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## **PREAMBLE**

The Participatory Slum Upgrading Programme (PSUP) was launched in April 2008 with a view to contributing towards urban poverty reduction and the implementation of the Millennium Development Goals (MDGs), particularly Goal 7, Target 11, through participatory and sustainable slum upgrading. Implemented by the Regional and Technical Cooperation Division of UN-HABITAT, the programme is projected to be finalised within 36 months, in March 2011. This inception report therefore summarizes the implementation set-up, progress in the implementation of activities since its launch 7 months ago, deliveries, results and achievement of objectives and outlook.

Based on the logical framework outlined in the project proposal, the inception report is designed to be an updated and more detailed project document, three years after the proposal was delivered to the European Commission and the Secretariat ACP

To meet the above mentioned MDG and urban poverty challenges, the programme seeks to harmonise with local and national stakeholders on key slum upgrading projects through initiating the creation of a network for regional slum upgrading challenges. For this purpose, a regional training seminar on the programme's concept, themes and methods will be organised with all involved stakeholders.

The programme also aims to support local and national authorities in identifying adequate funding to carry out specific activities. In respect of the partnership between the European Commission, the ACP Group of States and UN-HABITAT partnership, it is hoped that the programme components will boost synergies between the three institutions by contributing towards the integration and consolidation of their efforts to improve slum conditions in ACP countries.

The programme consists of two phases involving 30 countries and more than 80 cities: 1) Phase 1: Urban Sector Profiling and 2) Phase 2: Feasibility Studies and Action Plans.

By October 2008, the following 18 countries had launched the first phase on Urban Sector Profiling:

*11 African countries:*

1) Burundi, 2) Cape Verde, 3) Republic of Congo, 4) Cote d'Ivoire, 5) Gambia, 6) Madagascar, 7) Malawi, 8) Mali, 9) Mauritius, 10) Nigeria and 11) Uganda;

*4 Caribbean countries:*

1) Haiti, 2) Jamaica, 3) Antigua and Barbuda, 4) Trinidad and Tobago;

*3 Pacific countries*

1) Fiji, 2) Papua New Guinea, 3) Solomon Islands;

The 12 countries having completed first phase activities on Urban Sector Profiling and whose profiles were published in November 2008 are now in the process of launching phase two on the feasibility studies and action plans:

1) Burkina Faso, 2) Cameroon, 3) D.R. Congo, 4) Eritrea, 5) Ethiopia, 6) Ghana, 7) Kenya, 8) Mozambique, 9) Niger, 10) Senegal, 11) Tanzania and 12) Zambia.

The Annexes of the inception report include an overview of the lessons learnt from the first phase, terms of reference, mission goals, promotional material and press releases.

# INTRODUCTION

## A.1 Broader context

In 2007, for the first time the world's urban population equalled the world's rural population. This trend symbolises an even stronger future development where population in cities of developing countries is expected to double within mid-term planning cycles.

Asia and Africa will host the largest urban populations within the next ten years and all the biggest cities will be located in developing countries. This also implies that developing countries will face even more challenges on urban management and governance processes.

As a consequence, this rapid urban growth has led to an increase in slums - defined as settlements in urban areas in which more than half of the inhabitants live in inadequate housing and lack basic services<sup>1</sup> - are growing enormously and appear to be the dominant settlement in cities of the developing world.

Furthermore, statistics show that one out of three city dwellers live in a slum and that for one billion citizens. As the UN-HABITAT States of the World Cities 2006/2007 Report describes, "*the vast majority of slums – more than 90 per cent – are located in cities of the developing world, which are also absorbing most of the urban growth.*"<sup>2</sup> Other urban experts state this development as "the urbanisation of poverty" since city growth has become identical with slum growth. This is particularly the case in sub-Saharan Africa, Western and Southern Asia. "*UN-HABITAT projections indicate that the number of slum dwellers in the world will rise to 1.4 billion by 2020 if no remedial action is taken.*"<sup>3</sup>

## A.2 The PSUP in brief

The project's purpose is to strengthen capacity of local, central and regional institutions and key stakeholders' in settlement and slum improvement through the use of good governance and management approaches, pilot projects and contributing, where needed, to the policy development, and the implementation of institutional, legislative, financial, and normative and implementation frameworks.

