

DELIVERING THE SDG'S AND THE DRAFT NEW URBAN AGENDA

ENTRY POINTS AND RECOMMENDED PRINCIPLES AND ACTIONS

SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable.

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



Draft 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.

103: We will integrate inclusive measures for urban safety, and crime and violence prevention, including terrorism and violent extremism conducive to terrorism, engaging relevant local communities and non-governmental actors, where appropriate, in developing urban strategies and initiatives, including taking into account slums and informal settlements, as well as vulnerability and cultural factors in the development of public security, and crime and violence prevention policies, including by preventing and countering the stigmatization of specific groups as posing inherently greater security threats.

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INTRODUCTION

The draft New Urban Agenda (10th September 2016) is being drafted to guide the United Nations system-wide approach to sustainable urbanization post the 2015 development agenda. Its broad arguments, principles and approaches reflect UN-Habitat's research (such as the global reports) plus the Agency's extensive practical experience in urban development. In essence, it argues that there are 'better' ways of achieving inclusive, transformative urbanization than others – and these approaches involve adopting certain sustainable and inclusive principles and actions based on a human rights based approach (13a, 28). The central theme of the New Urban Agenda is that:

1) Sustainable and inclusive urbanization has a positive outcome for all urban citizens. Urbanization is actually a tool for delivering more equitable development and not just an outcome of it. And despite the associated range of challenges that urbanization brings (which often can be planned for), it should be used to improve the lives of all urban dwellers, with a focus on how it can benefit the poor and vulnerable in particular.

2) Given urbanizations' potential to transform and improve lives, especially those of the urban poor, clear and active efforts should be made to develop urban policies and undertake urban planning, to achieve a greater urban good and equitable benefit.

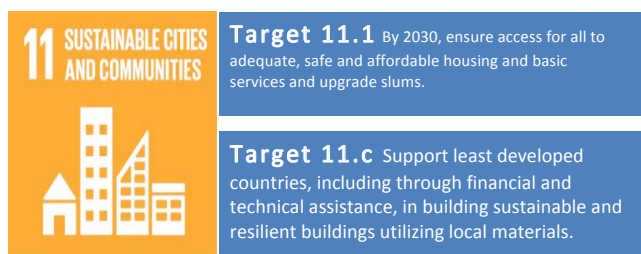
The power of urbanization has also been recognized in the key global development framework –the Sustainable Development Goals (SDG's) with a specific Urban Goal (11). Within this goal, Target 11.1 speaks directly to the critical role that slum upgrading must play in delivering sustainable urbanization. It is therefore clear that participatory slum upgrading is a comprehensive tool for urban poverty reduction for both the 2030 Agenda and the New Urban Agenda.

This document outlines how inclusive city-wide slum upgrading directly delivers the draft New Urban Agenda and Target 11.1 of the SDG's (see Figure 1). It shows how the proposed principles and levers of the New Urban Agenda are incorporated in inclusive sustainable slum upgrading. It then presents a set of recommendations on how elements of the New Urban Agenda specifically can enrich participatory and inclusive approaches to slum upgrading and how slum upgrading can deliver sustainable urbanization and prosperity for all.

THE SUSTAINABLE DEVELOPMENT GOALS (SDG'S)

In transforming the lives of slum dwellers, participatory slum upgrading lies at the heart of the 2030 Agenda for Sustainable Development via its goals, targets and indicators¹. The SDG's make specific reference to the role of urbanization through Goal 11 and Target 11.1 specifically highlights the upgrading of slums, improvements to the provision of adequate housing and basic services as the critical entry points to achieve inclusive and sustainable urban environments. The said Agenda also speaks to the importance of improvements to the five slum household deprivations (access to water and sanitation (Goal 6), durability of dwellings (Target 11c) and security of tenure (Target 1.4) as well as other key additional considerations for slum and informal settlements: livelihood generation opportunities (Goal 1, Targets 1.1, 1.2 and 1.4), access to public space and safety (Target 11.7).

