Citywide slum upgrading towards the implementation of the SDG 11.1

Kerstin Sommer,
Slum Upgrading Unit Leader
Programme Manager PSUP
Proportion of Slum Dwellers Around the World

Country Boundary
UN-Habitat’s Presence Worldwide
Participatory Slum Upgrading Programme

- Global flagship programme of UN-Habitat
- One programme focusing on in-situ slum upgrading
- Focus on inclusion and participatory processes
- Provides an approach from diagnostic to implementation: urban profiling, action planning and implementation
“It is the transformation of our urban landscapes that will enable us to end poverty, to provide basic urban services, housing and sustainable transportation, and to create an environment in which not only human rights can be actually delivered but also prosperity be available to everybody across the world.”

Statement Dr. Aromar Ravi, Director, Indian Institute for Human Settlements (IIHS)
Global frameworks as entry points for PSUP

<table>
<thead>
<tr>
<th>1996-2015</th>
<th>2015-2030</th>
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</thead>
<tbody>
<tr>
<td><strong>MDG 7c,d</strong></td>
<td><strong>SDG 11.1</strong></td>
</tr>
<tr>
<td>Adequate housing for all</td>
<td>New Urban Agenda, principles and drivers of the draft document</td>
</tr>
<tr>
<td>Sustainable urbanization</td>
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</tr>
</tbody>
</table>

THEMATIC ENTRY POINTS – 13 themes

- Climate Change and Resilience
- Inequalities
- Housing
- Urban safety and peace
- Land management
- Basic services and infrastructure
- Public space
- Cultural heritage
## Mandate of PSUP

<table>
<thead>
<tr>
<th>PSUP I, II</th>
<th>PSUP III</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2002 EGM on slum household definition “5 slum dwellers’ deprivations”;</strong></td>
<td><strong>Unfinished business</strong>: more than 1 billion slum dwellers worldwide following the slum definition</td>
</tr>
<tr>
<td><strong>DECLARATIONS</strong>: Nairobi (2009), Rabat (2012), Kigali (2013); Endorsing the ACP/EC/UN-Habitat Partnership</td>
<td><strong>SDG Summit PSUP Side Event</strong> endorsing PSUP as global flagship programme to address the SDG 11.1</td>
</tr>
<tr>
<td>Calling for an expansion of the PSUP</td>
<td><strong>Habitat III Informal Settlements Paper and Slum Conference towards a New Urban Agenda</strong></td>
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<tr>
<td>51 countries endorsed the principles and 160 cities are implementing</td>
<td></td>
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</table>
### Global knowledge and tools

<table>
<thead>
<tr>
<th>Past</th>
<th>Today</th>
</tr>
</thead>
<tbody>
<tr>
<td>UG Index, Dec. of BUS Guidelines, LED Series, Planning Sustainable Cities, SDI, SUF, Housing Profiles, Count Me In, SDTM, Human rights based approach and guidelines towards urban evictions, Continuum of Land Rights, SUF, Urban Policies, Gender guidelines</td>
<td>Inclusive urban policy guidelines and planning principles, City Prosperity Index, World Cities Report, Practical Guide to Citywide Slum Upgrading Programmes, 3-Legged Approach, “Housing at the Centre”, data baselines, gender and human rights marker; Climate change and informal settlements;</td>
</tr>
</tbody>
</table>
## Learning from and with countries and partners

<table>
<thead>
<tr>
<th>PSUP I, II</th>
<th>PSUP III</th>
</tr>
</thead>
<tbody>
<tr>
<td>Somalia Urban Governance Programme, Egypt Programmes, Urban Profiling and Strategies, Ghana SUF, <strong>Afghanistan Community Contracting</strong></td>
<td><strong>PSUP in the landscape of other global flagship programmes:</strong> <em>Internally:</em> GLTN, Public Space, Safer Cities, Youth Empowerment, ASUD, Planning Lab for participatory slum upgrading and prevention <em>Externally:</em> “Cities Without Slums”, “Know Your City”, Informal Settlement Upgrading with WB and GIZ, EU Delegations</td>
</tr>
<tr>
<td><strong>Kenya:</strong> GIZ urban upgrading, Korogocho Slum Upgrading Programme, KENSUP, KISIP, KMP Cameroon, D.R. Congo implementation experience</td>
<td>Urban policies with slum upgrading and prevention: e.g. Cape Verde, Kenya, PNG, LED, resource mobilization strategies, legislation and policy review and formulation</td>
</tr>
<tr>
<td>Regional strategies and reports and UN-Habitat Country Programme Documents, UNDAP</td>
<td><strong>3-legged approach</strong> – mainstreamed with tangible sub-outcomes for slum upgrading</td>
</tr>
</tbody>
</table>
THE PSUP NETWORK IN ACTION
Improving the lives of slum dwellers in the world

