

# Planning informal settlements

Inclusive Urban Planning



The Hague Academy for  
local governance

## Learning objectives



**At the end of this session, the participants are able to:**

### **Part 1 (1.30hr)**

- ▶ Analyse the specific challenges and opportunities associated with planning for informal urban settlements

### **Part 2 (1.30hr)**

- ▶ Design solutions for planning for informal settlements

### **Speaker's note:**

Explain the learning objectives of this session.

**Time:** *to be added by trainer according to planning*

**Background information:**



# PART 1

**Speaker's note:**

**Time:** *to be added by trainer according to planning*

**Background information:**

## What do you see?



### **Speaker's note:**

Let the participants describe what they see (5 min)

**Time:** *to be added by trainer according to planning*

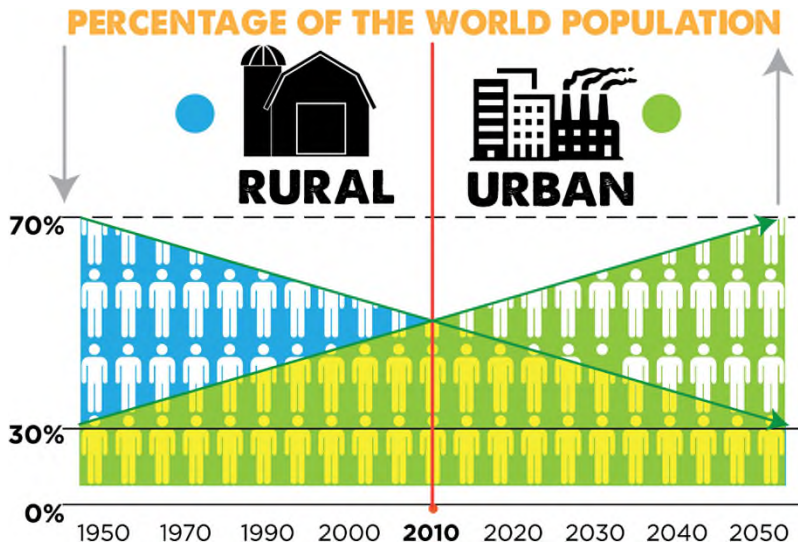
### **Background information:**

Possible answers:

- ✓ a slum;
- ✓ peri-urban area;
- ✓ informal settlement,
- ✓ shanty town
- ✓ Self-help city
- ✓ Make-shift city
- ✓ Ghetto

All the answers are okay as they relate to the precarious living conditions for those urban dwellers relegated into the margins of the formal city.

## Introduction



### Speaker's note:

Introduce this session.

**Time:** *to be added by trainer according to planning*

### Background information:

May 2007, represents a major demographic shift, according to scientists from North Carolina State University and the University of Georgia: For the first time in human history, the earth's population became more urban than rural

Currently, majority of world's population lives in urban areas. Due to the ongoing urbanisation and growth of the world's population, there will be about 2.5 billion more people added to the urban population by 2050, mainly in Africa and Asia. This has many implications for instance, many cities and towns are facing problems such as a lack of jobs, homelessness and expanding squatter settlements, inadequate services and infrastructure, poor health and educational services and high levels of pollution.

The process of urbanisation affects all sizes of settlements, so villages gradually grow to become small towns, smaller towns become larger towns, and large towns become cities. Cities become mega-cities.

The global trend in urbanisation is not the same in all parts of the world. Asia and Africa currently have the highest rates of urbanisation. For example, Ethiopia is one of the least urbanised countries in the world today, and only 18% of its population lives in urban areas (JMP, 2014). In common with many other developing countries, however, this pattern is changing. Ethiopia's urban growth rate is more than 4.0% per year, which places it among the highest in Africa and the world (MWUD, 2007).

The rapid increase in urban populations has meant that peri-urban areas are growing much more quickly than formal urban centres. **Peri-urban** areas are those areas immediately around a town or city. They are areas in transition from countryside to city (rural to urban), often with undeveloped infrastructure, where health and sanitation services are under pressure and where the natural environment is at risk of degradation. These are the areas referred to as **informal settlements** or **slums**.

This session will focus on planning informal settlements in urban areas.

## Informal settlement and/or slum - Are they different?



### **Speaker's note:**

Explain the difference between informal settlements and slums.

**Time:** *to be added by trainer according to planning*

### **Background information:**

It is important to clarify that, the concepts of “**slum**” and “**informal settlement**,” are suggestive of the **same** thing, and therefore used interchangeably. However, unlike **slums**, **informal settlements** are approved settlements in urban areas that deteriorate and develop into **slums**. Both **slums** and **informal settlements** have high rate of crime, unemployment, urban decay, drug addiction, mental illness, malnutrition, diseases and poverty.

## Slum: definition

According to UN-Habitat (2011) slums are residential areas where:

- ▶ Inhabitants have **no security of tenure** vis-à-vis the **land or dwellings** they inhabit, with modalities ranging **from squatting to informal rental housing**,
- ▶ The neighborhoods' **usually lack, or are cut off from, basic services and city infrastructure** and,
- ▶ there is **no compliance with current planning and building regulations**, and is often,
- ▶ situated in **geographically and environmentally hazardous areas** – valleys, swamps, along riverbanks, slopes, landfills.

### Speaker's note:

Explain the definition of slums.

**Time:** 2 minutes

### Background information:

Mathare slum in Nairobi is located in a valley

Manzilles slum in colombia is located on a slope

broadcast sign  
**def·i·ni·tion** n. 1.  
The teacher gave d  
... new words.



## Informal settlement - OECD

- ▶ Areas where groups of housing units have been constructed on land that the occupants have no legal claim to, or occupy illegally;
- ▶ Unplanned settlements and areas where housing is not in compliance with current planning and building regulations (unauthorized housing).



### Speaker's note:

Explain the definition of an informal settlement according to the OECD.