Figure 1: Key SDG goals and targets for slum upgrading



1 SDG 11 and its Target 11.1 are a clear call to address informality and an endorsement that well managed urbanization can play for improving the lives of slum and informal settlement dwellers. At the same time, the 2030 Agenda proposes a particular approach to urbanization and thus slum and informal settlement upgrading. Goal 11 and other Goals (1, 6 and 17 for example) call for the re-prioritization of a human rights based approach.
SDG 11 - Make cities and human settlements inclusive, safe, resilient and sustainable
SDG 1 - End poverty in all its forms everywhere
SDG 6 - Ensure availability and sustainable management of water and sanitation for all
SDG 17 - Strengthen the means of implementation and revitalize the global partnership for sustainable development

DRAFT HABITAT III OUTCOME DOCUMENT (DRAFT NEW URBAN AGENDA)

The fortunes of slum and informal settlement dwellers are also central to the draft New Urban Agenda and a fundamental part of the 'call for action' (20). Anchored clearly within a human rights framework addressing the right to an adequate standard of living (12, 13a), the right to adequate and affordable housing (14a), freedom from discrimination (13a), the protection and promotion of the rights of specific groups of the population (and no forced evictions (31).

The draft New Urban Agenda is a big picture urban development paradigm that is advocating for city-wide at scale change. It promotes the involvement of all key urban stakeholders – from government departments, private sector actors to slum dwellers themselves, it emphasizes an integrated and holistic approach to urban development across the policy/legislative, planning and financing thematic areas in particular (24).

It is based on the learning from past approaches and lessons learnt from Habitat II. In relation to slum and other informal settlement upgrading, for example, evidence shows that forced evictions are not the answer to sustainable urbanization. This approach ultimately results in a range of short and long term impacts and costs. Scale and context are critical. Large urban renewal projects that do not have a strong participatory process, cannot accommodate local specificities or create connections and synergies across the urban scales (incorporating local dynamics with broader urban activities, processes and infrastructure), have had limited success. At the same time, small scale upgrading projects that are not connected to the rest of the urban environment might achieve useful local impacts but do little to leverage both the assets of slum dwellers and integrate them into the rest of the urban context - or vice versa. They do little to effectively address the daily increase in numbers of those forced to live in slums and informal settlements for example. Moreover the gains of such isolated site specific upgrading projects run the risk of being overrun by speculative land and housing markets given the scarcity of serviced land in many urbanizing contexts. Finally, research shows that those urban centres with a significant proportion of slums and informal settlements have their capacity to promote sustainable urbanization dramatically reduced as all urban dwellers are negatively affected by the informality dynamic.

In presenting a road map for urbanization, the New Urban Agenda is therefore attempting to fundamentally challenge a "business as usual approach", the vested interests in urban development that benefits a few - to make cities and towns the positive phenomena for many. It promotes a positive message that urbanization is a tool for sustainable urbanization- rather than just an outcome of it. Supporting the SDG's call to include vulnerable groups (leave no-one behind, end poverty in all its forms and dimensions – 14a), the New Urban Agenda asks stakeholders to rethink urbanization and to adopt integrated inclusive approaches (Section 9, 13b) anchored across all levels of government and sectors, and supported by evidence-based policy, legal, planning and financial instruments (15c). It suggests that when urbanization is undertaken in an inclusive and integrated fashion via integrated planning for example, (15 c ii, 98, 99) that also includes the most vulnerable in towns and cities, a broader benefit – rights, social, economic and cultural (Section 10) – are achieved and a viable path to sustainable and equality based urbanization is more likely (Sections 11 and 12).

So from a New Urban Agenda perspective, slums and informal settlements are recognized as symptomatic of growing inequalities (25). In order to integrate them and prevent their proliferation, policies must acknowledge the slum and informality challenge and then engage all relevant stakeholders across sectors, reflecting a spatially, physically and socially integrated policy response and tangible development outcome.

