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Title of paper: Participatory Processes and Pro-poor Policies: Lessons learned from Recife, Lima, Tirana, Awassa, Nairobi and Youde
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INTRODUCTION

This paper is prepared for the 2005 Urban Research Symposium. It summarises research findings and depicts innovative initiatives that facilitate the participation of the urban poor in decision making and in access to land and housing in selected cities. The paper pays particular attention to Recife, Brazil but draws its conclusions from a global survey falling under the alliance between Cordaid and the Institute for Housing and Urban Development Studies-IHS, two international organisations based in the Netherlands. The goal of this alliance is to help improve the quality of participatory processes and the effectiveness of policies and public investments that benefit the poor and disadvantaged groups of society in cities where Cordaid is already engaged in financial and institution-building support to NGO's and community-based processes.

The survey prepares city audits in Recife (Brazil), Lima (Peru), Awassa (Ethiopia), Nairobi (Kenya), Tirana (Albania) and Youndé (Cameroon). Process mapping studies have been completed in Recife, Lima, Nairobi and Youndé. Studies in Awassa, Nairobi and Tirana are ongoing and in stages of finalisation, and it will start soon in Davao City (Philippines).

City audits are herein referred to as “process mapping”. It is a stakeholders and institutional analysis based on on-site survey and interviews with key local actors involved directly or indirectly in local processes in the city. It helps to identify actors and disclose the relationships that may exist amongst them while mapping processes that helps to unveil networks of social actors, institutional frameworks and bottlenecks and potentials for local sustainable development processes to evolve in favour of the poor and disadvantaged segments of society. It is an action oriented research that also draws from locally-based consultative workshops, participatory rapid assessment, working seminars, meetings, interviews, participants' observation and desktop review of key documents depicting the city's ability to promote civil society participation and participatory decision making.

The process mapping is based on participants' observations about their own role and those with whom they interact as well as on the mechanisms through which their participation takes place. The process mapping is carried out in close consultation with local counterparts of Cordaid (mostly NGO's and civil society organisations) and involves various local stakeholders from the community, private and public sectors.

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While referring to findings in different cities, the paper and presentation gives more attention to Recife, the capital city of the State of Pernambuco with nearly 1.4 million inhabitants belonging to one of Brazil's major metropolitan region. This city has a longstanding tradition with citizen participation and was the arena of very active social urban movements throughout the 1970's and 80's. These movements were responsible for the formulation and approval of a pioneering legislation on land tenure regularisation in informal settlements herein called PREZEIS. A Forum composed of representatives of community-based organisations, local government and civil society organisations actually manages the enforcement of this legislation. PREZEIS can be regarded as mechanism of land management and at the same time a channel of participation that prioritises public investment in selected low-income residential areas established as ZEIS-Special Zone of Social Interest. Participants and organisations actively involved in this Forum have been interviewed during 2003 providing a rapid assessment of its results after 15 years of enactment. The author also got involved in some activities of the Forum and organised by NGO's and the municipal government during 2003.

Participation has an intrinsic cost while producing outputs that are not so easy to measure. Local stakeholders indicate benefits and impacts of this participation. NGO's . argue that there is a substantial increase in the quality of citizen participation as a result of capacity building works. Knowledge about legislation, rights and obligations, has resulted into more active citizenship and more influence in policy making. To what extent citizen participation leads to pro-poor urban and land policies? How far has participation shaped municipal policies and help establish good governance? These are some of the questions that the survey attempts to respond. Recife has also a long tradition of NGO's supporting community-based organisations and the survey pays a specific attention to key NGO's working intensively in the urban sector. The rise of NGO's in the city has triggered the development of interesting forms of articulation and policy dialogues showing that there is sufficient room for grassroots organisations and NGO's to get engaged in actual policy making.

Recife also has a tradition with participatory budgeting that offers a channel for participation that is open for all citizens in the city and where decisions about public resource allocation take place. The municipal government regards the participatory budgeting the truly arena of civil society participation in the management of the city. This is also well illustrated in the paper.

This report is primarily addressed to those working in the urban liveability programme of Cordaid and particularly to the staff in charge of the activities of Cordaid in Brazil. Those who are interested in participatory urban management and the roles of NGO's will find the report extremely valuable as it depicts the functioning of various channels of participation in one of Brazil's major metropolitan areas. The report also illustrates the roles played by various actors with a particular attention given to NGO's and the municipal government. Therefore practitioners from local governments and NGO's will find the report useful for their work as well.

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One of the activities falling under the alliance is the preparation of city audits herein referred to as "process mapping" by means of rapid field surveys, on-site analysis and interviews with those main actors actually involved in the various articulations and dialogues taking place in existing channels of participation in a given city. The process mapping is carried out in close cooperation with local counterparts of Cordaid and involves various stakeholders from the community, private and public sectors. The process mapping is based on participants' observations about their own role and those with whom they interact as well as on the mechanisms through which their participation takes place.

It is based on an institutional analysis framework that identify actors and their relationships while mapping processes that helps to unveil networks of social actors, institutional frameworks and bottlenecks and potentials for local sustainable development processes to evolve in benefit of the poor and disadvantaged segments of society. It is an action oriented research that also helps to assess the quality and quantity of the outputs produced by Cordaid's local partner organisations. Selected cities include Recife (Brazil), Lima (Peru), Awassa (Ethiopia), Nairobi (Kenya), Tirana (Albania) and Younde (Cameroon). The work involves locally-based consultative workshops, participatory rapid assessment, working seminars, meetings, interviews, participants' observation and desktop review of key documents depicting the city's ability to promote civil society participation and participatory decision making.

This report is focused on Recife, the capital city of the State of Pernambuco with nearly 1.4 million inhabitants belonging to a metropolitan region situated in the Northeast Brazil. The city has a longstanding tradition with citizen

participation and was the arena of very active social urban movements throughout the 1970's and 80's. These movements were responsible for the formulation and approval of a pioneering legislation on land tenure regularisation in informal settlements herein called PREZEIS that is managed by a Forum composed of representatives of community-based organisations, local government and civil society organisations. It is a channel of participation that prioritises public investment in selected low-income residents established as ZEIS-Special Zone of Social Interest. Participants and organisations actively involved in this Forum have been interviewed for the purpose of this report and their names are listed in the Annexes.

The city also has a tradition with participatory budgeting that offers a channel for participation that is open for all citizens in the city and where decisions about public resource allocation take place. The municipal government regards the participatory budgeting the truly arena of civil society participation in the management of the city. This is well illustrated in the report and their profiles are detailed in a table depicting the major players in Recife's urban arena. Recife has also a long tradition of NGO's supporting community-based organisations and report pays a specific attention to key NGO's working intensively in the urban sector. The rise of NGO's in the city has triggered the development of interesting forms of articulation and policy dialogues showing that there is sufficient room for grassroots organisations and NGO's to get engaged in actual policy making.

Chapter 2 makes a brief introduction about Recife helping the reader to understand the location and types of problems one finds in a city of the size and magnitude of Recife. A number of boxes distributed through the chapters illustrates well the context of low income settlements in the city.

Chapter 3 focuses on the channels of participation. It offers an overview about the various channels of participation that exists in Recife like forums, councils, parity commissions, and the participatory budgeting. The chapter offers a detailed description of some of the most relevant spheres of citizen participation helping to depict all the areas in which NGO's and community-based organisations interact with the municipal government.

Chapter 4 identifies all major actors and stakeholders that are actively involved in the government-civil society dialogue through the channels of participation illustrated in the previous chapter. It provides a stakeholders analysis with very detailed information about each of the major actors, their mission statement, their working methods and the various channels of participation that they are engaged. This chapter shows the wealth of Recife in terms of the number of NGO's actively involved in participatory processes.

Chapter 5 presents the main findings and conclusions of the process mapping survey. It elaborates on the various dimensions and articulations between government and NGO's and civil society as a whole. The chapter provides the reader with a substantial analysis and conclusions about both the potentials and bottlenecks for increasing civil society participation in policy making that will benefit the urban poor and segregated segments of Recife population.

The annexes provide the reader with a comprehensive set of information about the people and organisations interviewed, a list of acronyms and terms in Portuguese with their respective English translation. The set of questions formulated during the first field visit and a thorough description of the method and stages that a NGO goes through when assisting a poor community facing the threat of eviction are also included. And finally a list of bibliography is presented.

The field survey, the interviews and the report is made by Claudio Acioly, staff of the Institute for Housing and Urban Development Studies.

Rotterdam, 29th August 2004.

2. BRIEF INTRODUCTION TO RECIFE

Recife's metropolitan region is composed of 14 municipalities and is the fourth largest metropolitan region in Brazil after São Paulo, Rio de Janeiro and Belo Horizonte. Its population grew from 2.30 million in 1980 to 2.92 million inhabitants in 1991 revealing an increase of more than 533 thousand inhabitants within a decade. Presently it has a total population of more than 3.3 million inhabitants that shows an increment of 417 thousand inhabitants during the period 1991-2001 (FIBGE, 2000; Cortês e Silva, 2003, Observatório-PE). In 20 years time there is an increment in population of nearly 1 million inhabitants. The capital of the metropolis, Recife, is a vibrant cultural centre with a deep rooted regional folk arts and crafts, traditional music and popular festivities that attract people from all over Brazil.

It is situated along the coastline of the State of Pernambuco and is one the most important urban agglomerations in the Northeast Region. The importance of this metropolitan region is associated with the growth of its capital city Recife as a regional industrial metropolis during the 1970's when investments concentrated on chemical, non-metallic minerals, mechanics, plastic and electronics. During the 1990's there was a boom in the tertiary service sector with Recife becoming a regional centre of commerce with an advanced science and technology park and a well developed health sector that not only provides services to the city but also to other urban centres and states of the Northeast Region (PMR, 2003c). More than 60% of revenue produced through the ICMS tax (VAT) was generated in the city during the 1990's.

Urban economy

In 1970, the City's economy was responsible for 77% of the GDP of the metropolitan region and 48% of the GDP of State of Pernambuco. In 1998 its participation decreased to nearly 62% of the metropolitan region and in 1999 it represented 43% of the GDP of the state. Currently the profile of the city's economy shows a well developed industry of food processing, textile, clothing, drink, metallurgic, mechanics and electronics, besides the well-developed construction industry. But it is in the service sector that Recife excels being the seat of important universities and research centres and as said before a very well developed information technology and health sectors. Some specialised services related to health clinic and hospitals, educational services, informatics (software production), technical consultancies, publicity and marketing and more recently the logistic support were the ones that grew up to 19% in 2000 (PMR, 2003c).

In terms of income, in 2000 a household head from Recife earned 34% more than the average income found in the Metropolitan region a fact that reveals a concentration of income. Nevertheless, the city's labour market registers an unemployment rate of 19% that places Recife amongst the highest rates in Brazil. Data from the municipality shows that half of the economically active population is informally employed. This segment is more prominent in the construction (74%) and commerce sectors (67%) but also the service sector (50%) and processing industry (38%).

Demographic features

Recife is the home place of 18% of the total population of the State of Pernambuco and 44% of the population living in the metropolitan region. It grew from 1.2 million (1980) to 1.42 million inhabitants (2000) and its projected to reach 1.66 million by 2015 (PMR, 2003c). One noticeable demographic feature is the decrease in household size (3.8 persons/household) that is below the average of its metropolitan region. The municipality justifies this phenomenon on the ageing of the population, birth control and trends towards smaller household sizes. But it also points out the serious territorial limitations that boosts high land price coupled with significantly improved public transport and the development of new industrial complexes and new housing in other municipalities. Thus facilitating human settlement and particularly recently married couples outside the municipal boundaries (PMR, 2003c). The rate of population growth has decreased during the last decade but when looked at in more detail it becomes evident that in geographic terms the growth has been more intensive in peripheral neighbourhoods with rates far above 3% with some areas coming close to 10% a year. These are exactly the areas with severe deprivation of basic services, accessibility and so forth.

Poverty and Social Exclusion

Data derived from IPEA and World Bank shows that the Northeast Region – where Recife is located – accounts for 63% of all Brazilian poor while only sharing one third of Brazil's total population (Melo et al, 2001). As for Recife, the city presents the largest concentration of poverty among all metropolitan regions of Brazil with 41% of its population living under poverty line - US\$40.00 per capita – and inequality in the city is worse than that of the State of

Pernambuco, Northeast Region and the country as a whole. Half of Recife's population earns less than 1 Minimum Salary (Costa, 2002; Lima, 2003).

But what is remarkable about Recife is the sharp contrast between rich and poor that one immediately spots in the spatial structure and built environment of the city. There are very wealthy enclaves contrasting with extremely poor areas. This reflects the historical development of the city that has resulted into a remarkable social and spatial exclusion: the rich settling in prime land while the poor on the steep hills, swamps and peripheral land subject to flooding and land sliding deprived from basic public services. This was accentuated by the fact that a large share of the land stock in the city was kept in hands of a limited number of traditional families who practised land lease or kept them underused for speculative objectives leaving the poor migrant with the only option to settle illegally on inadequate sites situated on river valleys, sea arms and the various hilly and inaccessible areas of the city.

The place where the poor lives in Recife

A 1996 survey sponsored by the State Government of Pernambuco revealed that 12% of the 50 settlements surveyed in Recife were situated in flooded areas, 30% on hilly areas and 40% on low flat land. The urban poor in Recife lives in settlements that are subject to flood and landslides, inadequate public transport services and critical conditions of sanitation and accessibility. Only 27% of the housing units had access to sanitation and nearly 60% of them disposed their waste water inadequately. Municipal garbage collection often does not cover these areas and it is common for families to dump it on vacant land or in watercourses and the sea (CENDHEC, 1999). One critical aspect of low-income settlements in Recife is the insecurity of tenure and the myriad of claims on land not properly registered. A description of the types of situations found in settlements regarded as ZEIS-Special Zone of Social Interests and depicted herein this report is presented in Boxes 1, 2 and 3.

A 1993 survey sponsored by the municipality of Recife revealed that there were 526 low income squatter settlements in the city. At that time these settlements occupied 15% of the total land area of the city but housed 50% of its total population. Actually there are 468 different poor communities and because some of them are tangled into one another in a kind of urban conurbation of low income settlements it becomes difficult to map their specific boundaries. 240 communities are contained within ZEIS that means that 80% of the territory of the poor and 80% of the poor population are situated in ZEIS settlements. Actually nearly 40% of the population regarded as poor occupy roughly 13% of land in the city (Lima, 2003) a data confirming the trend of the poor living in densely occupied areas. Presently 70% of the roads of the city are not paved and sewerage coverage is only 30% (Costa, 2002). This coincides with areas occupied by low-income families.

Urban Violence

The same applies to crime and violence with Recife scoring amongst the highest rates of Brazil. The occurrences of death by violence seem to be highest in peripheral neighbourhoods where the poor is concentrated although data from the Municipality suggests that there is an overall increase in practically all neighbourhoods of the city (PMR, 2003c). Violence is the second cause of mortality in the city with a total of 1,492 deaths (14.7% of the total deaths in 2000) with a rate of 107,68 per 100,000 inhabitants. For mortality by homicide the rate is 67 per 100,000 inhabitants situated in the age group from 10 to 39 years old. This is one of the highest in Brazil. Data from the city's master plan shows that violence is the main death cause among young people (10-19 years old), a phenomenon that suggests a possible impact on the demographic development of the city particularly if one considers that the majority of the fatalities are male belonging to the economically active population. It is also worth noting that 10% of the population is illiterate and this rate is the same for the age group from 26 to 69 years old with obvious consequences for the labour market and competitiveness of the city.

Social Urban Movements

Despite the fact that the population could not elect their mayor in Recife during the military regime (1964-1985), the city maintained its leftist political culture with an intense social activism and grassroots movements that were closely associated with the Catholic Church. The leadership of Archbishop Dom Helder Camara turned Recife into a national reference regarding the church engagement in the social problems of the population. In the eyes of the military regime the church's concern with the fate of the poor coupled with the strong labour union movement and the traditional political activism turned the city into a stronghold of the theology of liberation and leftwing political movements.

It is noteworthy that many of the advisors of community-based organisations and collective movements and members of civil society organisations had strong linkage with the church. As explained hereafter in the report

popular initiatives and many innovative legislation is accredited to the support of the church e.g. the PREZEIS legislation and the birth of the NGO Serviço Justiça e Paz. But Recife also has a historical active labour union movement and a tradition in political activism that has shaped the development of the city in many ways. In opposite to that the city has always been the seat of traditionally very conservative forces belonging to a local aristocracy that frequently polarises the city at every election. Many don't know that Recife was also the place where the Paulo Freire method of pedagogy was applied for the first time when he was then the municipal secretary of education during early 1960's.

Alike other large urban centres of Brazil, Recife was experiencing a dynamic number of collective movements and the mushrooming of community-based organisations and residents' associations from squatter settlements during late 1970's and throughout the 1980's that had two major characteristics: social mobilisation and the struggle for the right to the city. These movements put emphasis on struggling against eviction and for the right to settle on land in the city (movement "terra de ninguém"). Urban and housing issues and an incipient agenda for urban reform were tangled into civic issues like democratisation that influenced the advocacy character of the organisations and their work on exercising political pressure on the local government. The progressive legislation called PREZEIS and the enactment of its predecessor – the land use plan of 1983 – are the result of the work of NGO's and civil society organisations working closely with these collective movements. The PREZEIS and the concept of ZEIS-Special Zones of Social Interest aiming at safeguarding the permanence of families living in nearly 300 favelas and informal settlements in Recife (1983) were formulated by civil society organisations lead by the Comissão Justiça e Paz of the Catholic Church. It is regarded as one the first initiatives in legislation undertaken by popular movements.

The birth and consolidation of Recife's NGO's are credited to this process. The interviews made during the process mapping research disclosed the strong linkages between the church and practically all popular areas and informal settlements in Recife. All community leaderships, municipal officials and university professors interviewed during the process mapping research had in the past a close link with movements and/or organisations supported by Dom Helder Camara. It is worth noting that the present mayor of Recife, João Paulo, was once a member and participant in the capacity building programmes designed through the church. The rise of many of NGO's that are still active in the city is also closely associated with that. In relative terms Recife has the largest number of NGO's among all cities in Brazil. The city's master plan acknowledges the existence of 465 organised social groups.

Channels of Civil Society Participation

The first municipal election of the post-military period (1984) brought to power a very charismatic mayor (Jarbas Vasconcelos) with a significant popular support. His government policy advocated the notion of citizen participation in the formulation and implementation of social policies and poverty reduction. A practical result of that was the programme "prefeitura nos bairros" virtually installing the municipality in the neighbourhoods and creating channels of dialogue between the government officials and community representatives to discuss problems, prioritise and commit government finance. Some regards this as the originator of the participatory budgeting (Melo et al, 2001). The strategy was to involve community-based organisations in policy making for which the city was divided in 18 different administrative regions. Thus in the plenary sessions organised in these regions and attended by the mayor and his executive cabinet (secretariat) only the representatives of community-based organisations could vote in the prioritisation process although the meeting was open to the public. Some argued that this was a way to co-opt leadership and obtain support to municipal government policies.

It was during his term that the PREZEIS-Programme for the Regularisation of Zones of Special Interest was implemented although its basis had been formulated during a previous "conservative" municipal administration with the approval of the 1983 land use plan of Recife. This was a pioneer initiative and quite innovative legislation that would only get its similar nearly 20 years later with the approval of the 2001 national city statute legislation. One can argue that Recife had established a participatory land management process by introducing citizen participation in the decision about whether or not to regularise tenure and upgrade settlements developed on informally and often illegally occupied land.

The last municipal election (2000) paved the way for the replacement of a conservative government by a progressive one that counted with the support from popular movements and the NGO sector. The current municipal administration is clearly committed to participatory governance and pro-poor policies. Channels of civil society participation especially the sector councils and the participatory budgeting council have received great attention and political support. The participatory budgeting has become the main channel of civil society participation in Recife overshadowing the traditional PREZEIS as the sphere where public resource allocation in poor areas is prioritised

and decided. There is also greater concern for economic development, employment and income generation as an attempt to address social exclusion and spatial segregation that is recognised by the municipality as one of the worst in Brazil.



Região Metropolitana do Recife



Box 1: Brief History of Morro da Conceição

Source: Melo, Marcos with Flávio Rezende and Cátia Lubambo (2001). "Urban Governance, Accountability and Poverty: The Politics of Participatory Budgeting in Recife, Brazil. Working Paper 27. University of Birmingham.

Notoriety of the Area

Morro da Conceição is one of the oldest squatter settlements of Recife. It is known as one of the most politicised communities that is represented by an energetic residents' association and a very engaged catholic church. In the 1980s, the area was the stage of a widely publicised event between one of the most outspoken priests of the city – who was associated to the Theology of Liberation² – and the conservative archbishop newly appointed by the Vatican to replace Dom Helder Camara as head of the church of Recife and Olinda when the latter retired. This led to the ousting of the priest from the Catholic Church but he continued living in the settlement and fully involved with the life and problems of the residents. The community is the seat of the parish of Conceição – the same parish involved in the conflict with the archbishop – that attracts annually a large number of visitors on the day of its celebrations.

Urban Liveability

The settlement is located at the top of a steep hill. The occupation of the site dates from the 1930's and 1940's. It is densely occupied and is continuously threatened by landslides particularly during the rain season. Accessibility is not easy and during the rain season it becomes extremely difficult for the residents. The environmental impacts of that occupation are of great concern of the municipal government. The problems found in other informal areas of Recife are not strange here: inadequate supply of water and sanitation, poor provision of public transport, public safety, unemployment, etc.

Social Organisation

The social structure of the settlement is quite complex and the topography of the site divides the area in sectors or neighbourhoods that somehow influence residents to keep their identity and area-based representation. This reflects the innumerable organisations actively involved in the settlement among them residents' associations, a council of residents, NGO's, cultural groups, sports groups, youth group etc. The Council of Residents of Morro da Conceição (Conselho de Moradores) was founded in 1980 and it is an active and well-organised entity on the basis of a collegiate structure. The council is elected for a 2-year term. It is a very pluralistic organisation and operates on the basis of strict division of labour and tasks. There are 13 "sector commissions" specialised in specific issues such as youth problems, cultural activities, football, gender relations, etc. There over 40 coordinators distributed among these 13 commissions.