**Time:** 2 minutes

### Background information:

OECD Glossary of Statistical Terms - Informal settlements Definition

[http://unhabitat.org/wp-content/uploads/2015/04/Habitat-III-Issue-Paper-22\\_Informal-Settlements-2.0.pdf](http://unhabitat.org/wp-content/uploads/2015/04/Habitat-III-Issue-Paper-22_Informal-Settlements-2.0.pdf)

*Picture: slums in Addis Ababa, Ethiopia*

*Picture: Medellín, Colombia-*

<https://landandpropertynetwork.files.wordpress.com/2016/03/medellin-colombia-1.jpg>

## The rhetoric of the informal

### **FORMAL - Adjective**

▶ done in accordance with convention or etiquette; suitable for or constituting an official or important occasion.

### **INFORMAL - Adjective**

▶ having a relaxed, friendly, or unofficial style, manner, or nature:  
▶ *(of economic activity)* carried on by self-employed or independent people on a small scale, especially unofficially or illegally.

▶ **Question: What images are associated with informal settlement in Ethiopia?**

### **Speaker's note:**

Discuss in plenary what images are associated with informal settlements in Ethiopia (5 min)

**Time:** *to be added by trainer according to planning*

### **Background information:**

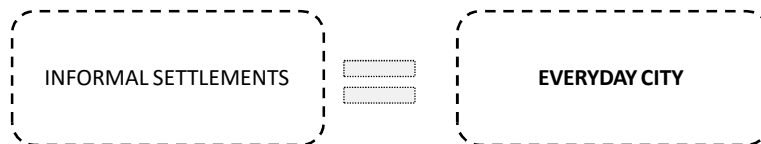
Possible answers:

- ✓ Danger,
- ✓ threat,
- ✓ Insecurity
- ✓ Illicit activities
- ✓ Undesirable city dwellers
- ✓ Temporariness
- ✓ Criminality

These images dominate mainstream urban discourse and shift the blame of precarious survival to the informal urban dwellers instead of asking questions about government responsibility on inclusive urban planning.

## The rhetoric of the informal

FORMAL	INFORMAL
Conventional	Non - Conventional
Official	Un - Official
Regulated	Un-Regulated
	EVERYDAY



### Speaker's note:

**Time:** *to be added by trainer according to planning*

### Background information:

The idea of the 'Everyday city' is based on the concept of Everyday Urbanism that was proposed in 1999 by Margaret Crawford & others, wherein the city is seen above all as a social product and which focuses on informal urban spaces. They point out that it is not what the planning initiates for the city but what the people seem to generate as an outcome of their everyday needs.

## Why care about informal settlements?



**Speaker's note:**

Ask participants why care about informal settlements (5 min)

**Time:** *to be added by trainer according to planning*

**Background information:**

## 21st century reality

- ▶ Informal settlements are a reality and must be at the centre of urban development policy and local governments (UN-Habitat, 2007)
- ▶ Invisibility of informal urban dwellers in urban planning leads to an increasing number of people trying to solve their housing needs informally worsening the situation

**Speaker's note:**

**Time:** *to be added by trainer according to planning*

**Background information:**

Global trends



One in eight people live in slums worldwide. This number is rising fast. If no action is taken, 3 billion people will live in slums by 2030.

UN HABITAT

**Speaker's note:**

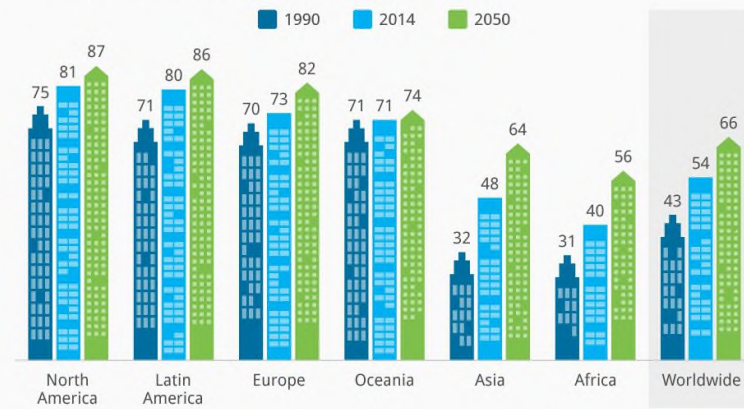
**Time:** 5 minutes

**Background information:**

## Global trends

### 54% of the World's Population Now Lives in Cities

% of the population living in urban areas



Source: United Nations

Mashable statista

**Speaker's note:**

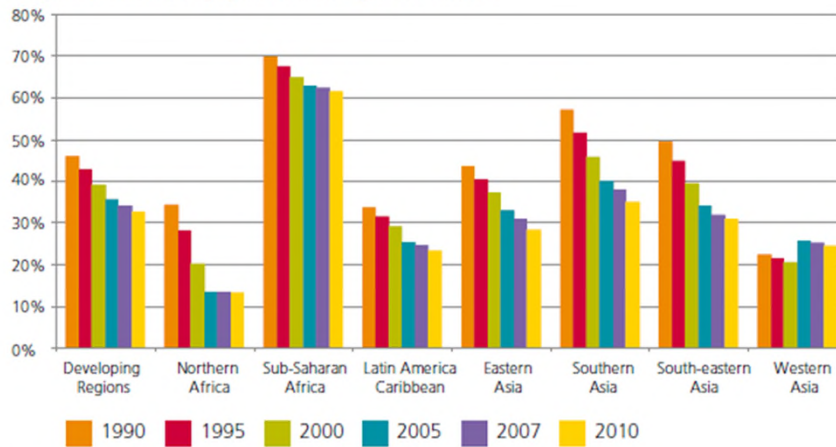
**Time:** 5 minutes

**Background information:**

[World Urbanization Prospects - Population Division - United Nations](#)

By 2012, nearly 33 percent of the urban residents in the world's developing regions still lived in slums.

