

DESIGNING AND IMPLEMENTING STREET-LED CITYWIDE
SLUM UPGRADING PROGRAMMES

A TRAINING MODULE COMPANION

UN  **HABITAT**
FOR A BETTER URBAN FUTURE

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FOREWORD



The global rate of urbanization has taken an important turn, with six out of every ten people in the world expected to reside in urban areas by 2030. This growth is not evenly spread around the world, with 90 per cent of urban growth taking place

in Africa, Asia, Latin America, and the Caribbean. Concurrent with this rise is the phenomenon of informal urbanization manifested through the development of slum settlements in cities in the developing countries worldwide.

Slums represent residential areas with some of the lowest standards of living, lacking public spaces and the greatest security challenges for vulnerable populations such as women, children, and the elderly. Despite continued efforts to plan for better cities and improve the lives of slum dwellers through slum upgrading programs, problems in these communities persist. This publication depicts a training module that advocates for a coordinated approach to slum upgrading, which works with UN-Habitat strategic planning components – urban planning, urban legislation, and urban economy – to provide the platform for a sustainable urban future. Through the combination of physical planning, rules and regulations, and financially planning, urban areas can generate sustainable growth that will provide stability and investment opportunity. Incorporating slum upgrading into a National Urban Policy and Planned City Extensions ensures a nationwide coordinated effort that gives the best chance of improving the lives of those living in informal settlements.

This Training Module on Designing and Implementing Citywide Slum Upgrading Programs is published in conjunction with two other pieces, namely, *Streets as Tools for Urban Transformation in Slums: A Street-led Approach to Citywide Slum Upgrading* and *A Practical Guide to Designing, Planning, and Executing Participatory Citywide Slum Upgrading Programmes*. I am very pleased to introduce this Training Module focusing on citywide slum upgrading to an international audience. It completes the trilogy developed by UN-Habitat on the subject of street led and citywide slum upgrading. This Training Module translates the strategy paper and the practical guide on Citywide Slum Upgrading Programmes into a training platform that can be disseminated to and used globally to enhance the capacity of those taking decisions, planning and executing slum upgrading programs in their cities. Being tested already in a number of occasions, this training companion adds on the institutional effort of UN-Habitat to enhance skills and knowledge and improve capacities to address this challenge in cities of the developing world. The publication provides the basis for better and more meaningful training of local officials, policy makers and practitioners that will help to improve the quality and delivery of citywide slum upgrading programs.

I am convinced that the blend of research, knowledge, practice and experience will develop the kind of skills and know-how needed to address the problems of slums globally. I hope that this Training Module, used in conjunction with its partner publications, will do just that and provide urban practitioners with a valuable resource and an effective tool to add to their toolkit.

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



**DESIGNING AND IMPLEMENTING
STREET-LED CITYWIDE SLUM UPGRADING PROGRAMMES**



I. INTRODUCTION TO THE TRAINING MODULE PACKAGE

This training module consists of:

The generic module

1. The generic module with notes for the Course Coordinator/ Trainer
2. Participants' Handbook
3. Power point presentations
4. Video films

1. INTRODUCTION TO THE TRAINING MODULE

A defining feature of urban growth in developing countries has been emergence and perpetuation of informal squatter and unauthorised settlements. Classified internationally as "slums" and locally called unplanned, spontaneous, sub-standard, poorly serviced settlements with different names such as favelas, barriadas, gencekondus, kampungs, etc., these settlements are often characterised by poor housing conditions and a lack of basic urban services and infrastructure. The extent of informality in housing production as manifested in slum growth is immense and, in absolute terms, growing. According to a UN-HABITAT statistics, the number of people living in slum conditions reached approximately 827 million people in 2010, representing a 12.5 per cent increase from just a decade before.

Slum upgrading is one approach to addressing this challenge. It seeks to improve the living conditions in slums for the benefit of existing slum dwellers by directly intervening, in situ, in the physical, social, economic, and/or juridical structure of the settlement. At the neighborhood level slum upgrading projects have often led to dramatic improvements in the lives of slum dwellers. Furthermore, in select cities in Brazil, Uruguay, Colombia, Thailand, India and South Africa, benefits have been enhanced through large programmes that have been implemented at a citywide scale.

Given the scale of the challenge of slums, the need to move away from piecemeal project-based slum upgrading interventions and to bring slum upgrading to a large scale is both evident and imperative. The political will to undertake and sustain slum upgrading is evidently growing, and more countries are rising to the challenge of developing city- and nationwide slum-upgrading strategies. However, it is recognized that such policies and programmes have a curative character. They need to form part of a twin-track approach that promotes citywide slum upgrading

policies simultaneous to policies that bring housing options to scale to prevent the multiplication of slums and urban informality.

The focus of this training module is city wide slum upgrading (CWSU). A retrospective of interventions demonstrates the evolution from removal of slums to project-based in-situ infrastructure improvements to citywide slum upgrading programmes, comprised of multiple and simultaneous projects aiming at the legal, social and physical integration of slums into the official systems of planning and urban management. However, it is seen that some city-wide slum upgrading programmes revert to the project approach because they are unsuccessful in resolving the complexities of including multiple elements, which are invariably included for the sake of being comprehensive. Programmes which develop incrementally and follow practical and hands-on implementation strategies are seen to be more successful.

This training module will introduce one such practical strategy developed by UN-HABITAT, which suggests a move towards the opening and improvement of streets through citizen participation as a strategic spatial intervention for citywide slum upgrading. The approach fosters incremental improvement of the physical and socio-economic conditions in slums and informal settlements and promotes urban regeneration, transformation and their integration into the overall city planning agenda.

As cities are moving towards programmatic approaches towards slum upgrading, it is increasingly recognised that institutional, management and human resource capacities must be in place both for scaling up slum upgrading and for putting in place viable housing options that provide alternatives to informal settlements.

2. TRAINING OBJECTIVES

The purpose of the training module is to enhance knowledge and develop skills amongst key stakeholders responsible for designing, coordinating, managing and implementing city wide slum upgrading programmes. The main objective of the training module is to introduce the necessary steps, practical tools and systems for designing and implementing and managing street-led city wide slum upgrading programs. The module introduces the basic conceptual and methodological issues involving slums and slum upgrading and develops an in-depth understanding of the deep-rooted causes of slums and informal settlements and the various policies to deal with it.

The module also seeks to promote slum upgrading as a viable alternative to improve the living conditions and quality of life of poor households living in slums and informal settlements.

◀ Photo: Community participation in Myanmar © UN-HABITAT

The training module will provide a platform for exchange of knowledge, experience and perceptions of participants related to slum upgrading in their own context as a point of departure for analysis and knowledge building.

The ultimate objective of the module is that the course participants should be equipped with the knowledge to develop CWSU as a business model for city regeneration and instrumentalise it in a short time period.

3. TARGET GROUP

The target group for the training module consists of those who are or will be in charge of designing and proposing programmes to the city government. These would include, but not be limited to, policy makers, practitioners and experts from municipal governments and civil society organizations, including community based organizations of slum dwellers. A special and distinct target group would be trainers from training institutions in different regions and countries who would take up the important task of spreading the message and practice of citywide slum upgrading.

4. OVERALL CONCEPT AND METHODOLOGY

The training module is an essential part of the Virtuous Cycle of Capacity Building, which has been articulated by UN-HABITAT as a strategic approach to sharing knowledge and experience and developing new knowledge products towards institution building and capacity development for citywide slum upgrading. As such, the specific role of the training module is to assimilate and reproduce the knowledge generated through research, and disseminate the tools and practical guides.

Particularly, the training module will draw on two important pieces of work. The first is UN-HABITAT's "Practical Guidebook for Designing, Planning, Managing and Executing Citywide Slum Upgrading Programmes" and the second is the working paper "Streets as Tools for Urban Transformation in Slums: A UN-Habitat approach to citywide slum upgrading".

The module will introduce the basic conceptual and methodological issues involving slums and slum upgrading and develop an in-depth understanding of the deep-rooted causes of slums and informal settlements and the various policies to deal with it. Next, the training module will introduce the necessary steps, practical tools and systems for designing, implementing and managing street-led city wide slum upgrading programmes. Finally key approaches to instrumentalise CWSU in a phased manner will be discussed.

The module is designed as an interactive learning environment, which facilitates the transition from lower levels of cognition like assimilation of knowledge to higher levels such as application and analysis.

5. EVOLUTIONARY MODULE DESIGN

This training module will be most effective if it is treated not as a static entity but an evolving one, which will be renewed and updated as the experience grows and as and when new sources of knowledge and experience are available. The training module was first piloted in the International Urban Training Centre (IUTC), Republic of Korea in April 2013. The course was attended by 20 participants from 10 Asian countries. Subsequently, parts of the module were used in a day-long session called, "Fast Forward cities: planning and design

VIRTUOUS CYCLE OF CAPACITY DEVELOPMENT



for inclusive cities” in a 5-day training programme, “Thinking Big: Strategies to Deal with Urban Growth” held in London in June 2013, as part of the Centenary Celebrations of International Federation of Housing and Planning (IFHP) for members of URBEGO, the network of young planning professionals. Observation during these programmes as well as the course evaluation by the participants have helped to fine tune and bring the module to its present form.

The Negotiation Exercise from the Training Module was successfully tested on two occasions by trainers from IHS. In May 2013 it was used in a course on “Planning and implementation of low-income (social) housing projects” for training of trainers at the Centre

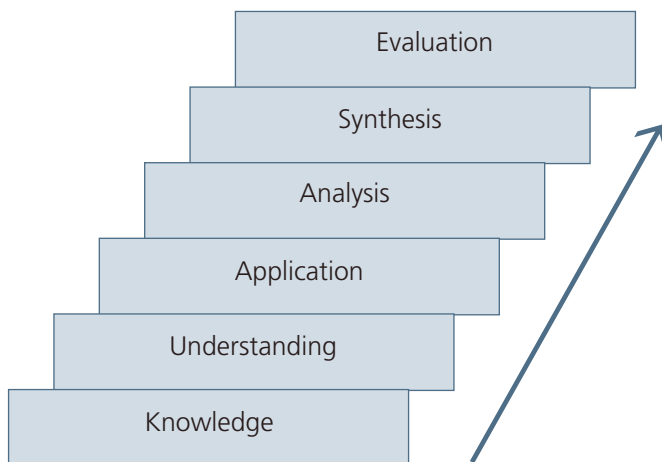
for Human Settlements and Urban Development, Federal University of Technology, Minna, Nigeria. It was attended by 20 participants, including representatives from the Ministry of Housing. In December 2013 the same exercise was translated into Spanish and tested at a tailor made training course for 25 staff members of the Department of Urbanism of Guatemala City.

Testing and running the Module successfully across 4 continents, in its full form and using elements from it, has demonstrated that it is a flexible and adaptable tool, which trainers can use effectively to achieve the Module objectives. It was found to be useful and well-appreciated by participants in all the courses.

THE MODULE WILL CONSIST OF THE FOLLOWING MAIN STEPS:

| | | |
|--------|---|--|
| Step 1 | Understanding slums | Analyzing magnitude, typology and causes of slums; policies towards slums; need for CWSU |
| ➔ | | |
| Step 2 | Designing, implementing and managing CWSU | Intro to steps, tools, institutions, stakeholder roles, resource mobilization |
| ➔ | | |
| Step 3 | Instrumentalizing CWSU | Intro to street-led approach; participatory mapping, planning & prioritization; phasing; incremental slum upgrading and urban regeneration |
| ➔ | | |

LEARNING LADDER



LINKING COGNITION WITH PEDAGOGIC ELEMENTS

| COGNITIVE ELEMENT | PEDAGOGIC METHODS USED IN THE MODULE |
|-----------------------------|--|
| Knowledge and Understanding | <ul style="list-style-type: none"> • Participants' own case preparation • Presentations on concepts, approaches • Interactive question-answer sessions, games |
| Application | <ul style="list-style-type: none"> • Discussion of case studies • Individual and group exercises |
| Synthesis | <ul style="list-style-type: none"> • Group exercise on Business Case for CWSU |
| Evaluation | <ul style="list-style-type: none"> • Peer evaluation of exercise • Self evaluation and course evaluation |

Each Course Coordinator/ Trainer may make his/her changes within the overall concept and methodology and ensuring the same learning outcomes. Different case studies and exercises may be used by trainers and his/her experiences may be brought in towards achieving the stated objectives of the module. Both the key references, UN-HABITAT's "Practical Guidebook for Designing, Planning, Managing and Executing Citywide Slum Upgrading Programmes" and the working paper "Streets as Tools for Urban Transformation in Slums: A UN-HABITAT approach to citywide slum upgrading," contain a number of case studies which can be elaborated individually during the sessions. Alternatively, the lessons learnt from them may also be discussed.

