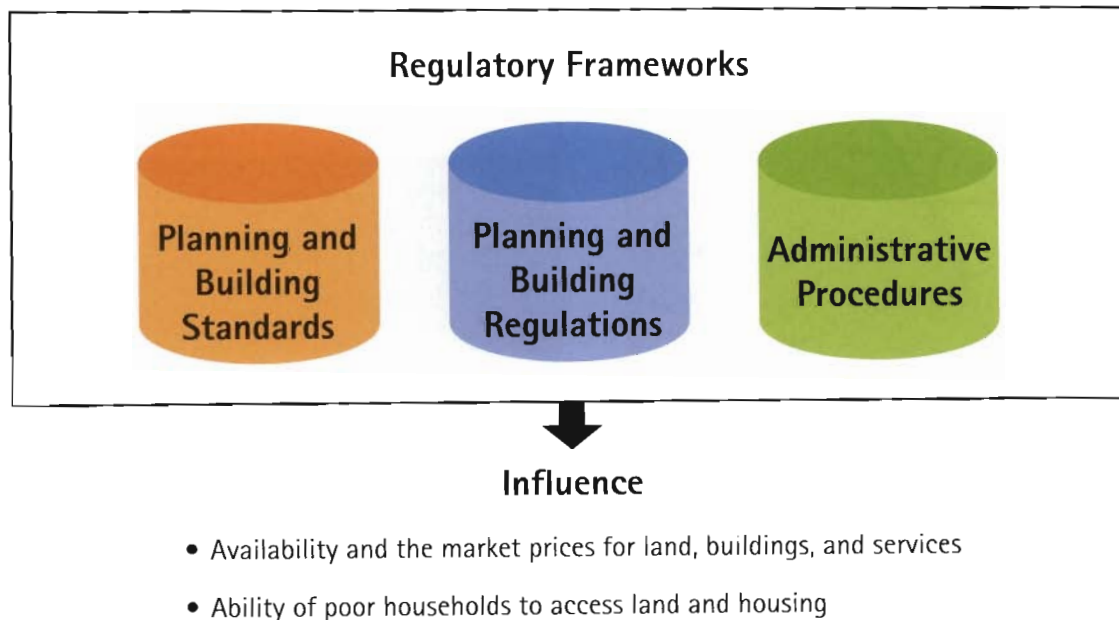


Zones	Area in km <sup>2</sup>
Residential 1	86.30
Residential 2	31.46
Commercial	8.08
Industrial	9.09
Educational and public utility	3.67
Services and institutional	4.42
Special agricultural	35.00
Agricultural	26.00
High flood hazard zone	5.37
Sewage treatment plant (AUDA and AMC)	9.35
Road, railways and transport	16.97
<b>Total (excl. AMC)</b>	<b>235.17</b>

Although bringing more land into development is clearly part of the solution, it is not the only issue. Often a key to the problem of inadequate and substandard shelter for the poor is regulatory reform.

Existing regulatory frameworks significantly influence the availability of and market prices for land, buildings, and services. They directly affect the ability of poor households to access land and housing through legal channels. Most of the time it is unrealistic regulations that consign large segments of the urban population to slums and to poverty. In many cases regulatory reform can dramatically stimulate the supply of affordable, adequate, and legal housing for the poor. It requires little or no capital outlay and makes it more attractive for the private sector to become involved in housing the poor.

The regulatory framework in urban development consists of three main elements: planning and building standards, planning and building regulations, and administrative procedures. All three elements need to be responsive to the needs of the poor and to facilitate the inclusion of the poor into the urban system. Unrealistic standards, suffocating regulations, and endless administrative procedures deepen urban poverty and stifle the economic growth of cities.



To create pluralistic systems of supply, governments must consider specific policy options for increasing the supply of land, material, services, and credit in ways that can meet the needs of increasing, and largely poor, urban populations. Some options include sites and services, the acquisition of rights-of-way, land pooling and readjustment, requests for proposals, and companies limited by guarantee.

Recently, the focus is increasingly on efforts to encourage a wide range of innovative partnerships between the public and private sectors, together with third-sector groups such as NGOs and community-based organizations. These opportunities are changing the role of the public sector in influencing urban land and housing markets and the poor's access to these markets.