Proportion of urban population living in slum areas



Source: UN-Habitat, Global Report on Human Settlements

**Speaker's note:**

Reflect on the trends (5 min)

**Time:** to be added by trainer according to planning

**Background information:**



## Informal settlements in Africa

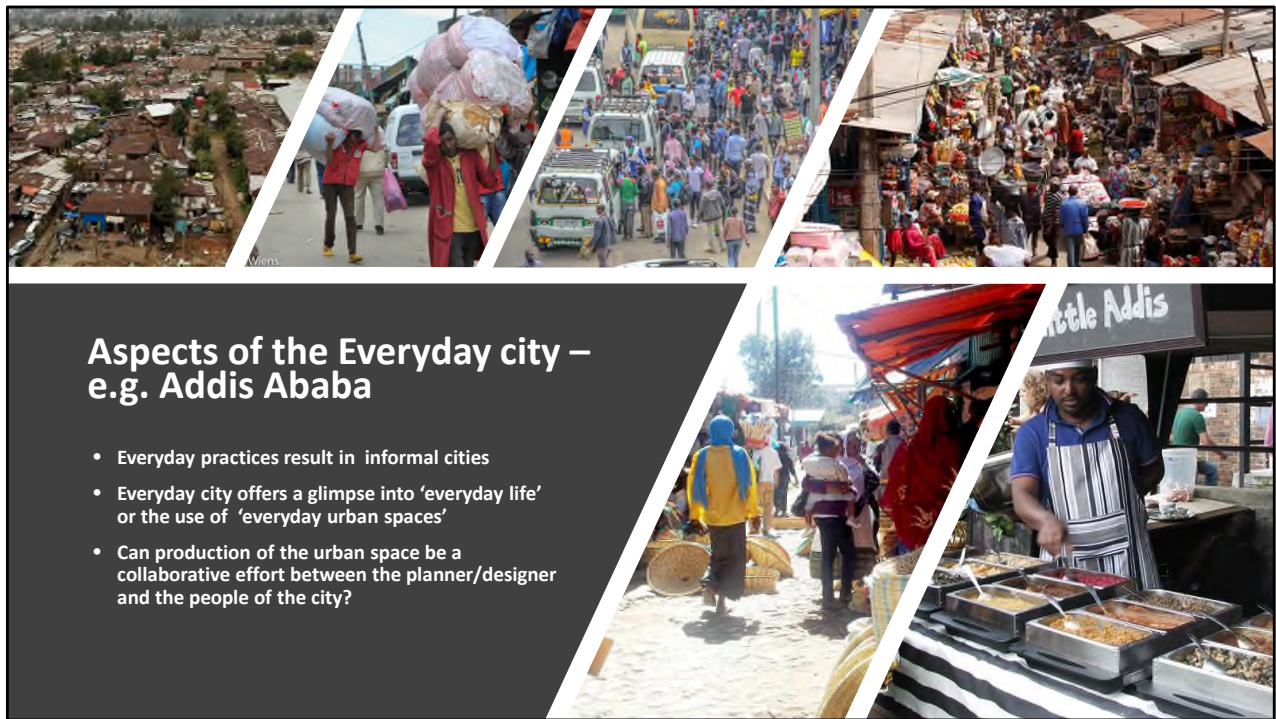
- ▶ Over 90% of urban growth is occurring in the developing world.
- ▶ In Africa, over half of the urban population (61.7%) lives in slums.
- ▶ By 2050, Africa's urban dwellers are projected to increase from 400 million to 1.2 billion.
- ▶ An estimated 70 million new residents are added to urban areas of developing countries each year.
- ▶ Over the next two decades, the urban population of the world's two poorest regions — South Asia and Sub-Saharan Africa — is expected to double.



**Speaker's note:**

**Time:** 5 minutes

**Background information:**



## Aspects of the Everyday city – e.g. Addis Ababa

- Everyday practices result in informal cities
- Everyday city offers a glimpse into ‘everyday life’ or the use of ‘everyday urban spaces’
- Can production of the urban space be a collaborative effort between the planner/designer and the people of the city?

### Speaker’s note:

Discuss the idea of Everyday urbanism by Crawford (5 min)

**Time:** *to be added by trainer according to planning*

### Background information:

The idea of the ‘Everyday city’ is based on the concept of Everyday Urbanism that was proposed in 1999 by Margaret Crawford & others, wherein the city is seen above all as a social product and which focuses on informal urban spaces. They point out that it is not what the planning initiates for the city but what the people seem to generate as an outcome of their everyday needs.

Everyday urbanism celebrates and builds on the [ordinary life and reality in a city](#). It doesn’t envision an ideal urban environment. Rather it explores ways to improve what already exists in incremental ways. The term first gained prominence with the book, *Everyday Urbanism* by Margaret Crawford, John Chase and John Kaliski in 1999. The book notes that the city (and its planners) ongoing quest to incorporate “the elements that remain elusive: ephemerality, cacophony, multiplicity and simultaneity.”

Every day urbanism builds on the concept of adaptive urbanism and looks at urban planning as a process of perpetual engagement and reiteration. It views cities as a

conversation between and among its residents. This leads to a dynamic urban form that evolves not from outside pressures or plans dropped from above, but from activities that occur within a neighbourhood.