Up to 2001, there were 6 NGO's active in the area among them SOS-Corpo, ETAPAS, GESTOS and COLETIVO REFAZENDO. The Catholic church should be regarded as an important actor, it is very influential and is involved in community affairs. These organisations sponsored a project to recapture the oral history of the site that resulted into a publications that was widely disseminated. In addition, the community boasts a very successful institution for mentally disabled children called CERVAC. It is sponsored by a German foundation and provides services for over 100 poor children.

² – The theology of liberation is a line of religious practice articulated by Brazilian priest Leonardo Bof that has gained wide support among a large group of progressive bishops of the Brazilian Catholic church. Among other things it promoted full engagement of the church in the social life of society.

Box 2: A brief history of the ZEIS Novo Prado

Source: ETAPAS, 2001. *Velhas Historias Novas Conquistas. Zeis Novo Prado. BONGI. Interviews with ETAPAS, 2003.*

History

People who migrated from the hinterlands of the state of Pernambuco to Recife and from other neighbourhoods of the city and who settle on privately owned land were offered a land lease contract by the owner of the parcels of land where today is located the settlement of 'Novo Prado'. This process began in the beginning of the 1900's. Since permanent constructions were not allowed, the new settlers built shacks made of massive adobe walls (taipa) and thatched roofs that were to become known as "mocambos", the local denomination for poor squatter settlements commonly deprived of the most basic infrastructure and services. The land was subdivided between his two hers when the landowner Cornell Neco Chicó passed away. Novo Prado is actually situated un the part of the land inherited by his daughter Dona Vitalina. She continued subletting parcels of land to new settlers and at a certain moment in time she started selling the plots to their occupants. This commercial transaction was recorded in a receipt that was registered in the notary offices of the city. But never had a legal basis since this subdivision was never authorised by the municipal government.

In the 1970's, developments in the nearby areas started boosting an informal market of services and commerce that further stimulated spontaneous occupation resulting into a significant urban growth of the area. Novo Prado was to become one of the first poor informal settlements to be transformed into ZEIS. It was only 14 years later, 1977, that the Commission of Urbanisation and Legalisation – COMUL was established. In 1987 a group of residents started with community mobilisation and in 1994 a residents' association was officially registered as a legal entity in the city.

Profile of the settlement

The settlement occupies a total area of 6 ha and is situated in the neighbourhood of Bongi, western zone of Recife. It shares its southern boundary with the neighbourhood of Mustardinha and its western border with the Electricity Company of Recife. It is very well situated and has major avenues close by. There were 1,352 people divided into 352 families living in Novo Prado in 2001, from which 54% were women and 46% were men. The majority of the residents were born in Recife (78%) and one third of the population belongs to the age group of 0-20 years old. Household income is between 2 and 4 minimum salaries (one minimum salary is nearly US\$75.00) and individual income is between ½ and 1 minimum salary, with women earning less income than men. Women headed households is significant in the settlement (71%) and half of them have no partner resulting in women being forced to take over all responsibilities for upkeep their households. Half of the inhabitants have the fundamental primary education. In terms of leisure, the inhabitants report that watching TV, sleeping, going to church and listening to radio are the most popular activities undertaken by the population which may suggest that inhabitants do not tend to go out of their residential area for leisure and other activities. Nearly one third of the residents have been living in Novo Prado for more than 40 years and 20% between 30 and 40 years suggesting that residents have a strong link with their neighbourhood. Some 62% of household heads report that the land parcel where they live was purchased from third parties and 77% are owner occupants.

Urban liveability

The settlement was confronted with poverty and deficient basic infrastructure. Water supply, sanitation, and drainage were poorly provided. Roads and accessibility were inadequate making life in the settlement extremely difficult for its occupants. The living conditions in the settlement remained below the minimum standards for human settlement during many years. Until 1991 there was no day care centre where working mothers could leave the children during the day. In 2001 reports made by the residents pointed out the main problems faced by the settlement in order of priority: (1) lack of health centre and medical assistance, (2) lack of police station and lack of public safety, (3) lack of basic sanitation and (4) lack of street pavement. Though, the residents also report some improvements that took place during the last years: some roads have been paved; the main square of the neighbourhood was revitalised; public transport has improved.

3. CHANNELS OF PARTICIPATION

Recife has built a tradition in civil society participation but it is only during the last municipal administration that citizen participation gained a prominent position in local government policy. Institutionally this was resolved through the creation of a Municipal Secretariat exclusively focused on citizen participation and the formulation of the municipal budget where citizen participation is central. Additionally the current municipal government has advocated a greater involvement of civil society in the governance of the city opening up various channels of participation and dialogue with a multitude of stakeholders including the private sector. One can say that there is a clear intention to empower individuals to actually take decisions on public investments and to promote social control over the government. The latter goes through the so-called “conselhos setoriais” or sector municipal councils.

However, one must bear in mind that the experience with the PREZEIS – Plan for the Regularisation of Special Zones of Social Interest and the establishment of its management council has provided the municipality of Recife and the community-based organisations throughout the 1990’s with the opportunity to construct a model of government-community management in the allocation of public resources. These resources are earmarked for slum upgrading, urbanisation and public works, and tenure regularisation through which not only residents and their residents’ associations but also NGO’s play fundamental roles. This is the oldest channel of participation through which organised civil society interfaces with local government in the city. Moreover, there are a series of sector municipal councils and forums through which citizens get involved in public policy making and resource allocation.

The process mapping research identified a number of these sphere of government-citizenship dialogue where individual citizens can participate and in some cases take decisions. In the Participatory Budgeting, individual residents participate directly in the entire process allowing him/her to be elected as a representative of his residential area in the form of a delegate or councillor without being necessarily a member of community-based organisation or any other entity (see Box 5 describing the OP). In other spheres of participation the affiliation to community-based organisations and/or unions and civil society organisations is an indirect condition because the composition of some councils have fixed positions marked for a representative of a particular entity e.g. teachers’ union, union of real estate brokerage association, etc.

In the sector councils for example the Health, Social Assistance, and Children and Adolescent decisions are also made on fund allocation since these councils have the mandate to manage funds derived from other levels of government thus characterising a deliberative character of such channel of participation (see Box 6, describing the conselhos setoriais). These sector municipal councils are important conduits of interaction between the local government and civil society. It is constitutionally mandatory that municipalities establish some of these councils that have deliberative, consultative and advisory responsibilities. Each municipality can install specific council and forum on their own. Recife, for example, has installed one on gender that deals with municipal policies and actions focused on women labour, women’s rights, violence against women, capacity building for labour market insertion, etc. This is a pioneering initiative that placed Recife in a unique position being the only one municipality that had such forum. There are interesting “institutional engineering” and solutions to articulate these channels of participation favouring an integrated municipal development strategy. However, the current municipal government has opted to work with the OP as the “universal” channel of citizen participation where policy is integrated through the formulation of the multi annum investment plan and annual budget cycles. It is worth noting that this political decision has generated a lot of unrest amongst the NGO’s and community-based organisations that are involved in the PREZEIS.

3.1 *The Existing Channels for Citizen Participation in Recife*

The following are the channels of participation identified through the process mapping research:

1. Forum PREZEIS-Plan for the Regularisation of the Special Zones of Social Interest
A forum that acts as a tripartite council where government, NGO’s and Civil Society Organisations and residents of ZEIS – in their condition of delegate/councillor – discuss and decide on policies and resources to be allocated in the form of investment in the 66 ZEIS legally established in Recife. It has a very large composition with representatives from all ZEIS, popular movements, research institutions, professional associations, Municipal Legislative Chamber, URB/Recife, and representatives of several municipal

secretariats. From the government side there are 1 representative for each one of the secretariats: Social Policy, Planning, Finance, Juridical Assistance, URB, and five other representatives from different municipal agencies in addition to 1 representative of the Municipal Legislative Chamber, totalling 12 representatives from de Government. From the part of civil society the composition is divided in community-based organisations and technical representations. From the community-based organisations, there are 2 representatives for each ZEIS with an established COMUL, 1 per each ZEIS without COMUL plus 4 civil society organisations. From the technical side there are 2 representative of academic/research institutions, 2 professional organisations and 1 for each technical assistance entity involved (NGO's), totally more than 50 representatives.

2.
COMUL-Commission for the Urbanisation and Legalisation of Land Holdings (linked to PREZEIS)

Commissions installed by the local government after legislation is enacted declaring that a particular settlement becomes a ZEIS. It is an operational arm of PREZEIS and reports to the Forum of PREZEIS. It must disseminate the PREZEIS in the settlement, define local priorities in close discussion with the residents thus fostering local participation; it coordinates and oversees upgrading and public works in the area; it is in charge of the formulation of upgrading and tenure regularisation projects. It is composed of 5 members and their respective replacement. These members are elected and represent Government, NGO's or civil society organisation providing technical assistance to the community, and the local community. In 2003, there were 36 ZEIS with a COMUL in operation and 14 ZEIS had requested the establishment of a COMUL.

3.
OP-Participatory Budgeting

The OP is a process divided in different levels and spheres of participation. Each has a particular decision power and mode of participation. But in principle, all citizens above 16 years of age can participate and be elected as community representative in one of the spheres of the OP. It involves the participation of more than 2000 delegates elected by the residents of 18 different zones of the city and 8 thematic plenary groups. It is divided into forum of regional delegates (including the thematic delegates) and the Participatory Budgeting Council – COP formed by representatives of the regions, thematic groups, PREZEIS and municipal government. COP is composed of nearly 40 members. The COP discusses the municipal budget, prioritises and takes the decision on resource allocation.

4.
Sector Councils (Health, Education, Children & Youth, Environment, Culture, etc.)

In Portuguese these councils are known as “conselhos setoriais” or sector councils. These councils have a juridical identity and are established by the municipal government in the form of a decree approved by the Municipal Legislative Chamber. There are 8 different sector councils in Recife, including the Forum of PREZEIS: (1) Culture, (2) Environment-COMAN, (3) Social Assistance, (4) Health, (5) Education, (6) Children & Adolescent, (7) Urban Development-CDU and (8) PREZEIS. The composition of these councils varies from one to the other. Civil society organisations, NGO's, academic & research institutions, organised popular movements and private sector and employer's organisations have commonly a seat in these councils. Some councils are only established because of social pressure. While others like the councils of Health, Education, Children and Adolescent, and Social Assistance are mandatory because they are associated to a National Fund. If a municipality does not install these councils it will not be eligible for accessing Federal Government Funds allocated for that. In general these councils have 20 members in total. But the Health council has around 60 members because it includes users of the unified health care system. In Recife, the composition and representation in the sector councils was decided in a public meeting between government and civil society in which all organised movements and established organisations

had a chance to speak and suggest membership in councils dealing of particular sectors of concern.

5.
FNRU-National Forum of
Urban Reform

Founded in 1987, it is a coalition of civil society organisations, popular movements, NGO's, research and academic institutions, unions, syndicates and professional associations, researchers and academics and technicians working in the public sector, aiming at the development of public policies geared to broad-based urban reform. FNRU was instrumental in getting the urban agenda inserted in the constitutional assembly in charge of formulating the new Brazilian constitution (1988). FNRU advocates and promotes the right of citizenship and the right to the city meaning access to basic services, housing, land infrastructure; democratic management of cities and the social function of cities and private property. FNRU has regional representations and organises thematic seminars and working groups to monitor the development of legislation and innovations in city planning and management. One could call the FNRU as a national watchdog for urban issues. It is a strong advocacy group with a clear pro-poor approach. The FERU-Regional Forum of Urban Reform of Pernambuco assembles 20 members among them a regional representative of the ABONG. Both FNRU and FERU's are recognised by the government as a legitimate organisation in Brazil. Representatives of the FERU are members of several sector councils at the State and Municipal levels.

6.
CDU-Urban Development
Council

The Council of Urban Development (CDU) is directly associated to the master plan of the city and the land use ordinance. From the municipal government, there is a straight line of communication with the secretariat of urban development and environment. In this sector council, representatives of the brokerage and developers as well as from the construction industry and commercial associations participate side-by-side with representatives from PREZEIS, ABONG, Trade Unions, Architects' Associations and representatives of civil society organisations. This heterogeneous membership makes this council a vivid arena where private, public and community interests often collide obliging its members to search for consensus basis around the public good. This council discusses various matters. From big projects with significant impacts on real estate and land markets, to changes in legislation, density, etc. This council's composition is based on the parity principle that is to say for every government representative there is one representative of civil society. This council is not compulsory. However, this situation is changing with the establishment of the Ministry of Cities and the realization of a remarkable national conference of cities that resulted in the establishment of a national council for urban policy on the same principles of the sector councils: members from the government, civil society, private sector, academic and research institutions sitting side by side. This council is linked to a national fund for urban development that suggests that soon the government will enact legislation making it compulsory for municipalities if they want to be eligible for using the fund. The recently approved social housing law indicates the establishment of the national social housing fund that also suggests similar developments in terms of civil society participation.

7.
CCU-Consultative Commission
of Urbanism (special
commission from CDU)

This is an advisory organ linked to the CDU and focuses on development control in the entire city. It has a parity structure as well and discusses all matters and subjects pertaining the mandate of the CDU. However, it is currently in discredit. Some of its advice have been neglected by the CDU and resulted that the NGO's withdrew from this commission. This has caused unrest since the NGO's participating in the council made a public statement that raised the question whether or not they were still supporting the progressive

government of mayor João Paulo.

8.
COMAM (Council of
Environment)

This is a council with decision-making power and has a composition based on the parity system. It has a direct interface with the CDU though it pursues its own directives that often do not articulate well with CDU. This is in part because the national environmental policy is very sector oriented and under the directive of the Ministry of Environment without much interface with the other sectors.

9.
PRO-METROPOLE (World
Bank, State and Municipal
governments)

This is an environment and infrastructure improvement programme focusing on poor settlements situated in the river valley co-financed by the World Bank. Some general assemblies were organized in the target communities situated along the valley of the Capeberibe river. But the programme foresees the establishment of community council involving all target areas but till date this has not taken place. The disbursement of resources is slow and this affects adversely social mobilisation. In two pilot areas in Olinda and Recife some plenary sessions took place for consultation purposes. The Bank is approving a management project to administer the pro-metropole programme but by mid 2004 this had not been installed. The first tendering was declared nil and only during the second part of 2004 that a management consultant is being selected.

10.
Centro Público de Promoção
do Trabalho e Renda (Public
Centres to Promote Work &
Income)

These are centres spatially located in the various RPA's of the city linking government, civil society organisations, trade unions, NGO's that promotes social inclusion by boosting solidarity, participation, social justice and sustainability. It has a participatory management concept. It monitors the local economy producing diagnosis and indicators and promoting capacity building aiming at insertion in the labour market. An observatory coordinated by DIEESE helps to fine tune municipal policies interfacing employment and income generation.

11.
Other Channels

Forum Garbage and Citizenship (Forum Lixo e Cidadania)
FRAC-
CONDICA-Municipal Council for Children & Adolescent
FRESC- State Coalition of Civil Society Organisations
FEETI- State Forum for Eradication of Child Labour
RECAECA - State Network to Combat Abuse & Social Exploitation of Children
& Adolescent

For the purpose of this report we will look in detail at some of these channels of participation. Those where decisions have more direct impacts on the improvement of urban liveability of the poor and where the poor's participation seems to be more prominent like the Forum PREZEIS and Participatory Budgeting are given more attention. It was difficult to make a thorough analysis of all the different channels of participation in the city of Recife given the limited time allocated for the process mapping research.



ZEIS Entrapulso, Recife 1

3.2 Forum Prezeis

Recife pioneered in recognising – under certain conditions – the tenure rights of the poor over the land they had occupied informally. Thanks to a strong and continuous social mobilisation the municipal government enacted a land use ordinance in 1983 in which it recognised about 30 settlements (out of nearly 300) by declaring them ZEIS or Special Zones of Social Interest. Three years later – 1986 – this was further regulated in a broad legislation called PREZEIS with the instalment of a particular forum to manage its funds. Although limited to poor settlements legally defined as ZEIS the forum can be regarded as participatory governance on land in Recife where representatives of government, civil society organisations and representatives of the residents of these ZEIS areas actually meet, prioritise and decide on the use of the available resources of the fund.

As affirmed earlier, this achievement must be accredited to collective movements of residents technically and politically supported by NGO's and civil society organisations. And it must be acknowledged that this legislation anticipated the instruments contained in the "Estatuto da Cidade" legislation enacted by the Federal Government in 2001. The City Statute is regarded by many as a very progressive legislation that provides local governments with a variety of instruments to intervene in slum areas, land property, real estate development and on rights to build among other things.

The enactment of a ZEIS by the municipal government does not mean that the settlement in question will be automatically urbanised and legalised. It is an instrument to freeze development on that area and in the first instance halt gentrification and hinder land speculation that will automatically lead to the gradual eviction of the poor. The enactment paves the way for the start of settlement upgrading initiatives meaning that topographic surveys, mapping, initial layout planning and planning for provision of basic infrastructure can get started and the area can benefit from public investment derived from the PREZEIS fund. Becoming a ZEIS implies that the residents get the opportunity to claim legal rights on that land via court cases thus neutralising chances of eviction.

The enactment of a ZEIS-Special Zone of Social Interest declares the boundaries and recognises the peculiarities and particularities of low-income settlements paving the way for further improvement, regularisation and legalization of tenure as illustrated in Box 4. In Annex 2, there is a description of the steps undertaken vis-à-vis NGO assistance. It goes without saying that this does not happen without social and political pressure of the residents and those who are interested to have the area declared as ZEIS. It requires a certain degree of social mobilisation from residents and their community-based organisation that are usually supported by NGO's. Without the technical, political and capacity building support provided by NGO's it is unlikely that a decision to declare an area ZEIS can take place. Moreover it is doubtful that the PREZEIS can remain operational in its present format without the work of the NGO's as technical assistance of community-based organisations and their operational support. However, the need for NGO assistance has given its toll to the organisational capacity of NGO's to keep up with the increasing demand from both government and community sectors. In order to understand the type of work typically from a NGO working in the PREZEIS, see Annex 2.

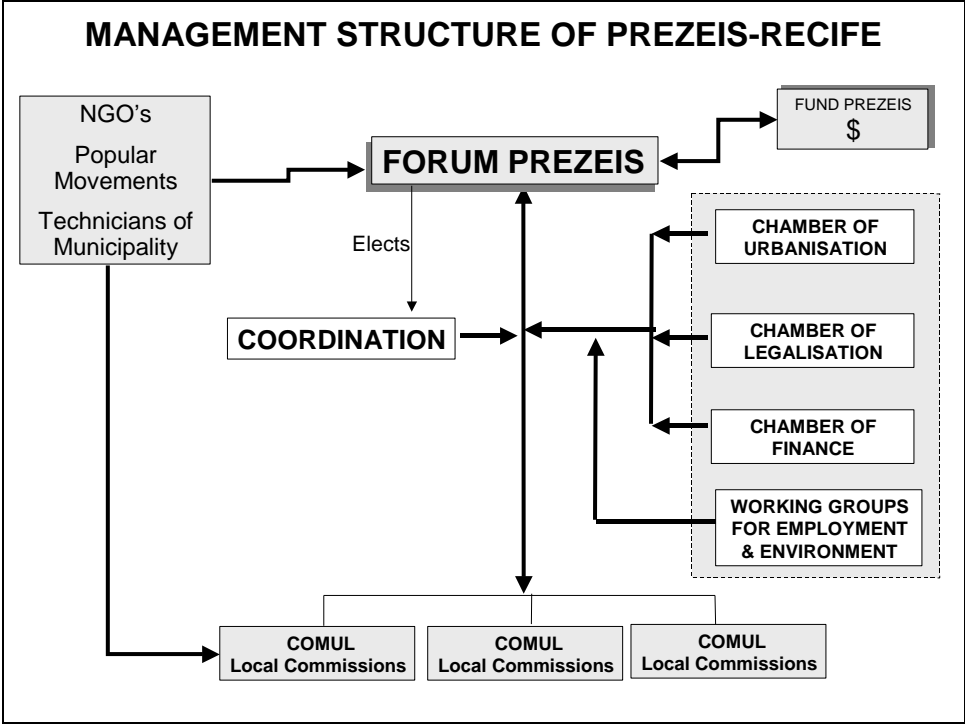
At this point in time there are already 66 ZEIS (2 additional settlements have submitted a request to become ZEIS but until this date a decision has not been made by the municipal government). The ZEIS settlements vary in size, population, tenure status and location in the city. Boxes 1, 2 and 3 illustrate the type of environment found in a ZEIS settlement. Because of the number³ of entities capable to provide the technical assistance to the PREZEIS does not match the magnitude of the work the increase in the number of ZEIS has obliged the NGO's to define geographic boundaries and subdivide amongst them where to focus their development assistance works. One can speak of area-based assistance within geographic boundaries for every NGO active in the city. In other words NGO's are focusing their assistance to the ZEIS or few ZEIS situated within the Micro Planning Regions (the same that is applied to the Participatory Budgeting) so that scarce institutional, financial and human resources are optimised.

Not mentioning that this allows for continuity and concentrated attention. In that respect the NGO's have come to a very clear agreement that prevents duplication and squandering of resources. In order to formalise this within the Forum PREZEIS, a formal proposal was presented by the "collective of the NGO's" but it was not endorsed and the NGO's somehow started to reconsider the problem in their plan of activities independently from the Forum.

³ There are 6 NGO's considered as urban NGO's providing involved directly with the PREZEIS: FASE, ETAPAS, EQUIPE, CENDHEC, SJP, Centro Luis Freire, the latter based in Olinda.

One interesting aspect of the legislation is the management model encompassing different levels of citizen participation in decision-making. Figure 1, illustrates the management structure of the PREZEIS. The Forum PREZEIS is a deliberative channel where government, NGO's and residents shared decisions and define priority areas for fund allocation in the ZEIS settlements. It is divided in the general assembly (the forum), the COMUL's, the specialised Chambers and the General Coordination.