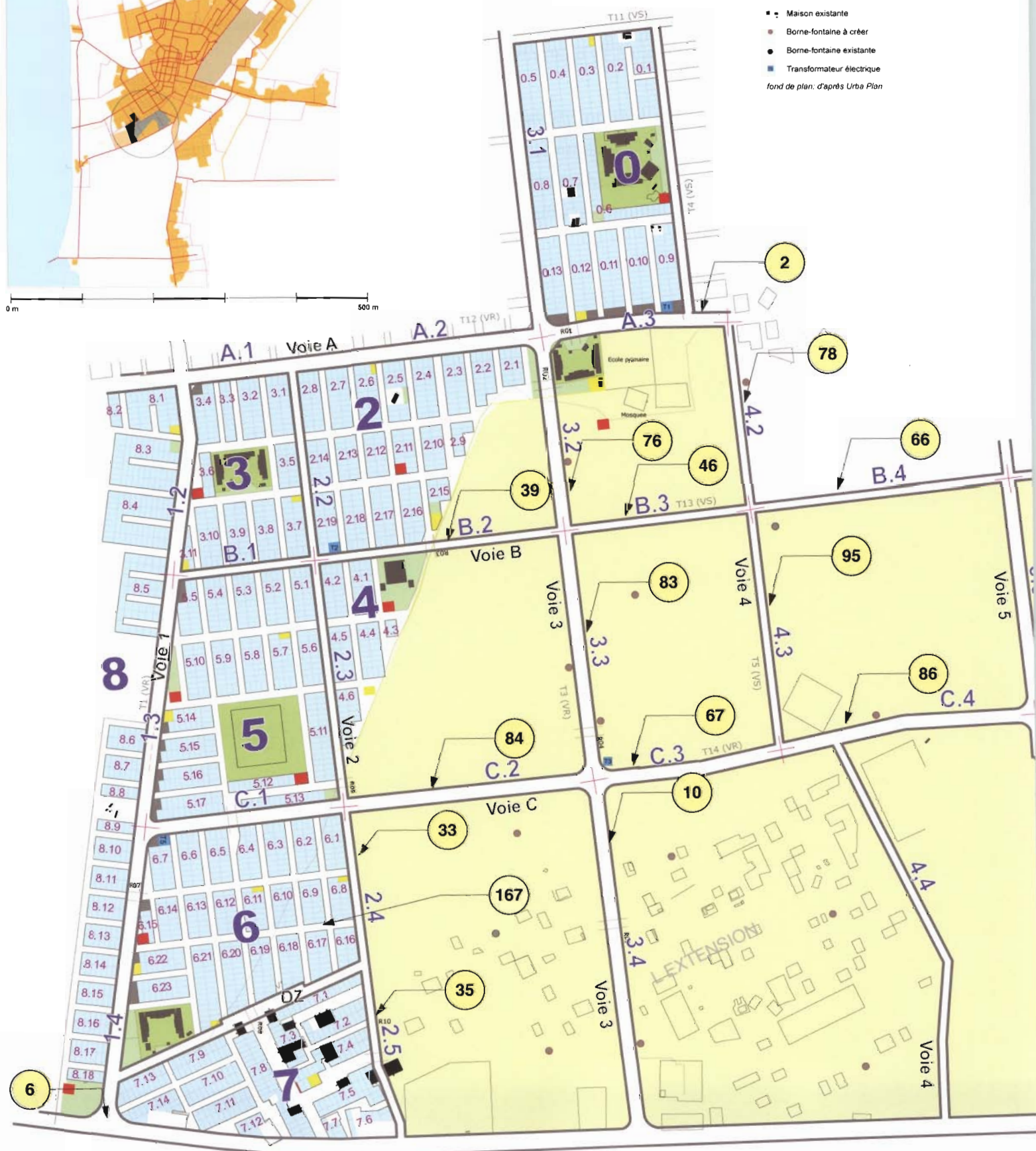


# Schéma de Réinstallation Kebbe el Mina

Juin 2003



0 m 500 m



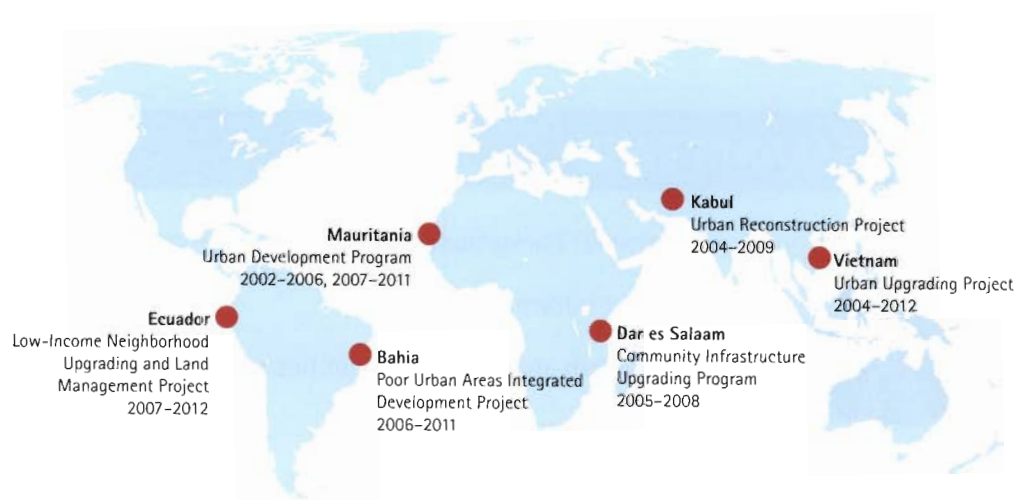


## Case Profiles

This section of the CD-ROM profiles cases that are currently being implemented or prepared by the World Bank and the governments of Afghanistan, Brazil, Ecuador, Mauritania, Tanzania, and Vietnam.\*

Each of the six cases is first profiled as a self-running audiovisual presentation. To complement this material, video interviews have been conducted with a manager or member of the World Bank project team for each case.

Viewing the material in each of the six case profiles should take an average of about 30 minutes. The content can be viewed on the attached CD-ROM. What follows are brief descriptions of the six cases.



\* Content presented in this section reflects the situation at the time the materials for the sourcebook were prepared. The situation may have changed. Some comments in the interviews are time-sensitive. They reflect the reality when the interview was taped and may not hold true at a later date.

## Dar es Salaam: Community Infrastructure Upgrading Program (2005–2008)

The Dar es Salaam case is a single-city adaptive intervention in Tanzania. This case is an example of effective and participatory urban upgrading within a very tight budget of US\$18,000 per hectare, which represents a cost of about US\$50 per person. The program also focuses on the crucial area of municipal capacity building and institutional strengthening. Investments of US\$18.8 million are innovatively organized to benefit a population of 168,000 people.