Generally,, the programme aims to respond to the dynamic development of cities' and slum upgrading activities of a complex nature. These require a deep understanding of the local context, interaction of urban stakeholders, institutional frameworks and financial mechanisms. The first phase of the PSUP consists of cities and national governments providing an overview of the local situation and upgrading needs, whereas the second phase draws upon these results and will lead to country specific participatory slum upgrading activities.

To achieve the above, two general objectives were identified:

### **Objective 1 - Urban Profiles**

To contribute to urban poverty reduction policy development in ACP countries through urban sector profile studies, rapid assessments of needs and capacity gaps to be addressed at local, regional, national and levels.

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<sup>1</sup> Definition of an Expert Group Meeting in November 2002, where UN-HABITAT and its partners came up with a provisional definition of "slum".

<sup>2</sup> UN-HABITAT: States of World's Cities 2006/7, The Millennium Development Goals and Urban Sustainability: 30 Years of Shaping the Habitat Agenda; 2006, p. 11.

<sup>3</sup> UN-HABITAT: States of World's Cities 2006/7, The Millennium Development Goals and Urban Sustainability: 30 Years of Shaping the Habitat Agenda; 2006, p. 12.

## **Objective 2 - Regional policy development, capacity building & slum upgrading feasibility studies**

To enhance local, regional and national dialogue and an exchange of experiences in sustainable slum upgrading policy development; to build technical capacities in slum upgrading themes of good governance and management, human resource development, local economic development and environmental planning and management; and, to undertake feasibility studies for slum upgrading in the twelve countries that have completed Phase one with the aim of establishing implementation activities.

**The first phase**, which consists of Rapid Urban Profiling, is a method conceived to help acquire a quick overview of the complex reality of cities. The main themes analysed are urban governance, urban safety, shelter, land, gender, local economic development, basic urban services, disaster management and environment.

**The second phase**, the feasibility studies and action plans, builds upon the results from the first phase, Rapid Urban Profiling. While, the first phase of PSUP provides an overview of the local situation and upgrading needs, the second phase shall arrive at city specific participatory slum upgrading interventions.

### **A.3 Implementation Set-up**

#### **UN-Habitat**

The PSUP is implemented by UN-HABITAT's Regional and Technical Cooperation Division. The core team is located at the UN-HABITAT Headquarters in Nairobi. The UN-HABITAT team includes the three regional offices facilitating the PSUP processes in the participating countries is based in Nairobi (Kenya) Fukuoka (Japan) and Rio de Janeiro (Brazil). In addition, international short-term consultants are recruited as needed, for example for the editing and layouting of reports and promotional material. For the country implementation, focal points from the regional offices and Senior Human Settlement Officers in charge of the targeted countries support the every-day management and coordination of the programme.

#### **Overall Steering Committee**

The Overall Steering Committee consists of representatives from the European Community, the Secretariat of the African, Caribbean and Pacific Group of States, both in Brussels, and the UN-HABITAT

#### **National Steering Committee**

The National Steering Committee consists of the focal points from the key ministry, the three selected cities, the local government association, a representative from NGOs, CBOs, informal and private sector associations as well as from the academic sector.

#### **National PSUP teams**

In the participating countries, national PSUP teams are to be set-up with the lead of National Officers for UN-HABITAT, as far as they are in place. For the first phase, each team consists of 3 experts, ideally from a national or local institution, universities or NGOs, to cover the main thematic sectors. This is to ensure that lessons learnt and skills benefit urban communities. For the

second phase, depending on the agreed priority intervention 6 to 10 experts are needed, ideally also national or local institutions, universities or NGOs.

### **Government ministries and local authorities**

Relevant government ministries and local authorities have a significant role in the PSUP process. They are at the forefront of consultations and workshops. They are perceived to have an 'enabling' role in as they are to create conditions favourable to new paradigms in urban development.

### **Partner groups**

The implementation of PSUP is based on a broad partnership as a multitude of urban stakeholders participating in the programme. The PSUP recognises that in order to have a sustainable and long-lasting impact, it is necessary to involve all stakeholders with an interest in urban issues.

#### *Low-income groups and civil society organisations*

The primary partner group of the PSUP comprises of low-income groups in selected slums including women, men and children of slum communities. These organisations cannot be considered a homogenous entity with a common or 'one' voice, but rather as reflection of a variety of differing opinions which have collective interests and engagements.