FIGURE 1: Diagram of the PREZEIS Structure



The COMUL's are area-based structures that link local priorities and demands articulated by the residents to the general assembly of PREZEIS (the Forum). As mentioned earlier in the report, the COMUL's are operational arm of the PREZEIS and in fact prepares local plans and priorities and feed-in the decisions to be made by the FORUM. It is through the COMUL's that lay residents actually get involved in the PREZEIS though the plenary sessions of the Forum are open to the public.

More than a decade of experience shows this management model and structure of citizen participation has generated discrepancies. Evidences collected by the NGO's and the interviews undertaken through the process mapping research show that the COMUL's are not playing the active role that was originally assigned to them. Often local leaders are not keeping informed the residents of their settlement resulting in the COMUL becoming a weak and figurative structure. Moreover the elections of representatives of the areas to take a seat in the Forum often lack the legitimacy and quorum for representation. Some argue that there are community leaders who have become practically permanent members of the FORUM and are continuously elected in doubtful elections. Some argue that there are elections not sufficiently announced thus residents are not properly informed about them; some elections take place without the required quorum. Altogether results that there is a lack of renovation in local leadership and increasing practices of political "clientelism". It is against this trend that the municipal government took the initiative to start discussing the reform of the PREZEIS. The NGO's have acknowledged the problem and in principle are in favour of restructuring and giving more dynamism to the PREZEIS but the popular movements and community-based organisations and local representatives reject this idea. This is actually a point of friction that is not resolved yet.

In terms of participation Table 1 shows clearly that the PREZEIS demands a remarkable amount of time from its participants. The FORUM meets on a monthly basis but if local leaders and representatives who are members of the FORUM are to be informed and fine-tuned with what is being discussed within the COMUL's then one can expect

that membership in the PREZEIS can become a full time job in itself. The number of meetings of the COMUL's suggests that participation is likely to impose a toll on residents and those involved in technical assistance like NGO's and technicians of the municipality. Data derived from Table 1 indicates that there are on average more than 100 meetings per month in the COMUL's with at least 3 monthly meetings taking place in each one of the 36 ZEIS that have a COMUL operational.

Table 1: Total Number of Plenary Sessions and Meetings in the PREZEIS

Activities	2001 (Jan – Dec)	2002 Jan – Oct)	Total
1. Plenary Session Forum PREZEIS	16	10	26
2. Chamber of Urbanisation	38	29	67
3. Chamber of Legalisation	20	15	35
4. Working Group PREZEIS	16	10	26
5. Working Group Sanitation	05	10	15
7. Working Group Work & Income	21 24	12 24	33 48
8. Working Group Environment			
8. COMUL	1,259	1,400	2,659
TOTAL	1,399	1,610	2,808

Source: URB, 2002.



Community-Gov Meeting at Chico Mendes

If one considers that the main objective of the PREZEIS is the final land tenure regularisation of all informal settlements (66 ZEIS) where poor families reside it is remarkable and disappointing to conclude that despite all this institutional and participatory efforts the results are meagre in terms of the number of families who had their plots regularised with land title deed issued by the Municipality. The process mapping research disclosed a lot of controversy and contradicting information about the results accomplished by the PREZEIS to date. How many families have actually benefited from the PREZEIS? How many land titles have been issued? How many families have had their residential areas improved by infrastructure and public services derived from the PREZEIS investment plan?

Although an evaluation of the PREZEIS is out of the scope of the process mapping research it is worth to bring light over the results and impacts of the PREZEIS given the fact that this is one of the “oldest” channel of participation existing in Recife. A document of the Chamber of Legalisation dated from 1995 assessed the situation in 30 ZEIS settlements and disclosed that there was an on-going process of tenure regularisation in 6 different ZEIS that involved 2,719 families (FASE et al, 1997). Another document issued by the municipal government – URB shows that infrastructure works were carried out in 21 different ZEIS benefiting 195,652 inhabitants (FASE et al, 1997). This is in addition to the formulation of the basic documentation for legalisation of land tenure in 9 ZEIS settlements involving a population of 97,436 inhabitants. Interviews carried out in Recife showed that 400 families received the titles of their plots.

The intricate regulatory framework regulating land property registration can be accounted as the major cause for the limited results of the PREZEIS as illustrated in Annex 2 that depicts the work of the SJP, a NGO providing legal assistance to residents living in the ZEIS settlements. The process mapping research reveals that cumbersome procedures within the local government, particularly within URB, cannot be disregarded when assessing the PREZEIS results. There are long-winded procedures to formulate and approve the urbanisation plan that includes settlement plans, topography, infrastructure layout, etc. and last but not least time-consuming processes to resolve disputes over land ownership. Consequently, there is little progress in land tenure regularisation in the PREZEIS which explains the choice made by NGO's in favour of legal actions to safeguard collective ownership via “usucapião coletivo” that is now regulated by the Statute of the City legislation.



Brasilia Teimosa, pioneer in resistance against eviction

Box 3: A Brief History of the ZEIS Entra Apulso

Source: CENDHEC, (2002). "Entra Apulso, um breve histórico". Site visit and interviews with URB and residents.

History

For more than 50 years the residents of the informal settlement called Entra Apulso have been resisting the threats of eviction. They have been struggling for legalisation of land tenure and for the improvement in urban infrastructure and services, and for their basic social rights. The settlement dates from 1930's and is encroached within a very distinguished neighbourhood situated at the seashore of Recife, called Boa Viagem, where land and real estate property prices are the highest in the city and where prominent personalities and high income groups live. It was formerly a flooded area along the canal of Setúbal where residents carried out an informal landfill resulting in a gradual process of land reclamation from the mangroves. The relative easy accessibility to employment opportunities, public transport and abundant leisure facilities are factors that have motivated residents to resist all attempts of relocation despite the rather violent interventions of police that occurred every once in awhile. It is reported that during the day the police and municipal building inspectors demolished the shacks built by the residents during the night. Residents were tireless and rebuilt them during the night over and over again. In 1987 the settlement was transformed into a ZEIS resulting into a new regulatory and legal frameworks governing the settlement and consequently greater acceptance for the existence of the settlement. This has facilitated the residents' struggle to remain in the area. A real threat against the permanence of the residents became real only when the construction of a very big shopping mall started in a nearby area. This was the moment that a neighbourhood association was established. In 2001 there were 3,726 people living in Entra Apulso.

Community-Government-Private Sector Negotiations

The settlement was subject to an interesting public-private-community negotiation process when Recife's largest shopping mall – Recife Shopping Center – had to be built on a land reclamation area where once was a mangrove situated in an adjacent area. It became clear that it was necessary to open a road through the area where the settlement is located in order to make the shopping mall accessible through Boa Viagem. This required the demolition of shacks. A process of negotiation was launched between the residents through their community-based organisation, the management of the shopping mall and the municipal government. The planned road could be open and residents of the shacks situated along the road axis were removed to houses built on land situated nearby that was purchased by the Shopping Mall. In exchange, the municipal government would transform Entra Apulso into a ZEIS. There are also other initiatives involving the Mall, shopkeepers and residents of Boa Viagem in the settlement like the community day care centre where 103 children can be hosted.

Land Question

The settlement is situated on land regarded as seashore land (terreno de marinha) belonging to the Federal Government. The site was subject to "aforamento" (authorised occupation & development) and transformed into two land parcelling belonging to a developer and an individual owner. These parcels were later transferred to 19 and 12 new owners respectively. The spontaneous occupation took place on top of the site and has superposed the official parcelling. In 1994, the municipality registered 1,112 properties on the site from which 45% are situated on privately owned land, 38% on public land and 16% on mixed use areas. In 2003, residents entered with a request for land regularisation – supported by NGO's – making use of the 'special urban usucapion' instrument. 46 individual concessions have been awarded and by the end of the year there were additional 52 contracts to be signed.

Urban Liveability

In the beginning there was no electricity, potable water and paved roads. The residents resolved the problem of electricity supply through illegal connections and extensions until the Electricity Company – CELPE installed the first public lighting polls and meters. Water was purchased and collected manually in nearby taps but that required a long walk and long waiting lines. At times, bribing the security of nearby construction sites was the most efficient way to access water. A borehole wells was open within the settlement but once the pump broke down it was never repaired and the well was deactivated. Nowadays there are pipelines providing water to a great number of families of the settlement. Transport has never been a problem. Children were provided with school facilities nearby but also inside the community. In 1987 a first health centre was built in the area. Residents have good memories from the mangrove where fish, crabs and small birds were in abundance. In 2001, the inhabitants reported that the most serious problems they face is violence and lack of basic infrastructure. In the end of 1990's the owner of the land claimed the land in court and from that moment onwards the community is living under continuous pressure and being supported by NGO's and activists who believe in their right to remain in the area. In 2003 some shacks were

demolished in the settlement, in a location where the legal owner of a plot had gained his rights in a court case and had his plot cleaned up ordered by Justice and executed by under Police's supervision.

3.3 *The Participatory Budgeting - OP*

Box 5 illustrates the OP in Recife. It is an annual and cyclic process of meetings, plenary sessions and discussions involving lay residents, residents' associations, civil society organisations, community leaders and government representatives that focuses on the formulation of the annual plan of investment of the municipal budget. The process is organised on a territorial basis and is open to any resident older than 16 years of age. But the impact of such a channel of participation in the city is enormous. The OP in Recife is the key channel of participation with a remarkable power of social mobilization acknowledged by all people interviewed by the process mapping research.

As explained by the municipal secretary⁴ in charge of the Participatory Budgeting of the Municipality the municipal government pursues a line of action that is based on 4 major guidelines: (1) to establish a radical democratic city management; (2) to counterbalance liberalisation and deregulation trends by strengthening the regulatory role of the State, in this case the local government; (3) to consolidate processes of representation as a channel for ample dialogue State-society e.g. sector councils, and (4) to reconstruct the strategic planning of the city in order to strengthen its economy and stimulate the roles of the various economic actors of the city.

The local government pursues a policy for direct participation and sees the NGO's as intermediary actors in social participation. Recife follows a differentiated model of participation when compared to other cities like Porto Alegre and Belo Horizonte. João Costa argues that there are restrictions in the practice participation that is traditionally found in Recife where one finds strong processes of intermediation between the direct will of the population and that of its leadership and representative organisations. This needs to be tackled and the format of the OP address this gap by opening up ample space for individuals to participate and take part in the decision making process. Therefore, in the OP of Recife, at first priorities are set by all residents present in plenary sessions and only afterwards there is election for appointing delegates. In this way the municipality believes that the population sees the prioritised public works as government intervention and not the work that was brokered by and is associated with a particular leader. It is obvious that the municipality wishes to rupture practices of political clientelism in the allocation of public resources. The government recognises the existence of deep-rooted forms of behaviour and practices that do not help to "emancipate" those individuals traditionally excluded from public investment in Recife. In that respect, the municipality believes that with this approach in the OP it is fomenting the reorganisation and management of the PREZEIS Forum.

The municipality acknowledges the difficulties to establish an internal management process of such a very demanding, continuous and comprehensive process of citizen participation like the OP. There is a paramount of time and resources allocated just to keep the process running smoothly. As mentioned elsewhere in this report, the choice was made to establish a municipal secretariat with exclusive executive functions to oversee and coordinate social mobilisation and citizen participation. The current effort of the municipal government is to promote thematic city conferences and establish a forum that links the thematic plenary sessions and the sector councils with the OP and its budgetary allocation. In this way the municipality hopes to establish a vision for the city within the overall structural planning for the entire city. One of the major difficulties encountered by the municipal government was the dichotomy between the vision about the city by planners and academic researchers and the city of empirical experiences. In the words of João Costa, "the city excludes and divides and is constructed by social pressure of those excluded and not by planning". So, the challenge that citizen participation brings forward in Recife is how to keep a balance between the "elaborated project /vision for the city and the wishes of the population.

When compared to other experiences of participatory budgeting elsewhere in Brazil, one finds the following differences⁵:

- Priorities and public works are defined directly by the population attending the plenary sessions;
- There are two unique thematic plenary groups: women and youth;
- The middle class is increasingly getting involved in the OP;
- The process of registration is computerised and made on-site. The results are immediately released so that participants in the meetings and plenary sessions know about the social representation and number of delegates that can be elected. What is remarkable is the assessment of the priorities elected by all participants that takes place shortly after the end of the voting. Participants leave the plenary sessions with the results already publicised and visualised to all.

⁴ Interview with Mr. João Costa, Municipal Secretary for Participatory Budgeting and Citizen Participation, 12 June 2003.

⁵ Field visit of the author; see also www.recife.pe.gov.br

- There are positions open for the representatives of sector councils in the Participatory Budgeting Council-COP, a fact that gives more coherence in the global planning of the city;
- The city established a Participatory Care Center (Brinquedoca Participativa) that is a place with all animations and supportive infrastructure where parents can leave their children while participating in the OP session;
- Recife established a Children Participatory Budgeting that involves 90,000 children from 7 to 12 years of age who discuss and elect priorities for their schools and localities.
- The OP fomented the establishment of Citizen Commissions to oversee and inspect public works in their localities.



OP-Plenary Session Economic Development 1

The OP leaves no doubt about its results and successes. Public works and important capital investments in infrastructure and services have been realized. A total of 304 different public works and projects have been implemented totalling R\$53.7 million. Figures provided by the municipality shows that R\$ 45.8 million has been invested in 214 different works that are either concluded or in process of execution. 90 different works had been prioritised and resources allocated. During the first three years of the OP, the top priority selected was by the population was drainage and pavement (32%), basic sanitation (14%), contention against landslides (13%), housing (12%), health (10%), leisure and sports (9%).

The municipality boasts about the growing numbers in terms of social mobilisation and engagement of the population participating in the OP cycle. In two years 109,000 people got involved in the cycle of discussions. There were a total of 1,088 thematic plenary sessions and intermediary meetings in which 3,993 delegates were elected. There are 26 regional and thematic forums that regulate public policies being carried out by the government. These forums meet on a monthly basis and involve 1,400 delegates. If one considers that this is all voluntary participation it is possible to speculate that if the population sees the benefit of this participation the OP tends to get consolidated as the channel of citizen participation in Recife. If public investments in their residential areas are the tangible results of this participation then one can expect that in their residential areas



Participatory Budgeting Plenary Session 1



Children in a ZEIS settlement 1

Box 4: Procedures for land regularisation according to the PREZEIS legislation

Sources: FASE *et al.*, 1997; 1999. Field survey by the author.

The PREZEIS legislation provides the municipal government with two instruments when intervening in an informally and illegally occupied land parcel. The “**usucapion**” or **adverse possession** – *usucapião* – and the “**real right to use concession**” (lease holding or CDRU-*concessão de direito real de uso*). These two instruments were regularised nationally through the “City Statute” legislation enacted as national law 10.257 in July 2001. The “ordinary usucapion” allows residents to purchase privately owned land, on parcels smaller than 250 m², on which they have been living for a period not less than 5 years under certain conditions. The CDRU is a concession – in the form of a 50-year lease contract – provided to those who occupy municipally owned land or land belonging to the Federal government but under concession to the municipality that permits the occupants to remain on the land parcel on which they have built their house. The procedures and steps can be outlined as follows:

1. Municipal decision declares the area a ZEIS

After some studies, site visits and technical feasibility analysis, as well as debates with community groups and interested parties, the local government recognises and issues a decree declaring that the area where the settlement is located becomes a ZEIS. Within the boundaries of the ZEIS, special regulations and norms will be applied.

2. Topographic assessment

Basically, a first step is to carry out a topographic inventory so as to establish the basic cadastre of the occupation and boundaries of land parcels. This results into the urban layout of the spontaneous settlement. Simultaneously, the municipal government is consulted in order to find out whether there is an official and approved settlement plan for the area. In case there is such a plan, a map overlay is carried out in order to compare and disclose which houses are in privately owned land parcels and which are situated on streets and public spaces.

3. Land property assessment

A survey is carried out in the registry of the notary office of property registration that aims at discovering the legal owners of the plots where the ZEIS is located.

4. Registration of the Residents

A social survey is carried out among the residents aiming at their identification (profession, civil status, nationality) needed to become beneficiary of settlement and land regularisation. Is she/he the owner of the house? How long has she/he lived in the house/location? All elements like electricity bill, tax bills, etc. are used for that.

5. Decision on which instrument to use

Provided that eligibility conditions are met, in case land is privately owned, the instrument is the “usucapion”. If it is public land, the choice is usually CDRU that is formalised in a contract between resident and municipality.

6. Eligibility for regularisation

Two main factors are determined to sustain chances of success: proof of land holding and the time that the individual occupant is holding that parcel of land, how long he/she has been living there? Land holding can take many forms and not all can be subject to regularisation. If there is no violence in taking hold of the land, if this is not questioned by the legal owner, or if the occupant has been continuously holding that land – living there uninterruptedly – and if he/she has been acting as a legal owner by building a wall, house, planting trees and maintaining the property in good state. If positive, it is likely that the occupant will have the land parcel regularised and be ratified as his/her property.

7. Court decision

A decision is made on the basis of all documents presented on behalf of the residents, occupants of the settlement (ZEIS) in question. Normally NGO's take up this task. “Extraordinary usucapion” requires a minimum of 20 years of land holding, peaceful and uninterrupted and without claims by owner. “Ordinary usucapion” requires 10 years in case legal owner lives in the same city and 15 years if he/she is an absent owner living in another city, in both cases when owner has made no legal action to claim restitution. “The constitutional usucapion” – as indicated in the 1988 constitution – considers a minimum of 5 years of land holding, uninterrupted and for exclusive residential use and for plots smaller than 250 m², and occupant cannot be owner of another plot either in city nor in rural area. The judge

decides and determines the notary office of property registration to proceed with registration under the name of the occupant.

Source: Fase-NE etal (1997); Fase-NE (1999); Miranda (2002), field work of author.

Box 5: Participatory Budgeting

Citizen participation is not new in Recife and neighbouring municipalities. Though different modalities evolved in recent years. The election of mayors (1996) who supported the idea of greater involvement of citizens in the governance of their cities gave additional impulse to that in their localities. As a result several sector or thematic councils – as defined by the Brazilian constitution – have been installed in many of the municipalities belonging to Recife's metropolitan region. By the end of the 1990's four municipalities had established participatory budgeting, herein referred to as OP, as one of their major channels for citizen participation: Recife, Camaragibe, Cabo de Santo Agostinho and Moreno. The subsequent municipal elections (2000) brought changes in this scenario. The municipality of Moreno interrupted its OP but three other municipalities introduced the OP as part of their citizen participation strategy: Olinda, Igarassu and Jaboatão dos Guararapes. This means that out of 14 municipalities that make up Recife's metropolitan region 6 of them actually have established the OP as their major channel of citizen participation.

In operational terms, the previous municipal administration of Recife regulated citizen participation in the OP by determining a fixed number of delegates and limiting the election of delegates from the overall public. This means that half of candidates had to be appointed from within the community-based organisations and the other half could be elected in public plenary sessions open to the population. This changed dramatically after the 2001 election. The newly elected municipal government regarded the OP as its main channel of dialogue between the government and the citizenry. A municipal secretariat was established with the exclusive executive mandate to manage and implement a citizen participation policy in the city and give shape to a participatory budgeting open to every single resident of the city. It became the spearhead of the municipality's citizen participation strategy.

As part of its decentralisation strategy, the municipal government divided the city in 6 political administrative regions (RPAs). Each one of them was further subdivided into 3 micro regions. In total, Recife is divided in 18 micro regions that help the municipality to plan and manage its programmes on a territorial basis. It also provides the key geographic boundary for organising the demand, prioritisation and implementation of the OP. A Participatory Budgeting Council, herein referred to as COP, was established and it is where the final decisions on the budget are taken. A Forum of Delegates (elected) was established for each micro region as well. Besides the regional components 8 Permanent Thematic Plenary Sessions not geographically bound on the following themes: (1) Youth, (2) Culture, (3) Social Assistance, (4) Economic Development and Tourism, (5) Health, (6) Education, (7) Woman, and (8) Urban Development and Environment. In terms of participation, every citizen can become a delegate provided that he/she is a resident of the micro region and is older than 16 years of age. The election takes place during the plenary sessions that are open to the general public. The total number of delegates is defined by the total number of people attending the meeting on the basis of 1 delegate for every 10 participants present and formally registered at the registration desk. In 2002 there were 2,200 delegates elected in the 18 regional Forum of delegates and Thematic Plenary Sessions. Above all these spheres of participation lays the COP for which 2 councillors are elected from each micro region, 1 from each Thematic Plenary Sessions, 2 from each installed Sector Municipal Council, 2 from the PREZEIS and 3 councillors representing the Municipal Government (Planning, Finance and Participatory Budgeting Secretariats). In total the COP counts with nearly 40 councillors with the majority coming from civil society. In addition, in 2003 there were 95 "follow-up commissions" formed by residents and delegates living in the surrounding areas of the public works approved and sponsored by the OP that are becoming "citizen inspectors" of the government. The Tribunal of Accountant is training these committees to act as watchdogs of the citizenry.

The budget is discussed in a annual cycle of meetings starting in March and ending in September when the budget proposal must be submitted by the mayor to the Municipal Legislative Chamber (CM) to review and ratify. The prioritisation made by the population takes place along a series of meetings. The regional plenary sessions taking place in every one of the 18 micro regions; the intermediary plenary sessions organised by social organisations that were registered in the regional plenary sessions; the thematic plenary sessions for each one of the 8 themes; the sessions of the regional forum of delegates taking place regularly in each one 18 regions; the sessions of the thematic forum of delegates taking place regularly for each one of the 8 themes. And finally the sessions of the COP where decisions are made on the priorities, allocation of resources and the annual plan of investment. Regular "caravans" are organised to take delegates and councillors to the different locations and projects in the entire city. The municipality claims to have the most successful OP in Brazil on the basis of the response of the number of participants and dynamics of the civil society engagement in the formulation of the municipal budget. The budget cycle of 2001 registered the participation of nearly 43,000 people and 67,000 in the 2002 cycle and 69.700 in 2003. Additionally 1,200 organisations registered in the plenary sessions of 2002. The main priorities selected by the population attending the budget cycle of 2002 are pavement, drainage, landslide

prevention and accessibility through staircases in steep areas. Health, education and housing are also part of the list of priorities, its relevance and weight depending on the micro region.