MODULE STRUCTURE

In the course of 5 working days, each day is divided into 4 sessions of 90 minutes each between 9.00 AM and 5.00 PM, with 2 breaks for tea/coffee and one break for lunch. The morning sessions are in general used for introducing theories, concepts, methodologies etc. and are on occasion interspersed with short exercises, done individually or in groups. The afternoon sessions are used for exercises, case studies etc.

| DAY 1: UNDERSTANDING SLUMS AND SLUM UPGRADING | | |
|--|------------|---|
| TIME | SESSION | TITLE OF THE SESSION |
| 9:00 – 10:30 | Session 1 | Opening Session |
| 10:30 – 11:00 | Break | |
| 11:00 – 12:30 | Session 2 | The Challenge of Slums |
| 12:30 – 13:30 | Lunch | |
| 13:30 – 15: 00 | Session 3 | Evolution of approaches towards slums |
| 15:00 – 15:30 | Break | |
| 15: 30 – 17:00 | Session 4 | Why upgrade? From Projects to Programmes: Exercise |
| DAY 2: SETTING UP CWSU: LEARNING FROM BEST PRACTICES | | |
| 9:00 – 10:30 | Session 5 | Initiating CWSU with stakeholder participation |
| 10:30 – 11:00 | Break | |
| 11:00 – 12:30 | Session 6 | Exercise: Initiating CWSU |
| 12:30 – 13:30 | Lunch | |
| 13:30 – 15: 00 | Session 7 | Participatory Action Planning for CWSU: APUSP, India |
| 15:00 – 15:30 | Break | |
| 15: 30 – 17:00 | Session 8 | Integrating slums with the city: Favela Bairro, Brazil |
| DAY 3: STRATEGIC CHOICES IN PLANNING CWSU | | |
| 9:00 – 10:30 | Session 9 | Institutional and financing options |
| 10:30 – 11:00 | Break | |
| 11:00 – 12:30 | Session 10 | Land and its regularisation |
| 12:30 – 13:30 | Lunch | |
| 13:30 – 15: 00 | Session 11 | Exercise: Business case for CWSU: Part 1: strategic context |
| 15:00 – 15:30 | Break | |
| 15: 30 – 17:00 | Session 12 | Exercise: Business case Part 2: Analysis and recommendation |
| DAY 4: IMPLEMENTING STREET-LED CWSU | | |
| 9:00 – 10:30 | Session 13 | Principles of Street-led CWSU |
| 10:30 – 11:00 | Break | |
| 11:00 – 12:30 | Session 14 | Learning from experience of street-led CWSU: Slum Networking and Slum Free City Ahmedabad |
| 12:30 – 13:30 | Lunch | |
| 13:30 – 15: 00 | Session 15 | Exercise: Business case Part 3: Viable options |
| 15:00 – 15:30 | Break | |
| 15: 30 – 17:00 | Session 16 | Presentation of exercise: Business Case for CWSU |

DAY 5: SUSTAINING CWSU, CONSOLIDATING THE LEARNING EXPERIENCE

| | | |
|---------------|------------|--|
| 9:00 – 10:30 | Session 17 | Prioritising slums for upgrading and phasing implementation |
| 10:30 – 11:00 | Break | |
| 11:00 – 12:30 | Session 18 | Negotiation game: Opening streets in slums: opportunities and challenges |
| 12:30 – 13:30 | Lunch | |
| 13:30 – 15:00 | Session 19 | Negotiation game: Opening streets in slums: opportunities and challenges continued |
| 15:00 – 15:30 | Break | |
| 15:30 – 17:00 | Session 20 | Evaluation and Course Closing |

| SESSION | DURATION IN MINUTES | CONTENTS | OBJECTIVES | NATURE OF THE TRAINING ACTIVITIES | REFERENCE TO COURSE MATERIAL |
|---------|---------------------|----------|------------|-----------------------------------|------------------------------|
|---------|---------------------|----------|------------|-----------------------------------|------------------------------|

DAY 1: UNDERSTANDING SLUMS AND SLUM UPGRADING

| | | | | | |
|-----------------------------------|-----|--|--|--|---------------------------------|
| Session 1: Opening Session | 90' | <ul style="list-style-type: none"> To welcome the participants to the course. To let participants introduce themselves and explain their interest/work experience related to slum upgrading. To come to understand the expectations of the participants with regard to the training. To introduce the background, objectives, content and schedule of the workshop; training methodology employed during the course; and reading material. | Words of welcome, introduction to the course objectives, programme and methodology; introductions and expectations from each participant; create a participatory learning environment among the participants | <ul style="list-style-type: none"> Interactive session | Introduction of course material |
| Session 2: The challenge of slums | 90' | <ul style="list-style-type: none"> Overview of slums and their magnitude in different regions. Causes of slums and consequences for residents and the city. UN-HABITAT slum definition, characteristics and typology of slums. Brain storming on evolving an operation definition of "slum" in participants' cities/countries. | Understanding of nature of slums internationally and in participants' cities | <ul style="list-style-type: none"> Presentation Interactive session with question and answer Brain storming | CD: Session Two Presentation |

| | | | | | |
|---|-----|--|---|--|---|
| Session 3: Evolution of approaches towards slums | 90' | <ul style="list-style-type: none"> • Brief overview of housing policies in relation to slums – demolition of slums, public housing, relocation, sites and services, slum upgrading projects and city-wide programmes. • Intro to CWSU. • Case examples of good practices in slum upgrading. | To review the evolution of slum upgrading within housing policy rationale. To agree on what is meant by slum upgrading and CWSU | <ul style="list-style-type: none"> • Presentation • Interactive session with question and answer | CD: Session Three Presentation |
| Session 4: Why upgrade? | 90' | <ul style="list-style-type: none"> • 30 minutes Film on Karachi, Pakistan "Why upgrade." • Discussion on views of different stakeholders in the film. Lessons learnt. • Short exercise: From projects to programmes. | To develop the rationale for slum upgrading and understanding stakeholder concerns and implications of scaling up | <ul style="list-style-type: none"> • Film • Interactive session with question and answer • Short group exercise on given format | Format : Exercise 1 CD: Session Four Film and Session Four, Exercise 1. |

| SESSION | DURATION IN MINUTES | CONTENTS | OBJECTIVES | NATURE OF THE TRAINING ACTIVITIES | REFERENCE TO COURSE MATERIAL |
|--|---------------------|--|---|---|--|
| DAY 2: SETTING UP CWSU: LEARNING FROM BEST PRACTICES | | | | | |
| Session 5: Initiating CWSU | 90' | <ul style="list-style-type: none"> Identifying institutions and stakeholders. Getting support and building consensus. Information and mapping of slums. Agreeing on a plan and publicizing it. Identifying key issues for success. | Reinforcing that CWSU is not only a technical task but needs political support and social credibility | <ul style="list-style-type: none"> Presentations Interactive session with questions and answers | CD: Session Five Presentation |
| Session 6: Exercise: initiating CWSU | 90' | <ul style="list-style-type: none"> Introducing the exercise. Individual exercise by participants using information brought by them and in consultation with 2 other participants. | Participants apply the tools introduced in session 5 to their own situation | <ul style="list-style-type: none"> Individual work with peer consultation | Formats for Exercise 2 CD: Formats for Exercise Two |
| Session 7: Participatory Action Planning for CWSU: APUSP, India | 90' | <ul style="list-style-type: none"> Introduction to Andhra Pradesh Urban Services for the Poor (APUSP). Municipal Action Plan for Poverty Reduction (MAPP) participatory process at city and slum level. Implementing slum upgrading and poverty reduction. Pro-poor reforms and capacity building. Evaluation results. Lessons learnt (interactive). | Illustrating the role of participatory action planning for CWSU and the need for municipal reform to sustain the benefits of slum upgrading | <ul style="list-style-type: none"> Presentations, question-answers Interactive session on lessons | CD: Session 7 Presentation |
| Session 8: Integrating slums with the city: Favela Bairro, Brazil | 90' | <ul style="list-style-type: none"> Key processes in planning & implementing. Political support, community participation. Coordination between institutions. Linking up with city: planning and regulatory frameworks, access and mobility. Overcoming challenges. Lessons learnt (interactive). | Illustrating the range of integrating elements Demonstrating how to overcome challenges | <ul style="list-style-type: none"> Presentations, question-answers Interactive session on lessons | CD: Session 8 Presentation |

| SESSION | DURATION IN MINUTES | CONTENTS | OBJECTIVES | NATURE OF THE TRAINING ACTIVITIES | REFERENCE TO COURSE MATERIAL |
|--|---------------------|--|---|--|--|
| DAY 3: STRATEGIC CHOICES IN PLANNING CWSU | | | | | |
| Session 9: Institutional and financing options | 90' | <ul style="list-style-type: none"> Setting up the institutional base for long term policy implementation. Structure and organization for effective public sector response. Organisation and management models. Public policy and government response. Examples from programmes. Financing options. | To understand that CWSU requires a sound institutional base and multiple sources of finance but one size does not fit all | <ul style="list-style-type: none"> Interactive session, question and answers | CD: Session Nine Presentation |
| Session 10: Land and its regularisation | 90' | <ul style="list-style-type: none"> Different forms of secure tenure. The idea of the continuum of rights and claims. Regulatory frameworks: city master plans, land use and settlement upgrading. Examples of different approaches from Brazil, Thailand, India, Philippines. | To understand the possibility of different types of tenure rights and land regulations | <ul style="list-style-type: none"> Interactive presentation using case examples | CD: Session Ten Presentation |
| Session 11: Exercise: Business case for CWSU: Part 1: strategic context | 90' | <ul style="list-style-type: none"> Introduction to the exercise. Preparing a business case. Agreeing on working groups and roles of group members. Working in groups. | To develop skills for analyzing and highlighting the strategic importance of CWSU | <ul style="list-style-type: none"> Group work | Exercise 3 brief CD: Exercise 3 brief |
| Session 12: Exercise Business case Part 2: Analysis and recommendation | 90' | <ul style="list-style-type: none"> Re-constitution of working groups. Working in groups to develop evaluation criteria for options. Screening of options (status quo, options 1,2,3). Selection of viable option(s). Rationale for discounted and viable options. | Participants develop skills to apply tools for selecting and promoting the viable approach and option for CWSU | <ul style="list-style-type: none"> Guided work in groups | Exercise 3 brief CD: Exercise 3 brief |