#### *Academia*

The participation of academic institutions in the PSUP processes is important as they are able to provide their expertise in contextualising the methodology to local conditions, as well as they can often offer economical inputs to the local PSUP teams.

#### *Funding partners*

Potential funding partners at country level are being addressed through in-country UN-HABITAT Programme Managers or missions. The resource mobilisation aspect will be strongly handled throughout the implementation process to ensure that the urban poor will be directly targeted with pro-poor project realisation.

# ACTIVITIES AND RESULTS

## Phase 1: Urban Sector Profiling

### 1.1 Finalise reports of first batch (12 countries)

The table below indicates the publishing status of the Urban Sector Profiles compiled in the twelve African countries which have completed the first phase from 2004-2007. After the profiles have been published, second phase activities will be launched at country level.

| Country                 | Status                      | City 1        | Status       | City 2  | Status       | City 3              | Status       |
|-------------------------|-----------------------------|---------------|--------------|---|--------------|---------------------|--------------|
| Burkina Faso            | Printed                     | Ouda-dougou   | Printed      | Banfora                                       | Printed      | Bob-Dioulasso       | Final review |
| Cameroon                | Printed                     | Yaoundé       | Printed      | Bamenda                                       | For editing  | Kribi               | Final review |
| DRC                     | Final review                | Kinshasa      | Final review | Lubumbashi                                    | Final review | Kisangani and Bunia | Final review |
| Eritrea <sup>4</sup>    | Printed                     | Asmara        | Printed      | Massawa                                       | Printed      | Mendeferra          | Printed      |
| Ethiopia                | Printed                     | Addis Ababa   | Printed      | Dire Dawa                                     | Printed      | Ambo                | Printed      |
| Ghana                   | Final review                | Accra         | For editing  | Tamale  | For editing  | Ho                  | For editing  |
| Kenya                   | Printed                     | Nairobi       | Printed      | Kisumu  | Printed      | Mavoko              | Printed      |
| Mozambique <sup>5</sup> | Printed                     | Maputo        | Printed      | Nacala  | Printed      | Manica              | Printed      |
| Niger                   | Printed                     | Niamey        | For review   | Tahoua  | For review   | Mirriah             | For review   |
| Senegal                 | Printed                     | Dakar         | Printed      | Kaolack                                       | Printed      | Kanel               | For review   |
| Tanzania                | Printed                     | Dar es Salaam | Printed      | Bagamoyo                                      | Printed      | Morogoro            | Printed      |
| Zambia                  | Printed                     | Lusaka        | Printed      | Kitwe   | For design   | Livingstone         | For design   |
| Regional analysis       | Francophone region complete |               |              | Anglophone region in process to be finalised. |              |                     |              |

After the all profiles have been published, they will be disseminated to all stakeholders involved in the process and to local and national governments. The European Community and its agency EuropeAid and the Secretariat of the African, Caribbean and Pacific Group of States will also receive copies. In addition, profiles will be presented during UN-HABITAT's Governing Council scheduled to take place in Nairobi on 30 March – 3 April 2009.

<sup>4</sup> The National Eritrea Profile has been merged with the City Profiles because of difficulties to find adequate data.

<sup>5</sup> Mozambique's City Profiles will be merged to one. The National Mozambique Profile is available in English and Portuguese.

## National/Local activities in 18 new countries – in Africa, The Caribbean and Pacific

### 1.2 Introduction and tailoring of programme to country context

#### *Preparation work on methodology and questionnaires*

The methodology and questionnaires were developed and led by UN-HABITAT's Regional and Technical Cooperation Division in collaboration with other departments within the Agency. All departments drew from their area of expertise in order to develop a holistic methodology and questionnaires.

*The preparatory work, consisting of providing tools, terms of references and questionnaires, was completed according to the work plan. The Participatory Slum Upgrading team at UN-HABITAT HQ learnt that the methodology has even more potential. Thus, new themes (local economic development, safer cities, disaster management) have been added and the PSUP guideline and the training seminar developed. This is to ensure an even higher alignment with in-country needs and ongoing activities.*

#### *Introduction to national stakeholders*

The first step in each of the participating countries was the identification of key stakeholders to participate in the programme. The National Officers from UN-HABITAT played a crucial role in completing this task as they have a good knowledge of existing urban arrangements. Consequently, UN-HABITAT National Officers identified and contacted the key stakeholders to introduce the study and its central concepts. Senior Human Settlement Officers took advantage of regional and global events, such as African Ministers of Housing and Urban Development (AMCHUD) and the World Urban Forum (WUF) to present the programme to stakeholders.