In comparison to the total budget the amount of resources available for investment and subject to the participatory budgeting is relatively small. The budget for 2002 was R\$1 Billion and the Plan of Investment was R\$53.9 million Reais. In 2003, the municipality announced the prioritisation of 371 different projects made by the population and by May of that year half had been completed representing R\$30 million in public investments.

Source: Field interviews by the author; ETAPAS, 2203a; PMR, 2003; 2003a; Melo et al (2001); Fase-PE, 2002; www.recife.pe.gov.br;

Box 6: The Sector Councils or Conselhos Setoriais

The Sector Councils (Conselhos Setoriais), herein referred to as Conselhos, are special entities established by the different government levels (central, state, municipal) in accordance with the 1988 national constitution. It has juridical personality, acts in a decentralised form in formulating and controlling public policies on specific sectors e.g. education, children, social policies, etc. It has a deliberative or advisory status depending on the sector. It is the sphere where government policies are actually controlled by civil society. Conselhos exercise social control on public policies by establishing directives, approving policies, plans, programmes and projects and by acting as “social watchdogs” with monitoring and appraisal of policy results and operations. These are inspired on the experiences of municipal sector councils and neighbourhood councils of Spain, France, Italy and England.

In Brazil, prior to the enactment of the 1988 constitution, there were a number of experiences in São Paulo, Porto Alegre, Rio de Janeiro just to mention a few. A pioneering experience took place in 1970's in the small municipality of Boa Esperança, State of Espírito Santo, where a progressive mayor innovated in public management by establishing a municipal development council. This was a civil society entity with consultative and inspection character to oversee the actions and policies of the municipal government. These experiences triggered a discussion about the potentials of co-management of social policies and shared responsibilities between government and civil society in defining public policies in Brazil. It is worth mentioning that many of these initiatives had a close link with the organisations promoted by the Catholic Church through its community-based organisations networks (CEBs).

In general, these “conselhos” gained shape and active role in public policy in the Health and Education sectors. At the municipal level, the “conselhos” are established in accordance with national legislation regulating for example the Health Sector, Social Assistance and Children and Youth Protection with different statutes and ordinary laws. Some of them are linked to particular national fund that conditions its utilisation to the establishment and functioning of the council. Thus there is a legal “coercion” to get civil society involvement in sector public policy. But this enactment is at the discretion of mayors. A municipal decree proposed by the mayor and approved by the Municipal Chamber is the common measure to establish and regulate the functioning of the “conselhos”.

Members of the “conselhos” are elected from within the community. Community-based organisations, professional organisations like Lawyers Bar Association, Association of Sociologists, Architects' Institutes, but also labour unions and syndicates. Usually, they are active members of movements, associations or political activists in some of the sectors concerned. A research carried out by Cortês de Lima and Bitoun (2003) reveals that there are 55 conselhos established in Recife's metropolitan region (14 municipalities) with 1,217 councillors from which 54% belong to civil society organisations, 15% to labour unions and syndicates, 5% to employers' associations and 26% comes from government sector.

The size of the “conselhos” varies from 16 to 52 councillors including their deputies. It is noticeable that 12 municipalities have established their council on health and social assistance. The council of the children and adolescent is established in 9 municipalities. These are sectors in which civil society mobilisation was very intense during the 80's resulting into a strong and organised lobbying during the formulation of the 1988 constitution. This helped the reform in these sectors and paved the way for a significant reform and primary legislation endorsed by the constitution.

The research outlines the profile of the councillors indicating that government representatives have high education degrees (79%) while those representing civil society only 42%. Relating gender to education, it reveals that higher education is predominantly found among women (84.6%). Regarding income, the research indicates that one third of the members from civil society are poor since 34% of the councillors earn not more than 2 minimum salaries-MS (+/-US\$75.00) while only 24% earn above 10 MS. A different profile is revealed within the government sector where the majority (81%) earns more than 10 MS and only 8% can be regarded as belonging to the poor group. Nearly half of the group surveyed by the research are members of labour unions, syndicates or professional organisations. Nearly half have also responded being a member of a political party with 51% members of left political party.

In Recife, there 8 conselhos in operation namely (1) Culture, (2) Environment, (3) Social Assistance, (4) Health, (5) Education, (6) Children & Adolescent, (7) Urban Development and (8) PREZEIS. Some meet at every 3 months, others every 6 months. The CDU meets monthly. It appears the the Health Council is the work that better functions most probably because users of the health system are very much present in conducting the works of the council.

These councils are also linked with the city conferences focusing on each theme which draws up priorities for municipal policies on these sectors while involving civil society in the discussions.

Source: CJC, 2000; Cortês de Lima and Bitoun, 2003; Observatório PE, 2003. Field work by author.

4. ACTORS IN THE URBAN AREA OF RECIFE

In a city like Recife one can identify many important actors shaping its development. Though we should bear in mind that local governments and the governance of cities gain relevance in a country like Brazil where 82% of the population live in urban agglomerations. Not mentioning that more than half of all one-million plus cities of Latin America are situated in Brazil a fact that reinforces the weight of cities and their governance in resolving the critical problems of poverty, social exclusion, violence and social polarisation that affect the country as a whole (Acioly et al, 2003).

Municipal Government

This means, the municipal government becomes the major actor regarding the development of a city, particularly in large and complex cities like Recife, channelling resources, setting up rules and development control measures, collecting and generating revenues, facilitating investment and promoting welfare and economic development. Local government policies, its priorities, its way of governing the city through its various sub-structures and operational agencies and its capacity to respond to the demand for services and infrastructure are fundamental for sustainable development. There are more than 5,500 municipalities in Brazil. It is an important party of the federation that is formed by three completely autonomous levels of government: federal (national), state (provincial) and municipal (local). The importance of a municipal government in a city is amplified due to notable constitutionally protected autonomy in its administration, finance and political representation. This also turns Brazilian cities and their administration a strategic element for national development goals. The mayor and vice-mayor who are part of the executive part of the government and the municipal councillors who are members of the Municipal Legislative Chamber (Câmara dos Vereadores or Câmara Municipal) are all elected for a 4-year term by all residents of the city with 16 or more years of age. Thus local accountability is at the forefront. Municipalities are also entitled to design and approve their own organic law _ Lei Orgânica – that are like a municipal constitution laying down the basic rules for local governance.

The Mayor

But it is the mayor who is the key figure in local policy matters. He is the head of the local executive. He organises and leads the municipal administration with its various secretariats (kind of municipal cabinet), agencies and operational arms. He is the one who initiates legislation on matters varying from defining administrative posts, wages of the civil servants, appointment of staff and municipal budget, to contracts and loans, planning and decision making, and everything else that determines the function and operation of the executive arm of the municipal government. . Institutionally, politically or organisationally speaking there is nothing above the mayor except the law (Acioly, 2000). But the mayor's plans and proposals need endorsement from the Municipal Chamber meaning that often mayors need to assure that there is sufficient basis for political negotiation in case his political party does not have the majority of the seats in the municipal chamber. Otherwise he cannot pursue his policies and carry out his government programme in full extent for which he was elected.

The Vereador

That brings into the light the role of the “vereador” or municipal councillor who is elected to represent the population in the municipal chamber that is the legislative power totally independent from the executive governing the city. The legislative chamber's main tasks are to issue legislation with sanction from the mayor and to oversee the executive arm of the government. The “vereador” is another key person in local politics and in defining policies in a city by sanctioning legislation and approving the mayors' proposals in terms of legislation, budget, plans, projects, accountants statements, etc. (Acioly, 2003). It is worth noting that the “vereador” commonly has a constituency based on a geographic boundary – where most of his voters live in the city – and this has often generated discrepancies in the allocation of public investments as a result of intense political brokerage exercised by the vereador in favour of his constituents. It goes without saying that this has led to corruption and manipulation with public funding deepening social exclusion and spatial segregation in Brazilian cities. Recife is a clear example of that.

Social Movements

It is against this tradition characterised by “political clientelism” that participatory budgeting and increasing civil society participation in city management have arose throughout Brazil. The clamour for transparency and accountability in public budgeting and in public resource allocation in cities has been a motto in practically all urban social movements in Brazil. This was particularly intensive during the last 5 years of the military regime (1964-1985).

In that respect Recife is thus no exception. A variety of forms of organisations, grassroots movements, coalitions of residents associations, next to the more conventional professional associations gathering architects, lawyers, sociologists, etc. started to exercise political pressure for policy and institutional reforms in order to counterbalance the hegemonic roles of the political establishment in developing and shaping the urban environment in cities at their discretion. These organisations have shaped processes of civil society engagement in local affairs. It is worth noting that during the formulation of the new Brazilian constitution (1988) the lobbying of these movements managed to insert significant reforms in some sectors and above all attaining the recognition of the “conselhos setoriais” by the enacted constitution as channels of participation that materialise the principle of social control over the state.

During the last decade many cities have elected progressive mayors who not only defend the principles of good governance, transparency and accountability but actually put it into practice by establishing a number of channels of civil society participation. The participatory budgeting – with its council and various layers of government-community dialogue – is one of its most renowned instruments next to the “conselhos setoriais”. It is in these councils where several actors meet and contend not only for allocation of public money in benefit of the poor and segregated parts of the territory of the city but also for shaping government policies. Actors and different stakeholders with different and often conflicting interests meet, discuss, negotiate and are learning how to negotiate in favour of the public good. We have seen – and this is illustrated well in Recife – that these channels of participation are opening up avenues for new actors to ascend and new leadership to develop.

Non Governmental Organisations

The NGO's are one of these actors that are fundamentally creating the basic conditions for a new citizenship to rise in Recife thanks to the attention given to capacity building and human resources development focused on particular groups of the population like youth, woman, leaders of community-based organisations and representatives of the various councils (OP and sector councils). In 1993 there were 6 NGO's providing assistance to organised communities and popular movements in Recife. Five of them were neither linked to university nor to the Catholic Church. One was a community group organised as NGO. In the beginning, NGO's pursued a distant approach from the institutional channels of participation⁶. NGO's stressed their roles as (1) 'technical assistance' (not accepting the 'intermediary' position as outsiders of the process), (2) 'facilitators' (eventually being able to disagree with the community and agree with the government) and (3) 'neutral role' (providing continuity with their own strategies and line of action).

As revealed by the process mapping research many NGO's are concerned with the quality of participation that means to increase the understanding of the representatives of the population about the issues at stake and gradually work for attaining a different type of citizenship. The social polarisation in Recife that is spatially translated onto the territory (access to land and services) encouraged the establishment of technical and political support to community-based organisations and popular movements. This was the case of the special office for juridical assistance to popular organisations (GAJOP) that was founded in FASE. Many NGO's have their origin as centre for assisting and supporting social movements thus born with a strong advocacy character. It is only by mid 1990's that NGO's start renewing their organisational, professional and ideological approaches towards local development and community-based processes.

With more than 450 social organisations recognised by the municipal government Recife boasts relatively speaking the largest number of NGO's and civil society organisations when compared to other cities of its size and importance in Brazil. They also represent themselves as a Federation – ABONG – that are recognised by the municipal government as the legitimate representative of the collective of NGO's in the city. In Recife, the NGO's became also a breeding ground for development practitioners concerned with the need of empowering both residents and local government in order to create an enabling environment for civil society participation and for the government to fulfil its social responsibility. This became obvious after the election of mayor João Paulo when several staff from NGO's were offered to join the municipal government.

The Church

The Catholic Church was traditionally a very important actor in Recife and one of the most important references for social mobilisation. It was involved directly or indirectly with major social initiatives in the city thanks to its social network of community groups and the theology school (INTER) that formed many leaders in Recife including the actual mayor himself. The ITER (Instituto de Teologia do Recife) was a centre of excellence that gathered

⁶ Interview with Leonor Maia.

intellectuals linked with the church and whom pursued a humanistic political line of action. The SERENE (Seminário Região do Nordeste) where the participants studying at INTER lived was an open seminar that advocated the engagement of the church in the struggles and organisation of the population and particularly the poor. However all this has changed dramatically during the last decade particularly after the replacement of Dom Helder Camara by a conservative bishop who – in the view of many individuals interviewed by the process mapping research – is either undermining the work of many groups or not providing the necessary support the Church always provided in the past. The Church is present in many poor communities but not with the vitality that it used to have.

Residents' Associations

Most of informal settlements in Recife have a residents' association. Some are more active than the other. In general these are neighbourhood-based organisations legally and formally established. But it usually starts with group of active residents who mobilizes the residents and get organised in order to face an external threat. A simple statute is prepared, a founding assembly is organised and properly recorded for the purpose of quorum and a board of directors is elected for a common 2-year term. Usually it is the threat of eviction but often it is the struggle for improving the living conditions in the settlement, provision of basic infrastructure and services that motivates this initial collective movement. Because of the tradition with land invasion Recife has had a rich history of residents' associations. Brasília Teimosa became known nationally because of its resistance against eviction and for keeping the pressure for an upgrading and regularisation programme.

From end 1970's to mid 1980's practically the entire city was organised in neighbourhood councils gathering associations and group of residents of neighbouring areas that gave birth to federations of neighbourhood associations. For example, the FEMEB-Metropolitan Federation of neighbourhoods, FEACA-Federation of Resident's Associations of Casa Amarela, MDF-Movement in Defence of Favelados, the FIJ-Federation of Iburá Jordão. The enactment of the PREZEIS and the establishment of ZEIS somewhat stimulated the residents of the settlements situated within ZEIS to get organised and get engaged in their neighbourhood-based organisations.

Research & Academic Institutions

The Federal University of Pernambuco – UFPE has played and continues to play an important role in the development of the city and particularly within the social urban movements around the themes of housing, land, segregation and citizen participation. The faculties of Architecture and Geography have developed research programmes linked to their post-graduate courses providing ample space for researchers to investigate public policies and their impacts. The work of 'De la Mora' and 'Bitoun' are referred to and often mentioned during the interviews carried out by the process mapping research and indeed their knowledge about the city and its development process was made clear during the interviews with both professors. The engagement of the university in the city's problems has helped to link these institutions to local government affairs to the point that some of their staff joined the municipal governments to lead particular programmes during some space in time.

The Pernambuco Observatory of Public Policies and Social Environmental Practices is another initiative that establishes a close link between FASE and higher education institutions like UFPE promoting research and impact studies to bring a public discussion about public policies and at the same time strengthen the capacity of popular and technical stakeholders in order to improve the quality of their input in the formulation of local development policies.

Real Estate Developers Association - ADEMI

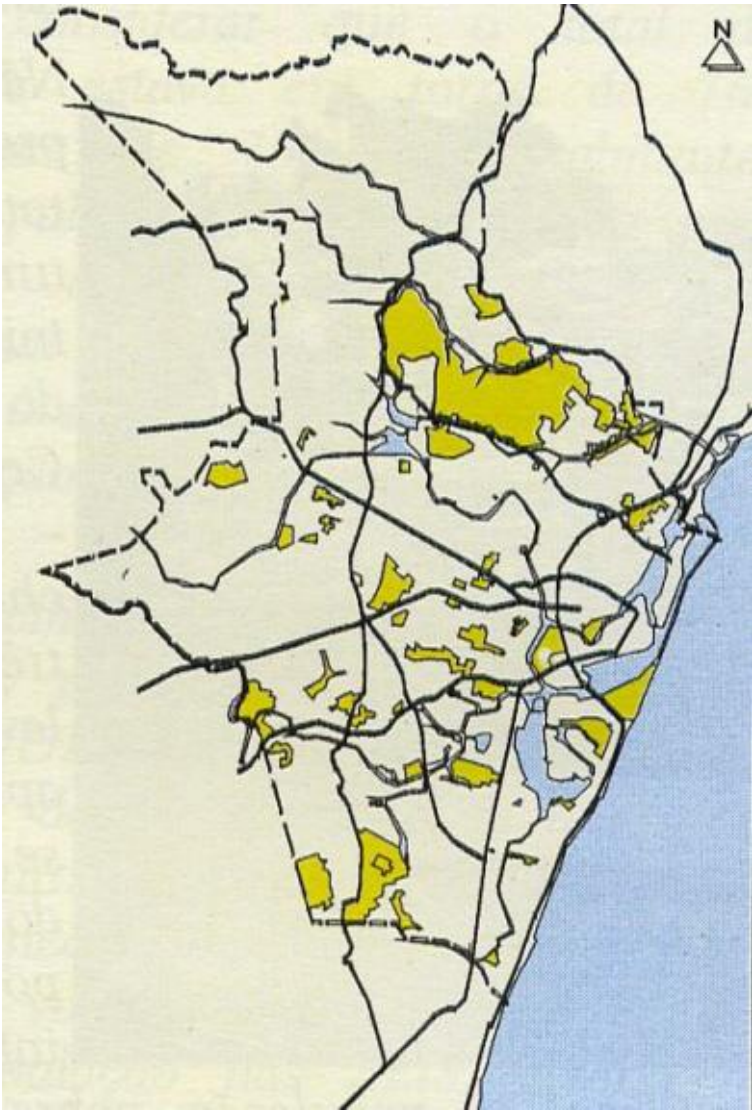
The private sector and economically stronger group do not participate very much in the channels of participation except in areas where their lobbying can fundamentally bring direct benefits like in the Council of Urban Development where both the ADEMI – representing the real estate development companies – and the union of construction industries actively participate. The process mapping research made several attempts to interview the president of ADEMI but without success. Thus the private sector actors are not thoroughly analysed in this report.

In summary, we can outline the following main stakeholders and actors in the city:

Municipal Government	The Mayor as a prominent actor that can favour or make it difficult civil society participation in the city. The vice-mayor is a secondary position. The various municipal secretariats, municipal agencies and operational units are important actors in the policy dialogue and implementation of municipal policy: URB, SMUME, SMOP, SED. ⁷
Legislative Chamber of Councillors	The “Vereador” is a key political player, operating in between the social actors and the government.
Social Movements	Recife has a number of social movements, gathering various civil society organisations, NGO’s and CBO’s. But only few are represented like the Regional Forum for Urban Reform – FERU
NGO’s	There are 7 major NGO’s active in the urban arena of Recife whose works touch directly themes that affect the urban liveability of the poor: ETAPAS, SJP, CJC, CENDHEC, CEAS, FASE, CLF
Church	The catholic church and its various church widespread in the city have at times a very prominent role in local affairs, depending on the orientation and engagement of the local priest.
Residents’ Associations	CBO’s that have at times strong leadership. All ZEIS have a CBO legally established. Some areas have federations of NGO and form neighbourhood councils like the FIJ-Ibura Jordão Federation.
Community leaders	The process mapping survey disclosed that there are many active citizens who happen to be either a delegate in one or more channel of participation. Their profile shows a remarkable engagement in various social movements, residents’ associations, forums, and different types of representation. They play very important roles in linking community-based processes and decision-making processes within the government domain.
Research and Academic Institutions	UFPE – University of Pernambuco and its post-graduate programmes at the schools of Geography and Architecture are good examples of the engagement of the academia in the public affairs in the city. The Observatory of Public Policies is an excellent example of partnership between NGO’s, Academic institutions and the local government.
Private Sector Stakeholders	The most prominent actors are the Association of Real Estate Developers, the Union of Construction Industries, and the Chamber of Commerce. They are only involved in very specific channels of participation.

Following, there is a table depicting a stakeholders’ analysis in which more detailed information about each one of these actors is given, their full name, mission, method of works and the channels of participation that they are involved.

⁷ For full name, see list of acronyms.