160 Cities realizing the potential of the urban poor in 35 ACP countries

8 National Urban Policies approved with a specific focus on slum upgrading

Local co-financing equivalent to 3 Times the original ACP/EC funds

51 ACP Countries committed to participatory slum upgrading

32 City-Wide Slum Upgrading Strategies integrating slums into the larger urban context

10% of PSUP funds allocated to community-managed projects

67 thousand Slum Households targeted for improved living conditions

THE PARTICIPATORY SLUM UPGRADE PROGRAMME (PSUP): ANTIGUA AND BARBUDA • BENIN • BOTSWANA • BURKINA FASO • BURUNDI • CAMEROON • CAPE VERDE • CONGO • DR CONGO • FIJI • GHANA • HAITI • IVORY COAST • JAMAICA • KENYA • LESOTHO • MADAGASCAR • MALAWI • MALI • MAURITIUS • MOZAMBIQUE • NAMIBIA • NIGER • NIGERIA • PAPUA NEW GUINEA • RWANDA • SENEGAL • SOLOMON ISLANDS • ST. VINCENT AND THE GRENADINES • THE GAMBIA • TOGO • TRINIDAD AND TOBAGO • TUVALU • UGANDA • VANUATU

UNO HABITAT FOR A BETTER URBAN FUTURE
Multi-Governance Approach

• Global level: South-South Cooperation, advocacy, data revolution
• National level: constitution, vision, policy, national development and legal framework, finance
• City level: Citywide slum upgrading strategies and participatory planning
• Community level: Community-led projects

INSTITUTIONAL SET-UP: COUNTRY TEAM
PSUP Principles (1-4)

- Urbanization is unstoppable.
- **Harness the positive forces of sustainable urbanization** and implement **inclusive policies** as well as connected slum upgrading and prevention policies.
- A city-wide, participatory approach to upgrading aligned with city development plans,
- Actively engaging relevant stakeholders in the implementation process through Country Teams
- **Actions creating jobs and against one or more of the five slum deprivations**
- No unlawful, **forced evictions** of slum dwellers will occur in targeted neighbourhoods.
- 10% of the funds to be implemented by the community.
PSUP principles (5-8)

- Transparency, accountability, full participation and decentralization,
- Flexible approach aligned with national priorities and the Paris Declaration of Aid Effectiveness.
- UN-Habitat partners will strive to mobilize local, national and international resources sufficient for slum upgrading activities, acknowledging that devising strategies for improving domestic resource mobilization is the key to scaling up in the medium and long term.
- Institutionalization of approaches is the objective of the Country Team
- UN-Habitat partners will pursue participatory strategies by mainstreaming of human-rights approach, consisting of: the slum dwellers’ right to the city with access to basic urban services, adequate housing and participation in decision-making processes; gender equality, targeting diverse community groups and particularly women and youth; and results-based management for design, implementation and monitoring of national goals for inclusive upgrading.
## Alignment between NUA principles and PSUP

<table>
<thead>
<tr>
<th>The New Urban Agenda /Habitat III Principles</th>
<th>PSUP Strategic alignment</th>
<th>PSUP Principles</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adaptable to different national circumstances</td>
<td>✓</td>
<td>Flexible approach /relates to context /ease of engagement</td>
</tr>
<tr>
<td>Promotion of human rights</td>
<td>✓</td>
<td>Core to PSUP, human rights tools</td>
</tr>
<tr>
<td>Equitable urban development/inclusive growth</td>
<td>✓</td>
<td>Participatory in process, city-wide, inclusive outcomes</td>
</tr>
<tr>
<td>Integration – across themes /institutions</td>
<td>✓</td>
<td>Stakeholder engagement, institutional alignment, planning integration, cross-sectoral</td>
</tr>
<tr>
<td>Learning and knowledge sharing</td>
<td>✓</td>
<td>South-South learning platform, slum data, MyPSUP, capacity development</td>
</tr>
<tr>
<td>Global Data</td>
<td>✓</td>
<td>Slum Almanac, Qualitative Impact Stories, M&amp;E</td>
</tr>
</tbody>
</table>
PSUP data collection

