UN-HABITAT

United Nations Human Settlements Programme

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ISK/CASLE/UN-HABITAT REGIONAL SEMINAR/WORKSHOP ON SECURITY OF LAND TENURE

Sub-theme: Cities without slums: Appropriate Land Tenure Approaches

UN-HABITAT's Cities Without Slums Sub-Regional Initiative in Eastern and Southern Africa

INTRODUCTION

The projected global population growth during the next two decades will occur in developing countries. The vast bulk of this increase (86%) will occur in urban areas. Of the total population increase 94% will occur in developing countries.

It is estimated that that between 2000 and 2010, the cities in Africa will have grown by another 100 million people while the cities in Asia will have added 340 million – in total. **One of the results of theses trends has been a rapid growth of slums and informal settlements.** With over half of humanity now living in cities and towns, the challenge of the urban millennium is to improve the living environment of the poor. How we prepare our cities especially in Africa and Asia to accommodate the inevitable pressure must be at the top of the sustainable development agenda.

The nations of Eastern and Southern Africa vary considerably in social history, size, political orientation, economic development, and demographic make up. What they share in common is a challenge to manage rapid urban population growth in ways that mitigate poverty and social exclusion such that cities are, in fact, without slums. All Member States face this challenge but for the peoples of Eastern and Southern Africa the challenge is significantly great.

The Sub-Region constitutes the world's fastest urbanising zone. In 1975, roughly 15% of the national populations of the Sub-Region lived in urban areas. This figure grew to 25% by 1999 and is expected to reach 36% by 2015 at the current 3% average annual rate. Similar figures of urban population growth for other regions are significantly lower. Having experienced over the past 25 years the single greatest demographic transfer from rural to urban population, Latin America and the Caribbean presently experience an 0.5% average annual rate. South Asia is somewhat in between, with a rate of 1.6%.

The situation in the Sub-Region is therefore not only one of significant poverty but also one of increasing urban poverty. **Nowhere is urban poverty more visible than in the proliferation of slums and informal settlements**. Unplanned settlements host between 40% to 60% of the total urban population, often on less than 10% of the total municipal land.[1] People living, and often working in such settlements lack affordable shelter and adequate water, sanitation, and roads. In many instances, they are not recognized as residents of the city, are at risk of random eviction, and lack security of tenure. The often under-resourced local governments, who have a critical role in applying sustainable urbanization policies at the local level, are faced with a daunting challenge of rapidly increasing urban poverty concentrated in expanding slum settlements.

It is against this background that during the Istanbul + governments issued a Declaration on Cities and other Human Settlements. Governments resolved to promote the upgrading of slums and squatter settlements within their countries. In particular, they reinforced their commitment to meeting the goals of the Millennium Summit. They endorsed the specific target of improving significantly the lives of at least 100 million slum dwellers by 2020.

In view of the alarming facts described above, the central challenge for Member states is to adapt to the present urban reality. UN-HABITAT proposes a multi pronged approach to sustainable

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[1] *This is particularly true for Nairobi, Kenya where 60% of the urban population lives in slums and informal settlements on less than 5% of the total municipal land area. For further information see,* **Government of Kenya & UN-HABITAT, Nairobi Situation Analysis: A Consultative Draft, 2001.**

urbanisation to include a mixture of preventive and adaptive strategies, with in-built capacity building measures for local government and other key urban actors.

Adaptive strategies begin, where feasible, with policy reforms and practical measures to provide security of tenure to the slum dwellers through upgrading, and where relocation must take place, doing so through community-led initiatives to avoid conflicts and ensure sustainability. These strategies also entail the forging of partnerships with the urban poor and empowering them to solve their own problems instead of fighting them through arbitrary forced evictions. One of these strategies is the Cities Without Slums Sub-Regional Initiative for Eastern and Southern Africa (CWSSRI)

WHAT IS THE CWS INITIATIVE

In 2002, UN-HABITAT was mandated to coordinate the efforts of the international community to realise the MDG Goal 7 target 11 (the Slum Goal) The Sub-Regional Programme for Eastern and Southern Africa which was launched at the 2002 World urban Forum, is a new UN-HABITAT initiative which contributes to the realization of the Millennium Declaration Goals "Cities Without Slums" by working with Member States to improve conditions of people living and working in informal settlements in select cities of the Sub-Region. Member States will be assisted with strengthening institutional arrangements and partnerships that support the improvement of conditions of the people living and working in the slums.