| SESSION | DURATION IN MINUTES | CONTENTS | OBJECTIVES | NATURE OF THE TRAINING ACTIVITIES | REFERENCE TO COURSE MATERIAL |
|--|---------------------|---|--|---|--|
| DAY 4: IMPLEMENTING STREET-LED CWSU | | | | | |
| Session 13: Principles of street-led CWSU | 90' | <ul style="list-style-type: none"> Strategic role of streets to integrating slums with city systems and urban planning. Focus on opening streets in slums for social integration, physical improvement and local economic development. Incremental and participatory decision making and implementation. | Knowledge and understanding of street-led CWSU | <ul style="list-style-type: none"> Presentation and Interactive session | CD: Session 13 Presentation |
| Session 14: Learning from experience of the twin-track approach to street-led CWSU | 90' | <ul style="list-style-type: none"> Importance of the twin-track approach: upgrading and prevention of slums. Discussion of the example of Ahmedabad, India for slum networking, relocation of slum dwellers and accessing land for new low income housing. | To understand how the twin-track approach can be put in place in relation to opportunities in the city and development objectives. | <ul style="list-style-type: none"> Presentation, question and answers Short video Interactive outlining of lessons | CD: Session 14 Presentation, Ahmedabad film. |
| Session 15: Exercise Business case Part 3: Viable options | 90' | <ul style="list-style-type: none"> Re-formation of working groups. Implications of viable option (costs, costs and benefits, opportunities, risks, alignment with policies and regulations, implementation capacity, acceptability, advantages and disadvantages). Implementation plan. | Participants develop skills to prepare for implementation of the selected approach examining different constraints and opportunities | <ul style="list-style-type: none"> Guided work in groups | Exercise 3 brief CD: Exercise three brief |
| Session 16: Presentation and discussion of business case studies, Parts 1,2,3 | 90' | <ul style="list-style-type: none"> Working groups present the results of the exercise, respond to answers for clarification, and gain feedback from co-ordinators. Groups compare the outcome of their work with others. Feedback from co-ordinators. | Participants are able to convincingly argue for the approach developed by them in groups | <ul style="list-style-type: none"> Group presentations Plenary discussions | CD: Exercise Three brief |

| SESSION | DURATION IN MINUTES | CONTENTS | OBJECTIVES | NATURE OF THE TRAINING ACTIVITIES | REFERENCE TO COURSE MATERIAL |
|--|---------------------|--|--|---|---|
| DAY 5: CONSOLIDATING THE LEARNING EXPERIENCE | | | | | |
| Session 17: street-led CWSU: incremental approach | 90' | <ul style="list-style-type: none"> How to set up eligibility criteria for selection. How to prioritize slums and households for inclusion. Selection criteria and tools used in Brazil, India, Indonesia, Colombia etc. Incremental approach to street-led CWSU. | To expose participants to practical methods and examples for implementing the incremental development of slums | <ul style="list-style-type: none"> Presentation and discussions | CD: Session 17 Presentation |
| Session 18: Opening streets in slums: opportunities and challenges: Negotiation game | 90' | <ul style="list-style-type: none"> Participants engage in pre-determined role play representing different internal and external stakeholders in the upgrading process of one slum. Specifically to negotiate opening of streets and prioritizing streets for improvement. Secure tenure. Managing relocation of households affected by street improvements. Improving services and facilities. | Understanding of implementation issues, stakeholder roles, negotiation and collaboration issues | <ul style="list-style-type: none"> Group work Role play of slum and city stakeholders | Exercise brief Assigned roles CD: Slum Upgrading and Negotiation Game Notes (Roles and Groups). |
| Session 19: Opening streets in slums: opportunities and challenges: role play game | 90' | <ul style="list-style-type: none"> Game continued. | | <ul style="list-style-type: none"> Role play Negotiation Presentation of final outcome | CD: Slum Upgrading and Negotiation Game Notes (Roles and Groups). |
| Session 20: Evaluation and Closing Ceremony | 90' | <ul style="list-style-type: none"> Review of key issues addressed in the workshop. Participants' agreement on next steps to promote CWSU. Feedback (verbal and written) on the value of the course to the participants. | Evaluation of the course, valedictory session | <ul style="list-style-type: none"> Review of learnings and their professional application Written and verbal evaluation | Course evaluation form Course Evaluation Form (Annex Two). |



Rio de Janeiro. Photo: Bildungsroman, Flickr Creative Commons

II. SESSION DETAILS

DAY ONE

SESSION 1: OPENING SESSION

This session is intended to welcome the participants and to introduce the participants and trainers. The participants are asked to briefly describe their work related to slum upgrading and expectations from the course. The session also familiarises the participants with the background, objectives, content and schedule of the course and talks about the interactive and practice oriented training methodology employed during the course. The course handouts and reading material are also introduced.

SESSION 2: THE CHALLENGE OF SLUMS

This session aims to build an understanding of the nature of slums and informal settlements internationally and in the participants' cities/countries. Starting with an overview of slums and their typology and trends in slum formation in different regions, the session goes on to discuss: what are slums? It then helps the participants to arrive at an operational definition of slums through a process of brainstorming and compares it with the UN-Habitat definition. The causes of slums and their consequences for slum dwellers and the city are discussed. The session concludes with the question: what will happen if nothing is done about slums?

Recommended reading:

1. CWSU Practical Guide : Chapter 1
2. Streets as tools for urban transformation: A street-led approach to citywide slum upgrading : Section 4, (Part B)
3. Acioly Jr., Claudio (2010). "The Informal City and the Phenomenon of Slums: the challenges of slum upgrading and slum prevention", in International New Town Institute, (2010) New Towns for the 21st Century. The Planned vs. the Unplanned City. Amsterdam: SUN architecture, pp. 222-231.
4. Cities alliance (2002). Citywide Slum Upgrading. http://www.citiesalliance.org/ca/sites/citiesalliance.org/files/Annual_Reports/upgrading_9.pdf
5. UN-HABITAT (2003). The Challenge of Slums. Global Report on Human Settlements 2003. London: Earthscan and UN-HABITAT.
6. Fernandes, E. (2011). Regularization of Informal Settlements in Latin America. Policy Focus Report. Cambridge: Lincoln Institute of Land Policy

SESSION 3: EVOLUTION OF APPROACHES TOWARDS SLUMS

This session presents a brief historical overview of housing policies vis-à-vis the responses to informal settlements. The session goes through analysis of early generation of housing projects and programmes focused on government subsidised conventional housing schemes, self-help housing advocacy, sites & services, incremental land developments and sites without services approaches pinpointing the peculiarities of each policy approach. The session helps the participants to understand the evolution of the paradigm of settlement upgrading within the policy rationale. The move from projects focused on physical improvements towards integrated projects as part of city-wide programmes is highlighted by this session. Finally, the session discusses the intrinsic implications from policies of integration and regularisation of informal settlements in which improvements in quality of life is as important as the regularisation of land tenure.

Recommended reading:

1. CWSU Practical Guide: Chapter 1
2. Streets as tools for urban transformation: A street-led approach to citywide slum upgrading: Section 4, (Part B)
3. Vilorio-Williams, Julie (2006). Urban Community Upgrading, Lessons from the past – Prospects for the future. World Bank Institute
4. Banerjee, Banashree (2006). Impact of tenure and infrastructure programmes on housing conditions in squatter settlements in Indian cities. In: Shaw, A. (Ed.) Indian Cities in Transition. New Delhi: Orient Longmans, India

SESSION 4: WHY UPGRADE?

The first part of this session uses a 30-minutes film from Karachi, Pakistan, to explore the question: why upgrade? This is often the question city institutions face. The rationale for upgrading slums instead of demolishing or relocation them goes beyond the housing question. It points to supporting poor people to improve their conditions of living in places which are strategic for livelihood opportunities and access to facilities in the city. This is one of the reasons why the issue of slums cannot be seen in isolation from the city. The second part of the session is a quick exercise, in which participants working in groups of three or four will examine the difference between slum upgrading and citywide upgrading.

Resources:

1. Film
2. Work sheet for the exercise, Annex 3



Women participate in discussing and identifying community needs. Photo: UN-HABITAT

DAY TWO

SESSION 5: INITIATING CWSU WITH STAKEHOLDER PARTICIPATION

The key aim of CWSU is to integrate informal settlements with the city. This session reinforces the fact that Citywide Slum Upgrading is not only a technical task of providing services but needs political support and social credibility. This session discusses what kind of feasibility studies are to be carried out for determining the choice of options. How and when to take stock of gaps in information and mapping and initiate data updating and sharing for planning is looked into. The involvement of a range of stakeholders – community groups, NGOs, private sector, municipal, academic institutions, provincial and central government - is essential for effective CWSU. Stakeholder analysis and ways of engaging with different groups will be introduced. The session will also identify key areas for success, which will be revisited during other sessions.

Recommended reading:

1. CWSU Practical Guide: Chapter 2
2. IIED (1994). Special Issue on Participatory Tools and Methods in Urban Areas, RRA Notes, No. 21, International Institute of Environment & Development, London, November.
3. Gawler, M. (2005). Quick Guide to Stakeholder Analysis, web publication: ARTEMIS Services, April.
4. Government of India (2012). Guidelines for Rajiv Awas Yojana, Ministry of Housing and Urban Poverty Alleviation

SESSION 6: EXERCISE: INITIATING CWSU

In this exercise participants will be asked to apply the framework for initiating CWSU (introduced in Session 5) to their own situation. The information they were asked to bring to the course will form the basis for developing the steps to initiate CWSU in their own cities.

Resource:

1. Session 2, 3 and 5 presentations and discussions
2. CWSU Practical Guide: Chapter 2

SESSION 7: PARTICIPATORY ACTION PLANNING FOR CWSU: APUSP, INDIA

This session uses the example of Andhra Pradesh Urban Services for the Poor (APUSP) implemented in 42 cities of Andhra Pradesh, India to illustrate the importance of participatory planning for city wide slum upgrading. The Municipal Action Plan for Poverty Reduction (MAPP) is prepared at city level to by representatives of stakeholder groups to identify and prioritise slum upgrading and poverty reduction actions and to identify pro-poor municipal reforms. Micro Planning in prioritised slum settlements is led by women representatives assisted by multi-disciplinary teams from the municipality. The session also discusses accompanying measures for capacity building. The findings of external evaluations of the programme illustrate the role of participatory action planning for CWSU and the need for municipal reform to sustain the benefits of slum upgrading.

Recommended reading:

1. CWSU Practical Guide: Chapter 7
2. Streets as tools for urban transformation: A street-led approach to citywide slum upgrading: Section 6 and Annex 1
3. Banerjee, B (2002) Mainstreaming the urban poor in Andhra Pradesh, India in eds, Westendorff, David and Deborah Eade, *Development and Cities*, Oxfam GB, pp 204-225.
4. Government of Andhra Pradesh (2004) MAPP Guidelines, Directorate of Municipal Administration.

SESSION 8: INTEGRATING SLUMS WITH THE CITY: FAVELA BAIRRO, BRAZIL

This session describes a large scale citywide upgrading programme undertaken by the municipality of Rio de Janeiro, Brazil. The session presents a clear overview of the main challenges faced by the city and elaborates on how the municipal government formulated and implemented the programme, how it mobilised resources and how project ideas evolved and the role of the various public and private stakeholders. The strategies used to integrate slums with the city are highlighted in terms of planning and regulatory frameworks, access and mobility. The session ends with a discussion about the successes and failures of the programme and its replicability.

Recommended reading:

1. CWSU Practical Guide: Chapter 7
2. Streets as tools for urban transformation: A street-led approach to citywide slum upgrading: Section 6 and Annex 1
3. Acioly Jr., Claudio (2001). "Reviewing Urban Revitalisation Strategies in Rio de Janeiro: from urban project to urban management approaches", in *GeoForum: Special Issue on Urban Brazil*, Volume 32, Number 4, November 2001, UK: Elsevier.
4. Imparato, Ivo, Jeff Ruster (2003). *Slum Upgrading and Participation: Lessons from Latin America*. World Bank.



Mumbai Landing View Photo: J.Brewster, Flickr Creative Commons

DAY THREE

SESSION 9: INSTITUTIONAL AND FINANCING OPTIONS

There may be many ways in which the objectives of CWSU can be achieved, depending on the local situation, resources available and social acceptance. In this session the different possibilities for institutional arrangements will be discussed for sustainable CWSU. In particular the options of setting up new institutions versus strengthening existing institutions will be debated. Possibilities for mobilising finance for CWSU and financial management for sustaining the benefits will be discussed with examples.

Recommended reading:

1. CWSU Practical Guide: Chapter 3; Chapter 5.
2. Acioly Jr., C. (2012), Citywide Informal Settlement Upgrading Programmes: Some Experiences with Institutionalization, PowerPoint presentation to the Institute for Housing and Urban Development Studies, Erasmus University, Rotterdam.

