

# Citywide Slum Upgrading: the Challenges in Project Planning and Programme Design



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# 1.

## How do we do it?

### Understanding & managing the process

### Project versus Program

# The Design of the Program

## *Organisational Aspects & Institutional Management*

**Who does what?**

**When?**

**How?**

**For whom?**

**For how much?**

**Follow-up ?**

**Who decides what and how?**

**From where comes the \$ ?**

**Who pays & who finances?**

# PRIMED-Programa Integral de Mejoramiento de Barrios Subnormales en Medellin

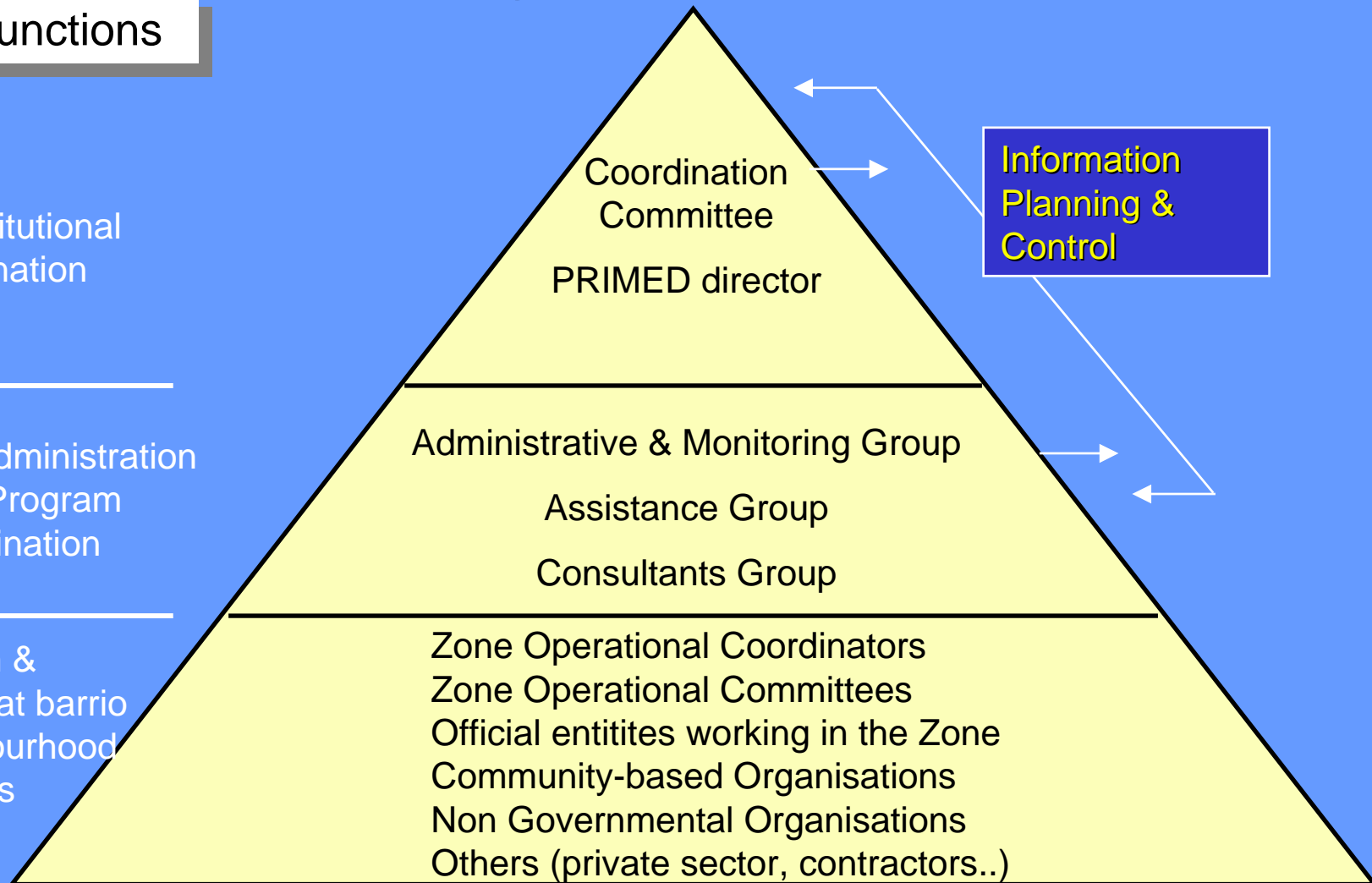
## Organisational Scheme

### Main Functions

Inter-institutional coordination

Control & Administration  
Zonal Program coordination

Liaison & cooperation at barrio level  
Neighbourhood projects



Information  
Planning &  
Control

# PRIMED

## Organisational Support & Institutional Setting

### Municipality of Medellin

#### Municipal Departments & Secretariats

housing

Public  
Works

Com.  
Dev

EDUC

Planning

Health

#### Decentralised Entities



# PRIMED

Organisational Support & Institutional Setting

**Municipality of Medellin**

Municipal  
Departments &  
Municipal  
Secretariats

**Decentralised Entities**

E.P.M.

**Corvide**

EE.VV.

INVAL

**PRIMED**

**MANAGEMENT**

**Auditing**

Administrative  
Sub  
management

Technical  
Sub  
management

Social  
Sub  
management

Juridical  
Sub  
management

# PRIMED

Organisational Support & Institutional Setting

Municipality of Medellin

Decentralised Entities

E.P.M.

Public Enterprises of Medellin

Corvide

Municipal Cooperation for Housing and Social Development

EE.VV.

INVAL

PRIMED

Administrative Unit

Legalisation & Promotion Unit

CeWe field office

CeEa field office

NoWe field office

# PRIMED

## Organisational & Management Structure

### Coordinating Committee

Municipality, Cordive, NHA, Federation NGO's, UNDP, Community Representatives, Metropolitan agency

