

KEY SLUM UPGRADING MESSAGES

UN-HABITAT SLUM UPGRADING UNIT

(Incorporating the Participatory Slum Upgrading Programme - PSUP)

SDG 11: Make cities and human settlements safe, resilient and sustainable

SDG Target 11.1: By 2030, ensure access for all, to adequate, safe and affordable housing and basic services and upgrade slums

Proposed New Urban Agenda Key Statements for slum and other informal settlement upgrading:

12: We aim to achieve cities and human settlements where all persons are able to enjoy equal rights and opportunities, as well as their fundamental freedoms, guided by the purposes and principles of the Charter of the United Nations, including full respect for international law. In this regard, the New Urban Agenda is grounded in the Universal Declaration of Human Rights, international human rights treaties, the Millennium Declaration, and the 2005 World Summit Outcome. It is informed by other instruments such as the Declaration on the Right to Development.

20: We recognize the need to give particular attention to addressing multiple forms of discrimination faced by, inter alia, women and girls, children and youth, persons with disabilities, people living with HIV/AIDS, older persons, indigenous peoples and local communities, slum and informal settlement dwellers, homeless people, workers, smallholder farmers and fishers, refugees, returnees and internally displaced persons, and migrants, regardless of migration status.

25: We recognize that eradicating poverty in all its forms and dimensions, including extreme poverty, is the greatest global challenge and an indispensable requirement for sustainable development. We also recognize that the growing inequality and the persistence of multiple forms and dimensions of poverty, including the rising number of slum and informal settlement dwellers, is affecting both developed and developing countries, and that the spatial organization, accessibility, and design of urban space, as well as infrastructure and basic service provision, together with development policies, can promote or hinder social cohesion, equality, and inclusion.

27: We reaffirm our pledge that no one will be left behind, and commit to promote equally shared opportunities and benefits that urbanization can offer, and enable all inhabitants, whether living in formal or informal settlements, to lead decent, dignified, and rewarding lives and to achieve their full human potential.

97: We will promote planned urban extensions, infill, prioritizing renewal, regeneration, and retrofitting of urban areas, as appropriate, including upgrading of slums and informal settlements, providing high-quality buildings and public spaces, promoting integrated and participatory approaches involving all relevant stakeholders and inhabitants, avoiding spatial and socio-economic segregation and gentrification, while preserving cultural heritage and preventing and containing urban sprawl.

109. We will consider increased allocation of financial and human resources, as appropriate, for the upgrading and, to the extent possible, the prevention of slums and informal settlements in the allocation of financial and human resources with strategies that go beyond physical and environmental improvements, to ensure that slums and informal settlements are integrated into the social, economic, cultural, and political dimensions of cities. These strategies should include, as applicable, access to sustainable, adequate, safe, and affordable housing; basic and social services; and safe, inclusive, accessible, green, and quality public spaces; and they should promote security of tenure and its regularization, as well as measures for conflict prevention and mediation.

110. We will support efforts to define and reinforce inclusive and transparent monitoring systems for reducing the proportion of people living in slums and informal settlements, taking into account the experiences gained from previous efforts to improve the living conditions of slum and informal settlement dwellers.

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1 BACKGROUND

The new Sustainable Development urban Goal 11 - “making cities and human settlements safe, inclusive resilient and sustainable” and the Target 11.1 “ensuring access to all for adequate , safe and affordable housing, basic services and upgrading slums”, underscore the importance of ongoing efforts to realize the rights of the urban poor and improve the lives of slum and informal settlement dwellers in particular.

UN-Habitat’s proposed New Urban Agenda also highlights the challenge of slums and other informal settlements. It calls for action proposing that urbanization be used as a tool for the inclusion and integration of slum and informal settlement dwellers. As the Executive Director stated:

“The integration of slum upgrading programs with countrywide planned urban development is the sustainable way to make a difference in slum areas of cities”. Dr Joan Clos, Under-Secretary General, United Nations, Executive Director, UN-Habitat.

The estimated 1 billion slum dwellers in the world today must be a rallying call to galvanize efforts to improve their lives and standard of living and focus attention on which approaches will achieve long-term prevention. The central focus of the SDGs on the eradication of poverty through attention to slums and slum dwellers will also feature strongly in UN-Habitat’s forthcoming New Urban Agenda

The aim of this document is to bring together key messages around slum upgrading and prevention, emphasizing important statistics on slums and important global messages on challenges as well what actions are being taken to prevent slums and improve slum dwellers lives. The document also summarizes the key achievements of UN-Habitat’s Participatory Slum Upgrading Programme (PSUP) and highlights important ‘country-level impacts’ identified by those participating in the programme.