**Discussion question: Discuss five causes informal settlements in pairs (3 min)**



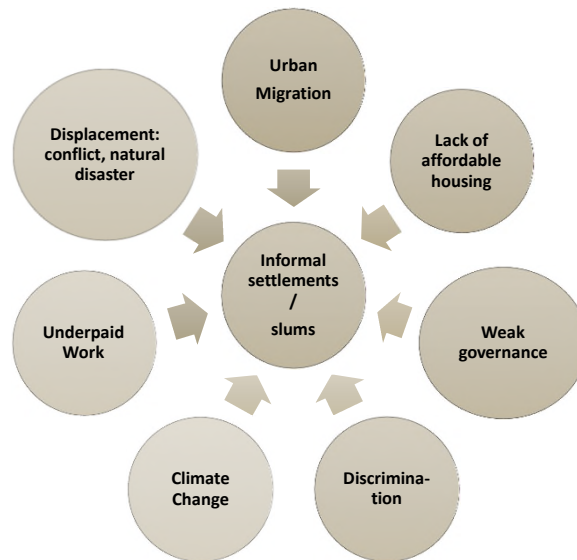
**Speaker's note:**

Ask participants, in pairs, to list 5 possible causes of the settlement shown in the pictures (5 min)

**Time:** *to be added by trainer according to planning*

**Background information:**

## Major causes of informal settlements



### Speaker's note:

Discuss how each of the factors above contributes to the emergence of informal settlements in cities (10 min)

**Time:** *to be added by trainer according to planning*

### Background information:

Informal settlements/slums are caused by a range of interrelated factors, including:

- population growth and rural-urban migration,
- lack of affordable housing for the urban poor,
- weak governance (particularly in the areas of policy, planning,
- land and urban management resulting in land speculation and grabbing),
- economic vulnerability and underpaid work,
- discrimination and marginalization, and
- displacement caused by conflict, natural disasters and climate change
- Limited options available to the poor in the formal land and housing market, both in terms of numbers and price.
- Barriers in accessing land and housing because of cumbersome, costly and time-consuming delivery processes.

- Building codes and planning regulations continue to be inappropriate for the poor.
- Urban planning practices focused on regulatory and normative planning have restricted rather than stimulated and enabled land development.

[http://unhabitat.org/wp-content/uploads/2015/04/Habitat-III-Issue-Paper-22\\_Informal-Settlements-2.0.pdf](http://unhabitat.org/wp-content/uploads/2015/04/Habitat-III-Issue-Paper-22_Informal-Settlements-2.0.pdf)

### As a result...

- ▶ Low-income households are forced to occupy as little space as possible, which leads to very high densities.



#### Speaker's note:

**Time:** 2 minutes

#### Background information:

Alternatively they may be forced to settle at the edges of towns and cities, where land may be more accessible, but is beyond urban infrastructure networks and far from employment centres.

<http://mirror.unhabitat.org/pmss/getElectronicVersion.aspx?nr=3552&alt=1> - Streets as Tools for Urban Transformation

Source picture 1: Delhi | <http://developmentworks.co.za/living-on-the-periphery/>

Source picture 2: Mumbai | <https://ahduni.edu.in/events/hawa-khaana-in-vasai-virar-urban-housing-and-the-commodification-of-airspace-in-mumbai-s-periphery>



## Impact on cities

- On the one hand, slums provide much-needed mixed land use to cities and have an active informal economy that, in many countries, provides the majority of jobs....
- On the other hand, these informal jobs are unskilled, very-low-paid, and insecure livelihood options



- Informal settlements and slums continue to be spatially disengaged from broader urban systems and remain excluded from mainstream urban opportunities.

### Speaker's note:

**Time:** *to be added by trainer according to planning*

### Background information:

Livelihood options in informal settlements are those that allow inhabitants to survive but not to progress sufficiently to change their living conditions nor to realize the full potential contribution to urban productivity.

<http://mirror.unhabitat.org/pmss/getElectronicVersion.aspx?nr=3552&alt=1> - Streets as Tools for Urban Transformation

Source picture 1: Mumbai |

[http://www.notey.com/@qz\\_unofficial/external/13464561/one-of-asia%E2%80%99s-largest-slums-is-luring-shoppers-with-the-internet-of-things.html](http://www.notey.com/@qz_unofficial/external/13464561/one-of-asia%E2%80%99s-largest-slums-is-luring-shoppers-with-the-internet-of-things.html)

Source picture 2: Maputo |

<http://www.citiesalliance.org/sites/citiesalliance.org/files/Maputo-catf.png>

[http://www.citiesalliance.org/ca\\_newsletters/newsletter\\_news/143](http://www.citiesalliance.org/ca_newsletters/newsletter_news/143)