Local Consultants

Per component at need

Implementing Agency - CORDIVE

PRIMED Project Manager

T. Assistance Nationals and Expatriated

Administrative & Monitoring-Inspection Group

Administrative Unit

Legalisation and Promotion Unit

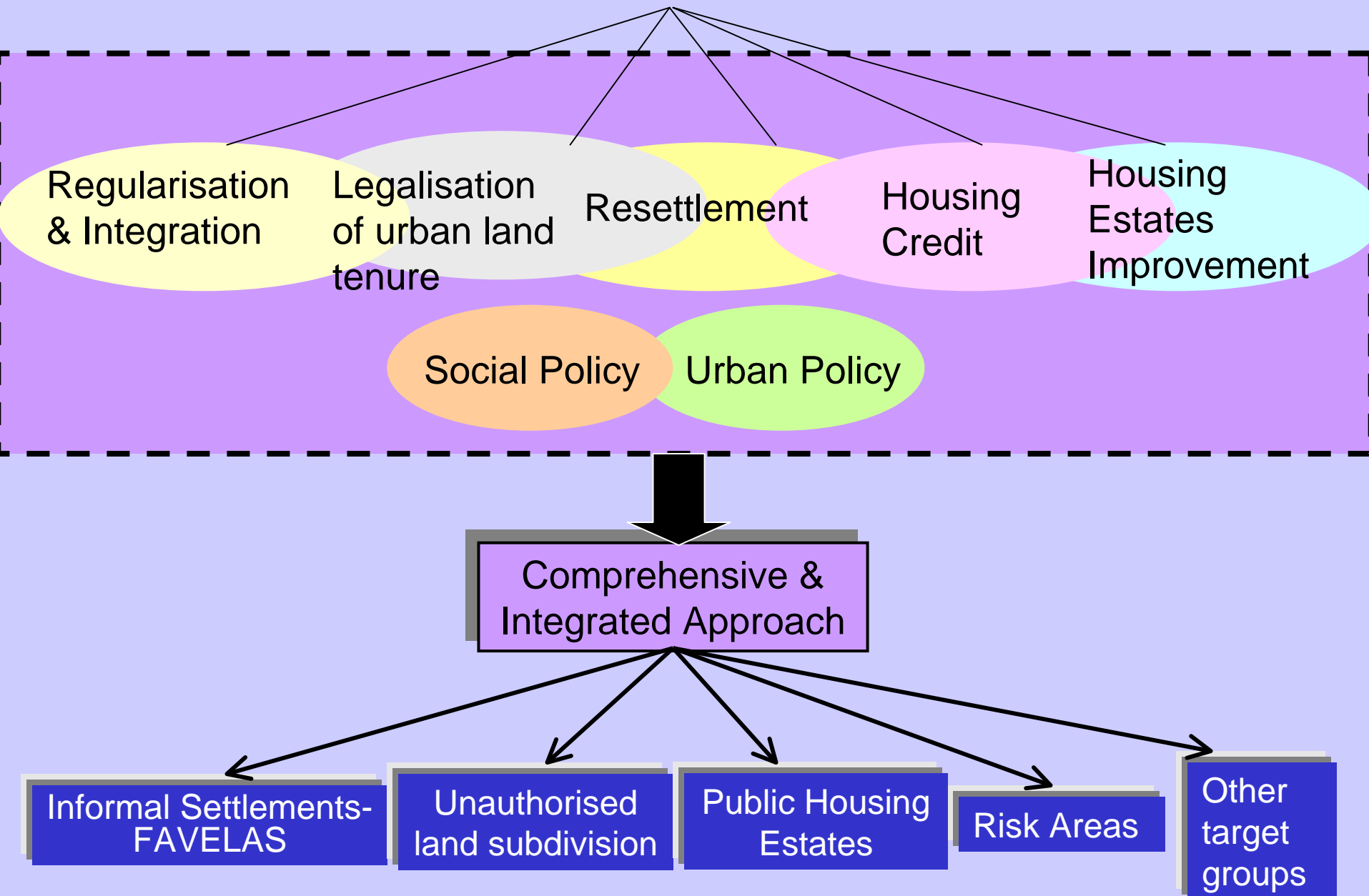
CEWE field office

CEEA field office

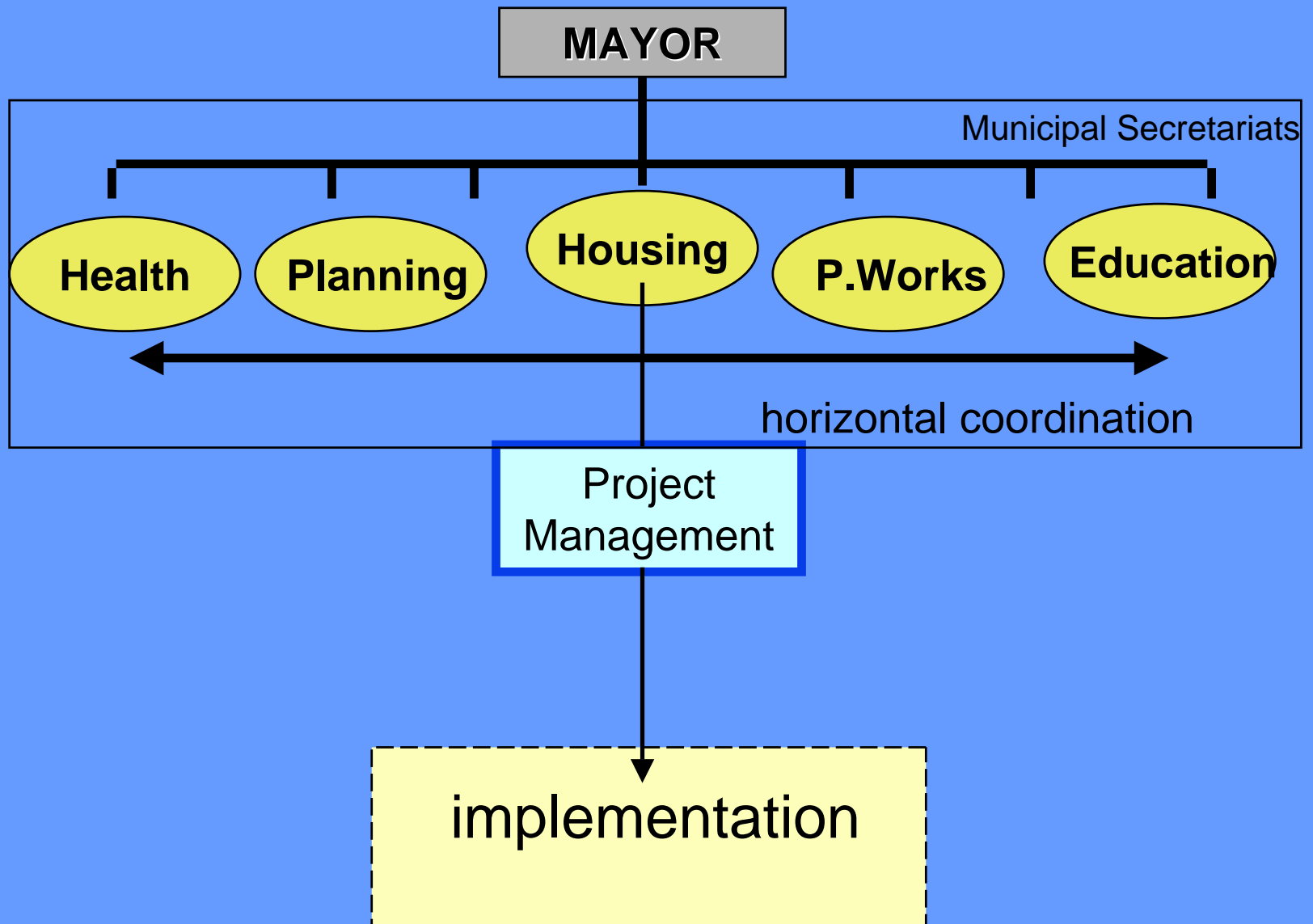
NOWE field office



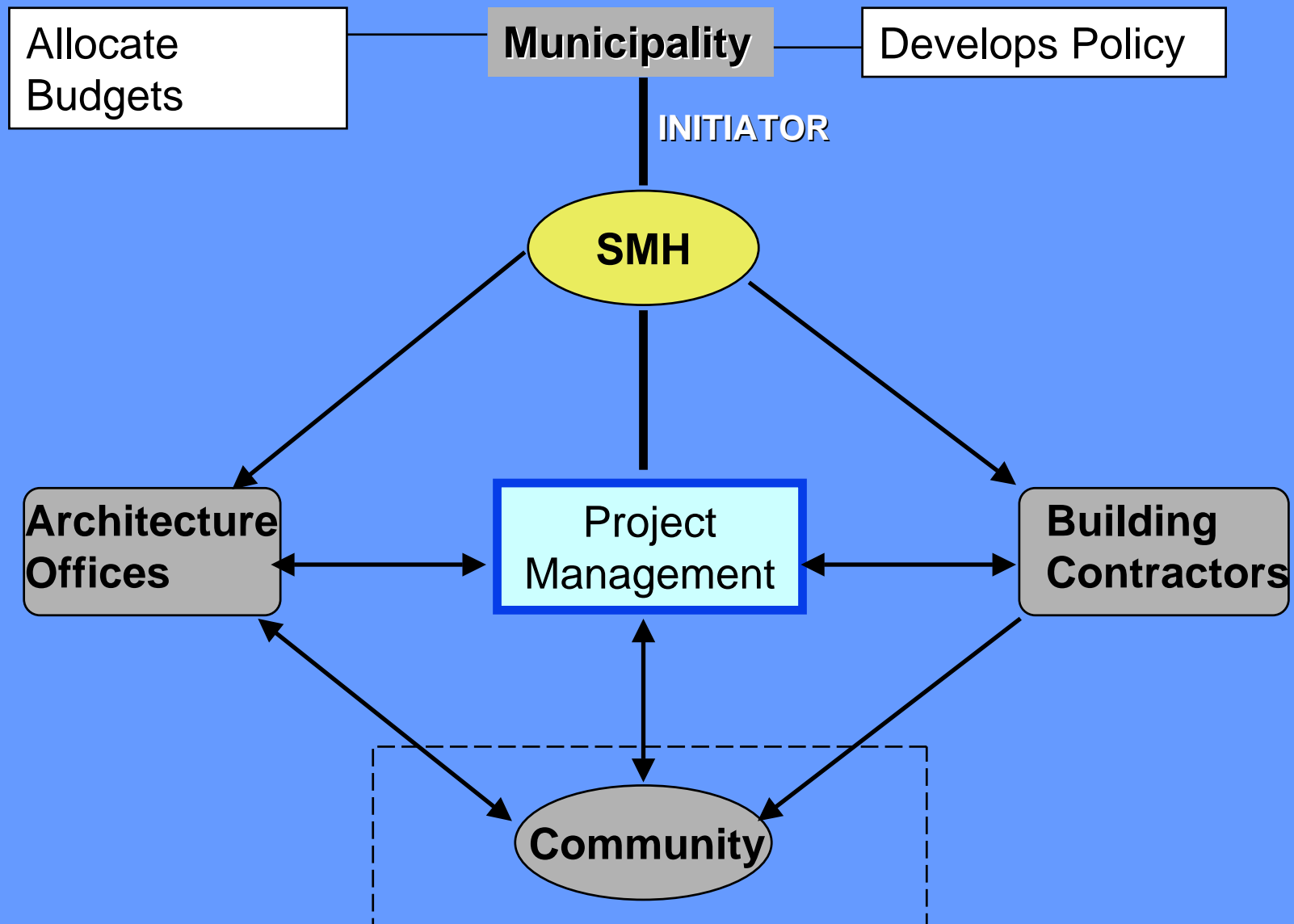
# Municipal Housing Policy



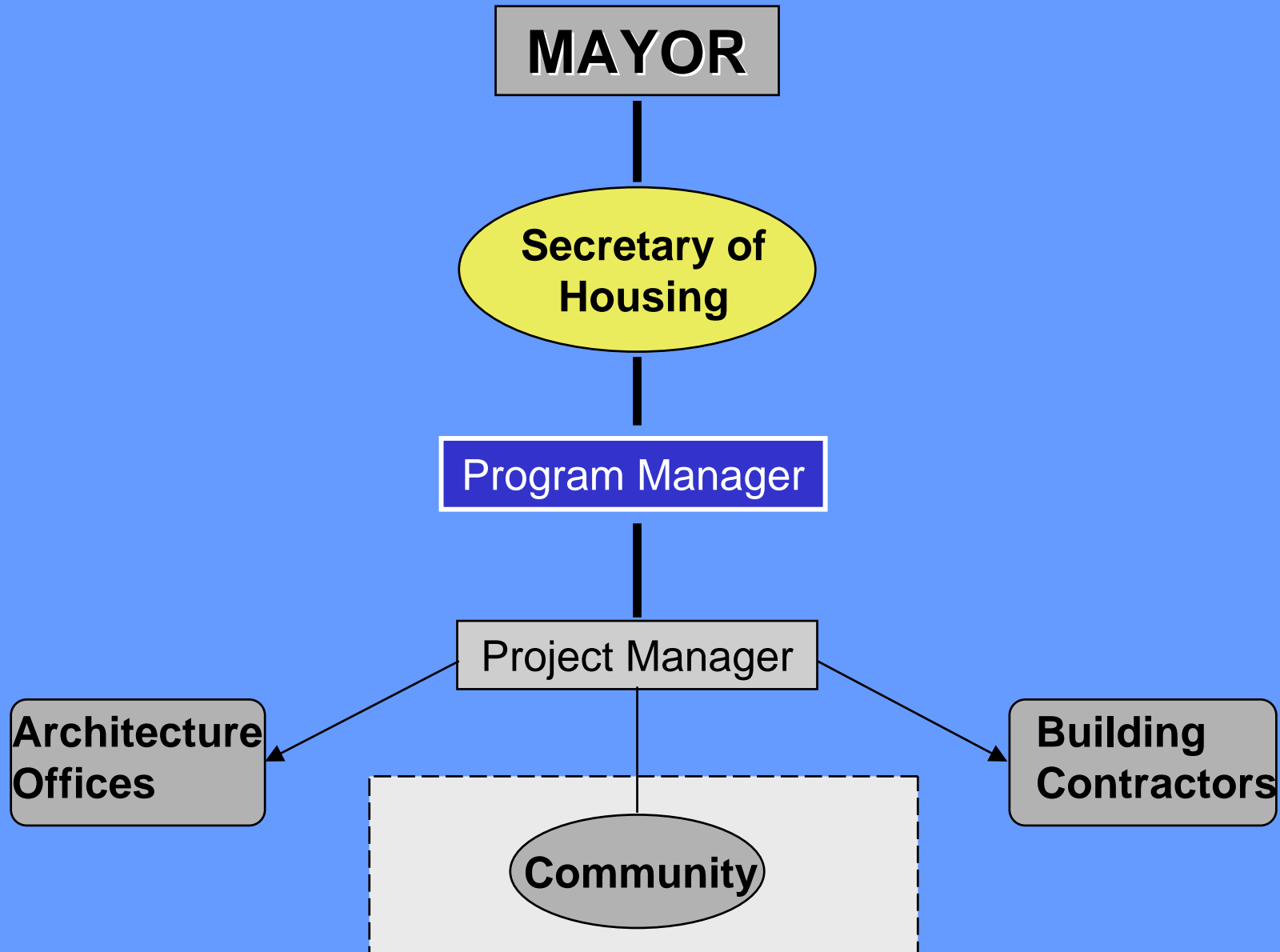
# Rio de Janeiro's Upgrading Program - Favela Bairro