### DAR ES SALAAM CASE



Interview with

**Rumana Huque**

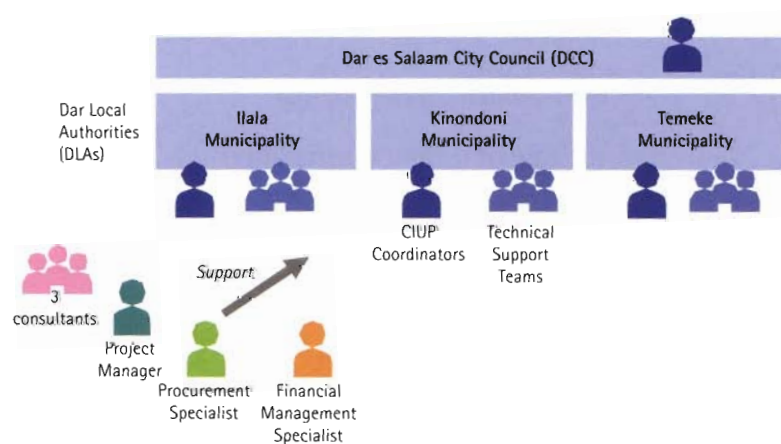
*Senior Urban Specialist  
World Bank*

- Tanzania: Background information on urban issues
- Project information
- How were areas and communities selected for the project?
- Institutional arrangements
- What are the benefits of upgrading?
- What were the financial policies and priorities of the project?
- Impact evaluation





## Institutional Arrangements and Implementation





## Ecuador: Low-Income Neighborhood Upgrading & Urban Land Management Project (2007–2012)

The Ecuador case is a proposed multi-city intervention that is being planned for five to seven cities in Ecuador. This case is both adaptive and proactive in its scope, and targets intermediate-size cities, where the bulk of urban growth is projected to take place. While focusing on the needs of current slum dwellers, the project also anticipates the urban growth that will take place over the next 25 years. The case is unique in its approach to the proactive management of urban expansion, and provides potentially valuable lessons and innovations for other cities.

### ECUADOR CASE

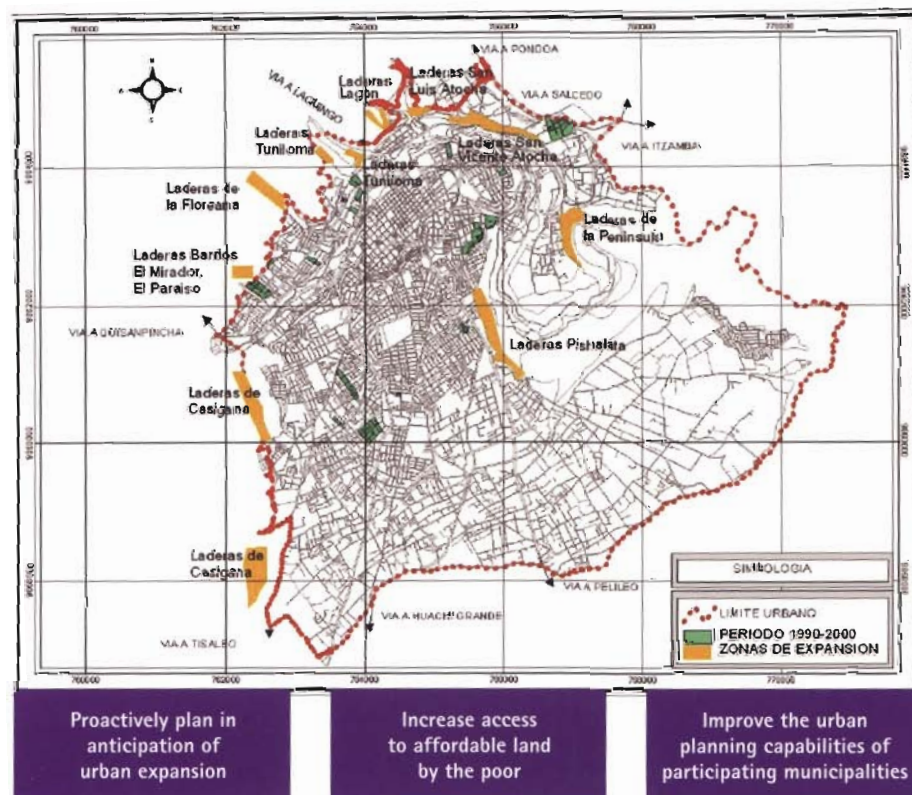


Interview with  
**Alexandra Ortiz**  
*Senior Urban Specialist  
World Bank*

- Ecuador: Political, economic and urban background
- Project objectives and project cost
- Forecasting urban expansion in Ecuador
- Project components
- What are sites and services projects?
- Institutional arrangements
- The role of technical assistance
- Looking ahead: Project impact



### Urban Land Management



## Vietnam: Urban Upgrading Project (2004–2012)

The Vietnam case is a four-city adaptive intervention and one of the largest World Bank projects in urban upgrading. It is expected that 865,000 residents will directly benefit from the project, while another 1,070,000 residents will benefit indirectly. The project also aims to pave the way for future planning by providing government capacity building, technical support for land and housing management, and the preparation of a National Urban Upgrading Program.