## Impacts

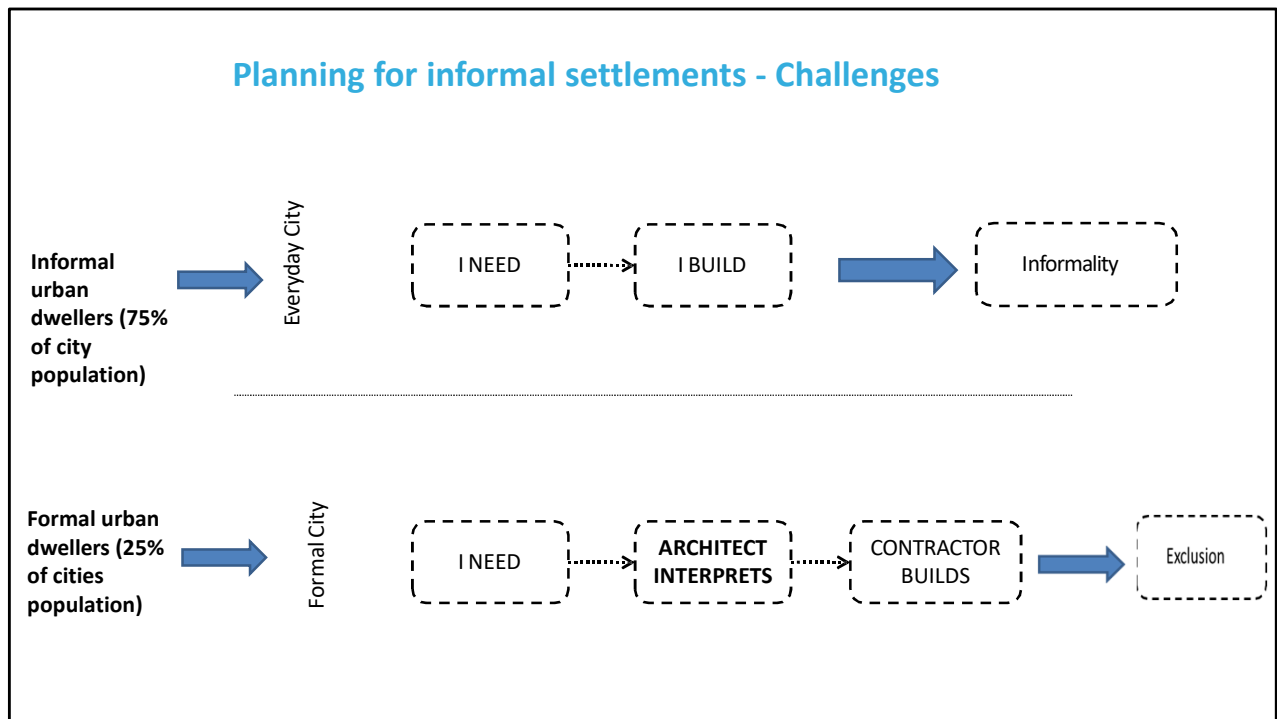
### **Environmental impacts**

- ▶ Pollution of water sources
- ▶ Solid and liquid wastes
- ▶ Flooding
- ▶ Deforestation

### **Economic and social impacts**

- ▶ Encroachment of good agricultural land
- ▶ Haphazard or uncoordinated development
- ▶ Live in houses constructed with substandard materials
- ▶ Crime

## Planning for informal settlements - Challenges



### Speaker's note:

**Time:** *to be added by trainer according to planning*

### Background information:

Ananya Roy (2005) Urban Informality: Toward an Epistemology of Planning, Journal of the American Planning Association, 71:2, 147-158, DOI: [10.1080/01944360508976689](https://doi.org/10.1080/01944360508976689)

## Why should we act?

- ▶ Informal settlements are part of the everyday city – an integrated planning approach needed
- ▶ **Smart, resilient and productive cities** of the future will be those in which informal settlements are turned into vibrant neighborhoods that are fully integrated into the city's fabric and urban management systems
  - ▶ Rather than remaining as vast islands of informality, social exclusion, poor housing and underdevelopment.



### Speaker's note:

**Time:** *to be added by trainer according to planning*

### Background information:

It is timely and necessary to further upgrade slums and regularise informal settlements for the full recognition of the urban poor as rightful urban dwellers, for realising their potential and for enhancing their prosperity and thus the prosperity of the whole city.- Slum Almanac 2015-2016

[Slum Almanac 2015-2016 PSUP.pdf \(unhabitat.org\)](#)

## Challenges: Asia-Pacific Region

- ▶ **Housing unaffordability** forcing urban poor into substandard housing
- ▶ Out-dated legislations in rental market hampering housing supply



### Speaker's note:

**Time:** to be added by trainer according to planning

### Background information:

Integrating Informal Settlements in Urban Centers, 14-16 December 2016, India 6th Asian Pacific Ministerial Conference on Housing and Urban Development

## Challenges

- ▶ **Overcrowding** impacts quality of life, health and safety



### **Speaker's note:**

**Time:** to be added by trainer according to planning

### **Background information:**

Slum areas typically suffer from:

poor housing with small, overcrowded houses built very close together using inadequate materials and with uncertain electricity supply

restricted access to water supplies

little or no sanitation/latrine facilities and no solid waste disposal, which leads to a polluted and degraded local environment

inadequate health care facilities which, coupled with the poor living conditions, increases sickness and death rates

insecure living conditions – slum dwellers may be forcibly removed by landowners or other authorities.

Source picture: urban slum in Addis Ababa

## Challenges

- ▶ Unrecognised settlements are **excluded from official urban statistics**
- ▶ Settlements may **not even appear on any city map**



**Speaker's note:**

**Time:** to be added by trainer according to planning

**Background information:**

## Challenges

- ▶ **Unsuitable location** such as hillsides, flood-prone areas, and agricultural land in the urban hinterlands



**Speaker's note:**

**Time:** to be added by trainer according to planning

**Background information:**

### Challenges - summary

- ▶ Low levels of tenure security and constant threat of eviction
- ▶ Lack of access to basic services - safe water and improved sanitation
- ▶ Overcrowding
- ▶ Poor structural quality of the house
- ▶ Higher vulnerability to insecurity, crime and disasters
- ▶ Lack of governance structures

**Speaker's note:**

**Time:** *to be added by trainer according to planning*

**Background information:**





## PART 2

# INTEGRATING INFORMAL SETTLEMENTS IN URBAN CENTERS: STRATEGIES, POLICIES, AND TOOLS



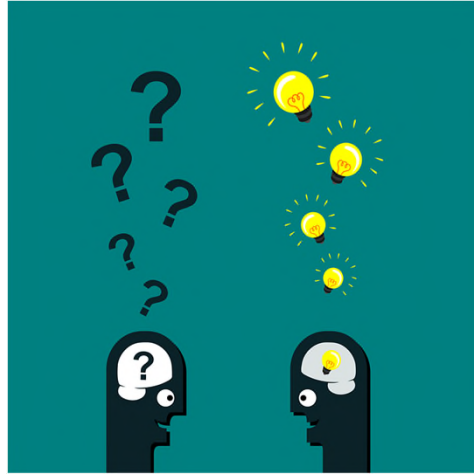
**Speaker's note:**

**Time:** *to be added by trainer according to planning*

**Background information:**

## Brainstorming solutions for informal settlements

- ▶ In pairs, think of potential solutions for informal settlements (5 min)



### Speaker's note:

- Ask participants to brainstorm in pairs about what could be potential solutions for informal settlements (5 min)
- Ask participants to share in plenary and discuss (5 min)
- Link the outcomes of this discussion to the next 2 slides

**Time:** 10 minutes

**Background information:**

## Solutions for informal settlements

It is when:

- ▶ The slum dweller becomes a citizen
- ▶ The citizen right to the city and human rights are granted
- ▶ The shack becomes a house
- ▶ The slum settlement becomes a neighborhood
- ▶ The neighborhood comply to local and international standard
- ▶ A self-sustaining community replaces precarious living