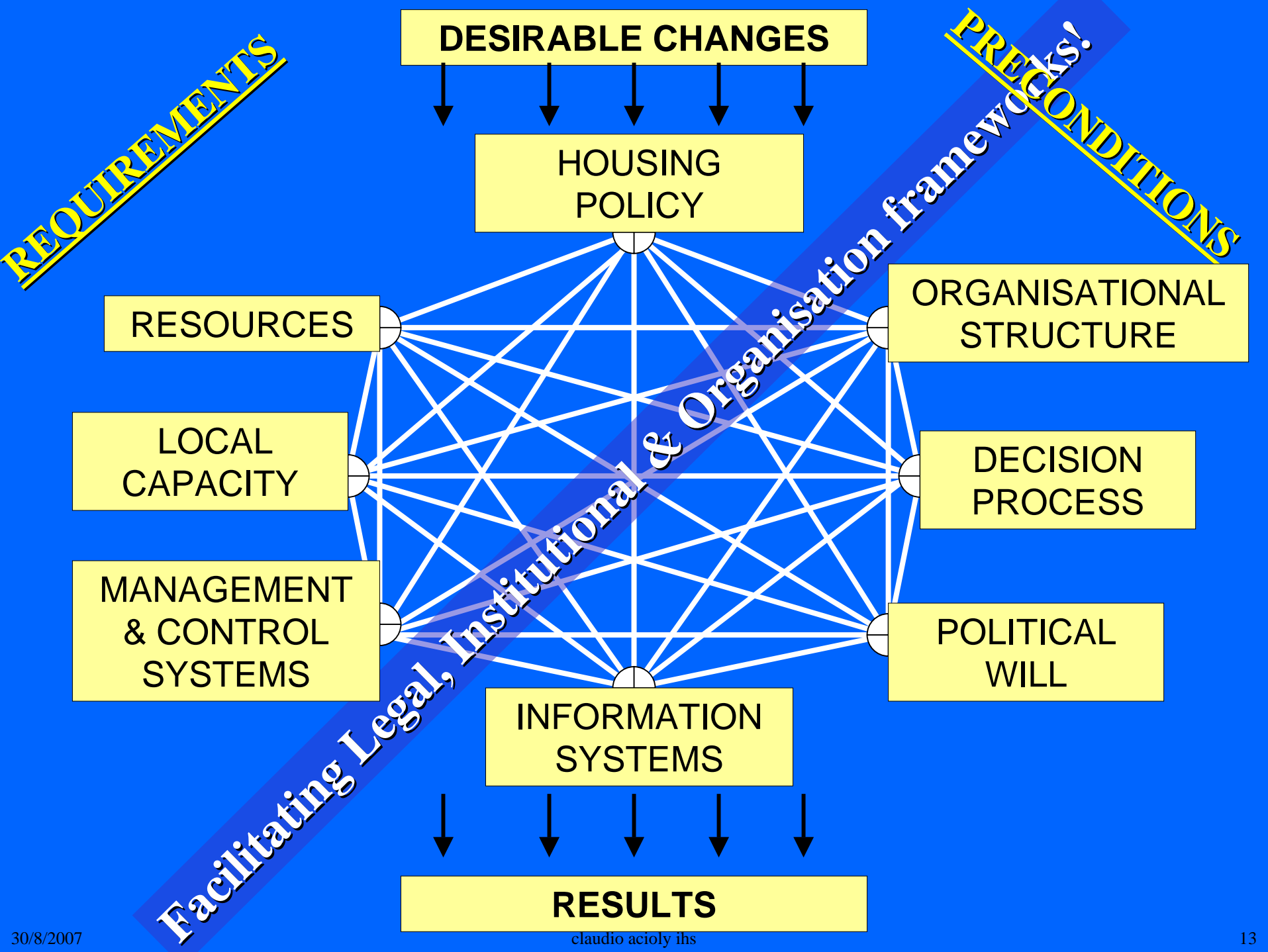


# Rio de Janeiro's Upgrading Program - Favela Bairro



# Rio de Janeiro's Upgrading Program - Favela Bairro





**DESIRABLE CHANGES**

**HOUSING  
POLICY**

**RESOURCES**

**LOCAL  
CAPACITY**

**MANAGEMENT  
& CONTROL  
SYSTEMS**

**INFORMATION  
SYSTEMS**

**ORGANISATIONAL  
STRUCTURE**

**DECISION  
PROCESS**

**POLITICAL  
WILL**

**RESULTS**

**REQUIREMENTS**

**PRECONDITIONS**

**Facilitating Legal, Institutional & Organisation frameworks!**

# Weaknesses at Program Level

**1.**

**Weak  
Organisational  
basis**

**2.**

**Lack of a vision  
on urban  
management**

**3.**

**Lack of  
institutionalisation of  
processes & procedures  
– institutional  
informality**

**4.**

**Full integration is  
rarely accomplished  
partly because of  
complexity of the legal  
proceedings &  
procedures related to  
regularising land tenure  
rights**

**5.**

**Lack of vision &  
experience with  
institutional  
management**

**6.**

**Weak participatory  
processes –  
technocratic  
tradition**

# Brief Conclusions:



The Institutional  
and Management  
Dimensions

# 2.

## The Project



# The Design of the Project(s)

## *The Project Planning & Project Management Aspects*

- Who coordinates project actions?
- Who coordinates execution actions?
- Which priority?
- Who defines the key problem and how?
- How to prepare the plan?
- Who participates in the formulation and how?
- Which type of information does exist?
- Which urban design criteria should we use?
- Which norm should be applied?
- Which standard of infrastructure should be applied?

Lack of Basic Infrastructure

Lack of roads & accesses

Lack of Public Services

Risk areas: unstable ground

Environmental protection areas: unfeasible occupation

illegal occupation: insecurity of tenure

Housing Poverty: inadequate living condit.

Poverty: Absence of Income

Lack of public space

Lack of public safety: Violence

### Different Forms of Deprivation & Exclusion

# INTEGRATION EFFORTS

Urbanisation Project

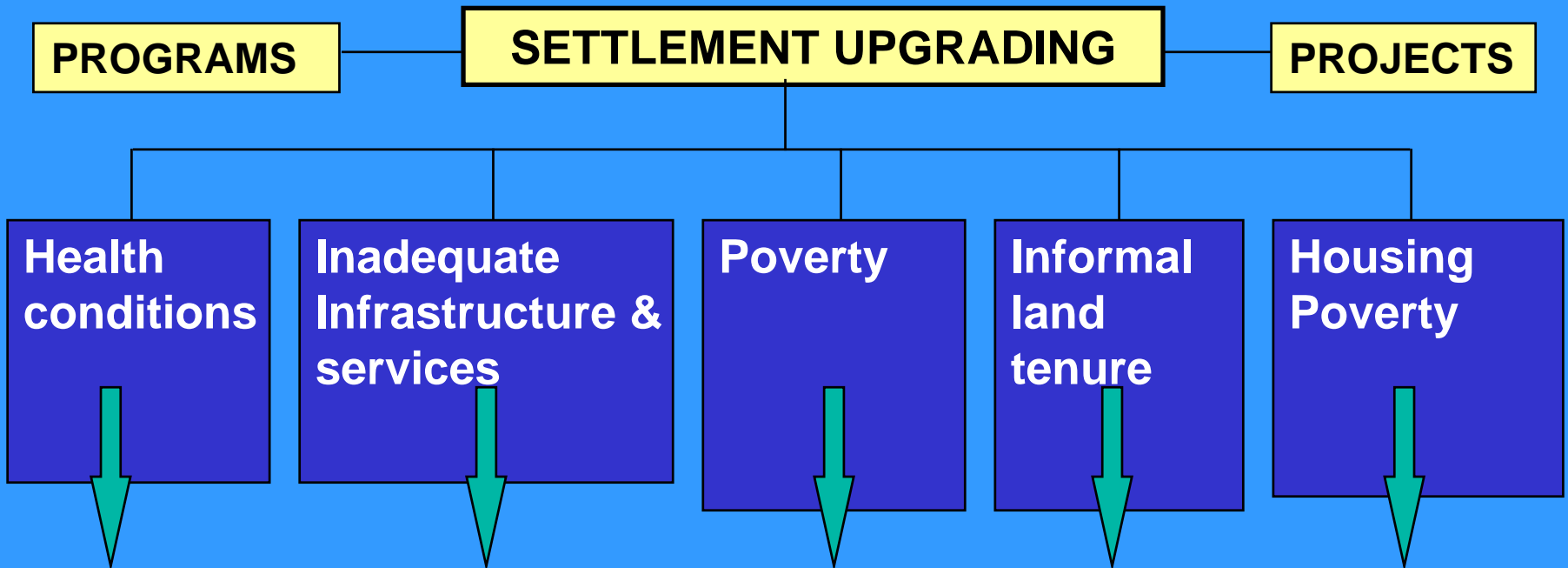
Regularisation Project and Urbanistic Formalisation

Project of Legalisation and Land Titling

Relocation Project

Project of Local economic developmt.

# PRIORITIES OF PROGRAMS AND PROJECTS



**FOCUS**

**LEADS TO DIFFERENT KINDS OF IMPROVEMENT  
WITH DIFFERENT TYPES OF ACTIONS !**

**PROGRAMS**

**SETTLEMENT UPGRADING**

**PROJECTS**

**Health Project**

**Reduce epidemics**

**Widen public health**

**Labor reproduction**

**Infrastructure Project**

**Basic sanitation**

**BM Credit**

**Credit to small businesses**

**Support to micro enterprises**

**Self-help & employment**

**Social Project**

**School construction**

**Playgrounds and creches**

**Vocational programs**

**Employment generation**

**Legal Project**

**Tenure regulation**

**Norms & control building activities**

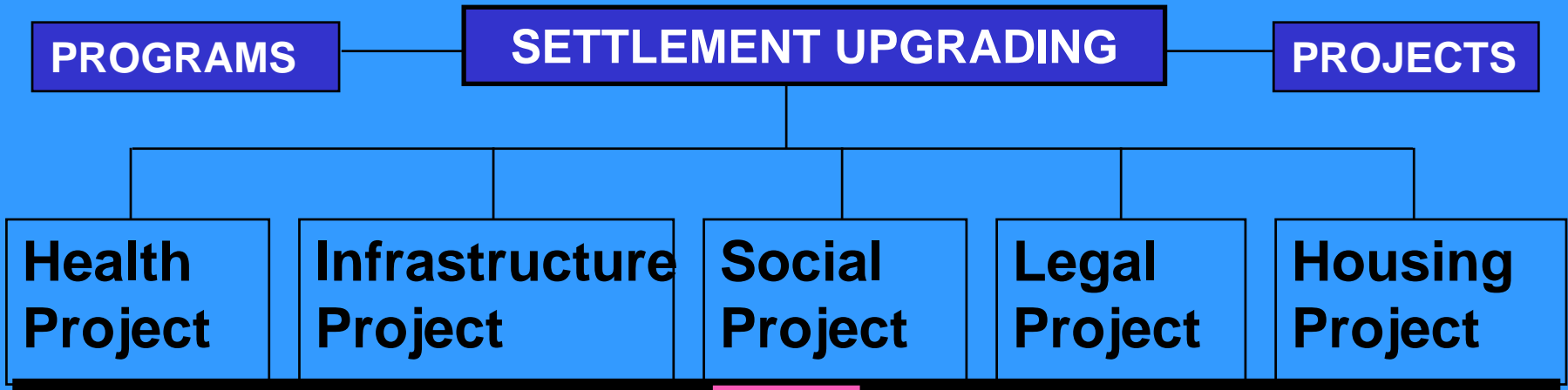
**Property titling**

**Housing Project**

**Improvement of housing stock**

**Credit to BM**

**Technical Assistance**



How to define the problems and objectives to be tackled?