Activities ensured that key stakeholders took ownership of the process at this early stage in order to guarantee the programme's sustainability as much as possible.

| Country                            | City 1            | City 2     | City 3           |
|------------------------------------|-------------------|------------|------------------|
| Burundi                            | Bujumbura         |            |                  |
| Cape Verde                         | Praia             | Santa Cruz | Sale             |
| Republic of Congo                  | Brazzaville       |            |                  |
| Cote d'Ivoire                      | Yamoussoukro      |            |                  |
| Gambia                             | Banjul            | Kanifing   | Brikama          |
| Madagascar                         | Antananarivo      |            |                  |
| Malawi                             | Lilongwe          | Blantyre   | Zomba            |
| Mali                               | Bamako            | Kayes      | Bandiagara       |
| Mauritius                          | Port Louis        |            |                  |
| Nigeria                            | Lagos             |            |                  |
| Uganda                             | Kampala           | Mbara      | Mbale and Kitgum |
| <i>4 cities have been selected</i> |                   |            |                  |
| Haiti                              | Port – Au – Louis |            |                  |
| Jamaica                            | Kingston          |            |                  |
| Antigua and Barbuda                | Saint John's      |            |                  |
| Trinidad and Tobago                | Port-of-Spain     |            |                  |
| Fiji                               | Suva              |            |                  |
| Papua New Guinea                   | Port Moresby      | Majuro     |                  |
| Solomon Islands                    | Honiara           |            |                  |

*In many countries, the relationship between UN-HABITAT and the governments should be strengthened. There are already positive examples of ownership like in Malawi where the UN-HABITAT National Programme Manager succeeded in establishing an urban forum at this early stage of the programme and in Papua New Guinea, where the government self-financed the launch of the Participatory Slum Upgrading Programme in 2007 and is committed to upscale the programme and maximise its outcomes.*

#### *Tailoring the programme to national and local contexts*

National teams (implementation partners) were selected in all the participating countries representing a wide variety of stakeholder groups. The national teams consist of institutions such as universities, urban planning commissions, NGOs and CBOs.

In general, the national implementation teams are headed by UN-HABITAT National Programme Managers who will take the lead in facilitating the processes.

Terms of Reference were sent to the national implementation teams, which included a detailed description and analysis of the methodology and training description. The national teams are currently reviewing them taking into account aspects of local specificities, so that the content can be discussed and elaborated. UN-HABITAT's Regional Office for Africa and the Arab States (ROAAS) provided the consultants with English, French and Portuguese versions of the necessary documentation.

*The above mentioned activities are inline with the Project Document. There has, however, been a delay of several months. The study is in the process of being tailored to national and local contexts through reviewing the interview methods and adapting them to local conditions. This will also be part of the training workshop's content. Through missions and UN-HABITAT National Programme Managers the Urban Sector Profiling has been introduced to national and local stakeholders individually. This first step proved challenging in countries without any UN-HABITAT National Programme Managers. These are: Cape Verde, Republic of Congo, Ivory Coast, Gambia, Mali, Haiti, Jamaica, Antigua and Barbuda, Trinidad and Tobago, Fiji and Solomon Islands. Thus, 11 out of the 18 countries required special attention from the Nairobi team. A solution was found through the involvement of UN-HABITAT National Programme Managers based in neighbouring countries who were briefed, and through joint missions, were introduced to partners that will support the implementation process. For the Pacific and Caribbean countries, regional coordinators and supporting implementation partners have been identified and involved in the process from the beginning. The same has also been established for the Francophone region.*

### **1.3 City profiles**

#### *Conduct city assessment and profiling*

This step will be supplemented with an initial training workshop aiming to present and provide practice on the urban profiling exercise. Participants include key ministry and selected municipality focal points, team leaders of the national implementation partner(s), representatives from local government associations, UN-HABITAT National Programme Managers and regional coordinators.

After the training workshop, the national implementation partners and UN-HABITAT National Programme Managers or regional coordinators will undertake research into existing urban policies, institutional, legislative & financial set-up and other major urban issues through desk studies and interviews.