2 GLOBAL STATISTICS ON SLUMS¹

- Today, 1.6 billion people live in inadequate shelter around the world; 1 billion of those live in informal settlements and about one in four people live in conditions that harm their health, safety, prosperity and opportunities².
- More than 100 million people worldwide are homeless³.
- By 2030, UN-HABITAT estimates an additional 3 billion people, about 40 percent of the world's population, will need access to adequate housing to ensure their human right to adequate housing. This translates into a demand for 96,150 new affordable and accessible units every day and 4,000 every hour.
- Latest figures show that one in eight people live in slums (881 million⁴) though it is estimated that the global figure is much higher (at least 1 billion) given that in some contexts not all the key indicators of slums can be measured and in most countries, security of tenure is not accounted for.
- The slum challenge remains a critical factor for the persistence of poverty in the world.
- Slums represent the most extreme forms of poverty and exclusion and tend to be more prevalent in developing countries. However, growing research shows that urban poverty in the form of informal settlements is a world-wide phenomenon⁵. Informal settlements are thus not a just a feature of the developing world's urban context but are increasingly found in the developed world, too.
- In spite of great progress in improving slums and preventing their formation – represented by a decrease from 39% to 30% of urban population living in slums in developing countries between 2000 and 2014 – absolute numbers of slum dwellers continue to grow and the slum challenge remains a critical factor for the persistence of poverty and exclusion in the world.
- Since 1990, almost 200 million new slum dwellers have been added to the global population. We believe this to be a conservative estimation given that the statistics are often based on outdated census data and do not include measurements on security of tenure.
- In developing countries, a minimum of 881 million urban residents live in slum conditions. In 1990, this figure was 689 million, representing an increase of 28% in slum dwellers' absolute numbers over the past 15 years, even though the proportion of the urban population in developing countries living in slums has declined from 39% to 30% during the same period.

¹ All statistics except where identified specifically, are taken from the United Nations (2015). The Millennium Development Goals Report 2015 and UN-Habitat (2015). Slum Almanac. Tracking improvement to the lives of slum dwellers

² Habitat for Humanity (2014). Shelter Report.

³ Ibid

⁴ UN-Habitat (2015). Slum Almanac. Tracking improvement to the lives of slum dwellers.

⁵ UNECE (2009). SELF-MADE CITIES: In search of sustainable solutions for informal settlements in the United Nations Economic Commission for Europe region.



- Since 2000, the global slum population grew on average by six million a year. This means an increase of 16,500 persons daily.
- The capacity of slum dwellers to move out of slums remains limited. For example, of the approximately 10 million people added to the urban population of Sub-Saharan Africa each year since 2000, half end up living in slums and only two million can expect to have the opportunity to move to an improved area.
- Every day, 17,000 children die before reaching their fifth birthday. Increasingly, these preventable deaths are occurring in city slums where overcrowding and poor sanitation exist alongside manifestations of extreme wealth⁶.
- Gender is an important consideration in relation to slums. Information provided by countries implementing the Participatory Slum Upgrading Programme shows that in Sub-Saharan Africa at least 20% of the slum households are headed by women.⁷ This concurs with other reports which suggest that the majority of the world's poor are women and the incidence of poverty amongst women is growing over time, linked to the growing number of female headed households⁸.
- The schooling of poor girls living in urban areas continues to be a challenge in many countries around the world and in many instances, these girls reside in slums. Many girls continue to miss educational and other opportunities as an estimated 20,000 girls under the age of 18 give birth every day in the developing world, perpetuating poverty and exclusion as their potential goes unfulfilled.
- Another significant gender impact is that 70,000 adolescent girls die annually from complications from pregnancy and childbirth, with 3.2 million unsafe abortions occurring amongst adolescents each year.⁹
- Understanding of the link between slums and informal settlements and the informal economy is growing. Work undertaken by WIEGO (Women in Informal Employment Globalizing and Organizing) shows that the number of persons employed within the informal sector in many developing countries, significantly exceeds those employment in the formal sector¹⁰.
- In sub-Saharan Africa, for example, informal employment and informal sector employment accounts for a significant share of total non-agricultural employment (ranging from 33 per cent in some countries to 82 per cent in others)¹¹.

⁶ Save the Children (2015). State of the World's Mothers report. The Urban Disadvantage.

⁷ Participatory Slum Upgrading Programme – PSUP (2012), Country data.

⁸ Tacoli, C (2012). Urbanization, Gender and Urban Poverty: paid work and unpaid carework in the city. UNFPA/IIIS.

⁹ UNFPA (2013).

¹⁰ WIEGO (2013). Men and Women in the Informal Economy. Definition: The informal economy is the diversified set of economic activities, enterprises, jobs, and workers that are not regulated or protected by the state. The concept originally applied to self-employment in small unregistered enterprises but is now expanded to include wage employment in unprotected jobs (Chen, M (2012). The Informal Economy: definitions, theories and policies. Working paper No.1).