Reflecting the call of the SDG's Target 11.1 to upgrade slums, the New Urban Agenda acknowledges that slum and informal settlement upgrading must be a key tool to promote sustainable urbanization (97). Furthermore, that all geographic areas, including the peri-urban and the slum areas, must be understood and connected, all sectors and actors must be recognized as playing a part. Legislative and regulatory frameworks must be reviewed and entry points established or reform processes commenced to support the evidence-based policy (which is informed by the slum and adequate housing challenges). In order to specifically improve the fortunes of the most poor in urban contexts, the New Urban Agenda calls for action on slums and other informal settlements that is both physical - and focused on the 5 slum household deprivations (Section 13a, 14a) - as well as other key components including climate resilience (13g, 79, 80, 101), adequate and safe public space (37, 39, 53, 67, 100) and socio cultural and economic dimensions - improved

livelihood generation opportunities (34, 43, 56, 57, 59) and cultural expression (124, 125). At the same time, the Agenda calls for a 'housing at the centre' approach to give focus and resources to the incremental provision of adequate housing for all across all scales of the urban environment (section 13a, 31, 32, 33, 46) and also makes clear that local governments should be empowered and engaged, with strategies (15b, 91), participatory planning endeavors (81) and financing (15c iv) to enact urban policies (15c i) incorporating participatory city-wide slum upgrading.

The connected and inclusive mandate emphasized in the New Urban Agenda promotes a broad vision of the 'right to the city' but also gives a practical template to guide action. No urban context develops by chance or in isolation. No urban dweller is successful as an individual and the poorest and most vulnerable are a reflection of a city's health and a society's wellbeing. Cities and towns work best when genuine attempts to include all are made. The fundamental premise of a human rights approach is thus at the core of the New Urban Agenda (12, 13a, 28).

In relation to slum and informal settlement upgrading specifically (105-112) and incorporating urban renewal approaches (97), this call re-emphasizes a people-centred (15c, 16, 26), participatory (13b) upgrading approach that supports the establishment of broad partnerships and helps to create a more sustainable urban environment. It calls for climate resilient slum and informal settlement upgrading, sensitive to the often hazardous, vulnerable and exposed location of slums (13h, 77, 79, 80). It calls for the engagement and consensus between all urban stakeholders including affected communities and specific mechanisms to empower the vulnerable and marginalized, thus contributing to fostering integrated and peaceful communities. The provision of security of tenure (35), combined with adequate basic services (120, 122) and affordable housing (31, 32, 33, 46, 105, 106, 107, 108, 112) and improving the living conditions of millions of global slum dwellers is considered as both a 'right' and 'mechanism/instrument' for sustainable urbanization through the positive outcomes that emerge from adequate shelter and the improvements made to livelihoods and economic growth (34, 43, 56, 57, 59). As mentioned previously, housing in its broadest conception, is considered at the 'centre' of the urban transformation agenda (13a, 31, 32, 33, 46).

KEY RECOMMENDATIONS FOR USING THE DRAFT URBAN AGENDA TO INFORM PARTICIPATORY CITY-WIDE SLUM UPGRADING

The New Urban Agenda has significant implications for how slum and informal settlement upgrading and urban renewal are approached. It comes at an important moment to reflect on practical actions which can be taken to improve the lives of the estimated 1 billion plus slum dwellers. In light of the above discussion, the following key recommendations can be made in terms of how to use the New Urban Agenda approaches to guide more sustainable inclusive slum upgrading:

PRINCIPLE: HUMAN RIGHTS BASED APPROACH FOR INCLUSIVE DEVELOPMENT (13a, 28)

KEY ACTIONS:

- Make human rights the guiding principle and approach to slum upgrading.
- In particular, adopt a Human Rights Based Approach (HRBA) which provides a framework for:
 - understanding the actual conditions of exclusion and poverty in slums and other informal settlements as well as the positive dimensions (livelihood generation activities, local economic development) that should be preserved and integrated into the rest of the urban fabric.
 - the development of rights based frameworks to guide inclusive and integrated slum upgrading (policies, participatory slum upgrading strategies, broader and specific plans).
 - guiding practical infrastructure and other projects to deliver tangible improvements to the lives of slum and informal settlement dwellers (participatory processes, design and management of infrastructure development).
 - recognizing and understanding the depth and breadth of discrimination and exclusion of different groups within the slum and informal settlement context. For example, women and other sub-groups considered vulnerable, become the core focus of both processes and outcomes in slum upgrading and in terms of data collected and infrastructure development.