**PROJECT CONCEPTION**

**Whose problems?**

**OBJECTIVES**

**Whose objectives?**

# PROJECT CONCEPTION

## OBJECTIVES

Decision  
Making  
Process

Priority  
Setting

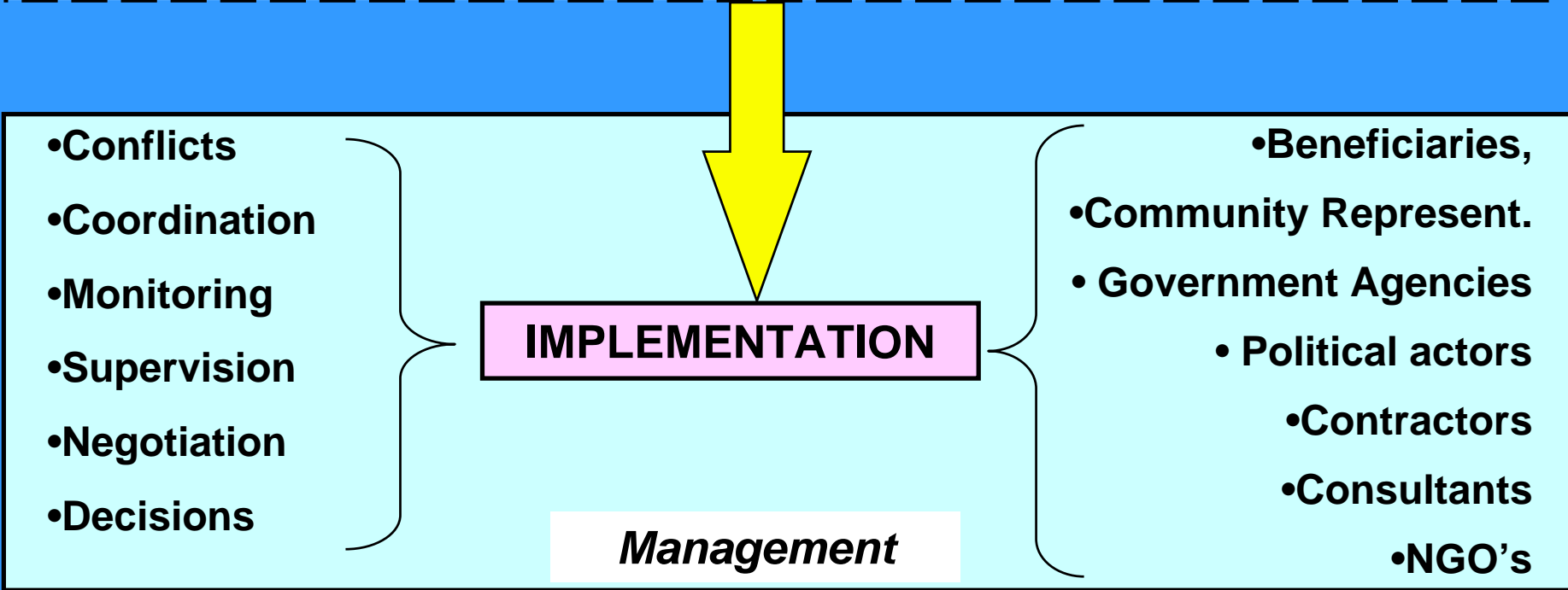
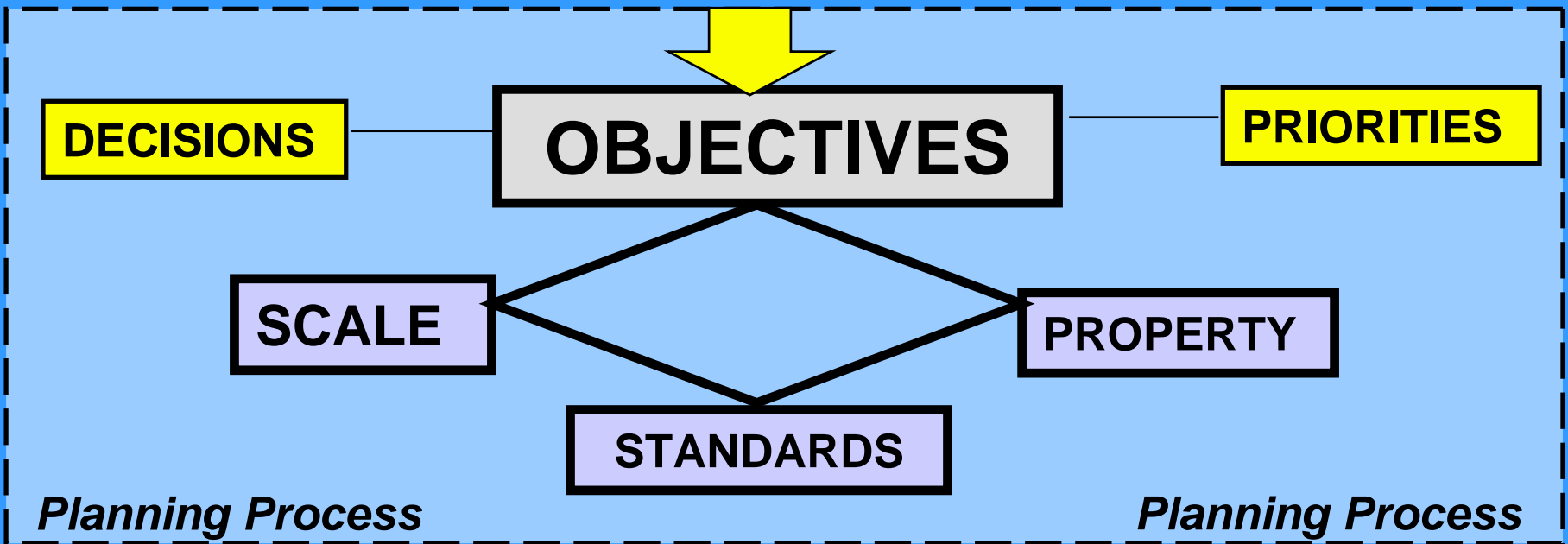
Communication

Communication

**SCALE**  
Population,  
Services,  
Plots and  
Sites

**STANDARDS**  
Housing  
Services  
Infrastructure

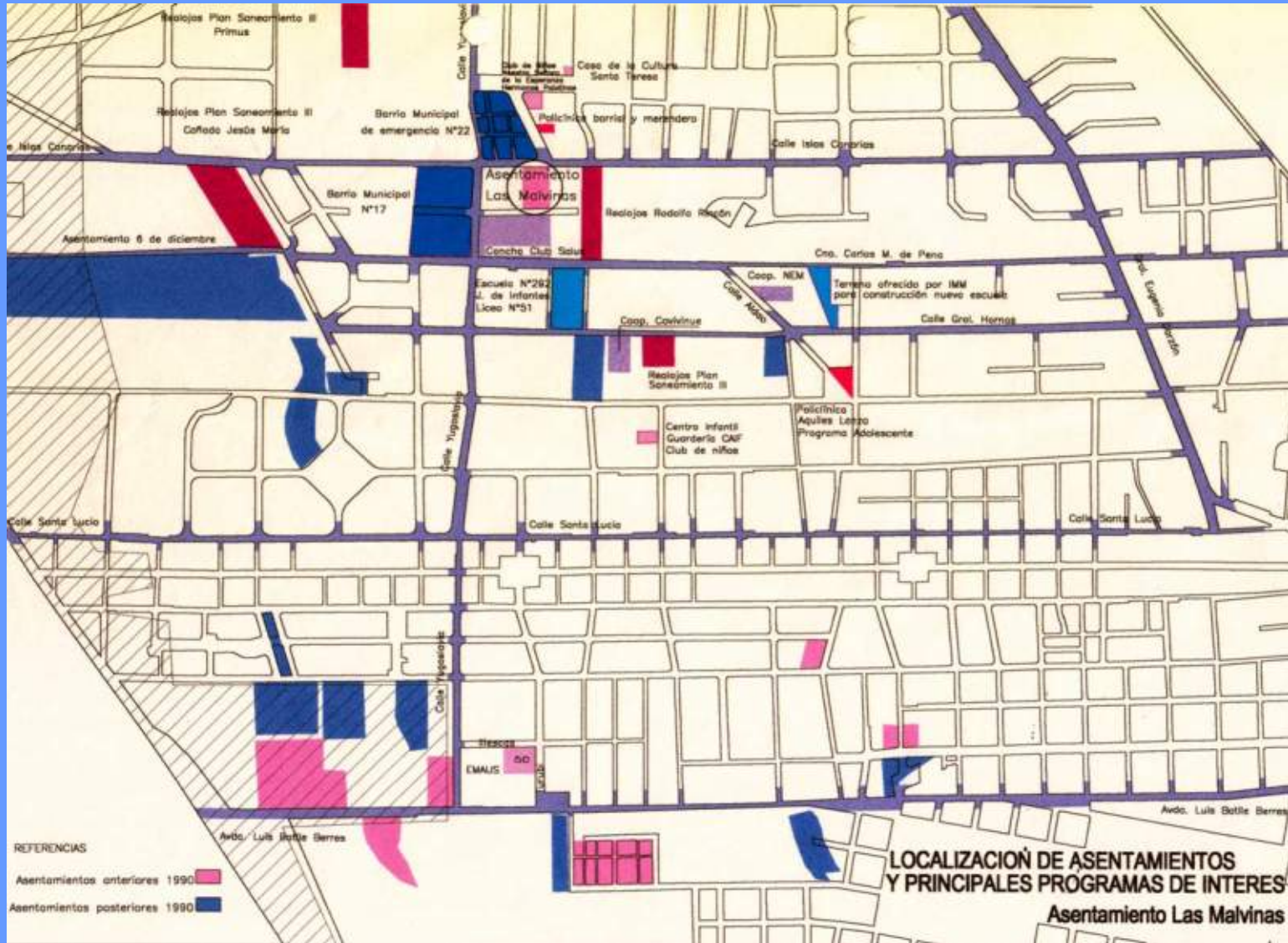
Access to  
**PROPERTY**  
rights and  
tenure  
arrangements



