

**PARTICIPATORY SLUM UPGRADING PROGRAMME (PSUP) *PHASE II***  
***WORKSHOP, STRATEGY AND POLICY SETTING***

***19-24 SEPTEMBER 2011***

# Slum Situation Analysis

# Components of a slum upgrading programme

- **1. SLUM SITUATION ANALYSIS**
- **2. REVIEW OF POLICIES AFFECTING SLUM AREAS**
- **3. SLUM UPGRADING AND PREVENTION STRATEGY**
- **4. RESOURCE MOBILISATION STRATEGY**
- **5. PROJECT PROPOSALS**
- **6. PROJECT IMPLEMENTATION**
- **7. SLUM SITUATION ANALYSIS**

# Slum situation analysis

## Coverage:

- City & one/more slums; stakeholders; key components for slum upgrading (using mainly existing data).

## Activities:

- Collect data; analyse data; produce recommendations and discuss recommendations with stakeholders.

## Responsible:

- Implementation Partner, reporting to Country Team.

## Deliverable:

- Report with overview, maps, analysis and recommendations for slum upgrading.

# What is intended with the slum situation analysis:

- Understand, analyse and make recommendations for each factor related to a slum upgrading programme, including:
  - **City and Slum overview;**
  - **Stakeholders analysis;**
  - **Key components for slum upgrading**
- Interrelate recommendations among the factors;
- Discuss with stakeholders the recommended actions and integrate comments on a final proposal.

# City overview: **City level information**

## **Collect general data related to:**

- Population; area; available land; resources; density; social and economic information; household size; plot size; construction costs; service characteristics; infrastructure; etc.

## **It is expected to:**

- Understand how the city is structured and the role slums and slums dwellers plays in relation to the city;
- Present results expressed in maps, numbers, %, tables; and expose limitations, capacities, resources, possibilities, etc.

# City Overview: **Slum information**

## **Collect data related to:**

- Slum population; area; available land for slum dwellers; resources; density; social and economic data; household size; plot size; type of construction; construction costs; service characteristics; infrastructure; etc.

## **It is expected to:**

- Understand how the slum is structured; the living conditions in the slum and in the dwelling.
- Present results expressed in maps, numbers, %, tables; and expose limitations, capacities, resources, possibilities, etc.

## City Overview: **Slum information**

In case more than one slum is studied, a comparison table should be prepared among the slums identifying differences highlighting the pros and cons of the different slums.

# Stakeholder analysis: **Community organisation**

**Collect data related to:**      **It is expected to:**

Type/s of community organisation/s;  
members; gender and youth representation;  
forms of involvement in slum upgrading; and  
forms of representation in the municipality and other forums.

- **Understand** how is the slum organised, its effectiveness, inside the slum and representing the slum in the municipality and in other forums.
- **Recommend** how to improve representation and community involvement in slum upgrading.



# Stakeholder analysis: **Ministries & Slums**

## Collect data related to:

Ministry's existing capacity to address slum needs; staff dedicated to slum upgrading; funds allocated; strategies approved; projects under implementation, etc.

## It is expected to:

- Understand how the Ministry is structured to respond to slum needs, its capacity, resources, strategies and projects;
- Recommend how to streamline the Ministry's response and resources to slum needs.

# Stakeholder analysis: Municipality & Slums

## Collect data related to:

Municipality existing structure and capacity to deal with slum needs; staff dedicated to slum upgrading; municipal strategies; budget and sources of revenues; projects under implementation; etc.

## It is expected to:

- Understand how the Municipality is structured to respond to slum needs, its capacity, resources, strategies and projects.
- Recommend how to streamline structure; enhance staff; increase funds and effectiveness.

# Stakeholder analysis: **Academia** & Slums

## Collect data related to:

Academia and study centre's involvement in slum upgrading, their capacity, resources and projects under implementation.

## It is expected to:

- Understand how the academia and study centres are contributing to slum upgrading, its capacities and projects.
- Recommend how the academia and study centres can increase its participation and better contribute to slum upgrading.

# Stakeholder analysis: External Support & Slums

## Collect data related to:

The external support (UN, EU, bilateral, NGOs foundations, etc.) to slum upgrading its projects, effectiveness, impact and forms of implementation.

## It is expected to:

- Understand how the external support is contributing to slum upgrading, the role and dimension in relation to needs and other actors.
- Recommend how to increase the participation and effectiveness of the external support.

# Stakeholder analysis: **Private sector** & Slums

## Collect data related to:

The role and contribution of the private sector to slum upgrading. Its potentiality for scaling up benefiting slum dwellers within the market economy system.

## It is expected to:

- Understand how the private sector could contribute to slum upgrading within the local conditions.
- Recommend alternatives for slum upgrading agreements with the private sector; or setting agreements for income generation activities between slum dwellers and private sector.

# Key components: **Access to land & Slums**

## Collect data related to:

- Land ownership (public, private, customary...); forms of tenure registration; community records & others;
- Availability of land for improved slums;
- Residential tenure & rental system;
- Eviction records & eviction plans.

## It is expected to:

- Understand land tenure situation, residential tenure, residential rental and evictions in slums;
- Recommend improved land tenure alternatives, registration mechanisms and rental mechanisms. In case of eviction propose feasible alternatives.

# Key components: **Basic services & Slums**

## Collect data related to:

Access and cost for:  
water; sanitation; waste disposal; electricity; public transport; education; health; market place; police and security; quality and size of roads (or paths) to dwellings; drainage; public electricity; others.

## It is expected to:

- Understand the availability , cost and quality of services & infrastructure in slums.
- Recommend in order of priority the needed interventions for service improvements.



# Key components: **Access to finance & Slums**

## Collect data related to:

Formal and informal loan systems for slum housing construction, improvement or purchase; subsidy systems available for house in slums; Municipal subsidies; and donor-funded loan projects in slums.

## It is expected to:

- Understand how the formal and informal finance system works for housing construction, improvement or purchase in slum areas.
- Recommend alternative loan, subsidy and other finance systems for slum upgrading.



## Situation analysis: **Reporting**

- The situation analysis report should be extracted from the findings and recommendations identified for each of the different factors studied AND the interaction of the different recommendations in an holistic way, i.e. relating stakeholders with basic services, land with slum overview, etc.;
- Comparison tables, graphics and short text (when ever possible) should be used;
- Prioritisation of recommendations is advisable highlighting stakeholders opinion.