ZEIS settlements in Recife, 1996 1

INSTITUTION AND STAKEHOLDERS ANALYSIS IN RECIFE'S URBAN SECTOR: summary

<u>ORGANISATION</u>	MOTIVATIONS & MISSION	EXPERIENCE	APPROACHES & METHODS AND RESULTS	CHANNEL OF PARTICIPATION
<p>SJP</p> <p>Serviço Justiça e Paz</p> <p>Justice and Peace Service</p>	<p>The mission of SJP is to provide juridical assistance to groups of underprivileged people who are at edge of land dispute over their rights over the land where they live, facing the threat of eviction by the government. Simultaneously SJP supports community building and strengthening of the community's capacity and ability to defend their rights. SJP develops focuses its work on the problem of "access to land by the poor". The focus is the legal/judicial action.</p> <p>Principle of SJP is that NGO's should not only operate at the macro level but also at the lowest level of participation and citizenship. Thus direct interaction with residents and their representatives is an integral part of SJP works through which it believes to contribute to capacity building and greater awareness within the poor.</p>	<p>SJP is a NGO that has long standing tradition and has become a reference in the popular movements in Recife due to its pioneering works as a Commission Justiça e Paz associated to the Diocese of Olinda and Recife under the leadership of Don Helder Camara. The departure of bishop Camara and the changes in the church thereafter motivated the change from "commission" to an established organisation - NGO.</p> <p>The early institution-building project had the support from CEBEMO and OXFAM. SJP has 13 years of experience in working with poor communities having as trademark the juridical action but actually playing an enabling role in the self-organisation of poor communities in Recife. It also acts as vehicle in knowledge building within the communities regarding property rights, legislation in Recife, historical survey of land property cadastre and participation. The PREZEIS project was originated in the Commission Justiça e Paz and regarded as one of the main results of their work with a great impact and wide recognition within the popular movement in Recife.</p>	<p>The approach evolves from juridical assistance & legal advice. SJP assesses whether there legal dispute and if threat of eviction exists. Check whether self-initiative of the inhabitants to regularise tenure rights exists. Following this, SJP assesses the level of awareness within the inhabitants, and the level of organisation and self-motivation of the inhabitants. SJP gets involved in community building and social mobilisation. It helps local leaders to legally and organisationally found their CBO. It carries out capacity building activities and helps to create local committees. It also helps with road committees and support community meetings. Focus is leadership and the entire community. It drafts individual agreements – power of attorney – with all residents in order to represent them in court. Lobbying, city meetings on issues such as property rights, urban legislation in Recife, zoning ordinance and PREZEIS law are all part of the work. In Recife it works without any formal agreement (convênio) with the municipality in Coqueiral, Vila</p>	<ul style="list-style-type: none"> ▪ SJP participates in various channels of participation, namely sector municipal councils, participatory budgeting, the forum of urban reform (civil society) and NGO fora. ▪ SJP was once directly involved in 15 different COMUL – Commission for Urbanization and Legalization of Tenure of the PREZEIS Forum. Actually it is involved in 10 COMUL. ▪ It keeps a close articulation with other NGO's involved in the PREZEIS like FASE, ETAPAS, CJC, CEAS Urbano and CHEDEC. ▪ SJP participates in the CDU-Municipal Council of Urban Development as a thematic representative of the ABONG-Brazilian Federation of NGO's. ▪ SJP participated (not anymore) in the FEMEB-Metropolitan Federation of neighbourhoods, FEACA-Federation of Resident's Associations of Casa Amarela, MDF-Movement in

		<p>SJP was directly involved in the consolidation of important fringe areas that were occupied (squatted) in the beginning of the 90's such as Chico Mendes, Iraq, Rosa Selvagem, Coqueiral, Aritana, etc.</p>	<p>Felicidade, Beira do Rio, Curral and Rosa Selvagem. In Curral there is a partnership with URB. Community mobilisation is fundamental for SJP in order to have poor informal settlements be declared ZEIS by the municipality.</p> <p>More than 10,000 people have directly benefited from SJP works and many areas have become ZEIS as a result of their assistance. SJP is broadening its assistance works to other nearby municipalities like in Jaboatão where it provides direct assistance to 1,500 families.</p>	<p>Defence of Favelados.</p>
<p>CENAP</p> <p>Centro Nordestino de Animação Popular</p> <p>Northeastern Centre for Popular Animation</p>	<p>CENAP is an NGO that focuses its works on capacity building in the field of popular education and social development. It has a regional focus. It is a NGO registered in Recife since 1988. Its work is geared to innovation, improvement in methodologies of social, organizational and educational works. CENAP's work is based on the principle that education must be focused on social transformation through which individuals become the motor of these changes.</p>	<p>CENAP carries out a number of projects financed by international cooperation (up to 60% of its volume of operation). Remaining 40% on contract basis for service provision to government agencies and other NGO's.</p> <p>CENAP sees itself as a capacity building centre via education and culture. Since 1992 it has been working with the ECA (Statute of Children and Adolescent) and with the sector municipal and state councils where public policy is being designed. For example, the revitalisation of the historical core where 29 different organisations are involved and CENAP tries to play a supporting role to organisations.</p> <p>CENAP is also present in the management of the regional branch of ABONG-National Federation of NGO's where 30 organisations are involved. CENAP is lobbying on the changes of</p>	<p>Recently CENAP started to deal directly with public policies but focusing not on community-based works but targeting those who actually do the community-based works e.g. mobilisation, organisation, social development, etc.</p> <p>CENAP provides systematic and continuous assistance in building team, designing working methodologies and building a social identity. Follow-up and institutional and management strengthening is linked to that. CENAP is striving to provide an integral type of assistance to organisations and operating within the realm of public policies e.g. municipal and state councils (particularly from 2000 onwards). In this way it also plays a role of intermediate to building consensus and make decisions e.g. historic inner city project with the favela</p>	<ul style="list-style-type: none"> ▪ CENAP participates in the Forum of Urban Reform (state), Forum of Children and Adolescence (Forum Criança e Adolescente), the Youth Municipal Forum (Forum da Juventude), Women Forum (Forum das Mulheres) both State and National and the AMB-Women's Association of Brazil (SOS Corpo). ▪ CENAP is also actively involved in various social movements ▪ CENAP is also involved with the "pair councils (conselhos paritários) in five of them e.g. employment and income, health, children, etc. ▪ As ABONG member, CENAP is the only representative of users in the ARPE-Agency to Regulate Delegated Services

		public policies towards housing, acting on issues and on organisations directly involved on this matter.	of Pilar. Having as target groups children and adolescent, CENAP's is responsible for the articulation of several movements, professional organisations, volunteer organisations and community associations. CENAP believes that there is an improvement in the quality of social actors as result of its works. Individuals and organisations are taking up their social responsibilities, groups are consolidated and there is a rich network of organisations.	(Agencia Reguladora de Serviços Delegados) which are the privatised concessions e.g. water, gas, electricity, lotteries, etc. <ul style="list-style-type: none"> • CENAP participates in the "Fund of Solidarity Economy – Fundo de Economia Solidária". • CENAP is actively involved in the system S (Sistema SESI, SENAC, SENAI and SESC).
FASE	<p>FASE is a national NGO active in Recife for nearly 40 years. It has branches in Rio de Janeiro (headquarters), Recife, Palmares, Belém, Vitoria, Itabuna. It has regional offices in Pernambuco, Amazonas, Espírito Santo and Rio de Janeiro.</p> <p>FASE's mission is to promote alternative development processes based on social justice, preservation of the environment and broaden citizenship.</p> <p>FASE pursues its mission through educational actions and demonstration projects, and the capacity strengthening of individuals so that they can become active players of collective development processes.</p>	<p>FASE develops general programmes with actions focusing on the urban question. It has established an observatory of public policies in partnership with the university of Pernambuco (MSC programme in Geography, Faculty of Architecture and School of Social Services) that generates data and indicators to assess the effectiveness of public policies in the city and metropolitan region.</p> <p>FASE accompanies the sector municipal councils and undertakes capacity building of the councillors. It also develops programmes to increase the capacity of the participatory budgeting delegates. FASE provides technical support to PREZEIS on a regional basis and in close liaison with NGO's working in the field. In fact, FASE monitors various municipal councils and the PREZEIS forum.</p> <p>FASE also carries out contract works for</p>	<p>FASE develops its works in and through networks of NGO's and civil society organisations like the Urban Observatory and the Habitat Net. It undertakes field surveys and carries out research to support the debate to make public policies more equitable and sustainable.</p> <p>Through these surveys and research it manages to keep a continuous monitoring of public policies. It interviews actors, applies questionnaires in on-site surveys, develops a database and links all that with advisory services as well.</p> <p>One major characteristic of FASE is that it praises network and liaison amongst NGO's and civil society organisations involved in the interface public policies-civil society.</p> <p>A trademark of FASE is the dissemination of knowledge through various types of publications, flyers,</p>	<ul style="list-style-type: none"> • Participates and coordinates the State Forum of Urban Reform-FERU; • Participates in the State Council for Housing, the Urban Development Council-CDU. • FASE is currently observer in the PREZEIS (before it was involved in one of the coordination of one of the technical chambers). • FASE is an observer and works directly with the Participatory Budgeting. • FASE participates in all channels of discussion and participation on gender issues. • FASE is actively involved in the CDU and regards this council a very important one since it provides the interface

		<p>the municipal government like reviewing the law of PREZEIS, assessing the works of the environmental health agents. Within the Participatory Budgeting-OP, FASE is striving to make a link between “isolated” interventions financed by the OP and the macro plans for the city. It carries out surveys with participants and delegates so as to monitor and assist in the development of new leaderships.</p>	brochures, newsletters, website, etc.	between building contractors, population, public agencies, practically all segments are herein represented.
<p>URB Municipal Urbanisation Company</p>	<p>URB is an important operational company of the municipal government mainly responsible for planning and implementing large scale structural projects in Recife. It is a semi-autonomous municipal company that actually plays a strategic role within the capacities of the municipality. URB has the mission to formulate, coordinate, tender, inspect and contract a variety of public works and projects (from design to final implementation and delivery to the population).</p>	<p>URB has always played an important role in the city. Currently it is responsible for the Habitat Brazil Project (IADB), the Monumenta Project (IADB) and the PROMETROPLE (Banco Mundial) that are under the Directorate of Special Projects – DPE (Diretoria de Projetos Especiais). URB is the municipal entity responsible for the management and operation of the PREZEIS, under the Directorate of Urbanistic Integration – DIUR (Diretoria de Integração Urbanística). DIUR plays a very strategic role since it is in fact the entity in charge of articulating all community, private and public stakeholders involved in urban interventions. It is mainly responsible for interacting with the social movements and supervises the FORUM PREZEIS. Land regularisation, the application of the city statute law and expropriations all fall under the DIUR.</p>	<p>URB has a strong engineering tradition of project implementation. Civil society participation is not something that is normally incorporated into the works carried out by URB although it engages into consultations when projects are taking place in informal areas, ZEIS, risk areas where it may involve relocation of families. The company tenders out projects and often contracts building contractors and consulting firms to carry out works on its behalf.</p>	<ul style="list-style-type: none"> • URB is actively involved in the PREZEIS and CDU-Council of Urban Development. • URB is an important player within the municipal apparatus particularly in respect to legalisation of tenure, master plan implementation, infrastructure planning and project implementation.
Municipal	Its mission is to define a citywide	Current priority for 2003 is the review and	The SMPUME deals with the formal	<ul style="list-style-type: none"> • Active in 2 different chambers

<p>Secretariat of Planning, Urbanism and Planning</p> <p>SMPUME</p> <p>Secretaria Municipal de Planejamento, Urbanismo e Meio Ambiente</p>	<p>development framework via master plan, development control measures, land use ordinances and micro-regional planning. It focuses on establishing the basic guidelines for the standards on urban design, public space and land use for the entire city.</p> <p>Urban legislation is initiated by SMUME</p> <p>It manages the cartography of the city, satellite photos, analysis and management of city growth.</p> <p>Urban cadastre</p>	<p>reformulation of Recife's urban development plan (obligation of the Statute of the City Law) because the Master Plan of the city dates from 1991. Currently (2003) making a review of the urban parameters in 12 different neighbourhoods.</p> <p>SMPUME chairs the Council of Urban Development-CDU, where it establishes interfaces with the private sector, the real estate market players, etc.</p> <p>SMPUME is an active player and prepares background information for the CCU to formulate its advice to CDU.</p> <p>It undertakes a field survey to map changes in the urban/built environment and link up census data with real estate cadastre (qualitative and quantitative).</p> <p>Currently working on digital mapping and geographic information system.</p>	<p>city and it does in the more conventional manner, following the standard procedures of planning and urban design.</p> <p>It focuses on defining the baseline "physical" and "spatial" information to launch the new master plan of the city. It believes that the master plan can be a vehicle to articulate the existing conflicts between the OP and the PREZEIS because it places priorities on a territorial and spatial basis.</p> <p>It works on the city as a whole. SMPUME advocates integrated approaches and pursues interfaces with all channels of participation in Recife's strongly arguing in favour of holistic approach as the only way to resolve the greatest challenges of Recife.</p>	<p>of the CDU-Council of Urban Development: (1) Economic Development and</p> <ul style="list-style-type: none"> • (2) Social Development. • CCU-Comissão de Controle Urbanístico (Urbanistic Control Commission) where large and strategic projects are dealt with and where major real estate market players are very active e.g. ADEMI, FIEP but also IAB, FASE, PREZEIS, popular movements.
<p>SMOP</p> <p>Secretaria do Orçamento Participativo e Gestão Cidadã</p> <p>Municipal Secretariat of Participatory Budgeting and Citizenship Management</p>	<p>This secretariat occupies a key strategic position within the current municipal government policy.</p> <p>It is the main vehicle of communication, interface and articulation between the municipal government and civil society in Recife.</p> <p>The mission is to support the establishment of a radical democratic management process, strengthening the regulatory role of the government and open up broader channels of representation in the dialogue State-civil society.</p>	<p>It is a new secretariat in the local government structure.</p> <p>The main spearheading of this secretariat is the Participatory Budgeting-OP. The process of social mobilisation and articulation with civil society takes over the largest bulk of the work of this secretariat.</p> <p>The SMOP is undertaking an internal administrative process to set up thematic forums with citywide thematic conferences to mobilise social and economic actors on specific sectors.</p> <p>SMOP give emphasis to work internally in</p>	<p>The secretariat sets up the participatory approach and the strategies of the municipal government through the OP meetings, plenary sessions and thematic working groups.</p> <p>The SMOP boots about record number of participants in various OP events, the functioning of 95 different committees to monitor and scrutinise works approved and executed through the OP.</p> <p>It engages other parties to complement municipal policies on participation.</p> <p>For example, cooperation with the</p>	<ul style="list-style-type: none"> • The municipal government separates the sector councils from the OP. • Staff from SMOP are involved in all spheres of the OP. • Government staff from different secretariats are all involved as government representatives in the various councils, forums and commissions that interface government-citizenship. • PREZEIS is regarded as one of the consolidated channels

		<p>the municipal government in order to overcome resistance against participation, clarify role of OP, what it can offer the city and the government as a whole.</p> <p>SMOP pursues dialogue with other secretariats and municipal agencies in order to prevent conflicts with the macro planning given that the OP prioritises problems on specific geographic places. SMOP is continuously involved in conflict resolution.</p>	<p>Tribunal of Accounting – public inspection of government budget expenditure – will help to train OP delegates to become “inspectors” of government actions.</p> <p>MSOP advocates greater social control over the state.</p> <p>SMOP supports the establishment of a strategic planning process for Recife in order to strengthen the city economy and mobilise participation of strong economic actors.</p>	<p>of participation and therefore it appoints delegates to the OP.</p> <ul style="list-style-type: none"> • In 2002 there were 2300 delegates in the OP, from which a great part are elected from the 18 regions of Recife. • Thematic Plenary on Gender and the OP Children are two innovations of Recife regarding civil society participation in the OP.
<p>SED</p> <p>Secretaria de Desenvolvimento Econômico</p> <p>Secretariat of Economic Development</p>	<p>The focus of this secretariat is employment and income. It promotes sustainable economic development and establishes mechanisms to boost the popular and solidarity economy.</p> <p>The SED pursues its mission in close cooperation with municipal, state and federal institutions generating public and private investments. It promotes technical and scientific cooperation with national and international organisations that will help to promote employment and income thus realising social inclusion.</p> <p>SED is organised in 3 directorates. (1) Popular Economy and Solidarity, (2) Promotion of Employment and Income and (3) Competitiveness and Resource Generation.</p> <p>Two strategic vehicles are the Public Center for Promotion of Income and Employment (Centro Público de Promoção do Trabalho e Renda) and the People’s Bank (Banco do Povo) focusing</p>	<p>SED pursues a policy to establish a solidarity economy based on the principle of “solidarity organisation” between producers, merchants and consumers. This is translated in self-management and co-management arrangements between the capital and labour.</p> <p>SED focuses on capacity building and on improvement of the quality of labour in the city (human resources, skills, knowledge). SED is establishing the Centres of Promotion of Income and Employment and the Observatory of Labour in cooperation with DIEESE.</p>	<p>SED is closely involved with the plenary group of economic development of the OP. It works on the basis of cooperation with the private sector and other stakeholders in the city.</p> <p>The focus is “employment” and strengthening the individual’s ability to compete in the labour market.</p> <p>5,000 volunteers were working with the government of Recife in December 2002.</p> <p>SED is committed to the cause of “poverty reduction”.</p>	<ul style="list-style-type: none"> • OP Thematic Plenary Group on Economic Development • General Council of Compromise (Conselho Geral de Compromisso) which involves government and civil society organisations. • Council for the Management of the Fund for the Development of Solidarity Popular Economy- Recife Solidário where ABONG participates, universities, employers’ representatives, etc.

	on credit provision – micro-credit.			
ETAPAS Capacitação Comunicação e Pesquisa Capacity Building, Communication and Research.	<p>Its mission is to contribute to improving the quality of life in sectors of society that have been historically excluded from the development process. ETAPAS accomplishes its mission through advocacy in defence of civil rights and strengthening of active citizen participation, gender and ethnic equality. Created in 1982. It was born with and from the popular movements in close association with the catholic church works. Its origin is closely linked to the process of democratisation of Brazil. The entry point of ETAPAS has been the education in line with the philosophy of Paulo Freire focusing on the increasing consciousness and self-awareness of individuals about their own conditions in society.</p> <p>ETAPAS was for long an organisation that provided assistance to popular movements and organised groups of the population. It gradually becomes an organisation that also proposes public policies. It gets involved in the channels of participation incorporating new targets groups like youth and new challenges in its strategic work agenda.</p>	<p>ETAPAS is a NGO that undertakes 3 major programmes: (1) Capacity building for the social practice and employment generation, (2) Democratisation of urban management and local development and (3) Social control on Public Management. ETAPAS offers training programmes for leadership, youth and community agents in various areas, including the use of computer and informatics, organisational management and institution building. It gets involved directly in the public debate in the city via the Participatory Budgeting plenary sessions, Forum PREZEIS and in lobbying activities in the municipal government.</p> <p>It acts as a watch dog by undertaking surveys that generates indicators and documents assessing the performance of the municipal government as well as the budget expenditure and the accounting of the municipality.</p> <p>In its headquarters, ETAPAS offers training in its computer labs, workshop areas on furniture, painting, promoting new skills amongst the target groups. ETAPAS has a regular news letter called “Cidadania é Notícia”; Publishes books and disseminates knowledge relevant for the popular movements and grassroots associations.</p>	<p>ETAPAS’ technical assistance to the popular movements is divided in 4 major lines of action: (1) communication (pedagogy, documentation, newsletters, etc.), (2) research (surveys and cadastre), (3) economic and social profiles (instruments to communities) and (4) capacity building (courses and TA). Next to that it carries out an internal programme of institutional development.</p> <p>ETAPAS develops its work from a direct involvement with grassroots organisations, with its staff working closely with local leadership and community groups in community building, social mobilisation, lobbying and organisational & institution building. In its headquarters ETAPAS works with tailor-made groups of youth, women, leadership of PREZEIS in improving their capacity and knowledge.</p> <p>ETAPAS participate in various channels and levels where citizens are participating, proposing ideas and discussing public policies. It strengthen the capacity and ability of individuals to empower them in their role as active citizens.</p> <p>ETAPAS provides direct assistance to the COMUL’s Nova Prado, Tres Carneiros situated in UR5 and UR12. In Carangueijo e Tabaiaras it works in partnership with SJP and the DELIS</p>	<ul style="list-style-type: none"> • ETAPAS used to be very active in the first thematic/sector councils, particularly the State Council for Social Assistance (Conselho Estadual de Assistência Social). • Today it is involved in the State Forum for Urban Reform (FERU), the National Forum for Popular Participation, the Council for Urban Development (CDU), and the Participatory Budgeting-OP. • ETAPAS articulates the delegates of the PREZEIS in the OP. • In partnership with other NGO’s (FASE, CENDHEC, Josué de Castro) it participates in the GACIP (Group of Articulating Popular Citizenship) and in inspecting municipal budget expenditure (watch dog role). • Participates on behalf of all NGO’s as representative of ABONG in the CDU-Council of Urban Development.

			<p>(Sustainable Integrated Local Economic Development Programme) which is part of the municipal programme entitled “Recife sem Palafitas” (Recife without shaks on the water).</p> <p>It is providing capacity building assistance in 11 neighbourhoods and is working on city-wide and metropolitan region with youth and adolescent.</p>	
<p>CJC</p> <p>Centro Josué de Castro de Estudos e Pesquisas</p> <p>Center Josué de Castro of Studies and Research</p>	<p>CJC is a NGO focusing on knowledge production via social and economic surveys, research and impact studies that will help to foment and socialise the information among social actors. CJC aims to improve the living conditions of the male and female population, preserve the environment and strengthen civil society organisations. CJC accomplishes this mission through key structural programmes: (1) Environment, hunger and living conditions (studies to overcome malnutrition and hunger), (2) Employment and income generation (strengthen organisations of small urban and rural producers, technical and organisational support), (3) Democratic management and public policies (capacity building and assistance to popular movements), and (4) Small scale fishery (support to small scale fishery producers). SJC was actually founded outside Brazil in 1979 by those living in exile. Its origin is closely associated with the development needs of the Northeast</p>	<p>It has worked with SEPLAN (State Secretariat of Planning) in the monitoring of part of a programme aiming at the eradication of child labour. Involved in ZEIS and PREZEIS providing technical and organisational assistance to community-based organisations and monitoring some public policies. Before CJC was involved in capacity building of delegates of OP but now only participates and follow-up. It has carried out a nation-wide survey in the practice of OP in Brazil. Used to be very active in the sector councils particularly on the aspects of education and training focusing on the political aspect, the role and function of the councils and councillors. CJC has been fomenting the idea of the Forum of Councillors. SJC has on-going contracts with the municipal government. In the FNPP, the focus is now on the Participatory Budgeting as a municipal public policy, and CJC got involved in the inventory of participatory budgeting</p>	<p>CJC works is strongly influenced by the method CIRAC based on the axiom reflection-action. This method is shared and sustained by an international network of organisations. It promotes the empowerment of individuals to become social transformation agents. CJC has been very active in the forum of environment resulting into a number of adjustments in municipal policy. One of its survey on child labour resulted in the eradication of child labour in Recife. A particular appropriate technology in fishery enabled families to grow and eat fish thus improving dramatically the family diet. CJC is active in some ZEIS providing direct assistance to resident’s associations and social mobilisation at the neighbourhood level. It monitors some public policies in the ZEIS areas via impact assessment surveys. CJC has contributed to the refinement and improvement of the OP, to the preparation and implementation of</p>	<ul style="list-style-type: none"> ▪ CJC is actively involved in: ▪ Forum of Urban Reform – FERU, ▪ National Forum of Popular Participation (FNPP). ▪ CJC participates in: ▪ FRAC-Fundo Rotativo de Ação e Cidadania (solidarity economy), ▪ Participatory Budgeting-OP and ▪ Environmental Forum - Forum de Meio Ambiente. ▪ It has a continuous participation in the Municipal Sector Council of Education.