### VIETNAM CASE



Interview with

**Richard Beardmore**

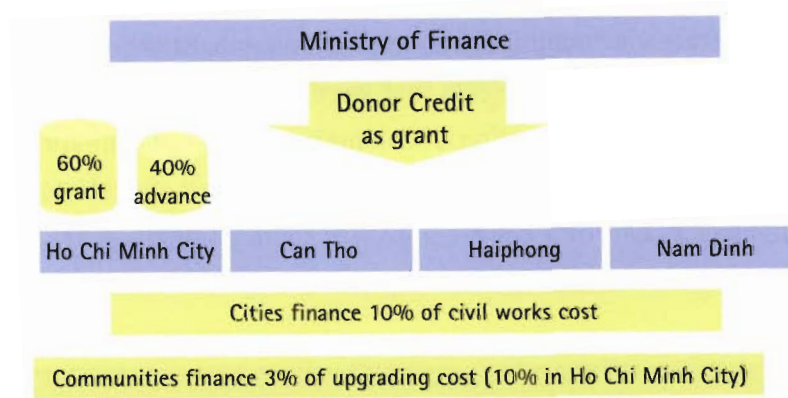
*Senior Urban Specialist  
World Bank*

- Project implementation
- Poverty mapping
- Land management
- Microfinance for home improvement
- Going to scale
- Resettlement
- Project complexity

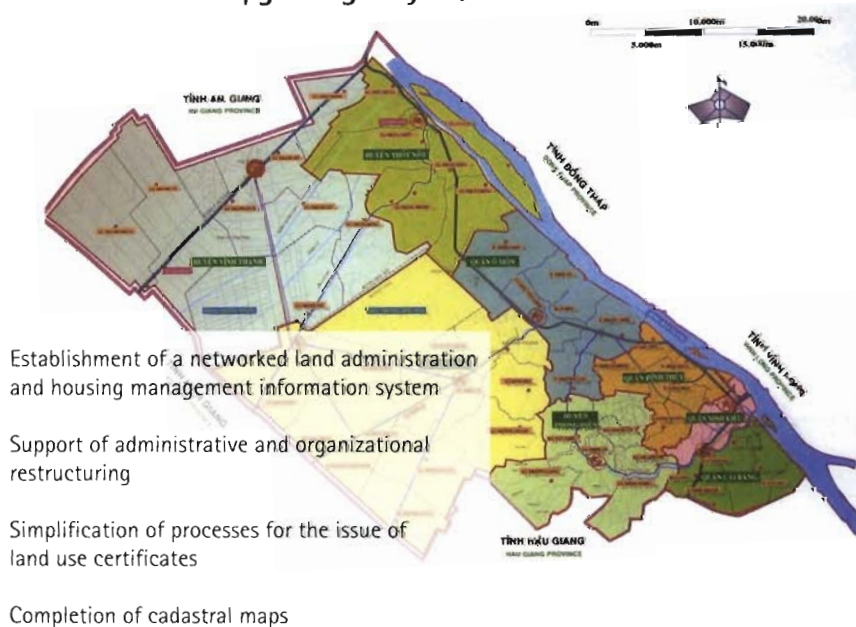


## Vietnam Urban Upgrading Project, 2004–2012

### Financing Arrangements



## Vietnam Urban Upgrading Project, 2004–2012



## Bahia: Poor Urban Areas Integrated Development Project (2006–2011)

The Bahia case is a statewide adaptive intervention in Bahia, Brazil, that builds on a lineage of very successful smaller projects that were gradually scaled up. The project includes place-based geographic targeting of comprehensive actions: physical, social, and economic. A large proportion of project investments have been allocated to the delivery of critical social services as part of a holistic approach to upgrading.

### BAHIA CASE

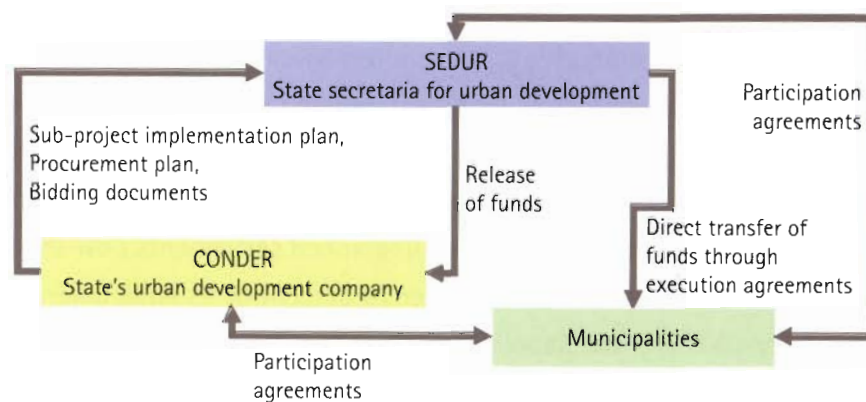


Interview with  
**Ivo Imparato**  
*Senior Urban Specialist*  
*World Bank*

- Background: Build-up to the program 1 (1960s–1990s)
- Background: Build-up to the program 2 (1990–present)
- Going to scale: The current program
- Meaningful community participation
- The state government, urban upgrading, and institutional roles
- Why are 25% of resources allocated to social services?
- How is the upgrading program structured and coordinated?
- How do you measure the impact of this program?

## Bahia Poor Urban Areas Integrated Development Project, 2006–11

### *Financing Arrangements*





## Kabul: Urban Reconstruction Project (2004–2009)

The Kabul case is a focused, single-city adaptive intervention in Afghanistan. The project is being carried out in a post-conflict environment, where much of the infrastructure has been destroyed or degraded, the human resource base has been severely depleted, and the social capital eroded. It is, therefore, an upgrading project that is being implemented in the most challenging of conditions. Informal unplanned settlements now shelter about 80 percent of Kabul's population and cover 70 percent of its land. Given the need for institutional strengthening, the Kabul project also focuses on enhancing the managerial capacity of the Ministry of Urban Development and the Kabul Municipality.