PRINCIPLE: URBANIZATION FOR INCLUSIVE DEVELOPMENT

KEY ACTIONS:

- Consider slum and other informal settlement upgrading as part of broader urban planning and project development mechanisms which promote inclusive urbanization and as a specific trigger for the positive development of dilapidated areas and the inclusion of marginalized groups.
- Focus on the positive dimensions of slums and informal settlement dwellers using the city-wide strategy to harness their skills, knowledge and capacity in key phases of the upgrading cycle (participatory enumeration and planning to community building contracts in physical infrastructure works) and in key all sectoral activities (how basic services, economic development, cultural and social capital preservation).

PRINCIPLE: SCALE AND INTEGRATION FOR INCLUSIVE DEVELOPMENT (11, 15c iii, 51, 95, 96, 99)

KEY ACTIONS:

- Acknowledge and work with the various scales of urbanization (local, city, regional and national): recognize that informality, represented most dramatically by slums and informal settlements, must be addressed at all scales both in terms of policy and planning (national, regional, municipal and local), sectors (land, transport, economic development, basic services) and in terms of development activities (local/ community, city, regional including peri-urban areas).
- Make scale a key dimension of analysing current governance arrangements, key stakeholders and actors and thus in the development of a city-wide slum upgrading strategy. This can help mitigate some of the negative elements of scale such as spatial segregation and service deficits in some urban areas.

PRINCIPLE: PEOPLE CENTRED (15c, 16, 26) AND CAPACITY DEVELOPMENT AND LEARNING (102, 146, 155) APPROACHES TO PROMOTE INCLUSIVE DEVELOPMENT (13b, 48)

KEY ACTIONS:

- Ensure people and their associated needs and aspirations,

lie at the heart of approaches to legislation and regulation, planning and financing mechanisms for integrated inclusive urbanization.

- Ensure the participatory city-wide slum upgrading strategy are people centred across all phase using processes such as participatory enumeration surveys and planning processes, budget lines for community finance and managed funds.

PRINCIPLE: HOUSING AT THE CENTRE (31, 32, 33, 46, 105, 106, 107, 108, 112) FOR INCLUSIVE URBANIZATION

KEY ACTIONS:

- Place housing at the centre of policies and actions to urbanization and as a critical guiding framework for participatory city-wide slum upgrading strategies. This means adopting the mind-set that shelter and housing sit within a broader set of closely inter-related dynamics and associated realities (social networks, family responsibilities, livelihood generation and transport connections, safety, overall spatial relationships to services and facilities) which must be considered when focusing on housing developments.

PRINCIPLE: INFORMATION FOR ALL FOR A DATA REVOLUTION (DATA COLLECTION AND KNOWLEDGE EXCHANGE PLATFORMS) (104, 158, 159, 160)

KEY ACTIONS:

- Reinvest and prioritize data collection, learning platforms and capacity development in harnessing the benefits of urbanization. This includes both qualitative and quantitative data secured via participatory processes and underpinned by enquiry that values socio-cultural dimensions of slum dwellers.

- Use data collection methods that capture the experiences of marginalized groups within slums and other informal settlements such as those of women and girls.

- Identify and empower institutions and partners to form country and city-level data collectives and hubs based on information related to the 5 slum household deprivations and other key topics such as the informal economy and livelihood generation, safety. Data collection should incorporate monitoring mechanisms.