*The above activities are in line with the Project Document. The only differences that it has been decided to place the capacity building component at the beginning of the profiling exercise for the first phase countries. An evaluation conducted in 2006 found necessary to develop such a training workshop. The first training is scheduled to take place in Nairobi on 15 to 19 December for the Anglophone countries (Malawi, Nigeria, Gambia and Uganda). The workshop will also cater to build capacity for Francophone and Pacific regional coordinators in order to allow them to undertake the same in their regions with the support of the Nairobi Profiling team. Delays were also caused by the preparation of the training workshop. It is however hoped that the training will accelerate the implementation process, as participants have collectively defined action plans for their countries with internalised and clear follow-up activities. Training material to guide national teams throughout the process will be provided.*

#### *Conduct city consultations*

The national implementation teams together with the UN-HABITAT National Officer will be in charge of preparations, facilitation and follow-up activities of the city consultations, with backstopping assistance from regional coordinators, UN-HABITAT regional offices and the Nairobi Profiling team. During the city consultations, the stakeholders will carry out and agree on a SWOT analysis (Strengths, Weaknesses, Opportunities and Threats), priorities and elaborate on them in the form of project proposals which will be reflected in the profiles. The mayors are expected to open the consultations and illustrate their ownership through speeches. Municipalities are to provide conference rooms, catering and equipment.

*The above mentioned activities are in line with the Project Document. The city consultations will take place in all the participating countries and cities where stakeholders will agree on SWOTs, priorities and project proposals. Results will be reported at later stage.*

#### *Complete city profiles*

The consultants and UN-HABITAT National Officers will complete the profiles on the basis of their desk studies, interviews, questionnaires and city consultations, summarising the key findings of each theme.

A total of 54 profiles (18 countries x 3 profiles) are to be compiled. The profiles will reflect all assessed information and will be commented on by the National Steering Committees. The regional coordinators, regional office and the Nairobi Profiling team will review the final results and ensure a high quality of the reports.

The Urban Profiling team at ROAAS with the support of the UN-HABITAT Information Services Section and additional consultants will, as needed, undertake the editing and formatting of the reports. The reports will be published at the UN-HABITAT website and the specifically for the programme purpose designed website. In addition printed reports will be disseminated to all programme partners and stakeholders involved at the global, regional and national as well as city level. Further, during the World Urban Forum in 2010 profiles will be presented and the programme results as well as lessons learnt shared and elaborated.

*The above activities are in compliance with the Project Document.*

## **1.4 Synthesis of city profiles at national level**

The implementation teams will analyse and synthesise the city profiles in order to identify similarities and differences between the cities. Common needs and priorities will be identified and addressed at the national level. Furthermore, additional sources will be researched and included in the profiles so as to reflect current national urban development trends.

### *National assessments*

The national teams, with the backstopping assistance from ROAAS, will develop national profiles through assessments of the existing meetings, interviews and desk studies.

### *National consultations*

After completing the preparatory phase of the national profiles, the national teams will organise national consultation meetings that they will also facilitate. All key stakeholders and Ministries will be invited. To show their commitment, the ministers will welcome participants and open the national consultations. At national level, ministries are expected to provide rooms, catering and equipment.

During these consultations, the stakeholders will agree on key issues, such as SWOT analysis and project proposals.

*The above activities are in compliance with the Project Document. National consultations will be held in each participating country where key stakeholders will be broadly represented. The consultations aim to achieve an agreement among stakeholders regarding earlier assessments, SWOTs and priority actions.*

### *Complete national profiles*

On the basis of the above activities, the national teams will complete national profiles summarising the key city and national findings. A total of 18 national profiles will be completed. The review and publication process will be undertaken in the same way as that of the city profiles.

*The above activities are in compliance with the Project Document. Profiles will be printed, disseminated, and also published on the website.*

## **1.5 Conduct regional analyses and seminars**

The regional synthesis will be undertaken based on the completed national and city profiles. For this activity, regional coordinators, the three regional UN-HABITAT offices as well as the different branches of UN-HABITAT will play a key role.

In addition, implementation partners from the three regions will be invited to participate in the regional synthesis. Participants will be selected based on their performance during the initial national urban profiling.