### KABUL CASE

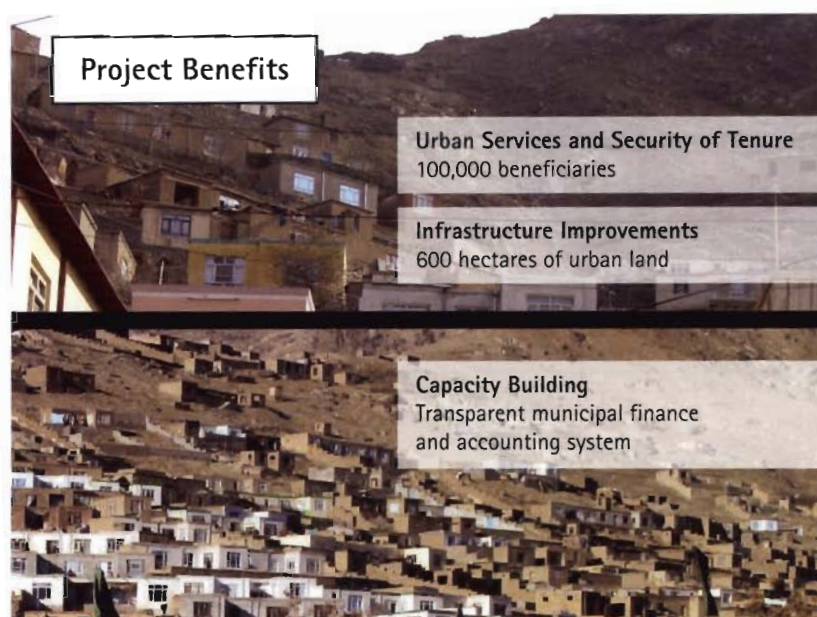
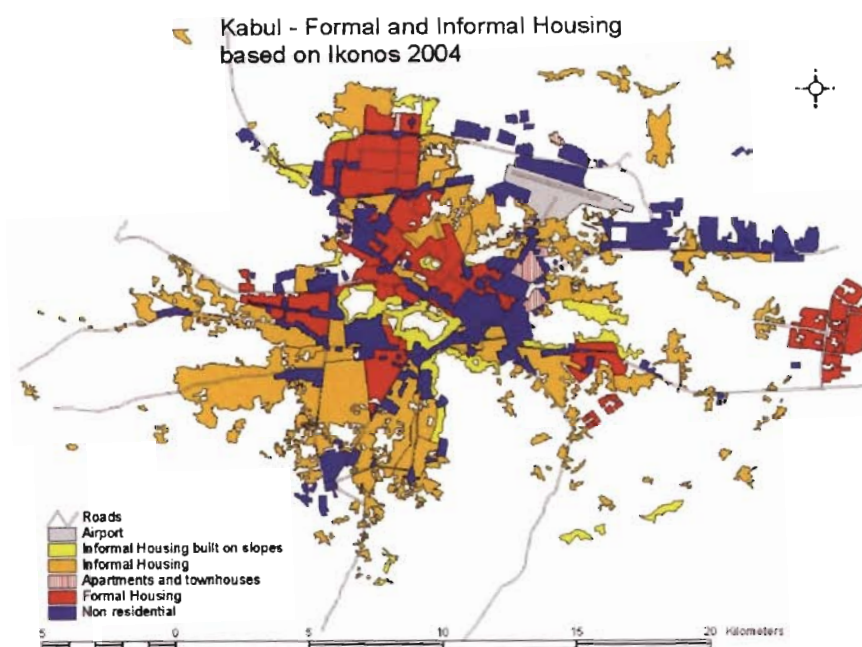


Interview with

**Soraya Goga**

*Senior Urban  
Development Specialist  
World Bank*

- Kabul: Background information on the urban situation
- Project scope, cost, and objectives
- Project components
- Project principles
- Operations and maintenance
- Bottlenecks
- Implementing actors
- The future plan
- Project impact



## Mauritania: Urban Development Program (2002–2006, 2007–2011)

The Mauritania case is a multi-city intervention that includes both adaptive and proactive approaches. Urban poverty in Mauritania is particularly severe and widespread. For instance, in 2001 the average per capita daily income in the slum of El Mina was US\$0.50. This project will have an impact on one of every three of Mauritania's 1.6 million urban dwellers, making it a large and highly comprehensive intervention. Given its scale and scope, the project plays a crucial role in the history of Mauritania's urban development.