	Region of Brazil.	experiences in Brazil. In the Council of Education, CJC is continuously involved in the capacity building and human resources development of the councillors. FRAC-Rotation Fund for Action and Citizenship resulted from the national campaign of Betinho (Movement Solidarity Economy)	various congresses of the City.	
CEAS URBANO Centro de Estudos Ação Social Urbano Center of Urban Social Action Studies	In 1984 CEAS Urbano Pernambuco was founded as a branch of CEAS Salvador, Bahia by individuals involved with religious, trade union movements and intellectuals engaged in social movements. Its mission is to contribute to the construction of a just society from the point of view of the working population. The goal is to improve the political practice of popular organisations that represent the interests and needs of the majority of the population. CEAS – the original organisation – was split into two organisations in 1990, one focusing on urban and the other on rural. The work of CEAS Urbano was adjusted to a new reality of democratisation. It started focusing on income and employment and particularly on the widespread impacts of poverty on popular groups. CEAS Urbano focuses on groups of society who are in situation of exclusion economically, socially and culturally. CEAS Urbano works for poverty reduction and social inclusion.	CEAS Urbano is a NGO that targets associations and cooperatives. Its experience is built through training and capacity building in areas of organisational management, gender, formation of entrepreneurial leaders and thematic seminars. After the training of the staff of an organisation there is a 3-year institution development assistance – as follow-up – with weekly visits and on-the-job assistance and monitoring provided by CEAS. On average there are 10 to 12 groups established per year that become part of a network of organisations. CEAS Urbano puts emphasis on networking. CEAS Urbano organises an annual fair where producers meet, exchange goods, settle business contracts and learn from one another. Six of these fairs have been organised and very well attended in Recife.	CEAS' works contributes to social changes by means of influencing the formulation and implementation of public policies that actually help to reduce poverty and opens the access to basic public services to all. The key of its approach is to train and coach individuals on building new skills and/or to refine an existing ability. The aim is to turn this into a more professional activity that will allow self-sustained income generation for the individuals. This is done in support to collective initiatives like associations, cooperatives, etc. There is a strong orientation towards self-management. Examples of that are the annual fair "FEIRATUDO" where artisans and cooperatives show and commercialise their products on leather, wood, food, textile and all kinds of artefacts. Support to HIV patients to develop work abilities and regular income, turning them into productive agents e.g. arts craft. The support to recycling and solid waste management activities with direct assistance to ARO-Association	<ul style="list-style-type: none"> • Forum PREZEIS (working group on income and employment and providing training on establishing a cooperative) • FRAC (member of the management team) • ABONG • Forum Garbage and Citizenship (Forum Lixo e Cidadania) • AIDS Articulation involving 20 different institutions • Articulations with municipal secretariats of Education and Public Works (access to education, landfills) and state secretariat of Health (AIDS). • Articulation with municipal secretariat of economic development (SDE) through the "centros públicos de trabalho e renda" and School of CUT-Central Labour Union. <p><u>Articulation</u>: it means continuous</p>

			of Garbage Pickers and Recycling of Olinda and COOMSERC-Mix Cooperative of Services of Cabo de Santo Agostinho. This links CEAS Urbano directly with the Forum “Lixo e Cidadania” – Garbage and Citizenship, a large forum involving Recife, Olinda, UNICEF, and State government institutions that helped them to eradicate child labour from the landfills.	liaison, regular meetings, working groups, continuous dialogue; formal sphere of dialogue.
<p>University of the State of Pernambuco – UFPE</p> <p>Observatory of Public Policies and Social-Environmental Practices</p> <p>Post-graduation Programme in Geography</p> <p>Post-graduation programme in Urban Development and Housing</p>	<p>The university is a centre of knowledge and research. It aims to develop knowledge and theories that will increase our understanding and help us to explain social, political and economic phenomena. As an academic institution UFPE has a more distant and critical position towards the development of the city and the impacts of public policies. It keeps a close link with the city's actual problems through its various post-graduation programmes, contracted surveys and specific partnerships like the Observatory with FASE. The schools of architecture, social sciences, and geography are the focal points.</p>	<p>Works in close cooperation with the municipal government (on city-wide issues) and state government (on metropolitan issues).</p> <p>The MSC programme on public policy management and housing has developed a long-standing tradition of research and studies during its 25 years of existence. Idem for the MSC programme in Geography. Through these programmes university faculty staff and postgraduate students got involved in the actual formulation and implementation of public policies from within the public domain in Housing, master planning, zoning ordinances, environmental protection projects, land use planning and land use regulations, PREZEIS, etc. The work of Luis de la Mora and Jan Bitoun, professors in the faculties of Architecture and Geography respectively, is associated to relevance of the university in Recife's urban development.</p>	<p>Research programmes and studies collecting empirical evidences and surveys among low income families as well as delegates and representatives of the population in the various channels of participation helped the university to profile itself in the city and gain formal positions in important councils and channels of participation and decision making. Some are mentioned in the list of bibliography in this report.</p>	<ul style="list-style-type: none"> • PREZEIS • Council for Children and Adolescent (and ECA-Statute of Children and Adolescent) • CDU-Council of Urban Development • Participatory Budgeting • FRU-Forum of Urban Reform • Articulations of NGO's

<p>Grupo Origen Group Origin</p>	<p>Founded in 1989. A NGO that gives emphasis to promoting breastfeeding locally, nationally and internationally. It has a development programme approach divided in three focal areas: (1) health education; (2) citizenship building through training; (3) professional & vocational training geared to income generation. The organisation strives to underline the relation mother-baby and the position of women in the labour market. The issue of gender equality finds a prominent position in Origin's organisational mission.</p>	<p>The organisation has built its experience and know-how from lobbying and community development works. This was carried out locally but also nationally and international via networking and participation in events. It has become a reference in the IBFAN-International Baby Food Action Network that promotes health and the well being of women through breast feeding' It has a community line of action through which it works with groups of women, training, lobbying, capacity building. It pursues also a social-political line of action in everything that interferes in the relation baby-mother and the position of women in the labour market. It works with feminist NGO's and takes part in various networks involving other NGO's, labour unions, etc. on lobbying regarding the formulation of good legislation and pro-women norms and their enforcement thereafter. It works in a squatter area with groups of women (Vila dos Milagres); At present Origin is implementing a large-scale capacity building project in informatics for youth and adults in close cooperation with the municipality and this cross-subsidises the work on breastfeeding. That is the alternative source of income of Origen.</p>	<p>It works with capacity building and human resources development but keeps on lobbying for good legislation on breastfeeding and women's rights, including presenting proposals. It claims that progressive legislation enforced national and internationally is associated to its campaigns and political lobbying. Origin makes use of ICT-information and communication technologies for its core activities but also as income generation activities. For example, it currently has 7 classrooms with 7 different groups of 20 students on a daily basis, nearly one thousand people being trained daily on ICT (majority is youth). It has trained already 25,000 people. This is the source of funding for its core business on breastfeeding and women. It has 12 community groups (7 in Recife, 2 in Olinda, 2 in Jaboatão and 1 Paulista). The entry point of its community works is the health question and once individuals or groups articulate/voice their needs, the Origen team visits the areas, discusses with resident's association, visits households, and launches on-site activities.</p>	<ul style="list-style-type: none"> • Origen works in network with women who are local leaders; • Also with community health agents of the municipal government. • Origen works in network with various NGO's targeting women like Cais do Parto, Casa da Mulher do Nordeste, Retome sua Vida, and Casa de Passagem, plus 7 other groups with the Municipality of Recife. • Participates in the Forum of Health, OP Women and Network of feminist and women focused NGO's
<p>CENDHEC Centro Dom Helder Camara de Estudos e</p>	<p>Its mission is to contribute to social transformation that leads to a violence-free, equitable and participative society, gathering people and institutions – national and international ones – through</p>	<p>CENDHEC builds its experience on direct support to individuals subject to domestic violence, sexual abuse and abuse of authority, threats of extermination and the exploitation of child labour.</p>	<p>CENDHEC is critical in recruiting new staff. Be a good lawyer is not enough. One must have the ability to engage into social political processes. This is equally important and a main credential</p>	<ul style="list-style-type: none"> ▪ It participates in: ▪ Municipal Council for the Rights of Children and Adolescent (CONDICA), deliberative;

<p>Ação Social</p> <p>Dom Helder Camara Center of Studies and Social Action</p>	<p>professional practice and service provision.</p> <p>CENDHEC provides social-legal/judicial services to children, adolescent and socially excluded groups, promoting and defending human rights, education for citizenship and participation in the control and democratisation of public management.</p> <p>CENDHEC mission is to develop a political and pedagogical process in support to educating individuals for exercising their full citizenship. CENDHEC was founded in 1989. Presently (2003) It has 25 technical staff plus some internship and 9 administrative staff.</p>	<p>It focuses its actions in Recife. CENDHEC is the driving force behind the Centre for Human Rights Defense as well as the Children and Youth Forum related to the ECA-Statute of Children and Adolescent.</p> <p>It works closely with communities on improvement of school buildings and makes court cases against the government to get these schools renewed.</p> <p>CENDHEC maintains a close monitoring on the public budget and becomes a watchdog for the areas of child and youth.</p> <p>It has one programme area (right to the city) with 2 projects that focuses on the “urban usucapion” in ZEIS. One financed by URB (contract) and one by a German grant.</p> <p>It has built a long-standing experience in working with the ZEIS of Entra Apulso, Mustardinha and Mangueira.</p> <p>It pursues a long-term involvement through courses, modules and training that helps to consolidate concepts and knowledge. As a result it organises networks of capacity builders. For example, CENDHEC mapped which RPA (city region) is the most violent in the city. In Entra Apulso it has built a long relation and has published a lot about the community.</p> <p>It has a publication that is well-known in the city “Cadernos CENDHEC” through which it disseminates its experiences and thesis.</p>	<p>to work at CENDHEC. Thus, one must have a technical and “militant” profile. The actions undertaken against the State government illustrates CENDHEC’s role. The government closed down a series of specialised police stations. On the basis of Statute of Children and Adolescent. CENDHEC went to court and the press making the government to withdraw its decisions. CENDHEC is playing the role of the Public Ministry is inspecting the public sector actions and policies. CENDHEC makes use of the press to voice its opinion on issues in the city. It has built a respectable reputation as a knowledgeable and serious NGO. It has become a reference among public opinion and is frequently asked to provide their view when problems appear.</p> <p>CENDHEC works closely with community groups and prepares them for juridical actions that involves but not limited to social mobilisation and capacity building. Right to land and right to housing are two important lines of work.</p> <p>One important rule: the lawyer who prepares the court case is the one who also represents CENDHEC in the CDU, gives training and provides capacity building assistance. In this way, the staff builds a broader experience in the complete cycle of works of CENDHEC, consequently improving the quality of its representation in the channels of participation in Recife.</p>	<ul style="list-style-type: none"> ▪ Municipal Council of Humand Rights (CMDH Recife), deliberative; ▪ CDU-Council of Urban Development (represents ABONG together with ETAPAS and Centre Josué de Castro). ▪ PREZEIS and Chamber of Legalisation; ▪ FRU-Forum of Urban Reform (State) ▪ ABONG ▪ ANCED-National Association of Centres of Defense of Citizen’s rights ▪ Municipal Forum for Defense of Children and Adolescent ▪ State Front of Civil Society Organisations ▪ State Forum for Eradication of Child Labour ▪ National Movement of Human Rights ▪ Inter-institutional Thematic Group (children) ▪ State Network to Combat the Abuse and Social Exploitation of Children and Adolescent
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<p>Community Leader</p> <p>Acting as Delegate, councillor or Representative in one or more channel of participation</p>	<p>Running the risks implicit in generalisations the process mapping survey reveals a common history for a particular profile of citizens: Coming from a low income family, having struggled through life; Growing up in poor conditions and got involved with community mobilisation to get improvements in his/her residential area; Getting involved in community building activities and ended up being a member, director or even a president of a neighbourhood association. Joining movements, coalition and other collective initiatives geared to safeguard the rights of the poor families. Ultimately ending up as representatives in different councils and becoming focal point for NGO's and the government. Most of them have an altruist motivation, fighting for getting services, infrastructure, legalisation of tenure, and other issues for the poor population.</p> <p>However, there are evidences about other profiles of leaders who are less exigent, more likely to be less altruist, and open to be co-opted by politicians, government, and other interest groups.</p>	<p>Usually with a long tradition in community-based development processes and accustom with elections, chairing meetings and large assemblies and building experience with the politics of neighbourhood associations.</p> <p>It appears that the engagement in his/her local area affairs turned to be a springboard to other levels of participation. At first in coalitions, and afterwards in collective spheres and ending up as representative in forums such as PREZEIS, OP, Sector Councils and collective movements.</p> <p>It is common to find a linkage with previous community-based activities sponsored by the Church. Many have followed training with NGO's and have become very active citizens, aware of his/her responsibilities towards the population that they represent as well as the position they take in the channels of participation. In this case, there is a substantial upgrade in the quality of intervention. Individuals becoming aware and knowledgeable about how a local government functions.</p>	<p>At the neighbourhood level, the approach is more on face-to-face interaction with residents and at times house-to-house visits. Community mobilisation demands tireless and everlasting approaches if results are to be accomplished. Getting an agenda of priorities, decisions on particular plans of action and strategies towards a particular goal or against an external threat (eviction, government decisions) require full engagement and some degree of experience with the politics of community building. Meetings are organised in or through churches, club of mothers, youth centres, cultural events.</p> <p>In leading actions within forums or councils where broad civil society is represented, the community leader usually associates himself/herself with others defending similar lines. At times, political affiliation gathers community leaders around common lines of action.</p> <p>In general the approach is: never give up, persists and endures until particular gains are achieved. Demand explanations from government officials and reacts promptly if government intentions do not match demands and priorities.</p>	<ul style="list-style-type: none"> ▪ OP Council ▪ Forum of Delegates of OP ▪ PREZEIS ▪ Sector Councils ▪ Coalitions of Popular Movements
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Areview of Recife's downtown 1



Informal Settlement Morro da Conceição 1

5. PROCESS MAPPING: FINDINGS AND CONCLUSIONS

The process mapping research helped to disclose the various channels of participation existing in the city of Recife as well as the various actors from the public and community sectors that are involved in it as described in the previous chapters⁸.

The conclusions drawn from the process mapping research are based on 'participants' observations' about their own roles vis-à-vis their interaction with other actors but also about how they perceive the obstacles in behaviour, institutional setting and organisational performance that directly or indirectly affect the quality and effectiveness of participatory processes in Recife. This was coupled with the analysis of several reports, publications and newsletters collected during the field survey that are listed in the annexes. Nonetheless one should read it with caution taking into account the limitations of a rapid assessment exercise as this one. It goes without saying that there is no ambition to undertake an in-depth study of Recife's participatory urban management experience.

This chapter depicts the major findings related to the channels of participation, the actors involved and the results and impacts of their involvement in the various channels of participation. The main issues addressed are:

- Channels of Participation
- Actors
- Bottlenecks hindering government-civil society policy dialogue and implementation
- Results and impacts

Channels of Participation

The survey reveals that there are 8 different sector councils – *conselhos setoriais* – next to more than 10 different channels of participation. This means that Recife has a wealth of possibilities for citizens to get engaged into spheres and levels of public policy making and implementation accounting more than 20 different councils and forums. In terms of representation it means more than 2000 different posts through which citizens are able to act as councillors, delegates and representatives of their residential areas and/or organisations. This includes participation in the Forum PREZEIS, COP, OP Forums of Delegates, and the CDU where they most directly relate to the urban liveability of low-income families.

This demands an enormous amount of additional time and energy from citizens and government representatives to make citizen participation a meaningful goal to pursue. Not mentioning the effort in coordination, institutional management, reporting and logistic supports that are necessary from the part of the government to make it work and that make civil society participation a costly and time-consuming operation. Although this is out of the scope of the process mapping research it would be interesting to speculate and translate this participation effort into cost & benefit results for all the participants involved. We would be able to assess the impacts of participation vis-à-vis its costs. The amount of meetings and dislocations that are particularly imposed on representatives of the population suggests that they pay high price for their participation since it adversely affects their presence in their working place and consequently causes a negative impact on their income generation possibilities.

Actors

There is no doubt that at this point in time there exists an enabling environment for citizen participation under the current municipal administration governed by the Workers' Party – PT that allows the various actors and stakeholders to interact and establish policy dialogues in Recife. The municipal government has facilitated greater involvement of individuals and civil society organisations by advocating the principle of social control over the state. There are a multitude of institutional actors belonging to the municipal government that are interacting with the citizenry, CBO's and NGO's in the various channels of participation. Thus, as indicated earlier in this report the municipal government with its various executive and operational institutions without doubts is the major actor in Recife.

⁸ The difficulties encountered to interview actors from the private and corporate sectors resulted that their views and observations are not taken into consideration in this report.

Though the evidences collected through the process mapping research suggest that there is a need to establish empowerment mechanisms so that lay citizens and their legitimate organisations are given more opportunities to take decisions, formulate policies and to prioritise public resource allocation in a shared manner with their counterparts from the public sector. Despite the fact of its advocacy for more social control over the state the local government is not practising the basics of shared decisions with the exception of the OP and the sector councils that have deliberative status. Instead of drawing up solutions and alternatives through participatory planning processes the municipality commonly presents them ready-made and ask for endorsement in the forums where this interface takes place with social actors. Consequently it loses great opportunity to build a sense of ownership and full commitment from within the population. Not mentioning that this does not help to develop the new citizenship – individuals who are critical, engaged, responsible and responsive to public affairs – promulgated by the government and NGO's.

The NGO's are actively involved in practically all spheres of government-civil society dialogue. Although NGO's are pursuing strategies to empower residents, community representatives and local leaders in their tasks as councillors/delegates by means of capacity building, training and on-the-job assistance it is noticeable that very often NGO's place themselves in the position of CBO's. This is associated with fragile community-based processes and weak leadership and social mobilisation a fact that brings to light the challenges to consolidate dynamic processes of citizen participation in a city like Recife. In fact each actor brings their intrinsic and own weaknesses and vicissitudes to the table of negotiation. As mentioned by several interlocutors of the process mapping research there are a number of community-based practices that resemble 'political clientelism' against which the current local government seems to be making a great effort in order to vanish it from the city. On the other hand one cannot disregard the tradition of technocratic and typically top-down decision making that is deeply rooted in the practices of the technical cadre and policy makers from the municipal government.

Bottlenecks hindering government-civil society policy dialogue and implementation

There are many bottlenecks of different proportions both in processes, institutional settings and within the intrinsic behaviour and organisational capacity of the actors involved that are hampering the dialogue and effectiveness of participatory processes. There are some that are common to practically all those interviewed by the process mapping research while others seem to be specific. The main findings are outlined below.

Discontinuity

Political and Administrative discontinuity within local government and the syndrome of "muda o governo muda tudo" (when the government changes everything changes) is mentioned as a major difficulty to institutionalise participatory processes. This means that once a new government takes office new policies and new programmes are introduced and often the good and well-functioning programmes are halted or redesigned. This is often coupled with staff replacement for political reasons or because of special remunerations that are attached to some positions. Additionally there is loss in programme cohesion even when there is no change in government. Those who are interacting with the local government underscore that the high mobility of staff in the public sector is a major obstacle for consolidating government-community management processes. The NGO's argue that they are immediately forced to start from scratch in its sensitisation and liaison with partners from within the local government resulting into an enormous loss of time and resources. This is very evident in the channels of citizen participation and spheres of government-civil society interaction that function on the basis and principles of co-management and shared decision making like the PREZEIS. As stated by one NGO staff: "we are forced to the eternal start all over again".

Inter-Sector and Inter-Agency Coordination

There is a culture of sector approach in public management and this is no exception in Recife. Despite the fact that the current municipal administration places the coordination of all interaction with the citizenry in the hands of the SMOP most interlocutors of the process mapping research appoint a problem of coordination and articulation within the public sector as a major obstacle. The local government acknowledges the problem and attempts to create mechanisms to strengthen articulation and co-ordination between the various departments and municipal secretariats. However, notwithstanding this effort it is noticeable that from the point of view of the population and actors from outside the public sector domain there is unclear division of power over several programmes and projects currently undertaken by the municipal government. At times there is even internal "competition" about the ownership of projects and programmes when releasing information to the public.

There is little doubt that the city lacks a platform to articulate public policy making. An integrated strategic plan linking vision, resource allocation and organisational management and responsibility would certainly do good to resolve some of the problems mentioned above. The municipal administration sets its priorities and policies that are city wide in nature and these are usually matched with budgetary resources. Citizen participation as intended in Recife implies that as much as possible the demands and priorities set by the citizenry will be part of the annual plan of investment. However, these priorities are commonly community-based and concise to a particular territory and often not inserted within a global vision of the city. This has been the major criticism made by those who believe in the guiding role of a macro plan. There is an intention to resolve this gap and the thematic city forums are part of this. However, the ambitious citizen participation strategy having as the OP as its major vehicle needs a strong anchor to overcome the lack of coordination among the various stakeholders from the public sector.

The NGO's from their side resolved this problem by establishing a continuous platform of dialogue and articulation that they call the "collective of NGO's". There is a clear articulation among them, less competition and a stronger will to networking and mutual collaboration regardless of their political or ideological orientation that must be praised. Some even mention that it is a way to maximise scarce resources and increase multiplying effects. Even their formal representation in the various channels where a permanent position is allocated to the ABONG is decided in consensus. A NGO is usually taking a seat on behalf of the "collective of NGO's" in one of these forums or councils because it has the required expertise or the theme of the council in question matches exactly its focal areas of development assistance. This has helped the population and the various community leaders to clearly identify NGO's when they search for particular knowledge or information thus facilitating the dialogue citizenry-NGO's.

Strict Regulatory Framework Governing the Operation of the Public Sector

There is a myriad of laws regulating what a municipal government can or cannot do which often is not fully known by those in charge of dialogue with the citizenry. This is also not known by citizens and at times even by those working for NGO's. In addition local government is bint to an institutional structure, procedures and steps that are not easily changed despite the fact that management wise it is possible to create flexible and express manners to get an organisation moving and taking decisions in the public sector. Many use the regulations as an excuse to keep their modus operandi intact. This is the strength of traditions in the public sector.

