

SLUM UPGRADING

Tools and Instruments to Regularise Informal Settlements

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Total contact hours: 16.5 hours

Introduction to the Module

Informal settlements are becoming a socially and politically explosive problem in cities of the developing world, assuming a magnitude never seen before. Informal settlements account for more than 50% of the urbanised area in cities like Cairo, Dar-es-Salaam, Manila and Lima, just to mention a few. According to the UN Global Report on Human Settlements 2003, 924 million people, or 31.6% of the world's urban population lived in slums in 2001 and forecasts indicate that it will increase to 2 billion people in the next 30 years if no concrete actions is undertaken. Many of these settlements are situated on prime land. Poverty, ineffective government policies and constraining regulatory systems, coupled with malfunctioning land and housing markets, are associated with this phenomenon. Deteriorating environmental conditions, social distress and increasing urban violence are driving local governments to pursue policies of upgrading and settlement regularisation that aim at the physical, juridical, social and economic integration of these areas into the formal city. Tenure regularisation and issuing of property rights are often a difficult target to meet. The land, housing and real estate market is another driving force to integrate these areas into the formal market. The problem is complex. It involves many different actors and government intervention at the legal, institutional, financial and programme management levels. This module will address these dimensions of the problem and will develop skills and instruments to effectively respond to the challenges of regularisation. It will provide participants with the opportunity to develop specific planning and management instruments and participatory tools to address the problems of informal urbanisation. The module is designed in such a way that participants will be first introduced to the major concepts, issues and questions related to informal housing processes, local government policies and the planning and execution of concrete interventions. This will be further illustrated by a number of case studies and a practical exercise that will allow the participants to confront issues and concepts with real life situations.

Session 1:

Rationale of Informal Urbanization

This session makes an in-depth review of informal housing processes and the development of informal settlements within an international context providing a wide range of references from various countries. The session builds up an understanding about the underlying causes as well as the consequences of informal urbanisation and helps the participants to formulate a working definition of informal settlements. The session provides the participants with clear evidences about the close linkage between the emerging of various forms of informal developments and restrictive public policies and procedures, particularly those affecting the access to land and housing. The session explains how intricate and time consuming regulatory environments hindering access to land and infrastructure actually impel inhabitants to pursue informal and often illegal practices to resolve their housing problem. The session develops an argument that the restrictive policy and regulatory environments are a function of informal urbanisation. The session further outlines the informal markets and specific dimensions found in informal settlements such as absent owners, rented occupation, poverty, insecurity of tenure and mechanisms that inhabitants use to safeguard their rights and cope with the continuous threat of evictions.

Required Reading:

1. Claudio Acioly (2002) *The Rationale of Informal Settlements Regularisation Projects: from settlement upgrading to integration approaches*. Lecture Notes. Institute for Housing and Urban Development Studies - IHS
2. Herbert Werlin (1999). *The Slum Upgrading Myth*. *Urban Studies*, Vol 36, No. 9, 1523-1534.

Session 2:

Practical Approaches to Settlement Upgrading & Regularisation: from project to city-wide programmes

This session presents a brief historical overview of housing policies vis-à-vis the responses to informal settlements up to today. The session evolves from the analysis of early generation of housing projects and programmes focused on government subsidised conventional housing schemes that were motivated by the belief that informal settlements had to be demolished and their residents relocated to ready-made housing estates commonly produced in the urban fringe. The session goes through self-help housing advocacy, sites & services, incremental land developments and sites without services approaches pinpointing the peculiarities of each policy approach. The session helps the participants to understand the evolvement of the paradigm of settlement upgrading within the policy rationale. The move from projects focused on physical improvements towards integrated projects as part of city-wide programmes is highlighted by this session. Finally, the session discusses the intrinsic implications from policies of integration and regularisation of informal settlements in which improvements in quality of life is equally important as the regularisation of land tenure and ownership.

Required Reader:

1. R. Skinner, J. Taylor and E. Wegelin (eds) in "Shelter Upgrading for the Urban Poor. Evaluation of Third World Experience", Skinner, Taylor and Wegelin (eds), Island Publishing House, 1987.

- Chapter 1: Asking Questions About Upgrading.*
Chapter 12: Impacts of Programs and Evaluation Approaches
2. *United Nations Human Settlements Programme (2003). "Global Report on Human Settlements 2003. The Challenge of Slums". Earthscan Publications, UK, 2003.*
Chapter: Key Findings and Messages
Chapter: Prologue: Urban Growth and Housing
Chapter: Epilogue: Looking Forward – Moving Ahead.