¹¹ xi. WIEGO (2013). Men and Women in the Informal Economy

3 Key Thematic facts and figures:¹²

Security of tenure and land governance:

- One of the most controversial challenges in slums and informal settlements, due to land speculation and the limited data is the challenge of land and security of tenure. Despite this, it is estimated that there are almost one billion (924 million people) in the urban areas of the world that do not have security of tenure¹³.
- There is a relationship between the growth of informal settlements and slums and the lack of adequate housing and service land. Legal access to land is a strategic prerequisite for the provision of adequate shelter for all¹⁴. The failure to adopt, at all levels, appropriate rural and urban land policies remains a primary cause of inequity and poverty.
- Lack of access to land and precarious security of tenure prevents people living in slums from accessing credit and reduces their motivation to improve their homes and neighborhoods.
- Security of tenure has a negative impact on particular groups living in slums and other informal settlements. In many societies, women and youth have limited rights to land and secure tenure¹⁵. While women produce as much as 60 to 80% of food in the developing world for example, they often do not have sufficient secure rights to the land they farm.¹⁶

Labor and livelihoods:

- One the most vulnerable aspects of life in slums and informal settlements, is job and livelihood opportunities. Urban areas with a high incidence of slums pay a real economic, environmental and social cost which imbalances their prosperity capacity¹⁷ as they don't make the most of their human and economic capital.
- Around 85 % of all new employment opportunities around the world occur in the informal economy¹⁸ which is the predominant employment sector in slums and other informal settlements.
- Particular groups are significantly connected with the fortunes of the informal economy in slum and other informal settlement environments.
- Young people living in slums are particularly affected by the lack of job opportunities, more than a quarter of the young urban poor earn little more that 1.25 USD a day.¹⁹

¹² All statistics except where identified specifically, are taken from the United Nations (2015). The Millennium Development Goals Report 2015 and UN-Habitat (2015). Slum Almanac. Tracking improvement to the lives of slum dwellers

¹³ UN-Habitat (2003) estimates in Security of Land Tenure.

¹⁴ Article 75 of the Habitat Agenda

¹⁵ UN-Habitat Global Land Tool Network.

¹⁶ Landesa: <http://www.landesa.org/wp-content/uploads/2011/01/landesa-factsheet-landesacenter.pdf>

¹⁷ J.Herrera and others(2012), Informal Sector and Informal Employment, Women in Informal Employment (WIEGO)

¹⁸ Un-Habitat(2011), State of the World's Cities

¹⁹ UNESCO(2012), Education for All Global Monitoring.

- The informal sector is the primary source of employment for women in most developing countries. In some countries in sub-Saharan Africa like Benin, Chad, the informal sector counts over 95 % of women workers outside agriculture.²⁰
- The proportion of women workers in the informal sector exceeds that of men in most countries. The danger for those women is the lack of social protection, worker benefits and health insurance, and typically works under irregular and casual contracts.

Water and sanitation²¹:

- Whilst between 1990 and 2015, the proportion of the global population using an improved drinking water source has increased from 76% to 91%, there are remain at least 1.8 billion people globally who use a source of drinking water that is faecally contaminated and 2.4 billion people that lack access to basic sanitation services, such as toilets or latrines²².
- Water scarcity continues to affect more than 40% of the global population and is projected to rise. Over 1.7 billion people are currently living in river basins where water use exceeds recharge.
- Water and sanitation deprivations affect particular groups in slums and other informal settlements significantly. Limited access to sanitation in slums brings forward the specific problems that women face such as the non-availability of hygiene services which prevents them from maintaining their self-respect and social reputation, the worries about physical safety for themselves and their children and the social stigma attached to living in informal settlements.²³ Each day, nearly 1,000 children die due to preventable water and sanitation-related diarrheal diseases. Research shows that sanitation is the single most cost-effective major public Health intervention to reduce child mortality in poor areas.²⁴
- The United Nations estimates that \$10 to \$30 billion a year is required to provide minimum water services to all.²¹
- The global economic return on sanitation spending is estimated to be at least US\$ 5.5 per US dollar invested.

Overcrowding:

- Overcrowding creates miserable conditions in slums and many other informal settlements which leads to disease and stress and is also hazardous in terms of the way hazards like fire can affect so many so quickly.
- Overcrowding is linked with high occupancy rates and low space per person, cohabitation by families and a high number of single-room units. Slum and other

²⁰Martha Alter Chen, Women in the informal economy, WIEGO.