Geographic Scope

UN-HABITAT has selected a group of countries and cities, in consultation with Member States and international development partners to participate in the Programme with due consideration given to local needs, capacities and resources and the level of commitment to the principles of cities without slums. It is envisioned that the selected group of countries and cities will constitute the piloting phase of the Sub-Regional Programme and that, in future, the initiative will be expanded to more cities in the same countries or to additional countries. The countries/cities are: **Kenya** (Kisumu); **Ethiopia** (Addis Ababa); **Malawi** (Lilongwe) **Mozambique** (Maputo); **South Africa** (Durban,); **Tanzania** (Arusha), **Uganda** (Kampala); **Lesotho** (Maseru) and **Zambia** (Lusaka). The programme would be expanded building upon a critical assessment of the lessons learned from the piloting phase, including the capacity of the urban poor to organise and engage city governments, and capacity of local institutions to sustain and scale up their respective upgrading activities.

Intervention Strategy

With this initiative, UN-HABITAT will assist Member States to strengthen the conditions for **citywide slum upgrading** using a multi-level intervention strategy, national, municipal and at the level of individual informal settlements.

At **national** level, the Sub-Regional Programme will promote the development and implementation of a national policy and regulatory framework for slum upgrading. The policy framework will build upon and contribute to policies on land management, security of tenure, shelter, local economic development, and urban governance.

The **municipal** focus of the Programme will be on strengthening institutional arrangements and capacities necessary for citywide upgrading of slums and informal settlements. Emphasis will be placed on promoting decision-making processes that are inclusive of organizations of slum dwellers, support NGOs, and professional associations.

At the level of **informal settlements**, the Programme will include pilot and demonstrative practical upgrading of select slum areas and informal settlements. The upgrading will combine tenure security, improvement of bulk infrastructure and basic services, participatory land use planning, and the promotion of micro and small business enterprise.

This initiative will draw upon UN-HABITAT's Global Campaign for Secure Tenure and the Global Campaign on Good Urban Governance, Nairobi Slum Upgrading Initiative, Global Programmes and activities of global report and technical cooperation. As *advocacy instruments,* the Global Campaigns will be useful tools with which organizations of the urban poor, government at all levels, and non-governmental and professional organizations can focus on the tenure and governance aspects of urban upgrading.

In the application of such an intervention strategy, UN-HABITAT will adopt a generic programme approach consisting of four phases. These 4 phases are **Inception, Preparation, Implementation, and Monitory[2], Evaluation and Replication. The focus of this presentation will be process of incorporating directly into the formulation process the innovations of the urban poor and their engagements with different levels of government.**

THE INCEPTION PHASE

The Inception phase begins after the formal expression of interest by Member states and the main purpose is to take stock and identify what can be done, how and by whom. Its primary objective is to build consensus among the main stakeholders within the areas of housing supply, urban governance, local economic development and secure tenure. The idea being that this translates into a draft Action Plan based on the identification of issues that need to be discussed with the view to improving the overall situation of the urban poor. and it is the process which builds the foundation for the subsequent phases of the programme It is a very critical phase which if not undertaken with the contributions by all stakeholders particularly the slum dwellers themselves, is likely to have an negative impact on subsequent phases.

It operates on the premise that any sustainable intervention dealing with urban development has to adopt a multi stakeholder approach and create a sense of ownership among the beneficiaries of any subsequent upgrading flowing from this. It is also based on a recognition of the fact that slum dwellers themselves and their organisations are in a better position to make sustainable contributions towards the improvement of slums and informal settlements. The most important component of this phase will be the process of consensus building among the main stakeholders and emphasising particularly the voice of the slum dwellers themselves.

How will be the Inception Phase be undertaken .

To ensure that the inception phase is participatory, it is important for the country/city to commit to consultations with and participation of all stakeholders. For this purposes, a **National Steering**

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[2] *Measuring and Tracking the Millennium Goal*

Committee is proposed in each CWS country to co-ordinate the inception phase and possibly subsequent phases depending on what each Member State requires.