# Settlement MALVINAS

## Montevideo, URUGUAY

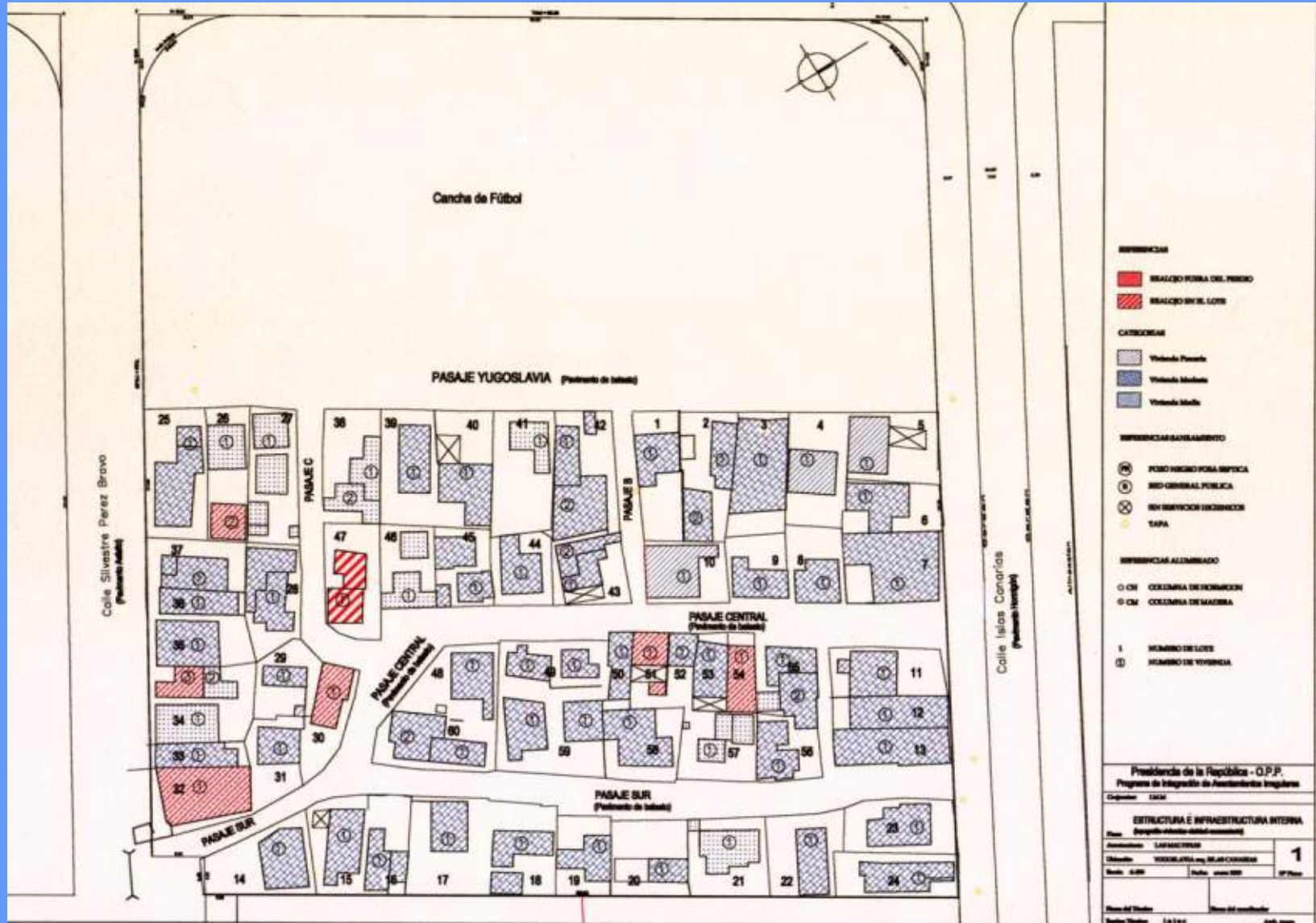
*Fuente: Adriana Bidegain, INTEC, 2002*





# Existing Situation

Fuente: Adriana Bidegain, INTEC, 2002



# Views of Ring Roads

*Fuente: Adriana Bidegain, INTEC, 2002*



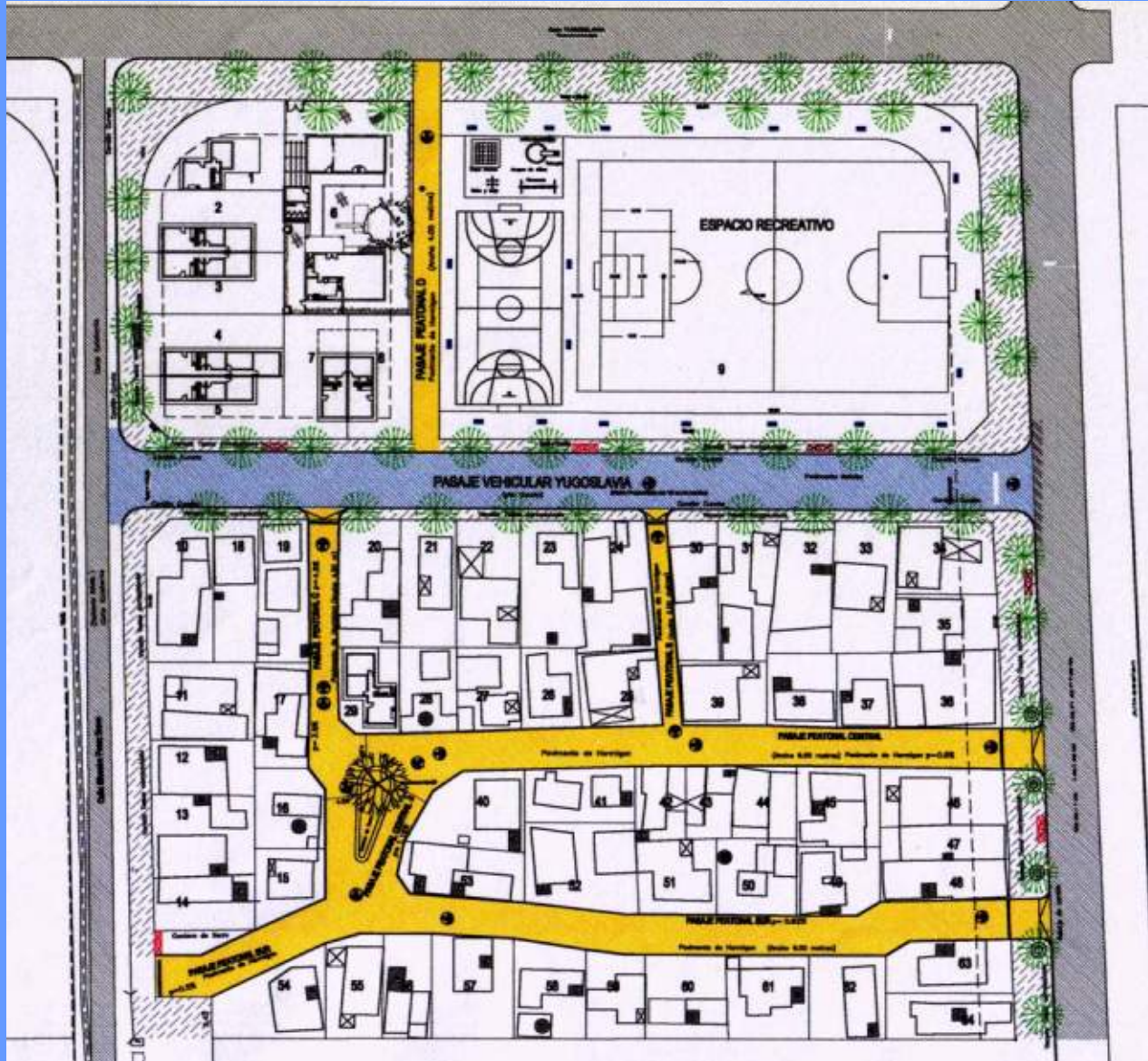
# Internal Accesses and Pathways

*Fuente: Adriana Bidegain, INTEC, 2002*



# Neighbourhood Improvement Proposal

Fuente: Adriana Bidegain, INTEC, 2002



# Sanitation and Sewerage Network

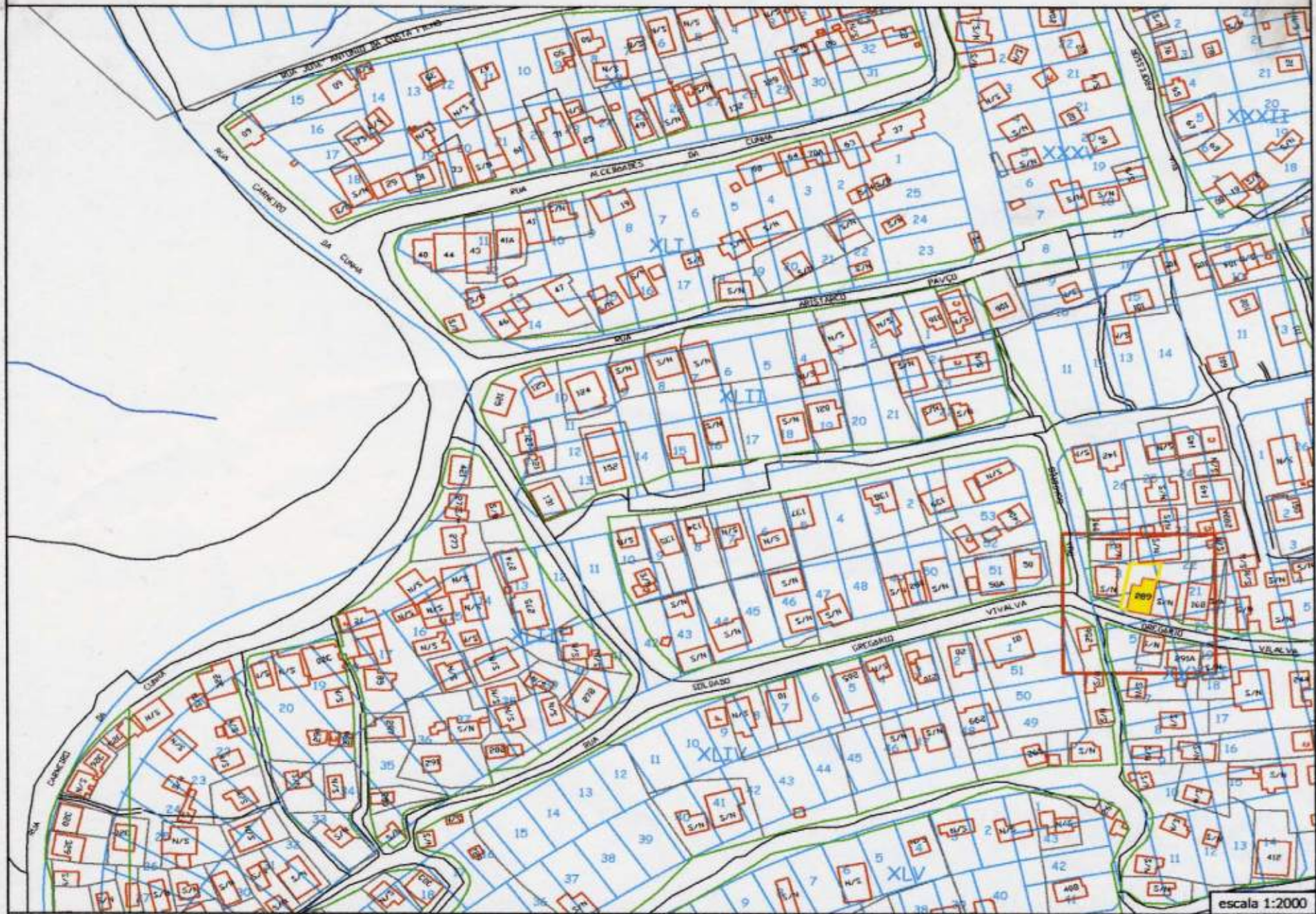
Fuente: Adriana Bidegain, INTEC, 2002



# The Tension Between Public and Private Domain



Z.E.I.S ROSA SELVAGEM







# Fallacy of the Jurist

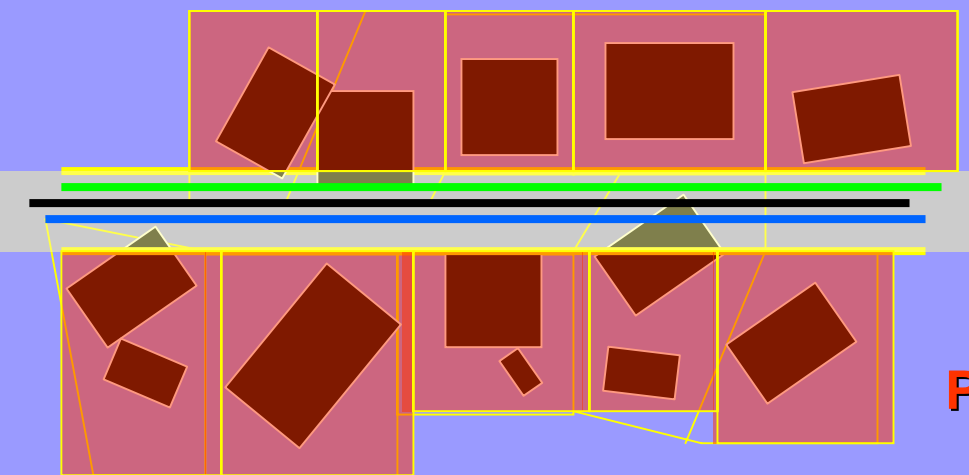
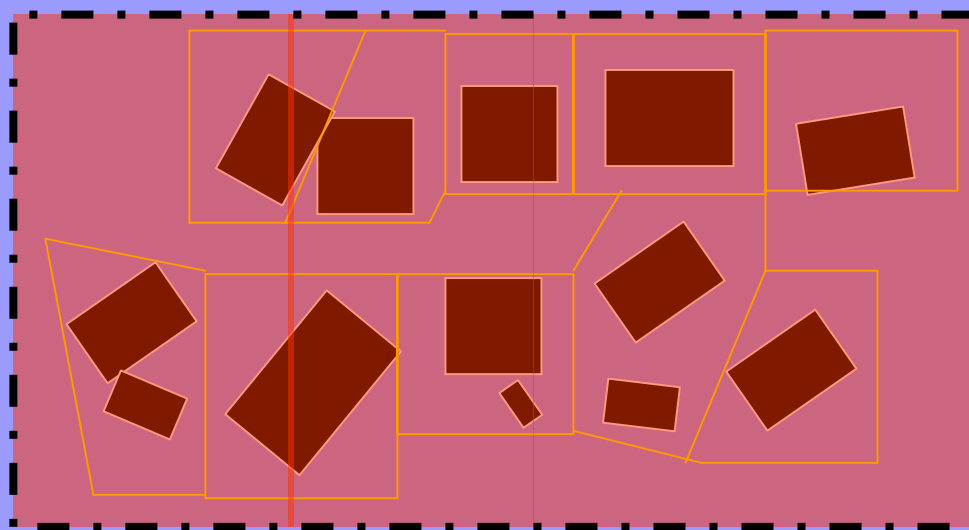
**Collective Domain**  
(condominium principle)