PRINCIPLE: GOOD GOVERNANCE LINKING POLICY, LEGISLATION, PLANNING AND FINANCING

KEY ACTIONS:

- Use the development of a participatory, city-wide slum upgrading strategy to review policy and regulatory frameworks and financing mechanisms for slum and informal settlement upgrading. Ensure that all key plans have an integrated focus on including slums into the broader urban context.
- Use the development of a participatory, city-wide slum upgrading strategy to strengthen the manner in which key government departments work together. The formation of a country team can assist in building a multi-stakeholder platform which provides a real life example of how institutions can work collaboratively for an effective outcome.
- Review current regulatory frameworks to ensure a no forced evictions approach (111) and to ascertain any discriminatory or inadequate regulations (111).

HOW UN-HABITAT'S PARTICIPATORY SLUM UPGRADING PROGRAMME (PSUP) RESPONDS TO THE DRAFT NEW URBAN AGENDA

UN-Habitat's Participatory Slum Upgrading Programme (PSUP), is an approach that aims to address uneven and unequal urban development most dramatically represented in urban centres by slums and other informal settlements. It engages and puts all key urban stakeholders at the centre of the upgrading process – this includes all levels of government, community representatives, civil society, non-governmental organizations, academia, private sector and, especially, slum and informal settlement dwellers. This multi-stakeholder platform is considered more likely to promote the necessary partnerships, inclusive governance arrangements, integrated institutional structures and financing options which result in inclusive planning and sustainable outcomes. Slum and informal settlement dwellers in particular, have important knowledge, skills and capacity to contribute, direct and own the upgrading process. An inclusive approach towards the improvement of their living conditions brings the necessary mind-set change, institutional and planning linkages that facilitate the integration of slum dwellers and fosters sustainable urbanization for all.

The PSUP approach is based on the recognition that slum dwellers have 'rights to the city' as well as contributions to make which benefits all. Slum and other informal settlement upgrading is an important strategy for improving living conditions and harnessing those skills and capacities of those living in slums and integrating them into the rest of the urban context. The programme applies five strategic and integrated interventions:

- Generating evidence based knowledge on slums and enhancing the capacity of stakeholders to contribute to strengthening policies and developing inclusive city-wide plans.
- Improving governance and slum upgrading structures by strengthening collaborative linkages across sectors and across stakeholder groups including slum dwellers, and horizontally incorporating all levels of government.
- Promoting participatory urban planning and design strategies that guide safe, resilient and sustainable urban growth and renewal within a city-wide action-oriented framework.

- Facilitating strategic partnerships between national authorities, local authorities and slum dwellers on one hand, and institutions that are able to tailor appropriate pro-poor financial mechanisms for sustainable slum upgrading.
- Guiding implementation of community driven, integrated and strategic slum upgrading interventions.

Reflecting the call of the SDG's to end poverty and the specific Goal 11 to make cities and human settlements inclusive, safe, resilient and sustainable by upgrading slums (Target 11.1) and the action areas of the Draft New Urban Agenda (105-112), PSUP represents an approach to deliver many of the objectives of the SDG's and delivers three fundamental impacts:

1. It changes mind-sets towards a more positive and inclusive view of slum dwellers and slums,
2. It triggers inclusive pro-poor urban policy and regulatory framework development,
3. It strengthens governance and institutional arrangements towards a more integrated and engaging model and,
4. It contributes to citywide planning processes and connects unplanned settlement to city development plans,
5. It delivers tangible improvements to the environment and the livelihood opportunities for slum dwellers,
6. It provides options of financing models and leverages investment in slums and long-term vision as well as the capacity to deliver participatory slum upgrading,
7. It provides platforms for peer, South-South-, North-South- and Triangular partnerships and learning.

Since its inception in 2008 and partnership with the European Commission and the African, Caribbean and Pacific Secretariat, PSUP has reached out to 35 ACP countries and 160 cities, and has provided the necessary enabling framework for improving the lives of at least 2 million slum dwellers.