²¹ United Nations Sustainable Development Goals website: <http://www.un.org/sustainabledevelopment/water-and-sanitation/>

²² Ibid

²³ Urbanization, gender and urban poverty: paid work and unpaid carework in the city- International Institute For Environment And Development United Nations Population Fund (March 2012).

²⁴ World Bank

informal settlements dwelling units are usually overcrowded, with five or more persons sharing a one-room unit used for cooking, sleeping and living.

- Overcrowding also affects access to some key services such as emergency services. The overcrowded conditions usually mean public space and access roads for the fire department, police, ambulances and hospital personnel is very limited.

Structural durability:

- Due to the extreme poverty and lack of planning and official regulation, most structures in slums and other informal settlements are made from poor quality or non-durable materials. Most structures are also not built to promote structural durability. This makes slum and other informal settlements vulnerable to impacts from natural disasters and climate change shocks. Post disaster recovery is also a huge challenge due to the often complete annihilation of settlement areas due to the vulnerability of settlement and other infrastructure.

4 SLUM UPGRADING AND PREVENTION IN THE SDGs and UN-Habitat's New Urban Agenda

- Slum upgrading has been recognized by the SDG's as a key approach to improve the lives of slum dwellers and to improve urban poverty.
- Slum upgrading and prevention directly contributes to the 2030 Agenda's five areas of critical importance for humanity and the planet by 2030: People, Prosperity, Planet, Peace and Partnership and has been identified as a key approach.
- Slum upgrading provides the unique opportunity to act as a bridge between the "unfinished business" of the MDG 7.D "improve the living conditions of 100 million slum dwellers" and the new target SDG 11.1 "By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums". The suggested indicator for this target is "Proportion of urban population living in slums or informal settlements and in adequate housing" and it will be measured by the "slum household definition" (the five slum dwellers' deprivations). This definition was also used by the MDGs to count the number of people living in slums, a definition that also provides the action framework for PSUP.
- Participatory slum upgrading supports the establishment of broad partnerships and platforms that include both slum dwellers as well as key decision makers. Participatory slum upgrading assists to build consensus between all urban stakeholders including communities and empower people in vulnerable situations who experience exclusion, marginalization and discrimination. The approach also starts to lay the foundation for more integrated institutional responses and plans as they serve to improve the lives and standards of living of slum dwellers because their needs and aspirations are better addressed as slum dwellers themselves are part of the whole process. In doing so, their potential is more likely to be realized and enhanced and they can more effectively integrated into the rest of the urban environment.
- Thus slum upgrading becomes a preventative tool as well as the realignment of planning to be more participatory and the integration of institutions for better governance, alongside capacity and skills that are strengthened amongst all stakeholders, helps prevent the proliferation of more slums.
- Participatory slum upgrading represents a principles-based partnership for the achievement of the 2030 Agenda for Sustainable Development while demonstrating through actions on the ground that it is possible to transform the lives of the people living in slums. This can motivate countries to further dedicate efforts and resources to upgrade slums and prevent their formation, aiming at solving this dire problem over the period covered by the 2030 Agenda.

5 LINKAGES TO GOAL 11: THE URBAN Sustainable Development Goal

- Participatory, integrated and sustainable human settlement planning and management (11.3).
- Strengthen efforts to protect and safeguard the world's cultural and natural heritage (11.4).
- 2030, significantly reduce the number of deaths and the number of people affected and substantially decrease the direct economic losses relative to global GDP caused by disasters, including water-related disasters, with a focus on protecting the poor and people in vulnerable situations (11.5).
- By 2030, reduce the adverse per capita environmental impact of cities, including by paying special attention to air quality and municipal and other waste management (11.6).
- By 2030, provide universal access to safe, inclusive and accessible, green and public spaces, in particular for women and children, older persons and persons with disabilities (11.7).
- Support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning (11a).
- By 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015-2030, holistic disaster risk management at all levels (11.b).
- Support least developed countries, including through financial and technical assistance, in building sustainable and resilient buildings utilizing local materials (11.c).

OTHER GOALS AND IN EACH SUB-TARGETS ON ECONOMIC DEVELOPMENT, WATER AND SANITATION, GOVERNANCE AND CROSS-CUTTING ISSUES ARE ADDRESSED BY PARTICIPATORY SLUM UPGRADING

- Transforming lives and partnerships: End poverty in all its forms everywhere (SDG1), Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels (SDG 16), Strengthen the means of implementation and revitalize the global partnership for sustainable development (SDG17)
- Provision of infrastructure and services: Ensure availability of sustainable management of water and sanitation for all (SDG6), Ensure access to affordable, reliable, sustainable and modern energy for all (SDG7),
- Empowerment and equity: Achieve gender equality and empower all women and girls (SDG5), Reduce inequality within and among countries (SDG 10)