SESSION 10: LAND AND ITS REGULARISATION

This session introduces the importance of regularising tenure of informal settlements. Security of land tenure is critical for investment in improving informal settlements and integrating them with the city. The different forms of secure tenure are introduced. How tenure rights can be strengthened incrementally is discussed. The regulatory framework of planning and land use regulations also plays an important role in regularising tenure and ensuring availability of land to prevent slums. The use of land in slums and the options for upgrading such as re-blocking of plots and opening streets can lead to significant advantages for long term sustainability and better environmental quality. Examples from different approaches from Latin America, Asia and Africa will be presented.

Recommended reading:

1. CWSU Practical Guide: Chapter 2; Chapter 4
2. Streets as tools for urban transformation: A street-led approach to citywide slum upgrading: Chapter 5; Chapter 6; Chapter 7 and Annex 1
3. UN HABITAT (2008). "Secure Land Tenure for All." Global Land Tool Network.
4. UN-HABITAT (2010). "Count me in. Surveying for tenure security and urban land management". Nairobi: United Nations Human Settlements and Global Land Tool Network

SESSION 11: EXERCISE: BUSINESS CASE FOR CWSU: PART 1: STRATEGIC CONTEXT

The group exercise of developing a Business Case for Citywide Slum Upgrading will be carried out in three steps, spread over three sessions. 1) Identifying the strategic context; 2) Analysis and recommendation options of a way forward; 3) Viable options. A Business Case is an analysis of the organisational capacity and values, feasibility, costs, benefits, and risks of the proposed plan. In this session participants will be asked to form multi-disciplinary groups of 4-5 members and will be guided with background notes and discussions with co-ordinators. Inputs from other sessions in the course will provide relevant information for undertaking the exercise. This particular session will look into the strategic context of city development, policy framework and slum situation and possible options/approaches for CWSU.

Resources:

1. Exercise brief (Annex 5)
2. City profile
3. Treasury Board of Canada (2009), Business Case Guide, <http://www.tbs-sct.gc.ca>

SESSION 12: EXERCISE BUSINESS CASE PART 2: ANALYSIS AND RECOMMENDATION

The working groups will develop evaluation criteria for evaluating the options; screen the options (status quo, options 1,2,3) according to the criteria, select the viable option(s) and give the rationale for rejecting and selecting options.



Kibera, Kenya. photo: Gates Foundation, Flickr Creative Commons

DAY FOUR

SESSION 13: PRINCIPLES OF STREET-LED CWSU

This session introduces UN-HABITAT's new approach to citywide slum upgrading which focuses on streets as tools for urban transformation in slums. The strategic role of streets in fostering the physical, socio-cultural and economic inclusion of slums with city systems and urban planning is discussed. Opening streets in slums leads to social integration, physical improvement and local economic development. A street-focused approach makes it possible to incrementally upgrade slums and use them for regeneration of the entire urban fabric and to demarcate areas for new housing. It is critical that local communities, service providers and businesses participate in decision making and implementation. The key principles and concepts of the street-led approach are introduced and advantages and shortcomings debated in the session.

Recommended reading:

1. Streets as tools for urban transformation: A street-led approach to citywide slum upgrading: Chapters 5 and 7
2. Favro, Celik and Ingersoll, eds. (1994). Streets: Critical Perspectives on Public Space. Berkeley and Los Angeles: University of California Press 1994

SESSION 14: LEARNING FROM EXPERIENCE OF THE TWIN-TRACK APPROACH TO STREET-LED CWSU

UN-Habitat has been recommending a twin-track approach for solving the problem of slums. This approach consists of upgrading existing slums on one hand and taking appropriate actions to prevent the formation of slums on the other hand. This session will illustrate how the twin-track approach is being planned and implemented in the case of Ahmedabad, India. Ahmedabad started implementing the slum networking project for upgrading slums in the 1990's. The city is currently undertaking large-scale relocation of river-side slums. Side by side land for new housing is being made available in the city centre as well as in the periphery using a policy for reservation of land for housing the poor.

Recommended reading:

1. Streets as tools for urban transformation: A street-led approach to citywide slum upgrading: Chapters 6 and 7, and Annex 1
2. Ahmedabad Municipal Corporation (2005) Ahmedabad Slum Networking Program, submitted for the Dubai International Award for Best Practices to Improve the Living Environment
3. Anand, S. (2008), Best Practices in Slum Improvement: the Case of Ahmedabad, India, Centre for Development Finance, Institute for Financial Management and Research, for the Development Innovations Group (DIG), CEPT University, Ahmedabad

SESSION 15: EXERCISE: BUSINESS CASE PART 3: VIABLE OPTIONS

In this session groups will work on the final part of the Business Case. An analysis of the viable option selected in the previous session will be carried out in terms of its costs, costs and benefits, opportunities, risks, alignment with policies and regulations, implementation capacity, acceptability, advantages and disadvantages. The groups will prepare an implementation plan outlining short, medium and long term actions.

SESSION 16: PRESENTATION OF EXERCISE: BUSINESS CASE FOR CWSU

In this session the groups will present their Business case for Citywide Slum Upgrading, respond to questions and get feedback from trainers. Groups will get an opportunity to compare the outcome of their work with that of other groups. There will be peer group evaluation of each group's work by the other groups. Trainers will summarise the key issues from the exercise.



Slums near Boeng Kak Lake, Cambodia. Photo: Johan Douma, Flickr Creative Commons

DAY FIVE

SESSION 17: STREET-LED CWSU: INCREMENTAL APPROACH

The incremental approach with development in phases based on local priorities is a key principle of the street-led CWSU. Experience shows that setting up robust and transparent eligibility criteria for settlements and streets to be included for upgrading and those to be relocated are very important for the success of CWSU. Over the years several methods have been used in different cities keeping in view slum conditions and city development concerns. Examples from countries such as Brazil, India, Indonesia and Colombia will be discussed. It is understood that not all slums can be upgraded at the same time given institutional capacity and practical considerations. Techniques for prioritisation of slums for implementation and selection of households for access to specific benefits are introduced.

Recommended reading:

1. CWSU Practical Guide: Chapter 2 ; Chapter 3
2. Streets as tools for urban transformation: A street-led approach to citywide slum upgrading
3. Government of India (2011) Rajiv Awas Yojana: Guidelines for Slum-Free Planning, Ministry of Housing and Urban Poverty Alleviation, Government of India http://mhupa.gov.in/w_new/RAY%20Guidelines-%20English.pdf

SESSION 18 AND 19: NEGOTIATION GAME: OPENING STREETS IN SLUMS: OPPORTUNITIES AND CHALLENGES

This negotiation game is expected to give an understanding of how the street-led approach to CWSU will translate into practice in slums. Opening streets in slums can fundamentally change the urban fabric of these settlements through re-blocking and land readjustment towards generating urban layouts. This is not easy to implement unless key stakeholders are fully convinced of the advantages. For one, opening streets may call for some amount of demolition and relocation, which is an unpopular practice unless voluntarily agreed to. The stakeholders include the resident community and city authorities and also others not living in the slum who may have an interest in upgrading the slum or not upgrading it. The resident community too is not homogeneous in terms of their interests, needs, power and influence. The game attempts to capture some of these complexities through role play and negotiation between stakeholder groups.

Recommended reading:

1. Streets as tools for urban transformation: A street-led approach to citywide slum upgrading: Chapter 7; Chapter 8; Annex 1

SESSION 20: EVALUATION AND COURSE CLOSING

This final session of the course will review key issues addressed in the course.

Participants' agreement on next steps to promote street-led CWSU will be an important way of looking at openings for practical implementation and capacity building. Participants will be asked to give a feedback (verbal and written) on the course. The course will be concluded with a formal closing ceremony.

Resources:

Course evaluation form



13th Compound, Dharavi, India. Photo: Lecerle, JFlickr Creative Commons

ANNEX 1 INFORMATION TO BE BROUGHT TO THE COURSE

NOTES FOR THE COURSE COORDINATOR/ TRAINER

The format for information to be brought to the course should be sent to all selected participants at the time that they are informed about their selection. This would give them a few weeks to put the information together. This is required for the exercises as well as to initiate the process of thinking about the subject ahead of the course, enabling informed participation and greater learning benefits.

Participants are required to bring the following information (preferably in the digital format) to the course in order to be able to relate the course to their own situation. This information will be used by participants for some of the assignments which will be carried out during the course. In case the information is not available the participant must be able to give the reason or to give related information. (e.g. the information on slums is not available, is it because it is kept a secret or has no one collected the information?). Wherever possible, maps, photographs and videos can be brought.

About your country

1. Name of the country
2. Population
3. GDP per capita in US\$
4. Human Development Index

About your city

1. Name of city
2. Population
3. Main economic activities
4. Monthly average income of a low income family in US\$
5. Briefly describe the main problems in your city (environmental, social, economic etc.)
6. List key achievements of the city in the last 10 years
7. Briefly describe the situation in your city regarding access to housing and its relation to informally developed settlements
8. Identify the most common obstacle that is hindering low income families to get access to housing in your city
9. List the institutions responsible for urban planning and management

10. City map showing land use

About urban policies and institutions

1. Brief description of the system of governance, particularly of cities, in your country
2. Briefly describe what is the current government policy (local, national) regarding your city
3. Do cities have development plans? How are they implemented?
4. Briefly describe what is the current government policy (local, national) regarding informal urbanization, slums/squatter settlements
5. Briefly outline the regulatory framework or mention the type of legislation that addresses problems of land regularisation and property rights in informally developed areas

About informal settlements / slums

1. Definition of slum/informal settlement
2. Informal settlement typologies (housing conditions, environment, infrastructure, land tenure) supported with photos, maps
3. Number of slums/informal settlements and growth trends in the last 20 years

4. Population in informal settlements and growth trends in the last 20 years (actual population and percentage of urban population)
5. City map showing slums/informal settlements
6. Land tenure issues in slums/informal settlements
7. Approaches towards improving conditions in different types of informal settlements
8. Organization(s) responsible for interventions related to slums; observations regarding their capacity, co-ordination with each other etc.
9. Brief description of specific programmes for upgrading, relocation, redevelopment undertaken by local government, national government, NGOs and community based organisations
10. Key issues for scaling up slum upgrading to city wide scale

About your own work

Please be prepared to share details about your own work and experience in the urban sector. This may be related to policy, information management, planning, project design and management, implementation, training and teaching etc.

Any other information you wish to share

ANNEX 2

COURSE EVALUATION BY PARTICIPANTS

NOTES FOR THE COURSE COORDINATOR/ TRAINER

The evaluation form may be given to participants on the first day of the course along with the course material to facilitate evaluation of sessions. Ideally the completed forms should be sent electronically just before the closing session. However, the instructor may decide whether a print version is required.

COURSE EVALUATION HANDOUT

How to do the evaluation

The evaluation is in two parts:

Part 1. Overall evaluation of the course

Part 2. Evaluation of sessions

You are required to complete both the parts and submit the completed form to the Course Coordinator just before the concluding session.

Please use the ranking matrix given below to rank each of the sessions/ exercises.

1 is lowest in value and 5 is the highest. For example, if you found the session extremely useful you can tick 5, and 1 if you did not find it useful at all.

Explanation of the ranking parameters

Useful: Did you find the contents useful in relation to the work you do?

Knowledge: Did the session add to your knowledge?

New skills: Did the session help you to acquire new skills, for example of analysis, planning, negotiation, teamwork etc?

Interesting: Did you find the presentation, discussions and methods interesting?

The box on the right is for your suggestions for improving the session.

Please refer to the course schedule for the day, date and session name

| DAY ---SESSION ---- SESSION NAME | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
|----------------------------------|---|---|---|---|---|-----------------------------|
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

PART 1. OVERALL EVALUATION OF THE COURSE

1.1 Were your expectations met by the course? Yes/ No/ Partly

Please explain your answer briefly

1.2 Would you recommend this course to others? Yes/ No/ Not sure

1.3 Was the duration of the course: Too short / too long/ sufficient

1.4 What would you like changed in the course? Explain briefly

1.5 List the three sessions you found particularly useful.

1.

2.

3.