• Universal and adaptable
• Basis for influencing national policies, reviewing legislation, budgeting and informing action plans and programmes
• Based on 5 slum deprivations
• Connectivity to the formal city – socio-economic relations vs. exclusion
• Economic, social and cultural opportunities
• Access roads and public space
“The integration of slum upgrading programmes with countrywide planned urban development is the sustainable way to make a difference in slum areas of cities. This planned growth is part of a three pronged approach, combining the components of urban planning, urban legislation, and urban economy. The combination of these three components provides not only physical plans but also the rules and regulations and the financial plans which generate good growth, stability, and investment.”
PSUP Drivers for Change aligned to NUA

• **National Urban Policy Review** and establishment of National Slum Upgrading and Prevention Policies/Strategies/Action Plans

• **Revised legislation and strengthened institutions**

• **Harnessing the urban economy**, creating employment opportunities and improving existing working conditions through community-led projects for slum upgrading

• **Strengthening finance mechanisms**
PSUP Drivers for Change aligned to NUA

- Participatory planning integrated in urban plans at citywide level
- Strengthening gender equality and women’s empowerment through community representatives, women-and youth-led projects
- Promoting and contributing to universal access to quality basic services
- Placing culture at the heart of sustainable urban development
## Alignment between NUA approach and PSUP

<table>
<thead>
<tr>
<th>The New Urban Agenda /Habitat III Approaches</th>
<th>PSUP Strategic alignment</th>
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<tr>
<td>Developing and implementing national urban policies</td>
<td>✔️</td>
<td>Urban profiles and Country Teams promote city-wide and national policies for slum upgrading (NUP, Housing, Land and Slum Upgrading Policy for slum prevention)</td>
</tr>
<tr>
<td>Strengthening urban legislation and systems of governance</td>
<td>✔️</td>
<td>Urban profiles and Country Teams are a mechanism that critically appraises legal frameworks and institutional arrangements, legal analysis tool being developed</td>
</tr>
<tr>
<td>Harnessing the urban economy, creating employment opportunities and improving existing working conditions for all.</td>
<td>✔️</td>
<td>Promotes understanding and preservation of urban economy and livelihood generation in slums via urban profile, city-wide slum upgrading plan, Country Teams and capacity development, design and community projects</td>
</tr>
<tr>
<td>Strengthening municipal finance</td>
<td>✔️</td>
<td>Requires country level finance commitment and evidence of support for municipal financing, key topic for Country Team</td>
</tr>
<tr>
<td>Reinvigorating territorial planning and urban design</td>
<td>✔️</td>
<td>Focus on city-wide approach, links btn slum upgrading strategy and city-level plans, advocacy for planning and design through Country Team and capacity development programmes</td>
</tr>
<tr>
<td>Promoting universal access to quality basic services.</td>
<td>✔️</td>
<td>Fundamental link between WASH and slum upgrading (planning and financing strategies, intuitional linkages, Country Team and capacity development)</td>
</tr>
<tr>
<td>Strengthening gender equality and women’s empowerment</td>
<td>✔️</td>
<td>Central to methodology, approach and operations of PSUP at country/city level via slum upgrading plan, community funds</td>
</tr>
<tr>
<td>Placing culture at the heart of sustainable urban development</td>
<td>✔️</td>
<td>Local processes respected, community managed funds and public space initiatives an avenue for cultural expression via planning and community managed funds.</td>
</tr>
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## Housing at the Centre and slum upgrading

<table>
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<tr>
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<th>Slum Upgrading/PSUP</th>
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</table>
| **Housing is an integrating element of urban planning.** | - Slums and affordable housing debate inseparable.  
- Slum upgrading highlights the scale and degree of the affordable housing challenge.  
- Affordable housing recognized as one of the 5 deprivations.  
- Slum upgrading puts slum dwellers centre-stage of the ‘Housing at the Centre’ debate.  
- PSUP prioritizes affordable housing, via slum upgrading, in an integrated manner that takes into account both land and financing as other key elements |
| **Place matters and urbanization will not be inclusive without providing access to housing, services and livelihood for all.** | - Slum upgrading engages with place at all scales and is inclusive in process  
- PSUP promotes in-situ, city-wide slum upgrading  
- The approach preserves important local social and economic capital (including livelihoods) via local planning and design and community managed funds  
- The approach also prioritizes the integration and inclusion of slum dwellers into the broader urban fabric via city-wide plans, institutional realignment, |
| **Urban planning and legislation should contribute to maximize affordability of housing and spatial inclusion** | - Slum upgrading draws attention to policy and legislative frameworks and planning approaches that are exclusionary and can promote inclusive alternatives  
- PSUP urban profile, country team, slum upgrading plans provide a lens through which countries and cities reflect on their policy, legislation and planning for affordable housing and urban prosperity |
**“Housing at the Centre” and slum upgrading**