6 LINKS TO UN-HABITAT'S PROPOSED NEW URBAN AGENDA (NUA)

- UN-Habitat's proposed New Urban Agenda is designed to ensure a successful implementation of the SDGs and particularly the "Urban SDG". It provides principles and drivers for urban transformation.
- UN-Habitat's Participatory Slum Upgrading principles are closely aligned to the principles and drivers of the NUA with many overlaps and mutual reinforcements.
- UN-Habitat's New Urban Agenda (NUA) is a big picture urban development paradigm that advocates for:
 - 1) the engagement all key urban stakeholders,
 - 2) an integrated approach to urban development across the policy/legislative, planning and financing thematic areas in particular and
 - 3) a city-wide and national urban policy change approach to urban development that reflects a coherent conversation across the scales of the city - incorporating local community assets, aspirations and needs with the city-wide infrastructure and vision.
- There are many points of natural 'convergence' between the spirit (principles) and proposed approaches of the New Urban Agenda and participatory slum upgrading: human rights principles, holistic approach to urbanization engaging all key stakeholders including slum dwellers themselves and adopting a multi-faceted approach to the slum challenge through the 3 legged approach mainstreaming policy/legislation, planning and financial components.
- In setting this agenda, the NUA is attempting to fundamentally challenge the vested interest in urban development that benefits a few - to make cities and towns the positive phenomena for all and thus ensuring that the most poor and vulnerable are part of the inclusive vision and practical programmatic efforts.
- The NUA also suggests that sustainable urbanization can deliver a range of benefits, especially under a decentralization banner where local governments are empowered and financed.
- The benefits include adequate housing, women and youth empowerment, tourism and local economic development opportunities, reduced levels of insecurity and violence and more effective responses to disaster and climate change risks.
- The inclusive, sustainable yet practical approach of slum upgrading helps governments and local communities chart a sustainable path to make the most of the positive elements of urbanization. The capacity of governments to undertake developments which harness the positive elements of urbanization is one of the main points of t the New Urban Agenda.
- Further the "Housing at the Centre" approach of the NUA is closely aligned to participatory slum upgrading as well. The approach advocates for an increasingly active role of governments in the provision of housing in addition to fulfilling their function as regulator and enabler. The adequate provision of housing will be made possible by and in turn influence the proliferation of informal settlements. Slum upgrading can be seen as an important component of housing at the center and a process that organizes many

of the key planning, land, and participatory elements required to facilitate adequate housing.

7 GLOBAL NORMATIVE STATEMENTS

WHY IMPROVING THE LIVES OF SLUM DWELLERS MATTERS

- Economic growth cannot occur without urbanization but urbanization alone is not sufficient to generate economic growth. Urbanization that occurs in unsustainable patterns can actually constrain economic growth. So careful attention must be paid to the vision and manner in which urbanization occurs. Integrated, inclusive and planned interventions that are pro-poor – such as participatory city-wide slum upgrading - are more likely to generate the type of urbanization that results in broad based prosperity.
- Improving the lives of the people living in slums has been consistently recognized as one of the essential measures to end poverty in the world, as reflected by its continuous inclusion as a target in successive global development agendas (MDGs and SDGs).
- Upgrading slums brings fundamental socio-cultural changes towards a rights-based society in which prosperity is available to everybody, making our cities more inclusive, safe, resilient, prosperous and sustainable.
- It is timely and necessary to further upgrade slums and regularize informal settlements for the full recognition of the urban poor as rightful citizens, for realizing their potential and enhancing their prosperity and thus for the prosperity and sustainability of all urban residents.
- It is indispensable to take concrete action which enables the full recognition of slum dwellers as rightful citizens in cities with genuine rights, aspirations, needs and capacity.
- Slums must be considered in any discussion about urban prosperity. Improving their lives has a domino effect – if their potential is realized, the prosperity of the whole city is more likely and sustainable.
- Research shows that those towns and cities with high numbers of slum dwellers and proportions of slum environments, are not only undermining the prosperity prospects of those living in slums - but also the prosperity prospects of all urban dwellers.
- Cities and towns cannot harness the positive aspects of urbanization with large numbers of people living in slums.
- Slums must be viewed as part of a broader city-wide urban development challenge. Slums cannot be addressed in isolation or in the framework of forced evictions but integrated into the broader urban environment.
- Poverty reduction might not be enough to improve the lives of slum dwellers. Research comparing three African city slums suggests that neither human capital nor income appears to fully explain the observed variation in infrastructure access. This finding, if borne out by additional work, presents a substantial puzzle—and challenges the idea that reduction in income poverty is sufficient to improve the lives of slum residents²⁵.