PART 2. EVALUATION OF SESSIONS

Lectures/ presentations/ discussions

| DAY 1, SESSION 2: CHALLENGE OF SLUMS | | | | | | |
|--------------------------------------|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

| DAY 1, SESSION 3: EVOLUTION OF APPROACHES TOWARDS SLUMS | | | | | | |
|---|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

| DAY 1, SESSION 4: WHY UPGRADE? (FILM ON KARACHI AND SHORT EXERCISE ON PROJECTS TO PROGRAMMES) | | | | | | |
|---|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

| DAY 2, SESSION 5: INITIATING CWSU WITH STAKEHOLDER PARTICIPATION | | | | | | |
|--|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

| DAY 2, SESSION 7: CITYWIDE PARTICIPATORY PLANNING AS A TOOL FOR CWSU: CASE OF APUSP, INDIA | | | | | | |
|--|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

| DAY 2, SESSION 8: INTEGRATING SLUMS WITH THE CITY: FAVELA BAIRRO, BRAZIL | | | | | | |
|--|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

| DAY 3, SESSION 9: INSTITUTIONAL AND FINANCIAL OPTIONS FOR CWSU | | | | | | |
|--|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

| DAY 3, SESSION 10: LAND AND ITS REGULARIZATION | | | | | | |
|--|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

| DAY 4, SESSION 13: PRINCIPLES OF STREET-LED CWSU | | | | | | |
|--|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

| DAY 4, SESSION 14: LEARNING FROM THE EXPERIENCE OF THE TWIN-TRACK APPROACH TO STREET-LED CWSU. | | | | | | |
|--|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

| DAY 5, SESSION 17: STREET-LED CWSU: THE INCREMENTAL APPROACH | | | | | | |
|--|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

Exercises

| EXERCISE: INITIATING CWSU (SETTING VISION AND OBJECTIVES AND DOING STAKEHOLDER ANALYSIS) | | | | | | |
|--|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

| EXERCISE: BUSINESS CASE OF CWSU (TOTAL 4 SESSIONS) | | | | | | |
|--|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

| EXERCISE: OPENING STREETS IN SLUMS: CHALLENGES AND OPPORTUNITIES (NEGOTIATION GAME) (TOTAL 2 SESSIONS) | | | | | | |
|--|---|---|---|---|---|-----------------------------|
| | 1 | 2 | 3 | 4 | 5 | SUGGESTIONS FOR IMPROVEMENT |
| Useful | | | | | | |
| Knowledge | | | | | | |
| New Skills | | | | | | |
| Interesting | | | | | | |

ANNEX 3

EXERCISE 1: SLUM UPGRADING – FROM PROJECTS TO CITYWIDE PROGRAMMES

NOTES FOR THE COURSE COORDINATOR/ TRAINER

This exercise is intended as a “rapid energizer” which gets the participants to quickly agree and put down their initial thinking on the differences between slum upgrading projects and city wide programmes.

Participants should be divided into working groups of 4 (or 3).

The completed formats should be handed over / sent by e-mail to the Course Coordinator/ Trainer at the end of 30 minutes.

A brief discussion on the results of the exercise can usefully be brought in at the beginning of the next session on initiating CWSU with stakeholder participation.

EXERCISE 1: SESSION 4 HANDOUT

Slum Upgrading: from projects to citywide programmes

The previous session highlighted that government responses to slums and informal settlements are evolving from project-based infrastructure improvements to complex (citywide) slum upgrading programmes which are within the framework of inclusive development policies. The purpose of this exercise is to understand the possibilities and limitations of the two approaches in terms of how they can address different issues related to informal settlements and city development.

Participants should divide into groups of 4.

Each group is required to discuss and write briefly the ways and possibilities of addressing the issues listed in Column 1 of the Format using the following approaches to dealing with slums:

1. Settlement upgrading projects
2. Citywide slum upgrading programme

An example is given in the first row of the format for guidance.

Time available: 30 minutes

Format

| ISSUES | SETTLEMENT UPGRADING PROJECTS | CITYWIDE SLUM UPGRADING PROGRAMME |
|---|---|--|
| Inclusion of slums | Upgrading focuses on individual settlements which can be upgraded | All slums are included for upgrading or relocation |
| Slum prevention | | |
| City revitalisation | | |
| Sustainable infrastructure improvement | | |
| Participation of slum communities | | |
| Secure tenure | | |
| Integration of slums into city planning | | |
| Economic development | | |
| Institutional development | | |
| Policy on informal settlements | | |

Names of group members:

ANNEX 4

EXERCISE 2: STAKEHOLDER PARTICIPATION IN CITYWIDE SLUM UPGRADING

NOTES FOR THE COURSE COORDINATOR/ TRAINER

The main purpose of this exercise is to get the participants to apply the concepts and tools introduced in the last session for analyzing the importance of different stakeholders and recommending roles for them in slum upgrading. This participation should contribute to the vision for the city. The comparison between different cities should lead to the learning that it is important to do the exercise locally within a particular socio-political and institutional set up.

The information brought to the course by the participants should form the basis for the analysis. In case any of the participants do not have the information or knowledge of their own city, they can work with another participant.

The three steps in the exercise need to be thoroughly explained before commencing.

likely to influence the design, implementation and the outcome of CWSU in various ways.

This exercise

In this exercise you will apply the tools for stakeholder analysis to your own situation and then compare the analysis with that of 2 other participants to see what are the similarities and differences. You will use the information you were asked to bring to the course as the basis for developing the analysis.

Participants will be divided into groups of three, who will:

- Briefly discuss the exercise.
- All 3 group members will do the analysis individually for their own city.
- Group members will then come together to highlight the similarities and differences between the 3 cities.

For the purpose of the exercise each participant will state her/his vision for the city.

(Hint: for example: XXX will be an inclusive clean and green city in the next 20 years or YYY will be a global and inclusive city in the next 20 years)

EXERCISE: 2, SESSION 6 HANDOUT

Stakeholder Participation in Citywide Slum Upgrading

Introduction

There is no one way of initiating a citywide slum upgrading programme. All cities are different, with different realities, opportunities, resources and constraints. But some key steps are essential for initiating the programme, setting goals and objectives and making commitments. The challenging task of citywide slum upgrading cannot be undertaken by any one institution. In Session 5 some analytical tools were introduced to facilitate the co-ordinating agency for citywide slum upgrading to determine the strategy for engaging with a wide range of stakeholders, who are

Within this vision you need to see how to involve different stakeholders to design and implement citywide slum upgrading using a twin-track approach of slum upgrading and resettlement on one hand and slum prevention on the other hand.

It is important to find out the role of stakeholders and their importance in CWSU. The key questions to ask are:

- How important is the stakeholder for the success of the programme?
- What level of support does the stakeholder currently show?
- What is it we would like him / her to do for the programme?

STEPS IN THE EXERCISE

| STEPS | WHO WILL DO | TASKS | TIME |
|--------|-------------|--|------------|
| Step 1 | Individual | <ul style="list-style-type: none"> • Vision statement • List of stakeholders • Stakeholder analysis • Stakeholder roles | 40 minutes |
| Step 2 | Group | <ul style="list-style-type: none"> • Compare the outcomes of Step 1 for cities in the group • Discuss and list similarities and differences and reasons • Select representative to report back to plenary | 30 minutes |
| Step 3 | Plenary | <ul style="list-style-type: none"> • Group representatives report back • Lessons learnt and summing up by Course Coordinator | 20 minutes |

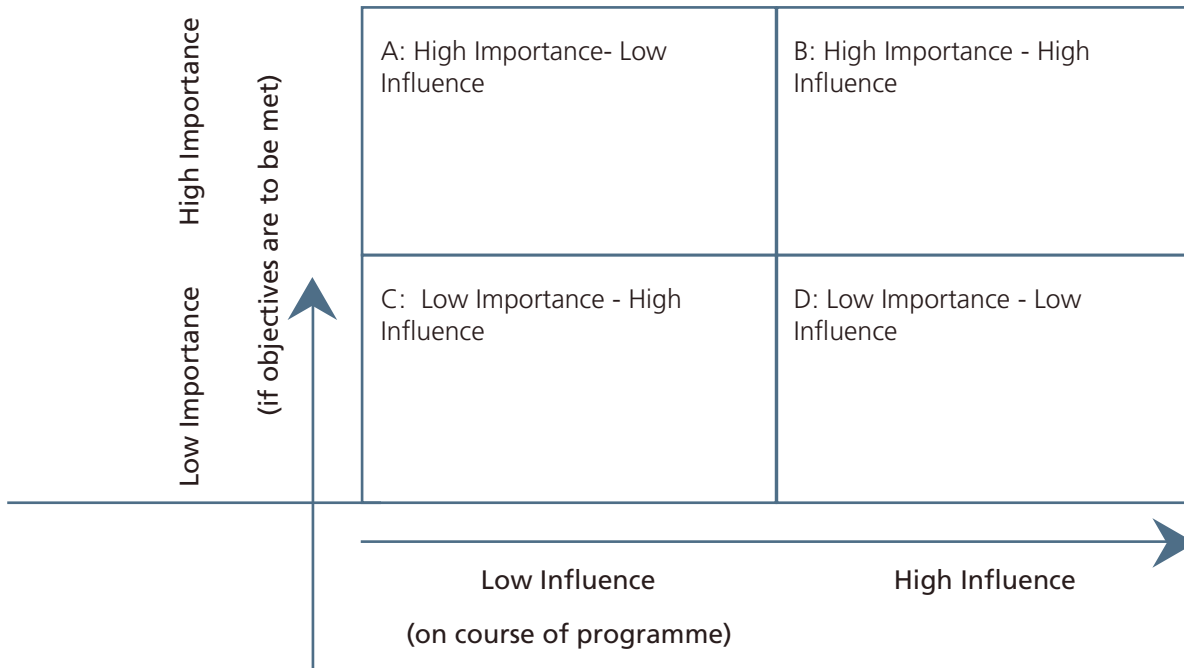
- What are their main interests?
- How could they oppose and block the CWSU?
- How will we need to address the stakeholder to increase their support and likelihood of their contribution?

Resources:

4. Session 2,3 and 5 presentations and discussions
5. CWSU Practical Guide: Chapter 2
6. Formats (see next 2 pages)

Formats

FORMAT 1: STAKEHOLDER ANALYSIS



Key issue: How to increase influence of A? How to reduce influence of C?)

FORMAT 2: PARTNERSHIP MATRIX: WHO WILL DO WHAT?

| Elements | PLANNING | | IMPLEMENTATION | | | | | | MAINTENANCE | | |
|--------------------|------------|---------------------|------------------------------------|---------------------|--------------------|------------------------------|-------------|---------|-------------|------------|--------|
| | City level | Settlement Planning | Infrastructure links with networks | Slum infrastructure | Community Services | Housing(reconstruct/improve) | Land tenure | Finance | Labour | Management | Labour |
| Actors | | | | | | | | | | | |
| Central Government | | | | | | | | | | | |
| Local Government | | | | | | | | | | | |
| Private sector | | | | | | | | | | | |
| Community | | | | | | | | | | | |
| Household | | | | | | | | | | | |
| Other | | | | | | | | | | | |

Tick the appropriate boxes in the matrix



Korogocho, Nairobi, Photo: Gates Foundation

ANNEX 5

EXERCISE 3: DEVELOPING A BUSINESS CASE FOR CITYWIDE SLUM UPGRADING

NOTES FOR THE COURSE COORDINATOR/ TRAINER

This exercise can be done in two ways :

1. All the groups work on one city: The Course Coordinator selects a city (ideally the city in which the Training is taking place, if it has slums) and puts together all the background information on that city (same as the information to be brought by participants to the course – Annex 1) as a brief for the exercise. If this is the city in which the training is taking place, participants may be taken for site visits to slums and interact with key stakeholders. The participants are divided into three mixed groups consisting of 6-7 members, representing different disciplines and geographic regions as far as possible. All the groups work on the same city.
2. Groups work on 3 different cities: The Course Coordinator, together with participants can select three different cities based on the information brought by participants. The participants are divided into three mixed groups consisting of 6-7 members, representing different disciplines and geographic regions as far as possible. At least one participant from the selected city should be in the group.