## **1.6 Printing and dissemination**

The same procedure as for the finalisation of the first batch of reports will be applied for the 18 new ACP countries.

## **Phase 2: Regional Policy Seminars, Capacity Building Workshops, Feasibility Studies and Action Plans**

### **2.1 Implementation strategy**

UN-HABITAT is currently developing the methodology to be applied in the second phase. The implementation will also involve youth and civil society groups from the selected slum areas. Appropriate tools to be used by these groups, such as guiding questionnaires on social and physical surveys, will be discussed and elaborated involving the same groups from the major slums in Nairobi, (e.g. Kibera, Mathare and Kariobangi).

*The biggest challenge faced in formulating the methodology for the second phase is bridging the gap between the first phase on urban sector profiling in 2005 or 2006 and the starting date of the second phase (2009). Since 2005 and 2006, various changes have occurred in a lot of countries: stakeholders and participants have changed, so have the assessed needs in some countries, many of the identified priorities have already been put into action or the political environment is different today.*

*For this reason, an extra module called “Shelter Profiles” has been designed for this special group of countries. The Shelter Profiles will serve to update slum upgrading activities only which can lead to the compilation of feasibility studies and action plans. This new approach has been tested in Malawi, Uganda and Tunisia since the beginning of this year. As a kind contribution from UN-HABITAT to the PSUP, for these countries, extra-funding (of approx. 200.000 US Dollars) could be mobilised by the Shelter Branch to test the methodology as a pilot. A workshop to evaluate the above mentioned approach and tools will be organised soon.*

## **2.2 Conduct regional slum upgrading policy development seminars**

For the second phase, UN-HABITAT is also currently developing a training programme which will include three regional seminars on sustainable slum upgrading. Apart from providing information on the methodology for the feasibility studies and action plans at country level, they will also cover relevant slum upgrading themes.

*The Training and Capacity Building Branch of UN-HABITAT has currently developed new relevant tools on good governance and management for inclusive slum upgrading, local economic development, human resource development, participatory planning and budgeting as well as environmental management. The tools have further been translated into French and Portuguese whereby they have this year been adapted to the African context. Concerning the Francophone countries, this was implemented in Senegal in collaboration with an experienced training institution, ENDA Ecopop. For the Portuguese speaking countries, the exercise was conducted in Rio in collaboration with UN-HABITAT’s regional office and was also adapted to the local context in Mozambique. Through Training of Trainers in DRC, the tool adapted to Senegal and Mozambique is being tested accordingly. This activity was realised in cooperation with the Training and Capacity Building Branch and is also a kind contribution from UN-HABITAT to the Participatory Slum Upgrading Programme.*

## **2.3 Conduct six capacity building workshops**

As part of developing the methodology of the second phase, a training and capacity building programme was put in place with active contributions from UN-HABITAT’s Training and Capacity Building Branch.

## **2.4 Conduct slum upgrading feasibility studies (*points 2.4 – 2.6 in the implementation schedule*)**

After the methodology has been finalised, a programme launch similar to the first phase will be launched:

- Stakeholder mobilisation
- Set-up national steering committees
- Shelter profiles, assessing information and needs for slum upgrading
- Select slum upgrading interventions and pilot areas
- Agree on implementation modalities
- Train focal points, implementation partners, UN-HABITAT National Programme Managers and regional coordinators in applying the feasibility study and action plan

approach to internalise the Participatory Slum Upgrading Programme's concept, tools and techniques

After preparations for implementation, following steps will be undertaken:

- Develop feasibility studies action plans together with stakeholders and target groups
- Conduct detailed socio-economic and physical condition surveys for the selected slum upgrading area and priority activities
- Complete analysis of socio-economic and physical surveys
- Design feasibility studies of pilot projects through a participatory and consultative approach
- Design action plans for upgrading and institutional support
- Design capacity building action plans for local actors targeting key local stakeholders through support from national and local training and capacity building institutions
- Secure funding for the implementation of pilot projects

## **2.5 Joint EC-ACP-UN-HABITAT Conference**

It was decided that the conference will consist of an interaction between two main components: a high-level ministerial meeting and a technical component on the PSUP. Background and other conference documents (presentations, concept papers, budget, etc) will be prepared by UN-HABITAT, with contribution from the ACP Group and the European Commission.