²⁵ World Bank Africa Region (2010). Sumila Gulyani, Debabrata Talukdar, and Darby Jack. Poverty, Living Conditions, and Infrastructure Access: A Comparison of Slums in Dakar, Johannesburg, and Nairobi.

- The dynamics of slums must be understood both in terms of broader structural issues that are impacting on the lives of slum dwellers and in terms of local contexts and particularities that affect slum dwellers in certain places. Research in Africa, for example suggests that there are significant variations in slum contexts and reasons that the challenges facing slum residents vary considerably from neighborhood to neighborhood, and still more from city to city. This heterogeneity raises an important set of social science questions: How do variations in poverty and human capital relate to variations in urban infrastructure? What institutions mediate this relationship? What lessons do better served places offer to places still struggling to meet basic needs? The remarkable variation in the data also suggests an important lesson for policymakers: Interventions must be adapted to local conditions²⁶.
- As long as the current state of affairs in slums persists, slum dwellers are not the only ones who are affected, but their living conditions affect all urban dwellers in the long term.
- Reducing inequalities in the urban context by integrating the people living in slums into the broader urban fabric makes more prosperous and sustainable cities.
- Urbanization is the driver for economic development but slum dwellers are left behind if their issues and concerns are not integrated into urban legislation, planning and financing and investment frameworks.
- The way in which information and knowledge is gathered on the lives of those living in slums is critical. Research by the World Bank in three African cities suggests that multi-sectoral approaches reveal insights that sector-specific studies would almost certainly miss. Efforts to understand urban poverty must recognize multiple dimensions. We show how visual presentations of carefully chosen indicators—grouped into what we term the development diamond, the living conditions diamond, and the infrastructure polygon—can provide a simple yet powerful tool for comparative analysis²⁷.

²⁶ World Bank Africa Region (2010). Sumila Gulyani, Debabrata Talukdar, and Darby Jack. Poverty, Living Conditions, and Infrastructure Access: A Comparison of Slums in Dakar, Johannesburg, and Nairobi.

²⁷ Ibid.

8 WHY SLUM UPGRADING IS IMPORTANT FOR THE CITY / MUNICIPALITY

- A participatory and city-wide approach to slum upgrading is critical. Experience tells us that integration and inclusion result in more gains than the displacement, forced evictions and isolation of slum dwellers.
- A participatory city-wide approach to slum upgrading approaches people living in slums as citizens with assets – in contrast to the forced eviction approach which views them only as problems.
- Compared to relocation and the development of new land, slum upgrading is cheaper and thus an affordable and practical option for Government (Habitat 2003: 130)
- Slum upgrading triggers many associated positive outcomes: it can provide additional work and jobs for local construction companies, therefore encouraging local and small-scale industry.
- Slums contain many positive features desired in 21st Century cities: they are often dense, exhibit a mix of uses and people from different backgrounds and thus have the ingredients for innovative local economic development. The positive aspects of slums should be harnessed.
- The economic innovation and livelihood activities in slums are significant. Slum dwellers create and partake in the local economy and contribute to local economies through their efforts and spending.
- Slums deliver the low-cost labor supply for many services and goods and their living situation supports social and economic innovation.
- Many cities depend on the informal sector as provider of services, such as public transportation, garbage collection, housing – and the informal workers often live in (inner-city) slums.
- Slums have proven to be a catalyst for cultural development. Music, dances, sports, arts and even language developments are all reflected in the harsh environment of slums and should be understood and preserved in any upgrading process.
- The displacement of the slum dwellers has negative consequences for establishing a coherent urban system. Displacement undermines all key social and economic networks that are often critical for livelihood generation which also reduces their capacity to travel to work.
- City-wide participatory slum upgrading can be considered as a resilience measure as it:
 - Builds social resilience against segregation and exclusion,
 - Builds economic resilience against unemployment, under employment and high levels of insecurity and violence,
 - Builds environmental resilience against natural catastrophes.