Developing a Business Case for Citywide Upgrading:

Handout (sessions 11,12,15,16)

Introduction:

Participants are required to work in groups to develop a Business Case for Citywide Slum Upgrading for a particular city. The exercise will be done in three sessions of 90 minutes each, corresponding to the three phases in the development of a Business Case:

Phase 1: Strategic Context

Phase 2: Analysis and Recommendation

Phase 3: Management and Capacity

The exercise will conclude with a presentation of each of the business cases in a plenary session. In addition to a question-answer session, there will be peer group evaluation of each group's work by the other groups. Trainers will summarise the key issues from the exercise.

What is a Business Case?

A business case is a document that generates the support, participation and leadership commitment required to transform an idea into reality. A business case puts a proposed investment decision into a strategic context and provides the information necessary to make an informed decision about whether to proceed with the investment and in what form. It is also the basis against which continued funding will be compared and evaluated.

| | |
|---|---|
| Where are we now? | Describe the current situation of slums and informal settlements |
| Where do we want to be? | Describe the vision and objectives |
| What is the need? | Describe the problem or opportunity and the proposal in general terms |
| What has triggered the need for change? | Describe the drivers for change |
| What are we trying to achieve? | Describe the desired outcomes |
| What is the strategic fit? | Describes how the proposal fits with the city's development - its goals, priorities, and policies; as well as those of the national/ regional government. |

The focus of this phase is on the following:

The Business Case is used very frequently in corporate management and industry before a new project is launched. The key for developing a strong business case is a fundamental understanding of how each of its elements and concepts fit together. In addition, knowledge of the relevant policies, tools, and frameworks can have a dramatic impact on the strategic positioning of the business case and the subsequent delivery of the project.

Here we will apply it to developing a rationale for CWSU, with the idea that CWSU should be designed as a viable business option for the city, benefiting both the city and the slums.

Phases and Steps of a Business Case

PHASE 1: STRATEGIC CONTEXT

The purpose of the Strategic Context phase is to establish the case for change and clearly define the need for the CWSU programme. To do this effectively, the following key questions should be addressed at the outset:

Step 1.1: Needs and Desired Outcomes

The first step in developing a business case is to identify the need (problem or opportunity) and the desired outcomes. To do this effectively, due consideration should be given to the broader context. The group needs to spell out the vision and strategic objectives of the city's development (economic development, green city, social and economic equity may be elements of the vision), and identify the need for changing the situation of slums/ informal settlements in relation to this vision. What are the motivations and drivers for change? What are the desired outcomes of improving the living conditions of slum dwellers and how will they align with broader developmental issues of the city and the policy framework? Relating the proposal to strategic considerations will help clearly define the need and, ultimately, demonstrate the value of the CWSU to decision makers.

PHASE 2: ANALYSIS AND RECOMMENDATION

The Analysis and Recommendation phase is the point in the business case process where the following key questions should be answered:

While all phases of the business case development process are necessary, the Analysis and Recommendation phase is considered the heart of the business case.

The focus of this phase is on the following:

Step 2.1: Preliminary Options Analysis

Having set the context and established a case for change, the next stage in the development of the business case focuses on the main options available for addressing the need. Although describing the preliminary range of options at this point does not require a detailed analysis, a comprehensive list of options—sometimes called a “long list”—should be produced and screened to demonstrate due diligence in the selection process. The options should include interventions for improving living conditions of slum dwellers and preventing slums. They should also consider the role of different stakeholders.

Once the screening is complete, details regarding the decision to either accept or reject an option for further analysis should be presented. The objective is to narrow the field of alternatives down to a reasonable number of viable options—sometimes called a “short

list”—for rigorous analysis. For example, the broad options may be to improve slums where they are, to redevelop them completely by laying out new streets and reconstructing houses, or relocating residents to another place. It is considered a best practice to include a minimum of three viable options for analysis, with one being the status quo option.

Step 2.2: Viable Options

The objective of this step is to identify the preferred option from the short list of viable options that answer the need and the case for change. A more rigorous analysis of the viable options is conducted at this point in the business case by building on the previous section’s analysis. The advantages and disadvantages (with supporting evidence) of each option should be explored and evaluated in terms of their financial and social costs (total or incremental) and risks.

Step 2.3: Justification and Recommendation

The justification supporting the recommendation to adopt the preferred option is critical to enable final decision making. With the detailed analysis of each viable option (including the status quo option) now complete, the goal of Step 2.3 is to identify a preferred option and demonstrate why the option is preferable over all others. For this key evaluation criteria need to be defined and the degree to which the requirements are addressed will be measured from the findings of the viable options analysis conducted in Step 2.2.

| | |
|--------------------------|---|
| How will we get there? | Present the viable options and associated costs and benefits of each and the evaluation criteria that ultimately will be used to arrive at an overall recommendation. |
| What is the best option? | This question can best be answered by a financial and social appraisal to ascertain funding, affordability, and cost balancing in relation to benefits and risks. |

PHASE 3: MANAGEMENT AND CAPACITY

This strategic-level phase should demonstrate to the business case's reviewers that the CWSU will be managed effectively. The reviewers—and all the stakeholders—need assurance that all the appropriate programme and outcome management strategies are in place and that they will be used to guide the programme through a controlled and well-managed environment to achieve the desired outcomes.

Phase 3 will produce the evidence required to strategically address the following key management issues:

Step 3.1: Managing the Investment

This is the important final step in the business case development process. It describes—at a strategic level—how the programme will be managed, while also demonstrating an acceptable level of due diligence. A secondary goal of Step 3.1 is to further reinforce the key messages of the business case, ensuring its soundness.

The following programme management elements should be described in terms of strategies to illustrate that critical programme management fundamentals such as methodology and procedures are well thought out and in place before the launch of the programme:

- Governance and oversight
- Programme management strategy
- Outcome management strategy
- Risk management strategy
- Change management strategy
- Performance measurement strategy

Tips for producing an extraordinary Business Case

- Make it interesting; remember someone will have to read it. Graphics always help.
- Keep it clear and concise.
- Minimize jargon and conjecture.
- Communicate all facts as part of the overall story - you've done your homework, here is the chance to prove it.
- Provide a picture or vision of the end state.
- Demonstrate the value the CWSU will bring to the slums, the city and the organization leading the CWSU.

| | |
|--|---|
| Where and how will leadership and coordination of the CWSU fit within the organization's broader governance and oversight structure? | Describes the governance and oversight structure for the CWSU |
| How will the programme be managed and reviewed throughout its life cycle? | Describes the programme management strategy for the CWSU |
| How will the outcomes be realized? | Describes the outcome management strategy for the CWSU |
| How will the risks be mitigated and managed? | Describes the risk management strategy for the CWSU |
| How will change be managed and implemented? | Describes the change management strategy for the CWSU |
| How will performance be measured? | Describes the performance measurement strategy for the CWSU |

The focus of this phase is on the following:



Kirti Nagar, New Dehli, India. Michał Huniewicz, Flickr Creative Commons

ANNEX 6 UPGRADING AMBEDKAR NAGAR THROUGH THE STREET-LED APPROACH, A NEGOTIATION EXERCISE

Objectives:

The simulation game will be played during Sessions 18 and 19 and has objectives to:

- Improve understanding of negotiation processes and the capacity to negotiate;
- Bring together the ideas of the training programme in a practical context;
- Improve understanding of the complexities of upgrading and the different and sometimes even conflicting interest of inhabitants;
- To illustrate the tension between the public and the collective and the public and the private;
- To reach an agreement that is acceptable for everyone and where, in the best scenario, everyone benefits or at least does not lose.

When the government reaches an overall agreement, it will invest and start the upgrading, if not it will pull out and the project will not take place.

Input:

- Introductory lectures on the street-led approach
- Background reading
- Team role descriptions
- Maps of the area: one map prepared by the government and one blank map for each group to be filled in by them, and one blank map to present the final proposal
- Color markers for all groups (red, yellow, blue, purple, brown, orange, grey pink, dark and light-green)
- Creativity of participants to play their role

Output:

Negotiated upgrading proposal to be presented to plenary session and discussed.

The players/stakeholders:

- Deputy Head of the Municipality (representing the Mayor) and assistants
- Residents of Ambedkar Nagar
- Private sector in Ambedkar Nagar
- A women's group from Ambedkar Nagar
- Inhabitants from neighboring areas

- Environmental group from Ambedkar Nagar
- Observer(s)

Instructions:

The coordinator will divide you into groups to form negotiating teams. There are 5 different teams plus a chairman and observers.

You will be assigned roles by the coordinator which may not in any way represent your official position or normal job.

Each team has a separate role, which they should not share with other groups, but within the teams there are also different roles, so keep your role description to yourself!

The negotiation process will have a chairman (the Deputy Head of the Municipality) who has to see that the negotiation meetings will reach an agreement on which streets to be selected and which interventions to make. (S)he will be assisted by at least one assistant.

Each team first meets separately for 15 minutes. In this meeting the team has to:

1. Study the proposal of the government as they selected the roads to be widened and upgraded and open spaces and waste collection points leading to demolition and resettlement:
 - Street lighting will be provided in the selected streets;
 - The selected streets will be widened and paved, thereby stimulating mixed use along the streets.
 - The selected streets will be connected and integrated with the neighboring areas.
 - Some open spaces have to be created, leading to some demolition and resettlement;
 - Some waste collection points have been selected, also leading to some demolition and resettlement
2. Discuss whether you agree with the selection of roads, the widening, paving, open spaces and waste collection points and connection to the neighboring area and the consequences that has for houses and shops.
3. If you agree you have to decide where those displaced will be resettled within Ambedkar Nagar
4. If not you will bring in different options in terms of alternative streets to be selected and

other interventions to be made, when leading to displacement finding alternative sites for resettlement, and try to find as many arguments as possible in favor of your proposal. This proposal will be presented in the first round of negotiation.

5. If an agreement is not reached during this first round of negotiation the chairperson will call for a break where the different teams can negotiate with others to try and make a deal with them.
6. In the second round of negotiations an overall agreement has to be reached otherwise the government will pull out and no intervention will take place.

Each team should appoint a leader for the negotiation. This is important, because during the negotiation (s) he can ask the other team members for additional information, or to make a point - but the leader is the only one that is actively debating during the negotiation rounds. During the break the other team members can bring in new points.

The assigned observers assist the teams during the preparation for the negotiations. During the negotiations they will monitor the negotiation process, and the arguments brought forward by the different team (what they say and how they react). The observers are invited after the negotiations to make comments in the plenary sessions where the results will be reviewed.

The Mayor's representative will report the negotiation results in the plenary sessions.

The Mayor's representative may introduce, during the negotiations, new information into the process if (s) he considers it appropriate. The Mayor's representative will introduce the breaks in the meeting to allow the different teams to discuss internally, revise their positions, and also, if required discuss/negotiate with other teams. The timing and number of breaks is at the discretion of the Mayor's representative.

The case:

The municipality wants to implement a citywide upgrading programme through a street-led approach.

The mayor and his team of experts have selected the slum Ambedkar Nagar for implementation of a pilot project. The pilot project entails:

1. They have prioritized a few streets in that area where the upgrading will start;
2. Street lighting will be provided in the selected streets;
3. The selected streets will be widened and paved, thereby stimulating mixed use along the streets;

4. Some open spaces have to be created, leading to some demolition and resettlement;
5. Some waste collection points have been selected, also leading to some demolition and resettlement;
6. The selected streets will be connected and integrated with the neighboring areas.

Before they started they have first done a mapping exercise where they mapped the area including identifying the types of shops and locations in Ambedkar Nagar, the existing roads, unoccupied spaces in the area etc.

The Mayor and his team have studied the map and based on that have identified where to intervene and start with the upgrading. The municipality has called a meeting where they will now present this map to the community and the different stakeholders are invited to reflect on the municipal proposal, and if necessary come up with alternatives.

Each team will be given three maps:

1. The existing map of Ambedkar Nagar
2. The Map of the Municipality's proposals
3. Blank map for the stakeholder group's proposals

Background information about the street-led upgrading approach:

The street-led approach consists of physical, social, economic, organizational and environmental improvements undertaken in slums cooperatively and locally among citizens, community groups, businesses and local authorities by taking the street pattern and the area-based plan that defines the future urban configuration of the settlements as starting point for interventions.