*The conference is planned to take place in May or June 2009.*

## **2.6 Programme visibility**

Since the Joint EC-ACP UN-HABITAT Conference held in Nairobi in 2005, UN-HABITAT has been ready and willing to cooperate with the European Community and the ACP-Secretariat in the fight against urban poverty.. In addition, the European Community gets special recognition for its "Strategic Urban Development Guidelines" as the Urban Sector Profiling approach is partly based on these guidelines, reflecting its values and objectives.

For visibility purposes, UN-HABITAT uses two main channels: the website and the production of print media. Publications are also available through commercial online bookstores such as Amazon.

Currently, a website expert and the UN-HABITAT Information Services Section are developing a website especially for the Participatory Slum Upgrading Programme in ACP countries. This website will be linked to the main UN-HABITAT website.

As previously done with the brochure, content of the website will be shared with both partners, the European Union and the Secretariat of the African, Caribbean and Pacific Group of States, before it is posted for the public. Reports, profiles and events taking place at city, national and regional level will be communicated on the website. In addition to programme launches and developments linked to the programme at national and city levels, the press will be invited to constantly report on the Participatory Slum Upgrading Programme.

- Several presentations of the programme globally (to the World Bank, during African Ministers of Housing and Urban Development (AMCHUD), different donors and partners), side event during the past Governing Councils and World Urban Forum.

- Press release on the UN-HABITAT website
- Presentation during the World Habitat Day in Mali, Malawi, Nigeria etc. (recognition in local press)
- Development of a PSUP brochure (to be approved by EC and ACP) that gives an introduction to the programme and acknowledges EC and the ACP Secretariat.
- All the Urban Sector Profiles include an acknowledgement in UN-HABITAT's Executive Director's foreword and the logo on the cover page.
- Approach discussed and elaborated with international high-level experts during UN-HABITAT's Expert Group Meetings.
- Involvement and partnerships with different academics communicating the Participatory Urban Slum Upgrading Programme and its EC based methodology worldwide.

# CONDITIONS OF IMPLEMENTATION

The following paragraphs describe the conditions of implementation, referring, to the assumptions made in the original Project Document (noted as assumptions in the logical framework).

## **1. Political and institutional support from governments to the PSUP process**

Since its launch, the programme has benefited from political and institutional support of the governments of countries involved in the programme's the first phase. Governments understood the benefits of well conducted urban assessment studies and therefore, committed to the process.

However, during the implementation stage of the first phase in the 12 initial African countries, UN-HABITAT noted that in some of the participating countries, initial interest in Programme subsided with time. Consequently, UN-HABITAT decided to concentrate on improving the methodology first and then invite all stakeholders, particularly government and municipality focal points, to a training workshop in order to get their full commitment and ensure that they understood the entire process and its relevance. The same procedure is planned for the second phase.

## **2. Relative stability in the regions where activities take place**

Relative stability in the participating countries is a key factor for a successful implementation process. For example, developments in the DRC need to be observed closely before commencing the second phase. Generally, elections also have to be considered before starting activities in the participating countries. This is further illustrated by developments in Ivory Coast where UN-HABITAT decided to halt implementation of the first phase, taking into account the election. .

## **3. Full collaboration and support of local and national partners**

Similarly, as discussed above in 1, the full collaboration and support of local and national partners is important. As, the Participatory Slum Upgrading Programme promotes a comprehensive and participatory approach, It must be ensured that apart from compiling reports, real changes can also be initiated by involving all relevant stakeholders. For this reason, initial training for the two phases is crucial. The Potential and benefits and outcomes of the programme's successful implementation will be shared and elaborated collectively with all main stakeholders involved.

## **4. Timely completion of activities as per work plan**

The originally planned activities are experiencing delays due to the following reasons: 1) an adaptation of the programme based on the experiences in the 12 African countries that have completed the first phase. 2) The grant was received in 2008 based on the proposal designed in 2005 which also means that new staff members had to undergo induction to the programme.<sup>6</sup> 3) 11 out of the 18 countries in the first phase are without national UN-HABITAT staff and focal points. 4) Lastly, there have been a number of unforeseen activities such as resource mobilisation efforts to increase the implementation impact from the beginning.

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<sup>6</sup> The development of the initial training workshop and methodology package to better guide implementation partners through the two phases is a new additional activity.