The table below shows how the PSUP delivers on the Draft New Urban Agenda principles as outlined in section 14 of the proposed draft (September 10):

DRAFT URBAN AGENDA PRINCIPLES (SECTION 14)	APPROACH AND TRACK RECORD of UN-HABITAT'S PSUP
a) Leave no-one behind/end poverty for all	YES
Poverty eradication	Equips member states with strategies and approaches, including institutional mechanisms to directly address the poverty in slums and informal settlements for improved urban sustainability
Equal rights and opportunities	Adopts a Human Rights Based Approach (HRBA) across all programmatic efforts and provides partners with key tools to improve the lives of slum and informal settlements. Ensures the representation of all stakeholders including slum dwellers, in the management of projects via diverse Country Teams. Provides the tools to address the vulnerabilities of key subgroups including women and youth.
Socio-economic and cultural diversity	Equips stakeholders to understand the cultural and socio-economic dynamics within slum and informal settlement areas using the HRBA analysis approach in the profiling processes. Supports key thematic activities (livelihood generation, social infrastructure, public spaces) and outcomes through the development of the city-wide slum upgrading strategy and community driven interventions through the community managed funds.
Integration in the urban space	Adopts a city-wide approach to slum upgrading incorporating all key scales of the urban environment. Provides tools to strengthen governance arrangements and the sectoral integration of departments and plans for improved urban development and the integration of slums and informal settlements into the broader urban context.
Enhancing livability	Equips stakeholders through the city-wide slum upgrading strategy to deliver improved urban environments for slum and informal settlement dwellers in the form of better basic service infrastructure, security of tenure, community facilities, safe public space.
Promoting safety	Is considered a core theme. PSUP equips stakeholders to understand key safety challenges through the profiling process (especially the gender component), action planning is delivered through the planning design recommendations and city-wide strategy and tangible improvements to spaces made through the community managed funds and building of local infrastructure.
Providing access for all to physical and social infrastructure and basic services	A core thematic area. Service and infrastructure deficits understood through the Country Team and profiling process, improved integrated planning connecting slums to the broader urban environment achieved through the city-wide strategy and tangible improvements delivered through the local physical projects
Providing adequate and affordable housing	A core thematic area. Housing and security of tenure challenges captured via the Country team and profiling process, including reviews of housing policy and low income housing schemes as well as providing housing models and improvement techniques. The city-wide strategy delivers actionable plans for improved adequate and affordable housing and action on security of tenure often results in community led improvements.
b) Sustainable and inclusive economies	YES
Leveraging the agglomeration benefits for all	Equips stakeholders with the principles and agenda (city-wide slum upgrading strategy) to promote inclusive and integrated economic development.
Promoting full and productive employment and decent work for all	Improving livelihood generation activities and integrating local economic development into broader urban processes and infrastructure is a core theme. The profiling process raises awareness of local economic activity, especially in the informal economy which can be harnessed effectively through the city-wide strategy and practical action through local project implementation and the community managed funds.
Equal access for all to economic and productive resources	The focus on livelihood generation, appropriate and safe public spaces, improved basic infrastructure all help improve access and engagement for slum and informal settlement dwellers to economic and live sustaining resources.
Equal access to security of tenure	A core thematic area. Security of tenure challenges captured via the County team and profiling process including reviews of land management policy and systems. PSUP promotes a continuum of security of tenure approaches incorporating local traditional norms and practice and equips stakeholders with information and capacity development opportunities. The city-wide strategy delivers actionable plans for improved security of tenure.

DRAFT URBAN AGENDA PRNCIPLES (SECTION 14)	APPROACH AND TRACK RECORD of UN-HABITAT'S PSUP
c) Environmental sustainability	YES
Sustainable land use	Environmental sustainability a core theme. Sustainable land use captured by country teams and profiling process and also related to broader urban dynamics considering environmental and economic factors. The city-wide slum upgrading strategy enables sustainability actions to be developed and enable improved integrated planning to take place.
Building urban resilience and reducing disaster risks	Equips stakeholders with knowledge and planning tools to promote understanding and action on climate resilience. The community managed funds promote local community driven action to strengthen local resilience.
Mitigating and adapting to climate change	Equips stakeholders with a new mind-set for advanced planning. The focus on climate resilience requires improved institutional responses and action planning which builds skills, knowledge and capacity to respond. The learning is transferred from PSUP to other development projects and planning processes.

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