9 HOW TO IMPROVE THE LIVES OF SLUM DWELLERS (EFFECTIVE APPROACHES)

- The solution to improving the lives of slum dwellers is not eviction but inclusion.
- Sustainable, inclusive and well planned urbanization enables all citizens to benefit from economic growth and prosper.
- Slums' living conditions can be improved as demonstrated by the attainment of the Millennium Development Goal 7 Target 7D. This achievement should motivate countries to further dedicate efforts and resources to improve the living conditions of slum dwellers and to prevent the formation of new slums.
- Harnessing the potential of people living in slums by improving infrastructure and connectivity and supporting livelihood development is the way forward.
- Inclusive, in-situ, city-wide slum upgrading will improve the living conditions for many urban dwellers living in slums and help prevent their proliferation.
- National and local authorities should see slums as priority urban task and dedicate efforts not only in pursuit of enforcing the poor citizens' rights but also to facilitate their economic and social progress and, as a result, to boost the overall prosperity of cities and towns.
- Successful approaches around the world show that sustainable solutions resolve the challenge of slums. This involves the concerted efforts of all stakeholders, including different levels of government, the private sector and slum dwellers themselves.
- A multi-stakeholder effort creates a synergistic environment that encourages the goodwill of the authorities, the engagement of the concerned communities and the better understanding of the urban poverty problem by the general public.
- 'The integration of slum upgrading programs with countrywide planned urban development is the sustainable way to make a difference in slum areas of cities' Dr Joan Clos, Under-Secretary General, United Nations, Executive Director, UN-Habitat.
- 'It is the transformation of our urban landscapes that will enable us to end poverty, to provide basic services, housing, sustainable transportation, and to create an environment in which not only can human rights be actually delivered but also prosperity be available to everybody across the world.' Dr Aromar Revi, Director, Indian Institute for Human Settlements (IIHS).
- The Keys for Successful Slum Upgrading and Prevention within the Framework of the 2030 Agenda for Sustainable Development and the New Urban Agenda includes: (1) Recognition of the slum challenge, (2) Government leadership, (3) Strengthening of a policy response, (4) Systemic and city-wide/'at scale' approaches, (5) Integration of people and systems, (6) Appropriate long term financial investment and inclusive financing options, (7) Address land issues and provide slum dwellers with security of tenure, (8) Participatory approach and community participation, (9) Combine slum upgrading with employment generation and local economic development, (10)

Development of participatory, robust, standardized and computerized data collection processes, and (11) Creating peer learning platforms.

- There is need to devise broad, multinational, concerted and coordinated ways to track the action taken on slums. Country, city and community level information should be collected, integrated and comprehensively analyzed to identify gaps and actions for 'at-scale', 'city-wide' sustainable urban development.
- Greater attention needs to be paid to data collection and information that reflects the lives of those living in slums and informal settlements. Adopting participatory planning processes like area based government-community partnered enumerations are an effective way to gather a range of qualitative and quantitative data to compliment census data. Partnerships with Universities and Government to collect data are also effective.
- Note that the SDG's are calling for a pro-poor data revolution to give us the opportunity to be able to participate, change and organize information around slums and orient the goals to what is really relevant to improving the lives of those living there. 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.
- Improvements to the five slum deprivations will dramatically improve the lives of slum dwellers especially women, young girls and children. Key deprivations like poor sanitation, no access to clean water and overcrowded living conditions greatly affect this group due to the additional safety challenges associated with these deprivations.²⁸

²⁸ UNDESA (2005).

10 GLOBAL ACHIEVEMENTS OF THE PSUP

- In improving the living conditions of slum dwellers, PSUP operationalizes the slum household definition as its action framework and main indicator of achievement, therefore the programme is specifically situated within the scope of the Millennium Development Goal 7, Targets 7.C and 7.D – targets that the programme has contributed to attain – and, due to the same reason, from now on the efforts of the countries implementing PSUP will directly contribute to achieve the Sustainable Development Goal 11 Target 11.1 – target that has the upgrading of slums as part of its mandate as recently sanctioned by ‘Transforming Our World: the 2030 Agenda for Sustainable Development.’
- PSUP is implemented in countries that express and demonstrate commitment to sustainable urbanization and urban poverty reduction since the sustained engagement and institutionalization of local resources, both human and financial, is the only way to effectively bring change to the lives of the world’s urban poor.
- PSUP’s methodological approach aims at fostering country- and collective-ownership over the programme, comprising embracing its principles, approach and tools, endorsing programme outputs and securing the due institutionalization of the necessary measures to upgrade slums and attain sustainable urban development.
- Up to date, the programme has led to the following key achievements:
 - 35 countries implementing PSUP and committed to participatory slum upgrading, revising policy, legal and financing frameworks for housing, land and slum upgrading and prevention, analyzing current living conditions in slums, devising participatory responses and enacting them.
 - PSUP has leveraged almost three times its original funds through indirect and direct country contributions equivalent to 27 million Euros coming from 15 countries.
 - 51 countries signatories of International Declarations proving high commitment to bring policy change to progressively realize the Right to Adequate Housing for all and improve the living conditions in slums (2009, Nairobi; 2012, Rabat; 2013, Kigali Declaration).
 - Creation of National Urban Forums and coordination bodies in 30 countries.
 - 8 National Urban Development and Slum Upgrading and Prevention Policies developed and approved (Burkina Faso, Cameroon, Cape Verde, Fiji, Kenya, Ghana, Papua New Guinea and Uganda).
 - 160 cities understanding their urban challenges with particular focus on slums and slum dwellers through a city-wide, integrated approach.
 - 32 City-Wide Slum Upgrading Strategies integrating slums into the larger urban context through planning and development strategies.
 - More than 800,000 slum dwellers being provided with secure tenure in 9 countries (Burkina Faso, Cameroon, DR. Congo, Ghana, Kenya, Malawi, Mozambique, Niger and Senegal);