Composition

The members in this Steering Committee will represent – in addition to relevant administrations and public institutions in charge of finance, housing and urban planning – members representing civil society, including urban poor and slum dweller associations, organisations, donors, private sector, development agencies, the media as well as NGOs active in area of human settlements. Unless the slum dwellers themselves are actively involved and informed of every stage of the inception phase and the slum upgrade, it is likely that the Programme will not be a success. The people of the slums need to won the programme and its phases as much as any other stakeholder including the government.

Stakeholders and their role in the CWS Programme.

The CWS is a common undertaking involving all relevant stakeholders, including women's groups. It is a build up on the new way of doing business within the development arena. It should call upon the contribution and the *full and active* involvement of partners all stakeholders. **The empowerment of communities and households through participatory approaches is important to promote security of tenure and to accomplish adequate shelter for all.**

Of particular importance is the **role of women**. A gender sensitive consultation and decision making process taps the enormous potential of energy, expertise, and other resources from both men and women. Mobilising the maximum participation of both women and men significantly increases the effectiveness of implementation of strategies and action plans.

In addition, it is important to note that partnership between different actors is a central element within the CWS Programme, therefore, it is essential to identify existing and potential forms of partnership that are necessary for the success and sustainability of the CWS Programme.

Responsibilities

The responsibilities of the Steering Committee may include the following activities: a) Preparation of terms of reference for the preparation of a "Situation Analysis" a draft "Reform Proposals" and a draft national (or City) "Action Plan", b) Identifying team(s) responsible for preparing draft "Situation Analysis", "Reform Proposals", and national (or local) "Action Plan", c) Monitoring, supervising, orienting, assessing and assisting the work of the above mentioned teams, and eventually approving the draft Action Plan, and d) preparation of an information and media strategy

It is important to note that the activities of the Steering Committee will contribute mostly in progressively building consensus on the findings of the "Situation Analysis" and the "Action Plan".

The Situation Analysis

The main objective of the Situation Analysis is to produce a clear, frank and well-substantiated document on the present state of slums and slum upgrading and the effectiveness of past and on-going upgrading initiatives, within the framework of the overall city development strategy and

national poverty reduction frameworks. This will provide a link and input in the Poverty Reductions Strategy papers. It will serve as discussion piece for diverse stakeholders to arrive at consensus about the conditions of slums; the conditions governing slum upgrading and the actions need to improve the conditions. As such, it is crucial that the situation analysis provide a realistic assessment of the political, social, physical, economic, cultural and institutional factors impacting on informal settlements. And that the text adopts a critical perspective of the previous efforts (by slum dwellers, by government, by international organisations, by NGOs, etc.) to improve the conditions of people who live and work in informal settlements.

Workshop and Consultations.

A series of workshops should be organised with all relevant stakeholders to discuss the draft situation analysis. Preferably, separate discussion should be held with each category of stakeholders (e.g., public sector, NGOs, CBOs, private sector, donors, etc.).. Once these discussions have been held separately with each group and concluded, it will be useful to convene a workshop with all the stakeholders for a general discussion before the draft Action Plan is completed. These workshops will build consensus, and ownership of the situation analysis, and will be a useful tool in building awareness and sensitization among the different stakeholders.

Draft Action Plan

The reforms to be proposed and actions to be undertaken to translate these reforms in new legislative, regulatory and institutional frameworks should be spelled out as the result of the preparatory process. Projects and programmes to be carried out during the implementation phase of the CWS Programme need to be outlined. These items should be translated in a **draft Action Plan** to ensure that concrete activities will be carried out after the inception phase and responsibilities to implement these activities are clearly assigned.

This draft Action Plan should propose a strategy that is affordable, pragmatic and implementable with indicators and bench marks for monitoring progress made in achieving the objectives and goals of the action plan. It should translate a consensus among different actors and reflects the commitment of the government to the MDGs and principles of the Habitat Agenda.

If and when possible, financial resources should be identified and included in the Action Plan or as a separate Financial Plan. Memoranda and Protocols of Agreement could be signed between partners in order to confirm their commitment to the funding of the implementation of the action plan.

Next Phases

After the Inception Phase a number of factors will be assessed in order to move from the inception phase to next phases. These include the level of national and municipal engagement, the degree of political will, the possibility of cost sharing, the capacity of organizations of the urban poor and supporting NGO networks, and the quality of their partnerships with government at all levels.

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