### MAURITANIA CASE



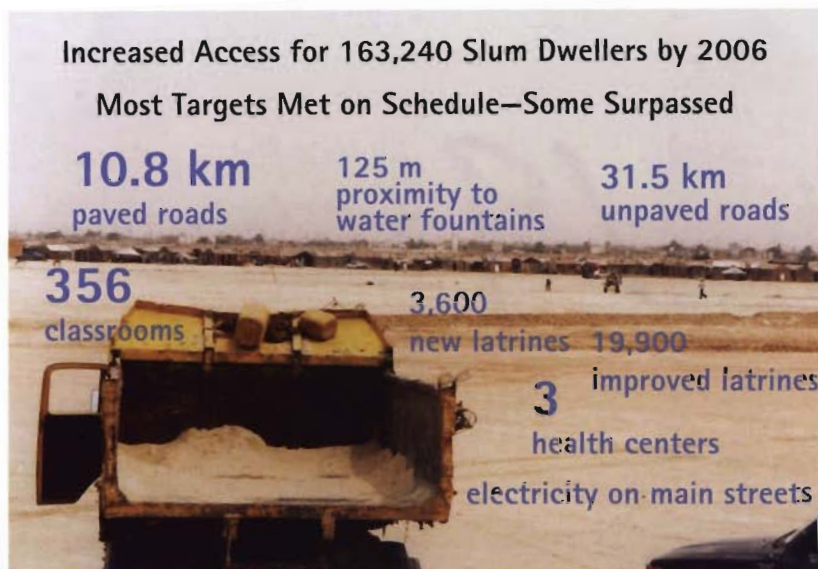
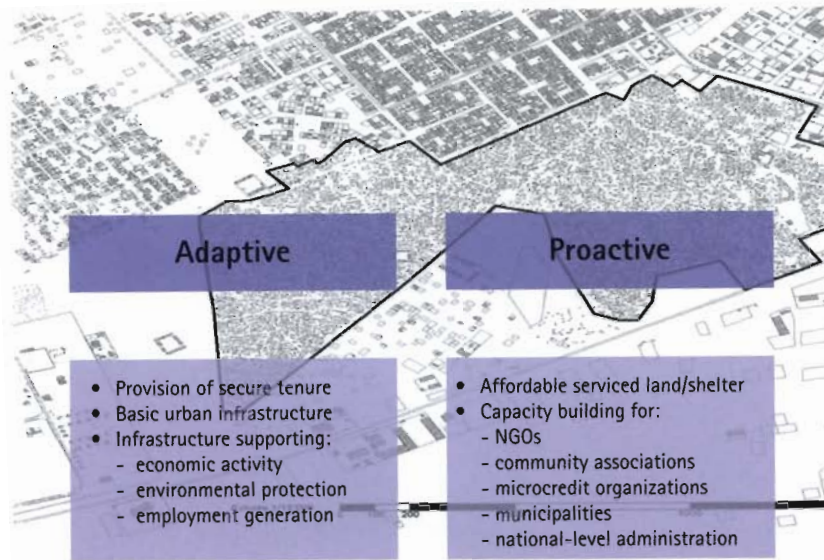
Interview with

**Roberto Chavez**

*Lead Urban Specialist  
World Bank*

- Poverty and urbanization: Background information on Mauritania
- Project components
- Slum upgrading and land development
- Institutional arrangements
- The value of longer engagements
- How do you foresee the project's impact
- An interesting variation to typical block plans













## Thematic Interviews

This section of the CD-ROM presents video interviews with a range of stakeholders and experts to delve into topics and perspectives that are critical to the issue of slums. Interviews are grouped into four broad categories: Working with Slum Dwellers, Planning Ahead, Land and Tenure, and Creating Effective Slum Policies.

Each of the 12 interviews takes about 20 minutes. They can be viewed on the enclosed CD-ROM.

### Working with Slum Dwellers

This section discusses initiatives being driven by slum dwellers themselves. It also demonstrates the importance of including slum dwellers and slum communities in projects and programs. Sheela Patel (Founder and Director, Society for the Promotion of Area Resource Centers, India-SPARC) shares her experiences leading an NGO that partnered with a powerful people's movement. Jockin Arputham (President, Shack/Slum Dwellers International-SDI), a slum dweller himself for 40 years, talks about the initiatives and success of SDI, an international federation of slum communities, and NSDF (National Slum Dwellers Federation, India). Arif Hasan (Founder/Chairman, Urban Resource Center, Karachi) shares his experience as advisor to the world-renowned community-based 'Orangi Pilot Project,' and discusses planning issues centered on inclusive cities. Ashna Mathema (Consultant, World Bank) talks about the importance of understanding beneficiary perspectives and incorporating these into projects.

#### EXPERIENCE OF SPARC, INDIA



Interview with

**Sheela Patel**

*Founder and Director  
The Society for the Promotion  
of Area Resource Centers  
(SPARC), India*

- What is SPARC? How does it work?
- How does SPARC partner with slum dweller federations?
- How do you see the role of the NGO?
- What is the most crucial element in upgrading programs?
- How would you characterize the social capital of slums?
- How do you view your success?
- What are some challenges you face?
- How might the international community be more effective?



## COMMUNITIES TAKING THE LEAD: NSDF & SDI



Interview with

**Jockin Arputham**

*President,  
National Slum Dwellers  
Federation (NSDF), India*

*President,  
Shack/Slum Dwellers  
International (SDI)*

- What is the NSDF and SDI?
- How do you view your success?
- How do you assess a site?
- Talking point: Forced evictions
- Talking point: The process of going to scale
- Talking point: Slum dwellers as change agents

## URBAN POVERTY, PARTICIPATION, AND INCLUSIVE CITIES



Interview with

**Arif Hasan**

*Advisor  
Orangi Pilot Project*

*Founder/Chairman  
Urban Resource Center, Karachi*

- Housing, employment and informality in Karachi
- Should (or can) high rise apartments replace informal settlements?
- The Orangi Pilot Project: Approach, methods, scale and results
- Cultural and community dynamics in informal settlements
- Slum relocation and forced evictions
- What broader planning principles do you propose?
- Planning and global capital
- Looking ahead: Politicians, planners and people