### Speaker's note:

**Time:** *to be added by trainer according to planning*

### Background information:

Interdependent and complementary strategies and tools to sustainably improve slums and prevent their formation include

- (a) dedicated urban and slum upgrading policies and related byelaws concerning land, housing and infrastructure, finance, mobilisation of local resources, construction standards and other related areas (e.g. labour, health and education), sanctioning the due institutionalisation and legal regulation required for large scale efforts,
- (b) formal housing aiming at securing access to adequate housing for all – in particular the most vulnerable, promoting affordable and safe solutions and inclusive housing finance systems,
- (c) urban planning, organising urban space for the supply of affordable land, housing and infrastructure, guiding both urban growth and urban renewal, promoting compact urban communities and discouraging the use of unsafe or environmentally fragile areas,
- (d) improved urban governance and management, delivering the urban benefits and advantages to all citizens with transparency and accountability, reducing corruption and

- correcting malpractices, and
- (e) (e) slum upgrading programmes oriented to the betterment of the current conditions of slum households and neighbourhoods.

[https://unhabitat.org/sites/default/files/2020/06/indicator\\_11.1.1\\_training\\_module\\_adequate\\_housing\\_and\\_slum\\_upgrading.pdf](https://unhabitat.org/sites/default/files/2020/06/indicator_11.1.1_training_module_adequate_housing_and_slum_upgrading.pdf)

## Keys for designing solutions for informal settlements



- ▶ Recognition of the slum challenge
- ▶ A people-centred approach.
- ▶ Combine slum upgrading with local economic development
- ▶ Government leadership
- ▶ Strengthening of a policy response
- ▶ Systemic and city-wide/‘at scale’ approaches
- ▶ Integration of people and systems.
- ▶ Long term financial investment and inclusive financing options
- ▶ Address land issues and provide slum dwellers with security of tenure
- ▶ Participatory approach and community participation
- ▶ Data revolution for tracking progress

### Speaker’s note:

*Time: to be added by trainer according to planning*

### Background information:

- 1. Recognition of the slum challenge.** Acknowledging the need of enforcing the rights and realising the potential of slum dwellers must be a priority. Urban authorities need to address the challenges of people living in slums and pursue improved urban governance to create more prosperous and sustainable urban contexts, devising the affordable housing mechanisms that fulfil the right to adequate housing for all income levels, putting housing at the centre.
- 2. A people-centred approach.** The final aim of every slum upgrading intervention should be transforming the lives of the people living in slums, lifting the slum dwellers out of poverty, not just the physical renovation or beautification of a deteriorated part of a city without consideration of its residents. Addressing the human dynamics in slums, putting people at the centre – both informal tenants and informal landlords, is the only sustainable way-forward to eradicate urban poverty.
- 3. Government leadership.** National governments have a leading role to play in improving

slums. They can provide the enabling environment to develop and implement the appropriate policies and plans to trigger change for, and in partnership with, poor urban dwellers, actively working with regional and municipal governments.

- 4. Strengthening of a policy response.** A dedicated policy framework to regulate sustainable urban development and the upgrading and prevention of slums is a precondition for effective, sustainable, long term and large scale responses. Such institutionalised framework should address issues concerning land, housing and infrastructure, finance, mobilisation of local resources, construction standards and other related areas (e.g. labour, health and education).
- 5. Systemic and city-wide/‘at scale’ approaches.** Conceiving and implementing policy, planning, financing and regulations that strengthen the capacity of urban areas to operationalize programmes at a city-wide or ‘at scale’ level are more likely to improve the lives of slum dwellers than piecemeal responses. All tiers of government are critical to systematic and ‘at scale’ slum upgrading strategies and programmes that both improve current conditions and prevent new slum formation.
- 6. Integration of people and systems.** All levels of government concerned must develop and coordinate broader integrated policy and planning frameworks that ensure a more complete understanding of the communities living in slums, their specific priorities and social and economic dynamics, implementing practical changes that ultimately result in the slums upgraded, linked into the broader urban environment and included in its development plans.
- 7. Appropriate long term financial investment and inclusive financing options.** Appropriate and sustained levels of diversified domestic investment in affordable housing and slum upgrading, public and private, are critical, as well as creative financial mechanisms encouraging major financing institutions to provide pro-poor housing plans and financing support for all tiers of government. Investment in microfinance housing improvements and incremental auto-construction are also vital.
- 8. Address land issues and provide slum dwellers with security of tenure.** The issues of land and tenure are too important for sustainable development and individual and collective prosperity to be left unattended when upgrading slums. There is need to develop, institutionalise and enforce no forced evictions policies, to explore and adopt different conceptions of tenure, to find solutions fit for tenants as well as landlords and, only if absolutely necessary, to come up with relocation and compensation plans fully agreed with the affected communities.
- 9. Participatory approach and community participation.** A sustainable response to the challenge of slums can only be achieved through the concerted efforts of all involved stakeholders. Authorities, communities, private sector and a broad range of urban practitioners are all partners who can contribute to the upgrading process. Slum

communities, in particular, must be granted their right to participate in the decision-making, design, implementation, monitoring and follow-up of the upgrading initiatives, benefiting from investments in their required technical training while contributing their knowledge, work and resources.