Streets are proposed as the starting point of settlement upgrading and the link for integration with the city and its development plan. Street-led approaches take streets as entry points and as playing the pivotal role in urban transformation and regeneration of slum settlements. The aim is to regularise and transform these informal settlements into residential areas that are spatially, legally, socially and economically integrated into the cities where they are located and form part of the official planning and urban management systems.

The multiple functions of streets in urban life can be summarized as follows: the street is the channel of movement, a communication space, a public space, a place of social and commercial encounter and exchange, a place to do business, a political space, and also a symbolic and ceremonial space in the city. Streets are regarded as a public good, the space that

is collectively used by residents but not appropriated individually by anyone.

Implementation:

Street-led upgrading is implemented at a citywide scale, thereby shifting from the project to programme approach. It is a policy and a practical approach that recognized incremental development, engages and empowers participation and lends itself to the alignment of local and national political will, all towards the physical, social and economic integration of these settlements aiming at the improvement of quality of life of people. Street-led city wide slum upgrading produces an urban layout of settlements and generates spatial urban patterns that essentially reconnect slums – changed into neighborhoods, barrios and districts through a process of physical integration with the larger metropolis. Integration approaches focus on physical plans and citizen's voice, and radical transformation of residential spaces through redevelopment.

The public policy actions underpinning a street-led approach include: installing or improving basic infrastructure, water reticulation, sanitation/waste collection, rehabilitation of circulation, storm drainage and flood prevention, electricity, security lighting, and mobile networks, providing incentives for community management and maintenance, regularising security of tenure, home improvement, relocating/compensating the small number of residents dislocated by the improvements constructing or rehabilitating community open space, promoting small business, supporting local economic development etc.

Financing:

Upgrading the settlement will generate revenues for the city. This tax base should be the fund from which further improvements can be generated.

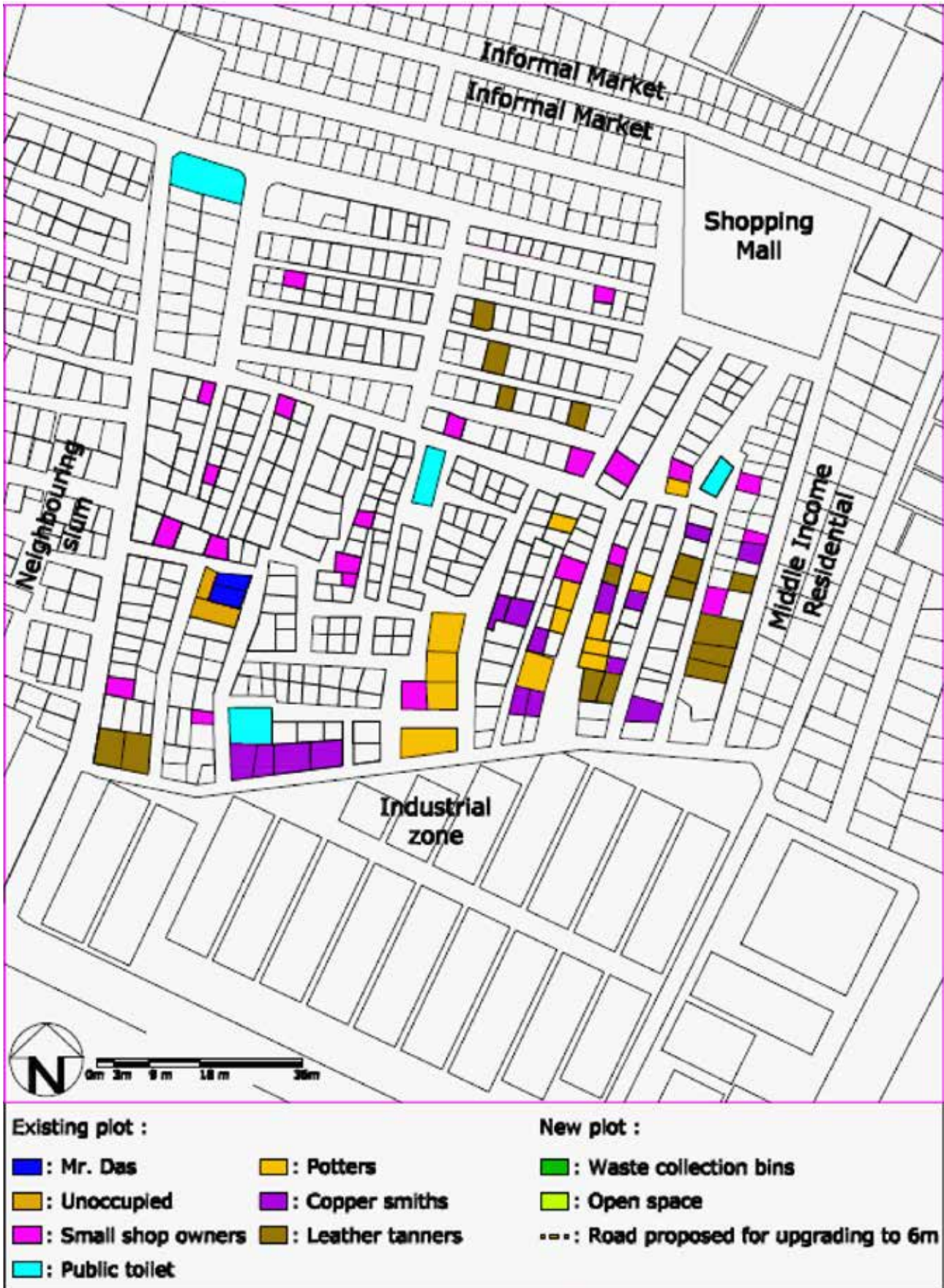
Condition for success:

For citywide slum upgrading, local governments and other implementing agencies must be well equipped in terms of human resources and be empowered by institutionally and legally protected mandates to intervene within the domain of slums. So staff needs to know what they are doing, what for and be able to work with slum inhabitants, be patient and speak the same language.

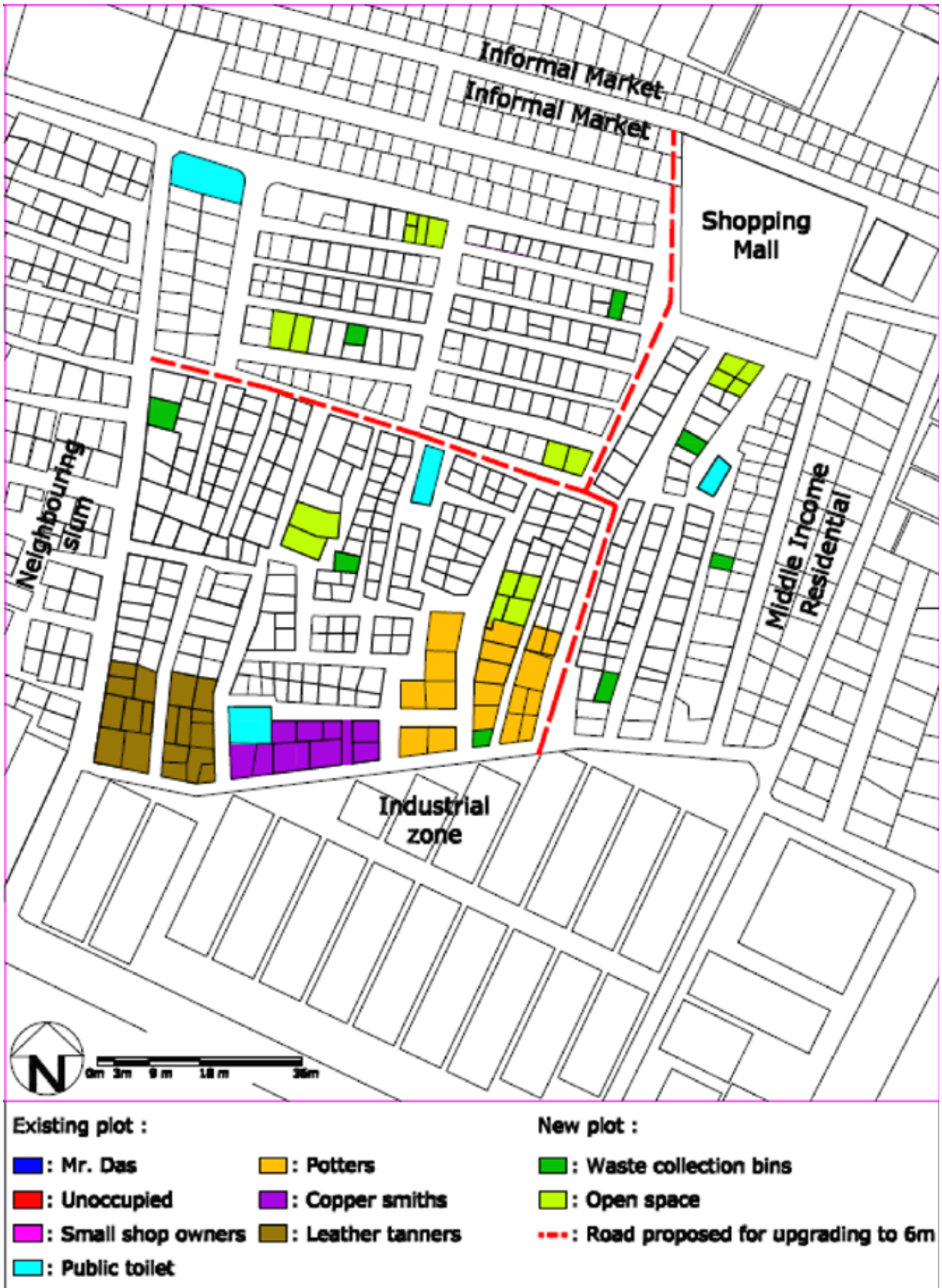
After upgrading, slum dwellers will have to pay taxes. This tax base should be the fund from which further improvements can be generated. So there needs to be a direct benefit or a system that shows the direct benefit of paying tax. Savings need to be promoted in the community.

Slum upgrading will also increase land prices with people selling off illegally, middle income groups trying to buy in. The community needs to manage this (community titling for instance, so then the community controls the illegal selling off).

The existing map of Ambedkar Nagar



The Map of the Municipality's proposals



Blank map for the stakeholder group's proposals



Existing plot :

- : Mr. Das
- : Unoccupied
- : Small shop owners
- : Public toilet
- : Potters
- : Copper smiths
- : Leather tanners

New plot :

- : Waste collection bins
- : Open space
- - - : Road proposed for upgrading to 6m

THE PLAYERS/STAKEHOLDERS:

The Coordinator should assign roles and write the names in the table below.

| GR. NO. | STAKEHOLDERS | DETAILS | PARTICIPANTS' NAMES |
|---------|---|--|---------------------|
| 1 | Municipal Team (3 team members) | Deputy Head | |
| | | Assistant 1 | |
| | | Assistant 2 | |
| 2 | Residents of Ambedkar Nagar (7 representatives) | 3 Plot Owners without shops/ workshops | |
| | | 2 Plot owners with shops/ workshops in house | |
| | | 2 Tenants | |
| 3 | Private sector in the Ambedkar Nagar (5 representatives) | Rep Potters' association | |
| | | Rep Copper- smiths Asso. | |
| | | Rep Leather tanners Asso. | |
| | | Shop owners | |
| | | Mr. Das | |
| 4 | A women's group from Ambedkar Nagar (4 representatives) | Member 1 | |
| | | Member 2 | |
| | | Member 3 | |
| | | Member 4 | |
| 5 | Inhabitants from neighboring areas (3 representatives) | Man | |
| | | Woman | |
| | | Man | |
| 6 | Environmental group from Ambedkar Nagar (3 representatives) | Member 1 | |
| | | Member 2 | |
| | | Member 3 | |
| 7 | Observers (2 observers) | Observer 1 | |
| | | Observer 2 | |

STAKEHOLDER ROLE DESCRIPTIONS

EACH ROLE TO BE PRINTED ON A SEPARATE SHEET OF PAPER, FOLDED AND GIVEN TO THE CONCERNED PERSON

1. MUNICIPAL TEAM

1A. Deputy Head of the Municipality (representative of the Mayor) and assistants

The mayor and his team of experts have selected one slum for implementation of a pilot project. This slum has existed for 25 years and is on land that belongs to the municipality. They have prioritised three streets in that area where the upgrading will start. This will entail that street lighting will be provided, streets will be widened and paved, thereby stimulating mixed use along the streets. Also these streets will be connected and integrated with the neighboring areas.