## UNDERSTANDING THE BENEFICIARIES' PERSPECTIVE



Interview with

**Ashna Singh  
Mathema**

*Consultant  
World Bank*

- The importance of beneficiary perspectives
- How do you structure the beneficiary interviews?
- Community consensus and project ownership: Swaziland
- Flexibility in assessments: Manila and Addis Ababa
- The resourcefulness of slum dwellers: Esta Wanjiku
- Negligence and consequences: HIV/AIDS in Swaziland
- Reality check: Health clinic in Nairobi
- Problems in project planning: Fragmented approaches
- Problems in project planning: Neglecting assessments

## Planning Ahead

This section grapples with what needs to be done to plan ahead. William Cobbett (Manager, Cities Alliance) discusses city development strategies and their use in the process of effective and proactive urban management. Elliott Sclar (Co-Coordinator, UN Millennium Project, Task Force on Slums) shares key insights and findings from the task force and the implications for planning ahead. Roberto Chavez (Lead Urban Specialist, World Bank) shares valuable lessons on the importance of progressive and incremental upgrading. He discusses successful cases of planning ahead in Peru and Burkina Faso.

### THE CITIES ALLIANCE: CITY DEVELOPMENT STRATEGIES



Interview with

**William Cobbett**

*Manager  
Cities Alliance*

- What is the Cities Alliance?
- What are the key bottlenecks that cause slums?
- How does the Cities Alliance address these bottlenecks?
- What is the City Development Strategy (CDS)?
- Examples of cities undertaking a CDS
- The importance of a national strategy for cities
- How many countries have a strategy for their cities?
- What is the role of the international community?



## U.N. MILLENNIUM PROJECT TASK FORCE ON SLUMS



Interview with

**Elliott D. Sclar**

*Coordinator  
U.N. Millennium Project Task  
Force on Improving the Lives of  
Slum Dwellers*

*Director  
Center for Sustainable Urban  
Development and Graduate  
Program in Urban Planning,  
Columbia University*

- The role of transport in proactive slum management
- The cost differential between adaptive and proactive options
- How should service delivery be organized?
- Three key aspects of urbanization
- Where do we go from here? The centrality of 'urban'
- Age-old challenges repeat: But in a new era
- Pro-poor policies

## INCREMENTAL SLUM MANAGEMENT



Interview with

**Roberto Chavez**

*Lead Urban Specialist  
World Bank*

- Lessons from Lima, Peru
- Lessons from Burkina Faso
- The essence of the progressive approach
- Land banking: A controversial issue
- Why have we turned away from the progressive approach?
- Where have institutions gone wrong and/or right?

## Land and Tenure

This section examines issues pertaining to land and tenure. Clarissa Augustinus (Chief, Land and Tenure Unit–UN Habitat) discusses the importance of land and land management. Geoffrey Payne (Principal, Geoffrey Payne and Associates) then talks about the crucial issue of innovating with tenure. Both Clarissa and Geoffrey share experiences from a wide range of situations, which help shed light on what is generally seen as one of the most complicated issues of adaptive and proactive approaches to slums.

### IMPORTANCE OF LAND MANAGEMENT



Interview with

**Clarissa Augustinus**

*Chief, Land and Tenure Unit  
UN Habitat*

- Barriers in moving from policies to action
- Political will and land redistribution
- Land administration systems and pro-poor land tools
- The land sector and cities
- Land acquisition for development: China
- Land theft, inequality, and violence in Somalia
- Corruption and the land sector

## INNOVATING WITH TENURE



Interview with

**Geoffrey Payne**

*Principal  
Geoffrey Payne and Associates*

- Why is tenure important?
- What are the disadvantages of outright land titling?
- The characteristics of innovative tenure approaches
- Government attitudes to pragmatic solutions
- Examples of tenure innovation 1: Short-term measures
- Examples of tenure innovation 2: Communal land rental
- Examples of tenure innovation 3: Community land trust
- Planning standards and regulatory frameworks
- Coordination of approaches to make tenure work



## Creating Effective Slum Policies

This section outlines the ingredients of effective slum policies. Robert Buckley (Adviser, Urban Housing, World Bank) discusses the economics of slum policies and the flexible approaches required to tackle the inherent complexity of the issues. Paulo Teixeira (Federal Deputy in the Brazilian Parliament and former Secretary of Housing and Urban Development in São Paulo) shares his valuable experiences as secretary and discusses political will and the effectiveness of slum policies in São Paulo. Dean Cira (Senior Urban Specialist, World Bank) talks about comprehensive national-level approaches to slums and discusses institutional roles across various levels of government.

### ECONOMICS OF SLUM POLICIES



Interview with

**Robert Buckley**

*Advisor, Urban Housing  
World Bank*

- How must one approach the economics of slum policies?
- The need for flexibility in slum policies
- The dimensions to consider in flexible slum policies
- Signals from beneficiaries: Directing resources appropriately
- Recognizing why slums are formed
- Developer-led land appropriation through slums
- Dealing with ambiguous and convoluted circumstances
- Developing appropriate stakeholder relations

## POLITICAL WILL AND EFFECTIVE SLUM POLICIES IN SÃO PAULO



Interview with  
**Paulo Teixeira**

*Federal Deputy  
Brazilian Parliament*

*Former Secretary of Housing  
and Urban Development,  
São Paulo, Brazil*

- How did you curb evictions of slum dwellers?
- How can communities on private land avoid evictions?
- Accomplishments in São Paulo
- Why is tenure important?
- How does one change the 'culture' of the public sector?
- What is the Brazilian 'Statute of the Cities'?
- What are the key lessons of the São Paulo experience?
- Could you share a few particular stories?