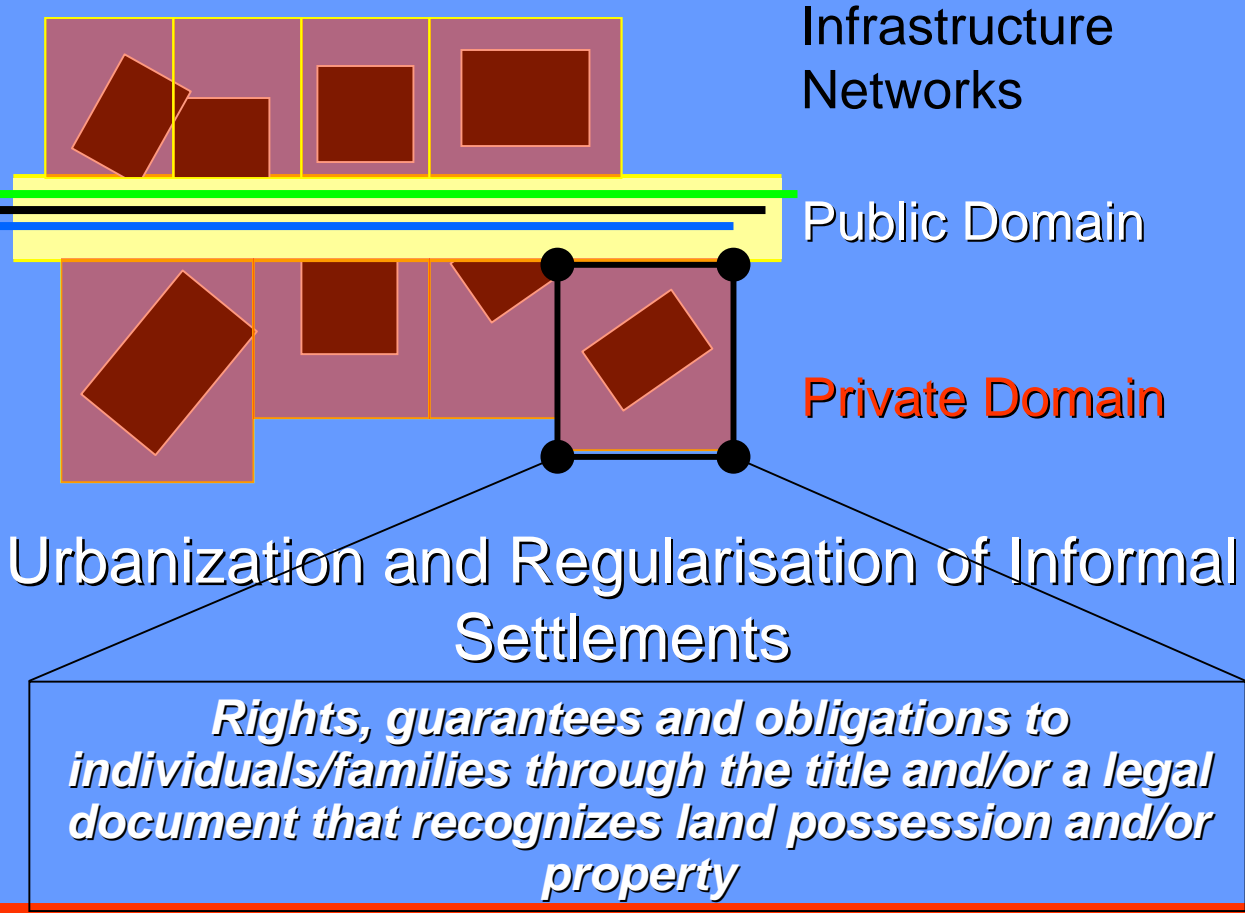
# Fallacy of the Planner

Infrastructure  
Networks

Public Domain

**Private Domain**





Infrastructure Networks

Public Domain

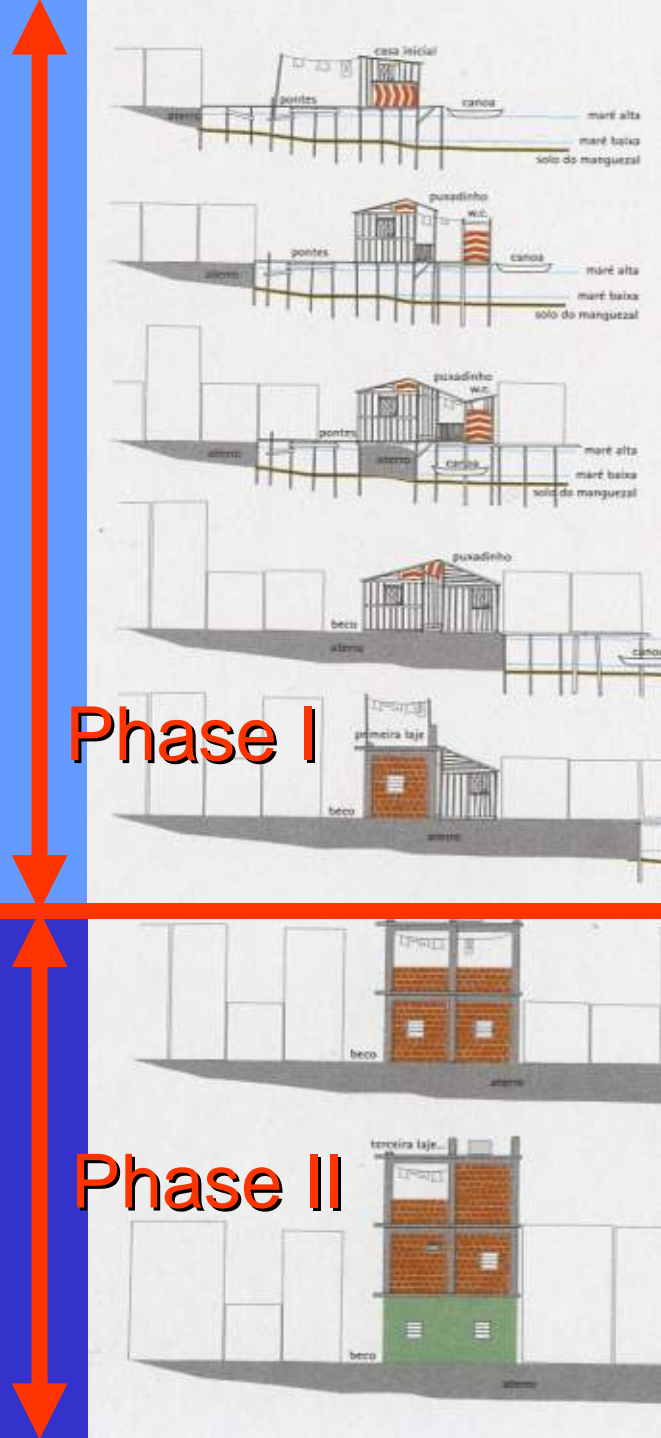
Private Domain

## Urbanization and Regularisation of Informal Settlements

*Rights, guarantees and obligations to individuals/families through the title and/or a legal document that recognizes land possession and/or property*

## Urbanistic & Building Regularisation

1. *Law Enforcement*
2. *Adjusting to current laws, norms and uses*
3. *Limits of Individual Actions*
4. *Regularization of the construction*
5. *Control Mechanisms on Urbanism*



Phase I

Phase II

# Weaknesses at Project Level

**1.**

**Inadequate  
cartographic basis**

**2.**

**The demand for  
“finished”  
projects is not  
compatible with  
the reality –  
process-based &  
adaptative vision**

**3.**

**Lack of planning  
and participatory  
project design  
instruments &  
skills**

**4.**

**Norms to approve  
projects are  
incompatible with  
the  
physical/spatial  
reality of  
settlements**

**5.**

**Technical cadre  
not well-trained  
for the social and  
organisational  
complexity of the  
population  
(learning by  
doing)**

**6.**

**There is no  
commitment to  
the “post-  
implementation”,  
to strengthen  
‘non-state public  
management’ and  
the local economy**