- 67,600 slum households targeted for improved housing conditions through physical works concerning water and sanitation, improved durability of constructions as well as public space and access roads.
- 10% of programme funds committed to community-managed projects.
- More than 1200 local and national government, NGO and CBO representatives as well as community members trained and engaged in the inclusive city-wide approach of the programme.
- South-South learning platforms established including IT-based learning and participation platforms, like MyPSUP.org.
- Gender focal points appointed in 35 countries to ensure that all actions are gender responsive.
- 11 countries ready to up-scale the programme with the required financing already in place.

11 GLOBAL and COUNTRY LEVEL QUOTES ABOUT PSUP

- *“The PSUP Programme, as it is being implemented in Les Cayes, is a good example of how local institutional capacity can be built with the right kind of technical assistance.” (A member of the Executive Committee of the CIAT Haiti)*
- *“PSUP has been quite an eye-opener. Before the PSUP I was not even aware that we had slums in our country” (Town Clerk, Mafeteng Urban Council, Lesotho)*
- *“There is a more positive attitude among politicians towards slums...and they now think about the impact of slum clearance.” (Rwanda Country Team member)*
- *“PSUP has helped us bring many urban activities and strategies together. It has organized us provided a framework” (Botswana Ministry of Housing and Land)*
- *“PSUP influenced the urban development policy in Kenya and raised awareness on slums. And there is a real consultative process with communities and ownership. This methodology allows the programme to be packaged, even budgeted as one project.” (Representative of the PSUP Country Team in Kenya)*
- *“The Ministry is largely responsible for the PSUP Initiative. We push for action. It is the Ministry that takes the PSUP to the field. For us, it is also a way of learning.” (Burkina Faso Ministry of Urban Development Team)*
- *“We appreciate the global effort on slums but we want to see actions on the ground and we are looking for things that will impact and change the settlements. For now, it is too much paper work” (representative of the Government in Papua New Guinea)*
- *“Prior to UN-Habitat, the national Government did not address the slum issue. But with UN-Habitat’s support there is a new outlook on slums.” (Delegate, South Haiti)*
- *“For the first time, we saw the people in the slums and not just the environment’. (Head, Urban Planning, Ministry of Housing and Urban Development, Cameroon)*

- *'Slum and informal settlement dwellers have face, a meaning in their own right in the urban environment. Slums are not just a physical place but full of people who actually want to improve their living conditions'* (Head, Civil Engineering, Ministry of Housing and Urban Development, Cameroon)
- *PSUP given us a way to engage people. Before we would do things (urban activities) and then wonder why no one would really take them up but it was because local communities and key stakeholders weren't engaged from the beginning. Now we know how to do it, to engage'* (Town Clerk, Botswana)
- *'There are many different positive activities being undertaken in slums and we started to see more of them through PSUP'* (Director, Urban Operations, Ministry of Housing and Urban Development, Cameroon)
- *'PSUP had shown how to build togetherness, how to consider and include the population and give everyday people a genuine sense that they are part of the urban development process'* (Land Parastatal, Cameroon)
- *"Planning had been very theoretical and orientated towards the physical. PSUP helped give planning a human face and a very practical 'how to' dimension of how to handle slum upgrading"* (Head, Urban Planning, Ministry of Housing and Urban Development, Cameroon)
- *"PSUP convinced us to put slum upgrading at scale and then develop a strategy for it"* (Head, Urban Planning, Ministry of Housing and Urban Development, Cameroon)
- *'The government definition of engagement in planning used to be simply to either inform and pass on information on about already made decisions or simply come and move people with no warning'* (NGO, Cameroon).
- *'PSUP provided a platform that has enabled the community to participate as before this there was no mechanism for them to come together to engage in development issues, to exchange ideas and learning. So where they had fear previously, PSUP has given them confidence and collective solutions developed'* (Local Government, Yaounde 6, Cameroon)
- *'Slum dwellers know what they need and want and have many solutions to bring to the table to the government's challenges so their inclusion is now considered very important'* (Head, Civil Engineering, Ministry of Housing and Urban Development, Cameroon).
- *"PSUP has given Cameroon an opportunity to see things differently in regard to slum upgrading"* (Head, Urban Planning, Ministry of Housing and Urban Development)
- *'PSUP provides a small laboratory to test Cameroon's capacity'* (Head, Civil Engineering, Ministry of Housing and Urban Development, Cameroon).

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