## COORDINATING COMPREHENSIVE NATIONAL APPROACHES



Interview with

**Dean Cira**

*Senior Urban Specialist  
World Bank*

- Institutional roles across tiers of government: Upgrading
- Institutional roles across tiers of government: Proactive
- Challenges and innovations
- Maintaining consistency in outcomes

### Why are there two CDs?

The two CDs on the inside back cover are identical in content. The first CD uses PowerPoint to display the 14 multimedia presentations, while the second CD uses Flash. The PowerPoint version may require more memory than the Flash version to run smoothly, but it provides a better viewing experience. If you have trouble with the PowerPoint version, try the Flash version.



### System Requirements

- Intel™, Pentium™ 4, Intel Centrino™, Intel Xeon™, Intel Core™ Duo (or compatible) processor
- Microsoft™ Windows™ XP with Service Pack 2, Windows Vista™ Home Premium, Business, Enterprise, or Ultimate (certified for 32-bit editions)
- 512MB of RAM or more recommended
- 1024 x 768 minimum monitor resolution with 16-bit or greater video card
- CD-ROM drive
- RealOne Player™ (basic player) required for video features. Download at <http://www.real.com/player/>
- Macromedia Flash Player™ (version 8.0 or higher) required for multimedia features. Download at <http://www.macromedia.com/software/flashplayer/>

You must have a Web browser such as Internet Explorer or Firefox installed on your computer to view the contents of this CD-ROM.

Insert the CD-ROM into your computer's CD-ROM drive. If you have a Web browser installed, the welcome page of the CD-ROM should launch automatically.

To launch manually, double-click on the CD-ROM drive to launch the Sourcebook.



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- Click on the "Advanced" tab
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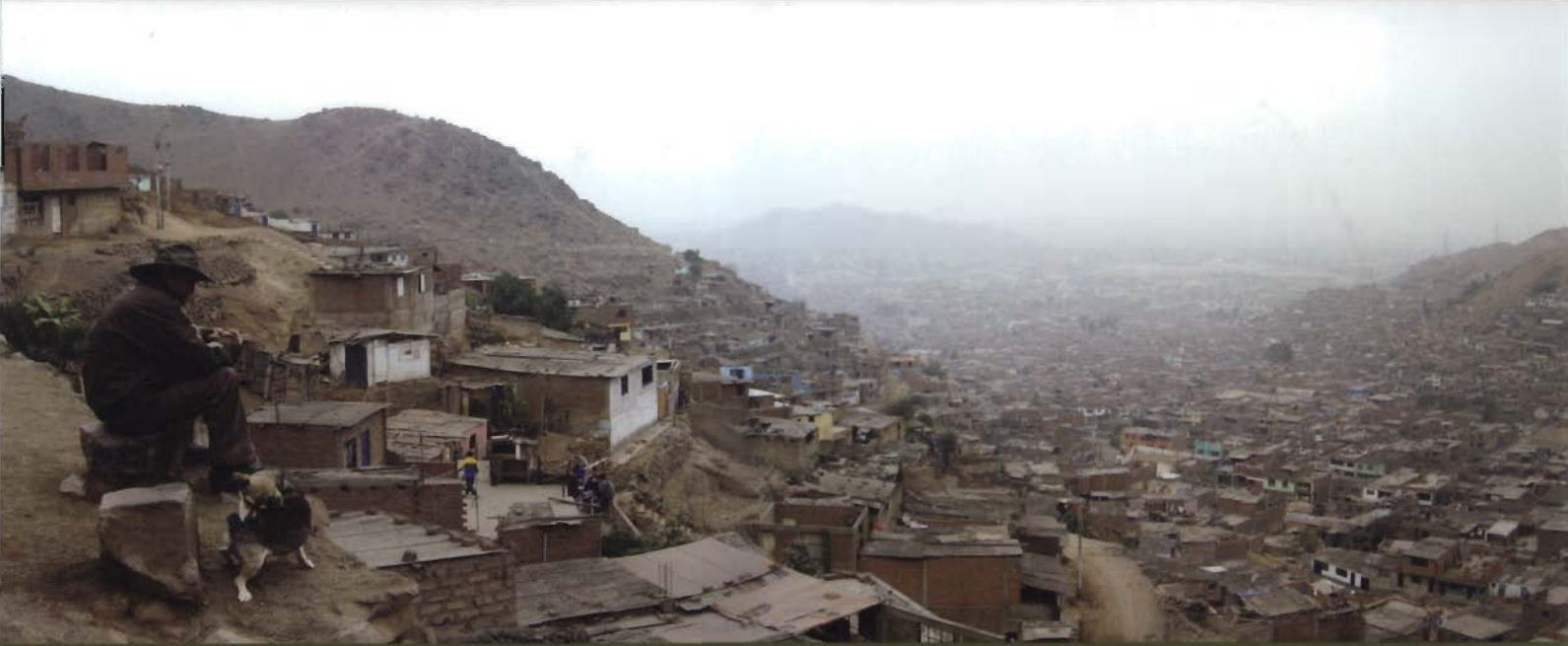
**Warning:** Allowing active content from untrusted sources to access your computer could result in damage from various types of malware infiltration. In some cases, these programs can be used to collect information from your computer in ways you might not approve of, possibly damage data on your computer, install software on your computer without your consent, or allow someone else to control your computer remotely. Therefore it is suggested that after each session of viewing the CD, you should go back and uncheck "Allow active content to run in files on My Computer" and click "OK."



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Sanjay Kathuria

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The sourcebook does not exist in printed format, and can only be viewed on the CD-ROM included with this volume. This guide is a primer to the sourcebook.



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