This will now be presented to the community and the different stakeholders are invited to reflect on the government proposal, and if necessary come up with alternatives.

It is the secret intention of the government to make pollution control rules stricter after the upgrading so that these workplaces will have to go. Therefore they first try to push the tanners, potters and coppersmiths to the area close to the industrial zone, to then later on push them outside Ambedkar Nagar to the industrial zone.

You are not in favor of more trees but instead more parking spaces that will stimulate commercial activities in the area, which can improve municipal revenues through taxation. You also want wider roads to improve traffic flow in and around Ambedkar Nagar.

The Deputy Head will chair all meetings and inform everyone of the results of negotiations. He will announce the final plan.

1B. Assistant to the Deputy Head of the Municipality- Extra hidden agenda point

KEEP THIS SECRET FROM THE REST OF THE TEAM

You are a 'friend' of Mr. Das; therefore you spy for him and try to manipulate decisions in favor of your friend. You need to discuss secretly with Mr. Das in order to find out what his preferences are and then try to manipulate the other players in your team. In return you will receive some benefits (money) from Das.

2. RESIDENTS OF AMBEDKAR NAGAR

2.A Owners that live in the area and have no shops or workshops

SECRET: DO NOT SHARE WITH OTHER GROUPS

These are people that make a living somewhere else in the slum; others go outside as daily laborers. Also some are middle income groups that could not find affordable housing in the city, but they work outside, mainly government jobs.

You do not want any major changes as you want to avoid displacement and resettlement. But in case resettlement is unavoidable you want to be resettled in Ambedkar Nagar or very close to it. You also want to limit the green/open spaces as that would lead to displacement.

You have to set your priorities, discuss these with the other two groups of residents to agree on one proposal for the location of waste bins, roads and open/green spaces.

2B. Home-owners who also have small shops in their houses

SECRET: DO NOT SHOW TO OTHER GROUP MEMBERS

These are people that have mini-shops selling grocery, prepared food, cigarettes etc in their house. They want to be connected to the upgraded main road and they also lobby for smaller roads to be paved and better connected to the main upgraded road.

Also they want street lighting to be installed throughout the area so that their business can go on till late at night and women can go out for shopping in the evening.

You have to set your priorities, discuss these with the other two groups of residents to agree on one proposal for the location of waste bins, roads and open/green spaces.

2C. Tenants that rent from structure owners inside and outside the area

SECRET: DO NOT SHARE WITH OTHER GROUPS

This is the group that rents from structure owners who live inside Ambedkar Nagar, either on the same plot or elsewhere. They also rent from politicians who live outside the area but have houses in Ambedkar Nagar.

They have heard that the municipality is going to regularize tenure of residents. They do not want to be evicted by their land lords. But they also want to stake a claim if there is any resettlement and hope that they will gain tenure security once resettled.

You have to set your priorities, discuss these with the other two groups of residents to agree on one proposal for the location of waste bins, roads and open/green spaces.

3. PRIVATE SECTOR IN THE AMBEDKAR NAGAR

3A. Representatives of the cooperatives of the coppersmiths, potters and tanners

SECRET: DO NOT SHARE WITH OTHER GROUPS

This group consists of the potters, coppersmiths and leather tanners. The owners live above their workplace and are spread a bit throughout the area, but mostly closer to the industrial area. Some of them have illegal water connections from the industrial area. The coppersmiths and potters sell their products in the informal market. They have been threatened with eviction for two years ago because of noise and environmental pollution and even local residents do not want them in the area. They formed associations, which come together often to discuss strategy and negotiate better. They generate a lot of local employment.

You want to remain where you are but can agree to the government proposal with some conditions.

There are different groups of entrepreneurs. They are however invited by the municipality as a group and only can speak with one voice.

You have to prioritize and then discuss with the shop owners to come up with one proposal.

You all want more parking spaces instead of open/green space for trucks, vans, carts etc. to transport your goods and raw materials.

3B. Representatives of shop owners

SECRET: DO NOT SHARE WITH OTHER GROUPS

This group consists of owners of vegetable shops, teashops, snacks shops, butchers, tailors, barbers,

mobile repair, video lending libraries etc spread throughout Ambedkar Nagar. They mostly operate from their homes but also rent space from other plot owners.

You want to stop the expansion of Mr. Das as he is taking over too much of your business. Mr. Das tries to lobby with you for the road coming down next to his shop connecting to the shopping mall.

Basically you want to limit the number of people that have to be displaced and resettled as the more density around your shop the better.

You want to remain where you are but you want to be connected to the main road and want part of the budget for improvement of smaller roads.

You secretly support the environment group as they want to stop the expansion of the shop of Mr. Das.

There are different groups of entrepreneurs. They are however invited by the municipality as a group and only can speak with one voice.

You have to prioritize and then discuss with the tanners, coppersmiths and potters representatives to come up with one proposal.

You all want more parking spaces instead of open/green spaces as that will attract people from outside the slum also.

3C. Mr. Das

SECRET: DO NOT SHARE WITH ANYONE

You are very big shop-owner. Your shop covers two plots. You had threatened your neighbor and bought him out so that he left, after which you expanded your shop.

Next to and opposite your house there are two unoccupied plots that you would like to convert into parking spaces for your customers.

Also you want the road in front of your shop to be widened and paved. This road will improve the connection to the shopping mall which will then also generate more customers for your shop.

You try to manipulate shop-owners to vote in favor of your plan as you tell them by this road the accessibility to their shops will also improve.

You are well connected with some politicians outside and the assistant to the deputy head of the municipality is your 'friend', you bribe him to lobby for you plans.

4. WOMEN'S GROUP

They want speed limits, more green and playgrounds for children.

They are worried that traffic will increase; they want to be involved in the selection of streets for widening so that through traffic can be avoided.

They want to ensure that proper lighting of all streets, public toilet blocks and open spaces is part of the upgrading plan, even if part of the road improvement budget has to be cut.

They are worried that eventually with improved roads and investments in housing, triggering increasing rent will lead to gentrification and the poor will be pushed away.

Those that have to move are afraid that their husbands will, by deciding where to be relocated, not take into account access to shops, facilities, schools etc, and will not negotiate enough for compensation.

5. RESIDENTS FROM THE NEIGHBORING AREA

SECRET: DO NOT SHARE WITH OTHER GROUPS

They are worried that improved linkages with the slum that will be upgraded will lead to more slum dwellers entering their neighborhood. Also they are worried that because of improved linkages traffic will increase.

Shop-owners in the area are worried for increased competition with shops in the slum, especially after upgrading.

They want the leather tanners, copper smiths and potters to move to another area as it creates a lot of nuisance to them.

They want the construction of a wall between their neighborhood and Ambedkar Nagar with a small entrance for the domestic helps. They approach the Municipal team separately to negotiate this.

6. ENVIRONMENTAL GROUP FROM WITHIN THE AREA

This is a group of inhabitants that is concerned with the environment in the settlement. They want more trees to be planted, parks to be constructed and space for urban agriculture.

They want to get the workplaces of the potters, coppersmiths and leather tanners out because of air and noise pollution.

They want to obtain some land to be converted into a park, which is conflicting with the interest of Mr. Das,

who wants this land for the expansion of his shop and the creation of a parking space in front of his shop.

They want more trees to be planted in the upgraded streets.

7. OBSERVERS

You will not be involved in the actual negotiations. Your task will be to closely and critically observe and monitor the negotiation process itself.

Closely observe the following aspects:

During the preparations:

- Especially focus on what has been discussed during the preparations in every team, and how the teams deal with it during the negotiations. You are not supposed to involve yourself actively in the preparations (because you know all roles).

During the negotiation:

2. The negotiators:

- Are people clear in their formulation, or vague, do they listen to each other, do they react on questions?
- How do people position themselves, how do they behave (notice verbal and non-verbal communication)?
- Are they stubborn or flexible; do they make concessions, or do they force to a crisis, are

they open to new ideas and creative in finding new solutions or are they narrow-fixed and repeating the same again and again?

3. The team of negotiators:

Does the team behave as a block or do they create confusion amongst themselves, or are there conflicting demands; are they well prepared, do they try to understand the position of the opponents?

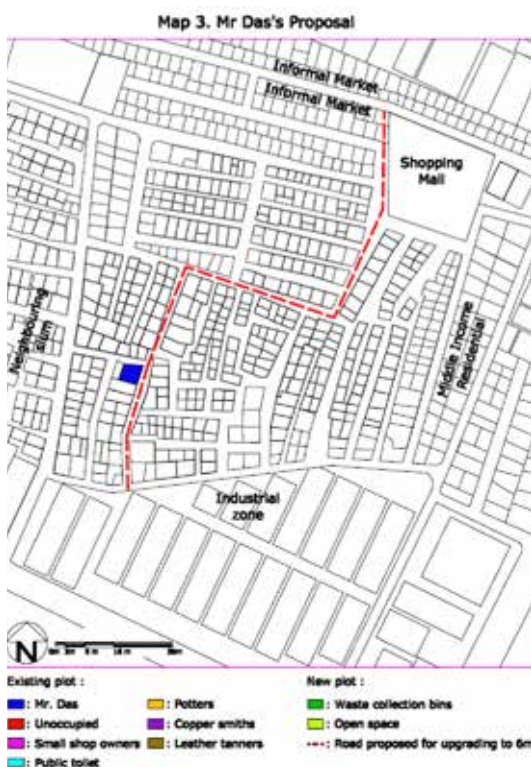
4. The Mayor's representative

What is the role of the Mayor's representative; is (s)he neutral or taking positions; how does (s)he handle crisis?

After each round of negotiations, during the plenary sessions, the Mayor's representative will first present the status/end results of the negotiations. Then you are requested to report on your observations on the negotiation process itself.

NOTES FOR THE COURSE COORDINATOR/ TRAINER

The success of the game lies in everyone quickly getting into their roles. Participants should be instructed to address each other by their role names only. You have to observe and see that the time limits are observed. You also have to see if any of the individuals or teams is not able to play their roles and stimulate them with ideas. For instance you may show the following maps to Mr. Das and to the Women's Group to encourage them to think differently.



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With the number of slum dwellers expected to reach 889 million by 2020 it has been recognized that there is a need to move away from piecemeal project-based slum upgrading interventions. Instead, it is necessary to bring slum upgrading to a citywide scale and implement a twin-track approach that promotes both the upgrading of existing slums and simultaneously uses policy to prevent the multiplication of slums and urban informality.

This Training Module advocates for a coordinated approach to slum upgrading which works with UN Habitat strategic planning components – urban planning, urban legislation, and urban economy – to provide the platform for a sustainable urban future. The approach encourages programme-based improvement of the physical and socio-economic conditions in informal settlements and promotes urban regeneration, transformation and their integration into the overall city planning agenda.

This Module, *Designing and Implementing Street-Led Citywide Slum Upgrading Programmes: A Training Companion* completes the trilogy developed by UN Habitat on the subject of street led and citywide slum upgrading. The Trilogy also includes *Streets as Tools for Urban Transformation in Slums: A Street-Led Approach to Citywide Slum Upgrading* and *A Practical Guide to Designing, Planning and Executing Citywide Slum Upgrading Programmes*. The aim of the Training Module is to translate the preceding two publications into a training platform in order to increase the skills and capacity of institutions and practitioners and allow them the ability to address the challenge of slums in the developing world.

The Training Module, along with the two partner publications, provides the basis for better and more meaningful training of local officials, policy makers and practitioners that will help to improve the quality and delivery of citywide slum upgrading programs.

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