**7.**

**Lack of tools  
for project  
communication  
and interface  
with civil  
society`**

# Brief Conclusions 5:

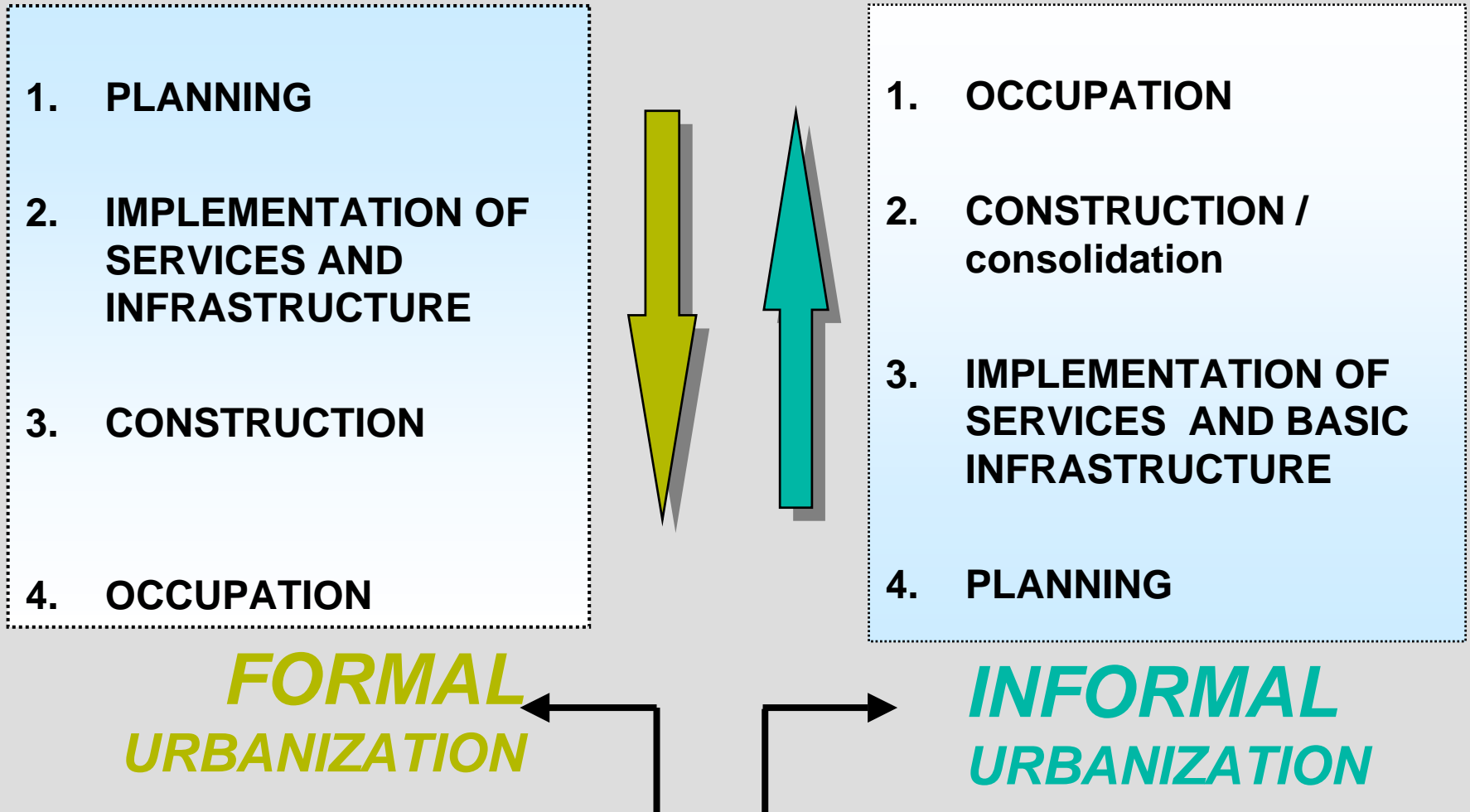
The technical &  
planning  
dimension



# 3.

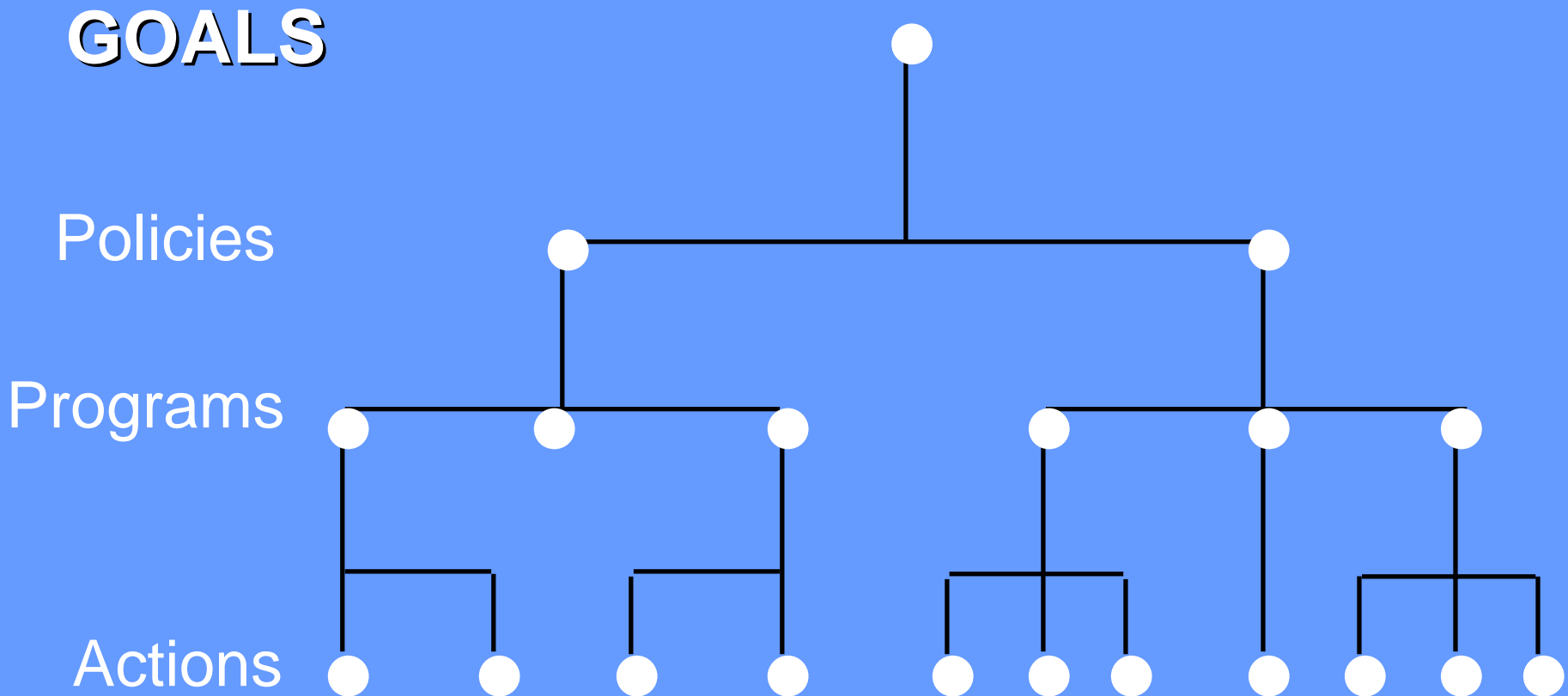
## Problems & Obstacles

# Different Logic Requires Different Tools



**Different Processes of Project Planning & Project Management  
Methods & Techniques Appropriate to Existing Situations  
Innovative Interventions**

# Is our thinking influenced by the rationalism and technocratic planning that makes it difficult to pursue the necessary changes???



# Some Basic Conclusions on Upgrading:

1. Must involve stakeholders from ground zero;
2. The plan is a process and therefore dynamic;
3. Investments in infrastructure requires a settlement plan defining private & public domain
4. The occupation of land prior to the existence of a plan requires a process of co-management but this conflicts with the technocratic tradition;
5. Fixed rules of planning & management put residents aside and take away their level of commitment to the post-upgrading
6. Reversing the conventional order – first legalisation then urban regularisation – may eliminate the risk of eviction but it can also make it difficult for infrastructure provision



# 4.

**Regularization, Legalization or Urbanization. What do we do first and for which objective?**

# REGULARISATION

***Interventions geared to recognition, legitimisation and legalisation of land tenure and land occupation***

- (1) To whom does the land belong ?**
- (2) Is there a conflict or land dispute on property rights, occupation ?**
- (3) Who are the parts in conflict ?**
- (4) Is there any norm regulating the use and occupation of land ?**
- (5) What kind of information about the settlement does exist ?**
- (6) Is there any impact of any nature e.g. environment, traffic, restriction in use;**
- (7) There are many questions to ask !!!!!!**

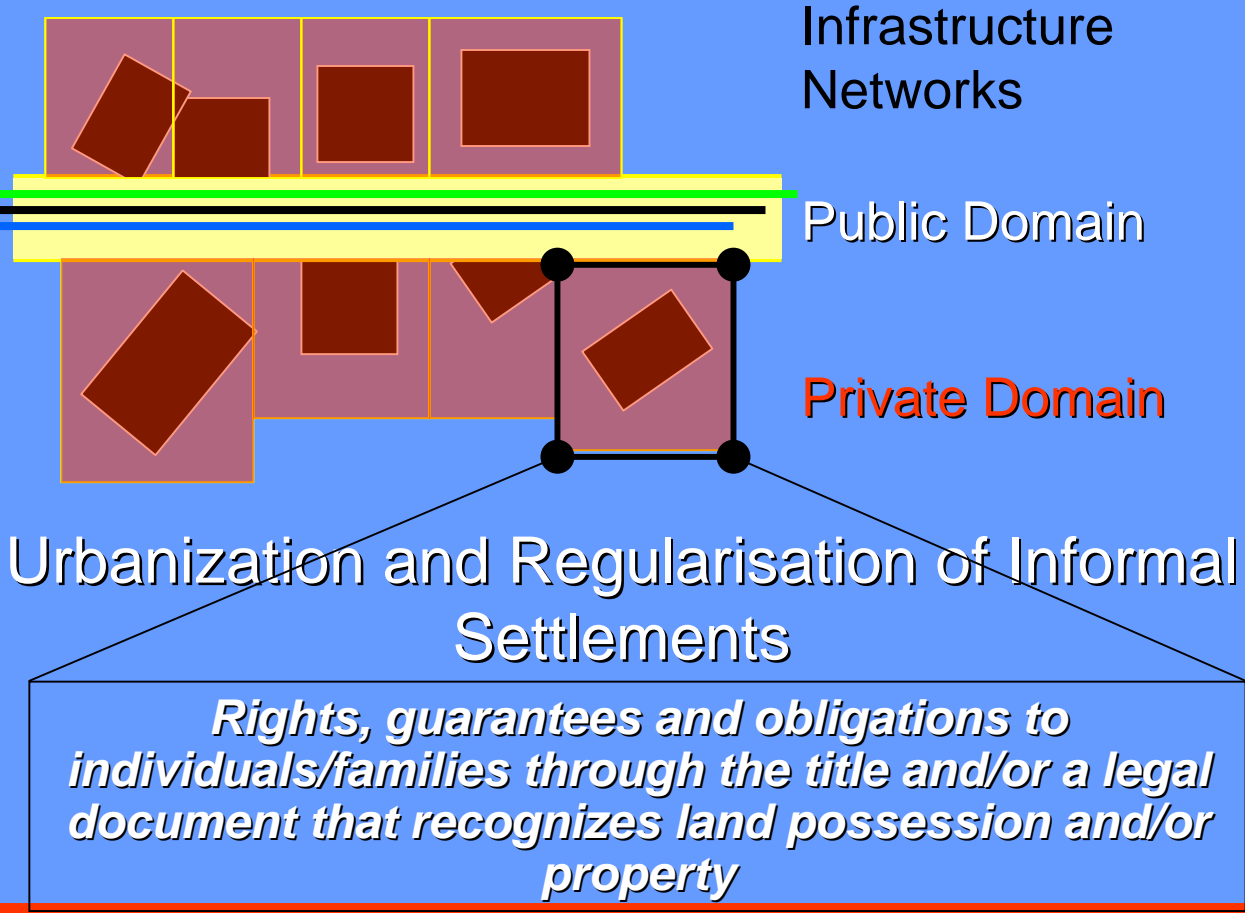
# Totally Distinct Solutions, Approaches and Intervention Mechanisms

Spontaneous Occupations  
Organised or Densification

X

Land Subdivisions  
Guided and/or by Sell & Buy



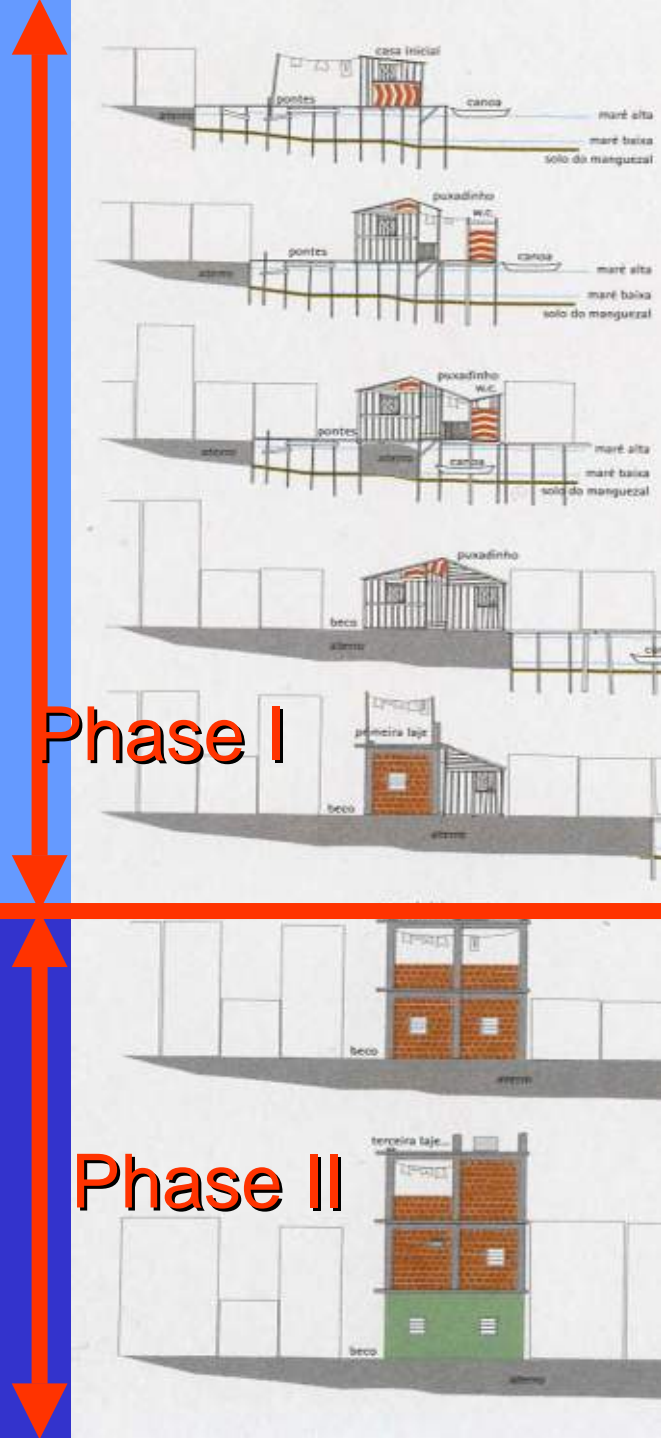


## Urbanization and Regularisation of Informal Settlements

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**Phase I**

**Phase II**

# 6.

## Some conclusions. . .

# Some Basic Conclusions on Upgrading:

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6. Reversing the conventional order – first legalisation then urban regularisation – may eliminate the risk of eviction but it can also make it difficult for infrastructure provision

# Basic Conclusions on Regularisation

1. Governments cannot do it by itself;
2. The NGO's have a fundamental role to play as technical advisors;
3. There is a need to simplify;
4. We must break with the traditions in various levels;
5. We must empower intermediary levels of governments and local actors
6. We just strengthen the capacity of the various actors and stakeholders on the regularisation processes and new procedures

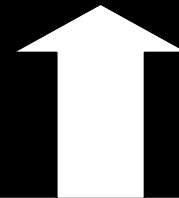
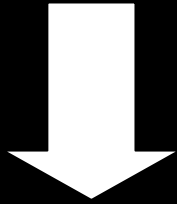
**7.**