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| **Sustainable Housing is a litmus test of Sustainable Cities.** | - Sustainable Housing is the litmus test, slum upgrading is the first step towards sustainable urbanization and cities  
- Slum upgrading requires government to address many of the fundamental stumbling blocks to affordable housing: recognition of slum challenge, value and rights of slum dwellers, sorting land issues, investing in change and prevention  
- PSUP provides a programme which is a pre-condition and compliment to developing sustainable housing and utilizes the 3 legged approach |
| **Urban planning policies and programmes should be geared toward the progressive realization of the right to adequate housing for all** | - Slum upgrading starts a change process  
- It is often the first step towards implementing policies, planning, legislation cities need for more inclusive sustainable development – and for more affordable and adequate housing for all  
- PSUP requires participating countries/cities to start an incremental reform process that contributes to the progressive realization of adequate housing for all |
| **A continuous, participatory and inclusive urban planning process should be the starting point for integrating housing into urban growth and development strategies** | - the PSUP approach is guided by human rights and participation principles  
- the continuous participatory and inclusive approach facilities the engagement of slum dwellers themselves but also the full range of stakeholders, especially at the institutional level, who are vital to engage for affordable housing and sustainable urban development |
Objective 1

Strengthened global partnerships for participatory slum upgrading and prevention

- ACP/EC/UN-Habitat tripartite partnership
- Declarations and political commitments towards a coherent implementation of SDG 11.1 “upgrade slums”
- Joint advocacy and monitoring for inclusive measuring of achievements towards SDG 11.1
- South-South collaboration frameworks enforced
- Reinforced management and coordination
Objective 2

Improving capacities for slum upgrading and prevention

- Inclusive citywide slum upgrading and prevention strategies including in-situ upgrading, integrated urban planning, requalification, community/public space, affordable and sustainable housing models;
- Diverse financing strategies including local budgeting, community funds, complementary development projects
- Inclusive South-South cooperation and strengthened learning platforms including city-to-city networks
- Strengthened links in between civil society worldwide through for example university, NGO or planning networks
- Documentation, knowledge products and implementation tools
e-Platform for participatory slum upgrading

Welcome to MyPSUP

Cities in developing countries are facing enormous challenges. Rapid urban growth has resulted in a significant increase in slums and one out of every three urbanites now lives in a slum. UN-HABITAT’s Participatory Slum Upgrading Programme (PSUP) will improve the lives of slum dwellers in the Africa, Caribbean and Pacific (ACP) countries. This Programme is fundamental to achieving the Millennium Development Goals.

“to reduce by half the proportion of people without sustainable access to safe drinking water by 2015”

“achieving significant improvement in the lives of at least 100 million slum dwellers by 2020”
Objective 3

Improving the living conditions through tangible demonstration projects in line with citywide slum upgrading strategies

- Co-financing, national and city budgeting
- Quick-win projects implemented by youth and women
- Inclusive demonstration projects for slum upgrading and prevention against the five slum deprivations
Decide
Make decisions related to the implementation of PSUP-Mtwapa

CHECK

LEARN
Learn more about what’s going on

EXCHANGE
Discuss your opinions with others

DECIDE
Be part of the decision-making

MONITOR
Evaluate projects in your community
Approaches in line with NUA/SDGs

- **Citywide/Small island-wide slum upgrading and prevention strategies**
  - 3 legged approach leading inclusive policies and planning, legislation and finance
    - Innovations on land, BUS, infrastructure and community/public space, affordable housing, safer cities and sustainable urban livelihoods
    - ICT-based participation and skill development
    - Cross-cutting issues such as gender, youth, human rights, climate change;
    - Data revolution based on CPI
    - Flexible, not sequential and co-financing and resource mobilization essential
Statement by Klaus Rudischhauser, Dep-DG DEVCO

• “The engagement with cities shall be strategic – therefore the EC is pleased with the PSUP – it has a concrete point of engagement with cities and helps cities to deal with slums and address urbanization overall; further it comes in where the needs are greatest”
Statement by Dr. Patrick I. Gomes, ACP SG

• “Capacity building and policy change for structural transformation – but in a very concrete and tangible way that touches the lives of the citizens, transforms their lives and fulfills them through full participation”

• “Design spaces creatively with citizen. This provides leadership to municipalities touching neighbourhoods and implementing participatory democracy through the PSUP.”
• What are your visions for slum upgrading and regeneration?
• What are your main principles of your upgrading or regeneration interventions?
• How do you measure the impact? And where are they anchored?