Nevertheless one should bear in mind that the local government is bound to a series of budgetary constraints and regulations when it comes to make use of public money that are not fully understood neither by the population nor by the NGO's. Various interlocutors of the process mapping research argue that there are different institutional timing and phases between NGO's and government that often don't match when designing and implementing a particular community-based programme where NGO's must play a role. The dialogue seems to be disrupted due to a lack of awareness of these differences. This results in growing criticism from the population who usually points out to the inefficiency of the public sector.

For instance, this different institutional timing becomes obvious in the PREZEIS. Once an area is declared ZEIS and COMUL's are established, a settlement plan must be prepared before land tenure regularisation can start. This is a fundamental condition. Getting the plan ready may take more than 6 months but without guarantees that it will be executed due to the high costs of particularly the implicit relocation of houses for making the pathways for roads and infrastructure. The urban plan must go through different phases and steps that consume quite a lot of time: (1) Field survey to map the existing physical situation including housing, plots, obstacles, etc.; (2) Topographic survey and mapping, taking at least 2 months, to get the right cadastral information; (3) Social and Economic survey to determine the number of families living in the area, where they live and their family situation; (4) The population must have set local priority with the COMUL and the PREZEIS Forum must have allocated resources to finance the works in the area; (5) URB must hire a company if there is a framework contract; otherwise it must prepare a public tendering documentation and make it public. This requires the preparation of a budget for the project. Only the tendering can consume 45 days. And once the result of tendering is known the company who responded to the tendering with the best and cheapest proposal can be hired; (6) Once this is accomplished there is an agreed timetable to execute the works. But if there are obstacles hindering implementation and there is a need for unforeseen relocations it maybe that only part of the plan can be

realized resulting in the contract to be reviewed; (7) This may cause that there is a need to reformulate the tendering so as to define exactly what is to be executed. It is obvious that this internal process of URB – the municipal agency in charge of the PREZEIS – does not match the participation process and the interface with the community.

From the point of view of the NGO's it becomes difficult and very costly to keep staff continuously allocated to a project at this pace and keeping following-up this institutional process at their own costs. The project cycle of a NGO project is different particularly when it concerns the direct involvement of the population and the continuity in on-site actions and activities and the formulation and implementation of projects since it does not need to abide to strict regulations for hiring a particular service. This is probably the most evident discrepancy between the working methods of NGO's and that of a government agency.

Instruments to Sustain Dialogue with the Citizenry

The process of establishing the institutional channels of participation in Recife paved the way for possibilities of negotiation and consensus building. On the side of the government the experience up to now shows that very often the municipal government is ill-equipped to deal with social movements and civil society organisations without a hegemonic attitude that reinforces the power structure. In addition the technical cadre and policy makers directly involved in the dialogue maintain a discourse based on very technical knowledge making it difficult for lay citizens to quickly understand the issues at stake. This reveals that capacity building is equally needed in both the community and government sectors if citizen participation is to be institutionalised and maximised.

The NGO's argue in favour of better quality of participation and that includes making local government staff more sensitive to and learn how to deal with the popular sector as an equal partner. For example, in the meetings of the COMUL, the technical language is extremely complex and difficult to understand by the population not used to technical terms and sophisticated terminology resulting on the one hand in people not feeling comfortable or motivated to attend these meetings and on the other in government staff placing themselves in a prevailing position. The NGO's have become an important vehicle by turning government policies and the technical (and to a certain degree technocratic) language of the government accessible and tangible for the community and their representatives. But they haven't been able to influence attitude change of the government employees with whom they interface. Not mentioning that for many technicians the work in favelas is regarded as a second ranked type of work that misses the technical challenge of complex infrastructure and engineering projects.

Many argue that the technical cadre of the municipality dealing with urban development projects is professionally well equipped in terms of instruments and technical working methods detaining the required technical knowledge to perform their job. And this is the basis on which they establish a power relation with the population. However they do not have the negotiation skills and often fall into technical determinism that disregards popular knowledge. The OP provides an opportunity to change this as long as the technical cadre is pressed to give plausible justifications in support to their technical advice on the priorities and public works selected by the population.

Dialogue Government - NGO

There is a lot of controversy about this from both sides. NGO's argue that the cooperation with the municipal government in Recife is affected by the 'political colour' of the administration governing the city but in general most governments do not understand the development role of NGO's and their function within the dialogue government-civil society. Some argue about suspicious. Others argue that the government wants to make use of NGO's as a service provider in areas where it is unable to reach and fulfil its responsibility as State meaning that NGO's fall into the trap of replacing governments and establishing a different relation they should have with the citizenry.

Often the municipal government does not request the NGO's to come and discuss the programmes but to execute them. This reveals that the government underestimates the capacity, knowledge, experience and role of NGO's in the city. When accepting this role (due to financial needs or strategic interests) NGO's find themselves in a difficult position because it may lose its ability to openly criticise the shortcomings of the government. Often the municipal administration uses this as a cooption strategy and sees criticism as a lack of loyalty. In Recife,

after an open support given by the collective of the NGO's to the government proposal defended by the current municipal administration in the last election, many senior NGO staff has joined the government in various positions. This has created a gap and to a certain degree a less critical attitude towards the shortcomings of the government from the part of the NGO's. This changed in 2003 when the collective of NGO's made public the NGO's assessment of the government performance. Some government officials argue that this gives munitions to the conservative opposition to the government.

In the views of many NGO's traditionally the municipal administration has difficulties in perceiving the independent nature of civil society and has a tendency to search control and cooption of non-public actors. The government is often not open for critique and commonly takes a position against the NGO's and civil society organisations with a partisan approach. This results in a deadlock in the dialogue government-civil society: "*or you are with us or you are against us*". NGO's are expected to be allies of the government particularly when they seem to share same values and ideas about public participation and democracy. The NGO's seem to be looking for their independent identity after some years of "silence" and acknowledge that the popular government of Recife lacks a vision about the roles of NGO's and do not consider them as political agents in society.

Despite of the existence of various channels of participation in the city and of its policy advocating increasing social control over the government it is surprising to acknowledge that the Municipal Government is not totally open to receive criticism from the NGO's regarding the efficiency and efficacy of the participatory channels. It appears that senior government officials and the technical cadre are not willing to discuss problems of the municipal administration in managing its participatory policies and the shortcomings of its relations with other actors outside the public domain like the NGO's and popular movements. This resistance makes the relation government-NGO's more difficult and at times leads to deadlock like in the case of discussing the PREZEIS and the participation of the NGO's in the OP.

Regarding this the NGO's claim that even though the government acknowledges the need to improve the capacity of the participants in the participatory budgeting and the other sector councils in order to upgrade the quality of participation in the city it does not institutionalise forms cooperation with the NGO's to carry out this capacity building in full extent. Neither contracts are awarded to NGO's for that purpose. The NGO's are doing this as part of their own institutional mission making use of their own resources drawn from projects or financing from international cooperation funds. This increases the notion within the NGO's that the government neither knows about the essence of their work nor believes in their capacity to carry out this job.

Ability to Innovate and Establish Non-conventional Processes

Community leaders and NGO's acknowledge the existence of a certain degree of orthodoxy within the technical cadre of the municipality when closer interaction takes place on the formulation of projects and making plans. Some of the interlocutors of the process mapping research voiced their concerns about the difficulties in translating plans, projects and designs into a language understood by non-technical individuals. Furthermore it appears that there is a process of ageing in staff resulting in loss of interest and less motivation to get into new policies and innovations in public sector management. The government staff argue that salaries are low and not everyone is politically committed to the political project of the municipal administration. All in all this seems to be the paradox of the municipal government that creates an additional bottleneck against new approaches and policies towards civil society participation.

Uncertainties Threatening the Continuation of NGO's support

The external environment in which the work of NGO's takes place in Recife has many externalities that threat the long-term continuation of their development work. One major threat is funding. NGO's argue that they are still financially dependent from external assistance particularly from funding originated from the international donor organisations. This leads to NGO's to getting continuously engaged in fund raising to keep up with the volume of work and personnel costs and logistics that are needed to perform their developmental mission. There is still little tradition within Brazil's public sector in making use of the expertise and flexibility that NGO's offer when it comes to reaching the very poor and excluded segments of society. The legislation does not favour this but NGO's argue that municipal governments can make use of "convênios" that are kinds of agreements in which the municipality delegates particular services to third parties. It should not be difficult particularly because NGO's are not-for-profit organisations.

NGO's argue that the demand for their assistance has increased dramatically and consequently the need for improving the quality and quantity of the services they provide in Recife. However they all face the problem of insufficient financial resources not matching the demand for services. They argue that there is a paradoxical situation since NGO's are pushed to austerity and tight finance while the demand for their services only keep increasing.

It is disappointing that the municipal government does not explore the potentials of NGO's in Recife and make more full use of their knowledge, accessibility and legitimacy within target groups and their credentials to implement a broad-based capacity building among the poor segments of Recife's population. This could address not only the improvement in the quality of participation – advocacy works – but also in their ability to insert more people in the labour market – local economic development. Thus building skills to become “active & critical citizens” and also economically active individuals with greater chance to generate income and earn their living to sustain their families. This is actually the challenge faced by NGO's. How to pursue an advocacy mission without jeopardising the professional and technical assistance needed for Recife's urban development.

The nature of NGO's and their culture of organisations

As mentioned earlier in this report the history of the NGO's in Recife reveals a rich memory closely associated with social urban movements and their direct involvement with critical problems related to access to land, social exclusion and poverty in the city. Their profile has evolved from strong advocacy and critics of the totalitarian State to professionalism and development assistance organisations willing to cooperate with municipal policies but with a remarkable commitment to the cause of the urban poor and disadvantaged groups of society. NGO's continue seeking social change and supporting social mobilisation in addition to providing technical, organisational and juridical and legal services. This explains why some NGO's are strongly attached to some principle norms and working methods that give a particular identity to each one of them in terms of their development practice. While this should be seen as strength it can also become a weakness if these principles affect their flexibility and willingness to work with other parties that have different totally economic or ideological orientations e.g. private sector organisations, privatised utility companies, municipal administration under conservative governments, etc.

The process mapping research reveals that there is a noticeable effort in organisational development with NGO's developing strategic management approaches to define their mid and long-term vision and organise their operations and development programmes. One could speak of a transition phase through which NGO's are giving emphasis to result orientation, reporting and impact assessment and greater management control over means and resources. Though it was noticeable that it is not easy to move from a culture of oral reporting to a culture of systematisation of experiences and lessons learned that helps NGO's to recapture their institutional history for wider dissemination. There is a wealth of individual experiences and results accomplished via networking of organisations that to a large extent remain unknown because of the lack of tradition in writing down or recording the processes and “way to do it”. The argument given was that the demand for work and the overloaded agenda keeps staff absorbed to a limit that leaves no room for socialisation and systematisation of information.

Another aspect that does not receive sufficient attention yet is the monitoring and impact assessment of the programmes and actions undertaken by NGO's. There is little attention given to designing monitoring systems to measure development impacts of their work and programmes that could provide useful feedback to their work plans and strategic choices and above all provide evidences of the meaningfulness and concrete results of the their works to a wider audience including the municipal government and financing agencies. The process mapping research did not disclose any evidence that NGO's have developed indicators or any form of mechanisms or monitoring systems to disclose measurable results of their programmes. What became noticeable is that most NGO's are still undergoing internal processes of adjustments to shift their development focus from only capacity building of target groups towards greater attention to institutional development, strengthening of management capacities of organised groups, assisting in project formulation, network of information, etc.

During the process mapping research it became evident that NGO's acknowledge their difficulties in establishing a partnership relationship with local government and establish continuous interface with the various departments of the municipality. This has to do on the one hand with the difficulties that evolved from their organisational adjustment affecting their own "modus operandi" and demanding the redefinition of strategic goals and on the other hand with the changes undergoing the municipal government. In the views of the NGO's there is a fundamental change in the government that requires another attitude of the NGO's. There is now a municipal government – currently lead by a popular and pro-poor government – that is pursuing policies to shift from a "government dominated by the elite that had privatised government" towards a "government managed and oriented to service society and the population as a whole". To put it in a caricature manner "the enemy has become a partner" and this has brought up a new scenario for the NGO's.

Additionally, in view of the majority of the NGO's interviewed by the process mapping research, at this point in time there is a (temporary) loss of identity in the collective of NGO's in Recife as a result of many loosing their best staff to key positions within the municipal government. Although this is seen as recognition to their work (individuals and organisations) with the popular movements and participatory channels in the city it brought the NGO's to standstill in their advocacy work. Many recognise that NGO's have become uncritical towards the municipal administration currently governing the city that they openly supported during the previous municipal election. This started changing in the end of 2003 when the collective of NGO's met and issued a document assessing the performance of the government and reviewing its political promises made during the election. This is likely to bring a clear separation between the political processes and the development works but it a polarised environment as Recife it is difficult to foresee the consequences for the NGO's.

Difficulties in Measuring Results in Development Assistance

NGO's argue that the type of assistance they provide within the channels of participation is difficult to measure unless they start counting the number of participants in their events, training programmes, community meetings, etc. This also applies to the legal assistance works taking place within the PREZEIS but also to families living in informal settlements. There is little doubt in Recife that the assistance provided by NGO's to social movements, collective actions of residents and residents associations of informal settlements has a remarkable impact on the city. This resulted into official public recognition of the rights of the residents of settlements, increasing the number of areas declared as ZEIS.

Many NGO's provide direct juridical and legal assistance to individual residents but arranged in a collective form through their residents' associations. This is more prominent in the work of CENDHEC and SJP. For detailed information about the nature and scope of the work of a NGO, see Annex 2 depicting the work of SJP. This NGO assistance for example resulted into the consolidation of many low-income settlements that were facing critical threat of eviction like the favelas of Iraq, Chico Mendes, Rosa Selvagem, etc. NGO assistance was fundamental in halting the execution of juridical actions undertaken by landowners aiming at the immediate reintegration of their land parcels. In that respect one must acknowledge that in Recife there are several thousands of families who have benefited from NGO assistance.

NGO's argue that one cannot dissociate legal assistance from capacity building of individual to become active and conscious citizens in their city. But it is equally difficult to measure capacity building of residents, community-based organisations and local leaders aiming at the improvement of the quality of participation within the existing channels of participation. In views of the NGO's the support to self-organisation and the capacity building of individuals to understand the underlying causes of informality in land tenure as well as the various alternatives to security of tenure has helped to generate leaderships who are better prepared to articulate their needs, mobilise their fellow residents around community-based processes and negotiate with the government.

Impacts of Participation

The NGO's argue that there is a noticeable improvement in the quality of the participation and also in the capacity and ability of the individuals taking part in the various channels of participation as a result of their work. Although local government officials interviewed by the process mapping research acknowledge this fact it is not translated into more assignments to NGO's to support the various channels of participation.

In view of the NGO's, there are three major signs showing why participation is fundamental:

- (1) There is a greater understanding of the public sector and its institutions, its modus operandi, procedures, etc, amongst the citizenry;
- (2) There is a significant improvement in the organisational capacity of popular groups and community-based organisations;
- (3) Community leadership showing greater ability to negotiate with the different levels of the government.

Some NGO's report that local community leaders no longer feel inhibited in front of directors and senior administrators of the municipal government when attending meetings and taking part in difficult discussions about complex projects and problems of various natures e.g. engineering, land tenure disputes, legal issues, urbanization projects, etc. Without the capacity building activities carried out by NGO's in addition to the opportunity to exercise citizenship within the existing channels of participation this would not be possible.

In addition the partnership between NGO's and community-based organisations provided the latter with direct and tailored technical and organisational assistance that has helped to strengthen organised groups and their leaderships within their respective areas of influence and activities. One could say that NGO's have been instrumental to legitimise these leaderships as well as local channels of community mobilisation and organisation as true representations of the population living in various low-income settlements. Consequently their needs and priorities are better articulated and the existence of truly and genuine community-based organisation significantly improve the dialogue with the municipal government thus facilitating problem solving and improvement in the living conditions of the poor.

Annex 1
LIST OF ACRONYMS & PORTUGUESE TERMS

ACRONYM	FULL NAME	DESCRIPTION
ABONG	Associação Brasileira de Organizações Não Governamentais	A National Federation of NGO's. There are 8 Regional Forum, 1 executive coordination placed in São Paulo and several Working Groups. It publishes the "cadernos da abong". There are 38 NGO's associated to ABONG Recife which has a regional directorate status, covering the states of Pernambuco, Paraíba and Alagoas. ABONG represents the NGO sector in several municipal and state councils where civil society is represented like CDU, ARPE, etc.
ARO	Associação de Recicladores de Olinda	Association of Garbage Pickers and Recycling
ARPE	Agencia Reguladora de Serviços Delegados	Regulatory Agency of Delegated Services, agency that regulates public services that have been privatised or given concession to private providers like water, gas, electricity, lotteries
CCU	Comissão Consultiva de Urbanismo	Consultative Commission for Urbanism
CEAS URBANO	Centro de Estudos e Ação Social Urbano de Pernambuco	NGO, Centre of Urban Studies and Social Action of Pernambuco
CEB	Comunidades Eclesiais de Base	Organised Community Group linked to the Catholic Church
CDRU	Concessão de Direito Real de Uso	Concession for the Right to Use a Land Parcel
CDU	Conselho de Desenvolvimento Urbano	Municipal Council for Urban Development
CENDHEC	Centro Don Helder Câmara de Estudos e Ação Social	NGO, Dom Helder Câmara Centre of Studies and Social Action
CERIS	Centro de Estatística Religiosa e Investigação Social	Center formerly linked to the CNBB, has become the NGO called CICLO.
CGC	Conselho Geral de Compromisso	General Council of Compromise, a council managing the "centros públicos", composed of 24 members, 1/3 from government, 3 from entities from the Forum, 3 entities from the Employment Observatory (DIEESE), Thematic Forum of the Participatory Budgeting. Articulating public policies towards education and employment
CJC	Centro Josué de Castro de Estudos e Pesquisas	NGO
CLF	Centro Luís Freire	NGO
CNBB	Conselho Nacional dos Bispos do Brasil	National Council of Brazilian Bishops, entity of the Catholic Church in Brazil.

CMR	Câmara Municipal do Recife	Municipal Legislative Chamber of political councillors elected by the population during municipal election for a 4-year term; it supervises the municipal government and legislate with sanction of the mayor; same as Câmara Legislativa or Câmara dos Vereadores – Chamber of City Councillors.
CONDICA	Conselho Municipal dos Direitos da Criança e Adolescente	Sector Municipal Council: Municipal Council for the Right of the Children and Adolescent
COOMSERC	Cooperativa Mista de Serviços do Cabo de Santo Agostinho	Cooperative of Garbage Pickers and Recycling of Cabo Santo Agostinho
COP	Conselho Municipal da Gestão Democrática do Orçamento Público	Council of the Participatory Budgeting
Conselhos	Conselhos Setoriais	Municipal Sector Councils are special entities that are to be established by the municipal government in accordance with the 1988 national constitution. It has juridical personality, acts in a decentralised form in formulating and controlling sector public policies e.g. education, children, social policies, etc. Depending on the sector it has a deliberative or advisory status.
COMUL	Comissão de Urbanização e Legalização Fundiária	
DELIS	Desenvolvimento Local Integrado Sustentável	Integrated and Sustainable Local Development
DIEESE	Departamento Intersindical de Estatística e Estudos Sócio-Econômicos	
ECA	Estatuto da Criança e Adolescente	Statute of the children and youth, enacted in 1992, as a result of large scale mobilisation of social and political actors. Serves as key guideline for the works of the municipal and state thematic councils.
ETAPAS	Equipe Técnica de Assessoria, Pesquisa e Ação Social	Technical Team for Advisory, Research and Social Action, a NGO established within the popular movements for land rights in Recife and the subsequent PREZEIS. It focuses its work on technical assistance, social mobilisation and capacity building of leadership, community leaders, youth.
FASE	Federação de Orgãos para a Assistência Social e Educacional	Federation of Organisations for Social and Educational Assistance, a national NGO with headquarter in Rio de Janeiro and branches in Recife, Palmares, Belém, Espírito Santo and Itabuna. 40 years active in Recife.
FEACA	Federação de Associação de Moradores de Casa Amarela	Federation of Residents' Associations of Casa Amarela

FEETI	Fórum Estadual de Erradicação do Trabalho Infantil	State Forum for Eradication of Child Labour
FEMEB	Federação Metropolitana de Bairros	
FERU	Forum Estadual de Reforma Urbana	
FIDEM	Fundação de Desenvolvimento Metropolitano	Agency in charge of regional planning and inter-municipal projects in Recife's metropolitan region (14 municipalities)
FIJ	Federação Ibura Jordão	Federation of residents' associations of Ibura Jordão
FNPP	Forum Nacional de Participação Popular	National Forum for Popular Participation
FNRU	Forum Nacional de Reforma Urbana	National Forum for Urban Reform
FRAC		
FRESC	Frente Estadual de Entidades da Sociedade Civil	State Coalition of Civil Society Organisations
GAJOP	Gabinete de Assessoria Jurídica de Organizações Populares	Office for Juridical/Legal Assistance to Popular Organisations
GDP		Growth Development Product
IADB		Inter American Development Bank
INTER	Instituto de Teologia de Recife	Theology Institute of Recife
MDF	Movimento de Defesa dos Favelados	Movement to Defend Rights of Squatter Residents
MDU	Mestrado em Desenvolvimento Urbano	Master Programme on Urban Development of the Federal University of Recife
Observatório	Observatório Pernambuco de Políticas Públicas e Práticas Sócio-Ambientais	Observatory of Public Policies and Social-Environmental Practices of Pernambuco
OP	Orçamento Participativo	Participatory Budgeting
PREZEIS	Plano de Regularização das Zonas Especiais de Interesse Social	Plan for the Regularisation of Special Zones of Social Interests, a legislation enacted in 1987 which established a management system to support urban rehabilitation of favelas in Recife. It creates a very innovative process of democratic participation and shared decision-making in a FORUM that ratifies a process of co-management involving civil society and the municipal government on land and informal settlement upgrading issues.