- 10. Combine slum upgrading with employment generation and local economic development.** It is necessary not only to acknowledge the slum economy, but also support it. Beyond expected community contracting during upgrading works, there is need to invest in the social capital present in slums, develop cohesion and associativity among slum dwellers, encourage local initiatives and recognise the important role of women in the household economy. Alongside security of tenure, these are effective measures to trigger the virtuous dynamics that help slum dwellers lift themselves out of poverty.
- 11. Development of participatory, robust, standardised and computerised data collection processes.** Localised qualitative and quantitative data collection and analysis systems to better understand local urban contexts in a more timely and accessible manner should be adopted. In particular, slum dwellers should be engaged and lead innovative solutions to gather local data to address the social, cultural and economic dynamics of slums. Data collected at community level must be standardised and linked to broader city, regional, national and global monitoring and evaluation initiatives, thus contributing to the data revolution needed to check the attainment of sustainable urban development.
- 12. Creating peer learning platforms.** Platforms that draw on the knowledge of stakeholders involved in the improvement of slums, especially slum dwellers themselves, must be prioritised in order to facilitate information and experience exchange as well as peer learning opportunities. These platforms may include a range of communication strategies and multi-media mechanisms.
- 13. Data revolution-** both the approved Sustainable Development Goals and the proposed New Urban Agenda call for a data revolution to guide their implementation efforts and monitor their achievement. The data revolution through technological developments offer a chance for the global network of urban managers, practitioners and communities to collectively set up broad urban data systems, exploring feasible mechanisms at national, local and community levels to perform this task, building on existing slum and slum upgrading networks to secure the systematic and participatory gathering and analysis of data. It will make space for communities to innovate together with governments, creating a city-wide, national network that can contribute to change the social and spatial patterns of the urban context and strengthen citizenship.

[Slum Almanac 2015-2016 PSUP.pdf \(unhabitat.org\)](#)

## Key planning pillars for informal settlements

**Pillar One:**  
Strengthen  
**Urban  
Governance and  
Institutions**

**Pillar Two:**  
Ensure  
**Adequate  
Housing &  
access to Basic  
Urban Services**  
for all

**Pillar Three:**  
Harness the  
**Urban  
Economy and  
Infrastructure**

**Speaker's note:**

**Time:** to be added by trainer according to planning

**Background information:**



## Evidence-based policy design

### Mapping the informal settlements

- ▶ Topographical factors
- ▶ Population
- ▶ Economic activities
- ▶ Existing forms of land administration



### Speaker's note:

**Time:** to be added by trainer according to planning

**Background information:**

## Policy responses

- ▶ Holistic policy approach encompassing livelihoods
- ▶ Urban national priority programme
- ▶ Informal settlements upgrading policy
- ▶ Community-level financing tools



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**Speaker's note:**

**Time:** to be added by trainer according to planning

**Background information:**

## Policy response: Holistic policy approach

Example of India - four prioritizing slum improvement and poverty alleviation:

- ▶ Enhancing the productivity of the urban poor by building skills and providing access to micro-credit;
- ▶ Improving the living conditions of the poor through provision of basic services and in-situ development of slum settlements;
- ▶ Providing security of tenure to poor families living in unauthorized settlements and improving their access to serviced low-cost housing and subsidized housing finance; and
- ▶ Empowering the urban poor through community development and encouraging their participation in decision- making.

**Speaker's note:**

**Time:** to be added by trainer according to planning

**Background information:**

## Existing solutions for planning for informal settlement

1. Slum rehabilitation schemes
2. Cities for all
3. Sustainable reintegration through inclusive urban areas support program



**Speaker's note:**

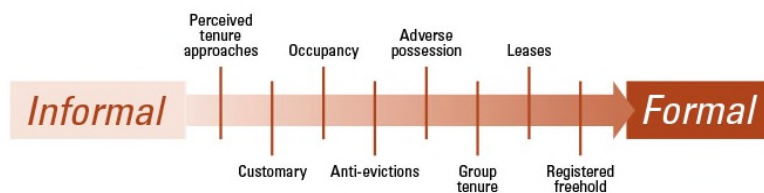
**Time:** to be added by trainer according to planning

**Background information:**

## Cities for all approach

- ▶ Secure land tenure for slum dwellers
- ▶ Promoting urban economy and investment
- ▶ Creating hope and stability for all urban dwellers

### Land Rights Continuum



Source: UN-HABITAT, "Affordable Land and Housing in Africa," 2011, p. 40.

**Speaker's note:**

**Time:** to be added by trainer according to planning

**Background information:**

## Upgrading, re-development and relocation

Rapid land identification and allocation process

- ▶ **In-situ redevelopment:** Authority offers formal housing free of cost to slum dwellers
- ▶ **Relocation** to alternative sites in proximity to livelihoods



Resettlements must take into account accessibility to employment areas, Jinja, Uganda 2005 © Suzi Mutter



**Speaker's note:**

**Time:** to be added by trainer according to planning

**Background information:**



# ALIGNMENT WITH NEW URBAN AGENDA



**Speaker's note:**

**Time:** *to be added by trainer according to planning*

**Background information:**

## Alignment with New Urban Agenda

- ▶ **People's process:** knowledge rests with community; need to harness this rather than approach as a purely 'technical problem'



### Speaker's note:

**Time:** to be added by trainer according to planning

### Background information:

Participatory mapping of neighbourhoods –The residents know exactly the boundaries, ownership, renters, public properties, etc.



## Alignment with New Urban Agenda

- ▶ Institutional anchoring is crucial to build accountability and transparency, and champion the urban agenda
- ▶ The Ethiopia Urban Planners Association oversees the slums upgrading programs



**Speaker's note:**

**Time:** to be added by trainer according to planning

**Background information:**

## Alignment with New Urban Agenda

### ► Urban planning and redevelopment interventions based on situation assessment across multiple criteria

Table 4.1 Conditions, assessment and sample interventions in informal settlements