**Citywide Programme  
requires institutional  
development and  
management capacities.**



# Remedial Policies

1. Planning TO ENABLE development
2. Strategies to improve existing situation
3. Approaches to improve quality of life



# Preventive Policies

1. Planning BEFORE development
2. Enabling housing strategies
3. Approaches to access housing inputs
4. Resolving the land question
5. Linking housing and income

**NOT**  
**Planning for**  
**Development**

**BUT**

**Formalisation**  
**of**  
**Development**

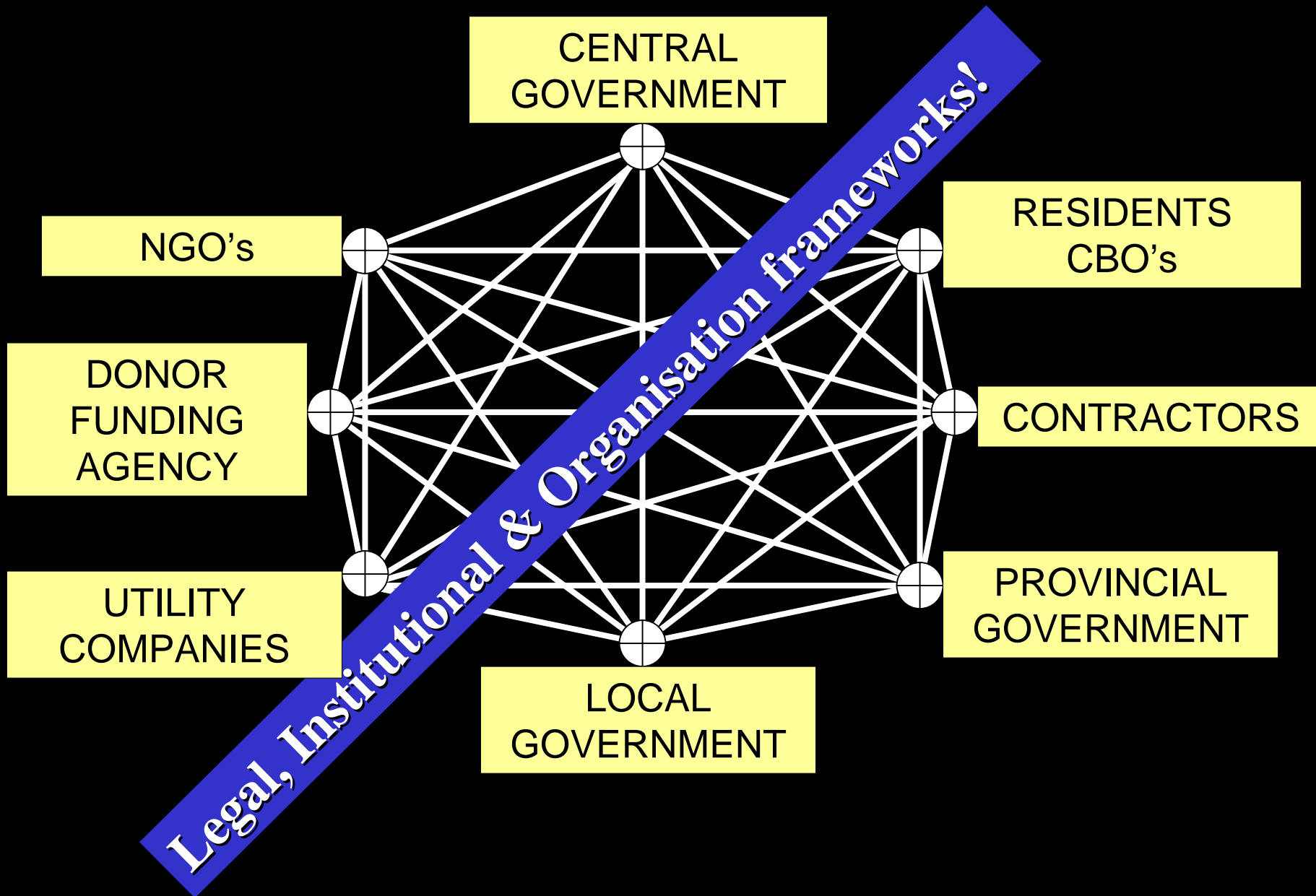
# **Bulk of Experiences with Slum Upgrading Projects and Citywide Programmes**

- 1. Lusaka Upgrading and Sites & Services Programme**
- 2. KIP-Kampung Improvement Programme**
- 3. PRIMED-Integrated Programme for the Improvement of Deteriorated Neighbourhoods in Medellin**
- 4. Favela Bairro Programme in Rio de Janeiro**
- 5. Social Inclusion Programme of Santo Andre**
- 6. Slum Improvement Programme of Ahmedabad**
- 7. Slum Networking in Mumbai**
- 8. APUSP-Andhra Pradesh Urban Services for the Poor Project**
- 9. PMBB-Neighbourhood Improvement Programme of Bissau**
- 10. Colombo Slum Upgrading Programme**

# **Citywide Programmes demand critical measures:**

- 1. Establish institutional and organisational framework**
- 2. Define legal framework**
- 3. Management and Implementation Capacities**
- 4. Define flow of funds and sources of funding**
- 5. Determine who is involved and how**
- 6. Establish contractual procedures**
- 7. Clarify how residents/beneficiaries can participate**
- 8. Organise communication strategy**

# Lessons learned from 4 decades of Upgrading:



**8.**

**The financial and  
economic dimension of  
SU programmes**

**Table 1****Investment required to upgrade slums and provide alternatives to slums by 2020**

Intervention	Target population (millions)	Average cost per person (\$)	Total (\$ billions)	Source of investment (\$ billions)		
				Donors	Governments	Slum dwellers and future low-income urban residents
Upgrading slums	100	670	67	23	37	7
Providing alternatives to slums	570	400	227	78	126	22
<b>Total</b>	<b>670</b>	<b>440</b>	<b>294</b>	<b>101</b>	<b>163</b>	<b>29</b>

Note: Numbers in table may not sum to totals due to rounding.

Source: Task force estimates calculated based on data from UN-HABITAT 2003a; Flood 2004; World Bank 2003a; FISE 2004.

**Table 8.3****Estimated per capita and total investment required to upgrade slums, by region, 2005–20***U.S. dollars per capita**Note:* Numbers in table may not sum to totals due to rounding.

a. Calculated as 30 percent of the value of networked infrastructure.

b. Calculated as 10 percent of the overall costs of the rest of components.

*Source:* Flood 2004; World Bank 2003a; FISE 2004.

<b>Component</b>	<b>Arab states, Turkey, and Iran</b>	<b>East Asia (including China) and Oceania</b>	<b>Latin America and the Caribbean</b>	<b>South Central Asia</b>	<b>Southeast Asia</b>	<b>Sub-Saharan Africa, Egypt, and Sudan</b>
Construction of basic housing	472	338	488	306	324	125
Purchase of land or transfer	80	38	7	32	34	14
Relocation	55	20	27	11	15	14
Provision of networked infrastructure	235	51	235	51	51	145
Provision of bulk infrastructure <sup>a</sup>	71	15	71	15	15	44
Construction of schools and clinics	12	10	18	10	10	12
Construction of community facilities	15	10	15	10	10	10
Planning and oversight	268	81	230	121	126	117
Capacity building <sup>b</sup>	121	56	109	56	58	48
<b>Total cost per person</b>	<b>1,328</b>	<b>619</b>	<b>1,200</b>	<b>612</b>	<b>643</b>	<b>528</b>
Number of people (millions)	4	20	8	30	7	31
Total cost (\$ billions)	5.3	12.4	9.6	18.3	4.5	16.4



# Costs of Infrastructure for Land Tracts Possible to be Urbanized

Water	10.64%
Sewerage	19.86%
Drainage	9.99%
Electricity & Publ Lighting	12.44%

*Source: Analise de Habitacao Informal e Avaliacao de Programas de Urbanizacao de Favelas, MV Serra & D. Motta, World Bank, 2005.*

# Average Costs of Infrastructure for Normal and Complex Favelas

	<u>Normal</u>	<u>Complex</u>
Water	5.73%	7.53%
Sewerage	23.07%	18.00%
Drainage	26.69%	30.00%
Pavement	18.67%	18.72%
Landslide Protection	8.87%	25.62%
Relocation & Reconstruction	16.98%	(6-10% of families)

*Source: Analise de Habitacao Informal e Avaliacao de Programas de Urbanizacao de Favelas, MV Serra & D. Motta, World Bank, 2005.*

# Average Costs: Slum Upgrading

	<u>ALL</u>	<u>Infrastructure</u>
Public Works	84.84%	7.53%
Infrastructure	55.71	100.00%
Pavement	14.635	4.62%
Water	2.93%	4.62%
Sewerage	13.02%	23.64%
Drainage	17.06%	32.61%
Creek Canalization	1.65%	0.927%
Risk Area Control	5.65%	8.30%
Relocation & Reconstruction	(6-10% of families)	
Landscape Improvement	075%	1.04%
Superstructure	13.59%	
Preliminary services	15.54%	
Engineering & Architecture Design	3.62%	
Project Management	11.54	

# COSTS TO UPGRADE FAVELAS

## Funds Necessary to Upgrade Favelas

	Population of the Favelas	Number of Families in Favela	Costs per Family	Total Investment
Belém	359.785	85.663	7.085,23	606.942.732,27
Belo Horizonte	723.323	172.220	1.145,87	197.341.458,57
Goiânia	158.962	37.848	10.997,79	416.245.403,33
Porto Alegre	287.161	68.372	4.997,78	341.706.548,23
Recife	781.426	186.054	5.957,23	1.108.365.335,71
Rio de Janeiro	1.092.783	260.186	7.147,65	1.859.721.526,18
Salvador	875.033	208.341	6.148,00	1.280.881.639,05
Santo André	120.500	28.690	8.713,29	249.988.439,29
Teresina	133.857	31.871	1.925,25	61.359.092,68
Vitória	86.462	20.586	5.454,16	112.280.376,65
Totales	4.619.292	1.099.831	-	<b>6.234.832.551,96</b>

# COSTS TO UPGRADE FAVELAS

## Existing Financial Resources

	total investment	Resources Mobilised	%
Belém	606.942.732,27	21.170.000,000	3,49
Belo Horizonte	197.341.458,57	58.087.000,000	29,43
Goiânia	416.245.403,33	30.179.000,000	7,25
Porto Alegre	341.706.548,23	18.940.000,000	5,54
Recife	1.108.365.335,71	8.200.000,000	0,74
Rio de Janeiro	1.859.721.526,18	926.000.000,000	49,79
Salvador	1.280.881.639,05	61.480.000,000	4,80
Santo André	249.988.439,29	22.949.000,000	9,18
Teresina	61.359.092,68	40.828.000,000	66,54
Vitória	112.280.376,65	78.600.000,000	70,00
Total	<b>6.234.832.551,96</b>	<b>1.266.433.000,000</b>	<b>20,31</b>

# Source of Funding: Upgrading costs

## Financial Resources:

	R\$	%
Municipalidades	492.656.000,00	38,90
Gobierno Federal	148.854.000,00	11,75
Emprestimos Internacionales	593.100.000,00	46,83
Donaciones	15.341.000,00	1,21
Otros	16.482.000,00	1,30
<b>Total</b>	<b>1.266.433.000,00</b>	<b>100,00</b>

## Financial Resources Excluding Favela-Bairro Programme (Rio):

Municipalidades	136.656.000,00	41,29
Gobierno Federal	148.854.000,00	44,98
Emprestimos Internacionales	13620000,000	4,12
Donaciones	15.341.000,00	4,64
Otros	16.482.000,00	4,98
<b>total</b>	<b>330.953.000,00</b>	<b>100,00</b>

Fuente: A. Larangeira, IHS, 2005.

# UPGRADING COSTS

## PERIOD OF FINANCING