# ACHIEVEMENTS TO DATE

## **1. Awareness-raising on sub-regional, national and local urban development issues**

National and local authorities willing to participate in the programme have been sensitised on the need for an integrated approach to urban issues to ensure sustainability. Authorities have also become aware of the existence of the EC guidelines: “Towards Sustainable Urban Development”, a variety of UN-HABITAT tools and approaches, as well as the importance of integrating all the elements of sustainability; social, environmental and economic development in the format of a pro-poor approach. Above all, the importance of addressing urban issues in an integrated way, moving away from the piecemeal sector approaches has been realised. The Urban Sector Profiling has already proven its success in raising awareness of urban issues in a systematic and holistic way in the past.

## **2. Inclusion of urban issues in poverty reduction strategies, the United Nations Development Assistance Framework, the Africa Gender Index and other development management tools**

Through the Urban Sector Profiling process, urban issues have gained greater visibility in participating countries. Urban development issues are expected to be included into the existing development management tools, as well as into the establishment of specific urban policies. Through the high visibility of the urban profiles and the easy access to urban development priorities, information can be and was incorporated in Poverty Reduction Strategy Papers and the United Nations Development Assistance Framework documents for the first phase countries. A year ago, UN-HABITAT commenced the production of UN-HABITAT Country Programme Documents. These documents have been elaborated together with urban stakeholders and in countries such as Eritrea, Mozambique, Senegal and Burkina Faso, they have integrated the Urban Sector Profiling priorities. Also, in these countries where the Urban Sector Profiling was applied, the process was accelerated through existing experiences in reporting, assessing and improving awareness of the governments.

## **3. Identification of priority projects and developing project concepts for future implementation at the national level**

The Urban Sector Profiling has led to the identification of priority projects in each of the 12 participating second phase countries. It turned out that slum upgrading projects are a recurring priority in all of the countries. With the second phase, feasibility studies and action plans for slum upgrading interventions most urgent needs will be addressed.

The Following additional activities building upon the Urban Sector Profiling have been initiated:

### *Regional capacity building programme financed by the Spanish Cooperation*

The findings from the first phase processes in Mozambique, Democratic Republic of Congo and Senegal have been used as a basis for a programme with the Spanish Cooperation that focuses on addressing training and capacity building needs at municipal level for improved urban governance, participatory planning and budgeting. The programme was launched in 2007.

### *World Bank*

The World Bank approached UN-HABITAT in 2007 to collectively implement the extended Urban Sector Profiling in Kenya. The World Bank financed the approach in five Kenyan cities:

Nairobi, Mombasa, Kisumu, Nakuru and Eldoret. UN-HABITAT advised on adapted methodology, contracted former implementation partners and gave inputs throughout the implementation process. The draft reports have been finalised recently.

*Continued visibility of the Urban Sector Profiling since 2004*

The Urban Sector Profiling and its first phase have had a considerable amount of visibility in international meetings, consultations and forums; four international meetings (WUF 2006, Governing Council 2005 and 2007 as well as AMCHUD 2008) have been held during 2004 and 2008 to share the findings, regional analyses, lessons learnt and to report on progress of the urban sector profiling as well as on the partnership between the ACP countries, the European Community and UN-HABITAT.



# PROGRAMME OUTLOOK

The programme outlook outlines results to be accomplished in the next six months:

## *Phase 1 – Urban Sector Profiling*

- Publish and disseminate all city and national profiles from the first batch
- Programme set-up through agreements with governments, municipalities and implementation partners framed and undertaken
- Provide training in all the regions and internalise the Urban Sector Profiling approach by partners
- Update, publish and disseminate Urban Sector Profiling implementation tools and guidelines
- Launch City Profiling in all three regions, African, Caribbean and Pacific countries.

## *Phase 2 – Feasibility Studies and Action Plans*

- Develop second phase methodology, provide implementation tools, formulate and finalise guidelines
- Undertake workshop on second phase methodology
- Identify potential partners and activities for the feasibility studies and action plans
- Mobilise stakeholders

## *Other activities*

- Put in place PSUP website
- Establish 6-monthly newsletters– giving updates on implementation status, country experiences (challenges and success) and regional events
- Prepare side events during the Governing Council in Nairobi
- Regional and national resource mobilisation strategy
- Prepare EC-ACP-UN-HABITAT International Urban Conference



# FINANCIAL REPORT