Category	Conditions	Assessment	Sample intervention
<b>Hazards</b>	Floodplains, steep slopes, seismic fault line, wetlands, riverbeds, sea proximity	Assign intervention urgency level	Relocate
<b>Tenure</b>	Status of the occupants (illegal occupant, unregistered title, occupancy document, sales document); land ownership (national government, provincial or local authorities, private)	Determine regularization strategy to provide security of tenure	Provide occupancy rights
<b>Physical conditions</b>	Physical gaps (natural or human made), ground water level, soils, density, connections to water and electricity (legal, illegal, metered) building materials (permanent, impermanent)	Identify the system of public spaces Determine housing improvement strategy, infrastructure/ services needs	Establish street and public spaces Road upgrading; microloans for housing; improvement; connections to water supply mains and electric grid
<b>Socio-economic characteristics</b>	Mix of economic activities, level of poverty, ethnicity, presence of undesirable or illegal activities (crime, drugs, prostitution), youth gangs and other socially undesirable manifestations	Determine need for social programmes and economic development initiatives	Launch vocational training and other education programmes; promote community activities; establish a neighbourhood crime watch; preserve local social fabric; preventing excessive turnover;
<b>City integration</b>	Relative location within the city; accessibility; public facilities (schools, health centres); local employment; public space; planning regulations	Determine key access issues; identify potential for integrating with city-wide functions and amenities; assess key regulatory hurdles	Provide accessibility through public transport or organized informal fleets; create public spaces; reform regulations that limit effective integration

Source: Adapted from Serageldin

**Speaker's note:**

**Time:** to be added by trainer according to planning

**Background information:**

## Alignment with New Urban Agenda

- ▶ **Reactive and proactive strategies** are needed in tandem to improve existing conditions and prevent future crisis

### Sequence of procurement processes for formal and informal housing

Informal ← ← ← ←	1	Move onto land	4	↑ ↑ ↑ ↑ Formal
	2	Build house	3	
	3	Install infrastructure	2	
	4	Obtain title to land	1	

**Speaker's note:**

**Time:** to be added by trainer according to planning

**Background information:**

## Alignment with New Urban Agenda

- ▶ **Monitoring framework** embedded in the policies and programmes to objectively track progress towards delivery with transparency, accountability, and anti- corruption oversight

### Sustainable Development Goals



### PILLAR TWO

#### Adequate Housing and Basic Urban Services for All Afghans

##### INDICATORS

- Proportion of protracted IDP sites successfully integrated into the urban fabric and recognized in the development plans.
- 1** • Proportion of the population living in households with access to basic services.
- 6** • Proportion of population using safely managed drinking water services.
- 11** • Proportion of urban population households living in informal settlements or inadequate housing.
- 11** • Percentage of solid waste regularly collected and with adequate final discharge with regards to the total solid waste generated by the city.
- 11** • The average share of built-up area of cities that is open space in public use for all disaggregated by gender and persons with disabilities, and age group.
- 11** • Budget allocated to the construction and retrofitting of sustainable, resilient and resource efficient buildings utilizing local materials.

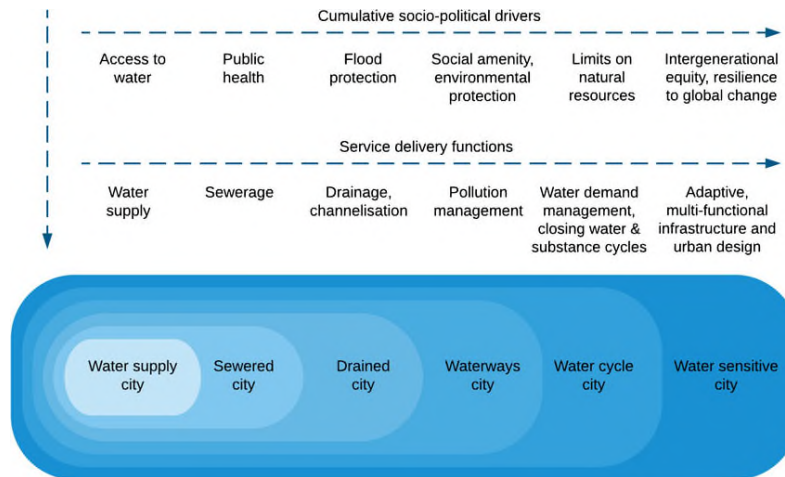
**Speaker's note:**

**Time:** to be added by trainer according to planning

**Background information:**

## Indicators/frameworks to measure progress

### ▶ Example: Urban Water Transitions (UWT) framework



#### Speaker's note:

**Time:** to be added by trainer according to planning

#### Background information:

A major challenge in informal settlements is Water. Urban development has a strong relationship with its water systems. When providing solutions for informal settlements, water access and management is at the core. Based on a historical analysis of the technical and institutional arrangement in urban water management over time, urban water transitions (UWT) framework (Brown et al., 2008) identifies six distinct development stages that cities neighbourhoods go through as they progress towards greater water sensitivity.

[https://www.researchgate.net/post/How can Water Sensitive City WSC indicators be assigned to idealised city-states-Urban Water Transitions UWT framework](https://www.researchgate.net/post/How_can_Water_Sensitive_City_WSC_indicators_be_assigned_to_idealised_city-states-Urban_Water_Transitions_UWT_framework)

## Conclusion

Planning for informal settlements– key ingredients

### Recognition of:

1. Informal settlers' [Right to the City](#) (Lefebvre, 1968)
2. Informal settlements as [Right to housing](#) (UN)
3. The role of local government in implementing an effective response



### Speaker's note:

**Time:** *to be added by trainer according to planning*

### Background information:

Source picture: Informal settlement Maraki sub-city, Ethiopia

**“Developmental local government” is a key driver**

**Definition:**



DLG is local government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives.

RSA, 1998: 23

**Speaker’s note:**

**Time:**

**Background information:**

## Integrating informal settlements in urban development

### Participatory informal settlement upgrading:

- ▶ To address urban development imbalances represented by informal settlements.
- ▶ Engaging key urban stakeholders—all levels of government, community, civil society, academia, private sector and, especially, informal settlers
  - ▶ Bulldozing evictions and/or carrot and stick not recommended strategy because of human rights violations
- ▶ Using cadastral systems for spatial plan and urban land management and administration(modern technologies)
  - ▶ Informality no longer an excuse for urban planners



### Speaker's note:

**Time:** *to be added by trainer according to planning*

### Background information:



## Questions/reflections?



### **Speaker's note:**

- Summarise the content of the session
- Ask if there are any outstanding questions

**Time:** 5 minutes

**Background information:**