Session 3:

The paradigm of informal settlement regularisation and integration policies

This session focus on a particular dimension and in one of the most fundamental objectives of settlement upgrading policies that is to say the formal regularisation process and the procedures required to change informally occupied land into formally regularised human settlement. At first the session makes an analysis of the informal land development rationale and pinpoints the peculiarities and mechanisms used by different actors to realise informally developed settlements. The session identifies typical bottlenecks that hinder the final regularisation of land tenure and property rights and outline practical approaches to land regularisation. Rather than a juridical approach the session develops a step-per-step procedure drawn from examples in different cities and brings into debate the most critical problems faced by upgrading programmes. How come the results of programmes in terms of final land regularisation and property rights in favour of inhabitants are so meagre in the majority of citywide programmes?

Recommended Reader:

1. *Alain Durand-Lasserve, Edésio Fernandes, Geoffrey Payne and Marim Smolka, (undated). "Land Tenure for the Urban Poor", in CIVIS, Learning from Cities, Cities Alliance, USA.*
2. *Alain Durand-Lasserve and Valérie Clerk (1996). "Regularisation and Integration of Irregular Settlements. Lessons from Experience", UMP Working Paper 6, Urban Management Programme, USA, March 1996.*

Session 4:

Upgrading and Citizen Participation

This session develops the concept of participation within the framework of informal settlement upgrading. It highlights participatory aspects and argues that citizen participation is one of the sine-qua-non conditions for the success of informal settlement upgrading. The sessions discusses various forms of participation and elaborates on the various roles residents can play from a range of more passive positions to a more pro-active role where residents are actually the key development player. The session highlights the close link between participation and empowerment and helps the participants to build a common understanding that will be discussed against the practical examples on the subsequent sessions.

Recommended reader:

1. *Session handouts*

Session 5: Institutional and Organisational Management Aspects of Settlement Upgrading

This session focuses on the organisational dimensions of upgrading with a particular emphasis on the institutionalisation of practices, policies, and procedures on how to deal with informal settlements and how to get government and non-government structures to move towards the implementation of complex urban operations. The session discusses the concept of institutionalisation and elaborates on the steps required to achieve that. The point of departure is that the continuity of citywide upgrading programmes is a function of the level of institutionalisation, legitimisation and political support.

Recommended reader:

1. *Session handouts*

Session 6: Case Studies: Favela Bairro Upgrading Programme

This session describes a large scale citywide upgrading programme undertaken by the municipality of Rio de Janeiro, Brazil. The sessions presents a clear overview of the main problems faced by the city and elaborates on how the municipal government formulated and implemented the programme, how it mobilised resources and how project ideas evolved and the role of the various public and private stakeholders. The session ends with a discussion about the successes and failures of the programme.

Required reader:

1. *Claudio Acioly with Paul Procee and David Edelman (1999). "Sustainable Urban Development and the Urban Poor in Rio de Janeiro", in 'The Challenge of Environmental Management in Urban Areas', M. Mattingly, E. Fernandes, J. Davila and A. Atkinson (eds), Ashgate, London, UK, pp. 127-138, 1999.*
2. *José Brakarz with Margarita Greene and Eduardo Rojas, (2000). "Cities for All. Recent Experiences with Neighbourhood Upgrading Programs", Inter-American Development Bank, 2000. Chapter II: Neighborhood Upgrading Programs. Concept and Execution.*

Session 7: Practical Exercise

This is a practical exercise evolved on a real life situation in a city of the developing world. Participants will be divided in teams with clear tasks and assignments. The city presents a serious problem of informal urbanisation for which the local government is stumbling about how and which would be the best way to tackle it in a sustainable manner. Participants will have the chance to present the results in a plenary session. Their results will be confronted with the actual situation from which the participants will draw their own lessons.

Recommended reader:

1. *Session handouts*

Session 9:**Case Studies: Neighbourhood Upgrading Programme in Guinea-Bissau**

This session focuses on the development and implementation of a citywide neighbourhood upgrading programme in Guinea-Bissau's capital city. It highlights the problems to which the programme was designed and presents an overview of the entire programme cycle, with the various management, planning and implementation aspects. The session ends with a critical analysis pinpointing the lessons learned from this experience.

Recommended reader:

1. *Session handouts*

Session 10:**Case Studies: Naissyria Project, Egypt**

This session focuses on the upgrading of an informal settlement called Naissyria situated in the city of Aswan, south of Egypt. The session highlights the participatory approach developed with the project and brings into discussion the roles of different actors and the challenges of institutionalisation. The session ends with a debate about the roles of national and international stakeholders in policy innovation.

Recommended reader:

1. *Session handouts*

Session 11:**Case Studies: Informal Settlement Upgrading in Brasilia, Brazil**

This session focuses on the first and only one city-wide upgrading and resettlement programme ever carried out in the city of Brasilia. The session highlights the programme management aspects and discloses a number of impacts researched in two settlements. The session brings to the forefront the debate about the displacement of original beneficiaries and whether or not upgrading is benefiting those who are in real need.

Recommended reader:

1. *Session handouts*