PMR	Prefeitura do Recife	Municipality of Recife; Municipal Government.
PT	Partido dos Trabalhadores	Workers Party or Labour Party, a political party with socialist inspiration
RPA	Região Política Administrativa	Political Administrative Region, defining jurisdiction and geographic areas of the city of Recife, based on which the city is further divided in micro-regions, micro-planning areas, etc. There are 6 of these regions, each one divided in micro-regions (usually 3). Each micro-region is composed of several neighbourhoods.
RECAECA	Rede Estadual de Combate ao Abuso e Exploração Social de Crianças e Adolescentes	State Network to Combat Abuse & Social Exploitation of Children & Adolescent
SDE	Secretaria Municipal de Desenvolvimento Economico	Municipal Secretariat for Economic Development, the municipal government department in charge of the promotion of programmes focused on income and employment, popular and solidarity economy, resource mobilisation, capacity building and micro-credits.
SJP	Serviço Justiça e Paz	NGO specialised in legal and juridical assistance to residents and grassroots associations of informal settlements, originated from the Pastoral work of the Bishop of Olinda & Recife.
SERENE	Seminário Região do Nordeste	Seminar of Northeast Region, open monastery where those following training programmes offered by the catholic church in Recife lived.
SMDE	Secretaria Municipal de Desenvolvimento Econômico	
SMOP	Secretaria Municipal do Orçamento Participativo e Gestão Cidadã	
SMPUME	Secretaria Municipal de Planejamento, Urbanismo e Meio Ambiente	
SOPGC	Secretaria do Orçamento Participativo e Gestão Cidadã	The municipal secretariat for the Participatory Budgeting and Citizen Management, the government body in charge of the major channels of citizen participation in Recife.
Usucapião	Usucapião	
ZEIS	Zona Especial de Interesse Social	Legal delimitation of an urban area informally occupied by poor families, characterised by poverty, inadequate infrastructure, according to the PREZEIS law.

Annex 2

The Role and Working Method of an NGO in Land Tenure Regularisation

There is no doubt about the fact that the PREZEIS legislation opened up an unique and pioneering opportunity for residents living in some 500 poor informal settlements situated in various parts of Recife to claim rights on the land where they built their houses and actually begin with property regularisation and formalisation of their settlements. Nevertheless, without external assistance neither the government nor the residents alone are able to make it work. The process is complex and lengthy. It demands full engagement and a great deal of knowledge of the legal, regulatory and institutional frameworks. That makes the role and responsibilities of NGO's extremely important.

The following paragraphs attempt to outline a step-per-step outline of what one can expect from a NGO that gets involved in defending the rights of the poor in Recife. This is drawn from 13 years of experience of the NGO Serviço Justiça e Paz hereafter referred to as SJP. The SJP has built experience in safeguarding the interests and needs of communities excluded from their right to a decent housing. SJP gets involved in local processes of social mobilisation providing technical and political support to resident's associations and local leadership. SJP pursues broad-based citizen participation and stimulates residents to actively participate in the COMUL's (Commissions of Legalisation and Urbanisation of the PREZEIS) but also in the activities and meetings organised in their own settlements, plenary sessions to support collective decisions and course of actions, capacity building seminars and workshops. The social, political and legal context has a strong influence on the methodology and action and may determine the kind of social mobilisation instruments best suit the momentum.

The staff of SJP gets involved in the formulation of agenda of meetings and in the development of strategies in close cooperation with the local leadership and residents' associations as required by the type and scope of the problems at stake. They attend the leadership meetings and are present at plenary sessions and are ready to respond to inquiries providing prompt explanations on institutional, legal and political procedures. They play a dual role in translating laws and institutional and political complexities to a common language understood by lay citizens. At the same time SJP plays a capacity building role, increasing knowledge and awareness among the residents about the current legal and institutional frameworks governing the land regularisation processes. Thus training events, workshops and transfer of knowledge is an inseparable part of the technical assistance package provided by a NGO. Furthermore, SJP sits next to local leaders and formal representatives of the settlements whenever an audience with the government or any public authority is arranged. SJP is always standing next to residents and their representatives, acting on their behalf in a court case of any kind related to land and housing rights issues.

In the beginning SJP concentrated its work on safeguarding the rights of individuals and communities (legal action in court to gain property rights or go against threat of evictions), illustrating a very typical lawyers work in line with the tradition inherited from its predecessor the Commission of Justice and Peace of the Catholic Church. As the work evolved and gained magnitude SJP extrapolated the mere domain of safeguarding rights by assuming a much more active role in counselling and proposing forms of rights (formulation and legal action in court) thus building its own identity and work style as a NGO. Thus there is a clear shift from a reactive to a pro-active approach in relation to residents living under threat of eviction and who are confronted with the problem of informal settlements built on privately or publicly owned land. SJP acts and brings forward propositions for "usucapion" and "special concessions" for the purpose of guaranteeing access to housing by the poor. In fact, SJP pioneered the use of the collective "usucapion" which is a sort of horizontal condominium principle where all residents are awarded a parcel right on the land where their settlement is built without further defining exactly the individual boundaries of each individual plot. This proposition was brought forward in Recife before it was actually regulated by the progressive federal legislation enacted in 2001 and known as the City Statute.

The steps undertaken by SJP depicts clearly what is expected from a NGO assisting residents of an informal settlement who face the threat of eviction from a privately owned land that have been illegally occupied by them and/or are in the brink of a legal conflict that may take away all their rights on the land where they live in Recife. The steps required for a situation that involves occupation of privately owned land is summarised below helping to depict the complexity and difficulties of the process:

1. Plenary Session

The residents' association and local leaders organise a plenary assembly in the settlement. A full explanation and clarifications are provided to residents about the course of action, the legal procedures, the criteria and obligations of every household head, and what is expected from each house owner.

2. Collection of Documentation

A schedule for delivering basic documentation is agreed and residents provide the NGO with copies of ID cards, proofs of residence, copies of bills, receipts of purchase, etc. A very important document is the "power of attorney" signed by each resident that gives the lawyers of the NGO the right to defend and represent each resident and to act on his behalf in court. The title deed issued by the notary office for property registration showing the legal owner's name must be attached. A declaration of poverty signed by each resident stating that he/she doesn't have resources to pay for the court costs charged by the Ministry of Justice must be presented otherwise residents must bear the costs of the court case. A statement of each resident in which he/she affirms not to be owner of another property must be also attached.

3. Topographic Survey and Cartographic Mapping

A topographic and cartographic survey is carried out and it is by far the most costly step of the process. This is a legal requirement and is carried out by cartographic and topographic experts commonly paid by NGO's through their own projects finance. Every building and every plot must be surveyed and an individual A4 drawing depicting the site location and specific measures on all boundaries of the plot must be provided on scale. This cadastre of every individual unit is attached to the documents of its owner.

4. Prepare Process and Documentation to Sustain Court Case

Once all individual identification drawings and supporting documents of the occupants (residents) are assembled, and power of attorneys are attached to each individual documentation referred to a plot/unit, the lawyer goes to court and file a court case to claim rights on the land.

5. Public Appeal by the Judge

The legal owner(s) of the land parcel(s) is asked to pronounce himself if he wants to object or agree with the proposed land regularisation that takes away his original rights. Interested parties and absent owners are invited via notification in the Official Diary newspaper to come up and present their views. Public entities such as finance secretariats of the Federal, State and Municipal governments are also notified and are asked to declare whether they have any interest on the case or not. The Federal Government via the Public Ministry is appealed and asked to provide its opinion on the case.

6. Reaction to Appeals and Against the Proposed Regularisation Case

The court hears the legal owner's views and arguments and the judge at his own discretion decides whether further hearings are needed, so that arguments and counter-arguments are equally placed.

7. Decision to Initiate the Court Case

The judge reviews all information and documentation prior to initiate the court procedures. It makes sure that procedures and all parties were properly informed and if all obligations have been accomplished.

8. The Court Audience

All documents proving the period under which the parcel(s) of land in question was held under control of their present occupants – residents represented by their lawyers – are brought forward. The lawyers present their case and witnesses are heard from both parties.

9. The Judgement and Appealing

The judge takes a decision that recognises the rights of the present occupants of the land or not. This is the moment that both parties may appeal against the judge's decision. If one party does not agree, an appeal request is filed to a superior tribunal.

10. Registration in the Notary Office for Property Registration

If the decision is positive for the present occupants of the land, the court issues a mandate – a juridical order – that instructs the notary office for real estate property registration to register its decision transferring the property of the land to the present occupants and residents of the settlement. From that moment onwards, the occupants become legal owners of the plots where they live.

Throughout these steps, the NGO as well as the local leaders are fully engaged and often the residents are called to protest, carry out public demonstrations with sound equipment and banners showing their objections against the long-winded juridical processes of the Ministry of Justice. If there is no dispute with the legal owner, it is possible that a court decision is reached within 3 years. In case there is objection and appeals, it can go up to 5 years. The settlement will be fully regularised in not less than 10 years.

The last decade revealed a particular evolution of social movements in Recife to which NGO's had to adapt itself. There was a noticeable increase in the number of ZEIS areas that consequently increased the demand for NGO assistance. There was also an increase in the number of local leadership and their involvement in the channels of the PREZEIS. Some of these representatives have also legitimised themselves as local leadership by getting involved in other channels of participation like the Local Government in the Barrios (Prefeitura nos Bairros), Participatory Budgeting and Municipal Councils e.g. Health, Education, Children and Adolescent and Guardian Councils, and Social Assistance just to mention the most prominent ones. Residents are increasingly getting involved in the execution of public policies and service provision as community agents and environmental health agents.

According to SJP, at times the recognition of some informal settlements and their transformation in ZEIS thereafter – as prescribed in the PREZEIS legislation – was propelled by the political interest of the mayor and not by social mobilisation and direct interest of the residents. Consequently, residents tended to take for granted the “land rights” that was awarded to them without the need for social mobilisation that in fact illustrates one of the facets of political ‘clientelism’. Therefore, SJP prioritised the recognition and the enactment of ZEIS on some prioritised settlements where some kind of social mobilisation and local leadership were in place and where the threat of eviction was a real one. This was as part of SJP strategy to:

- (a) Impede the eviction of families as a result of a legal conflict (settlements of Iraque, Chico Mendes, Rosa Selvagem, Coquial, Vila Felicidade).
- (b) Launch a process of land regularisation and strengthening of local social political organisation (Caranguejo-Tabaiaras).

The on-going processes and the results accomplished in terms of the recognition of the land rights of the inhabitants of these settlements that benefits more than 30,000 people is really notable. However, the regularisation process is a lengthy one. Although the threat of eviction has been halted by court cases and legal actions it is not so evident that the assistance of SJP has resulted into more awareness and active citizenship in these poor settlements.

SPJ has not measured the impact of its assistance and direct involvement in the social and political developments in these settlements. The impact of SJP work is that the residents and families of these areas got organised and socially and politically mobilized towards a common goal – transform their settlement into ZEIS – and at the same time residents learned about the legal and regulatory frameworks governing the land tenure matters in Recife, they visited other ZEIS and experienced the channel of participation PREZEIS.

Last but not least, residents carried out demonstrations and demanded through public petitions the designation of their settlement into a ZEIS. SPJ also claims that their work helped to realise some of the targets of the Urban Reform since their actions resulted into the alteration of the current land use regulation and zoning ordinance in the city. Some vacant land was densified and further occupation provided housing opportunities for hundreds and even thousands of low-income families.

Annex 3

LIST OF INDIVIDUALS AND ORGANISATIONS INTERVIEWED

FASE Livia Miranda	Architect, working on housing policies and urban policies towards low income families, representing FASE-Federation of Institutions for Social and Educational Assistance in the Observatory of Public Policies and Social-Environmental Practices.	12/06/03
SJP Tereza Borba, Carlos Aguiar, Elijah Campelo	Serviço Justiça e Paz. Director SJP; plus other staff of SPJ. Evening site visit at community meeting supported by SJP in discussions with Municipality on the settlement. Visit to Chico Mendes, Campo Grande and Rosa Selvagem.	9/06/03 16/06/03
ETAPAS Isabela Valença, Vanesca Bonfim, Ana Kelly, Marcelo Olimpio, Elder and Monica	All permanent staff of ETAPAS- Technical Team for Advisory, Research and Social Action, NGO founded within the process of PREZEIS. Site visit to Carangueijo Settlement;	13/06/03 24/11/03
CJC Márcia Andrade	General Co-ordinator of the NGO CJC-Centro Josué de Castro de Estudos e Pesquisas, with large experience with public policies, income and employment.	16/06/03
CEAS Urbano Jussara Koury, Andrea Cavalcanti	Technical staff and secretary – respectively – of the Center of Studies of Urban Social Action.	16/06/03
CENAP Alvaro Pantoja	Centro Nordestino de Animação Popular	10/06/03
GRUPO ORIGEM Denise Arcoverde, Angélica Carvalho	Grupo Origem Saúde, Trabalho, Cidadania	10/06/03
GRUPO RUAS E PRAÇAS Solange Bezerra, Rejane Guedes	Co-ordinator and secretary of NGO “Grupo Ruas e Praças” that works with street children.	13/06/03
Municipality of Recife João Costa	Municipal Secretary for the Participatory Budgeting and Citizen Management Attended plenary session of OP in the evening	12/06/03
Municipality of Recife Carlucio Castanha	Senior director of the Municipal Secretariat for Economic Development and head of the Centro Público programme.	9/06/03
Municipality of Recife Milton Todler	Senior architect and planner, director of special projects of URB, former staff of the NGO called ARRUAR, a pioneer in the technical assistance in the PREZEIS.	11/06/03
Municipality of Recife Norma Lacerda	Senior architect and planner, doctor in urban and regional planning, former professor and president of the national association of programmes of post-graduation. Currently director general of urbanism-DIRBAM, reviewing and reformulating the urban development plan of the city.	19/06/03
Municipality of Recife	Former staff of a NGO (CJC), currently working as general director for the	12/06/03

Alzira Medeiros	development of popular and solidarity economy, of the Municipal Secretariat for Economic Development.	
Municipality of Recife Roberto Trevas	Chief of staff and liaison of the mayor's office	13/06/03
Municipality of Recife Niedes Queirós	Director of Urbanistic Integration-DIUR of the URB-Urbanisation Agency of Recife, currently responsible for PREZEIS fund and articulation with the Participatory Budgeting. Former NGO staff (ETAPAS).	13/06/03 27/11/03
Municipality of Recife Audrey Luna Moraes	DPU/DUZ, architect and chief of Division for the Urbanization of ZEIS of the Department of Urban Projects of URB; responsible for settlement layout, urban design, details and coordination of topographic and survey works in support to project elaboration.	28/11/03
Federal University of Pernambuco Jan Bitoun	Geographer with large experience in Recife, recognised by all actors as a reference in the city. Former director of DIRBAN of the Secretariat of Planning-SEPLAN of the Municipality of Recife. Coordinator of the post graduation programme in Geography and head of the Observatory of Public Policies and Social and Environmental Actions.	17/06/03
Federal University of Pernambuco Luis de la Mora	Well-known professor (originally from Mexico), coordinator of the post graduation programme in urban development, large experience in the city and government. Regarded by all actors as a reference in the city.	19/06/03
Community Leader Paulo Ivaldo Alves da Silva	Community Leader of the settlement called "Chico Mendes", president of the resident's association; participated in the movement of the CEB-comunidades eclesiais de base, and active member in the land development since 1991. It is a ZEIS receiving technical/judicial assistance from CJP.	17/06/03
Community Leaders Cleonice da Silva José Domingos da Silva	President of the group of elderly and community voluntary respectively, of the settlement Caranguejo-Tabaiaras, a very poor squatter settlement situated in central Recife. A ZEIS area subject to DELIS-Sustainable Integrated Local Development programme. Technical assistance by ETAPAS and SJP.	17/06/03
Community Leader Ademísio Pereira Correia Manuel José da Cruz	Respectively community leader of the settlement Rosa Selvagem (to be named Jardim Terezópolis II) and head of a group of Christian Workers. Rosa Selvagem is a consolidated settlement originated from a land invasion. Ademísio is a delegate/councillor in the Forum of PREZEIS. Settlement is a ZEIS and receives technical assistance by SJP.	18/06/03
Community Representative Tania Ribeiro	She is a resident of Brasília Teimosa settlement, situated in prime land in Boa Viagem, a consolidated settlement that became a national reference for resistance against eviction in Brazil. The settlement is regarded as the reference and the starting point of the PREZEIS experience. She is a delegate in the Participatory Budgeting.	21/06/03
CEDHEC Valéria Neponucemo Teles de Mendaonca	Centro Dom Helder Camara, Executive coordinator, 14 years heading the center of human rights and children and adolescent.	24/11/03
Buizinha (Severina Pereira da	President of the Federation of Residents' Associations of Ibura / Jordão; Delegate of OP and former councillor of the COP; Delegate in the Sector	25/11/03

Veiga)	Council of Transport; Member of the PREZEIS Forum as representative of the ZEIS Tres Carneiros - UR5; Member of the COMUL. Biuzinha lives in Tres Carneiros since 1973 when there was no water, electricity, roads, nothing except the wooden shacks. Established a group of women who later made up the leadership of the residents' association. Active leader.	
Isaac Aboubel Vera Freira	Director DPU-URB Assistant Director DPU-URB	25/11/03
João José	Personal history and experience with various channels of citizen participation in Recife. Former leader of secondary school movements (1988) and from 1994 active member in various popular movements; member of state coordination of the national movement for the housing struggle; Representative of PREZEIS; COMUL; He is councillor of the Sector Council on Health. He is a former councillor in the COP. He is substitute in the CDU.	25/11/03
Maria Leonor Maia	Former founding member of ARRUAR, one the pioneering NGO providing assistance to PREZEIS and COMUL's. Presently an academic staff of the University of Pernambuco; she worked in the FIDEM and also in the Municipal Secretariat of Planning at the Directorate of Projects.	25/11/03

Annex 4
Formulating KEY QUESTIONS for open interviews in Recife
Reflections on the process mapping after 4 days of working meetings
Claudio Acioly
Recife, 13th June 2003.

Since the process mapping is based on “participants’ observations” that is backed up by additional review of key documents on the local participatory processes and the roles of NGO’s and CORDAID’s partners, I have opted to concentrate on key questions (and questions derived from the replies of my interlocutors) which will help me to generate a global picture of the processes) in the city, as shown below.

I have focused my attention on the processes, programmes and projects that actually have an impact on the city of Recife and its development. Thus, primarily the areas and projects of intervention of the partners of CORDAID as a starting point and from that it became clear that there were other important initiatives of the municipality that indirectly or directly affected their areas of concern.

In Recife, it became clear thus that the participatory budgeting was a key channel to look at. The very progressive legislation PREZEIS dated from 1983 (that implied organized forums of participation focusing on legalisation of land tenure and informal settlement upgrading) was another channel to look at. Some of the sector (or thematic) municipal councils and forums should be looked at as well. Municipalities are constitutionally obliged to established some of these forum – education, health, transport, public safety, etc that have deliberative, consultative and advisory responsibilities, and each municipality can install specific forum on their own Recife has installed one on gender for example, that deals with municipal policies and actions on women labour, rights, violence, capacity building, etc which is a pioneering and for sometime the only one municipality that had such forum. There are some interesting “institutional engineering” and solutions to articulate these channels of participation but politically the government has opted to work with the OP as the “universal” channel of citizen participation. This has generated quite a lot of unrest among the NGO’s and also some government agencies that were involved in the PREZEIS for example.

I came to the conclusion that the confrontation with the reality in Recife and the actors involved has shaped quite a lot the initial premises of the Terms of Reference initially designed for this assignment. Furthermore, the history in Recife is surprisingly rich in terms of social urban movements, the role of NGO’s and civil society organizations, and particularly the role of the progressive Catholic Church that was closely associated with the theology of liberation (it does not exist anymore due to a structured intervention of the Vatican). This gives a different perspective in the analysis of the current process of articulation, dialogue and friction between NGO’s, civil society organizations and the local governments. The challenge is to disclose whether this interface has helped to shape public policies in the city and how. So far, the answer is YES, it has helped to shape it even during periods of very conservative and right wing local governments.

KEY QUESTIONS

I have opted to be concise in the questions during the first week. So far, I am only interviewing government officials directly involved with key programmes and CORDAID partners and other NGOS, and some researchers and scholars who seem to be “formadores de opinião⁹” in the city on the subject matter. Below, you will find my question guidelines. A next step will be residents, community leaders, residents’ associations, etc. The approach is as follows:

1. Get a good picture about the institution being interviewed (and the position/task of the person): what the organization is, what it does, how it does it.
2. Get a good overview about the official channels of participation and what processes are in place in the city?

⁹ Formadores de Opinião means those whose opinions are highly regarded and taken as reference in debates, decisions and orientation around particular themes.

3. Get a good picture of who are the major actors involved in the interface public policies and civil society organizations, including NGO's, in the city.
4. Get a good insight of what the legal framework is in place that is enforcing or facilitating civil society participation.
5. Get an accurate description about how the channels of participation really work in reality and how the legal framework actually functions e.g. processes, articulations, attitudes, etc.
6. Where and in which niche, sub-sector, does the institution focus its action? What is exactly their experience or specialisation?
7. What is the method of work when dealing with participants of the process, target groups, government, civil society organizations, etc.?
8. Get a thorough view of the interlocutors (interviewees) on the weakness/obstacles of the interlocutors in the participatory process (in the articulation between civil society and government). For example, interviewees from the government articulating their view on the NGO's and CSO's; and interviewees from NGO's and CSO's articulating their views on the government).
9. Get their response about how they see the impact or shift in policy or attitude – any type of change - measured or observed as a result of this participation and interface government-civil society. Can any kind of result of the actor's work – the one being interviewed – already be noticed.

Annex 5

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